



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 September 2018

Time: 10.00 am

Chair: Councillor Rob Stewart

Membership:

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

Also Invited: Councillors J E Burtonshaw & E J King

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
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 with in a 10 minute period.
6. **Councillors' Question Time.**
7. **Pre-Decision Scrutiny Feedback - Outcome of Residential Care & Day Services for Older People Consultation. (Verbal)**
8. **Outcome of Consultation in Relation to the Residential Care Commissioning Review.** 4 - 159

9.	Outcome of Consultation in Relation to the Day Services Commissioning Review.	160 - 316
10.	Quarter 1 2018/19 Performance Monitoring Report.	317 - 358
11.	Increased Planned Places at Ysgol Penybryn Special School.	359 - 389
12.	Local Authority Governor Appointments.	390 - 391
13.	Equality Review Report 2017-18	392 - 462
14.	Review of Councillors' Broadband and Telephone, ICT and Mobile Phone Allowances - May 2017 & Beyond.	463 - 480
15.	Review of the Gambling Policy.	481 - 533
16.	Contract Award Report for the Framework for the Refurbishment of Kitchens and Bathrooms.	534 - 546
17.	Contract Award Report: Framework of Contractors for Housing Renewal and Adaptations works.	547 - 554
18.	Financial Procedure Rule 7 Active Travel Fund Grant 2018/19.	555 - 566
19.	General Building Materials Framework.	567 - 574

Next Meeting: Thursday, 18 October 2018 at 10.00 am



Huw Evans
Head of Democratic Services
Tuesday, 11 September 2018

Contact: Democratic Services - Tel: (01792) 636923

Agenda Item 3.



City and County of Swansea

Minutes of the **Cabinet**

Council Chamber, Guildhall, Swansea

Thursday, 16 August 2018 at 10.00 am

Present: Councillor R C Stewart (Chair) Presided

Councillor(s)
J E Burtonshaw
E J King

Councillor(s)
M C Child
A S Lewis

Councillor(s)
R Francis-Davies
C E Lloyd

Apologies for Absence

Councillor(s): D H Hopkins, J A Raynor and M Thomas

42. Disclosures of Personal and Prejudicial Interests.

In accordance with the Code of Conduct adopted by the City and County of Swansea, no interests were declared.

43. Minutes.

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

1) Cabinet held on 19 July, 2018.

44. Leader of the Council's Report(s).

The Leader of the Council made no announcements.

45. Public Question Time.

No questions were asked.

46. Councillors' Question Time.

No questions were asked.

47. Revenue and Capital Budget Monitoring 1st Quarter 2018/19.

The Cabinet Member for Economy & Strategy presented a report, which detailed the financial monitoring of the 2018/19 revenue and capital budgets, including the delivery of budget savings.

Resolved that the comments and variations in this report, and the actions in hand to address these, be noted.

48. Local Authority Governor Appointments.

The Local Authority Governor Appointment Group submitted 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 recommended by the Chief Education Officer in conjunction with the Cabinet Member for Education Improvement, Learning & Skills be approved:

1)	Newton Primary School.	Dr Nia Love
2)	Parkland Primary School.	Mrs Claire Aubrey Cllr Stephen Gallagher
3)	Whitestone Primary School.	Mr Gareth Ford

49. Cabinet Response to Scrutiny Inquiry into Regional Working.

The Cabinet Member for Economy and Strategy outlined a response to the scrutiny recommendations and presented an action plan for agreement.

Resolved that the responses as outlined in the report and related action plan be agreed.

50. Exclusion of the Public.

Cabinet were requested to exclude the public from the meeting during consideration of the item(s) of business identified in the recommendations to the report(s) on the grounds that it / they involve the likely disclosure of exempt information as set out in the exclusion paragraph of Schedule 12A of the Local Government Act 1972, as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007 relevant to the items of business set out in the report(s).

Cabinet considered the Public Interest Test in deciding whether to exclude the public from the meeting for the item of business where the Public Interest Test was relevant as set out in the report.

Resolved that the public be excluded for the following item(s) of business.

(Closed Session)

51. Hafod Copperworks - Penderyn Heads of Terms.

The Cabinet Member for Investment, Regeneration & Tourism presented a report which sought approval to enter into an agreement to lease with Penderyn on the basis of the negotiated Heads of Terms in line with the Councils Constitution for asset disposals.

Resolved that the recommendations as detailed in the report be approved.

The meeting ended at 10.14 am

Chair

Published: 16 August 2018

Agenda Item 8.



Report of the Cabinet Member for Care, Health and Ageing Well

Cabinet – 20 September 2018

Outcome of Consultation in Relation to the Residential Care Commissioning Review

Purpose:	The report summarises the results of the recent consultation on the preferred options emerging from the Residential Care Commissioning Review. It also provides final recommendations to Cabinet of how to proceed, taking account of these results and the associated Equality Impact Assessments.
Policy Framework:	Social Services and Well-Being (Wales) Act 2014
Consultation:	A 12-week public and staff consultation was conducted from 30 th April 2018 to 23 rd July 2018.
Recommendation(s):	<p>Cabinet is asked to consider the following recommendations:</p> <ul style="list-style-type: none">• Recommendation 1: Refocus the Council's in-house residential care service to focus on complex needs, residential reablement and respite only.• Recommendation 2: Going forward, commission all standard residential care for non-complex needs and nursing care from the independent sector.• Recommendation 3: As a consequence of the above, close Parkway Residential Home ensuring that all affected residents are fully supported.• Recommendation 4: Agree to pay up to a maximum of £105 per person per week top up fees for all residents at Parkway (including self-funders), subject to individual circumstances and social work assessments, for the duration of their residential care placement in the event that Parkway closes following the final decision taken.
Report Author:	Alex Williams
Finance Officer:	Chris Davies

Legal Officer: Debbie Smith

Access to Services Officer: Rhian Millar

1. Executive Summary

- 1.1 In line with the corporate process, Adult Services has conducted a Commissioning Review of Residential Care for Older People, and publicly consulted on the preferred options emerging from the Gateway 2 stage of the process.
- 1.2 This paper provides the background to the review, the preferred options and the service specific implications, the findings from the public consultation and the associated Equality Impact Assessments, alongside final recommendations on the way forward for Cabinet.
- 1.3 Swansea Council recognises that it needs to shape the services that it delivers internally and those that it commissions externally to meet 21st century needs.
- 1.4 In line with the principles of the Social Services and Wellbeing (Wales) Act, the Council agreed a model for Adult Services in 2016 which had the following key principles at its core:
 - Better prevention
 - Better early help
 - A new approach to assessment
 - Improved cost effectiveness
 - Working together better
 - Keeping people safe.
- 1.5 In undertaking the review of Residential Care for Older People these principles have been central to reaching a position of a preferred direction of travel.
- 1.6 The preferred options emerging from the review are to shape the Council's internal provision to focus on complex care, short-term residential reablement and respite, and commission standard residential care and nursing care in the independent sector.
- 1.7 In line with the key principle of better prevention, the Council will be able to designate more in-house beds as respite provision, which will allow carers greater certainty and planning surrounding respite arrangements helping them to keep their loved ones at home for longer by providing them with a much needed break.
- 1.8 The reablement provision will be developed to better support people when leaving hospital or when they are finding it difficult to stay at home without support. Again, in line with the key principles of better prevention and early intervention, providing people with support in this way allows them to regain skills and independence to return to their own homes in line with their desired personal outcomes.

- 1.9 By adopting the preferred options and developing its provision in relation to complex care, the Council should be able to provide better care for people with complex needs such as dementia as staff will have the right skills and knowledge to provide this type of care and our buildings will be set up in such a way to deliver more complex needs. This is an area of need that the independent sector struggles to meet as typically it is more expensive to deliver because of the level of staffing required to meet complex needs.
- 1.10 Refocussing internal provision in this way will allow the Council to strive to provide better services and care for its residents. It will also provide market certainty for the independent sector surrounding the commissioning of standard residential care. The independent sector already provides the majority of standard residential care placements in Swansea and to an equivalent standard to that provided by the Council.
- 1.11 The Council also recognises that to deliver this vision of an improved residential care offer will require significant capital investment and this requirement has been added to the Council's Capital programme for the next 5 years.
- 1.12 By concentrating its resources on fewer discreet specialisms, the Council will aim to provide a better service for residents in Swansea with complex needs because we will be in a position to upskill our staff to better meet these needs and consequently provide a higher quality service. If we no longer deliver standard residential care however, we will need fewer beds to deliver a service that only caters for residential reablement, respite and complex needs based on current demand and projected future growth in demand.
- 1.13 If the Council proceeds with its proposals to reshape in-house provision, it is estimated that 41 less beds will be needed overall. It is therefore proposed that one home will close and following an evaluation of all of the internal homes, it has been concluded that Parkway Residential Home is the home least fit for purpose to deliver the preferred future model. It would close in the event that the proposals are accepted.
- 1.14 In reaching these proposals, a wide range of options were considered and discounted. These are detailed in Section 7 of Appendix 1 to this report and included maintaining the status quo, and externalising all services including the use of alternative delivery models. Once the preferred options had been identified, the evaluation exercise considered the relative suitability of each of the internal buildings to deliver the preferred future model in order to reach the proposal that Parkway should close. The Council has recently undertaken a 12-week consultation on the proposed future model for residential care and specifically the closure of Parkway Residential Home.
- 1.15 The consultation responses are summarised in this report alongside the Council's response and mitigation where appropriate.

- 1.16 The key themes highlighted in the consultation are as follows:
- Support for the proposals.
 - Some respondents were in support of a model that enabled people to remain living independently for longer.
 - Perception that Council homes are better.
 - A view that the definition of complex care needed to be more specific.
 - A belief that more staffing would be required for residents with more complex needs and buildings would be adapted to accommodate this.
 - Concern that the proposal to only provide residential care for complex needs was discriminatory against those with non-complex needs.
 - A concern that the scoring criteria used to determine that Parkway was least fit for purpose did not take into consideration maintaining the wellbeing of residents and the evaluation exercise itself had also not involved family members/anyone independent of the Council.
 - Concerns were raised surrounding the impact on wellbeing that moves from Parkway would have on residents.
 - Impact on choice of the proposed model.
 - Availability of beds.
 - Belief that the proposal to close Parkway had not taken account of current and future demand.
 - Concern was raised surrounding the cost of independent care homes.
 - Perception that the proposal to close Parkway was being driven by the potential use of the site linked to the land surrounding the Olchfa School site.
 - A concern was raised by one respondent that the proposals may lead to the privatisation/closure of all Council owned care homes.
 - Concern that the proposals were being driven by budget pressures.
 - Family members of residents at Parkway wanted a guarantee that all residents would continue to have good quality care in the event that Parkway closed.
- 1.17 The counter proposals put forward were as follows:
- Proposal to sell off Parkway as a going concern/consider alternative delivery models to allow the residents to remain in Parkway.
 - Make savings in relation to domiciliary care rather than residential care.
 - The Council should find savings elsewhere and not make savings in relation to residential care.
 - Close St Johns and keep Parkway open instead.
 - Move all Parkway residents into other Council-run care homes and maintain Parkway itself as a reablement and respite facility.
 - Close Parkway over a longer period of time.
 - Fill all the vacant beds in Parkway, with a belief that this would make it financially viable.
 - All residents in Parkway should be offered a place in a Council run home, in the event that Parkway was to close.
- 1.19 In general whilst there was not majority support for the model or the proposal to close Parkway, no viable alternatives have been put forward which allow us to deliver a model that enables people to maintain independence, remain at home for longer and meet the needs of vulnerable adults in line with the

principles of the Social Services and Wellbeing (Wales) Act whilst at the same time achieving the necessary savings required.

- 1.20 The Council has addressed each of the concerns put forward in the consultation and provided mitigation where possible. These are outlined in detail within the main body of this report.
- 1.21 There were no concerns put forward that could not be mitigated or for which there was no response which alleviated the concerns.
- 1.23 Of paramount importance if the proposals are to go ahead will be to ensure that the wellbeing of current residents at Parkway is maintained and any moves are carefully and thoughtfully planned involving residents, their families where appropriate, and a social worker. If a decision is taken to close Parkway, each resident will have an individual social work assessment to determine their unique needs and determine appropriate move on plans. This assessment will involve family members where appropriate and will ensure that all equality matters have been considered and appropriately mitigated wherever possible. In doing this, the Council will ensure as much as possible that their human rights are maintained and all equalities issues are given due regard.
- 1.24 From the outset, staff were fully engaged in the potential remodelling of service and from the start of the consultation were supported to wherever possible find alternative employment in line with the Council's HR processes. In line with the Council's HR policies, all staff who were potentially affected were given immediate access to the Council's redeployment processes at the beginning of the consultation period as this is standard process where there is an understanding that an employee might be at risk, but a final decision has not been taken. Some employees have already been successful in securing alternative employment. Some employees have already indicated that they would like to be considered for redundancy in line with the Council's Early Retirement Scheme/Voluntary Redundancy, and have been given provisional figures to allow them to consider this option further. In the event that a decision is taken to close Parkway, the staff involved will be given an extended notice period and be formally put at risk. Alternative employment for those that want it will be sought through the Council's redeployment scheme and those who would rather leave the organisation will be supported through the Council's Early Retirement/Voluntary Redundancy Scheme.
- 1.25 If the recommendations are agreed, the Parkway site will be disposed of in line with the Council's normal processes.
- 1.26 Whilst a key driver for this change is to remodel the service to meet the needs of those most vulnerable in the City and County of Swansea, adopting this approach will also allow Adult Services to meet considerable budgetary challenges to allow them to deliver financially sustainable, high quality services. The proposed model also supports the principles behind the Well Being of Future Generations (Wales) Act, specifically the wellbeing goals of a resilient Wales and a healthier Wales by developing sustainable services for

the future and services which allow an ageing population to maintain their independence for as long as possible.

- 1.27 It should be noted that if these recommendations are agreed, the Commissioning Review in relation to Residential Care for Older People will be complete and it is not envisaged that any further review will take place during this administration.
- 1.28 Remodelling the services in this way should allow the Council to provide better services, and allow people to meet their desired outcomes whilst delivering better care and ultimately keeping people safe and secure for the reasons explained earlier in this executive summary.

2. Background:

- 2.1 In line with the Council's Corporate Commissioning Review approach, a review was undertaken of residential care services for Older People in 2016. This review looked at those services both provided directly by the Council and those services that are commissioned from the independent sector.
- 2.2 The review set out a range of options for the way forward.
- 2.3 A stakeholder workshop took place to ascertain feedback surrounding the advantages/disadvantages of the full range of options on 9th June 2016.
- 2.4 Stakeholders included a range of internal and external providers, care managers, support and inter-related services, carers, representative groups and elected Members.
- 2.5 Following the stakeholder workshop, a dedicated session was also held with the Trade Unions on 21st June 2016 to talk through their views on the options.
- 2.6 The detailed option appraisal was then held on 24th June 2016.
- 2.7 The Panel for the option appraisal comprised the Commissioning Review Lead, the Principal Officer, the Head of Adult Services, Chief Social Services Officer, the then Director of People, the Director of Place, the then Cabinet Member as well as representatives from Legal, Finance, Procurement, HR and Corporate Property.
- 2.8 On carrying out the appraisal, it was concluded that the original set of options were too extensive and complex. The options for the review were therefore refined to make them more straight forward and understandable.
- 2.9 The criteria used to appraise each option focussed on the following:
 - Outcomes
 - Fit with strategic priorities
 - Financial impact
 - Sustainability/viability
 - Deliverability.

2.10 The full criteria are contained in the Gateway 2 report appended as Appendix 1 to this report.

2.11 The options were considered against 4 distinct categories as follows:

- 1) Strategy
- 2) Service Model in relation to Short Term/Complex Residential and Nursing Care
- 3) Model of Delivery
- 4) Balance of Mixed Model

2.12 The highest scoring and therefore preferred options against each category were as follows:

1) *Strategy:*

Preferred Option: Review Strategy in relation to pattern of residential care provision balanced with alternative accommodation provision including Extra Care Housing

2) *Service Model in relation to Short Term/ Complex Residential and Nursing Care:*

Preferred Option: Commission Short Term/Complex Care on specific specialist sites

3) *Model of Delivery:*

Preferred Option: Maintain mixed delivery to deliver new model

4) *Balance of Mixed Model:*

Preferred Option: Apply greater degree of specialism on internal beds and provide no standard residential care in-house. Commission everything else.

2.13 A more detailed rationale is provided within the Options Appraisal Matrix within the Gateway Report contained at Appendix 1 of this report, but in summary the preferred options scored the highest on the basis of the following.

2.14 The preferred options would allow Adult Services to remodel its internal service to focus on the specialisms of complex care, reablement and respite. In line with the Social Services and Wellbeing (Wales) Act, the focus of the service would be about aiming to achieve better outcomes for people with reablement and greater independence both for residents and carers at its core.

2.15 Individuals would be defined as having complex needs if they had needs attributable to one or more of the following features, and they required at least 2 hours of one to one care per day:

- 1) Double staffed care for people who are bed bound; have high risk of developing pressure sores; require careful repositioning.
- 2) People who have complex medication regimes.
- 3) People who require feeding or who are fed via a PEG.
- 4) People who have challenging behaviour and have packages of care that are difficult to manage.
- 5) People who have dementia or declining cognitive ability.
- 6) People with bariatric care needs.

- 7) People with learning difficulties who require increased care
 - 8) People with manual handling needs requiring use of equipment and / or two person handling.
 - 9) People with communication difficulties who need higher levels of care to explain or deliver care.
- 2.16 The targeted focus on respite and reablement would also help Adult Services to better manage demand, by focussing our internal service on early intervention and prevention to minimise or delay the need for more managed care by providing short-term support to allow people to regain skills and independence as well as provide carers a much needed break to ensure that family relationships do not breakdown.
- 2.17 Applying this degree of specialism would allow Adult Services to develop and upskill its internal workforce to focus on these needs, and therefore strive to improve quality of the service and better health and wellbeing outcomes for residents in the internal service.
- 2.18 The preferred options would also give the external market certainty surrounding future commissioning intentions, and would give them certainty of commissioning surrounding standard residential care.
- 2.19 From a financial perspective, recognising that the internal unit cost was substantially higher than the external unit cost, applying this degree of specialism would mean that less in-house beds were required and potentially release savings through an overall reduction in internal provision required.
- 2.20 Whilst there would be an assumed reduction in internal provision, a significant proportion of internal provision would be retained which would allow a certain degree of resilience in the event of external market failure.

3 Implications of the preferred options:

- 3.1 In order to consider the specific implications, each preferred option will be considered in turn.
- 3.2 *Preferred option 1: Review Strategy in relation to pattern of residential care provision balanced with alternative accommodation provision including Extra Care Housing*
 Due to the time delay in moving forward with the review, this option has been adopted as business as usual. Work is progressing to develop the Strategy and there was no requirement to publicly consult on the intention to proceed with this preferred option.
- 3.3 *Preferred option 2: Commission Short Term/Complex Care on specific specialist sites*
 It is proposed that our internal service will focus on complex care, residential reablement and residential respite, unless service users choose to access respite and complex care in the independent sector. Cabinet agreed to publicly consult on this option at its meeting of 19th April 2018.

- 3.4 *Preferred option 3: Maintain mixed delivery to deliver new model*
We will commission all standard residential and nursing care in the independent sector, but retain an in-house service to deliver residential reablement, residential respite, and complex care.
- 3.5 *Preferred option 4: Apply a greater degree of specialism on internal beds and provide no standard residential care in-house. Commission everything else.*
Some detailed modelling was undertaken to determine the potential impact of the proposed options in terms of reduction of internal beds based on current and projected demand in line with the preferred options.
- 3.6 This modelling exercise indicated that 157 internal beds would need to be retained to deliver the preferred options in line with current and future projected demand. The Local Authority currently has 198 beds (180 of which are registered). The modelling was based on an analysis of bed usage in February 2018, combined with projected increased demand in line with population growth by 2025 as follows:

Current bed usage	Current usage	2020		2025	
		%	No.	%	No.
Complex Care (not inc dementia)	86	3.4	1.3	6.4	2.5
Dementia Care	48	11.2	5.4	13.2	7
Assessment and rehab Services	34	3.4	1.2	6.4	2.3
Respite services	23	3.4	0.8	6.4	1.5
TOTAL	143	8.7 beds		13.3 beds	

Of the remaining 37 in-house registered beds, these were either being used by residents who either required standard residential care or were vacant.

Therefore on the basis of 157 beds being required to deliver the new model, 41 would be surplus to requirements, which would equate to the closure of one residential home leaving some surplus capacity to allow for flexibility surrounding delivery of the model.

- 3.7 Cabinet consequently agreed to publicly consult on Options 2, 3 and 4 at its meeting on 19th April 2018. The public consultation centred on the Local Authority refocussing its provision on complex care, short-term residential reablement and respite. The Local Authority would consequently no longer provide standard residential care and one Local Authority run residential home would potentially close.
- 3.8 If this proposal was agreed following the public consultation, it was proposed that the Council would initially close the home identified and then gradually start to phase out standard residential care in the remaining services by no longer accepting new admissions for standard residential care. This approach would cause least disruption to current residents and only those in the home earmarked for closure would have to find an alternative home. However, this approach would mean that there would be insufficient capacity for all those currently residing in the home earmarked for closure to be relocated to an in-

house bed. Each individual would be supported to find an alternative home and it should be noted that some individuals may decide that they wish to reside in an independent sector home rather than an internal Council-run one as factors such as location often play a larger part in home care choice than the provider.

4 **Specific impact on internal services and mitigation**

4.1 An evaluation exercise was undertaken to determine the services that would no longer be required as a result of implementation of the preferred options.

4.2 An evaluation workshop consequently took place on 31st January 2018 to evaluate each service against specific criteria.

4.3 The evaluation workshop comprised representation from Adult Services including the Head of Adult Services and Chief Social Services Officer, Finance, Building Services and Corporate Property.

4.4 An evaluation matrix (attached at Appendix 2) was utilised which assessed each residential home against the following specific criteria as follows:

Building Suitability:

- Current Condition Survey
- Building Investment to date
- Estimated investment in building required
- Care Inspectorate Wales/Health and Safety recommendations outstanding
- Fitness for purpose of existing building layout to deliver proposed future model
- Fitness for purpose in terms of accessibility and security to fit future model
- Estimated value of site for redevelopment

Location:

- Availability of alternative residential provision in the vicinity

Current Level of Use:

- Current occupancy levels
- Current level of alignment with the new model

Dependencies:

- Grant funding received to invest in building/services (potential claw back if decommissioned services).

4.5 Each criteria attracted a score of up to 5 with a weighted maximum score of 255, with the higher the score indicating that the home was most fit for purpose to deliver the proposed model. The criteria were driven by the suitability of the building itself to deliver the preferred future model.

4.6 The outcome of the evaluation led to the following overall scores:

Home	Overall Score
Bonymaen House	200
Parkway	132
St Johns	139

Rose Cross House	171
Ty Waunarlwydd	190
The Hollies	162

- 4.7 Parkway therefore attracted the lowest score, and it was therefore proposed, subject to public consultation, that Parkway would be the home to close if the preferred options emerging from the review were agreed.
- 4.8 This would mean that the residents at Parkway would have to relocate elsewhere to facilitate closure, if this outcome was agreed following the public consultation. At the time of the potential closure, there would be a maximum of 17 residents to relocate as there are currently 17 long-term residents in Parkway and a hold on any new admissions.
- 4.9 In order to mitigate the impact on those residents affected, a hold was put on any new admissions to Parkway once the consultation commenced to minimise any potential impact should the proposals be agreed following the consultation.
- 4.10 At the time of writing this report, there were 3 long-term bed vacancies internally and 73 vacancies in the independent sector which would be immediately available so there would be sufficient vacancies to accommodate those affected. A further 42 beds would become shortly available, but were temporarily unavailable due to issues such as redecoration.
- 4.11 It was anticipated that some residents in Parkway would need to relocate to independent sector homes. However, it is important to note that some people may wish to relocate to the independent sector rather than internal homes as many different factors determine care home choice such as location rather than specifically who the provider is. There are 5 independent sector homes located within the Sketty ward, with a further 7 in adjacent wards.
- 4.12 The impact of the overall implementation of the model would also be mitigated through the proposed approach to gradually phase out standard residential care in the remaining in-house homes, so we would not require people in the other homes to relocate.
- 4.13 If the proposals were agreed following the public consultation, there would be no further new admissions for standard residential care in Local Authority provision. This will mean that those individuals who wish to access standard residential care in the future will access independent sector provision only.
- 4.14 From a staff perspective, there were 34 employees potentially at risk who worked at Parkway Residential Home.

5 Consultation process:

- 5.1 Cabinet agreed to consult on the preferred model for residential care at its meeting of 19th April 2018.

- 5.2 A 12-week public consultation consequently took place from 30th April 2018 to 23rd July 2018. It was agreed to carry out the staff consultation concurrently to ensure staff directly affected could also effectively have their say on the proposals.
- 5.3 The consultation specifically sought views on the following:
- The proposal to refocus Local Authority provision to focus on more complex needs, short-term residential reablement and respite.
 - The Local Authority consequently no longer delivering standard residential care.
 - The specific proposed closure of Parkway Residential Home.
- 5.4 The consultation was carried out using a questionnaire. The survey was available online and hard copies were also made available at key council venues.
- 5.5 We actively publicised the consultations and used appropriate media and social media platforms as follows:
- Informed all Swansea Councillors and offered face to face meetings
 - Informed all Council staff
 - Informed all local AMs and MPS and offered face to face meetings
 - Informed the Older Person's Commissioner and offered a face to face meeting
 - Informed all independent residential care providers
 - Informed Swansea CVS and offered a face to face meeting
 - Informed Swansea Carers Centre and offered a face to face meeting
 - Informed Age Concern and offered a face to face meeting
 - Face to face meeting held with the Disability Liaison Group
 - Press releases at key stages of the consultation process as well as promotion on appropriate social media
 - Informed the Carers Partnership Board and offered a face to face meeting
 - Informed the Voice Forum and offered a face to face meeting
 - Ensured copies of the consultation documents and questionnaires were available in all Libraries, the Contact Centre and sheltered housing complexes
 - Informed the 50+ Network
 - Informed the Swansea Dementia Forum and offered a face to face meeting
 - Informed the Ageing Well Steering Group and offered a face to face meeting
 - Informed the GP practices who had patients within Parkway.
- 5.6 The consultation was also publicised to current Local Authority residents, either via individual letters or information packs sent to each venue.
- 5.7 In relation to Parkway itself, the following was undertaken:
- A letter was sent to each resident and their families to explain the proposals, timescales for decision, how the closure would be undertaken if agreed and gave opportunities to have their say. This included how their individual needs would be reviewed and any individual move on plans would be agreed.

- Consultation meetings took place on site with residents and families on 8th May 2018, 21st May 2018, 5th June 2018 and 6th June 2018. Not all residents attended the meetings, as some had limited mental capacity. However, the families of all but one resident attended at least one meeting and the remaining resident not supported by family members attended all 4 meetings. The majority of families chose to attend each meeting, so discussion continued on from the last meeting.
- There were also offers of meetings/face to face opportunities at the care home.
- During the consultation period, we asked a social worker to work with each individual affected to review their needs to establish whether or not they had complex needs. This allowed them to make a more informed response to the consultation as they would understand better how the proposals might affect them. There was a mixed reaction to this offer, and some individuals/families chose to decline them; however the Council felt it was good practice to offer this.
- Through the social work reviews, there was an offer of an advocate for each care home resident if it was felt that they were unable to take part in the consultation, as it was understood that some older people would not be able to express their own wishes or concerns without the help of an independent advocate. It was also understood that where an older person lacks capacity and there is no relative or friend to represent them, an Independent Mental Capacity Advocate must be appointed since it is a legal requirement to appoint one when decisions are being made that could result in them being moved to a different care home.
- The Common Access Point was indicated as the point of contact during the consultation, but residents/families were also able to directly articulate queries to the Cabinet Member and the Head of Adult Services.

5.8 A Section 188 letter was issued to the Trade Unions and they were briefed at the beginning of the consultation and regular liaison meetings were held throughout.

5.9 3 group consultation meetings were held on site with staff and then 1 to 1s held with each member of staff affected.

5.10 All Social Services staff were briefed and given opportunities to have their say on the proposed new models for Residential Care and Day Services.

6 Consultation responses and counter proposals put forward:

Summary of responses

6.1 A total of 50 responses were received to the consultation. This comprised 21 online questionnaires, 21 hardcopy questionnaires, 2 letters, 5 emails and a petition with just over 1,000 signatures included. One online response was received after the consultation deadline, but was accepted on the basis of ensuring that as wide a range of views as possible was considered.

6.2 In terms of the 42 questionnaire responses received, 5 core questions were asked.

- 6.3 Question 1 asked “Do you agree or disagree with our proposed changes to residential care for older people?”. 39 out of the 42 respondents replied. Of those 39, 8 strongly agreed, 7 tended to agree, 4 tended to disagree and 20 strongly disagreed. This question related to the overall proposed model for residential care.
- 6.4 Question 2 asked respondents to expand on their answer. 35 out of the 42 respondents answered this question. The key themes emerging will be explored further below.
- 6.5 Question 3 asked “Are there any other options you feel the Council should have looked at in relation to the Residential Care Service for Older People?”. 34 of the 42 respondents replied to this question. The key counter proposals are outlined below.
- 6.6 Question 4 asked respondents “Considering the above, do you agree or disagree that the criteria used to assess each care home were the right ones?”. 36 out of 42 respondents answered this question. 3 strongly agreed, 14 tended to agree, 6 tended to disagree and 13 strongly disagreed.
- 6.7 Question 5 asked respondents “Considering the above, do you agree or disagree with the proposal to close Parkway Residential Home”. Again 36 out of 42 respondents answered this question. 3 strongly agreed, 8 tended to agree, 7 tended to disagree, 17 strongly disagreed.
- 6.8 Respondents were then asked if they disagreed with either the assessment criteria or proposal to close Parkway, to explain why and provide any alternatives. 25 out of the 42 respondents provided a response to this. An analysis of the key themes emerging will be given below.
- 6.9 In terms of the 2 letters and 5 emails received, these were not structured in terms of responses to the consultation questions. They came from family members of residents affected and elected representatives. They either sought clarification on elements of the proposals or gave a general view of not being in support of the proposals. The key themes have been collated alongside the questionnaire responses and a summary will be provided below.
- 6.10 A petition was received with just over a 1,000 signatures. The title of petition was “Say ‘NO’ to the proposed closure of Parkway Residential Care Home, Sketty”. The petition included names, addresses and signatures, but it was unclear what interest the signatories had in relation to Parkway. The petition was acknowledged in line with the Council’s procedures and is being treated as a consultation response.
- 6.11 The majority of the respondents were consequently against the proposed model to change the in-house residential care service to focus on respite, short term residential reablement and more complex needs, as well as the proposal to close Parkway as well as the criteria that had been used to reach the proposal to close Parkway.

- 6.12 Whilst staff consultation meetings took place, and specific 1 to 1 meetings with each member of the 34 staff affected, no formal response was received either from staff or the Trade Unions. Staff were inevitably concerned surrounding the future certainty of their employment; to mitigate this all staff affected were given immediate access to the Council's redeployment policies at the start of the consultation. At the time of writing the report, 3 staff had already been successful in securing alternative employment and 2 were undergoing a trial period. There were sufficient vacancies across Adult Services to give the Council confidence that all the remaining affected staff were likely to be accommodated in alternative employment if they wished to stay with the Council.
- 6.13 A detailed consultation summary document is set out as Appendix 5 report, which summarises the consultation activity that took place, the responses received and the key themes emerging.

Summary of key themes and responses

- 6.14 Through the consultation responses and meetings that took place at Parkway, a number of key themes and counter proposals emerged. A full summary is attached as Appendix 5 to this report.
- 6.15 The themes, and the Council's response/mitigation to each one is set out below. The themes are summarised as follows:

Theme	Number of comments relating to theme
Support for the proposals.	7
Some respondents were in support of a model that enabled people to remain living independently for longer.	2
Perception that Council homes are better.	5
The definition of complex care needed to be more specific.	1
More staffing would be required for residents with more complex needs and buildings would be adapted to accommodate this.	1
Concern that the proposal to only provide residential care for complex needs was discriminatory against those with non-complex needs.	1
A concern that the scoring criteria used to determine that Parkway was least fit for purpose did not take into consideration maintaining the wellbeing of residents and the evaluation exercise itself had also not involved family members/anyone independent of the Council.	2
Concerns were raised surrounding the impact on wellbeing that moves from Parkway would have on residents.	5
Impact on choice of the proposed model.	6
Availability of beds.	2

Belief that the proposal to close Parkway had not taken account of current and future demand.	3
Concern was raised surrounding the cost of independent care homes.	2
Perception that the proposal to close Parkway was being driven by the potential use of the site linked to the land surrounding the Olchfa School site.	1
A concern was raised by one respondent that the proposals may lead to the privatisation/closure of all Council owned care homes.	1
Concern that the proposals were being driven by budget pressures.	4
Family members of residents at Parkway wanted a guarantee that all residents would continue to have good quality care in the event that Parkway close.	Family members

- 6.16 7 respondents displayed a level of **support for the proposals**, and displayed a view that the changes were necessary to ensure that services were able to meet people's needs and be sustained into the future.
- 6.17 The next key theme suggested support for the proposed model and that 2 respondents commented that they were **in support of a model that enabled people to remain living independently for longer** and generally supportive of the principle of investing in reablement.
- 6.18 This response was very reassuring to see as an enabling approach which allows people to remain at home for longer is entirely in line with the overarching Adult Services Model which recognises that more people wish to remain in their own home. The proposed changes will help to support this by providing reablement and respite to support people to remain in their own homes for as long as possible and to support their family/carers to help them in their caring role. One respondent had raised why Parkway could not be used to deliver reablement and therefore kept open. As explained earlier in the report, the Council has assessed that less Local Authority beds are required to deliver the proposed model and Parkway is least fit for purpose to deliver the overall model. There was one comment that suggested that the Council should deliver nursing care; the Council has been previously restricted from doing this due to registration requirements and going forward it does not have the expertise or resources to provide this type of care.
- 6.19 There was a **perception that Council homes are better** than those provided by the independent sector from 5 respondents. There was therefore a concern that the Council proposed no longer providing standard residential care for non-complex needs.
- 6.20 In response, independent sector homes are required to provide care to the same legal and regulatory standards as Council homes, and are fully regulated by Care Inspectorate Wales. The Council has robust contracts in place with independent sector homes and monitors against these contractual standards to ensure that services are fit for purpose. The Council is

embedding a quality assurance programme at independent care homes which demonstrates that quality is of a sufficiently good quality. Feedback obtained from residents and families at homes in the independent sector confirms a high level of satisfaction with services. From time to time quality problems do arise. Where this occurs the Council is able use its legal and contractual powers to act quickly and make any improvements required. These arrangements should give people confidence that services received via the independent sector are safe and appropriate to meet their needs and also of a similar or on some occasions better quality than Council-run care homes.

- 6.21 One comment received suggested that ***the definition of complex care needed to be more specific.***
- 6.22 Unfortunately there are no national definitions of complex care, so the Council has had to determine its own definition as set out in paragraph 2.15 of this report. It is very difficult to go into greater detail and cover every eventuality as each individual will present differently with a significant difference in individual circumstances and needs. This definition will therefore be used by the social workers who assess the individuals, informed by discussions with the resident and family members where appropriate to determine whether the individual has complex needs. Social Workers are qualified professionals and will need to use their professional judgement to assess whether the individual does or does not have complex needs in line with the criteria specified.
- 6.23 A concern was expressed by one respondent however that ***more staffing would be required for residents with more complex needs and buildings would need to be adapted to accommodate this.***
- 6.24 The Council does not concur with the view that more staffing would be needed. The model of care will of course be designed to ensure that services can meet the needs of people accommodated. In reality, the Council is already delivering services for more complex needs. A good example is the service offered at Ty Waunarlyydd for people with dementia. Council staff are already highly trained and well equipped to deliver services for people with complex needs, and ongoing training is in place to upskill where needed. The Council is confident that it can deliver the proposed model within existing staffing levels, and will do this by ensuring that those staff continue to be trained appropriately. In relation to the physical layout of the remaining Council homes, homes such as Rose Cross and Ty Waunarlyydd are well suited already to deliver complex needs and few adaptations would be needed. £4million has been identified in the Council's capital programme to maintain our homes, so this could be utilised to carry out any adaptations to other buildings if required.
- 6.25 At one of the Parkway meetings, family members expressed ***a concern that the proposal to only provide residential care for complex needs was discriminatory against those with non-complex needs.***
- 6.26 There is no legal requirement for a Council to provide an in-house standard residential care service. The Council has a duty to ensure that those that need

standard residential care receive it, but it is legitimate to offer this provision in the independent sector.

- 6.27 2 respondents expressed **a concern that the scoring criteria used to determine that Parkway was least fit for purpose did not take into consideration maintaining the wellbeing of residents and the evaluation exercise itself had also not involved family members/anyone independent of the Council.** This view was also expressed at the Parkway meetings.
- 6.28 An objective set of evaluation criteria were used to assess the options. Careful consideration was given as to who should make up the evaluation panel and it was determined that involving family members for each home affected would have not allowed the panel to be objective. Consideration was also given to whether anyone independent of the Council should be involved in the evaluation exercise, but it was not clear how doing this would add value to the exercise and it would have been difficult to identify someone who had a good working knowledge of each care home. The preferred option was achieved by applying the same criteria to each home. Issues of maintaining the wellbeing of residents would have been pertinent to each Council run care home, so would not have altered the outcome of the evaluation exercise.
- 6.29 5 respondents raised concerns surrounding the **impact on wellbeing that moves from Parkway would have on residents.** Some of these concerns related to choice and location impacts as well as equalities and human rights impacts. These concerns were also raised in the Parkway meetings.
- 6.30 This is an entirely valid concern, and it is of paramount importance that if the changes go ahead, the wellbeing of all those affected is maintained. The welfare of people who receive care services is always our primary consideration. The proposed changes are necessary to ensure that we can continue to meet needs in the most effective and sustainable way. Arrangements to move service users to alternative homes will be planned carefully and sensitively with each resident and where appropriate their family. This will involve considering any equalities and human rights impacts and where necessary taking steps to ensure that residents' legal rights and entitlements are respected and not infringed. Specific issues relating to choice and location are addressed below.
- 6.31 A theme emerged surrounding the **impact on choice of the proposed model** if the Council proceeded with no longer offering standard residential care to people with non-complex needs; this was raised by 6 respondents. This concern related to a perception that reliance on the independent sector would restrict choice, particularly in terms of location which is key to maintaining relationships with family and friends. There was also a concern raised about choice of respite provision in the independent sector.
- 6.32 In response, there are a large number of homes in the independent sector offering residential care. The number of homes specialising in residential care for purely personal and social care has increased significantly in recent years;

in fact there is greater supply than demand. The Sketty and surrounding area, which is in close proximity to Parkway Residential Home has a particularly high concentration of beds compared to other parts of Swansea. Details of all other homes in Swansea, and those in the vicinity of Parkway have been shared with all those residents and family members who attended the Parkway meetings. In the event that Parkway were to close and residents consequently had to move, the Council would have a legal duty to carefully consider the equalities and human rights impacts that are affected by moving to another care home. This means working with residents and families to ensure that family relationships and similar factors relating to location can be maintained.

- 6.33 There are a number of providers who have informed us of their intention to develop new residential services in Swansea and the care homes market is expected to continue to grow. The proposed changes to the model for residential care are being undertaken to promote greater independence where possible and less reliance on traditional services where beneficial. This will lead to alternative options and increased choice for citizens. We acknowledge the difficulties finding respite services in the independent sector. The proposed changes will improve and increase respite opportunities for carers via Council homes; this is a key driver for the proposed changes.
- 6.34 2 respondents raised some concerns surrounding the **availability of beds** if the proposed model was adopted, with people having experienced difficulty in finding beds in the independent sector previously and a perception that bed blocking occurred in hospitals due to a lack of availability of residential care beds and the proposals would inadvertently transfer costs to the NHS. This concern was also raised by residents and family members at Parkway, who were concerned that there might not be vacancies to move to in the event that Parkway closed.
- 6.35 Independent sector vacancies average at approximately 8%. This equates to approximately 125 beds at any one time so there is more than enough capacity in the independent sector to meet demand. In addition to this, Parkway has had a high proportion of vacant beds for some time. Delayed transfers of care from hospital do occur, but the reason for this in Swansea is rarely due to availability of residential care provision. It tends to be related to delays in choices made by prospective residents and families, delays in agreement of funding and delays in securing care at home. The change to focus local authority provision on short-term reablement and respite is in part driven by helping to reduce delays from hospital. Availability of this type of provision will enable faster hospital discharge followed by a period of care to enable people to return to independent living where possible.
- 6.36 3 respondents commented that they felt that **the proposal to close Parkway had not taken account of current and future demand**.
- 6.37 As outlined earlier in this report, a detailed modelling exercise was undertaken to determine how many beds would be required to deliver the preferred model. This alongside the oversupply of standard residential care in the independent sector led to a conclusion that there was more than enough capacity in the market to cater for current and future demand.

- 6.38 2 respondents raised significant **concern surrounding the cost of independent care homes** and there were comments that third party charges could mean that residents and their families were not able to afford independent care homes. This theme was dominant in both the consultation responses and the face to face meetings that took place with residents and families at Parkway.
- 6.39 Careful consideration has been taken of this concern, and the Council recognises that this is a significant and legitimate issue for any residents and families affected in the event that Parkway were to close.
- 6.40 Private sector homes are mostly commercial enterprises and will charge what the market will bear. Consequently most independent sector care homes charge top up/third party payments. A recent survey confirmed that only 5 homes out of 41 in the independent sector do not charge top ups. As of May 2018, 724 of the 1074 beds registered to provide residential and nursing care in Swansea attracted third party charges.
- 6.41 Whilst currently most care homes charge top ups, most are also prepared to offer a small number of beds at local authority fee rates. This arrangement is fluid and will depend on factors such as vacancy levels and room type.
- 6.42 The high proportion of beds funded by the local authority which attract a third party top up suggests that meaningful choice is restricted. In practice residents transferring from Parkway are likely to be required to pay a third party charge to reside at a home of their preferred choice.
- 6.43 The median average charge is £105 per week. However the highest proportion of charges for people in residential care homes is between £10 and £20 per week, and in nursing homes is £50 and £70 per week. The median point within the most frequently occurring ranges is £40 per week.
- 6.44 Current contract provisions allow Providers to increase charges at the rate of 25% per annum and there are no contractual or statutory limits to the charges that Providers can apply.
- 6.45 The Local Authority has a legal duty to those that it funds to ensure that the person has a genuine choice and must ensure that more than one option is available within its usual commissioning rate (ie no top ups apply). It is highly likely that there may be limited or no choice for residents if they were to move from Parkway to a home that does not apply third party charges. It should be noted that the same duty does not apply to self-funders.
- 6.46 In light of the above, a recommendation is being put forward in this paper for Cabinet to agree to pay up to a maximum of £105 per person per week top up fees for all residents at Parkway (including self-funders), subject to individual circumstances and up-to-date social work assessments, for the duration of their residential care placement in the event that Parkway closes following the final decision being made. This recommendation is being put forward to mitigate the financial impact of closing on those residents and families

affected, and will allow meaningful choice of alternative homes which meet their specific needs and requirements such as preferred location and ability to maintain family relationships for those individuals affected. In proposing this, it is expected that the majority of residents affected would have adequate choice at the lower end of the third party charges applied, but all residents would have several choices of homes that meet their specific individual requirements in the location of their choice.

- 6.47 There was a **perception that the proposal to close Parkway was being driven by the potential use of the site linked to the land surrounding the Olchfa School site**. This was raised by one respondent and also a key theme emerging from the meetings at Parkway.
- 6.48 The future use or otherwise of the site adjoining the Olchfa School has had no bearing on the proposals put forward. At this stage, there are no clear proposals surrounding the future use of the Parkway site if it is released following a potential closure. If a decision is made to close Parkway, the Council will commence to look at options surrounding the disposal of the site.
- 6.49 **A concern was raised by one respondent that the proposals may lead to the privatisation/closure of all Council owned care homes.**
- 6.50 If the proposals are accepted by Cabinet, there is a commitment that there will be no further changes to Council-run care homes within this administration.
- 6.51 4 respondents were concerned that the **proposals were being driven by budget pressures**. This was also a theme highlighted at the Parkway meetings.
- 6.52 This is undoubtedly a factor. As a consequence all Councils have to make significant savings, but in doing so need to ensure that they can deliver sustainable services to meet the needs of an ageing populations with more complex needs.
- 6.53 However, the budget is not the only factor driving forward these proposals. Re-shaping services is necessary to deliver the overall new adult services model agreed in 2016, and doing so is in line with the principles behind the Well Being of Future Generations (Wales) Act specifically the wellbeing goals of a resilient Wales and a healthier Wales by developing sustainable services for the future and services which allow an ageing population to maintain their independence for as long as possible. The proposed closure and remodelling of existing services will help the Council to target resources where there is greatest demand and help people to remain living independently for longer. By changing the Council's model of residential care to focus on short-term reablement support, respite and more complex needs, people will be helped to maintain independence and remain at home for as long as possible whilst those with more complex needs will be better supported. Nobody will be left without the care they need as there is sufficient standard residential care provision in the independent sector to meet local need.

- 6.54 A concern was raised by the **family members of residents at Parkway that they wanted a guarantee that all residents would continue to have good quality care in the event that Parkway closes.**
- 6.55 In the event that Parkway does close, the Council will do everything in its power to ensure that the wellbeing of all those affected is maintained and they all receive good quality care going forward. This will be achieved through careful planning with social work support into any proposed moving on arrangements as well as ongoing good contract monitoring of all independent sector homes.

Counter proposals and responses

- 6.56 The counter proposals and the Council's response to them are set out below and can be summarised as follows:
- Proposal to sell off Parkway as a going concern/consider alternative delivery models to allow the residents to remain in Parkway.
 - Make savings in relation to domiciliary care rather than residential care.
 - The Council should find savings elsewhere and not make savings in relation to residential care.
 - Close St Johns and keep Parkway open instead.
 - Move all Parkway residents into other Council-run care homes and maintain Parkway itself as a reablement and respite facility.
 - Close Parkway over a longer period of time
 - Fill all the vacant beds in Parkway, with a belief that this would make it financially viable.
 - All residents in Parkway should be offered a place in a Council run home, in the event that Parkway was to close.
- 6.57 The first counter proposal put forward was surrounding **selling off Parkway as a going concern/consider alternative delivery models to allow the residents to remain in Parkway.** This proposal was put forward through both the consultation responses and the face to face meetings held at Parkway.
- 6.58 A range of alternative options has been considered during a detailed commissioning review process and consideration has been given to a potential sale of Parkway as a going concern and alternative delivery models. These proposals were considered either not financial viable or one that could definitely achieve the outcome of ensuring that residents could remain at Parkway. They have therefore been discounted.
- 6.59 In the event that Parkway does close however, due consideration will be made surrounding what will happen to the vacant site. One option would be to sell off the site with a view to an independent provider coming forward to deliver a residential care proposal that addressed a market gap such as dementia nursing. The Council has speculatively asked the sector whether there would be any appetite for such an option, and several providers have come forward with a positive response. Such an option could meet accommodation needs for older people and could also help meet an identified market gap.

- 6.60 The next counter proposal linked to a perception that it would be **more appropriate to make savings in relation to domiciliary care than residential care.**
- 6.61 This is a valid proposal, but ambitious savings proposals of £526,000 over the next 3 years are already in place in relation to domiciliary care. Work is ongoing to recommission domiciliary care provision and there is an overall plan to safely reduce the overall number of domiciliary care hours commissioned. It is therefore not possible to achieve further savings in this area, so this counter proposal is not feasible.
- 6.62 Several respondents commented that **the Council should find savings elsewhere and not make savings in relation to residential care.**
- 6.63 Whilst this is a legitimate view, as previously outlined the Council as a whole is experiencing unprecedented budget pressures and is forecasting a significant overspend this financial year. The Council is consequently exploring all opportunities to ensure services are sustainable in the future and can be delivered within the budget available. Significant savings are being achieved year on year but re-shaping of services is essential for the Council to continue to meet its legal duties to provide care for an aging population with increasing needs.
- 6.64 A counter proposal was put forward by the residents and family members at Parkway to **close St Johns and keep Parkway open instead.** The rationale behind this proposal was that St Johns had achieved the next lowest score following the evaluation exercise.
- 6.65 The Council has considered this proposal and does not feel that this is legitimate on the basis that Parkway scored the lowest following the evaluation exercise. There would be equal impact on residents at St Johns if it were to close, perhaps more so as there are a higher number of residents at St Johns.
- 6.66 An alternative proposal was to **move all Parkway residents into other Council-run care homes and maintain Parkway itself as a respite and respite facility.**
- 6.67 This proposal was discounted on the basis that whilst it would clearly be a good outcome for those residents affected, no savings would be achieved.
- 6.68 A suggestion was made to **close Parkway over a longer period of time,** and wait until the current residents had moved on or passed away before closing it. In the meantime, the vacant beds could be used for respite.
- 6.69 In an ideal world, the Council would want to support this proposal, but the reality is that doing this would not achieve the move to new model as well as the savings required as quickly as needed. The average length of stay of a resident in a Swansea Council care home is 2.7 years, but some residents have lived at Parkway for significantly longer than this and there is no way to predict how long residents could stay for. In addition, there is a cap of £80 per week enforced by Welsh Government on the charges that can be applied to

respite beds so the running costs of Parkway would significantly increase. It is also not considered in the best interest of residents to slowly decrease the number of residents; eventually only one to two residents would remain which would not be beneficial to their wellbeing as there would be little social interaction and stimulation for them. This counter proposal is therefore not considered feasible on the basis that the preferred future model and necessary savings would not be realised.

- 6.70 A counter proposal was put forward to **fill all the vacant beds in Parkway, with a belief that this would make it financially viable.**
- 6.71 Due to the high overheads involved in running a Council care home, even filling all the vacant beds would not make the home financially viable. The Council significantly subsidises all its internal homes, and in reality residential care is significantly cheaper to deliver in the independent sector. Filling all the beds in Parkway would therefore not be a feasible option to achieve the savings necessary.
- 6.72 The final proposal put forward was that **all residents in Parkway should be offered a place in a Council run home, in the event that Parkway was to close.**
- 6.73 This proposal would be contrary to the preferred overall model to reshape the Council service to focus on short-term residential reablement, respite and standard residential care for those with complex needs only, as it would involve moving those with non-complex needs into the other Council-run care homes. In addition to this, there are insufficient vacancies in the remaining homes to achieve this, which would lead to a potential significant delay in any proposed closure of Parkway. This in turn would impact on the savings achieved and the move to the preferred future model, and there is a risk that they could be not be achieved quickly enough. This proposal is therefore not supported by the Council as it is contrary to the preferred future model and is not financially viable.

Consultation conclusions

- 6.74 In general whilst there was not majority support for the model or the proposal to close Parkway, the Council has been unable to identify any viable alternatives which would allow us to deliver a model that enabled people to maintain independence, remain at home for longer and meet the needs of vulnerable adults in line with the principles of the Social Services and Wellbeing (Wales) Act whilst at the same time achieving the necessary savings required.
- 6.75 The Council has addressed above each of the concerns put forward in the consultation and provided mitigation where possible.
- 6.76 There were no concerns put forward that could not be mitigated or for which there was no response which alleviated the concerns.

- 6.77 Of paramount importance if the proposals are to go ahead will be to ensure that the wellbeing of current residents at Parkway is maintained and any moves are carefully and thoughtfully planned involving residents, their families where appropriate, and a social worker. If a decision is taken to close Parkway, each resident will have an individual social work assessment to determine their unique needs and determine appropriate move on plans. This assessment will involve family members where appropriate and will ensure that all equality matters have been considered and appropriately mitigated wherever possible. In doing this, the Council will ensure that their human rights are maintained and all equalities issues are given due regard.
- 6.78 It is equally important that all staff affected are supported to wherever possible find alternative employment in line with the Council's HR processes. All 34 staff who were potentially affected were given immediate access to the Council's redeployment processes at the beginning of the consultation period. Some employees have already been successful in securing alternative employment. Some employees have already indicated that they would like to be considered for redundancy in line with the Council's Early Retirement Scheme/Voluntary Redundancy, and have been given provisional figures to allow them to consider this option further. In the event that a decision is taken to close Parkway, the staff involved will be given an extended notice period and be formally put at risk. Alternative employment for those that want it will be sought through the Council's redeployment scheme and those who would rather leave the organisation will be supported through the Council's Early Retirement/Voluntary Redundancy Scheme.

7 Financial implications:

- 7.1 In line with the Council's Medium Term Financial Plan, there are significant savings targets against Adult Services.
- 7.2 The projected saving from closing Parkway Residential Home would be as follows:

	£
Current budget	745,750
10 external placements	(276,342)
Income (based on 2/5 of last year's income based on 25 residents)	86,200
Total Saving	555,608

- 7.3 The above clearly does not equate to meeting the savings targets required of the current budget for Adult Services. However, it should be noted that the Commissioning Reviews are only one element of the savings strategy for Adult Services. The Commissioning Reviews need to be implemented in line with the Adult Services Improvement Plan as a whole and particularly targeted work surrounding demand management to strive towards meeting the overall Adult Services's savings targets. In addition, transforming Residential Care in line with the preferred options will allow for a keener focus on prevention and early intervention and thus decrease the recourse and consequently spend on long-term Residential Care.

- 7.4 The financial implications of paying third party top up fees is estimated to be approximately £245,000, based on paying up to a maximum of £105 per week for all 17 residents (including self-funders) for 2.7 years, based on average life expectancy. It is therefore proposed that the Council makes this budget available. This will clearly have an impact on the savings achieved in the short-term with an additional revenue cost of approximately £90K per financial year over the next 2.7 years.
- 7.5 **The overall savings in the short term will consequently be £465,608 per annum.**
- 7.6 It should also be highlighted that the cost of the routine maintenance required in relation to our residential homes and day services is just over £4million. A contribution towards this is now accounted for in the Capital Programme.

8 Legal implications:

- 8.1 There was a legal requirement to publicly consult and consult with staff affected by the preferred options.
- 8.2 Any future provision of services will need to be considered in accordance with the Social Services and Well-being (Wales) Act.
- 8.3 The Social Services and Well-being (Wales) Act and accompanying Part 4 Code of Practice sets out that where an Authority has carried out an assessment which has revealed that the person has needs for care and support then the local authority must decide if those needs meet the eligibility criteria, and if they do, it must meet those needs.
- 8.4 The proposed model also supports the principles behind the Well Being of Future Generations (Wales) Act, specifically the wellbeing goals of a resilient Wales and a healthier Wales by developing sustainable services for the future and services which allow an ageing population to maintain their independence for as long as possible.
- 8.5 The recommendations put forward in this report will allow the Council to ensure that going forward it can meet all eligible needs.
- 8.6 Any employment issues that arise as a result of agreement of the recommendations will need to be considered in conjunction with HR, and in accordance with any relevant policies and legislative provisions.
- 8.7 In relation to the issue of third party top up fees, a local authority must ensure that the person has a genuine choice of care home accommodation and must ensure that more than one option is available within its usual commissioning rate for a care home of the type a person has been assessed as requiring. However, a person must also be able to choose alternative options, including a more expensive home. Where a home costs a local authority more than it would usually pay, a person must be able to be placed there if certain conditions are met and where a third party (or in certain circumstances the resident) is willing and able to pay the additional cost.

However, an additional cost payment must always be optional and never as a result of a shortfall in the funding a local authority is providing to a care home to meet a person's assessed care needs. Local authorities must follow the Care and Support (Choice of Accommodation) (Wales) Regulations 2015 in connection with this type of arrangement and Annex C to the Social Services and Well-being (Wales) Act Part 4 and 5 Code of Practice (Charging and Financial Assessment) on choice of accommodation and additional cost payments.

9 Equality and Engagement Implications:

- 9.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.
- 9.2 Our Equality Impact Assessment process ensures that we have paid due regard to the above.
- 9.3 Proceeding with the preferred options of the Commissioning Reviews will clearly have an impact on existing home residents. Due to the nature of the client group, there will be a disproportionate impact on older people, people with a range of disabilities and their families/carers.
- 9.4 2 separate EIAs were opened as follows to fully assess the impact of the proposals:
- One for the overarching model for residential care (Appendix 3 to this report).
 - One relating to the potential closure of Parkway Residential Home (Appendix 4 to this report).
- 9.5 These EIAs have been updated throughout the consultation and have informed the final recommendations set out in this report.

Overarching model EIA

- 9.6 The proposals were found to be relevant to older people, people with a disability, people from a range of different races, those that spoke the Welsh language, those experiencing poverty or socially excluded and carers.
- 9.7 The EIA notes that the overall aim of the proposed changes are in line with the Social Services and Wellbeing (Wales) Act, to refocus the Council's in-house residential service on complex care, reablement and respite. The Council would consequently no longer deliver standard residential care and less in-house beds would be required to deliver this aim, so there is a proposal that

Parkway would close as it is least fit for purpose to deliver the preferred future model.

- 9.8 Delivering this model would allow the Council to meet the key principle within the overall Adult Services model of better prevention. It would give carers greater certainty and planning surrounding respite arrangements helping them to keep their loved ones at home for longer by providing them with a much needed break. It would also offer short-term reablement support to allow people to regain skills and independence to return to their own homes in line with their desired outcomes. It would also allow the Council to provide care for those with more complex needs, which is currently a gap identified that the independent sector do not adequately meet.
- 9.9 The impact on the general population is set out in Section 3 of the EIA. The impact of the overarching model on the wider population is largely positive or neutral, but some further investigation is required in relation to gypsies and travellers inclusion and community cohesion. The EIA will remain open until such time as the model is implemented, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these areas which is not already being addressed.
- 9.10 The key themes emerging from the consultation responses have been set out in Section 6 of this report. Alongside this, mitigation has been put forward.
- 9.11 The key potential adverse impacts of the overarching model on people with protected characteristics particularly older people and carers are set out in Section 4 of the EIA and are summarised as follows:
- Inadequate staffing and unsuitable buildings could mean that the Council was unable to meet the needs of people with more complex needs; by way of mitigation the Council will ensure that adequate staffing is in place with suitably skilled and trained staff and that buildings are fit for purpose to meet people's needs.
 - There is a risk that the proposed closure of Parkway could lead to insufficient number of beds in the market to deal with current and future demand for residential care for older people. At any given time, Swansea has an average 8% vacancy rate, which is approximately 125 beds. At the time of writing the report, there were 17 residents at Parkway, with a total of 26 beds. Closing Parkway would lead to a reduction of 9 vacant beds in the market reducing the total number of vacancies to 116. The modelling exercise undertaken outlined in section 3.5 suggests that there are sufficient beds to meet current and future demand.
 - All of the above had a potential adverse impact on carers due to the overall stress and worry of the situation, and being concerned about their loved ones. However, mitigating as set out above would also mitigate the impact on carers by alleviating some of the stress and worry involved.
- 9.12 In addition to the above, it was agreed that the overarching model would be phased in gradually. Therefore, there would be no requirement for those with

non-complex needs not resident at Parkway to move. They would be enabled to remain in their current home, until such time as they moved on for natural reasons. This decision was taken to minimise the impact on the wider population and adverse impacts consequently on older people, people with disabilities and their carers.

Parkway EIA

- 9.13 The proposals were found to be relevant to older people, people with a disability, people from a range of different races, those that spoke the Welsh language, those experiencing poverty or socially excluded and carers.
- 9.14 The EIA notes that the overall aim of the proposed changes are in line with the Social Services and Wellbeing (Wales) Act, to refocus the Council's in-house residential service on complex care, reablement and respite. The Council would consequently no longer deliver standard residential care and less in-house beds would be required to deliver this aim, so there is a proposal that Parkway would close as it is least fit for purpose to deliver the preferred future model.
- 9.15 Delivering this model would allow the Council to meet the key principle within the overall Adult Services model of better prevention. It would give carers greater certainty and planning surrounding respite arrangements helping them to keep their loved ones at home for longer by providing them with a much needed break. It would also offer short-term reablement support to allow people to regain skills and independence to return to their own homes in line with their desired outcomes. It would also allow the Council to provide care for those with more complex needs, which is currently a gap identified that the independent sector do not adequately meet.
- 9.16 The impacts specifically on residents at Parkway is set out in Section 3 of the EIA. The impact of the proposed closure of Parkway clearly has a negative impact on older people, people with disabilities and their families/carers. In relation to the other protected groups, the impact is largely neutral, but further investigation is required in relation to gypsies and travellers, poverty and social inclusion and community cohesion. Again, the EIA will remain open until such time as Parkway is closed, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these areas as all residents are known to us and any adverse impacts can be mitigated.
- 9.17 The key themes emerging from the consultation responses have been set out in Section 6 of this report. Alongside this, mitigation has been put forward.
- 9.18 The key potential adverse impacts of the overarching model and proposal to close Parkway on people with protected characteristics particularly older people and carers are set out in Section 4 of the EIA and are summarised as follows:
- The wellbeing of older people living at Parkway could be affected if it were to close and they had to move to alternative homes; by way of mitigation the Council will ensure that all residents and their families are properly

supported and prepared for any proposed move. This will involve an individual social work assessment to determine their unique needs and determine appropriate move on plans. This assessment will involve family members where appropriate and will ensure that all equality matters have been considered and appropriately mitigated wherever possible.

- There is potential that there could be inadequate choice of alternative care homes for the older people affected if Parkway were to close. At the time of writing the EIA, there were sufficient vacancies within the Council's own homes and the independent sector to accommodate all 17 residents affected. There were a number of homes in the Sketty and surrounding areas with vacancies available and all those affected had been given information on the other homes across the County. From these vacancies, the Council has a duty to ensure that each resident affected has adequate choice at the time of making the decision. The proposal to fund third-party top up fees will enable this choice as well as careful planning and decision making between those residents affected, their families and the social worker supporting them.
- There is a risk that the proposed closure of Parkway could lead to insufficient number of beds in the market to deal with current and future demand for residential care for older people. At any given time, Swansea has an average 8% vacancy rate, which is approximately 125 beds. At the time of writing the report, there were 17 residents at Parkway, with a total of 26 beds. Closing Parkway would lead to a reduction of 9 vacant beds in the market reducing the total number of vacancies to 116. There are therefore sufficient beds to accommodate all residents at Parkway and the modelling exercise undertaken outlined in section 3.5 suggests that there are sufficient beds to meet current and future demand.
- There was a risk that if residents from Parkway had to move, the quality of care for those older people affected could be adversely affected. In the event that Parkway does close, the Council will ensure that each resident is fully supported during any move to ensure that the wellbeing of all those affected is maintained and they all receive good quality care going forward. This will be achieved through a thorough social work assessment with all relevant parties involved, which will clearly outline move on arrangements and ensure there is appropriate support in place before, during and after any move. As currently, there will also be ongoing good contract monitoring of all independent sector homes to ensure any quality issues are identified at the earliest opportunity.
- All of the above had a potential adverse impact on carers due to the overall stress and worry of the situation, and being concerned about their loved ones. However, mitigating as set out above would also mitigate the impact on carers by alleviating some of the stress and worry involved.
- There is clearly also a potential negative impact on those staff affected, but this can be mitigated through the Council's redeployment policies, and the Council is confident that there are sufficient alternative vacancies elsewhere in Adult Services to accommodate them. There were 34 staff

potentially at risk. At the time of writing the report, 3 of these staff had already secured other employment, whilst 2 were undertaking a trial period in alternative positions. No equalities issues had been raised through the 1 to 1 meetings with each member of staff that needed to be addressed.

- 9.19 Overall, there clearly is a risk of a negative impact on residents at Parkway due to the need to move if it were to close, particularly when some residents have lived there a long time and are elderly and frail. However, the above outlines how wherever possible the Council will seek to mitigate those risks and although there is no way of knowing at this point in some cases a move could be positive as they may find they are happier in any new environment with the ability to develop new relationships which could have a positive impact on their wellbeing. As outlined previously, any move will need to be carefully planned following a thorough social work assessment and each individual supported during and following any actual move.
- 9.20 In addition to the above, the Council put a hold on new admissions to Parkway at the beginning of the consultation to minimise the impact on residents affected. This hold would continue should the proposals go ahead.

EIA conclusions/amendment to proposals

- 9.21 As stated in Section 5 of this report, a 12-week public consultation took place from 30th April 2018 to 23rd July 2018. The staff consultation was undertaken concurrently to ensure staff directly affected could also effectively have their say on the proposals.
- 9.22 As a result of the comments received, the proposal has been amended to take into account the views received by putting forward a further proposal to fund third-party top up fees.
- 9.23 If the proposals are agreed, the Council will ensure that all residents, carers and staff affected, particularly in relation to the proposed closure of Parkway are properly supported to move on to alternative accommodation of their choosing and find alternative employment wherever possible.

10 Summary and Conclusions:

- 10.1 It has been possible to respond to all concerns raised during the consultation and put forward appropriate mitigation.
- 10.2 The Council has considered all possible alternative options and actively invited alternative options through the consultation, but has not been able to identify any financially sustainable alternatives that allow it to ensure certainty of care for reablement, respite and more complex needs whilst overall enabling independence, helping people to remain at home for as long as possible and ensuring the needs to all vulnerable adults are met.
- 10.3 There is clearly a risk if the proposed model is approved, that there could be a negative impact on those individuals currently resident at Parkway due to the need to move. However, this risk can be mitigated as much as possible by

ensuring robust social work assessment identifies those move on plans and all those affected are supported before, during and after any move. In addition, although there is no way of knowing at this stage, there could be a positive impact on the wellbeing of current residents at Parkway as they may be happier elsewhere and build positive relationships as part of any move.

- 10.4 On balance therefore remodelling as per the proposals in this report will allow the Council to effectively meet the requirements of both the Social Services and Wellbeing (Wales) Act and Well Being of Future Generations (Wales) Act by providing a model of care that is sustainable for the future, and effectively meets the needs of an ageing population with more complex needs. The Council is therefore confident that the recommendations put forward in this report are appropriate despite there not being majority support for the proposals.
- 10.5 Having due regard to the Equality Impact Assessments, Cabinet is therefore being asked to consider the following recommendations:
- Recommendation 1: Refocus Council in-house residential care service to focus on complex needs, residential reablement and respite only.
 - Recommendation 2: Going forward, commission all standard residential care for non-complex needs and nursing care from the independent sector.
 - Recommendation 3: As a consequence of the above, close Parkway Residential Home ensuring that all affected residents are fully supported.
 - Recommendation 4: Agree to pay up to a maximum of £105 per person per week top up fees for all residents at Parkway (including self-funders), subject to individual circumstances and social work assessments,, for the duration of their residential care placement in the event that Parkway closes following the final decision taken.

11 Proposed implementation timetable:

- 11.1 Should Cabinet decide to proceed, the proposed outline timetable for implementation would be as follows:
- October 2018; Redeployment and voluntary redundancy process to commence with staff.
 - October 2018; Commence social work assessments of all affected residents to determine move on plans
 - Early 2019; Closure of Parkway Residential Home.

Background Papers: Outcome of Residential Care and Day Services for Older People Commissioning Reviews, Cabinet, 19th April 2018.

Appendices:

- Appendix 1: Residential Care for Older People Gateway 2 Report
- Appendix 2: Evaluation Matrix
- Appendix 3: Equality Impact Assessment for overarching model
- Appendix 4: Equality Impact Assessment for proposed closure of Parkway Residential Home
- Appendix 5: Consultation summary document



Appendix 1: Commissioning Gateway Review Report Stage 4

Draft v2.1

Residential Care for Older People

Contains:-

Review Overview and Details
Stages review summary
Gateway Approval

Gateway Review Approval

Budget and Performance Review Group 12th July 2016

1. PURPOSE OF REPORT

This report has been produced following the approval by BPRG at Gateway 2 to proceed onto stages 3 & 4 of the commissioning review process. Its purpose is to inform the Budget and Performance Review Group with proposals, and to seek support on the approach taken for the most viable service option, to ensure the continuous delivery of a sustainable provision for our customers and the residents of Swansea.

This report is to request approval to go out to public consultation on the preferred options prior to a final decision by Cabinet and proceeding to Stage 5 within the Commissioning Process by providing evidence the Service Review has completed all relevant tasks.

This Gateway Report will provide an overall status of the Review at Gateway 4. A RAG system will be used to highlight the overall recommendations made by the Gateway Review. Definitions below:-

RAG	Gateway Decision	Definition
Red	Stop	The Gateway identified significant issues that require immediate action before the Review can proceed onto the next stage.
Amber	Conditional Approval	The Gateway identified issues that must be actioned before next Gateway Review.
Green	Approved	Review to proceed onto the next Stage of the process, but to address any recommendations from the Gateway Review.
Recommendations (if applicable)		Overall RAG
		Red <input type="checkbox"/> Amber <input type="checkbox"/> Green <input type="checkbox"/>
Sign off		
Chief Executive :		
Lead Director/Sponsor:		
Review Cabinet Member:		
Date:		

REVIEW OVERVIEW

Commissioning Strand Lead:	Alex Williams
Service Review Lead:	Alex Williams
Service Review Title:	Residential Care for Older People

2. BACKGROUND

2.1 Corporate Policy Context

The One Swansea Plan, People, Places, Challenges and Change¹, defines the following high level population outcomes:

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

Within the high level outcome “People are healthy, safe and independent”, there is a primary driver:

“Older people age well and are supported to remain independent”.

Secondary Drivers for this are:

- Support Age Friendly Communities
- Develop Dementia Supportive Communities
- Prevent falls by older people
- Maximise older people’s opportunities for learning and employment
- Reduce loneliness and isolation among older people

The City and County of Swansea’s Corporate Plan; “Delivering for Swansea 2016-17”² identifies the following priorities:

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

This Commissioning Review is also being undertaken in the context of the Council’s commitment to support *“individuals, families and communities to make use of their own collective resources and reduce the need for higher level support and intervention”*³. This commitment is detailed in what is currently a Draft Prevention Strategy which identified the following five key strategic aims:

- *“To make prevention everyone’s business*
- *To prevent or delay the need for costly or intensive services*
- *To enable people to remain independent for as long as possible and to reduce dependency*
- *To promote voice, choice and control for individuals and families*
- *To increase resilience and build capacity within communities for self help”.*

¹ file:///C:/Users/User/Downloads/The_One_Swansea_Plan_2015_final_version_august.pdf

² <http://www.swansea.gov.uk/corporateimprovementplan>

³ Swansea’s Prevention Strategy – Draft V 14; June 2016

2.2 National Policy Context

National policy over the last 5 years has focussed on service improvement, co-ordination between national and local government and greater integration of social care, health services and other agencies in Wales, notably the Third Sector. There is increasing emphasis on individuals and communities being at the centre of decision-making about their care and on providing care and support at home where possible.

The Social Services and Wellbeing (Wales) Act (2014) is due for implementation from 6 April 2016. It reforms and integrates social services law and emphasises improving wellbeing outcomes for people who need care and support, including carers. It introduces common assessment and eligibility arrangements, strengthens collaboration and the integration of services, and provides for an increased focus on prevention and early help. The Act signals a fundamental change in the way services are commissioned and provided, with the emphasis on supporting individuals, families and communities to promote their health and wellbeing.

Local authorities and their partners need to make sure that people can easily get good quality advice and information which can help them make best use of resources that exist in their communities. They need to work with people to develop solutions to immediate problems and reduce the need for complex assessment and formal provision of care. Where people have complex needs which require specialist and/or longer term support, they will work with them and their families to ensure that high quality and cost effective services are available at the right time and in the right place.

At the same time, across Wales, public sector funding is under increasing pressure and as a consequence in Swansea our target for reducing expenditure on adult social care services is 20% during the period 2015/16 – 2017/18. So, at the same time, we need to save money and improve the effectiveness of our work – both at a time when the proportion of older people is projected to continue increasing, potentially placing additional demands on our services.

2.3 A New Vision for Adult Social Care

In the context of these challenges, a new model for Adult Social Care has been developed. This model is based on 5 key principles:

- **Better prevention** – by supporting care and wellbeing locally and offering good quality information and advice, we can help build more supportive local communities within which people are safer, less isolated and more resilient to problems when they arise.
- **Better early help** – by helping people quickly and effectively to maintain or regain their independence when they do have problems through services such as re-ablement, 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.
- **Improved cost effectiveness** – by commissioning and procuring services more effectively, and finding more cost-effective ways of delivering care 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** – by better integrating our services, our assessments and our resources with our partner agencies we can ensure that they are efficient, avoid waste and are more effective in meeting all of a person's needs.

- **Keeping people safe** – by undertaking a positive risk taking approach, responding proportionally to their needs and ensuring people are treated with respect, dignity and fairness.

All adult social care services and especially those that are the subject of a Commissioning Review will need to be guided by, and make a positive contribution to these principles.

Delivering on the 5 key elements above will require major changes in the way we work in Swansea. Our vision for health, care and wellbeing in the future is that:

“People in Swansea will have access to modern health and social care services which allow 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”.

2.4 The Service Model for Adult Social Care

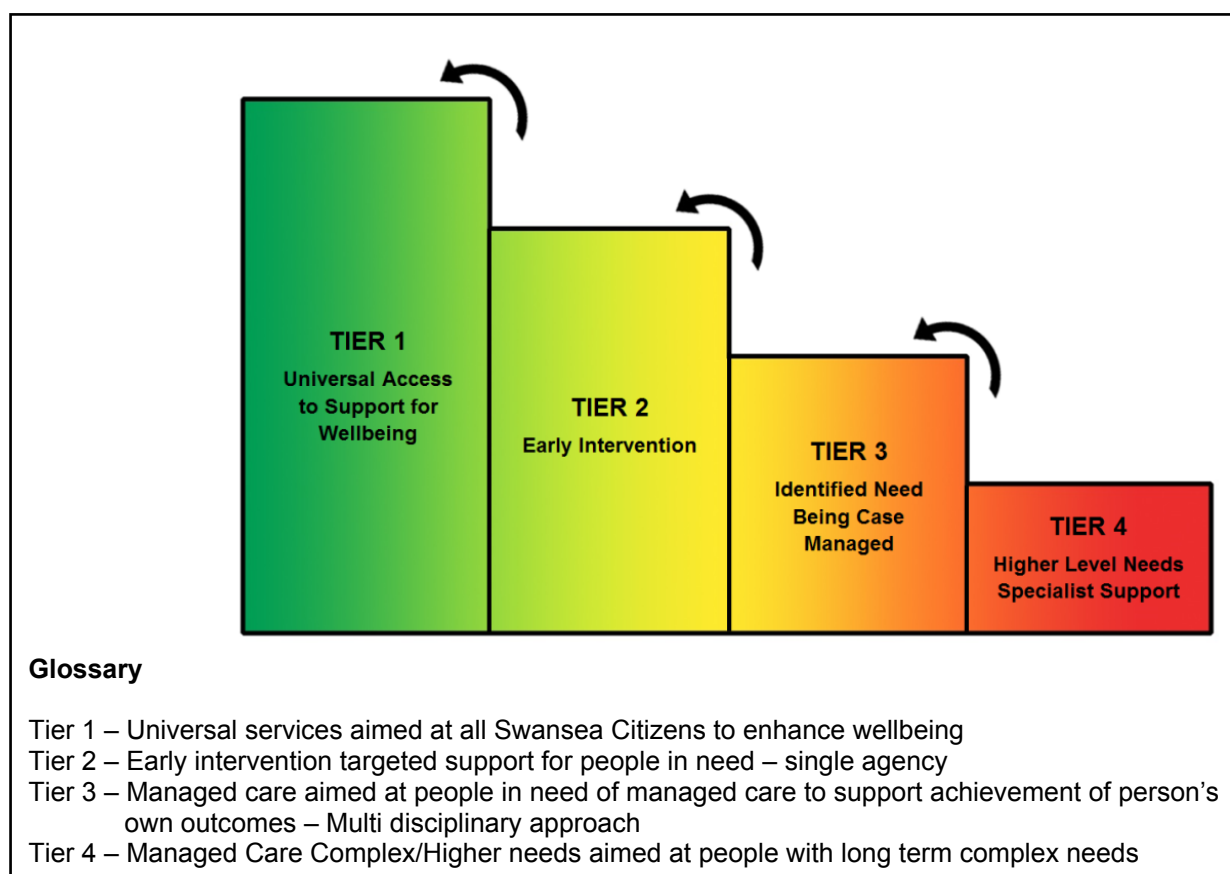
We have developed a service model which summarises the approach which will enable us, working with our partner agencies, to deliver our vision and the 4 key elements described above. The service model is designed to ensure we deliver improving outcomes for adults in Swansea as laid out in the Department of Health Adult Social Care Outcomes Framework 2015/16⁴:

- Ensuring quality of life for people with care and support needs.
- Delaying and reducing the need for care and support.
- Ensuring that people have a positive experience of care and support.
- Safeguarding adults whose circumstances make them vulnerable and protecting them from avoidable harm.

The service model comprises 4 levels of health, wellbeing and social care support for our population. We think it will help us to deliver “better support at lower cost”.

⁴ https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/375431/ASCOF_15-16.pdf

The service model can be illustrated diagrammatically below:



In this model a person's needs should always be met at the lowest appropriate level, and it is recognised that it should be the job of services at each level to work effectively with people to address their holistic needs and reduce their future problems and need for support.

We also believe that by ensuring that services at Tier 2 are more effective in the way that they work with people we can reduce dependency and demand for statutory/complex care over time, and thus shift our joint resources from complex and statutory services to universal and early intervention.

2.5 Key Priorities for Swansea Adult Social Care Services

This service model places a challenge before Swansea's Adult Social Care Services to embrace a culture which places individuals, families and communities at the centre of the services that are commissioned and provided. Consequently, it is necessary to undertake a fundamental transformation in our approach to service provision. In particular, we plan to focus on three key areas immediately:

- Targeted Early Help
- A different Approach to Assessment
- Developing Strong Practice

We will deliver the following changes in each of these areas through a concerted focus on strategic planning with our partners, commissioning and procurement of services, workforce development and training, and intensive and supportive performance management of internal and external services. This transformational approach will provide the strategic context in which the commissioning review for residential care services will be placed.

2.5.1 Targeted Early Help

We need to build on the success of many recent initiatives in Swansea to reshape our social care system to focus on those approaches, interventions and services which have been shown to make the greatest difference in promoting independence and reducing demand. Evidence from the Local Government Association Adult Social Care Efficiency Programme⁵ shows that targeted interventions that pre-empt or respond rapidly to episodes of acute need are most effective and can make a real impact in reducing demand for longer term services. In particular:

- **Targeted Preventative Interventions** – A number of individuals make first contact with formal services in response to a single episode in their life. The provision of the right short-term help at the right time can reduce or eliminate the need for longer term care. This can include the provision of information, practical support, referral to community organisations and bereavement counselling. These interventions can also be pre-emptive, and focus on avoidable risks to independence. For example, falls prevention, vaccination, “stay warm” programmes.
- **Integrated Care Pathways** – A number of the approaches described above depend upon structured and effective joint working especially between health and social care professionals. The design and development of integrated care pathways support early identification of risk, targeted interventions, rehabilitation and re-ablement.
- **Stronger Rapid Response** – A swift and well-co-ordinated response to an individual’s needs at the time of crisis has been shown to be effective at significantly reducing their need for longer term more complex services. These services can include the availability of a responsive 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 carers’ respite services.
- **Improved Intermediate Care** – To support effective planning and discharge from hospital, a variety of services “between hospital and home” will support an individual to return to as much independence as possible. These services include good nursing; therapy (from a range of different therapists); re-ablement-based domiciliary or residential intermediate care; continence services; and dementia care support services.
- **Better Hospital Transfer Co-Ordination** - A proactive and multi-disciplinary approach to hospital discharge arrangements and out-of-hospital care can make a significant difference to the ongoing need for formal care and support services that an individual requires.

2.5.2 A different approach to assessment

Current systems tend to intervene when individuals are at a point of crisis. Consequently, assessments tend to be undertaken when people’s needs are at their greatest. Levels of longer term service are established without recognition of an individual’s capacity to recover. The longer term provision of higher-than-necessary levels of care and support has been shown to “disable” individuals and promote reliance on those levels of care. We plan to use the opportunities afforded by the implementation of a new approach to assessment, required by the Social Services and

⁵ Local Government Association’s Adult Social Care Efficiency Programme Reports 2014

Wellbeing (Wales) Act 2014, to instil a “strengths and assets-based” approach to assessment focussed on individuals’ capacity to achieve greater independence and also emphasise the potential contribution from informal assets such as family, friends and others in the community. This will be developed with a clear eye on the importance of taking a measured approach to risk, the management of risk, and the importance of safeguarding vulnerable adults.

A number of Councils have also made savings and reduced demand on longer term services by undertaking careful reviews of the care and support received by individuals (possibly targeted) to identify where their needs and/or circumstances have changed in such a way as to reduce their needs. Managing demand away from higher cost, long term Tier 4 services will be an important component of our approach to finding required budget savings over the next three years.

2.5.3 Developing Strong Practice

As already described, the Social Services and Wellbeing (Wales) Act places a challenge on local authorities to embrace a culture which places individuals, families and communities at the very centre of the services we support, commission and provide. CC Swansea has translated this fundamental shift in culture into a detailed service model. However, neither “embracing a model” nor “agreeing a service model” will transform the experience of our citizens. Absolutely fundamental to the real delivery of our vision and our model of service, will be the practice and behaviour of our staff. Moreover, it will depend on a clear understanding and commitment to our approach from other professionals and community stakeholders so that we are working together to a common approach.

In particular, we plan to:

- Develop a clear practice framework which will guide and inform the day to day work of our staff and their key partner professionals.
- Enable our managers to support and challenge their teams to embrace the required culture shift and embed new ways of working.
- Make every contact count; ensuring that staff and colleagues from other bodies work well together and ensure that individuals and families are supported seamlessly to build on their strengths and assets in developing innovative responses to their individual needs.

By focussing our attention on these three areas for change, we believe we can make the biggest difference. But we recognise that the scale of transformation is ambitious and our task in achieving it is complex. We recognise that we won’t be able to put this model in place immediately, but rather build towards it carefully and with the full involvement of our partners, stakeholders and of course, communities and individuals.

3. THE RESIDENTIAL CARE SERVICE

3.1 Scope of the Commissioning Review

The **scope** of this Commissioning Review is defined in the Stage 2 Gateway Review Report as follows:

“The review will encompass all older persons care homes which are providing services on behalf of the City and County of Swansea. This includes 6 care homes owned and operated by the local authority which are registered to provide personal care, and 39 private sector homes, 10 of which are registered to provide personal care and 29 of which are dual registered to provide both personal and nursing care. 5 of these dual registered homes are registered to provide dementia nursing care.”

3.2 Definition of Residential Care Services

The definition of a care home is provided in the Stage 2 Gateway Report as *“simply...the provision of residential accommodation, together with nursing or personal care”*.

HousingCare.org define a care home as: *“.....a residential setting where a number of older people live, usually in single rooms, and have access to on-site care services. A home registered simply as a care home will provide personal care only - help with washing, dressing and giving medication. Some care homes are registered to meet a specific care need, for example dementia or terminal illness.*

3.3 Strategic Role

Care homes occupy an important position in the spectrum of services commissioned and provided for older people by Swansea Adult Social Care. Our model of care emphasises prevention, early intervention, reablement, the promotion of independence and service user choice. It focusses on the need to intervene effectively to avert the need for higher cost long term maintenance services. In this context, the role of the care home sector could be regarded as “outdated” or at least less central to our future strategic direction.

This is not the case. Care homes offer an important choice to our citizens who no longer feel confident to stay living in their own homes. They can provide a homely environment which is safe and secure and which averts the loneliness and social isolation that can often come about when frail older people continue to live at home with their care and support needs being met by a domiciliary care service.

So care homes will continue to play an important part in Swansea’s vision for adult social care. However, as with all the other services we commission, the future direction for the service must reflect key themes in our vision such as quality, choice and independence.

The CC Swansea Commissioning Review for Day Services recognises the potential future role of day centres as “community wellbeing hubs” where visitors can access a wider range of activities, community facilities and preventative health and wellbeing services. It should be noted that care homes also have some potential to occupy such a role in their local communities. This potential is explored further in Section 5.2

Whilst outside the agreed scope of this Commissioning Review, the future role of Extra Care Housing (ECH) Services must also be recognised.

HousingCare.org define Extra Care Housing as “.....housing designed with the needs of frailer older people in mind and with varying levels of care and support available on site. People who live in Extra Care Housing have their own self-contained homes, their own front doors and a legal right to occupy the property. Extra Care Housing is also known as very sheltered housing, assisted living, or simply as 'housing with care'. It comes in many built forms, including blocks of flats, bungalow estates and retirement villages. It is a popular choice among older people because it can sometimes provide an alternative to a care home.”⁶

The potential future role of Extra Care Housing is explored further in Section 5.2.

3.4 Western Bay Care Home Commissioning Strategy

It should be noted that this Commissioning Review is being undertaken in parallel with the development of the Western Bay Care Home Commissioning Strategy. This identifies for the regional partnership (of which CC Swansea is a member) the following key strategic intentions:

- Develop strong relationships with existing care home providers to support them to meet the changing needs of our population with high quality services
- Work strategically with new care home providers to develop a sustainable range of care home facilities across the region
- Where care home services are not in line with our strategic approach and/or are not of adequate quality, we will seek to decommission these.

The document (currently draft) also identifies the following more specific intentions:

- Work with partners to develop a range of accommodation, rehabilitation and support options for vulnerable and older people who need help to achieve or promote choice, wellbeing and quality of life.
- Support private care home managers and owners to meet regulations stipulated by the Older People’s Commissioner, Social Services and Wellbeing (Wales) Act, NICE guidelines. including Medicines Management guidance and the Regulations and Inspection (Wales) Bill.
- Work in collaboration with a range of stakeholders including regulatory bodies.
- Improve the quality of provision via the Regional Quality Framework and in turn deliver person centred outcomes for everyone in residential care.
- Build relationships and trust with providers to enhance understanding of the operation of the market and how to help providers respond to ongoing changes in demand.
- Develop options for commissioning and contracting to improve sustainability of care homes whilst continuing to improve value for money and taking a strategic approach.
- Draw up new terms and conditions and service specifications in contracts to ensure they are fit for purpose and will meet the needs of the personalisation agenda.
- Work closely with providers to improve sustainability of the workforce. In particular to include an analysis of skills and training requirements and gaps, issues of recruitment challenges and gaps and opportunities for role and career development.

⁶ <http://www.housingcare.org/jargon-extra-care-housing.aspx>

- Continue to build strong collaboration between the Health Board and Local Authority partners to include formal partnership arrangements such as pooled budgets.
- Continue to review, at a minimum of every three years, population ageing and demography to anticipate required changes to the market in line with the Social Services & Wellbeing Act's Population Needs Assessment.
- Encourage new innovative providers into the region to meet demand and support care home providers in the innovations they want to take forward.

3.5 Outcomes

A initial scoping workshop was held on 11th September 2015 at Stage 1 of this Commissioning Review to share information about the review process and to ask participants to share their views about how services to citizens, and commissioning arrangements, could be improved. Participants identified the following top four outcomes for service users:

- Service users should have a choice of accommodation options and not have to make do with residential care as a default option.
- Service users should receive services that are person centred and not task orientated.
- Services must ensure the safety of service users and enable them to feel safe.
- Services must promote social inclusion and companionship for service users.

3.6 Vision

The Gateway 2 Report identifies the following vision for residential care services in the City and County of Swansea:

- Services are person centred.
- Care homes are fit for purpose, offer good quality and keep people safe.
- Care homes offer reablement and promote independence.
- Care homes create a sense of community where residents are helped to access the community and organise and participate in activities.
- Priority is given to quality of care rather than quality of physical environment.
- Ensure the care home sector can meet current and future demands.
- Alternative models are available where these are affordable and offer more appropriate solutions.
- Alternatives to care homes are advertised and promoted so that citizens are fully informed of all options available before choosing residential care.
- Ensure services are situated in the right locations to match demand.
- Maximise the potential for efficient and effective services within available resources.
- Realise opportunities to make financial savings and deliver changes which are necessary to achieve commissioning objectives *and* Sustainable Swansea objectives.

4. SERVICE PERFORMANCE

4.1 Analysis

The Stage 2 report states that there are 6 residential care homes for older people owned and operated by the Local Authority and the council commissions services from 39 private sector care homes for older people in Swansea. The private sector market in Swansea is varied in terms of size of care home and type of ownership. The financial collapse of Southern Cross in 2012/13 highlighted the potential for larger corporate providers to operate higher risk business models that potentially undermine the stability of the market. However the position locally is that the largest proportion of care homes are owned by small businesses that operate exclusively in Swansea.

Currently there are:

- 12 small providers each owning one home and accounting for 387 bed spaces or 25% of total private sector capacity.
- 7 providers each owning two homes which in total add up to 488 bed spaces or 32% of total private sector capacity.
- 4 providers operating a group of homes in two or more other locations, and accounting for 282 beds or 18% of private sector capacity.
- 3 national corporate providers (Barchester, HC-One and Craegmoor) which together account for 266 bed places or 17% of capacity.
- 1 provider with 4 homes in Swansea which add up to 102 bed spaces or 6.5% of private sector capacity.
- 1 Provider is part of a large third sector organisation. This accounts for 23 beds or approximately 1.5% of total private sector capacity.

This varied provider base offers resilience against any single provider going out of business. However a relatively high proportion of beds are concentrated within a small number of larger independent sector homes.

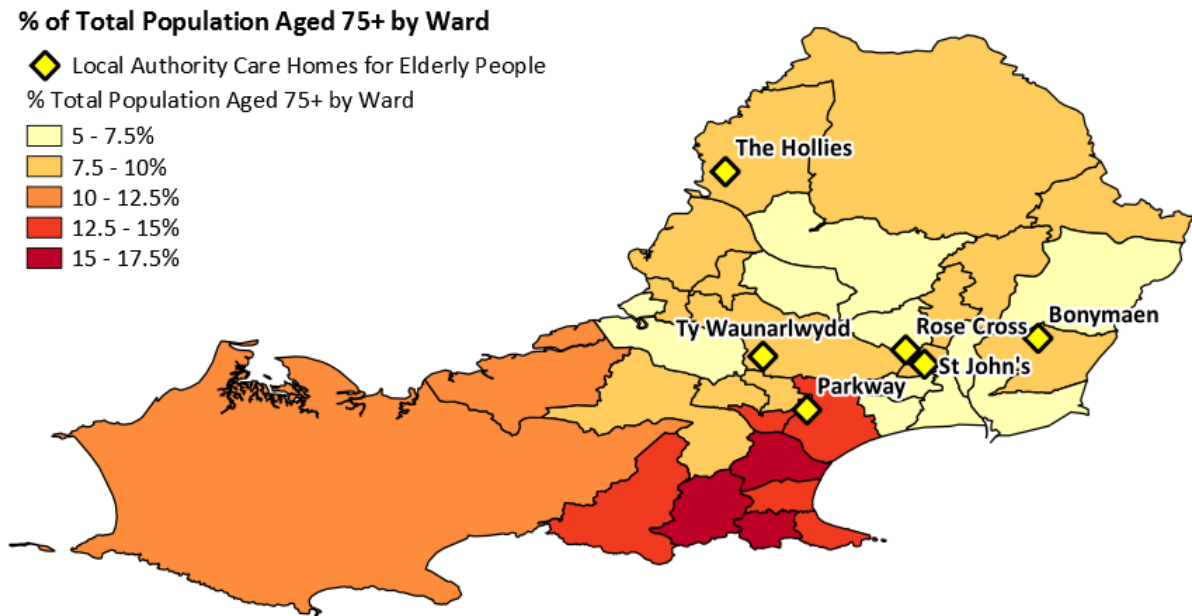
The average capacity within a care home is shown below (table 1).

Table 1 – Average Care Home Capacity

	Independent Res Care Home	Local Authority ResCare Home
Average capacity within a care home	41	33
Smallest capacity within a care home	5	24
Largest capacity within a care home	106	47

The 6 local authority residential care homes are located to the east of Swansea with central/west having no or limited access to local authority homes (figure 1).

Figure 1 – Percentage of Total Population Aged 75 + by Ward with CC Swansea Care Homes



The stage 2 review report indicates the following type of provision within the private sector overall offering a total of 1543 beds:

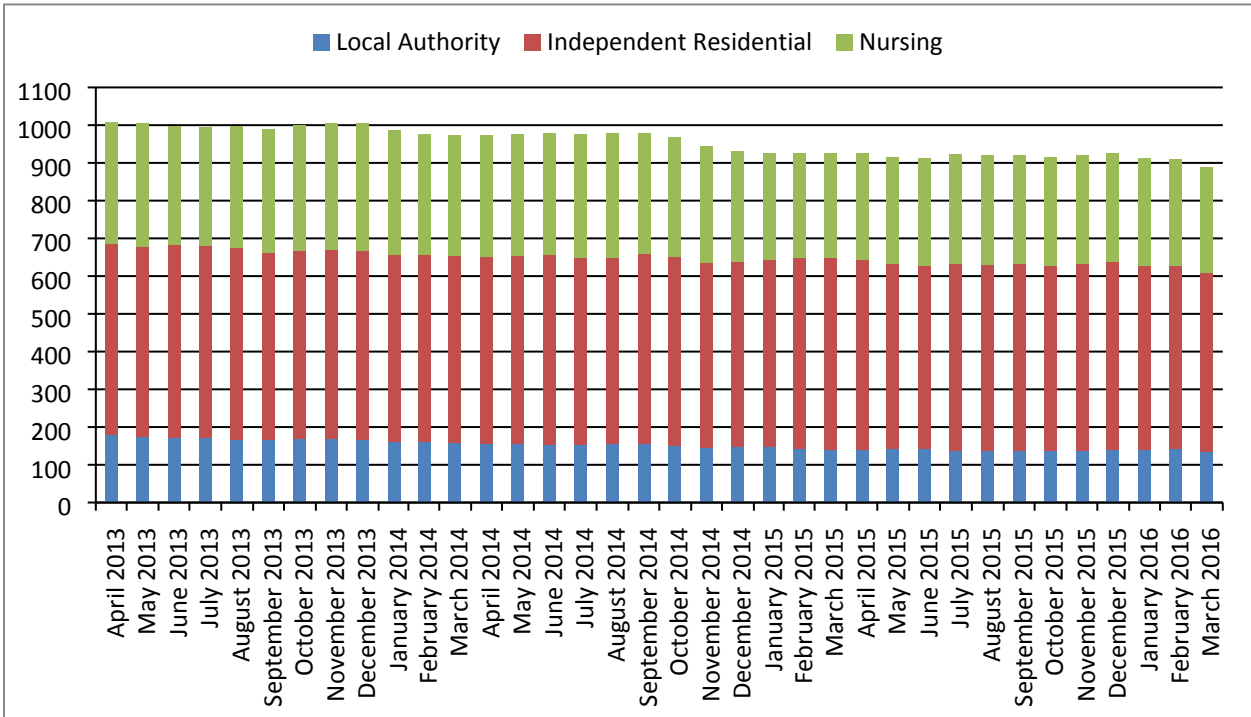
- 272 beds are dedicated for residential personal care
- 142 beds dedicated for dementia residential care
- 143 beds for dementia nursing care
- 986 beds are dual registered for either personal or nursing care to older people

The stage 2 review report indicates that within the local authority provision there is one care home (Ty Waunarlwydd) with 48 beds that specialises in dementia. 3 Local Authority homes currently provide beds which are dedicated for people who require respite and short term care. Ty Waunarlwydd and The Hollies both have 8 beds each, dedicated to respite for older people with dementia care needs. Rose Cross has 10 beds dedicated for respite older people with general personal care needs. There are currently no beds dedicated to respite services within the private sector. All private sector care homes will offer respite care subject to vacancy levels.

The stage 2 review report indicates that occupancy levels are generally high with an average of 92.4% occupancy in the private sector. Historically there have been lower occupancy levels within the internal service with St Johns, the Hollies and Parkway having occupancy levels of less than 85%. An occupancy level of 90% or above is considered a sustainable level. The occupancy levels would suggest that there is capacity to meet current demand. However, anecdotally demand for services capable of meeting complex needs is high, whilst available beds are relatively low.

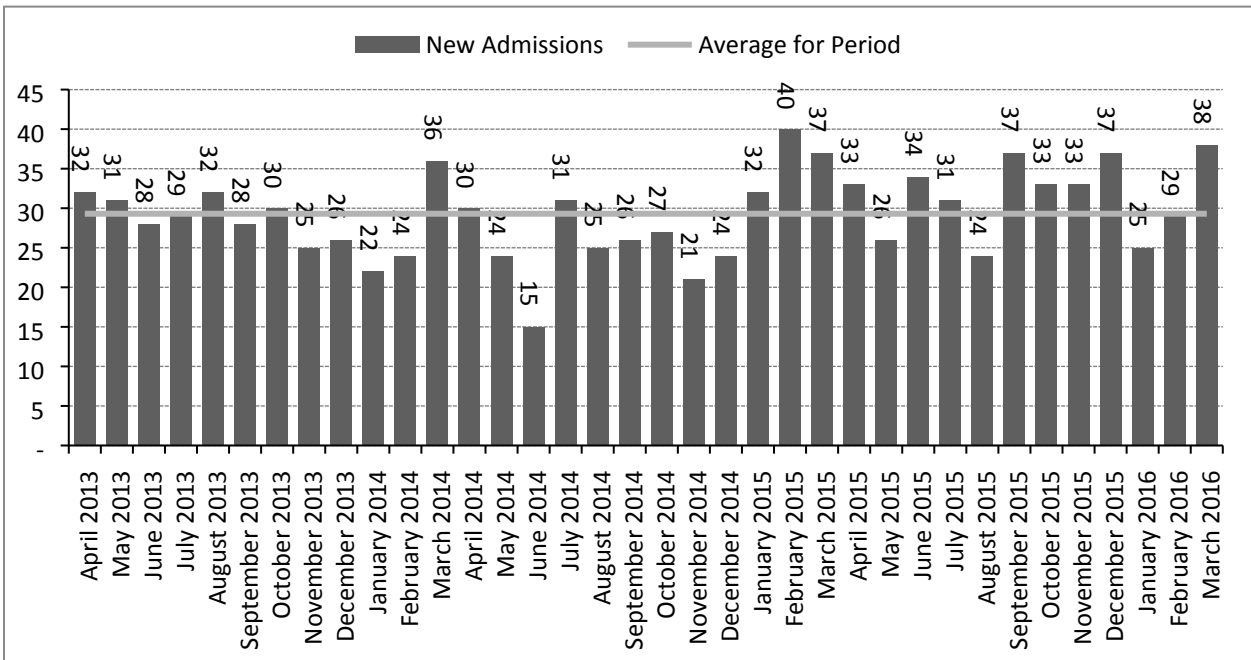
The overall number of people in local authority funded residential/nursing placements has fallen slightly over the past few years although this has recently stabilised.

Figure 2 - People in residential/nursing placements at month end



New admissions by month show wide variation from 15 to 40 where highest numbers do not necessarily reflect winter pressures (figure 3).

Figure 3 - New Admissions to Residential / Nursing Care (People Aged 65+)



The demand for residential and nursing care is greatest from older people 75 years and over, which is different than the profile of residents in local authority care homes (figures 4, 5 & 6).

Figure 4 Residential Care - Admissions by Age Group 2013-16

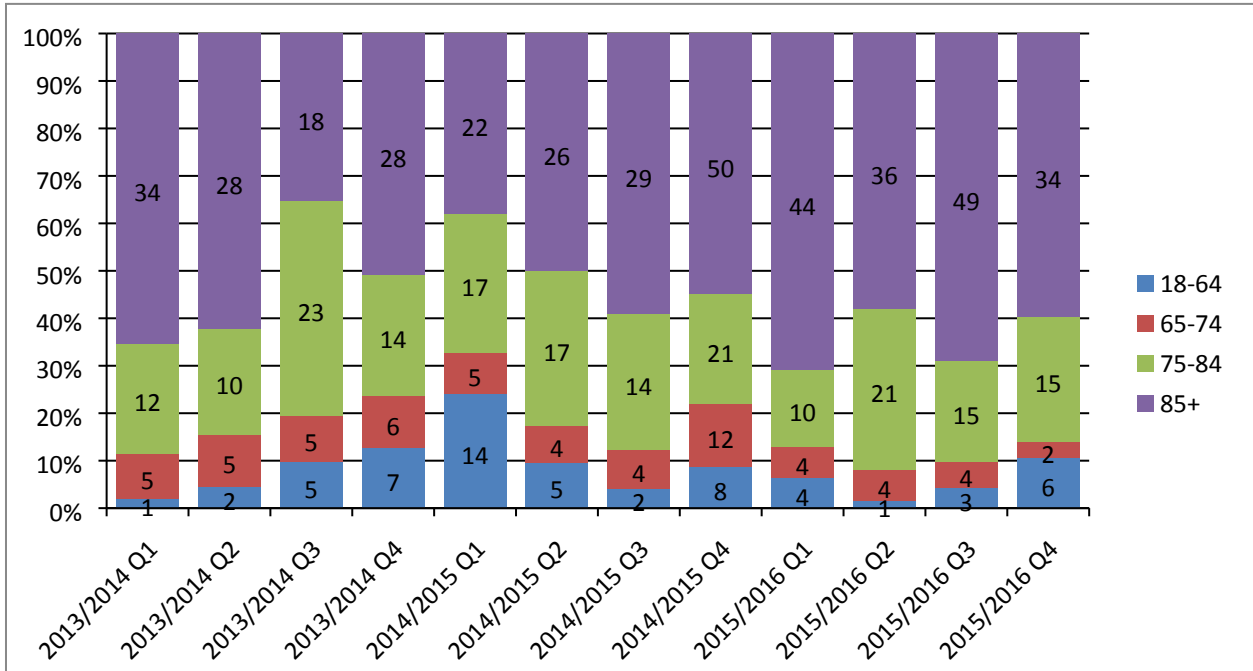
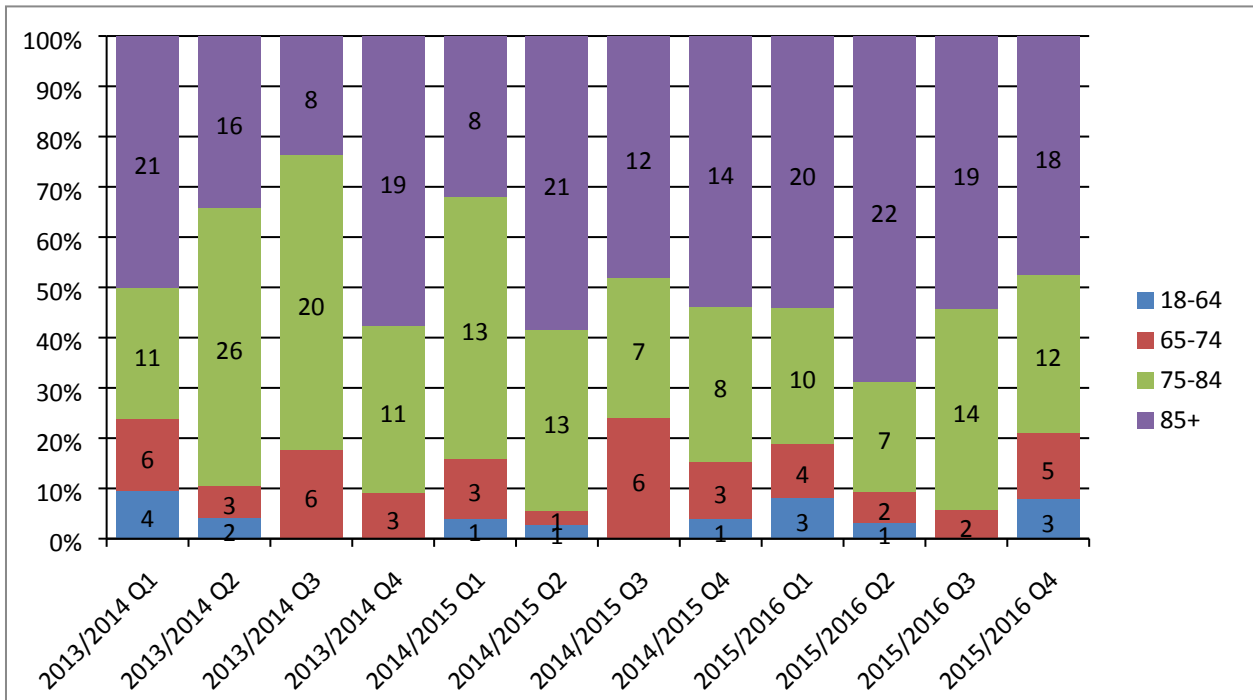


Figure 5 - Nursing Care - Admissions by Age Group 2013-16



Overall there are more women than men in residential and nursing care, though the overall number of men in nursing care has seen an increase over the last year or so (figures 6&7).

Figure 6 - Residential Care - Admissions by Gender 2013-16

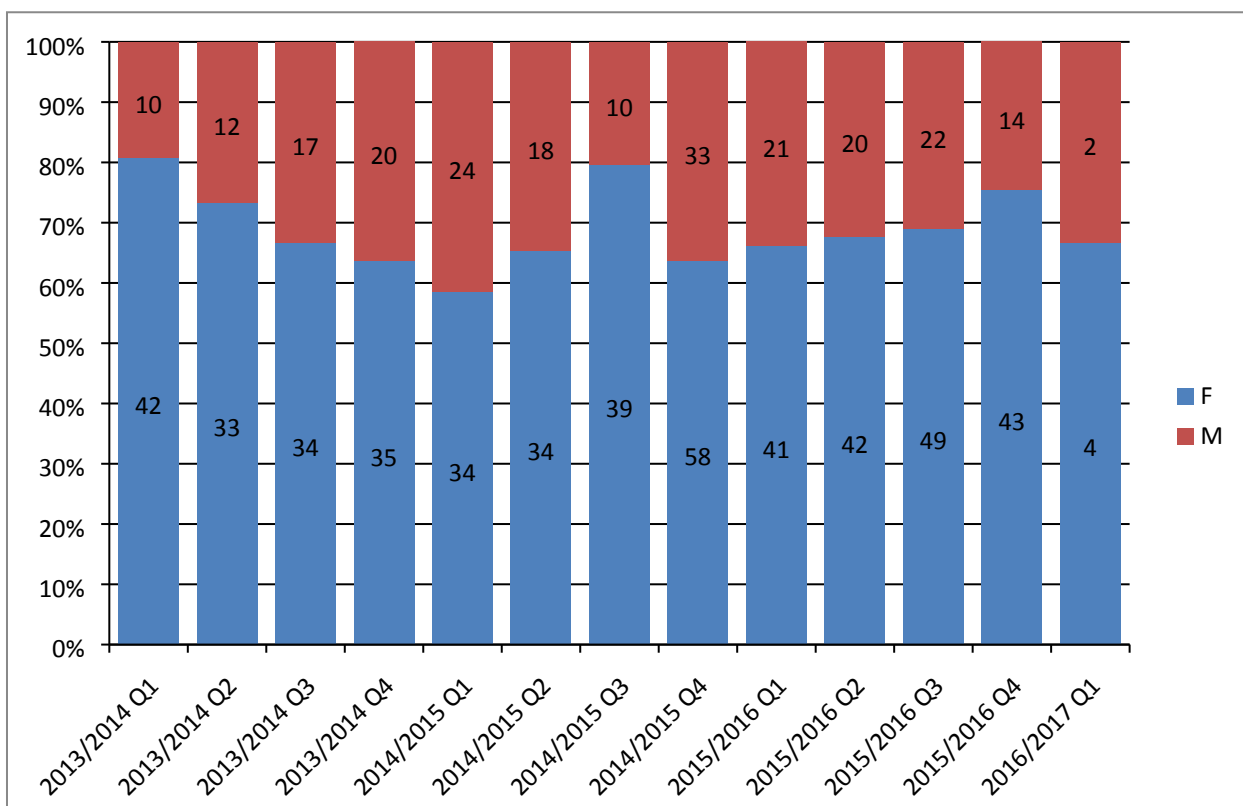
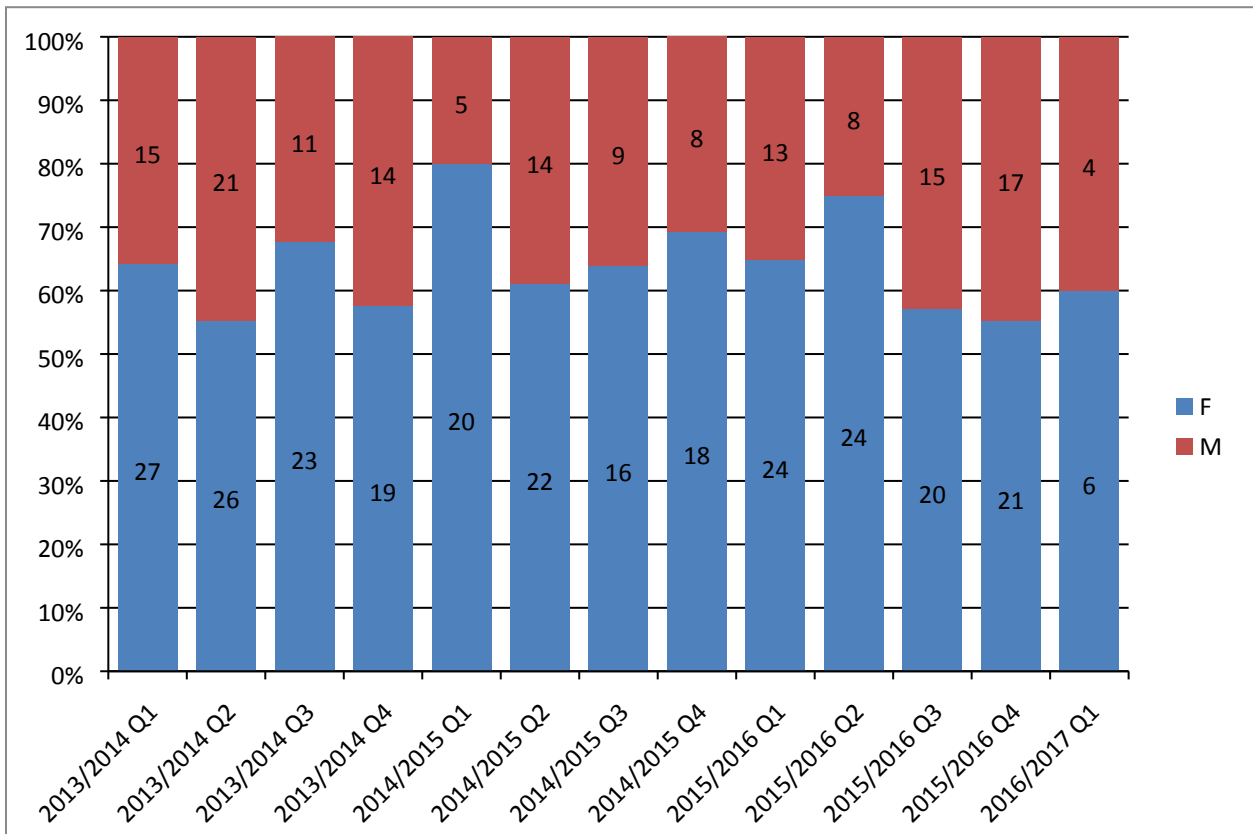


Figure 7 - Nursing Care - Admissions by Gender 2013-16

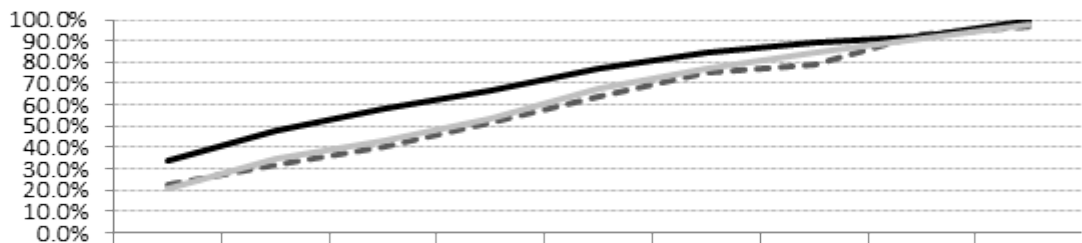


The attrition rates across local authority, nursing and independent residential care are similar (figure 8) and demonstrate that time spent in care is associated with complexity of need. The more complex people's needs are the less time they remain in care: nearly 60% of people with nursing care only reside in nursing care for less than 18 months and only a small number of people remain in residential/nursing care after 7 years.

Figure 8

Attrition Rate: Likelihood of Remaining in Residential / Nursing Care at a range of intervals (2009-16)

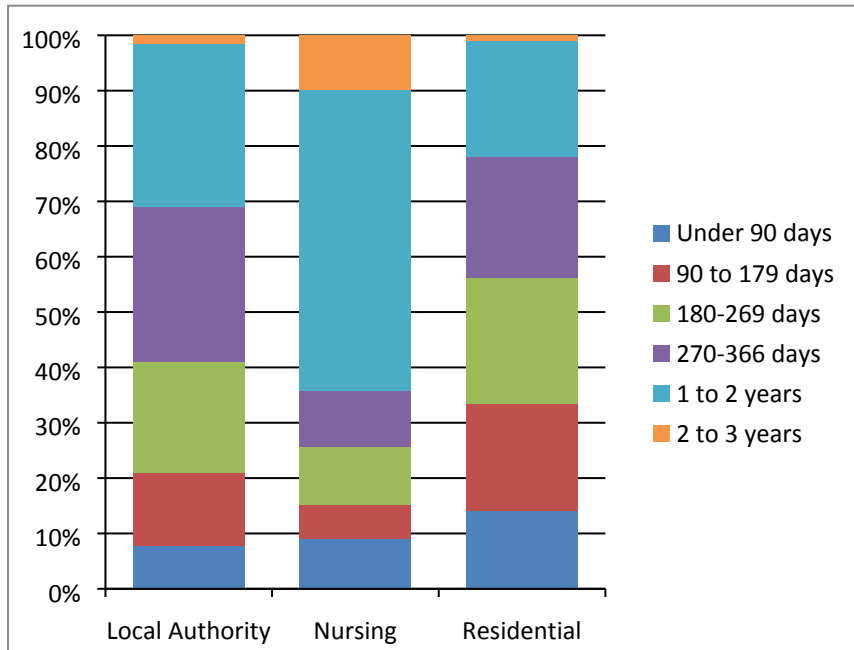
--- Local Authority — Nursing — Independent Residential



	% disch. at 6 months	% disch. at 1 year	% disch. 1½ years	% disch. at 2 years	% disch. at 3 years	% disch. at 4 years	% disch. at 5 years	% disch. at 6 years	% disch. at 7 years
Local Authority	22.6%	31.5%	40.7%	51.3%	63.6%	75.3%	79.3%	93.3%	97.0%
Nursing	33.7%	47.5%	57.8%	67.0%	77.3%	84.9%	89.6%	92.2%	99.5%
Independent Residential	20.8%	34.4%	43.3%	53.7%	68.0%	77.0%	85.0%	91.2%	97.6%

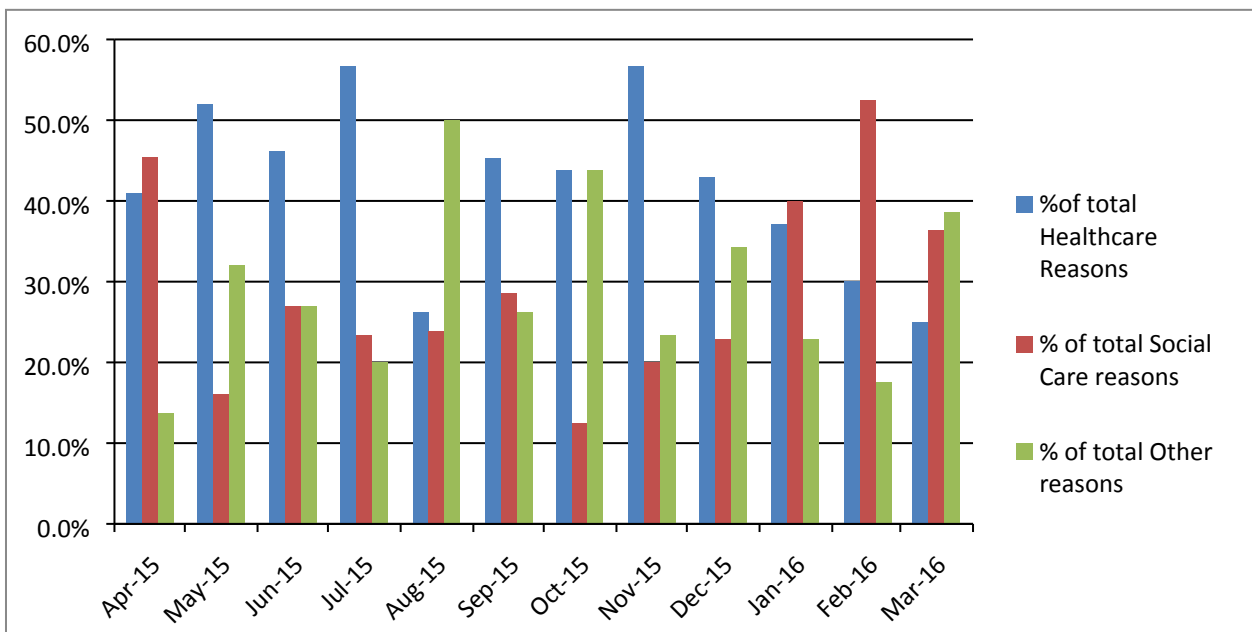
There is no data on outcomes for people in residential care although regular reviews will indicate that judgements have been made that an individual is receiving an appropriate level of care to meet their needs. Nearly 2/3rds of people in local authority and residential homes were reviewed in the last year. Less than 40% of those in nursing homes had been reviewed in the last year, although about 90% had been reviewed within the last 2 years (figure 9).

Figure 9 – Residential/Nursing Care – Time Since Last Review



There has been an increase in the number of delayed transfers due to social care reasons at the beginning of 2016 (figure 10).

Figure 10 - Delayed Transfers of Care



The Unit Cost is of residential care as detailed in the stage 2 review report is as follows:

Table 2 – Care Home Unit Costs

	External Residential	Nursing	Dementia Nursing	Internal Service
Unit Cost per week	£495	£510	£525	£538 to £1,110

The following information breaks down the internal service unit cost further to provide an average unit costing for standard residential care of £718 per person per week based on usage during the last year when full data is available (2014/15). This unit cost would have reduced to £612 per person per week based on full capacity usage. However this is still significantly higher than the external unit cost for all types of residential/nursing care.

Individual Homes

Direct Costs Only	Non Specialised				Rehab	Dementia
	Rose Cross	St Johns	The Hollies	Parkway	Bony House	Ty Waun
2014/15	1,202,770	979,804	833,519	847,839	1,611,133	2,163,099
Capacity	3	2	2	3	2	4
2014/15 Bed Days Available*	12,045	10,58	8,39	13,14	10,58	17,52
2014/15 Bed Days Vacant*	461	1,72	2,21	2,11	38	42
2014/15 Occupancy	96.2%	83.7%	73.7%	83.9%	96.4%	97.6%
2014/15 Actual						
Unit Cost at 2014/15 Actual Usage	£ 727	£ 774	£ 944	£ 538	£ 1,106	£ 886
Unit Cost at 2014/15 Full Occupancy	£ 699	£ 648	£ 695	£ 452	£ 1,066	£ 864

Averages

Direct Costs Only	Non Specialised	All Inclusive
2014/15	3,863,932.	7,638,164
Capacity	121	198
2014/15 Bed Days Available	44,165	72,270
2014/15 Bed Days Vacant	6,513	7,322
2014/15 Occupancy	85.3%	89.9%
2014/15 Actual		
Unit Cost at 2014/15 Actual Usage	£ 718	£ 823
Unit Cost at 2014/15 Full Occupancy	£ 612	£ 740

The stage 2 review stated that the internal service is more costly to provide in part due to the more favourable terms and conditions that the Local Authority affords to staff, and the significant impact that Job Evaluation and Single Status has had in the internal residential homes. In addition the fact that the local authority managed care homes offer residential reablement and specialist dementia care means that there is a higher ratio of staff to residents which will be another reason why the internal service is more expensive.

Staffing data from the stage 2 report indicates:

- Across adult services, 41% of all staff employed are full time, 59% are part time. 19% are male and 81% are female.
- The greatest proportion of the workforce in private sector services (61%) is aged between 25 and 50.
- 81% of the workforce is white.
- Within residential services for adults 30% of all care staff were recruited to post within the previous 12 months.
- The number of care staff recruited across residential services for all adults exceeds the number of staffing leaving by 25%.
- The number of staff leaving with the required social care qualifications was 13% lower than the number of people recruited with the required qualification, therefore there has been an overall net increase in the number of qualified staff recruited.
- 91% of managers have the qualifications required to meet occupational and regulatory standards compared to 72% of carers.
- Residential services for adults reported only 29 vacancies which accounts for 2% of posts. 67% of all residential services for adults stated they had no vacancies at all.

The stage 2 review stated that in summary, whilst there have been certain providers that are known to have experienced difficulties, the headline data referred to above does not suggest a workforce in crisis. The number of staff recruited annually exceeds the number leaving the sector. The number of qualified staff continues to increase annually. The number of reported vacancies is low. The age of staff does not appear to present any barrier to workforce continuity. These are trends that have recurred for the last 3 years. Male carers however are significantly under represented within the workforce, whilst ethnic minority workers are over represented accounting for nearly 12% compared to an estimated ethnic minority population of 6% (based on 2011 census data for Swansea).

Nearly one third of staff at all homes were recruited within the last 12 months. Ostensibly this raises concerns about the experience and quality of staff, and the extent to which there is a static population of carers available to provide good quality care for residents. It also raises concerns about ongoing recruitment, Induction and training costs for care home operators. However the data also suggests that 70% of staff leaving the employ of a care home operator go on to take another job within the care sector. The number of people that find a job at another care home is not captured by the data but the assumption is that workers are moving from home to home.

4.2 Summary

In summary, and based on available data, the following observations can be made about care home services commissioned or provided by the City and County of Swansea:

- There is a varied provider base which offers resilience against any single provider going out of business.
- However a relatively high proportion of beds are concentrated within a small number of larger independent sector homes.
- 3 Local Authority homes are located in Swansea East, with 2 in Swansea West and one in Gower constituency. However, those located in Swansea West and the Gower constituency are located fairly near to the City Centre, so there is limited access to Local Authority homes in the more rural Western areas of the City and County.
- Generally, occupancy levels in care homes across the City and County of Swansea area are high (92.4%)
- Occupancy levels in CCS care homes have generally been lower than this average with some care homes having levels of an average of 85%
- An occupancy level of 90% or above is considered a sustainable level.
- An analysis of current occupancy levels indicates that there is capacity to meet current demand.
- However, anecdotally, demand for services capable of meeting complex needs is high, whilst available beds are relatively low.
- New admissions to care homes by month show wide variation where highest numbers do not necessarily reflect winter pressures.
- Residents in local authority care homes are generally younger than the average across the care home sector
- There is no data on outcomes for people in residential care although regular reviews indicate that judgements have been made that an individual is receiving an appropriate level of care to meet their needs.
- Nearly 2/3rds of people in local authority and residential homes were reviewed in the last year. Less than 40% of those in nursing homes had been reviewed in the last year, although about 90% had been reviewed within the last 2 years
- There has been an increase in the number of delayed transfers due to social care reasons at the beginning of 2016
- The unit cost for CCS in-house residential care is significantly higher than for the private sector
- Whilst it is known that some care home providers have experienced difficulties with recruitment and retention, the overall data does not suggest significant problems across the sector.
- There is some indication of issues about the experience and quality of staff, and the extent to which there is a static population of carers available to provide good quality care for residents.

4.3 Key Themes for Options Appraisal

Generally, and from the above analysis, the preferred options must address the following key themes:

- **Strengthening the resilience of the care home market** – Whilst there is a broad provider base a high proportion of overall capacity is concentrated on a few larger providers.
- **Ensuring sufficient capacity to meet future need** – It is known that the older population in the CCS area will grow significantly. The new model for adult social care will seek to promote independence and manage down the demand for care home placements. However there will still be a requirement for a flexible, high quality service. There is a known requirement to expand the provision of services for people with complex needs, including dementia
- **Improving access, promoting choice and reducing delayed transfers of care** – The care home service needs to be responsive, offering swift and easy access to care home

placements, offering choice and averting the need for people to be accommodated in less appropriate environments while awaiting a placement.

- **Ensuring clear “value for money” from the service currently provided from in-house care homes** – The CCS in-house care home service is valued and generally regarded to be of high quality but has a high unit cost. The future approach to the in-house service will need to respond to need and represent an appropriate and justifiable investment.
- **Promoting a stable, experienced and well trained workforce.** – Whilst recruitment and retention has been shown to be perhaps less of an issue than may be expected, there is still some concern about the availability of a static, trained and experienced workforce suitable for offering high quality care and support to residents.

5. SERVICE COMPARISON

As part of the review process a service comparison has been completed to compare the current service model, cost, outputs and performance with others.

5.1 Benchmarking Analysis

The following local authorities were agreed as being suitable for benchmarking with the City and County of Swansea. These represent areas which are predominantly urban in nature with an adjoining more rural hinterland with more dispersed populations:

- Cardiff
- Newport
- Neath Port Talbot
- Wrexham

As part of the review process a service comparison has been completed to compare the current service model, cost, outputs and performance with others.

The current population in Swansea is 241,297 of which 19.2% are 65 years and over. This is similar to the Welsh average though higher than Cardiff, Newport and Wrexham.

Table 3: Population in 2014 and breakdown by age

	Number of people	% 0-15 years	% 16-64 years	% 65 + years
WALES	3,092,036	17.9	62.2	19.9
Swansea	241,297	17.2	63.6	19.2
Cardiff	354,294	18.4	67.8	13.8
Newport	146,841	20.0	62.7	17.3
Neath Port Talbot	140,490	17.4	62.9	20.0
Wrexham	136,714	19.2	62.2	18.6

* Figures for 30 June 2014 – accessed Data Unit Wales, source ONS

The number of older people in Swansea is expected to rise significantly over the next 20 years: most significantly those aged 85 and over.

Table 4: Projected percentage change by 2035 in the older population

	65-69	70-74	75-79	80-84	85+
WALES	5	30	36	48	119
Swansea	1	26	30	35	104
Cardiff	24	62	57	51	88
Newport	16	36	30	31	100

Neath Port T	0	29	39	51	94
Wrexham	12	31	45	64	141

* source – Daffodil: Projecting the need for care services in Wales

Therefore the projected numbers of older people receiving residential services is also expected to increase over the next 20 years, especially for those aged 85 years and over where it is expected to more than double. The table below is based on national data on the Daffodil resource. Whilst the data for Swansea does not correlate precisely with what is known about the overall care home bed capacity, this is likely to result from data collection/reporting discrepancies. Overall, the message is still clear that across Wales, and in Swansea especially, the number of older people requiring residential care is expected to increase by 59%.

Table 5: Projected numbers receiving residential services by age

	65-74		75-84		85+	
	2015	2035	2015	2035	2015	2035
Wales	1,415	1,637	3,495	4,936	6,395	14,003
Swansea	117	131	294	388	512	1,043
Cardiff	133	187	291	449	437	821
Newport	49	61	111	145	200	400
Neath PT	84	95	165	237	349	677
Wrexham	62	75	122	187	250	603

* source – Daffodil: Projecting the need for care services in Wales

The number of people with dementia in Swansea is expected to increase by 61% over the next 15 years (table 6).

Table 6: Projected numbers of people with dementia

	2020	2025	2030	2035
People aged 65-69 with dementia	158	166	182	179
People aged 70-74 with dementia	358	324	344	376
People aged 75-79 with dementia	565	686	624	670
People aged 80-84 with dementia	843	945	1,162	1,069
People aged 85 and over with dementia	1,696	1,977	2,357	2,955
Total population aged 65 and over with dementia	3,620	4,097	4,668	5,248

* source – Swansea

This is lower than the Welsh average of 71.9% but similar to all but one of the comparator authorities (table 7).

Table 7 – Percentage increase in number of people aged 65 and over with dementia by 2035

Local authority	% increase in number of people aged 65 years and over with dementia by 2035
WALES	71.9%
Swansea	61.3%
Cardiff	67.1%
Newport	59.8%
Neath Port Talbot	61.8%
Wrexham	87.1%

* source – Swansea

The rate per 1,000 older people helped to live in residential care in Swansea is 20 which is higher than the Welsh average and 3 of the 4 comparator authorities (table 8).

Table 8: How many older people were helped to live in residential care?

Local authority	Rate per 1,000 older people supported to live in residential care during the year 2014-15
WALES	19 per 1,000
Swansea	20
Cardiff	18
Newport	14
Neath Port Talbot	22
Wrexham	17

* data from Data Unit Wales – My local council

Swansea also has the second highest number of delays recorded of the comparator authorities (table 9).

Table 9: Delayed transfers of care due to social care reasons by local authority and measure 2014-15

Local authority	Total number of local authority residents (aged 18+) experiencing a delayed transfer of care during the year for social care reasons
WALES	1,309
Swansea	100
Cardiff	354
Newport	62
Neath Port Talbot	40
Wrexham	19

Table 10 shows that in 2014-15 Swansea provided significantly more in-house respite care than was provided by the independent sector which does not reflect how respite care is provided across Wales or the comparator authorities where more nights of respite care are provided in the independent sector.

Table 10: Respite care by local authority and measure – 2014-15

2014-15	Nights of respite care provided in Local Authority care homes	Nights of respite care provided in Independent sector care homes under contract	Nights of respite care provided in Independent sector care homes under contract, receiving nursing care
Wales	63139	87548	12431
Swansea	7696	893	487
Cardiff	0	5590	1894
Newport	2642	7408	1648
Neath Port Talbot	2740	7708	63
Wrexham	2890	9175	823

* Data from Stats Wales

5.2 Summary

In summary, and based on available data, the following observations can be made about care home services commissioned or provided by the City and County of Swansea:

- The proportion of the population over the age of 65 is similar in Swansea to the Welsh average but slightly higher than similar urban authorities of Cardiff and Newport.
- The population of older people is set to grow at a similar rate across Wales and comparator authorities.
- Over the next 20 years, it is expected that the number of people in Swansea over the age of 85 will increase by 104%
- The number of people with dementia in Swansea is expected to increase by 61% over the next 15 years.
- It is expected that over the next 20 years, the number of people in Swansea requiring residential care services will increase by around 59%
- The number of people with dementia in Swansea is expected to increase by 61% over the next 20 years
- The proportion of older people in Swansea who are placed in care homes is slightly higher than most comparator authorities. This indicates that there is potential through improved care management practice, to manage down the demand for care home beds.
- Generally Swansea has higher than average Delayed Transfers of Care for social care reasons. This indicates particular problems in accessing care home placements swiftly.
- Swansea provides a significantly higher than average amount of residential respite care within its local authority care homes.

5.3 Key Themes for Options Appraisal

Generally, and from the above analysis, the preferred options must address the following key themes:

- **Ensuring adequate capacity for meeting growing demand** – Even in the context of a new model of adult social care which emphasises prevention, promotes independence and averts the need for long term care, demographic analysis indicated that the demand for care home beds in Swansea will increase significantly. There are already known to be pressures in meeting the needs of those with dementia and this population is set to grow significantly in Swansea.
- **Ensuring speedy access to care home beds** – In order to promote choice and ensure that people are provided with care and support in the most appropriate environment, people need to be able to access a placement in the care home of their choice without needing to wait unduly for that placement to become available.
- **Supporting an approach to manage down demand** – The new model for adult social care will manage down the demand for long term residential care, based on developed practices and an enhanced range of services elsewhere in the overall “whole system”. However, the care home sector will have to work within that system and support this overall approach.
- **Making best use of in-house capacity** – The in house service has a higher unit cost than that of the independent sector and any future role in the whole system will need to show that it meets strategic need and demonstrates value for money.

6. BEST PRACTICE AND INNOVATION

The Institute of Public Care has undertaken research to identify innovation and best practice in other areas/countries. In particular, research has been focussed on the following issues:

- Managing future demand for care home capacity
- Care homes as community Hubs
- Flexible bed use
- Future role of Extra Care Housing
- Independent Sector as innovators

6.1 Managing future demand for care home capacity

Despite the increasing numbers of older people living longer, this is not generally being seen to be reflected in an equivalent increase in use of state funded residential care. Overall there has been a 16% reduction in the numbers of people whose care is paid for by councils in residential care over the last ten years – the lowest reduction is for younger adults who have a learning disability and the highest reduction is for older people (who are still the largest group being cared for in residential care).

In a paper written by Professor John Bolton for IPC on demand and capacity in social care, he suggests that there are local factors that are significant in influencing the demand for state funded services in adult social care. These include:

- The relative wealth in the population (or the opposite in relation to areas of high deprivation).
- The behaviours of key players in the NHS, the performance of intermediate care and the availability of therapists and nurses in the community.
- The effectiveness of the council front door in finding solutions for people and their problems - The effectiveness of short-term help and the approach to preventive help.
- The way in which the needs of people with lower care needs are met including the use of assisted technology.
- The practice and supervision of assessment and care management staff.
- The approaches taken to progression towards greater independence for those with long-term conditions.
- The way in which people with long-term conditions are helped to self-manage their conditions including dementia care.
- The approaches taken to the assets of the person being assessed and the involvement of family and community in a person's solutions.
- The way in which providers deliver outcomes including the availability and vibrancy of the voluntary sector.
- The availability and the nature of supported housing services including Extra-Care Housing for Older People.
- The partnership with carers and carer organisations.
- The use of performance measures to judge the outcomes from the care system. ⁷

⁷ Predicting and managing demand in social care Discussion paper. Professor John Bolton April 2016

With these factors in mind, it could be said that predicting or managing demand for care homes in the future requires a whole system approach to the problem, with collaborative working from all parties involved with the cohort of individuals in scope.

Of particular relevance to care homes is the behaviours of key players in the NHS, the performance of intermediate care and the availability of therapists and nurses in the community.

In the LGA Efficiency Programme it was found that if older people were placed in a residential intermediate care facility that helped to support recovery and rehabilitation with therapeutic support available, there was an 80% chance that an older person would return home. If a similar person was placed in a residential care home with no similar support there was an 80% chance the person would remain in that home for the rest of their life.⁸

It can be strongly argued that no one should make a long-term assessment for a person's needs when they are in a crisis. It is important to care and support a person through a crisis but in a way that gives them the right opportunity to recover, take stock and experience help in a particular way that might maximise their longer-term life chances. The focus should always be on the long-term outcomes rather than on the immediate crisis.

As a minimum no older person should be assessed for their longer-term needs from a hospital bed⁹. How a council responds to a person in a crisis can either accelerate them into the formal care system or can hold them and offer the right care and support which will focus on their longer-term outcomes, maximising opportunities for independence. The kind of response offered will make a difference in the overall demand for longer-term care. It is therefore important to ensure that all other opportunities to help an individual regain their independence have been explored prior to referring to residential care placement. It should be seen as the last option.

Good practice example - an outcome based approach to care home admission

East Renfrewshire's Care Homes Admissions Criteria Guidance has a particular emphasis on personal outcomes. The aim of the policy is to ensure that available resources are used in the most efficient and effective way and to ensure that there is consistency and fairness in application of criteria across East Renfrewshire for people in need of personal and nursing care in care homes.

They believe that an outcomes-focused approach is one that emphasises the strengths, capacity and resilience of individuals rather than their deficits. It builds upon natural support systems and includes considering wider community-based resources. The therapeutic role of the social worker and the relationship they establish with the person and their family is central to supporting people to find their own solutions.

To be eligible for a care home admission an outcomes focused assessment of a persons' needs is carried out. The expectation is that the assessment should include wide engagement with a person's family and other stakeholders and identify the key outcomes necessary to enable a person to be safe and secure. The assessment includes an analysis of risk based on the evidence. Once all options that would assist someone to stay at home have been considered and not deemed appropriate then care home admission will be considered.

⁸ LGA Adult Social Care Efficiency Programme – The final report 2014

⁹ Intermediate Care – Halfway Home Updated Guidance for the NHS and Local Authorities 2009

6.1.1 Managing Demand: Key messages

- CC Swansea's Adult Social Care Model and approach to managing down the demand for residential care reflects some national good practice and has the potential to reduce significantly the proportion of older people choosing residential care.
- An outcome based approach to individual assessments which maximise engagement with families and wider communities are an important component of the future "gateway" to care home admission.
- The demand for care home provision can only be effectively managed in the context of a "whole system" health and social care approach".

6.2 Care Homes as Community Hubs

More councils and NHS Trusts are considering community hubs as a central place for the delivery of a fully integrated health and social care service, bringing together health, housing and social care facilities all onto one site. The hope is these hubs will replace other buildings that deliver health and social care services separately, making it easier for individuals to have their needs met in their place of residence, and that services will be more efficient and cost effective in the longer term.

Good Practice Example 1 – Glan Irfon Health and Social Care Centre, Builth Wells

This joint initiative between Powys County Council and Powys Teaching Health Board involved closing a small community hospital and using a £5.2m Welsh Government Capital Grant to build an Integrated Health and Social Care Centre on the site of one of the community's care homes.

The centre was opened in 2014. It enables people to receive care in their local community. GPs visit the centre to see patients in the 12 bed flexible short-stay unit and nursing care needs for residents can be met by an in-reaching team of 24/7 NHS community nurses.

An in-reaching team of therapists and support workers provide reablement services to support people to get back on their feet and return home with as much independence as possible. The units 12 beds can be used for up to six weeks for rehabilitation, respite or recuperation.

Also within the Glan Irfon site there are facilities for community activities, treatment rooms for the local GPs to undertake consultations and for visiting specialist clinics.

Good Practice Example 2 - Cylch Caron Integrated Resource Centre, Ceredigion

An integrated resource centre is being developed similar to the one in Builth Wells, housing a range of services, including a GP surgery, community pharmacy, outpatient clinics, and community nursing services, long-term nursing care and day care. There are also plans for 34 flats for people who require extra care and support to remain in their own homes and six integrated health and social care places for people who no longer need to stay in hospital but require more support before they return home.

The scheme uses a blended infrastructure funding package with General Medical Services and community elements being funded through public capital and the housing element being jointly funded through public capital (housing grant) and private capital.

Good Practice Example 3 - Hogewey Care Home, Holland

There are some interesting examples of care homes that shift the public's perception of these services as dreary and negative, and deliver care in a holistic personalised way. Hogewey in [Holland](#) for example, is a care home for around 150 older people with dementia, consisting of shops, hairdressers, cafes and a range of social activities.¹⁰

6.2.1 Care Homes as Community Hubs: Key messages:

- A number of councils are recognising the need to expand the role played by care homes as a “hub” within communities for the provision of various social care health and wellbeing services.
- These initiatives are most successful, and to an extent, predicated upon the development of strong strategic partnerships with local health services and also care home providers.
- Consultation exercises conducted as part of this Commissioning Review have indicated some appetite across the independent sector to form such partnerships.

6.3 Flexible bed use

The independent sector can play an increasingly important role in health and social care provision, particularly for the elderly, that is complementary to the NHS. Larger operators have developed capabilities and have capacity in specialised areas of care such as nursing for frail elderly, step-up and step-down care, dementia care and palliative care.

A number of operators have already contracted specialist care services with both health and social care commissioners for high dependency patients at a fraction of the cost to the NHS and taxpayer, (between 35 and 50 per cent less than NHS tariff rates for hospital care).

Specialist input can help these patients regain independence or avoid an acute admission. But shortfalls in care which do not meet their needs can result in them remaining in a hospital bed for too long - and not being able to manage at home afterwards, potentially ending up in residential care permanently.

Health Boards and, in England, Clinical Commissioning Groups have started to look towards more innovative solutions. Some are commissioning beds and services in private care homes. While using beds in nursing homes has been commonplace for some time, there is now an additional focus on ensuring care is focused on helping patients recover rather than just providing them with a bed. Perhaps most importantly, good targeted care in such units can produce good outcomes with many patients able to return to their own homes, perhaps with a package of care. This can often be achieved within a relatively short length of stay with homes working to key performance indicators agreed with commissioners.

Good Practice Example - Four Seasons, Stoke on Trent

An example of where there is a flexible approach to the use of care home beds is Four Seasons care. Beds can be commissioned for admission avoidance - by diverting patients who otherwise

¹⁰ <http://hogeweyk.dementiavillage.com/en/>

would end up in A&E and would probably be admitted - but also providing extra options when patients no longer need an acute hospital bed but can't simply be discharged.

Four Seasons have invested heavily in its flagship project in Stoke-on-Trent, where they have employed additional staff to manage specific care packages. They have also looked at issues such as governance and data protection at other units to ensure it fully meets NHS requirements.

6.3.1 Flexible Bed Use: Key messages

- Integrated approaches with primary and secondary health services support the delivery of effective “whole system” care and support for older people in communities
- There is an opportunity to consider the existing care home portfolio, both “in-house” and across the independent sector to assess the potential to re-use or extend current buildings to provide a wider range of health, social care and community facilities
- Flexible use, short stay beds can meet a variety of needs including intermediate care, reablement and respite.
- Flexible use, short stay care home beds can be supported by in-reaching community based services such as community nursing, therapies, and reablement support.
- With careful planning and full engagement with regulators, new models of care can be developed including meeting nursing care needs through in-reaching 24/7 community nursing services.
- There are opportunities for innovative and collaborative approaches to capital funding.

6.4 Future Role of Extra Care Housing

Extra care housing has been viewed as a possible alternative to, or even a replacement for, residential care, and includes a range of specialist housing models. Most recently, the Commission on Funding of Care and Support (2011) has identified extra care housing as providing a means by which people might exercise greater control over their lives by planning ahead and moving to more suitable housing before developing significant care and support needs. However, there is a lack of robust evidence about the effectiveness and, in particular, the costs of extra care housing.

A report by the Personal Social Services Research Unit summarises the results of a Department of Health (DH) funded evaluation of 19 extra care housing schemes that opened between April 2006 and November 2008, and which received capital funding from the Department's Extra Care Housing Fund.¹¹ It found:

- Outcomes were generally very positive, with most people reporting a good quality of life.
- A year after moving in most residents enjoyed a good social life, valued the social activities and events on offer, and had made new friends.
- People had a range of functional abilities on moving in and were generally less dependent than people moving into residential care, particularly with respect to cognitive impairment.
- One-quarter of residents had died by the end of the study, and about a third of those who died were able to end their lives in the scheme.
- Of those who were still alive at the end of the study, over 90 per cent remained in the scheme.
- For most of those followed-up, physical functional ability appeared to improve or remain stable over the first 18 months compared with when they moved in. Although more residents had a

¹¹ Improving housing with care choices for older people: an evaluation of extra care housing. PSSRU, University of Kent. 2011

lower level of functioning at 30 months, more than a half had still either improved or remained stable by 30 months.

- Cognitive functioning remained stable for the majority of those followed-up, but at 30 months a larger proportion had improved than had deteriorated.
- Accommodation, housing management and living expenses accounted for approximately 60 per cent of total cost. The costs of social care and health care showed most variability across schemes, partly because most detail was collected about these elements.
- Comparisons with a study of remodelling appear to support the conclusion that new building is not inherently more expensive than remodelling, when like is compared with like.
- Higher costs were associated with higher levels of physical and cognitive impairment and with higher levels of well-being.
- Combined care and housing management arrangements were associated with lower costs.
- When matched with a group of equivalent people moving into residential care, costs were the same or lower in extra care housing.
- Better outcomes and similar or lower costs indicate that extra care housing appears to be a cost-effective alternative for people with the same characteristics who currently move into residential care.
- People had generally made a positive choice to move into extra care housing, with high expectations focused on improved social life, in particular.
- An important aspect of both overall costs and incentives for investment is that, while the focus here is on the comparison with residential care, a substantial proportion of people who live in extra care housing schemes are more able, and it is this element of a balanced community, including the active involvement of residents in the schemes, that contributes to their success.
- While the cost-effectiveness analysis focused on changes in functional ability, ultimately the objective is improved quality of life. In extra care housing, as in other care settings, higher costs are associated with greater well-being, after allowing for people's levels of functioning.
- In delivering outcomes, communal facilities, particularly restaurants and shops, and activities are important. In a period of cost cutting, this might be particularly challenging, but careful design and location of schemes and economies of scale can help ensure the accessibility and/or viability of such facilities. Moreover, when setting up a scheme, communal facilities and organised activities need to be available from when the scheme opens.
- Some questions were raised about the degree to which the most impaired residents were able to benefit from the opportunities for social participation. Schemes should ensure that support and care is as flexible as possible to facilitate this.
- The aims of the extra care housing scheme should be explained to prospective residents, particularly when the intention is to support diverse groups of older people (some with high care and support needs) or encourage local people to use the scheme's facilities.
- Good design, incorporating the principles of 'progressive privacy', with clear demarcation between public and private spaces, could also make local community use of the scheme more acceptable to residents.

Good practice example - Willow Housing and Care

In addition to the above general benefits and challenges associated with Extra Care Housing, the following example shows how extra care housing can increase chances of older people returning home.

Willow Housing and Care¹², a London-based specialist provider of homes and services for older people, worked with Supporting People commissioners to establish a support service to older people in hospital. They did this after becoming aware that some new residents were coming direct from hospital where they had remained too long because their own home was not suitable for them to return to.

The service helps older people in hospital to make choices about their future housing. If the person wishes to return to their home, Willow Housing and Care arranges for various services such as aids and adaptations, cleaning, moving their bed downstairs, a community alarm and homecare. It provides on-going support for up to six months, linking into other services as appropriate. It helps others to secure alternative accommodation such as in a sheltered or extra care scheme.

Potential benefits/returns

- The Department of Health's evaluation of the service has shown that for a £41k investment, the service has saved £420k per year in health and social care expenditure through reducing admissions to residential care and readmissions to hospital.
- Service users have shown high satisfaction with the service, and an increasing number of older people have returned to live independently after a hospital stay.

Challenges

- The service requires good promotion and close working relationships with local social and health care professionals and residents to publicise what is on offer.

6.4.1 The Future Role of Extra Care Housing – Key Messages

- Outcomes for people in extra care housing are positive
- People tend to move to Extra Care Housing at a stage in their lives when they are less dependent.
- Better outcomes and similar or lower costs indicate that extra care housing appears to be a cost-effective alternative for people with the same characteristics who currently move into residential care.
- In delivering outcomes, communal facilities, particularly restaurants and shops, and activities are important. In a period of cost cutting, this might be particularly challenging, but careful design and location of schemes and economies of scale can help ensure the accessibility and/or viability of such facilities
- Good design, incorporating the principles of 'progressive privacy', with clear demarcation between public and private spaces, could also make local community use of the scheme more acceptable to residents.

6.5 Independent Sector as Innovators

There is a continued downward pressure on state funded fees and a tightening of admission criteria for new placements as local authorities seek to control spending in the face of increasing underlying demand. With the local authority budgets overwhelmed, the private sector can play a role in anticipating the structure of the future market and invest accordingly.

¹² Found at www.housinglin.org.uk//Housing/H2Hshelteredandextracare

Good practice example 1 - The Order of St John's Care Trust (OSJCT) - Intermediate care in a care home setting.

The Orders of St John Care Trust (OSJCT) was established in 1991 as a not for profit charitable trust. It is the second largest not for profit care provider in the UK, currently operating 68 homes and seven extra care schemes in four counties (Lincolnshire, Wiltshire, Oxfordshire and Gloucestershire). The Order of St John's Care Trust (OSJCT) delivers a varied range of care services, including residential, nursing and specialist dementia care, but also offers intermediate care beds within some of their larger care homes.

For the individual this facilitates a full assessment of their health and social care needs, coordinated from one point of contact. Health and social care professionals work with the individual, their family and staff in the care home to ensure that on discharge the right support systems are in place to enable the person to live as independently as they can in their own home. This approach could be regarded in essence as the provision of "residential reablement", however it also supports a broader whole system approach to rehabilitation and recovery. It also illustrates a constructive partnership with an independent sector provider.

Good practice example 2 – USA - expansion of residential social care

The USA has made significant progress in delivering higher quality care more efficiently. In doing so, the following developments have been key:

- Expanding privately assisted living (residential social care) and continuing care retirement communities: these are age restricted communities that combine independent living units (apartments or homes) with residential and nursing care beds on a campus. There are now more residents living in such facilities than in government supported nursing homes. The UK has limited communities in operation that are similar to the US model, but these are highly successful when combined with effective and available home care. These facilities are highly effective as they contain costs while also making a wider range of services available.
- Focusing on delivering true economies of scale: care providers will have to increase productivity year on year. Single care homes in an increasingly diverse market will have significant difficulties containing their costs. One of the most effective strategies to meet this challenge, without negatively affecting residents' lives, is either to group a number of care homes together or to provide services within a defined local area to residents with different needs. Such "care clusters" mean providers can secure economies of scale.
- Moving activity to the lowest cost setting that is appropriate: as demand for services for older people and those with disabilities grows, discussion by policy makers and care providers is shifting away from focusing only on price towards an emphasis on what will be needed, as well as where services should be located and whether a private house, care home, hospital or other facility is most suitable.¹³

6.5.1 The Independent Sector as Innovators – Key Messages

- The private sector can play a role in anticipating the structure of the future market and invest accordingly
- There is potential capacity and willingness in the independent sector to introduce innovative models of care in care homes which fit well with the CC Swansea Model for Adult Social Care
- There is an opportunity to develop strategic partnerships with independent sector providers.

¹³ Found at: <http://www.hsj.co.uk/topics/technology-and-innovation/how-the-us-improved-its-care-home-sector/5059640.fullarticle>

6.6 Key Good Practice Messages

An analysis of examples of good practice described above gives the following key points which may be considered in the development and appraisal of options:

- An outcome based approach to individual assessments which maximise engagement with families and wider communities are an important component of the future “gateway” to care home admission.
- The demand for care home provision can only be effectively managed in the context of “whole system” health and social care approach”.
- Integrated approaches with primary and secondary health services support the delivery of effective “whole system” care and support for older people in communities
- There is an opportunity to consider the existing care home portfolio, both “in-house” and across the independent sector to assess the potential to re-use or extend current buildings to provide a wider range of health, social care and community facilities
- Flexible use, short stay beds can meet a variety of needs including intermediate care, reablement and respite.
- Flexible use, short stay care home beds can be supported by in-reaching community based services such as community nursing, therapies, and reablement support.
- With careful planning and full engagement with regulators, new models of care can be developed including meeting nursing care needs through in-reaching 24/7 community nursing services.
- There are opportunities for innovative and collaborative approaches to capital funding.
- There is a significant potential role for Extra Care Housing in a spectrum of services which offer older people accommodation with care and support.
- Better outcomes and similar or lower costs indicate that extra care housing appears to be a cost-effective alternative for people with the same characteristics who currently move into residential care.
- Good design, incorporating the principles of ‘progressive privacy’, with clear demarcation between public and private spaces, could also make local community use of the scheme more acceptable to residents.
- Some independent sector providers, both of care home services and registered social landlords possess expertise and are in a position to offer innovative contributions to an overall spectrum of services.
- Independent sector providers can access capital funds.
- There is potential for partnerships between commissioners to develop innovative services with collaborative funding arrangements.

6.7 Key Themes for Options Appraisal

The above research provides rich material to help shape future thinking on the provision of care home services. In particular it identifies the following key themes which should be addressed through the options appraisal.

- **Whole system approach** – The above research demonstrates that where commissioners and providers have been able to demonstrate improved outcomes through innovation, this has been in the context of a “whole system approach”. In Swansea, this “whole system” is articulated through the Adult Social Care Service model, and more broadly through the priorities of the Western Bay Health and Social Care Collaborative.

- **Review the best use of in house services** – There may be an opportunity to work with the existing resource of the Councils in-house care homes and extend their role, both in terms of providers of specialist care and also perhaps as a more general resource as a community hub.
- **Opportunity for strategic partnerships** – Research shows that innovation can on occasion be led by, and frequently delivered through strong partnerships between commissioners and providers.
- **Shown to work elsewhere** – Simply speaking, if an approach has been shown to yield improved outcomes, this may indicate that a similar approach could be developed and taken forward in Swansea

7. STAGE 4 – OPTIONS APPRAISAL

A set of options have been developed which seek to capture accurately the strategic commissioning themes that need to be considered as an output from Stage 4 of this Commissioning Review. The options are presented in a series of inter-related categories which need to be appraised separately and in sequence. The preferred approach from each appraisal will inform the options and approach taken within the subsequent category.

The options appraisal will produce a recommended strategic commissioning approach for residential care services which responds to the key operational and strategic issues identified. Whilst it is expected that this process will give clear direction to the commissioning approach, it is noted that subsequent implementation will need to be informed and guided by the development of detailed Business Case and Project Plan processes which will inform subsequent and more detailed decision making.

7.1 Assumptions

The following assumptions underpin the options and their appraisal:

- All commissioning activity takes place within a given budget.
- For the purposes of this options appraisal, it is assumed that investment levels for CC Swansea will not change
- Whilst the overall necessity for CC Swansea to find 20% efficiencies over the next three years remains. The approach taken here is based on the potential to reduce investment levels, but it is understood that the options alone cannot make the savings required. Significant attention will need to be paid to demand management across the system to realise real impact on the budgetary situation.
- Investment and disinvestment priorities will need to be taken in a “whole system” context.
- The proposed options relate to identifying the commissioning arrangements which make best use of resources to ensure improving outcomes for service users and sustainable service arrangements

7.2 Stakeholder Engagement

A initial scoping workshop was held on 11th September 2015 at Stage 1 of this Commissioning Review to share information about the review process and to ask participants to share their views about how services to citizens, and commissioning arrangements, could be improved. Participants identified the top four outcomes for service users which are described in Section 3.4 of this report.

A co-production workshop was held on 28th April 2016. This event was used to consolidate and develop an understanding of the key issues facing the residential care service and to engage stakeholders in early discussions on options and evaluation criteria (answering the question “what does “good” look like?”).

A stakeholder engagement event was held on 10th June 2016. This was attended by approximately 20 individuals representing a diverse range of stakes from across the care home sector. At this event, attendees were consulted on:

- The strengths and weaknesses of an initial draft range of options. The collated feedback from this exercise is shown in Appendix 1. This contributed to the development of a more focussed range of options that went forward for evaluation as shown below in Section 7.3

- Evaluation criteria. A draft set of evaluation criteria were considered, developed and extended by participants. The final set of evaluation criteria is shown below in Section 7.4

7.3 Options

Following detailed consultation, the following options were considered:

1. Strategy

- Maintain current strategy in relation to pattern of supported Living/Extra Care Housing/Residential/ Nursing Care
- Review Strategy in relation to pattern of residential care provision balanced with alternative accommodation provision including Extra Care Housing

2. Service Model in relation to Short Term/Complex Residential and Nursing Care

- Maintain current service arrangements
- Commission short term/complex care on specific specialist sites

3. Model of delivery

- Externalise all services to deliver new service model
- Maintain mixed delivery to deliver new model

4. Balance of Mixed Model

- Maintain current in-house portfolio completely and deliver a degree of specialist services and standard residential care. Commission all other residential services externally
- Apply greater degree of specialism on internal beds and provide no standard residential care in-house. Commission everything else.

A description of each option, together with an evaluation of its relative strengths and weaknesses is provided in Appendix 2.

7.4 Evaluation Criteria

Sections 4, 5 and 6 of this report consider current service performance, benchmarking against other comparator local authorities and evidence of good practice models across the UK and beyond. An analysis under each of these sections has identified the following key issues which need to be addressed through the options appraisal process:

Service performance - Section 4.3

- Strengthening the resilience of the care home market
- Ensuring sufficient capacity to meet future need Improving access, promoting choice and reducing delayed transfers of care
- Ensuring clear “value for money” from the service currently provided from in-house care homes.
- Promoting a stable, experienced and well trained workforce

Service Comparison (Benchmarking) – Section 5.3

- Ensuring adequate capacity for meeting growing demand
- Ensuring speedy access to care home beds
- Supporting an approach to manage down demand
- Making best use of in-house capacity

Best practice – Section 6.7

- Whole system approach.
- Review the best use of in house services
- Opportunity for strategic partnerships
- Shown to work elsewhere

The CC Swansea corporate template for options appraisal provides 5 key headings for evaluation criteria:

- Outcomes
- Fit with Priorities
- Financial Impact
- Sustainability and Viability
- Deliverability

Under each of these headings, the following evaluation criteria were developed by the Review Team. These were informed by the key themes from the analyses above and then further refined at the Stakeholder Co-Production workshop held on 9th June, 2016.

Category	Criteria Questions	Weighting
1. Outcomes		
1.1	Promotes health and wellbeing	M
1.2	Maximise opportunities for greater independence	M
1.3	Promotes choice and control	L
1.4	Reduces demand for services	H
1.5	Improves performance	H
1.6	Improves user experience	M
2. Fit with Priorities		
2.1	Fit with SSWB Wales Act and Guidance	H
2.2	Fit with CCS Adult Services Model	H
2.3	Fit with corporate priorities	M
2.4	Fit with Western Bay priorities	L

2.5	Promotes partnership	L
3. Financial Impact		
3.1	Supports cost reductions (20% over 3 years)	H
3.2	Requires investment but supports savings elsewhere in the system	L
3.3	Makes better use of staff resources	M
3.4	Limited/no set-up costs	L
3.5	Achieves capital receipt	L
3.6	Reduce premises cost/maintenance backlog	M
4. Sustainability/Viability		
4.1	Promotes positive workforce	H
4.2	Shown to work elsewhere	L
4.3	Supports positive market development	M
5. Deliverability		
5.1	Legally compliant	H
5.2	Safe	H
5.3	Acceptable to stakeholders/public	H
5.4	Manageable project	H

The detailed options appraisal is shown as Appendix 2. This outlines the rationale for how the preferred options were arrived at.

8. SUMMARY & CONCLUSIONS OF REVIEW TEAM

Following detailed analysis and options appraisal, the following strategic approach to residential care services is recommended:

Strategy

- Review Strategy in relation to pattern of residential care provision balanced with alternative accommodation provision including Extra Care Housing

Service Model in relation to Short Term/Complex Residential and Nursing Care

- Commission short term/complex care on specific specialist sites

Model of delivery

- Maintain mixed delivery to deliver new model

Balance of Mixed Model

- Apply greater degree of specialism on internal beds; providing no standard residential care in-house this being commissioned from the independent sector.

Background Papers (Available on request)

1. Service Model
2. Commissioning Gateway Review Report Stage 2
3. Key themes from the Commissioning Review Workshop; 11.09.15
4. Key Themes from the Co-Production Workshop; 28.04.16
5. Appendix 1 - Feedback on Options from Stakeholder Workshop 09.06.16
6. Appendix 2 - Options Appraisal

Residential Services Evaluation Scoring Matrix

NOTE: - SCORING BASED UPON THE HIGHEST SCORE BEING THE PROPERTY LEAST APPROPRIATE FOR CLOSURE & LOWEST SCORE MOST APPROPRIATE FOR CLOSURE

RESIDENTIAL HOMES			BONYMAEN HSE		PARKWAY		ST JOHNS		ROSE CROSS HSE		TY WAUNARLYDD		THE HOLLIES	
THEME	CRITERIA	WEIGHT	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
BUILDING CONDITION														
	Condition Survey (Good =4 / Poor = 1)	5	3	15	2	10	2	10	2	10	3	15	3	15
	Building Investment to date '15-'17 (High value = 5 / Low Value = 0)	5	5	25	5	25	4	20	4	20	3	15	3	15
	Est. Investment in Building required £ (High value = 0 / no investment req'd = 5)	5	5	25	2	10	1	5	2	10	3	15	5	25
	CSSIW / H&S recommendations outstanding (High No. = 0 / None = 5)	3	5	15	5	15	5	15	5	15	5	15	5	15
	Layout fit for purpose to deliver future model? (Yes = 5 / No = 0)	5	3	15	3	15	4	20	5	25	5	25	2	10
	Accessibility & Security fit for purpose to deliver proposed model? (Yes = 5 / No = 0)	5	3	15	2	10	4	20	5	25	5	25	3	15
	Est. value of site for redevelopment (High value = 0 / Low value = 5)	5	4	20	2	10	3	15	4	20	2	10	4	20

Total	33	28	130	21	95	23	105	27	125	26	120	25	115
Score			3.9		2.9		3.2		3.8		3.6		3.5

		BONYMAEN HSE		PARKWAY		ST JOHNS		ROSE CROSS HSE		TY WAUNARLYDD		THE HOLLIES	
Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
LOCATION													
Availability of alternative residential provision in the vicinity? (Yes = 0 / No = 5)	5	1	5	1	5	1	5	1	5	1	5	2	10
Total	5	1	5	1	5	1	5	1	5	1	5	2	10
Score			1.0		1.0		1.0		1.0		1.0		2.0

		BONYMAEN HSE		PARKWAY		ST JOHNS		ROSE CROSS HSE		TY WAUNARLYDD		THE HOLLIES	
Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
CURRENT LEVEL OF USE													
Current occupancy/ attendance levels (High = 5 / Low = 0)	4	5	20	3	15	4	16	4	16	5	20	4	16
Current usage alignment with proposed service model? (High = 5 / Low = 0)	4	5	20	3	12	2	8	5	20	5	20	4	16
Total	8	10	40	6	27	6	24	9	36	10	40	8	32
Score			5.0		3.4		3.0		4.5		5.0		4.0

		BONYMAEN HSE		PARKWAY		ST JOHNS		ROSE CROSS HSE		TY WAUNARLYDD		THE HOLLIES	
Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
DEPENDENCIES													
Grant funding received to invest in building/service? (Yes = 5 / No = 0)	5	5	25	1	5	1	5	1	5	5	25	1	5
Total	5	5	25	1	5	1	5	1	5	5	25	1	5
Score			5.0		1.0		1.0		1.0		5.0		1.0

200

132

139

171

190

162

Appendix 3: Equality Impact Assessment (EIA) Report

This form should be completed for each Equality Impact Assessment on a new or existing function, a reduction or closure of service, any policy, procedure, strategy, plan or project which has been screened and found relevant to equality.

Please refer to the ‘EIA Report Form Guidance’ while completing this form. If you need further support please contact acesstoservices@swansea.gov.uk.

Where do you work?
Service Area: Adult Services
Directorate: People

(a) This EIA is being completed for a:

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

(b) Please name and describe here: Proposed Model for Residential Care

Following the commissioning review of Residential care for older people (2016), the preferred option is now progressing for decision – in summary the proposal is to shape the internal provision of residential care to focus on complex care needs, short-term residential reablement and respite care. To achieve this change resources will need to be focused upon specialisms and as a result ‘standard’ / non- complex residential care provision will no longer be provided by the Council. Standard /non-complex residential care will be provided via our externally commissioned services only. The change would also mean a concentration of staff resources and skills to ensure the necessary specialists and the right environment are in place to achieve our resident’s outcomes.

By adopting the preferred options and developing its provision in relation to complex care, the Council will be able to provide better care for people with complex needs such as dementia. This is an identified area of need that the independent sector struggles to meet.

Refocussing internal provision in this way will hopefully allow the Council to provide better services and care for its residents. It will also provide market certainty for the independent sector surrounding the commissioning of standard residential care.

The Council also recognises that to deliver this vision of an improved residential care offer will require significant capital investment and this requirement has been added to the Council’s Capital programme for the next 5 years.

By concentrating its resources on these specialisms, the Council will work towards providing an improved service for residents in Swansea, but will need less in-house beds to provide these specialisms.

This consolidation of resources can be achieved through the closure of one residential care home identified as Parkway Residential care home following an evaluation exercise to determine the Council home least fit for purpose to deliver the preferred future model (a separate EIA has been completed for the specifics surrounding this).

(c) It was initially screened for relevance to Equality and Diversity on: 25/01/15, December 2016 & March 2017. This EIA has been continually updated alongside the consultation process. The report outlines the final impact taking into account the outcomes of the consultation.

(d) It was found to be relevant to...

- | | | | |
|------------------------------------|-------------------------------------|--------------------------------------|-------------------------------------|
| Children/young people (0-18) | <input type="checkbox"/> | Sexual orientation | <input type="checkbox"/> |
| Older people (50+)..... | <input checked="" type="checkbox"/> | Gender reassignment | <input type="checkbox"/> |
| Any other age group | <input checked="" type="checkbox"/> | Welsh language | <input checked="" type="checkbox"/> |
| Disability | <input checked="" type="checkbox"/> | Poverty/social exclusion..... | <input checked="" type="checkbox"/> |
| Race (including refugees)..... | <input checked="" type="checkbox"/> | Carers (including young carers)..... | <input checked="" type="checkbox"/> |
| Asylum seekers | <input type="checkbox"/> | Community cohesion | <input type="checkbox"/> |
| Gypsies & Travellers..... | <input type="checkbox"/> | Marriage & civil partnership | <input type="checkbox"/> |
| Religion or (non-)belief | <input type="checkbox"/> | Pregnancy and maternity | <input type="checkbox"/> |
| Sex..... | <input type="checkbox"/> | | |

(e) Lead Officer

Name: Cathy Murray

Job title: Principal Officer Service Provision

Date: 17th August 2018

(f) Approved by Head of Service

Name: Alex Williams

Date: 17th August 2018

Section 1 – Aims (See guidance):

Briefly describe the aims of the initiative:

What are the aims?

In line with the principles of the Social Services and Wellbeing (Wales) Act, the model agreed for Adult Services in 2016 had the following principles at its core:

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

It was agreed through an options appraisal and consultation that in order to best meet these strategic priorities a remodelling of our internal provision was needed with a focus on complex care, short-term residential reablement and respite. The focus of the service would be about aiming to achieve better outcomes for people with reablement and greater independence for both residents and carers at its core.

In line with the key principle of better prevention, if the proposed model for Residential Care is implemented the Council will be able to designate more 'in-house' beds as respite provision, which will allow carers greater certainty and planning surrounding respite arrangements helping them to keep their loved ones at home for longer by providing them with a much needed break.

The reablement provision within Residential Care will also be further developed to better support people when leaving hospital or when they are finding it difficult to stay at home without support. Again, in line with the key principles of better prevention and early intervention, providing people with support in this way allows them to regain skills and independence to return to their own homes in line with their desired personal outcomes.

To achieve these objectives, if the Residential Care Model is approved by Cabinet, following public consultation the changes would be as listed below

- The closure of Parkway Residential Home.
- Gradual phase out of standard residential care in the remaining five Swansea Council Residential Care homes. (Ty Waunarlwydd, Bonymaen House, St Johns, Rose Cross House and The Hollies)
- Some residents at Parkway would need to relocate to independent sector homes.
- No new admissions for standard residential care in Local Authority provision. This will mean that those individuals who wish to access standard residential care in the future will access independent sector provision only

Who has responsibility?

Head of Adult Services – Alex Williams

Who are the stakeholders?

- Service users
- Carers / Families
- ABMU Health Board representatives (including Older People Mental Health and Therapies)
- Cabinet and Elected Members (including political and opposition majority, representing areas across Swansea)
- Provider Staff (including, Managers, Care Officers and Drivers)

- External Day Care providers (Gwalia, Swansea Carers Centre and Red Cafe)
- Future Day Care Service Users representatives (Network 50+, Age Cymru, Alzheimer's Society, SCVS Swansea Dementia Friendly Forum, Advocacy Officer and Minority Ethnic Elders - SBREC)
- Integrated Community Services staff (Social Work Team Leaders, Social Workers and Care Management Officers)
- Officers from Social Services (including key Budget Holders, Commissioning, Safeguarding, Direct Payments, Local Area Coordinator).
- Officers from Corporate departments (accountancy, human resources, legal, commercial & commissioning unit, health & safety, housing, scrutiny and property)
- Union representation (GMB, UCATT and Unison)
- Older Peoples Commissioner
- Council Sheltered Housing complexes
- Other organisations e.g SCVS, Carers centre, Age concern, Disability Liason Group, Contracted independent providers , Swansea Dementia Forum , 50+ Network , Ageing Well Steering group

Section 2 - Information about Service Users (See guidance):

Please tick which areas you have information on, in terms of service users:

Children/young people (0-18)	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Older people (50+).....	<input checked="" type="checkbox"/>	Gender reassignment	<input type="checkbox"/>
Any other age group	<input checked="" type="checkbox"/>	Welsh language	<input checked="" type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	Poverty/social exclusion.....	<input type="checkbox"/>
Race (including refugees).....	<input checked="" type="checkbox"/>	Carers (including young carers).....	<input checked="" type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	Community cohesion	<input type="checkbox"/>
Gypsies & Travellers.....	<input type="checkbox"/>	Marriage & civil partnership	<input checked="" type="checkbox"/>
Religion or (non-)belief	<input checked="" type="checkbox"/>	Pregnancy and maternity	<input type="checkbox"/>
Sex.....	<input checked="" type="checkbox"/>		

Please provide a snapshot of the information you hold in relation to the protected groups above:

There are 6 in-house residential care homes with a total of 198 beds. 180 of those beds are currently registered with CIW; 135 are used for long-term care, with the remaining 45 used for residential reablement or respite.

Taking a snapshot in time, the following table shows the number with complex needs at each site.

Care Home	Total beds	Beds used for Long Term care	Total no of residents with complex care needs	Complex due to dementia
Bonymaen House	29	6	3	0
Parkway NB 26 beds are registered.	36	22	30*	7
Rose Cross	33	23	17	7
St Johns	29	29	6	0
The Hollies	23	15	14	0
Ty Waunarlwydd NB 40 beds are registered.	48	40	13	13
TOTAL	198	135	83	27

**indicates use for respite where appropriate – i.e not permanent residents so multiple residents would have used the same bed at differing times.*

At the snapshot taken, the total number of residents using the beds in line with the preferred model of residential reablement, complex care and respite were as follows:

Service Type	Current usage
Complex Care (not inc dementia)	86
Dementia Care as a subset of Complex Care	48
Assessment and rehab Services	34
Respite services	23
TOTAL	143

Within Adult services we hold client records for all service users on the PARIS client management system which provides greater detail around all of the protected groups. Unfortunately these records do not capture all of the service user information as a mandatory requirement nor can it easily disaggregate records to specific services i.e we cannot pull information on clients based on the services they use.

Therefore, Residential Care Services staff capture information on their clients manually on site. This information has been collated as part of the Impact Assessment report for the identified site for potential closure

In support of the proposed model for Residential Care, future service user demand and level / complexity of need has also been considered to ensure we propose a model which is fit for purpose and sustainable.

A regional population assessment was conducted by Western Bay (covering Neath Port Talbot, Bridgend and Swansea Localities) which has helped to better understand the future need in our locality amongst older people and carers, key extracts include:

- By 2041 the number of people over 65 is expected to increase by 37%
- By 2035 the number of people over 85 is expected to increase by 119%

Projection tools used this information to predict the following around the level of need of our regional population:

- By 2020 the population aged over 65 would exceed 111,070 in the region with around 45% of this group living alone. Of that group it is predicted 18.5% would be unable to manage at least one mobility activity on their own (including going outdoors).
- The number of people with dementia is also predicted to significantly increase across the region due to the increased life expectancy and ongoing improvement of diagnosis of the condition. People with dementia are likely to have complex needs
- It is estimated that one in four people in a general hospital bed have dementia
Many experience delays in discharge and an estimated third of people with dementia die in hospital

The population assessment does not break down the data into individual protected groups. We know however that very few people from BME communities access our services. The main reason for this is that people from BME communities tend to be cared for at home by extended family networks and are less likely to approach us for statutory support.

Any actions required, e.g. to fill information gaps?

Continued monitoring of those who access the Residential Care system/ Social Services by protected group.

As described manual records need to be maintained in relation to service user details on site at Residential Care Homes.

Swansea Council alongside regional partners including the Local Health Board are progressing with the implementation of the Welsh Community Care Information System – this will hold client records for all local authority and Health services and replace the current PARIS client management system used within Adult Social Services. The new system will be developed to better capture and easily extract information around our service users and protected characteristics.

Section 3 - Impact on Protected Characteristics (See guidance):
Please consider the possible impact on the different protected characteristics.

Current & future Service Users & Carers

	Positive	Negative	Neutral	Needs further investigation
Children/young people (0-18) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Thinking about your answers above, please explain in detail why this is the case.

Positive Impact:

- Children and young people
- Older people
- All age groups
- Disability
- Carers (incl. young carers)
- Race
- Religion or (non) belief
- Sex
- Sexual Orientation
- Gender Reassignment

The model has been developed to provide the necessary resource and capacity to deliver the best possible Residential Care Services to those most in need across Swansea. The principle is that in line with population projections there is an increased and increasing level of complex needs, particularly with older people with dementia in Swansea. Likewise, reablement and the capacity to support individuals to fulfil their personal outcomes and increase independence and the likelihood of returning home to their communities is crucial to the wellbeing of older people in Swansea.

This demand, alongside other complex health issues, will only continue to grow in the years to come – realigning Residential Care Services now will provide Swansea Council the opportunity to upskill staff and create the necessary Residential Care Service environment which will support the outcomes of service users and carers. This is a positive impact on current service users, their carers and future clients alike by ensuring the service is fit for purpose and sustainable at that level for future years.

In addition the proposed model will continue to provide Residential Care Services to all those where it is the only means of support to meet their outcomes including older people with learning disabilities, mental health problems, sensory impairment or physical disabilities, regardless of their protected characteristic.

For these clients services will be improved with more specialist support which will better meet their needs.

The model also accommodates an increase in respite care beds – offering carers including young carers a necessary break from care duties, when needed. This will be positive, supports the preventative model and recognises the importance of the health and well being of both the individual and their support network

We do however recognise that although the proposed model is positive for the future of Swansea residential care the impact on those affected by the closure of Parkway residential home must be acknowledged – this detail and actions to minimise disruption are detailed in the specific equality impact assessment report related to Parkway.

In addition for future non-complex clients residential care will be managed via our externally provided / commissioned services. Whilst this could be perceived as negative, all external services are registered with Care Inspectorate Wales and effective contract monitoring is in place by Swansea Council to provide assurance over quality. Any quality issues are addressed at the earliest opportunity. There is also an oversupply of standard residential care in the independent sector. As of August 2018, there were 73 vacancies immediately available in the sector with a further 42 due to come up shortly but currently unavailable due to issues such as refurbishment. Swansea Council is keen to see the sector thrive and develop which greater demand into their residential homes will facilitate.

Neutral Impact:

- Poverty/social inclusion
- Welsh Language
- Asylum Seekers
- Marriage and civil partnership
- Pregnancy and maternity.

The current provision of Residential Care Services will remain unchanged in relation to the above areas. Impact will only be attributable to assessment of need as detailed above. As the proposed model describes we will continue to provide services to those with complex health needs and those older people with learning disabilities, mental health problems, sensory impairment or physical disabilities where these services are the only means of support to meet their outcomes.

The proposed model will have no impact on poverty and social inclusion as all individuals will have their needs met, if they are eligible for support, regardless of their financial circumstances.

Asylum seekers with no recourse to public funds would not be eligible for social care services, unless their human rights were breached.

There will be a neutral impact in relation to Welsh Language. As part of the wider Swansea Council objectives, Adult services will continue to develop and review its Welsh Language strategy focusing on the wider implementation of the 'active offer' as defined within 'More than just words' guidance. This is an ongoing area of development which will continue to improve but is unaffected by the proposed model of delivery. For the purposes of future consultation, information on language is held for service users and all correspondence and consultation materials will be available in Welsh Language format.

Needs Further investigation:

- Gypsies & Travellers
- Community Cohesion

It is recognised that not enough information is held in relation to the areas listed above to fully understand the impact of the revised model for Residential Care. However the principles of the overall proposed model maintain the objectives of building a sustainable service which will be best able to meet the needs of those with most complex support requirements throughout Swansea. Improved information gathering on these areas across Social Services and partner organisations will assist with this learning.

In relation to gypsies and travellers we currently do not capture information on this in relation to our residents, but the numbers are likely to be low or negligible as gypsy and traveller communities would generally care for family members within their communities rather than access the formal care system, unless circumstances meant that they were unable to manage.

Community Cohesion has been recognised and evaluated as part of the criteria when assessing the options for Residential service closures (detailed in the separate Equality Impact Assessment relating to Parkway). This assessment included a wider discussion around Residential Service's community links and active engagement of staff, premises and service users with the wider community via partner and voluntary organisations. There have been excellent examples of this work in practice with a number of Residential services which potentially have a positive impact on community cohesion. However, impact outside of service user engagement and impact on achievement of personal outcomes has not been formally expanded to fully understand wider implications and benefits. The Model and proposed reduction in Residential Services may or may not have a positive impact on community cohesion. This will be taken forward for review as part of the wider implementation if approved.

The EIA will remain open until such time as the model is implemented, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these areas which isn't already being addressed.

Section 4 - Engagement:

What engagement has been undertaken to support your view? How did you ensure this was accessible to all?

A 12 week stakeholder consultation commenced on 30/04/18 and concluded 23/07/18.

Documents were provided in English and Welsh and were available in large print on request. We identified the preferred language of the affected Services Users when communicating with them during the consultation

Consultation information was provided to staff, and details were available on the Council website and intranet, through the Media, Facebook and Twitter.

A Stakeholder Map was created with the service which identified stakeholders and has been used by the service to evidence engagement with the stakeholders.

Consultation with stakeholders was as follows:

- All Councillors were briefed regarding the proposals

- Ward Councillors - Cllr Child, the Cabinet Member, spoke to or offered to speak to relevant Ward Councillors
- AM/MPs - letter issued to raise awareness of consultation
- Older Peoples Commissioner - letter issued to raise awareness of consultation
- Trade Unions – Initial meeting held with Management/HR and Unions. Meetings were held on an ongoing basis as necessary
- Library Managers briefed and provided copies of hardcopy questionnaires and displayed in all libraries
- Contact Centre Manager briefed to inform all relevant Contact Centre/Switchboard staff of consultation. Hardcopy questionnaires available in CC and Guildhall reception
- Email or letters sent to all identified relevant stakeholders raising awareness of the consultation and offering to attend any meetings if required
- All external residential homes were made aware of the consultation.
- The Head of Adult Services met with the Disability Liaison Group to raise awareness of consultation.
- Swansea Council sheltered complexes – hardcopy questionnaires issued.

The following was also undertaken with those service users directly affected and their families and carers:

1. Bilingual Letters issued pre consultation and letters/questionnaires issued during consultation.
2. Consultation meetings took place at Parkway with residents and families on 8th May 2018, 21st May 2018, 5th June 2018 and 6th June 2018. The details of who attended the meetings is included in the specific Equality Impact Assessment in relation to Parkway.
3. 1 to 1s arranged as necessary at various times.
4. Social Workers met with relevant affected Service Users to complete review to help determine if had complex or non-complex needs to help inform their response to the consultation.
5. Other Council-run home residents were made aware of consultation by management and Welsh/English hardcopy questionnaires provided

A separate staff and Trade Union 12 week consultation ran concurrently to the wider stakeholder consultation. The staff consultation commenced on 30/04/18 and ended on 23/07/18, this exceeded the legal requirement of a 30-day consultation. It was identified that 34 staff were potentially affected at the start of the Consultation.

What did your engagement activities tell you? What feedback have you received?

Regarding the whole Residential Care Model and proposed closure the following number of responses were received:

Info received	No. rec'd
Online Questionnaire	42

Hardcopy Questionnaires	21 Included in the 42 above
Letters	2
Emails	5
Petition with 1000 names	1
TOTAL	50

42 respondents completed the questionnaire either online or on paper. The responses to both the paper and online questionnaire are amalgamated below.

(NB: numbers for each question differ as do the stats as some people choose not to answer all questions)

In relation to the Residential Care services model the following summarised responses were recorded:

- **Question 1. Do you agree or disagree with our proposed changes to residential care for older people? 39/42.**

Strongly agree 8, Tend to agree 7, Tend to disagree 4, Strongly disagree 20

- **Question 2. Please expand your answer below: 35/42 respondents commented (included in survey themes below).**

Key Themes	Responses Nos
Council Homes are better - the Council provides better care than services in the private sector	5 (14%)
In favour or enabling people to remain living independently for longer	2 (5%)
Impact on Choice (and Location) - reliance on independent sector for non-complex care reduces choice. Particularly in terms of location which is key to maintaining relationships. 1 comment that there is not enough choice for respite in the independent sector.	6 (17%)
Cost of Private Care Homes - third party charges mean that residents and their families will not be able to afford private care home fees.	3 (8%)
Definition of complex care - that the definition of complex care needs to be more specific.	1 (2%)
	Page 90
Concerns about privatisation of all	1 (2%)

council owned care homes.- this proposal may lead to closure / privatisation of all homes.	
Financial concerns. - concerned about decisions being driven by budget pressures.	2 (5%)
Financial Concerns Cont... concerned about private sector profit motives	2 (5%)
Support for Proposals. 4 comments were in support of proposals. 2 of these were very positive, 2 were neutral accepting that changes were necessary. 1 comment (from ABMU HB) was neutral on grounds that the proposal makes sense if care is available elsewhere (but commenting that calculations are not clear and assurances of alternatives have not been provided in the consultation.	4 (11%)
Multiple - This response highlights concerns relating to impact on residents, cost to families, quality of care in private sector, reduced choice and availability of respite care.	1 (2%)
Availability of beds - comments about difficulty finding care homes beds in independent sector. 1 Comment that beds at LA homes are always full. 1 comment that hospital bed blocking occurs because of lack of beds.	2 (5%)
Staffing Extra staffing will be needed for residents with complex needs.	1 (2%)
Wellbeing - comments received related to the impact that moves will have on residents' wellbeing. Some of these concerns relate to choice and location impacts and equalities and human rights impacts.	5 (12%)
Reablement - asked why can't Parkway be used for reablement services.	1 (2%)

- **Question 3. Are there any other options you feel the Council should have looked at in relation to the Residential Care Service for Older People?** - 34/42 responded (included

in survey themes below).

Key Themes	Responses Nos
Alternative Suggestions - respondents proposed alternative suggestions regarding use of building or type of service / ownership at location of Parkway.	6 (17%)
Care at Home - people commented that dom care services could lead to savings, or could be more appropriate than residential care	5 (14%)
Save Money Elsewhere - commented that the council should prevent closure by saving money elsewhere.	4 (11%)
Budget Pressures - comments that proposals are purely driven by budget pressures and do not show sufficient regard for resident welfare.	2 (5%)

Question 4. Considering the above, do you agree or disagree with the following...

The criteria used to access each care home were the right ones. 36/42 responded.

- Strongly agree 3, Tend to agree 14, Tend to disagree 6, Strongly disagree 13

The proposal to close Parkway Residential care 36/42 responded.

- Strongly agree 3, Tend to agree 8, Tend to disagree 7, Strongly disagree 17

How have you changed your initiative as a result?

The key potential adverse impacts of the overarching model for residential care on people with protected characteristics particularly older people are set out below, alongside appropriate mitigation:

- Inadequate staffing and unsuitable buildings could mean that the Council was unable to meet the needs of people with more complex needs; by way of mitigation the Council will ensure that adequate staffing is in place with suitably skilled and trained staff and that buildings are fit for purpose to meet people's needs.
- There is a risk that the proposed closure of Parkway could lead to insufficient number of beds in the market to deal with current and future demand for residential care for older people. At any given time, Swansea has an average 8% vacancy rate, which is approximately 125 beds. At the time of finalising the proposals there were 17 residents at Parkway, with a total of 26 beds. Closing Parkway would lead to a reduction of 9 vacant beds in the market reducing the total number of vacancies to 116. The modelling exercise undertaken during the review which took account of population projections would suggest that there are sufficient beds to meet current and future demand.
- All of the above had a potential adverse impact on carers due to the overall stress and worry of the situation, and being concerned about their loved ones. However, mitigating as set out above and in the separate EIA relating to Parkway would also mitigate the impact on carers by alleviating some of the stress and worry involved.

In addition to the above, it had already been agreed that the overarching model would be phased in gradually. Therefore, there would be no requirement for those with non-complex needs not resident at Parkway to move. They would be enabled to remain in their current home,

until such time as they moved on for natural reasons. This decision was taken to minimise the impact on the wider population and adverse impacts consequently on older people, people with disabilities and their carers.

In general, there was not majority support for the model or the proposal to close Parkway. However, the Council has considered all possible alternative options, but has not been able to identify any financially sustainable alternatives that allow it to ensure certainty of care for reablement, respite and more complex needs whilst overall enabling independence, helping people to remain at home for as long as possible and ensuring the needs to all vulnerable adults are met.

There is clearly a risk if the proposed model is approved, that there could be a negative impact on those individuals currently resident at Parkway due to the need to move. However, this risk can be mitigated as much as possible by ensuring robust social work assessment identifies those move on plans and all those affected are supported before, during and after any move. In addition, there could be a positive impact on the wellbeing of current residents at Parkway as they may be happier elsewhere and build positive relationships as part of any move. This is explored further in the Equality Impact Assessment specific to Parkway.

On balance therefore remodelling as per the proposals will allow the Council to effectively meet the requirements of both the Social Services and Wellbeing (Wales) Act and Well Being of Future Generations (Wales) Act by providing a model of care that is sustainable for the future, and effectively meets the needs of an ageing population with more complex needs. The Council is therefore confident that the recommendations put forward are appropriate despite there not being majority support for the proposals.

There were no proposed changes to the model as a consequence of the consultation responses as the impact would be minimised by restricting any potential moves to those resident at Parkway (a maximum of 17 residents), and all remaining adverse effects could be effectively mitigated.

Please consider all of your engagement activities here, e.g. participation, consultation, involvement, co-productive approaches, etc.

Any actions required (e.g. further engagement activities, mitigation to address any adverse impact, etc.):

A communication plan for the ongoing engagement with stakeholders throughout the process will continue – reaffirming the purpose of the model of delivery and latest updates around decisions. This communication plan will form a key part of the overall project plan should the proposals proceed.

Individual social work assessments will need to take place with all those affected at Parkway; full details of this will be included in the specific Equality Impact Assessment relating to Parkway.

Please consider how the initiative might address the following issues - see the specific Section 5 Guidance

Foster good relations between different groups	Advance equality of opportunity between different groups
Elimination of discrimination, harassment and victimisation	Reduction of social exclusion and poverty

Please explain any possible impact on each of the above.

The service model for Adult Services aims to impact on all of the above.

In general terms The Social Services and Wellbeing (Wales) Act 2014 provides the legal framework for improving the wellbeing of people who need care and support, carers who need support and for transforming social services in Wales. It reforms social services law, changes the way people's needs are assessed and the way in which services are commissioned and delivered. People with care and support needs will have more of a say in the care and support they receive and there is an emphasis on supporting individuals, families and communities to promote their own health and wellbeing.

The Act introduces common assessment and eligibility arrangements, strengthens collaboration and the integration of services particularly between health and social care, and provides an increased focus on prevention and early help. Local Authorities and health boards have come together in new statutory Regional Partnership Boards to drive integration, innovation and service change.

The Act also promotes the development of a range of help available within the community to reduce the need for formal, planned support. Local Authorities need to work with people to develop solutions to immediate problems and reduce the need for complex assessment and formal provision of care. Where people have complex needs, which require specialist and/or longer term support, local authorities will work with people and their families to ensure that high quality and cost effective services are available at the right time and in the right place.

Local Authorities and their partners need to make sure that people can easily get good quality information, advice and assistance, which supports them to help themselves and make the best use of resources that exist in their communities without the need for statutory support.

Local Authorities also need to ensure a shift from a deficit and dependency model to a model, which promotes wellbeing and independence focused on individual outcomes rather than service targets and objectives.

There will be stronger powers to keep people safe from abuse and neglect.

The Adult services model has interpreted this requirement and embedded into all service development, including the proposed model around Residential Care.

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

“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 proposed new model for Residential Care supports this vision and the overarching Swansea Council model for Adult Social Care agreed in 2016.

What work have you already done to improve any of the above?

Using this vision as our cornerstone a number of positive steps have been taken to address the 4 priorities listed. These include the development of integrated community Hubs which offer community based services staffed by Social Workers, Nursing staff, Occupational Therapists, Physiotherapists and other community support resources from both the Local Health Board and Local Authority – their purpose is to offer a consistency of approach regardless of the individual’s geographical location, staff member providing contact and services which are offered.

It also promotes a service around the individual ensuring that everyone who needs to be involved is available to offer a timely intervention if needed

This model also provides greater consistency in our approach to safeguarding – ensuring that the vulnerable have the most robust processes and professional framework in place to keep them safe from abuse.

It has also enabled us to develop alternative models to traditionally managed care like Residential Care Services – the investment and development of Bonymaen House and Ty Waunarwydd to focus services on reablement and complex care demonstrated improved outcomes for residents. Equipment, the right facilities and environment combined with the necessary skilled integrated resources (both Swansea Council and Local Health board employees) working together have helped to assist individuals in achieving their personal outcomes

The remodelling of Residential Care Services alongside the other commissioning reviews of services allows us to refocus our limited resources into the most complex of needs and shift investment into the more sustainable and long term investment of building on those assets which already exist within the community.

Is the initiative likely to impact on Community Cohesion? Please provide details.

The principle of maximising on people’s strengths and supporting the identified wellbeing outcome of improved independence and the ability to remain within our own homes and communities for longer will assist with the maximisation of existing schemes and development/potential investment in expansion of these available community based services. This forms part of the wider Prevention Strategy and overall service model for Adult Services in Swansea. It is also a corporate priority across Swansea Council. Community cohesion is consequently impacted on positively by encouraging people to maximise their networks and supports in communities rather than be reliant on statutory support.

How does the initiative support Welsh speakers and encourage use of Welsh?

Across all adult services the ‘Active offer’ is in place - at its heart is the idea that being able to use your own language must be a core component of care – not an optional extra.

In an aim to achieve this Adult Services alongside the whole council are working towards mainstreaming welsh language services as an integral part of service planning and delivery. This continues to be a priority regardless of outcomes tied to this proposal.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).

Not applicable.

Section 6 - United Nations Convention on the Rights of the Child (UNCRC):

Many initiatives have an indirect impact on children and you need to consider whether the impact is positive or negative in relation to both children's rights and their best interests. Please read the UNCRC guidance before completing this section.

Will the initiative have any impact (direct or indirect) on children and young people (think about this age group holistically e.g. disabled children, those living in poverty or from BME communities)? If not, please briefly explain your answer here and proceed to Section 7.

All initiatives must be designed / planned in the best interests of children and young people.

Best interests of the child (Article 3): The best interests of children must be the primary concern in making decisions that may affect them. All adults should do what is best for children. When adults make decisions, they should think about how their decisions will affect children. This particularly applies to budget, policy and law makers.

Please explain how you meet this requirement:

We recognise that we need to ensure that all carers (regardless of age) are supported. For this reason, we have joint commissioning arrangements for Adult Services and Child & Family Services for those which support young carers. This proposal will ensure much needed respite for those carers supporting individuals with complex needs will continue to be provided.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).

Impact on this group will continue to be monitored if the proposal is approved. Communication and engagement with alternative provisions for non-complex clients will be managed as part of the social work support if the proposal is approved.

Section 7 - Monitoring arrangements:

Please explain the monitoring arrangements for this initiative:

Monitoring arrangements:

EIAs to be continually updated in line with decision making and further consultation

Corporate communications team and Access to Services team will continue to be engaged in process with key updates provided as and when possible

Social work assessments for residents at Parkway to manage impact of change (if approved)

Ongoing project monitoring of overarching project plan to ensure project is delivered in line with objective and any adverse impacts are mitigated.

Implementation of model and affected processes to be mapped and planned appropriately (if approved)

Actions:

Ongoing update of EIA.

(Dependent on decision) commencement of social work assessments for those residents directly affected at Parkway.

(Dependent on decision) finalisation of revised project plan.

(Dependent on decision) implementation of proposed model and associated home closure.

(Dependent on decision) monitoring of outcomes and impact on non-eligible clients to be developed and produced.

Section 8 – Outcomes:

Having completed sections 1-5, please indicate which of the outcomes listed below applies to your initiative (refer to the guidance for further information on this section)

- Outcome 1: Continue the initiative – no concern
- Outcome 2: Adjust the initiative – low level of concern
- Outcome 3: Justify the initiative – moderate level of concern
- Outcome 4: Stop and refer the initiative – high level of concern.

For outcome 3, please provide the justification below:

For outcome 4, detail the next steps / areas of concern below and refer to your Head of Service / Director for further advice:

Section 9 - Publication arrangements:

On completion, please follow this 3-step procedure:

1. Send this EIA report and action plan to the Access to Services Team for feedback and approval – acesstoservices@swansea.gov.uk
2. Make any necessary amendments/additions.
3. Provide the final version of this report to the team for publication, including email approval of the EIA from your Head of Service. The EIA will be published on the Council’s website - this is a legal requirement.

EIA Action Plan:

Objective - What are we going to do and why?	Who will be responsible for seeing it is done?	When will it be done by?	Outcome - How will we know we have achieved our objective?	Progress
Inform Parkway Residents and their families, and staff of outcome of Cabinet Decision	Head of Service	Post Cabinet on 20/09/18	Letters issued	
Inform key stakeholders of outcome	Head of Service	Post Cabinet on 20/09/18	Letters/emails issued	
Inform other Council Residential service users	Head of Service	Post Cabinet on 20/09/18	Letters issued	
Revise overall project plan (if approved)	Project Management Support	Post Cabinet on 20/09/18	Project plan completed	
Stop all new admissions for standard residential care for non-complex needs (if approved)	Principal Officer for Service Provision	Post Cabinet on 20/09/18	No new admissions	
Commencement of Social Work Assessments to manage impact of change (if approved)	Principal Officer for Service Provision	Post Cabinet on 20/09/18	Monitoring that all assessments are taken	
Support before, during and after moves from Parkway (if approved)	Allocated Social Workers	Post Cabinet on 20/09/18	Ongoing monitoring by social workers	
Closure of Parkway (if approved)	Head of Service	Early 2019	Parkway closes	

Remodelling of remaining services in line with preferred model	Principal Officer for Service Provision	Early 2019	Revised model to deliver residential reablement, respite and complex care	
Ongoing revision to EIA	Project Management Support	Ongoing	Evidence of EIA being updated.	

*** Please remember to be 'SMART' when completing your action plan (Specific, Measurable, Attainable, Relevant, Timely).**

Appendix 4: Equality Impact Assessment (EIA) Report

This form should be completed for each Equality Impact Assessment on a new or existing function, a reduction or closure of service, any policy, procedure, strategy, plan or project which has been screened and found relevant to equality.

Please refer to the 'EIA Report Form Guidance' while completing this form. If you need further support please contact acesstoservices@swansea.gov.uk.

Where do you work?
Service Area: Adult Services
Directorate: People

(a) This EIA is being completed for a:

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

(b) Please name and describe here: **Proposed Closure of Parkway Residential Care**

Following the commissioning review of Residential care for older people (2016), the preferred option is now progressing for decision – in summary the proposal is to shape the internal provision of residential care to focus on complex care needs, short-term residential reablement and respite care. To achieve this change resources will need to be focused upon specialisms and as a result 'standard' / non-complex residential care provision will no longer be provided by the Council. Standard /non-complex residential care will be provided via our externally commissioned services only. The change would also mean a concentration of staff resources and skills to ensure the necessary specialists and the right environment are in place to achieve our resident's outcomes.

By adopting the preferred options and developing its provision in relation to complex care, the Council will be able to provide better care for people with complex needs such as dementia. This is an identified area of need that the independent sector struggles to meet.

Refocussing internal provision in this way will hopefully allow the Council to provide better services and care for its residents. It will also provide market certainty for the independent sector surrounding the commissioning of standard residential care.

The Council also recognises that to deliver this vision of an improved residential care offer will require significant capital investment and this requirement has been added to the Council's Capital programme for the next 5 years.

By concentrating its resources on these specialisms, the Council will work towards providing an improved service for residents in Swansea, but will need less in-house beds to provide these specialisms.

This consolidation of resources can be achieved through the closure of one residential care home identified as Parkway Residential care home following an evaluation exercise to determine the Council home least fit for purpose to deliver the preferred future model

(c) It was initially screened for relevance to Equality and Diversity on: 25/01/15, December 2016 & March 2017. This EIA has been continually updated alongside the consultation process. The report outlines the final impact taking into account the outcomes of the consultation.

(d) It was found to be relevant to...

- | | | | |
|------------------------------------|-------------------------------------|--------------------------------------|-------------------------------------|
| Children/young people (0-18) | <input type="checkbox"/> | Sexual orientation | <input type="checkbox"/> |
| Older people (50+)..... | <input checked="" type="checkbox"/> | Gender reassignment | <input type="checkbox"/> |
| Any other age group | <input checked="" type="checkbox"/> | Welsh language | <input checked="" type="checkbox"/> |
| Disability | <input checked="" type="checkbox"/> | Poverty/social exclusion..... | <input checked="" type="checkbox"/> |
| Race (including refugees)..... | <input checked="" type="checkbox"/> | Carers (including young carers)..... | <input checked="" type="checkbox"/> |
| Asylum seekers | <input type="checkbox"/> | Community cohesion | <input type="checkbox"/> |
| Gypsies & Travellers..... | <input type="checkbox"/> | Marriage & civil partnership | <input type="checkbox"/> |
| Religion or (non-)belief | <input type="checkbox"/> | Pregnancy and maternity | <input type="checkbox"/> |
| Sex..... | <input type="checkbox"/> | | |

(e) Lead Officer

Name: Cathy Murray

Job title: Principal Officer Service Provision

Date: 17th August 2018

(f) Approved by Head of Service

Name: Alex Williams

Date: 17th August 2018

Section 1 – Aims (See guidance):

Briefly describe the aims of the initiative:

What are the aims?

In line with the principles of the Social Services and Wellbeing (Wales) Act, the model agreed for Adult Services in 2016 had the following principles at its core:

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

It was agreed through an options appraisal and consultation that in order to best meet these strategic priorities a remodelling of our internal provision was needed with a focus on complex care, short-term residential reablement and respite. The focus of the service would be about aiming to achieve better outcomes for people with reablement and greater independence for both residents and carers at its core.

In line with the key principle of better prevention, if the proposed model for Residential Care is implemented the Council will be able to designate more 'in-house' beds as respite provision, which will allow carers greater certainty and planning surrounding respite arrangements helping them to keep their loved ones at home for longer by providing them with a much needed break.

The reablement provision within Residential Care will also be further developed to better support people when leaving hospital or when they are finding it difficult to stay at home without support. Again, in line with the key principles of better prevention and early intervention, providing people with support in this way allows them to regain skills and independence to return to their own homes in line with their desired personal outcomes.

To achieve these objectives, if the Residential Care Model is approved by Cabinet, following public consultation the changes would be as listed below

- The closure of Parkway Residential Home.
- Gradual phase out of standard residential care in the remaining five Swansea Council Residential Care homes. (Ty Waunarwydd, Bonymaen House, St Johns, Rose Cross House and The Hollies)
- Some residents at Parkway would need to relocate to independent sector homes.
- No new admissions for standard residential care in Local Authority provision. This will mean that those individuals who wish to access standard residential care in the future will access independent sector provision only

Who has responsibility?

Head of Adult Services – Alex Williams

Who are the stakeholders?

- Current residents
- Carers / Families
- ABMU Health Board representatives (including Older People Mental Health and Therapies)

- Cabinet and Elected Members (including political and opposition majority, representing areas across Swansea)
- Provider Staff (including, Managers, Care Officers and Drivers)
- External Residential Care providers
- Future Residents
- Integrated Community Services staff (Social Work Team Leaders, Social Workers and Care Management Officers)
- Officers from Social Services (including key Budget Holders, Commissioning, Safeguarding, Direct Payments, Local Area Coordinator).
- Officers from Corporate departments (accountancy, human resources, legal, commercial & commissioning unit, health & safety, housing, scrutiny and property)
- Union representation (GMB, UCATT and Unison)
- Older Peoples Commissioner
- Council Sheltered Housing complexes
- Other organisations e.g SCVS, Carers centre, Age concern, Disability Liason Group, Contracted independent providers , Swansea Dementia Forum , 50+ Network , Ageing Well Steering group

Section 2 - Information about Service Users (See guidance):

Please tick which areas you have information on, in terms of service users:

- | | | | |
|------------------------------------|-------------------------------------|--------------------------------------|-------------------------------------|
| Children/young people (0-18) | <input type="checkbox"/> | Sexual orientation | <input type="checkbox"/> |
| Older people (50+)..... | <input checked="" type="checkbox"/> | Gender reassignment | <input type="checkbox"/> |
| Any other age group | <input checked="" type="checkbox"/> | Welsh language | <input checked="" type="checkbox"/> |
| Disability | <input checked="" type="checkbox"/> | Poverty/social exclusion..... | <input type="checkbox"/> |
| Race (including refugees)..... | <input checked="" type="checkbox"/> | Carers (including young carers)..... | <input checked="" type="checkbox"/> |
| Asylum seekers | <input type="checkbox"/> | Community cohesion | <input type="checkbox"/> |
| Gypsies & Travellers..... | <input type="checkbox"/> | Marriage & civil partnership | <input checked="" type="checkbox"/> |
| Religion or (non-)belief | <input checked="" type="checkbox"/> | Pregnancy and maternity | <input type="checkbox"/> |
| Sex..... | <input checked="" type="checkbox"/> | | |

Information about Parkway Residential Care staff (See guidance):

Please tick which areas you have information on, in terms of affected staff members:

- | | | | |
|------------------------------------|-------------------------------------|--------------------------------------|-------------------------------------|
| Children/young people (0-18) | <input type="checkbox"/> | Sexual orientation | <input type="checkbox"/> |
| Older people (50+)..... | <input checked="" type="checkbox"/> | Gender reassignment | <input type="checkbox"/> |
| Any other age group | <input checked="" type="checkbox"/> | Welsh language | <input checked="" type="checkbox"/> |
| Disability | <input checked="" type="checkbox"/> | Poverty/social exclusion..... | <input type="checkbox"/> |
| Race (including refugees)..... | <input checked="" type="checkbox"/> | Carers (including young carers)..... | <input checked="" type="checkbox"/> |

Asylum seekers
Gypsies & Travellers.....
Religion or (non-)belief
Sex.....

Community cohesion
Marriage & civil partnership
Pregnancy and maternity

Please provide a snapshot of the information you hold in relation to the protected groups above:

Information held on Service Users:

Within Adult services we hold client records for all service users on the PARIS client management system which provides greater detail around all of the protected groups. Unfortunately these records do not capture all of the service user information as a mandatory requirement nor can it easily disaggregate records to specific services i.e we cannot pull information on clients based on the services they use.

Therefore, Residential Care Services staff capture information on their clients manually on site. This information has been collated as part of the Impact Assessment report for the identified site for potential closure.

There are currently 17 residents in Parkway Residential Care home and we know the following in relation to them:

Age	Gender	Nationality	Disability	Religion	Marital Status
86yrs	Female	British	Yes	N/K	Single (never married)
78yrs	Female	British	Yes	N/K	Widowed
96yrs	Female	British	Yes	N/K	Widowed
89yrs	Female	Welsh	Yes	N/K	Widowed
80yrs	Female	British	Yes	N/K	Widowed
88yrs	Male	British	Yes	Catholic	Widowed
89yrs	Male	Scottish	Yes	Scotland	Widowed
98yrs	Female	British	Yes	N/K	Widowed
89yrs	Female	British	Yes	N/K	Widowed
95yrs	Female	British	Yes	N/K	Widowed
81yrs	Female	British	Yes	N/K	Widowed
89yrs	Female	British	Yes	Welsh Church	Widowed
88yrs	Female	British	Yes	N/K	Widowed
97yrs	Male	British	Yes	N/K	Widowed
89yrs	Female	British	Yes	N/K	Widowed
87yrs	Female	British	Yes	N/K	Single (never married)
88yrs	Female	British	Yes	N/K	Widowed

We have not captured information on ethnicity, but knowledge of the residents means that we know that none come from BME groups.

There were 34 staff potentially affected by the proposals. Information held on Staff at Parkway Residential Care Home is as follows (NULL indicates where the information has not been recorded):

Gender	Age	Marital Status	Nationality	Registered Disabled	Sexual Orientation	Religion	Carer	Welsh
Female	44	Married	NULL	NULL	NULL	NULL	NULL	NULL
Female	62	Married	NULL	NULL	NULL	NULL	NULL	NULL
Female	27	Single	British	NULL	NULL	NULL	NULL	NULL
Female	49	Divorced	Welsh	NULL	NULL	NULL	NULL	NULL
Female	42	Married	British	NULL	NULL	NULL	NULL	NULL
Female	41	Single	Welsh	NULL	Hetrosexual/ Straight	No Religion	Yes	NULL

						or Belief		
Female	32	Single	Welsh	NULL	NULL	NULL	NULL	NULL
Male	48	Divorced	NULL	NULL	NULL	NULL	NULL	NULL
Female	42	Living with Partner (Not Married)	Welsh	NULL	NULL	NULL	NULL	NULL
Female	63	Widowed	NULL	NULL	Hetrosexual/ Straight	NULL	No	NULL
Female	32	Married	Welsh	NULL	NULL	NULL	NULL	NULL
Male	31	Married	British	NULL	Hetrosexual/ Straight	No Religion or Belief	No	NULL
Female	52	Divorced	NULL	NULL	NULL	NULL	NULL	NULL
Female	43	Single	British	NULL	NULL	No Religion or Belief	Yes	NULL
Female	52	Separated but still legally married	British	NULL	NULL	NULL	NULL	NULL
Female	52	Single	British	NULL	NULL	NULL	NULL	NULL
Female	49	Living with Partner (Not Married)	British	NULL	NULL	NULL	NULL	NULL
Female	49	Married	NULL	NULL	NULL	NULL	NULL	NULL
Female	43	Married	NULL	NULL	NULL	NULL	NULL	NULL
Female	28	Living with Partner (Not Married)	Welsh	NULL	NULL	NULL	NULL	NULL
Female	47	Married	British	NULL	Hetrosexual/ Straight	NULL	Yes	NULL
Female	59	Married	Zimbabwean/ Refugee	NULL	Hetrosexual/ Straight	Christian	Yes	NULL
Female	59	Divorced	NULL	NULL	NULL	NULL	NULL	NULL
Female	33	Single	British	NULL	NULL	NULL	NULL	NULL
Male	26	Single	Welsh	NULL	NULL	NULL	NULL	NULL
Female	28	Single	Welsh	NULL	Gay/Lesbian	NULL	Yes	Yes
Female	44	Single	NULL	NULL	NULL	NULL	NULL	NULL
Female	46	Single	British	NULL	Hetrosexual/Straight	Prefer Not To Say	NULL	NULL
Female	51	Married	British	NULL	Hetrosexual/Straight	Christian	NULL	NULL
Female	58	Single	Welsh	NULL	Hetrosexual/Straight	Christian	NULL	NULL
Female	48	Married	NULL	NULL	NULL	NULL	NULL	NULL
Female	49	Single	Portuguese	NULL	Hetrosexual/ Straight	NULL	Yes	NULL
Female	25	Single	British	NULL	NULL	NULL	NULL	NULL
Female	44	Single	NULL	NULL	NULL	NULL	NULL	NULL
Female	49	Single	NULL	NULL	NULL	NULL	NULL	NULL
Female	53	Single	British	NULL	Hetrosexual/ Straight	Prefer Not To Say	NULL	NULL
Female	63	Married	NULL	NULL	NULL	NULL	NULL	NULL
Female	22	Welsh	British	NULL	Hetrosexual/ Straight	Christian	NULL	NULL
Male	51	Single	British	NULL	NULL	NULL	NULL	NULL
Female	46	Divorced	British	NULL	Hetrosexual/ Straight	Christian	No	NULL

Male	32	Single	British	NULL	NULL	NULL	NULL	NULL
Female	40	Single	Welsh	NULL	NULL	NULL	NULL	NULL
Female	61	Married	NULL	NULL	NULL	NULL	NULL	NULL

Any actions required, e.g. to fill information gaps?

As described manual records need to be maintained in relation to service user details on site at Parkway.

Swansea council alongside regional partners including the Local Health Board are progressing with the implementation of the Welsh Community Care Information System – this will hold client records for all local authority and Health services and replace the current PARIS client management system used within Adult Social Services. The new system will be developed to better capture and easily extract information around our service users and protected characteristics.

Staff are encouraged to provide their profile details on our IT system, however this is not mandatory. We will continue to publicise and encourage all our staff to complete.

Section 3 - Impact on Protected Characteristics (See guidance): Please consider the possible impact on the different protected characteristics.

Current & future Service Users & Carers

	Positive	Negative	Neutral	Needs further investigation
Children/young people (0-18) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Older people (50+) →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Asylum seekers →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Carers (inc. young carers) →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Thinking about your answers above, please explain in detail why this is the case.

Negative Impacts:

- Older people
- Disability
- Carers

We recognise that the proposed closure of Parkway Residential Home specifically cannot be viewed as having a positive impact on current residents (many of whom have a disability) and carers. With this in mind of paramount importance is how move on arrangements for residents is managed to ensure all current residents with complex experience minimal impact to their wellbeing.

The key potential adverse impacts of the proposal to close Parkway on people with protected characteristics particularly older people and carers are as follows:

- The wellbeing of older people living at Parkway could be affected if it were to close and they had to move to alternative homes.
- There is potential that there could be inadequate choice of alternative care homes for the older people affected if Parkway were to close.
- There may also be a potential financial impact on service users and families of Parkway Residential Care Home if people have to move to the independent sector as third party top up fees might apply.
- There is a risk that if residents from Parkway had to move, the quality of care for those older people affected could be adversely affected.
- All of the above had a potential adverse impact on carers due to the overall stress and worry of the situation, and being concerned about their loved ones.

We have demonstrated in Section 4 of this EIA how we have mitigated each of the above.

Neutral Impact:

- Children and young people
- Any other age group
- Race
- Religion or (non) belief
- Sex
- Sexual Orientation
- Gender Reassignment
- Welsh Language
- Asylum seekers
- Marriage and civil partnership
- Pregnancy and maternity

Although we have limited information on the individual protected characteristics of residents, all eligible needs of current residents at Parkway will be met, regardless of protected characteristic. All residents will be supported to find an alternative placement which meets their needs. There will be a disproportionate impact on females, as the majority of the residents are female; however again all needs to be will be met regardless of gender.

Asylum seekers with no recourse to public funds would not be eligible for social care services,

unless their human rights were breached.

Needs Further investigation:

- Gypsies & Travellers
- Poverty/Social Exclusion
- Community Cohesion

It is recognised that not enough information is held in relation to the areas listed above to fully understand the impact of the proposals relating to Parkway. However, the impact on gypsies and travellers is likely to be limited, but we don't know for certain whether any resident has come from a gypsy and traveller community.

In terms of community cohesion If a decision is made to close Parkway, the Council will ensure that the Parkway site is released to support accommodation needs of older people, whether this be age-friendly accommodation to encourage independent living or use of the home itself by the independent sector.

The EIA will remain open until such time as Parkway is closed, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these areas as all residents are known to us and any adverse impacts can be mitigated.

Staff Impacts:

There are 34 staff that currently work at Parkway Residential home who would be impacted on if a decision is made to close this home.

The majority of staff are female, so there is a disproportionate impact on females.

Staff have attended meetings and have been kept informed throughout the consultation and encouraged to take part in the 12 week staff consultation process. One to One meetings have also been offered to staff with management, HR and Unions to explain how the proposal will affect them and the redeployment process. Monthly meetings have been held by management/HR with Unions.

Staff have been offered to attend relevant training courses e.g. Selling You.

Swansea Council is committed to minimising compulsory redundancies. All staff at risk have been given access to the Redeployment list (our normal procedure for staff at risk. They have also been provided with a list of vacancies within the service area and advised that anything advertised will now be a temporary contract so vacancies will be made available to these staff at risk.

If a decision is made to close Parkway staff will be issued with formal notice, with Parkway likely to close by January 2019.

Mitigation in relation to staff is included within Section 4 of this EIA.

Section 4 - Engagement:

Please consider all of your engagement activities here, e.g. participation, consultation, involvement, co-productive approaches, etc.

What engagement has been undertaken to support your view? How did you ensure this was accessible to all?

A 12 week stakeholder consultation commenced on 30/04/18 and concluded 23/07/18.

Documents were provided in English and Welsh and were available in large print on request. Staff also helped with explanations of the proposals to residents and family as necessary. We identified the preferred language of the affected Services Users when communicating with them during the consultation

Consultation information was provided via Corporate communications to staff, details were put on intranet and Council's website and the consultation was promoted through the Media, Facebook and Twitter.

A Stakeholder Map was created with the service which identified stakeholders and has been used by the service to evidence engagement with the stakeholders: -.

Consultation with stakeholders was as follows:

- All Councillors were briefed regarding the proposals
- Ward Councillors - Cllr Child, the Cabinet Member, spoke to or offered to speak to relevant Ward Councillors
- AM/MPs - letter issued to raise awareness of consultation
- Older Peoples Commissioner - letter issued to raise awareness of consultation
- Trade Unions – Initial meeting held with Management/HR and Unions. Meetings were held on an ongoing basis as necessary
- Library Managers briefed and provided copies of hardcopy questionnaires and displayed in all libraries
- Contact Centre Manager briefed to inform all relevant Contact Centre/Switchboard staff of consultation. Hardcopy questionnaires available in CC and Guildhall reception
- Email or letters sent to all identified relevant stakeholders raising awareness of the consultation and offering to attend any meetings if required
- All external residential homes were made aware of the consultation.
- The Head of Adult Services met with the Disability Liaison Group to raise awareness of consultation.
- Swansea Council sheltered complexes – hardcopy questionnaires issued.

The following was also undertaken with those residents directly affected at Parkway and their families and carers:

1. Bilingual Letters issued pre consultation and letters/questionnaires issued during consultation.

2. Consultation meetings took place at Parkway with residents and families on 8th May 2018, 21st May 2018, 5th June 2018 and 6th June 2018. Parkway staff also attended to provide any necessary support to the residents. A total of 7 Residents and 25 family members/carers attended these meetings. Not all residents attended the meetings, as some had limited mental capacity. However, the families of all but one resident attended at least one meeting and the remaining resident not supported by family members attended all 4

meetings. The majority of families chose to attend each meeting, so discussion continued on from the last meeting.

3. 1 to 1s arranged as necessary at various times.

4. Social Workers met with relevant affected Service Users to complete reviews to help determine if had complex or non-complex needs to help inform their response to the consultation.

5. Other Council-run home residents were made aware of consultation by management and Welsh/English hardcopy questionnaires provided

A separate staff and Trade Union 12 week consultation ran concurrently to the wider stakeholder consultation. The staff consultation commenced on 30/04/18 and ended on 23/07/18, this exceeded the legal requirement of a 30-day consultation. It was identified that 34 staff were potentially affected at the start of the Consultation.

What did your engagement activities tell you? What feedback have you received?

Regarding the whole Residential Care Model and proposed closure the following response figures were received:

Info received	No. rec'd
Online Questionnaire	42
Hardcopy Questionnaires	21 Included in the 42 above
Letters	2
Emails	5
Petition with 1000 names	1
TOTAL	50

42 respondents completed the questionnaire either online or on paper. The responses to both the paper and online questionnaire are amalgamated below.

(NB: numbers for each question differ as do the stats as some people choose not to answer all questions)

In relation to the Residential Care services model the following summarised responses were recorded:

- **Question 1. Do you agree or disagree with our proposed changes to residential care for older people?** 39/42.

Strongly agree 8, Tend to agree 7, Tend to disagree 4, Strongly disagree 20

- **Question 2. Please expand your answer below:** 35/42 respondents commented (included in survey themes below).

Key Themes	Responses Nos
Council Homes are better - the Council provides better care than services in the	5 Page 111

private sector	
In favour or enabling people to remain living independently for longer	2
Impact on Choice (and Location) - reliance on independent sector for non-complex care reduces choice. Particularly in terms of location which is key to maintaining relationships. 1 comment that there is not enough choice for respite in the independent sector.	6
Cost of Private Care Homes - third party charges mean that residents and their families will not be able to afford private care home fees.	3
Definition of complex care - that the definition of complex care needs to be more specific.	1
Concerns about privatisation of all council owned care homes.- this proposal may lead to closure / privatisation of all homes.	1
Financial concerns. - concerned about decisions being driven by budget pressures.	2
Financial Concerns Cont... concerned about private sector profit motives	2
Support for Proposals. 4 comments were in support of proposals. 2 of these were very positive, 2 were neutral accepting that changes were necessary. 1 comment (from ABMU HB) was neutral on grounds that the proposal makes sense if care is available elsewhere (but commenting that calculations are not clear and assurances of alternatives have not been provided in the consultation.	4
Multiple - This response highlights concerns relating to impact on residents, cost to families, quality of care in private sector, reduced choice and availability of respite care.	1
Availability of beds - comments about difficulty finding care homes beds in independent sector.	2

1 Comment that beds at LA homes are always full. 1 comment that hospital bed blocking occurs because of lack of beds.	
Staffing Extra staffing will be needed for residents with complex needs.	1
Wellbeing - comments received related to the impact that moves will have on residents' wellbeing. Some of these concerns relate to choice and location impacts and equalities and human rights impacts.	5
Reablement - asked why can't Parkway be used for reablement services.	1

- **Question 3. Are there any other options you feel the Council should have looked at in relation to the Residential Care Service for Older People?** - 34/42 responded (included in survey themes below).

Key Themes	Responses Nos
Alternative Suggestions - respondents proposed alternative suggestions regarding use of building or type of service / ownership at location of Parkway.	6
Care at Home - people commented that dom care services could lead to savings, or could be more appropriate than residential care	5
Save Money Elsewhere - commented that the council should prevent closure by saving money elsewhere.	4
Budget Pressures - comments that proposals are purely driven by budget pressures and do not show sufficient regard for resident welfare.	2

- **Question 4. Considering the above, do you agree or disagree with the following...**
The criteria used to assess each care home were the right ones. 36/42 responded.
- Strongly agree 3, Tend to agree 14, Tend to disagree 6, Strongly disagree 13
- **The proposal to close Parkway Residential care. 36/42 responded.**
- Strongly agree 3, Tend to agree 8, Tend to disagree 7, Strongly disagree 17

- **Question 5. If you disagree with either of the above please explain why and give any alternatives (25/42 responded). Key Themes were : -**

Key Themes	Response Nos
Closing Parkway does not reflect demand - commented that the proposal does recognise current or anticipate future demand	3 (12%)
Choice, Location and cost / quality of private sector homes - comments that the location of other homes is problematic, and that private homes are more expensive or lesser quality.	2 (8%)
Convert to specialist complex – addressed above	1 (4%)
Cost shunting to NHS	1 (4%)
The council should provide nursing care	1 (4%)
Hidden agenda re development of land. Hospital discharge or respite should be promoted. - comment that the LA has been influenced by sale / development of local land.	1 (4%)
All attempts should have been made to keep Parkway open	1 (4%)
Location - comments relating to suitability of location	2 (8%)
Make Parkway more effective	1 (4%)
Options evaluation scoring / welfare of residents - comments that the scoring of the options is not clear and that the residents welfare has not been shown due regard	2 (8%)
Privatise Parkway	1 (4%)
Promote independent living	1 (4%)
Recognition for staff	1 (4%)
Services / Facilities are good	1 (4%)
The proposal is about managing	1 (4%)

decline	
Under investment in Parkway and Hidden agenda re development of land.	1 (4%)
Welfare of residents will be impacted	3 (12%)

Face to Face meetings at Parkway Residential Care Home recorded the following feedback and themes:

Date of meeting	Points raised
Theme 1. Alternative Solutions	
05/06/2018	Family members suggested savings could be made in sheltered housing or that the service could be delivered in the independent sector.
05/06/2018	A suggestion was made to fill the vacant beds in parkway from St Johns and close this service instead. This could be a counter proposal but it would still mean a closure and there are more residents in St Johns to move to other homes.
05/06/2018	Another suggestion was to sell off Parkway as a going concern for someone else to run.
05/06/2018	A suggestion was made to use Parkway as respite and gradually phase out. Family member suggested this could be a compromise in the short term and will propose this in the consultation.
21/05/2018	Carer - Use the beds for Fairwood Hospital to avoid people having to travel
23/05/2018	What about social enterprises / community co-operatives? Have they been considered as an option?
08/05/2018	Why not keep Parkway and staff it properly so it can be filled. Need to spend money and to upgrade and could use for reablement as well. As this is the only local authority home in the west, it could be enhanced. Feel the decision is about money.
08/05/2018	Why not fill the beds in Parkway for reablement.
05/06/2018	A family member suggested a 3-5 year plan would be a better approach as changing models of care take time. They understood that money has to be saved and appreciate where the Council is coming from, but this would be a kinder way than suddenly closing a

	care home. Closing a home naturally over time would be more compassionate.
2. Care Needs	
05/06/2018	Social workers will work with residents and families to asses if complex or not.
05/06/2018	Finally one family member requested that if the home closes, a guarantee that all residents will continue to have quality care. This is the residents' life and they will lose friends and relationships and it is hard for the families
21/05/2018	There will be no services going forward.
21/05/2018	Carer - If individual wanted to go home will there be 24/7 care provided?
21/05/2018	Carer - Private Dom Care poor, won't get the same care. Private disgrace, broken society. Parkway is a lovely home.
23/05/2018	How do we achieve prevention for those older people living at home?
23/05/2018	How can continuity of carers be achieved within domiciliary care?
23/05/2018	What will be the impact on younger adults using domiciliary care as a result of changes to older people services?
08/05/2018	What is the definition of complex needs?
08/05/2018	If only supporting people with complex needs, it is discriminatory as not providing care to others or supporting other carers.
05/06/2018	Dom Care also a worry as not get the hours paid for.
3. Financial	
05/06/2018	It was questioned if the consultation was meaningful in considering any views, which was confirmed e.g. funding top up fees if residents moved to a private care home will now be considered as part of the final report which will inform the Cabinet decision.
05/06/2018	A query was raised on how much money would be saved if the home closed in January 19?
21/05/2018	Private sector – not very good. LA home more expensive. More individuals are self-funding.
21/05/2018	Can you guarantee the LA will pay top up fees.
21/05/2018	Value of site / Alternative in facilities/My figures are different/current occupancy/Current usage to proposed/New model

21/05/2018	Chain capital limit. Self-funding weekly fee will go up. 'Swings and roundabouts'.
21/05/2018	Self-funder have found LA could pay top up fees.
21/05/2018	Carer - One extreme to another. Hope it's not about money. Exercise to tick a box. Concerns about Mums and Dads. 'NPT no council Homes decommissioned'.
21/05/2018	Carer - Are we going to be the same?
21/05/2018	Carer - Why can't you sell off building?
21/05/2018	Carer - Why can't we have discussion around making it financially viable?
21/05/2018	Carer - No money. What happens, limit under Welsh Government. Small number internal majority private sector care.
23/05/2018	Will the buildings be sold if proposals go ahead? - Hollies
23/05/2018	Will the buildings be sold if proposals go ahead? - Rose Cross
23/05/2018	Will the buildings be sold if proposals go ahead? - Parkway
08/05/2018	Top up fees if residents have to move to the independent sector.
08/05/2018	Will the building be knocked down and sold to private developers? Heard it will go to Coastal Housing?
08/05/2018	Concerned that access to new houses (on Olchfa site) is being put above residents.
08/05/2018	There is money wasted, for example, the Kingsway. Couldn't this be used for social care where it is needed? The priorities are wrong.
08/05/2018	Has the cost of the land been considered if Parkway closes?
05/06/2018	It was felt that the Cabinet had not looked hard enough to find savings elsewhere.
21/05/2018	We should not pay top up fees
4.Location	
21/05/2018	Can't understand building is good, contradictory to complex need info.
21/05/2018	Service User - I want to stay here!
21/05/2018	We made a right choice placing here
21/05/2018	What are you doing with building?
21/05/2018	B.M.H no parking, crazy selling this off (Parkway).
21/05/2018	Carer - People here already? If they find a new home, currently looked at Private sector. Could individuals be moved in house? To avoid top up fees? People would be happier to

	be moved in house.
21/05/2018	Carer - Comparing to BMH Comparative on buildings, they look the same.
08/05/2018	Don't want to travel halfway across Swansea, Parkway is close to where I live.
08/05/2018	Why close Parkway when Rose Cross and St Johns are close to each other?
08/05/2018	We choose council run homes because they are purpose built whereas they are not in the independent sector.
5. Placements	
21/05/2018	Carer - If respite care - where would you place?
21/05/2018	Carer - Respite – we were told we have to do it privately.
05/06/2018	A family member did have concern that if Parkway was kept open how long would this be for and would they be going through the same exercise in 3 years' time?
05/06/2018	It was recognised by family members that the Council are transparent in the consultation and proposals but felt there was no clear plan going forward and it was about the money and that it was inevitable that `Parkway would close. It was a done deal and we are only going through the process.
21/05/2018	Typical exercise nonsense. Mum 97. You have been running this down. Staff are overworked .
21/05/2018	What's a self-funder
21/05/2018	Carer - Council funding Commissioned homes are all the homes on this list from Head of Service ?
21/05/2018	Carer - Older people – if complex we are avoiding too many moves. Anxious, worry and traumatic time. 'Think outside of box'. Accommodate this more, but not new referrals coming in. Council Services are heavily regulated.
21/05/2018	Carer - Scoring exercise – you have not involved families. Score 6 properties – 1 would like to have been included in this piece of work. Massive piece of work? Why you didn't you involve us?
21/05/2018	Carer/SU - Care home closures came up before to close all homes?
21/05/2018	Carer - Going on 3 years ago
23/05/2018	Group queried whether a co-productive approach was being taken –
23/05/2018	What about the Equality Impact Assessment process?
08/05/2018	The SSWB Act states people have a choice and this proposal will not give this choice.
08/05/2018	In regards to the survey, why does it ask for sexual orientation?

08/05/2018	If NPT and Swansea merge will more homes go?
6. Staffing	
05/06/2018	Comments were made that the process to close had already started and that staff had been redeployed.
08/05/2018	What will happen to the staff.
08/05/2018	Bed blocking shows there is a demand for residential care and not enough beds.
08/05/2018	How many vacancies are there in the other in-house care homes?
21/05/2018	Carer - Why aren't you running to full capacity. 10 beds available. CIW – no demand or staffing. There has been no interest in beds.
7. Vacancies	
05/06/2018	There was concern that if residents had to move, there were not enough vacancies in the Council homes and the private homes were not as a good a standard.
21/05/2018	Carer - Insufficient beds
21/05/2018	Carer - Place ad in Evening Post to advertise vacant beds I am sure you will get a take up of beds.
08/05/2018	The current position is that there are spare beds and this is inefficient.
08/05/2018	There are not many vacancies in the private sector. I have visited 13 homes and no vacancies and the cost is higher and there are top up fees. Also some homes are for assessment or dementia only.
08/05/2018	Difficult to book respite provision in the private sector.
08/05/2018	You are duty bound to find places for people.
08/05/2018	Places are not advertised and the service is being run down. Tried for respite last year and could not get in. The numbers have reduced from 36 to 26.
08/05/2018	What if there are no places?
21/05/2018	Carer - Can't believe this! Could not find respite. Staff have been trained, equipment and facilities.
8. Wellbeing	
05/06/2018	Family members felt that undertaking a review would cause stress when no decision has been made. A concern was raised that a social worker had told them that if they do not have power of attorney the meeting with their father can be held without them.
21/05/2018	Complex needs, training, have looked at rooms, bed blocking NHS why not used beds for hospital. My dad 98 hope he dies before move, stressful, wellbeing of SU not being

	considering
21/05/2018	Carer - Scenario discussed surrounding the ladies Mum's move. She's 96 given up her home and has to move again – this is unsettling for her.
08/05/2018	The residents' welfare is not being considered. You would feel the same if it was your family.
08/05/2018	If there are no beds or don't want to move to a private home, residents can't be evicted by law. If have to move, why not reduce gradually as the most humane way?
21/05/2018	Carer - What will there be for us as we get older?

How have you changed your initiative as a result?

The key potential adverse impacts of the proposals on people, carers and staff at Parkway with protected characteristics particularly set out below, alongside appropriate mitigation:

- The wellbeing of older people living at Parkway could be affected if it were to close and they had to move to alternative homes; by way of mitigation the Council will ensure that all residents and their families are properly supported and prepared for any proposed move. This will involve an individual social work assessment to determine their unique needs and determine appropriate move on plans. This assessment will involve family members and all equality matters will be considered as part of this assessment and appropriately mitigated wherever possible.
- There is potential that there could be inadequate choice of alternative care homes for the older people affected if Parkway were to close. At the time of writing the EIA, there were sufficient vacancies within the Council's own homes and the independent sector to accommodate all 17 residents affected. There were a number of homes in the Sketty and surrounding areas with vacancies available and all those affected had been given information on the other homes across the County. From these vacancies, the Council has a duty to ensure that each resident affected has adequate choice at the time of making the decision. The proposal to fund third-party top up fees will enable this choice as well as careful planning and decision making between those residents affected, their families and the social worker supporting them.
- There is a risk that the proposed closure of Parkway could lead to insufficient number of beds in the market to deal with current and future demand for residential care for older people. At any given time, Swansea has an average 8% vacancy rate, which is approximately 125 beds. At the time of writing the report, there were 17 residents at Parkway, with a total of 26 beds. Closing Parkway would lead to a reduction of 9 vacant beds in the market reducing the total number of vacancies to 116. There are therefore sufficient beds to accommodate all residents at Parkway.
- There was a risk that if residents from Parkway had to move, the quality of care for those older people affected could be adversely affected. In the event that Parkway does close, the Council will ensure that each resident is fully supported during any move to ensure that the wellbeing of all those affected is maintained and they all receive good quality care going forward. This will be achieved through a thorough social work assessment with all relevant parties involved, which will clearly outline move on arrangements and ensure there is appropriate support in place before, during and after any move. As currently, there will also be ongoing good contract monitoring of all independent sector homes to ensure any quality issues are identified at the earliest opportunity.
- All of the above had a potential adverse impact on carers due to the overall stress and worry of the situation, and being concerned about their loved ones. However, mitigating as set out above would also mitigate the impact on carers by alleviating some of the stress and worry involved.
- There is clearly also a potential negative impact on those staff affected, but this can be mitigated through the Council's redeployment policies, and the Council is confident that there are sufficient alternative vacancies elsewhere in Adult Services to accommodate them. There were 34 staff potentially at risk. At the time of writing this EIA, 3 of these staff had already secured other employment, whilst 2 were undertaking a trial period in alternative positions. No equalities issues had

been raised through the 1 to 1 meetings with each member of staff that needed to be addressed.

In addition to the above, the Council put a hold on new admissions to Parkway at the beginning of the consultation to minimise the impact on residents affected. This hold would continue should the proposals go ahead.

In general, there was not majority support for the proposal to close Parkway. However, the Council has considered all possible alternative options, but has not been able to identify any financially sustainable alternatives that allow it to ensure certainty of care for reablement, respite and more complex needs whilst overall enabling independence, helping people to remain at home for as long as possible and ensuring the needs to all vulnerable adults are met.

There is clearly a risk if the proposed model is approved, that there could be a negative impact on those individuals currently resident at Parkway due to the need to move. However, this risk can be mitigated as much as possible by ensuring robust social work assessment identifies those move on plans and all those affected are supported before, during and after any move. In addition, there could be a positive impact on the wellbeing of current residents at Parkway as they may build positive relationships as part of any move.

On balance therefore remodelling as per the proposals will allow the Council to effectively meet the requirements of both the Social Services and Wellbeing (Wales) Act and Well Being of Future Generations (Wales) Act by providing a model of care that is sustainable for the future, and effectively meets the needs of an ageing population with more complex needs. The Council is therefore confident that the recommendations put forward are appropriate despite there not being majority support for the proposals.

Overall, there clearly is a risk of a negative impact on residents at Parkway due to the need to move if it were to close, particularly when some residents have lived there a long time and are elderly and frail. However, the above outlines how wherever possible the Council will seek to mitigate those risks and in some cases a move could be positive as they may find they are able to develop new relationships in their new environment which could have a positive impact on their wellbeing. As outlined previously, any move will need to be carefully planned following a thorough social work assessment and each individual supported during and following any actual move.

In light of the above, the proposals have been amended to include provision for payment of third party top up fees as part of the recommendations to Cabinet to mitigate the potential financial impact on residents and their families, as well as their ability to exercise appropriate choice in move on arrangements.

Any actions required (e.g. further engagement activities, mitigation to address any adverse impact, etc.):

A further recommendation will be added to the final proposals put to Cabinet to include provision for payment of third party top up fees.

A communication plan for the ongoing engagement with stakeholders throughout the process will continue – reaffirming the purpose of the model of delivery and latest updates around decisions. This communication plan will form a key part of the overall project plan should the proposals proceed.

Individual social work assessments will need to take place with all those affected at Parkway if the proposals are agreed. This assessment will involve residents, families and a social worker to undertake a thorough assessment of need and agree any move on arrangements. The social workers will then support individuals during and after moves to ensure that their

wellbeing is maintained.

Ongoing engagement will also be required by staff, in line with the Council's HR processes.

Section 5 – Other impacts:

Please consider how the initiative might address the following issues - see the specific Section 5 Guidance

Foster good relations between different groups	Advance equality of opportunity between different groups
Elimination of discrimination, harassment and victimisation	Reduction of social exclusion and poverty

Please explain any possible impact on each of the above.

The service model for Adult Services aims to impact on all of the above.

In general terms The Social Services and Wellbeing (Wales) Act 2014 provides the legal framework for improving the wellbeing of people who need care and support, carers who need support and for transforming social services in Wales. It reforms social services law, changes the way people's needs are assessed and the way in which services are commissioned and delivered. People with care and support needs will have more of a say in the care and support they receive and there is an emphasis on supporting individuals, families and communities to promote their own health and wellbeing.

The Act introduces common assessment and eligibility arrangements, strengthens collaboration and the integration of services particularly between health and social care, and provides an increased focus on prevention and early help. Local Authorities and health boards have come together in new statutory Regional Partnership Boards to drive integration, innovation and service change.

The Act also promotes the development of a range of help available within the community to reduce the need for formal, planned support. Local Authorities need to work with people to develop solutions to immediate problems and reduce the need for complex assessment and formal provision of care. Where people have complex needs, which require specialist and/or longer term support, local authorities will work with people and their families to ensure that high quality and cost effective services are available at the right time and in the right place.

Local Authorities and their partners need to make sure that people can easily get good quality information, advice and assistance, which supports them to help themselves and make the best use of resources that exist in their communities without the need for statutory support.

Local Authorities also need to ensure a shift from a deficit and dependency model to a model, which promotes wellbeing and independence focused on individual outcomes rather than service targets and objectives.

There will be stronger powers to keep people safe from abuse and neglect.

The Adult services model has interpreted this requirement and embedded into all service development, including the proposed model around Residential Care.

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

“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 proposed new model for Residential Care supports this vision and the overarching Swansea Council model for Adult Social Care agreed in 2016.

What work have you already done to improve any of the above?

Using this vision as our cornerstone a number of positive steps have been taken to address the 4 priorities listed. These include the development of integrated community Hubs which offer community based services staffed by Social Workers, Nursing staff, Occupational Therapists, Physiotherapists and other community support resources from both the Local Health Board and Local Authority – their purpose is to offer a consistency of approach regardless of the individual’s geographical location, staff member providing contact and services which are offered.

It also promotes a service around the individual ensuring that everyone who needs to be involved is available to offer a timely intervention if needed

This model also provides greater consistency in our approach to safeguarding – ensuring that the vulnerable have the most robust processes and professional framework in place to keep them safe from abuse.

It has also enabled us to develop alternative models to traditionally managed care like Residential Care Services – the investment and development of Bonymaen House and Ty Waunarwydd to focus services on reablement and complex care demonstrated improved outcomes for residents. Equipment, the right facilities and environment combined with the necessary skilled integrated resources (both Swansea Council and Local Health board employees) working together have helped to assist individuals in achieving their personal outcomes

The remodelling of Residential Care Services alongside the other commissioning reviews of services allows us to refocus our limited resources into the most complex of needs and shift investment into the more sustainable and long term investment of building on those assets which already exist within the community.

Is the initiative likely to impact on Community Cohesion? Please provide details.

The principle of maximising on people’s strengths and supporting the identified wellbeing outcome of improved independence and the ability to remain within our own homes and communities for longer will assist with the maximisation of existing schemes and development/potential investment in expansion of these available community based services. This forms part of the wider Prevention Strategy and overall service model for Adult Services in Swansea. It is also a corporate priority across Swansea Council. Community cohesion is consequently impacted on positively by encouraging people to maximise their networks and supports in communities rather than be reliant on statutory support.

How does the initiative support Welsh speakers and encourage use of Welsh?

Across all adult services the ‘Active offer’ is in place - at its heart is the idea that being able to use your own language must be a core component of care – not an optional extra.

In an aim to achieve this Adult Services alongside the whole council are working towards mainstreaming welsh language services as an integral part of service planning and delivery. This continues to be a priority regardless of outcomes tied to this proposal.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).
Not applicable.

Section 6 - United Nations Convention on the Rights of the Child (UNCRC):

Many initiatives have an indirect impact on children and you need to consider whether the impact is positive or negative in relation to both children's rights and their best interests. Please read the UNCRC guidance before completing this section.

Will the initiative have any impact (direct or indirect) on children and young people (think about this age group holistically e.g. disabled children, those living in poverty or from BME communities)? If not, please briefly explain your answer here and proceed to Section 7.

All initiatives must be designed / planned in the best interests of children and young people.

Best interests of the child (Article 3): The best interests of children must be the primary concern in making decisions that may affect them. All adults should do what is best for children. When adults make decisions, they should think about how their decisions will affect children. This particularly applies to budget, policy and law makers.

Please explain how you meet this requirement:

We recognise that we need to ensure that all carers (regardless of age) are supported. For this reason, we have joint commissioning arrangements for Adult Services and Child & Family Services for those which support young carers. This proposal will ensure much needed respite for those carers supporting individuals with complex needs will continue to be provided.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).

Impact on this group will continue to be monitored if the proposal is approved. Communication and engagement with alternative provisions for non-complex clients will be managed as part of transition if the proposal is approved.

Section 7 - Monitoring arrangements:

Please explain the monitoring arrangements for this initiative:

Monitoring arrangements:

EIAs to be continually updated in line with decision making and further consultation

Corporate communications team and Access to Services team will continue to be engaged in process with key updates provided as and when possible

Social work assessments for residents at Parkway to manage impact of change (if approved)

Ongoing project monitoring of overarching project plan to ensure project is delivered in line with objective and any adverse impacts are mitigated.

Implementation of model and affected processes to be mapped and planned appropriately (if approved)

Actions:

Ongoing update of EIA.

(Dependent on decision) commencement of social work assessments for those residents directly affected at Parkway.

(Dependent on decision) finalisation of revised project plan.

(Dependent on decision) implementation of proposed model and associated home closure.

(Dependent on decision) monitoring of outcomes and impact on non-eligible clients to be developed and produced.

Section 8 – Outcomes:

Having completed sections 1-5, please indicate which of the outcomes listed below applies to your initiative (refer to the guidance for further information on this section)

- Outcome 1: Continue the initiative – no concern
- Outcome 2: Adjust the initiative – low level of concern
- Outcome 3: Justify the initiative – moderate level of concern
- Outcome 4: Stop and refer the initiative – high level of concern.

For outcome 3, please provide the justification below:

For outcome 4, detail the next steps / areas of concern below and refer to your Head of Service / Director for further advice:

In Section 4 of this EIA, we have set out the mitigation that has been put in place to address the negative impact on the current residents in Parkway within the various protected groups.

It is imperative that all residents and their carers are fully supported by social workers and Swansea Council staff before, during and after any move.

Making this change is necessary to ensure that Swansea Council can meet the current and future care needs of all Swansea residents eligible for support sustainably and effectively in the future.

Section 9 - Publication arrangements:

On completion, please follow this 3-step procedure:

1. Send this EIA report and action plan to the Access to Services Team for feedback and approval – acesstoservices@swansea.gov.uk
2. Make any necessary amendments/additions.
3. Provide the final version of this report to the team for publication, including email approval of the EIA from your Head of Service. The EIA will be published on the Council’s website - this is a legal requirement.

EIA Action Plan:

Objective - What are we going to do and why?	Who will be responsible for seeing it is done?	When will it be done by?	Outcome - How will we know we have achieved our objective?	Progress
Inform Parkway Residents and their families, and staff of outcome of Cabinet Decision	Head of Service	Post Cabinet on 20/09/18	Letters issued	
Revise overall project plan (if approved)	Project Management Support	Post Cabinet on 20/09/18	Project plan completed	
Commencement of Social Work Assessments to manage impact of change (if approved)	Principal Officer for Service Provision	Post Cabinet on 20/09/18	Monitoring that all assessments are taken	
Support before, during and after moves from Parkway (if approved)	Allocated Social Workers	Post Cabinet on 20/09/18	Ongoing monitoring by social workers	
Commencement of formal staff processes	Principal Officer for Service Provision	Post Cabinet on 20/09/18	All staff found alternative employment/left the organisation	
Closure of Parkway (if approved)	Head of Service	Early 2019	Parkway closes	
Ongoing revision to EIA	Project Management Support	Ongoing	Evidence of EIA being updated.	

* Please remember to be 'SMART' when completing your action plan (Specific, Measurable, Attainable, Relevant, Timely)

Appendix 5: Residential Care - Consultation Summary Report

(August 2018)

CONSULTATION REPOSESES - Stakeholder Consultation

1.1 Introduction

A 12 week stakeholder consultation commenced on 30/04/18 and concluded 23/07/18. Documents were provided in English and Welsh and were available in alternative formats on request. We identified the preferred language of the affected Services Users when communicating with them during the consultation.

Consultation information was provided via Corporate Communications to staff, via details on the intranet and internet, Media, Facebook and Twitter.

A Stakeholder Map was created. This identified all relevant stakeholders and has been used by the service to evidence engagement with these interested parties:-

Affected Services Users and their families/carers etc.

- Bilingual Letters issued pre consultation and letters/questionnaires issued during consultation.
- Several visits made by Senior Management to meet affected Service Users /families at various times.
- 1 to 1s arranged as necessary at various times.
- Social Workers met with relevant affected Service Users to complete review to help determine if complex or non-complex needs and help inform any response to the consultation.
- Other Council Day Care venues and Service Users made aware of consultation by management and Welsh/English hardcopy questionnaires provided.

Other

- All Councillors briefed regarding the proposals
- Ward Councillors - Councillor Child has spoken to or offered to speak to relevant Ward Councillors
- AM/MPs - letter issued to raise awareness of consultation
- Older Peoples Commissioner - letter issued to raise awareness of consultation
- Trade Unions – Initial meeting held with Management/HR and Unions. Meetings ongoing as necessary
- Parkway Service User GPs - letters have been sent to Service Users GPs to raise awareness of consultation
- Library Managers briefed and provided copies of hardcopy questionnaires and displayed in all libraries

- Contact Centre Manager briefed to inform all relevant Contact Centre/Switchboard staff of consultation. Hardcopy questionnaires available in Civic Centre and Guildhall reception
- Email or letters sent to all identified relevant stakeholders raising awareness of the consultation and offering to attend any meetings if required
- Externally commissioned residential/nursing homes informed of the consultation.
- Head of Adult Services met with Disability Liaison Group to raise awareness of consultation
- Swansea Council sheltered complexes – hardcopy questionnaires issued

Staff and Trade Unions

A separate staff and Trade Union 12 week consultation ran concurrently to the wider stakeholder consultation. The staff consultation commenced on 30/04/18 and ended on 23/07/18, this exceeded the legal requirement of a 30-day consultation.

1.2 Information received during consultation is summarised as :-

Information received	Numbers received
Online Questionnaire	42
Hardcopy Questionnaires	21 (Included in the 42 above)
Letters	2
Emails	5
Petition with 1000 names	1
TOTAL	50

Further details on number of respondents from different groups and methods of responding are given in the sections below. The number of respondents giving similar comments in each group have been provided. The responses to both the paper and online questionnaire are amalgamated below. One online response was received after the consultation deadline, but was accepted on the basis of ensuring that as wide a range of views as possible was considered.

Questions & Responses:

- **Question 1. Do you agree or disagree with our proposed changes to residential care for older people?**

39/42 Strongly agree (8) 20% Tend to agree (7) 17% Tend to disagree (4) 10% Strongly disagree (20) 51%

- **Question 2. Please expand your answer below:** - 35/42 respondents commented. Key themes were:-

Key Themes	Response Nos
Council Homes are better - the Council provides better care than services in the private sector	5 (14%)
In favour or enabling people to remain living independently for longer	2 (5%)
Impact on Choice (and Location) - reliance on independent sector for non-complex care reduces choice. Particularly in terms of location which is key to maintaining relationships. 1 comment that there is not enough choice for respite in the independent sector.	6 (17%)
Cost of Private Care Homes - third party charges mean that residents and their families will not be able to afford private care home fees.	3 (8%)
Definition of complex care - that the definition of complex care needs to be more specific.	1 (2%)
Concerns about privatisation of all council owned care homes.- this proposal may lead to closure / privatisation of all homes.	1 (2%)

Financial concerns. - concerned about decisions being driven by budget pressures.	2 (5%)
Financial Concerns Cont... concerned about private sector profit motives	2 (5%)
Support for Proposals. 4 comments were in support of proposals. 2 of these were very positive, 2 were neutral accepting that changes were necessary. 1 comment (from ABMU HB) was neutral on grounds that the proposal makes sense if care is available elsewhere (but commenting that calculations are not clear and assurances of alternatives have not been provided in the consultation.	4 (11%)
Multiple - This response highlights concerns relating to impact on residents, cost to families, quality of care in private sector, reduced choice and availability of respite care.	1 (2%)
Availability of beds - comments about difficulty finding care homes beds in independent sector. 1 Comment that beds at LA homes are always full. 1 comment that hospital bed blocking occurs because of lack of beds.	2 (5%)
Staffing - Extra staffing will be needed for residents with complex needs.	1 (2%)
Wellbeing - comments received related to the impact that moves will have on residents' wellbeing. Some of these concerns relate to choice and location impacts and equalities and human rights impacts.	5 (12%)
Reablement - asked why can't Parkway be used for reablement services.	1 (2%)

- **Question 3. Are there any other options you feel the Council should have looked at in relation to the Residential Care Service for Older People? - 34/42 responded. Key themes raised were : -**

Key Themes	Responses Nos
Alternative Suggestions - respondents proposed alternative suggestions regarding use of building or type of service / ownership at location of Parkway.	6 (17%)
Care at Home - people commented that domiciliary care services could lead to savings, or could be more appropriate than residential care	5 (14%)
Save Money Elsewhere - commented that the council should prevent closure by saving money elsewhere.	4 (11%)
Budget Pressures - comments that proposals are purely driven by budget pressures and do not show sufficient regard for resident welfare.	2 (5%)

- **Question 4. Considering the above, do you agree or disagree with the following...**

The criteria used to assess each care home were the right ones. 36/42 responded.

- Strongly agree (3) 8%, Tend to agree (14) 38%, Tend to disagree (6) 16%, Strongly disagree (13) 36%

The proposal to close Parkway Residential care 36/42 responded.

- Strongly agree (3) 8%, Tend to agree (8) 22%, Tend to disagree (7) 19%, Strongly disagree (17) 47%

- **Question 5. If you disagree with either of the above please explain why and give any alternatives (25/42 responded). Key Themes were : -**

Key Themes	Response Nos
Closing Parkway does not reflect demand - commented that the proposal does not recognise current or anticipate future demand	3 (12%)
Choice, Location and cost / quality of private sector homes - comments that the location of other homes is	2 (8%)

problematic, and that private homes are more expensive or lesser quality.	
Convert to specialist complex – addressed above	1 (4%)
Cost shunting to NHS	1 (4%)
The council should provide nursing care	1 (4%)
Hidden agenda re development of land. Hospital discharge or respite should be promoted.- comment that the LA has been influenced by sale / development of local land.	1 (4%)
All attempts should have been made to keep Parkway open	1 (4%)
Location - comments relating to suitability of location	2 (8%)
Make Parkway more effective	1 (4%)
Options evaluation scoring / welfare of residents - comments that the scoring of the options is not clear and that the residents welfare has not been shown due regard	2 (8%)
Privatise Parkway	1 (4%)
Promote independent living	1 (4%)
Recognition for staff	1 (4%)
Services / Facilities are good	1 (4%)
The proposal is about managing decline	1 (4%)
Under investment in Parkway and Hidden agenda re development of land.	1 (4%)
Welfare of residents will be impacted	3 (12%)

Mitigating responses to themes

7 respondents displayed a level of ***support for the proposals***, and displayed a view that the changes were necessary to ensure that services were able to meet people's needs and be sustained into the future.

The next key theme suggested support for the proposed model and that 2 respondents were ***in support of a model that enabled people to remain living independently for longer*** and generally supportive of the principle of investing in reablement.

This response was very reassuring to see as an enabling approach which allows people to remain at home for longer is entirely in line with the overarching Adult Services Model which recognises that more people wish to remain in their own home. The proposed changes will help to support this by providing reablement and respite to support people to remain in their own homes for as long as possible and to support their family/carers to help them in their caring role. One respondent had raised why Parkway could not be used to deliver reablement and therefore kept open. As explained earlier in the report, the Council has assessed that less Local Authority beds are required to deliver the proposed model and Parkway is least fit for purpose to deliver the overall model. There was one comment that suggested that the Council should deliver nursing care; the Council has been previously restricted from doing this due to registration requirements and going forward it does not have the expertise or resources to provide this type of care.

There was a **perception that Council homes are better** than those provided by the independent sector from 5 respondents. There was therefore a concern that the Council proposed no longer providing standard residential care for non-complex needs.

In response, independent sector homes are required to provide care to the same legal and regulatory standards as Council homes, and are fully regulated by Care Inspectorate Wales. The Council has robust contracts in place with independent sector homes and monitors against these contractual standards to ensure that services are fit for purpose. The Council is embedding a quality assurance programme at independent care homes which demonstrates that quality is of a sufficiently good quality. Feedback obtained from residents and families at homes in the independent sector confirms a high level of satisfaction with services. From time to time quality problems do arise. Where this occurs the Council is able use its legal and contractual powers to act quickly and make any improvements required. These arrangements should give people confidence that services received via the independent sector are safe and appropriate to meet their needs and also of a similar or on some occasions better quality than Council-run care homes.

One comment received suggested that **the definition of complex care needed to be more specific.**

Unfortunately there are no national definitions of complex care, so the Council has had to determine its own definition as follows:

Individuals would be defined as having complex needs if they had needs attributable to one or more of the following features, and they required at least 2 hours of one to one care per day:

- 1) Double staffed care for people who are bed bound; have high risk of developing pressure sores; require careful repositioning.
- 2) People who have complex medication regimes.
- 3) People who require feeding or who are fed via a PEG.
- 4) People who have challenging behaviour and have packages of care that are difficult to manage.

- 5) People who have dementia or declining cognitive ability.
- 6) People with bariatric care needs.
- 7) People with learning difficulties who require increased care
- 8) People with manual handling needs requiring use of equipment and / or two person handling.
- 9) People with communication difficulties who need higher levels of care to explain or deliver care.

It is very difficult to go into greater detail and cover every eventuality as each individual will present differently with a significant difference in individual circumstances and needs. This definition will therefore be used by the social workers who assess the individuals, informed by discussions with the resident and family members where appropriate to determine whether the individual has complex needs. Social Workers are qualified professionals and will need to use their professional judgement to assess whether the individual does or does not have complex needs in line with the criteria specified.

A concern was expressed by one respondent however that ***more staffing would be required for residents with more complex needs and buildings would need to be adapted to accommodate this.***

The Council does not concur with the view that more staffing would be needed. The model of care will of course be designed to ensure that services can meet the needs of people accommodated. In reality, the Council is already delivering services for more complex needs. A good example is the service offered at Ty Waunarwydd for people with dementia. Council staff are already highly trained and well equipped to deliver services for people with complex needs, and ongoing training is in place to upskill where needed. The Council is confident that it can deliver the proposed model within existing staffing levels, and will do this by ensuring that those staff continue to be trained appropriately. In relation to the physical layout of the remaining Council homes, homes such as Rose Cross and Ty Waunarwydd are well suited already to deliver complex needs and few adaptations would be needed. £4million has been identified in the Council's capital programme to maintain our homes, so this could be utilised to carry out any adaptations to other buildings if required.

At one of the Parkway meetings, family members expressed ***a concern that the proposal to only provide residential care for complex needs was discriminatory against those with non-complex needs.***

There is no legal requirement for a Council to provide an in-house standard residential care service. The Council has a duty to ensure that those that need standard residential care receive it, but it is legitimate to offer this provision in the independent sector. As long as all levels of care needs are appropriately catered for, the Council would not consider a decision to restrict standard residential care to complex needs within its in-house service as discriminatory.

2 respondents expressed ***a concern that the scoring criteria used to determine that Parkway was least fit for purpose did not take into consideration maintaining the wellbeing of residents and the evaluation exercise itself had***

also not involved family members/anyone independent of the Council. This view was also expressed at the Parkway meetings.

An objective set of evaluation criteria were used to assess the options. Careful consideration was given as to who should make up the evaluation panel and it was determined that involving family members for each home affected would have not allowed the panel to be objective. Consideration was also given to whether anyone independent of the Council should be involved in the evaluation exercise, but it was not clear how doing this would add value to the exercise and it would have been difficult to identify someone who had a good working knowledge of each care home. The preferred option was achieved by applying the same criteria to each home. Issues of maintaining the wellbeing of residents would have been pertinent to each Council run care home, so would not have altered the outcome of the evaluation exercise.

5 respondents raised concerns surrounding the **impact on wellbeing that moves from Parkway would have on residents.** Some of these concerns related to choice and location impacts as well as equalities and human rights impacts. These concerns were also raised in the Parkway meetings.

This is an entirely valid concern, and it is of paramount importance that if the changes go ahead, the wellbeing of all those affected is maintained. The welfare of people who receive care services is always our primary consideration. The proposed changes are necessary to ensure that we can continue to meet needs in the most effective and sustainable way. Arrangements to move service users to alternative homes will be planned carefully and sensitively with each resident and where appropriate their family. This will involve considering any equalities and human rights impacts and where necessary taking steps to ensure that residents' legal rights and entitlements are respected and not infringed. Specific issues relating to choice and location are addressed below.

A theme emerged surrounding the **impact on choice of the proposed model** if the Council proceeded with no longer offering standard residential care to people with non-complex needs; this was raised by 6 respondents. This concern related to a perception that reliance on the independent sector would restrict choice, particularly in terms of location which is key to maintaining relationships with family and friends. There was also a concern raised about choice of respite provision in the independent sector.

In response, there are a large number of homes in the independent sector offering residential care. The number of homes specialising in residential care for purely personal and social care has increased significantly in recent years; in fact there is greater supply than demand. The Sketty and surrounding area, which is in close proximity to Parkway Residential Home has a particularly high concentration of beds compared to other parts of Swansea. Details of all other homes in Swansea, and those in the vicinity of Parkway have been shared with all those residents and family members who attended the Parkway meetings. In the event that Parkway were to close and residents consequently had to move, the Council would have a legal duty to carefully consider the equalities and human rights impacts that are affected by moving to another care home. This means working with residents and families to ensure that family relationships and similar factors relating to location can be maintained.

There are a number of providers who have informed us of their intention to develop new residential services in Swansea and the care homes market is expected to continue to grow. The proposed changes to the model for residential care are being undertaken to promote greater independence where possible and less reliance on traditional services where beneficial. This will lead to alternative options and increased choice for citizens. We acknowledge the difficulties finding respite services in the independent sector. The proposed changes will improve and increase respite opportunities for carers via Council homes; this is a key driver for the proposed changes.

2 respondents raised some concerns surrounding the **availability of beds** if the proposed model was adopted, with people having experienced difficulty in finding beds in the independent sector previously and a perception that bed blocking occurred in hospitals due to a lack of availability of residential care beds and the proposals would inadvertently transfer costs to the NHS. This concern was also raised by residents and family members at Parkway, who were concerned that there might not be vacancies to move to in the event that Parkway closed.

Independent sector vacancies average at approximately 8%. This equates to approximately 125 beds at any one time so there is more than enough capacity in the independent sector to meet demand. In addition to this, Parkway has had a high proportion of vacant beds for some time. Delayed transfers of care from hospital do occur, but the reason for this in Swansea is rarely due to availability of residential care provision. It tends to be related to delays in choices made by prospective residents and families, delays in agreement of funding and delays in securing care at home. The change to focus local authority provision on short-term reablement and respite is in part driven by helping to reduce delays from hospital. Availability of this type of provision will enable faster hospital discharge followed by a period of care to enable people to return to independent living where possible.

3 respondents commented that they felt that **the proposal to close Parkway had not taken account of current and future demand**.

As outlined earlier in this report, a detailed modelling exercise was undertaken to determine how many beds would be required to deliver the preferred model. This alongside the oversupply of standard residential care in the independent sector led to a conclusion that there was more than enough capacity in the market to cater for current and future demand.

2 respondents raised significant **concern surrounding the cost of independent care homes** and there were comments that third party charges could mean that residents and their families were not able to afford independent care homes. This theme was dominant in both the consultation responses and the face to face meetings that took place with residents and families at Parkway.

Careful consideration has been taken of this concern, and the Council recognises that this is a significant and legitimate issue for any residents and families affected in the event that Parkway were to close.

Private sector homes are mostly commercial enterprises and will charge what the market will bear. Consequently most independent sector care homes charge top up/third party payments. A recent survey confirmed that only 5 homes out of 41 in the independent sector do not charge top ups. As of May 2018, 724 of the 1074 beds registered to provide residential and nursing care in Swansea attracted third party charges.

Whilst currently most care homes charge top ups, most are also prepared to offer a small number of beds at local authority fee rates. This arrangement is fluid and will depend on factors such as vacancy levels and room type.

The high proportion of beds funded by the local authority which attract a third party top up suggests that meaningful choice is restricted. In practice residents transferring from Parkway are likely to be required to pay a third party charge to reside at a home of their preferred choice.

The median average charge is £105 per week. However the highest proportion of charges for people in residential care homes is between £10 and £20 per week, and in nursing homes is £50 and £70 per week. The median point within the most frequently occurring ranges is £40 per week.

Current contract provisions allow Providers to increase charges at the rate of 25% per annum and there are no contractual or statutory limits to the charges that Providers can apply.

The Local Authority has a legal duty to those that it funds to ensure that the person has a genuine choice and must ensure that more than one option is available within its usual commissioning rate (ie no top ups apply). It is highly likely that there may be limited or no choice for residents if they were to move from Parkway of a home that does not apply third party charges. It should be noted that the same duty does not apply to self-funders.

In light of the above, a recommendation is being put forward in this paper for Cabinet to agree to pay up to a maximum of £105 per person per week top up fees for all residents at Parkway (including self-funders), subject to individual circumstances, up-to-date social work assessments and individual Equality Impact Assessments, for the duration of their residential care placement in the event that Parkway closes following the final decision being made. This recommendation is being put forward to mitigate the financial impact of closing on those residents and families affected, and will allow meaningful choice of alternative homes which meet their specific needs and requirements such as preferred location and ability to maintain family relationships for those individuals affected. In proposing this, it is expected that the majority of residents affected would have adequate choice at the lower end of the third party charges applied, but all residents would have several choices of homes that meet their specific individual requirements in the location of their choice.

There was a ***perception that the proposal to close Parkway was being driven by the potential use of the site linked to the land surrounding the Olchfa School site.*** This was raised by one respondent and also a key theme emerging from the meetings at Parkway.

The future use or otherwise of the site adjoining the Olchfa School has had no bearing on the proposals put forward. At this stage, there are no clear proposals surrounding the future use of the Parkway site if it is released following a potential closure. If a decision is made to close Parkway, the Council will commence to look at options surrounding the disposal of the site.

A concern was raised by one respondent that the proposals may lead to the privatisation/closure of all Council owned care homes.

If the proposals are accepted by Cabinet, there is a commitment that there will be no further changes to Council-run care homes within this administration.

4 respondents were concerned that the ***proposals were being driven by budget pressures***. This was also a theme highlighted at the Parkway meetings.

This is undoubtedly a factor. The Council is facing significant budget pressures and at this time of the financial year projecting an overall overspend with a key factor being a significant overspend in Adult Social Care. As a consequence all Councils have to make significant savings, but in doing so need to ensure that they can deliver sustainable services to meet the needs to an ageing populations with more complex needs.

However, the budget is not the only factor driving forward these proposals. Re-shaping services is necessary to deliver the overall new adult services model agreed in 2016, and doing so is in line with the principles behind the Well Being of Future Generations (Wales) Act specifically the wellbeing goals of a resilient Wales and a healthier Wales by developing sustainable services for the future and services which allow an ageing population to maintain their independence for as long as possible. The proposed closure and remodelling of existing services will help the Council to target resources where there is greatest demand and help people to remain living independently for longer. By changing the Council's model of residential care to focus on short-term reablement support, respite and more complex needs, people will be helped to maintain independence and remain at home for as long as possible whilst those with more complex needs will be better supported. Nobody will be left without the care they need as there is sufficient standard residential care provision in the independent sector to meet local need.

A concern was raised by the family members of residents at Parkway that they wanted a guarantee that all residents would continue to have good quality care in the event that Parkway closes.

In the event that Parkway does close, the Council will do everything in its power to ensure that the wellbeing of all those affected is maintained and they all receive good quality care going forward. This will be achieved through careful planning with social work support into any proposed moving on arrangements as well as ongoing good contract monitoring of all independent sector homes.

Counter proposals and responses

The first counter proposal put forward was surrounding **selling off Parkway as a going concern/consider alternative delivery models to allow the residents to remain in Parkway**. This proposal was put forward through both the consultation responses and the face to face meetings held at Parkway.

A range of alternative options has been considered during a detailed commissioning review process and consideration has been given to a potential sale of Parkway as a going concern and alternative delivery models. These proposals were considered either not financial viable or one that could definitely achieve the outcome of ensuring that residents could remain at Parkway. They have therefore been discounted.

In the event that Parkway does close however, due consideration will be made surrounding what will happen to the vacant site. One option would be to sell off the site with a view to an independent provider coming forward to deliver a residential care proposal that addressed a market gap such as dementia nursing. The Council has speculatively asked the sector whether there would be any appetite for such an option, and several providers have come forward with a positive response. Such an option could meet accommodation needs for older people and could also help meet an identified market gap.

The next counter proposal linked to a perception that it would be ***more appropriate to make savings in relation to domiciliary care than residential care***.

This is a valid proposal, but ambitious savings proposals are already in place in relation to domiciliary care. Work is ongoing to recommission domiciliary care provision and there is an overall plan to safely reduce the overall number of domiciliary care hours commissioned. It is therefore not possible to achieve further savings in this area, so this counter proposal is not feasible.

Several respondents commented that ***the Council should find savings elsewhere and not make savings in relation to residential care***.

Whilst this is a legitimate view, as previously outlined the Council as a whole is experiencing unprecedented budget pressures and is forecasting a significant overspend this financial year. The Council is consequently exploring all opportunities to ensure services are sustainable in the future and can be delivered within the budget available. Significant savings are being achieved year on year but re-shaping of services is essential for the Council to continue to meet its legal duties to provide care for an aging population with increasing needs. Adult Services is one of the largest areas of spend of the Council, so it is not financially viable for savings to only be made elsewhere in the Council.

A counter proposal was put forward by the residents and family members at Parkway to ***close St Johns and keep Parkway open instead***. The rationale behind this proposal was that St Johns had achieved the next lowest score following the evaluation exercise.

The Council has considered this proposal and does not feel that this is legitimate on the basis that Parkway scored the lowest following the evaluation exercise. There would be equal impact on residents at St Johns if it were to close, perhaps more so as there are a higher number of residents at St Johns.

An alternative proposal was to ***move all Parkway residents into other Council-run care homes and maintain Parkway itself as a reablement and respite facility.***

This proposal was discounted on the basis that whilst it would clearly be a good outcome for those residents affected, no savings would be achieved.

A suggestion was made to ***close Parkway over a longer period of time,*** and wait until the current residents had moved on or passed away before closing it. In the meantime, the vacant beds could be used for respite.

In an ideal world, the Council would want to support this proposal, but the reality is that doing this would not achieve the move to new model as well as the savings required as quickly as needed. The average length of stay of a resident in a Swansea Council care home is 2.7 years, but some residents have lived at Parkway for significantly longer than this and there is no way to predict how long residents could stay for. In addition, there is a cap of £80 per week enforced by Welsh Government on the charges that can be applied to respite beds so the running costs of Parkway would significantly increase. It is also not considered in the best interest of residents to slowly decrease the number of residents; eventually only one to two residents would remain which would not be beneficial to their wellbeing as there would be little social interaction and stimulation for them. This counter proposal is therefore not considered feasible on the basis that the preferred future model and necessary savings would not be realised.

A counter proposal was put forward to ***fill all the vacant beds in Parkway, with a belief that this would make it financially viable.***

Due to the high overheads involved in running a Council care home, even filling all the vacant beds would not make the home financially viable. The Council significantly subsidises all its internal homes, and in reality residential care is significantly cheaper to deliver in the independent sector. Filling all the beds in Parkway would therefore not be a feasible option to achieve the savings necessary.

The final proposal put forward was that ***all residents in Parkway should be offered a place in a Council run home, in the event that Parkway was to close.***

This proposal would be contrary to the preferred overall model to reshape the Council service to focus on short-term residential reablement, respite and standard residential care for those with complex needs only, as it would involve moving those with non-complex needs into the other Council-run care homes. In addition to this, there are insufficient vacancies in the remaining homes to achieve this, which would lead to a potential significant delay in any proposed closure of Parkway. This in turn would impact on the savings achieved and the move to the preferred future model, and there is a risk that they could be not be achieved quickly enough. This proposal is therefore

not supported by the Council as it is contrary to the preferred future model and is not financially viable.

Themes and responses from meetings with Residents and Family/Carers

Several meetings were held at various times at Parkway Residential Home with Residents and family/carers on 8th May, 21st May, 5th June and 6th June. Parkway staff also attended to provide any necessary support to the residents.

A total of 7 Residents and 25 family members/carers attended these meetings. The following table provides details of key themes from these meetings

Date of meeting	Points raised	Response
Theme 1. Alternative Solutions		
05/06/2018	Family members suggested savings could be made in sheltered housing or that the service could be delivered in the independent sector.	It was explained this had been considered but not a viable option.
05/06/2018	A suggestion was made to fill the vacant beds in parkway from St Johns and close this service instead. This could be a counter proposal but it would still mean a closure and there are more residents in St Johns to move to other homes.	It will still mean that standard care will only be provided by the independent sector.
05/06/2018	Another suggestion was to sell off Parkway as a going concern for someone else to run.	This can be considered as part of the consultation and explored as a viable option. TUPE will apply and may be more expensive so may not be attractive to the independent sector.
05/06/2018	A suggestion was made to use Parkway as respite and gradually phase out. Family member suggested this could be a compromise in the short term and will propose this in the consultation.	It was explained that would increase provision when the Council need to pull back on spend and any proposals would need to reduce spend and be sustainable.
21/05/2018	Carer - Use the beds for Fairwood Hospital to avoid people having to travel	It's a Health Board. We have reablement beds at Bonymaen House.

23/05/2018	What about social enterprises / community co-operatives? Have they been considered as an option?	these were looked at as options developed via a stakeholder workshop which looked at all of the available options – independent providers, local authority and third sector colleagues all took part (group members still felt that the right people were not involved early enough and that the process has not been open enough). If we are transferring services from the local authority to a social enterprise / community co-operative, it needs to be as efficient as possible and we don't have the businesses we need running as effectively as would be required at this time.
08/05/2018	Why not keep Parkway and staff it properly so it can be filled. Need to spend money and to upgrade and could use for reablement as well. As this is the only local authority home in the west, it could be enhanced. Feel the decision is about money.	The Council will concentrate on complex needs as there is a gap and the independent sector are not providing. The Council already provide for complex needs, so are well placed but there is insufficient capacity at the moment. There is a financial consideration. The Council is facing considerable pressure on its budget. Other Councils have taken away their in house provision. Swansea are prepared to invest but there is a limit to what we can provide. There is a financial limit and we have to consider what we can afford and where to focus our efforts. If the proposal does go ahead, we will still need to invest but over a smaller number of sites. Politicians have to balance the decision,

		<p>informed by residents and families, the public survey and ideas. If the proposals are not agreed, there will have to be cuts elsewhere.</p>
08/05/2018	<p>Why not fill the beds in Parkway for reablement.</p>	<p>Councillor Child explained that in an ideal world, yes but we do not have the finances to do this and meet the needs we are not meeting and how we can best meet the needs. The driver for Parkway closing is due to a range of factors such as higher vacancy rate. More than one factor considered and then a collective score. The detail is in the report so please make comments.</p>
05/06/2018	<p>A family member suggested a 3-5 year plan would be a better approach as changing models of care take time. They understood that money has to be saved and appreciate where the Council is coming from, but this would be a kinder way than suddenly closing a care home. Closing a home naturally over time would be more compassionate.</p>	<p>The Leader responded by suggesting that this is put forward as part of the consultation but it may or may not be possible. However it is acknowledged that January 19 is only an indication of when it is planned to close. It was explained that the Council homes are hugely subsidised and the cost is higher than homes in the independent sector. If all homes were 100% occupied we could not afford to run them. Adult Service last year was £4m overspent. There are no good choices and any other option would be unpalatable.</p>

Care Needs		
05/06/2018	Social workers will work with residents and families to asses if complex or not.	Head of Service recognised that some families do not wish to engage in this until a decision is made but explained the reason for undertaking reviews is to better inform residents and families on the assessed need and how the proposal may affect both the resident and the family. A formal review will be undertaken should the proposals be agreed.
05/06/2018	Finally one family member requested that if the home closes, a guarantee that all residents will continue to have quality care. This is the residents' life and they will lose friends and relationships and it is hard for the families	This was acknowledged.
21/05/2018	There will be no services going forward.	Will continue to provide care. Some private home's charge top up. Chief Social Services Officer explained self-funding.
21/05/2018	Carer - If individual wanted to go home will there be 24/7 care provided?	Social Worker Assessment – all possibilities
21/05/2018	Carer - Private Domicilliary Care poor, won't get the same care. Private disgrace, broken society. Parkway is a lovely home.	Geographical areas. Top up fees. Please give some thought we want to make sure you really put your point over to support decision making.
23/05/2018	How do we achieve prevention for those older people living at home?	The key lies in Local Area Co-ordination. 10 out of 22 geographical areas in Swansea are covered so far but we are looking to expand. This approach is very person-centred and individually tailored to people's needs. We still need to look at our prevention work – the council has adopted a Prevention

		Strategy but there is more work to do.
23/05/2018	How can continuity of carers be achieved within domiciliary care?	We are going out to tender for domiciliary care soon and taking a geographically zoned approach so that we have better organised domiciliary care and continuity can be improved – this will take time to achieve though.
23/05/2018	What will be the impact on younger adults using domiciliary care as a result of changes to older people services?	Confirmed that the transition period will be carefully applied to minimise impact and ensure continuity of care. Transition period will not be a fast or rushed process – communication will be key.
08/05/2018	What is the definition of complex needs?	This is explained in the consultation paper.
08/05/2018	If only supporting people with complex needs, it is discriminatory as not providing care to others or supporting other carers.	Will still provide/fund care and support but not necessarily in a Local Authority care home. If you believe this is discriminatory put this in your feedback and it will be considered.
05/06/2018	Domiciliary Care also a worry as not get the hours paid for.	Head of Service explained there is a call monitoring system in place to check the hours are delivered. It was questioned why there are issues on delivery and if there are not safeguards, why wouldn't someone want to go into a care home and is a better alternative than not having the hours delivered in the home. Councillor Child stated that the principle of the Council good, other is bad is not necessarily the case and 70% of provision is within private care homes.

Financial		
05/06/2018	It was questioned if the consultation was meaningful in considering any views, which was confirmed e.g. funding top up fees if residents moved to a private care home will now be considered as part of the final report which will inform the Cabinet decision.	No opinion on the final outcome can be given at this point.
05/06/2018	A query was raised on how much money would be saved if the home closed in January 19?	The Leader explained that the money will cover what we deliver in the future and there will be capital funding. Head of Service confirmed that £550k savings would be achieved.
21/05/2018	Private sector – not very good. Local Authority home more expensive. More individuals are self-funding.	We have presented a paper re: financial matters. Need a consistent approach
21/05/2018	Can you guarantee the Local Authority will pay top up fees.	We have presented a paper re: financial matters. Need a consistent approach
21/05/2018	Value of site / Alternative in facilities/My figures are different/current occupancy/Current usage to proposed/New model	31 st January – there was no hold on admissions. Vacancies from contracting team. Ref: List from providers - These vacancies may not be available today, however when refurbished will be available. Bonymaen House Care Inspectorate Wales Registration
21/05/2018	Chain capital limit. Self-funding weekly fee will go up. 'Swings and roundabouts'.	
21/05/2018	Self-funder have found Local Authority could pay top up fees.	Explained top up fees and will Cabinet meet fees.
21/05/2018	Carer - One extreme to another. Hope it's not about money. Exercise to tick a box. Concerns about Mums and Dads. 'NPT no council Homes decommissioned'.	Head of Service confirmed that Neath Port Talbot had outsourced its Residential Services.
21/05/2018	Carer - Are we going to be the same?	No, funding. Nothing has been said around costs. Must be dealt with sensitively.

21/05/2018	Carer - Why can't you sell off building?	These are Corporate Properties. Corporate funds.
21/05/2018	Carer - Why can't we have discussion around making it financially viable?	
21/05/2018	Carer - No money. What happens, limit under Welsh Government. Small number internal majority private sector care.	Financial – responsibility on Councillors to make that decision. The Council could have outsource, but continue to deliver services to meet needs but under new categories. These are the categories going forward: 1. Respite 2. Complex 3. Reablement. From an Officer / Political point of view we are not looking at Decommissioning all our services.
23/05/2018	Will the buildings be sold if proposals go ahead? - Hollies	For the Hollies, only the day service building would be affected, not the residential home so we would look at how the building could be used to complement the residential home. However there are no concrete plans as yet.
23/05/2018	Will the buildings be sold if proposals go ahead? - Rose Cross	For Rose Cross, the day service operates from the lounge in the residential home so this room would just be opened up for use by residents.
23/05/2018	Will the buildings be sold if proposals go ahead? - Parkway	For Parkway, this would go through the council process to potentially be sold / consideration of options for the site if / when we get to that stage. It is not tied to the Olchfa land sale – the timing is purely coincidental. Feedback: the location of Parkway is good for older people so maybe it could be age-friendly accommodation in future.

08/05/2018	Top up fees if residents have to move to the independent sector.	Each individual circumstance will be considered and what help is needed. Please raise this in any consultation feedback.
08/05/2018	Will the building be knocked down and sold to private developers? Heard it will go to Coastal Housing?	There are no plans at the moment for the site. If it is surplus to the Council, Estates will have a duty to get the best value.
08/05/2018	Concerned that access to new houses (on Olchfa site) is being put above residents.	
08/05/2018	There is money wasted, for example, the Kingsway. Couldn't this be used for social care where it is needed? The priorities are wrong.	Councillor Stewart explained the financial position and the Council has to save £27m. However it will be providing an additional £5m to Education and £6.5m to Social Services. Council tax has increased which brings in an additional £5m. However this is still not enough. The Kingsway development is from a separate pot of money and cannot be used for other areas. This has however been raised with the Welsh Government. There is surplus capacity in standard care and we can provide in house respite/reablement/complex care but only across 5 services. If there is anything else we should have considered in the criteria, please put this in your feedback.
08/05/2018	Has the cost of the land been considered if Parkway closes?	The Council have indicative values for all buildings. If it is sold, it is one off monies. Councillor Stewart explained that the Coastal Housing development at Olchfa has been in the planning for 3 years and is not reliant on Parkway site being sold. It is for the developers to work out

		access and liaise with Planning.
05/06/2018	It was felt that the Cabinet had not looked hard enough to find savings elsewhere.	The Leader explained that £70m savings is required over the next 3 years and there are plans to close 2 primary schools, reduce leisure service, waste management etc. There has been investment in social care but it is still not enough so difficult decision have to be made.
21/05/2018	We should not pay top up fees	We will get back to you.
Location		
21/05/2018	Can't understand building is good, contradictory to complex need info.	Referred to mix
21/05/2018	Service User - I want to stay here!	Not an easy decision, Cabinet will consider. 'We want to get it right'
21/05/2018	We made a right choice placing here	
21/05/2018	What are you doing with building?	Could be land, could be Independent Sector. Lease fit for purpose
21/05/2018	Bonymaen House no parking, crazy selling this off (Parkway).	
21/05/2018	Carer - People here already? If they find a new home, currently looked at Private sector. Could individuals be moved in house? To avoid top up fees? People would be happier to be moved in house.	Can be considered if complex needs. Standard Residential externally met.
21/05/2018	Carer - Comparing to Bonymaen House Comparative on buildings, they look the same.	Use home for respite etc. Logic – no independent Commissioning. Not in a financial position. (Reablement/respite/Complex = Logic) (who pays for it = Challenge. If we have more money we could do a lot more
08/05/2018	Don't want to travel halfway across Swansea, Parkway is close to where I live.	

08/05/2018	Why close Parkway when Rose Cross and St Johns are close to each other?	
08/05/2018	We choose council run homes because they are purpose built whereas they are not in the independent sector.	
Placements		
21/05/2018	Carer - If respite care - where would you place?	Transition/Existence of places/some money 2018/Have had to close two schools due to numbers/Need to make savings to invest/Aware of sensitive issues/Aware of private sector concerns/The safety, happiness of individuals is paramount/We cannot continue to run all Council Services/Will take on board all consultation etc.
21/05/2018	Carer - Respite – we were told we have to do it privately.	Explained new model going forward.
05/06/2018	A family member did have concern that if Parkway was kept open how long would this be for and would they be going through the same exercise in 3 years' time?	Councillor Child could not confirm this but re-affirmed that the Council is in a serious financial position and if the service did not close other ways would have to be found to meet these difficulties.
05/06/2018	It was recognised by family members that the Council are transparent in the consultation and proposals but felt there was no clear plan going forward and it was about the money and that it was inevitable that 'Parkway would close. It was a done deal and we are only going through the process.	It was emphasised that the model of care was the driver and was not just about Parkway. There is increased demand for people wanting to stay in their homes.
21/05/2018	Typical exercise nonsense. Mum 97. You have been running this down. Staff are overworked.	Not a done deal. We acknowledge some residents are not able to understand. We acknowledge this is difficult and challenging. There's not enough money. We are not able to maintain

		service level. Social Services / Education take up most of our funding. Funding - General, Complex care, dementia - this change will allow us to restructure. I really don't want to be here. I will feed back, it's not a done deal. We will run out of money. These proposals should support provision for 4/5 years. Needs must be looked at on an individual basis. If a decision is to close, Chief Social Services Officer and Head of Service will make sure it fine.
21/05/2018	What's a self-funder	Briefed the difference.
21/05/2018	Carer - Council funding Commissioned homes are all the homes on this list from Head of Service ?	Yes
21/05/2018	Carer - Older people – if complex we are avoiding too many moves. Anxious, worry and traumatic time. 'Think outside of box'. Accommodate this more, but not new referrals coming in. Council Services are heavily regulated.	
21/05/2018	Carer - Scoring exercise – you have not involved families. Score 6 properties – 1 would like to have been included in this piece of work. Massive piece of work? Why you didn't you involve us?	
21/05/2018	Carer/Service User - Care home closures came up before to close all homes?	We have provided you this time with more information, better informed decisions to be made. Chief Social Services Officer reiterated new model going forward.
21/05/2018	Carer - Going on 3 years ago	Earlier review, this is a different review
23/05/2018	Group queried whether a co-productive approach was being taken	Head of Service will take this back and emphasised that this work is still in the early stages and there are limitations where contracts and care are involved.

23/05/2018	What about the Equality Impact Assessment (EIA) process?	Confirmed that engagement is covered as part of the process. Group member's keen to offer assistance with EIAs as part of the co-production approach – Head of Service agreed that this could be an option for some areas.
08/05/2018	The SSWB Act states people have a choice and this proposal will not give this choice.	Swansea is unusual in still providing a range of in house provision, not all local authorities do.
08/05/2018	In regards to the survey, why does it ask for sexual orientation?	This is required under the Equalities Act and to capture statistics.
08/05/2018	If NPT and Swansea merge will more homes go?	Councillor Stewart explained that any merger would have a wider effect e.g. council housing but this Council want to continue running services.
Staffing		
05/06/2018	Comments were made that the process to close had already started and that staff had been redeployed.	It was confirmed that as staff are at risk they can apply for jobs but as yet no staff have left.
08/05/2018	What will happen to the staff?	We will be supporting them to find new jobs.
08/05/2018	Bed blocking shows there is a demand for residential care and not enough beds.	The hospital situation is not linked to residential care but to home care, more people are wanting to remain in their own homes. There are vacancies in the residential care sector.
08/05/2018	How many vacancies are there in the other in-house care homes?	This will be provided.
21/05/2018	Carer - Why aren't you running to full capacity? 10 beds available. Care Inspectorate Wales – no demand or staffing. There has been no interest in beds.	No? There have been no blocks on residential admissions. There has been little demand since January. There's no demand.

Vacancies

05/06/2018	There was concern that if residents had to move, there were not enough vacancies in the Council homes and the private homes were not as a good a standard.	Head of Service reassured the group that all homes are monitored to ensure they do meet the required standard, although one family member experience was that the standard drops. The Leader explained that there will be a choice to go to a Council run home if assessed as complex and there was availability. However some may chose location over council run care home and residents and family members will be supported to find a suitable alternative, visiting homes etc.
21/05/2018	Carer - Insufficient beds	Referred to current vacancy list.
21/05/2018	Carer - Place add in Evening Post to advertise vacant beds I am sure you will get a take up of beds.	Strongly suggest - No, as this would be unsettling for all.
08/05/2018	The current position is that there are spare beds and this is inefficient.	The new model will mean there is one care home too many. We have looked at this and which care home least suits the needs for the future, considering a number of factors including the site, other provision, physical layout. The matrix is available on line, with the report.
08/05/2018	There are not many vacancies in the private sector. I have visited 13 homes and no vacancies and the cost is higher and there are top up fees. Also some homes are for assessment or dementia only.	
08/05/2018	Difficult to book respite provision in the private sector.	That is why we will be increasing respite places in our Local Authority homes.

08/05/2018	You are duty bound to find places for people.	Councillor Child replied Yes, if not find what you want can stay. Chief Social Services Officer explained that we do not have enough resource to do all we currently do. We have looked at the population assessment, complex and standard care and the proposals fit with the numbers. Councillor Child explained that more people are wanting to remain in their own home and will move into residential care later in their lives so demand for residential care is not increasing. Home care and reablement are required to support more people to remain in their own home.
08/05/2018	Places are not advertised and the service is being run down. Tried for respite last year and could not get in. The numbers have reduced from 36 to 26.	This had to be done to ensure safe staffing levels and in agreement with Care Inspectorate Wales There were discussions with Health around use of the spare beds but to no conclusion.
08/05/2018	What if there are no places?	There are 37 vacancies in Swansea West (end of April), both residential or dual registered.
21/05/2018	Carer - Can't believe this! Could not find respite. Staff have been trained, equipment and facilities.	
Wellbeing		
05/06/2018	Family members felt that undertaking a review would cause stress when no decision has been made. A concern was raised that a social worker had told them that if they do not have power of attorney the meeting with their father can be held without them.	Reassured that this is not the case and would want family involved but if the resident has capacity they can request not to have family at the meeting.

21/05/2018	Complex needs, training, have looked at rooms, bed blocking NHS why not used beds for hospital. My dad 98 hope he died before move, stressful, wellbeing of Service User not being considering	We have limited finance, we are looking at priorities. There is sufficient provision for lower care within third sector homes.
21/05/2018	Carer - Scenario discussed surrounding the ladies Mum's move. She's 96 given up her home and has to move again – this is unsettling for her.	We want Services to cater for Complex Care. Head of Service and Chief Social Services Officer have produced a new model.
08/05/2018	The residents' welfare is not being considered. You would feel the same if it was your family.	Yes, understand this and therefore we need your views on the proposal so we can make a sensible decision. We know it is upsetting and if the decision is made to close Parkway, every individual will be supported to find a safe, appropriate and affordable provision.
08/05/2018	If there are no beds or don't want to move to a private home, residents can't be evicted by law. If have to move, why not reduce gradually as the most humane way?	Will support and encourage the moves. There will be no new residents but if residents do not move to other provision, it could take years to close which is not financially viable. There will be advocates for individuals, if required as part of the social work reviews. Recognise the age of residents and the stress levels so we are committed to supporting people to move as safely as possible. This has happened in the past and in a number of Councils.
21/05/2018	Carer - What will there be for us as we get older?	

1.3 Equalities characteristics of the respondents to the questionnaire:

We asked respondents who completed the questionnaire to complete an equalities questionnaire. The results were as follows.

Are you...?	
14 (35.9%)	Male
23 (59.0%)	Female
2 (5.1%)	Prefer not to say

Is your gender the same as that which you were assigned at birth?	
35 (94.6%)	Yes
1 (2.7%)	No
1 (2.7%)	Prefer not to say

How old are you ...			
0 (0.0%)	Under 16	11 (28.2%)	56 - 65
0 (0.0%)	16 – 25	7 (17.9%)	66 - 75
1 (2.6%)	26 – 35	3 (7.7%)	76 - 85
2 (5.1%)	36 – 45	4 (10.3%)	Over 85
10 (25.6%)	46 – 55	1 (2.6%)	Prefer not to say

Would you describe yourself Please mark all that apply			
22 (56.4%)	British	0 (0.0%)	Other British (please write in at end)
22 (56.4%)	Welsh	0 (0.0%)	Non British (please write in at end)
0 (0.0%)	English	0 (0.0%)	Gypsy/traveller
2 (5.1%)	Irish	0 (0.0%)	Refugee/Asylum Seeker (please write in current/last nationality at end)
0 (0.0%)	Scottish	0 (0.0%)	Prefer not to say
Write in here			
0 (0.0%)			

To what 'ethnic' group do you consider			
33 (86.8%)	White - British	0 (0.0%)	Asian or Asian British - Bangladeshi
2 (5.3%)	Any other White background (please write in at end)	0 (0.0%)	Any other Asian background (please write in at end)
0 (0.0%)	Mixed - White & Black Caribbean	0 (0.0%)	Black or Black British - Caribbean
0 (0.0%)	Mixed - White & Black African	0 (0.0%)	Black or Black British - African

0 (0.0%)	Mixed - White & Asian	0 (0.0%)	Any other Black background (please write in at end)
0 (0.0%)	Any other Mixed background (please write in at end)	0 (0.0%)	Chinese
0 (0.0%)	Asian or Asian British - Indian	0 (0.0%)	Other ethnic group (please write in at end)
0 (0.0%)	Asian or Asian British - Pakistani	3 (7.9%)	Prefer not to say
Write in here			
3 (100.0%)			

What is your religion, even if you are not currently practicing?

Please mark one box or write in

12 (30.0%)	No religion	1 (2.5%)	Muslim
23 (57.5%)	Christian (including Church of England, Catholic, Protestant, and all other Christian denominations)	0 (0.0%)	Sikh
1 (2.5%)	Buddhist	0 (0.0%)	Other
0 (0.0%)	Hindu	3 (7.5%)	Prefer not to say
0 (0.0%)	Jewish		
Any other religion or philosophical belief (please write in)			
0 (0.0%)			

Do you consider that you are actively practising your religion?

15 (44.1%)	Yes
15 (44.1%)	No
4 (11.8%)	Prefer not to say

What is your sexual orientation

0 (0.0%)	Bisexual	8 (22.2%)	Prefer not to say
1 (2.8%)	Gay/ Lesbian	0 (0.0%)	Other
27 (75.0%)	Heterosexual		
Please write in			
3 (100.0%)			

Can you understand, speak, read or write Welsh?

Please mark all that apply

8 (20.5%)	Understand spoken Welsh	4 (10.3%)	Learning Welsh
5 (12.8%)	Speak Welsh	21 (53.8%)	None of these
7 (17.9%)	Read Welsh	3 (7.7%)	Prefer not to say
4 (10.3%)	Write Welsh		

Which languages do you use from day to day?

Please mark all that apply

36 (90.0%)	English
4 (10.0%)	Welsh
1 (2.5%)	Other (write in)

3 (7.5%)	Prefer not to say
Please write in	
3 (100.0%)	

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 Disability Discrimination Act 1995 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."

11 (27.5%)	Yes
26 (65.0%)	No
3 (7.5%)	Prefer not to say

Does this illness or disability limit your activities in any way?	
11 (30.6%)	Yes
22 (61.1%)	No
3 (8.3%)	Prefer not to say

1.4 Consultation with affected staff and Unions

- Staff briefing meetings held by management, Chief Social Services Officer, Head of Adult Services, Human Resources and Trade Union representation prior to the start of the consultation. In addition meetings with the same group were held during the consultation to brief staff in combination with one to one's arranged as necessary with management/HR and Unions (if requested).
- Frequently Asked Questions (FAQs) created and distributed to relevant affected staff following meetings.
- Staff have been encouraged to participate in the consultation. The primary concern raised by staff was the impact on their jobs. There were 34 staff potentially at risk in Parkway. All staff were given immediate access to the Council's redeployment opportunities. At the time of putting the final recommendations to Cabinet 3 staff had already been successful in securing alternative employment and 2 were undertaking a trial period in an alternative position. There were sufficient vacancies across Adult Services to give the Council confidence that the remaining staff could be accommodated if they wished to remain in employment with the Council. A number of employees had also expressed an interest in the Council's Early Retirement/Voluntary Redundancy scheme and been given provisional figures. This option would be progressed for those staff who wanted to access it, if the final proposals were agreed.
- No formal response has been received from staff.
- Monthly meetings held with Trade Unions; no formal response has been received from the Trade Unions.

Agenda Item 9.



Report of the Cabinet Member for Care, Health and Ageing Well

Cabinet – 20 September 2018

Outcome of Consultation in Relation to the Day Services Commissioning Review

Purpose:	The report summarises the results of the recent consultation on the preferred options emerging from the Day Services Commissioning Review. It also provides final recommendations to Cabinet on how to proceed, taking account of these results and the associated Equality Impact Assessments.
Policy Framework:	Social Services and Well-Being (Wales) Act 2014
Consultation:	A 12-week public and staff consultation was conducted from 30 th April 2018 to 23 rd July 2018.
Recommendation(s):	Cabinet is asked to consider the following recommendations: <ul style="list-style-type: none">• Recommendation 1: Remodel day services for older people so they focus on complex needs only going forward.• Recommendation 2: As a consequence of the above, close Rose Cross and the Hollies Day Services ensuring that all those affected are fully supported through the process.
Report Author:	Alex Williams
Finance Officer:	Chris Davies
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar

1. Executive Summary

- 1.1 In line with the corporate process, Adult Services has conducted a Commissioning Review of Day Services for Older People, and publicly consulted on the preferred options emerging from the Gateway 2 stage of the process.
- 1.2 This paper provides the background to the review, the preferred options and the service specific implications, the findings from the public consultation and the associated Equality Impact Assessment, and final recommendations on the way forward for Cabinet.
- 1.3 Swansea Council recognises that it needs to shape the services that it delivers internally and those that it commissions externally to meet 21st century needs.
- 1.4 In line with the principles of the Social Services and Wellbeing (Wales) Act, the Council agreed a model for Adult Services in 2016 which had the following key principles at its core:
 - Better prevention
 - Better early help
 - A new approach to assessment
 - Improved cost effectiveness
 - Working together better
 - Keeping people safe.
- 1.5 In undertaking the review of Day Services for Older People these principles have been central to reaching a position of a preferred direction of travel.
- 1.6 The preferred option of the Day Services review was to refocus internal provision on complex care and no longer deliver care for non-complex needs.
- 1.7 Shaping the service in this way would support the key principles of prevention and early intervention by ensuring those with complex needs are supported to remain at home for longer as well as provide much needed respite for carers.
- 1.8 It would allow Swansea Council to provide a specialist service for those with complex needs, striving to provide better care for Swansea residents because we would be able to upskill our staff to concentrate on providing this specialist service in a way that we are currently unable to do by needing to cater for people with a range of complex and non-complex needs.
- 1.9 Less capacity would be needed and therefore, subject to consultation, the proposal was that the Hollies and Rose Cross Day Service buildings may close, although provision would be maintained on the remaining day service sites.
- 1.10 All existing attendees would be fully supported with individual move on plans to either access an alternative day service place if they have complex needs or other support in the community if they do not have complex needs. Other support in the community might include support to meet up regularly with family and friends, involved in local community groups and activities or support

from a Local Area Coordinator. For those with complex needs, it is envisaged that the majority of attendees would attend their nearest alternative day centre; for the Hollies, this would be Llys Y Werin in Gorseinon and for Rose Cross, this would be St Johns in Manselton.

- 1.11 In the event that the proposals were agreed following the consultation, alternative uses for the Hollies Day Service would be looked at and the potential to use the building to complement the co-located home would be explored. In relation to Rose Cross, as the day service is located within the Home itself, much needed additional communal space could be provided for residents in the home itself which would add value to their stay there.
- 1.12 In reaching these proposals, a wide range of options were considered and discounted. These are detailed in Section 7 of Appendix 1 to this report and included maintaining the status quo, and externalising all services including the use of alternative delivery models. Once the preferred options had been identified, the evaluation exercise considered the relative suitability of each of the internal buildings to deliver the preferred future model in order to reach the proposal that the Hollies and Rose Cross Day Services should close.
- 1.13 The Council has recently undertaken a 12-week consultation on the proposed future model for day services and specifically the closure of the Hollies and Rose Cross Day Services.
- 1.14 The consultation responses are summarised in this report alongside the Council's response and mitigation where appropriate.
- 1.15 The key themes highlighted in the consultation are as follows:
 - Support for the model and agreement that the Council should focus on complex needs to ensure those most in need continued to receive services and that they were financially sustainable for the future.
 - A suggestion that community-based options often provided a better solution for people than a traditional day service.
 - Concern that there was a lack of logic and rationale behind the proposed changes.
 - Feeling that day services acted as preventative services which were often the only chance that older people had to socialise and taking this away would lead to further loneliness and isolation and have a detrimental impact on wellbeing. There was also a concern that there were a lack of viable alternatives.
 - There was potential to create alternatives to day services through co-productive approaches to which older people could contribute, but support was needed including suitable transport.
 - The Council should not focus on complex needs only because it was felt that there were no alternatives and the proposed closures would impact negatively on the respite needs of carers.
 - Despite concerns over social isolation and the impact on carers, some respondents still stated that they were in support of the proposals having taken account of this potential negative impact.

- Perception from a small number of respondents that older people had been betrayed having contributed all their lives through taxes only to be denied the support they need.
- Concern that the proposals were about savings and in the future more people will not be able to cope and need support to meet other people.
- Concern that areas to the North and East of Swansea would no longer have day services in the event that Rose Cross and the Hollies day services were to close.
- Concern that attendees would have longer journeys to access day services in the event that Rose Cross and the Hollies day services were to close.
- Some respondents did not want things to change and were worried about the impact and people 'losing out'.
- Comments were made by the attendees and family members at the Hollies that people would be split up and lose friendships.
- Comments were made by attendees and family members at the Hollies that Pontarddulais has its own unique culture, and the culture would be different at an alternative day service.
- The condition of the building should not have been a factor considered within the evaluation criteria used to determine which day services should close.
- The Council needed to be clearer how the remaining services will be equipped to meet the increase in complex needs going forward.

1.16 The counter proposals put forward were as follows:

- Savings should be made elsewhere in the Council and day services should consequently remain for those that need them. It was proposed that the budget for day services should be increased.
- The Council should change the way in which services were procured to release savings. There was a belief that bringing services in-house would be cheaper for the Council.
- All day services should be outsourced as it was believed that this would be more cost effective.
- Joint commissioning across health and social care would achieve savings for the Council.
- Charges should be introduced to keep day services for older people open.

1.17 In general whilst there was not majority support for the model or the proposal to close the Hollies and Rose Cross Day Services, there was still a level of support for the model itself and the Council identified no viable alternatives which would allow people to maintain independence and remain at home for longer in line with the principles of the Social Services and Wellbeing (Wales) Act whilst at the same time achieving the necessary savings required in line with the overarching Adult Services model.

1.18 The Council has addressed each of the concerns put forward in the consultation and provided mitigation where possible, details of which can be found in the main body of this report

1.19 There were no concerns put forward that could not be mitigated or for which there was no response which alleviated the concerns.

- 1.20 Of paramount importance if the proposals are to go ahead will be to ensure that the wellbeing of current attendees at the Hollies and Rose Cross Day Services is maintained and any moves are carefully and thoughtfully planned involving attendees, their families where appropriate, and a social worker. If a decision is taken to close the Hollies and Rose Cross, each resident will have an individual social work assessment to determine their unique needs and determine appropriate move on plans.
- 1.21 From the outset, staff were fully engaged in the potential remodelling of service and from the start of the consultation were supported to wherever possible find alternative employment in line with the Council's HR processes. In line with the Council's HR policies, all staff who were potentially affected were given immediate access to the Council's redeployment processes at the beginning of the consultation period as this is standard process where there is an understanding that an employee might be at risk, but a final decision has not been taken. Some employees have already been successful in securing alternative employment. Some employees have already indicated that they would like to be considered for redundancy in line with the Council's Early Retirement Scheme/Voluntary Redundancy, and have been given provisional figures to allow them to consider this option further. In the event that a decision is taken to close Rose Cross and the Hollies Day Services, the staff involved will be given an extended notice period and be formally put at risk. Alternative employment for those that want it will be sought through the Council's redeployment scheme and those who would rather leave the organisation will be supported through the Council's Early Retirement/Voluntary Redundancy Scheme.
- 1.22 Whilst a key driver for this change is to remodel the service to meet the needs of those most vulnerable in the City and County of Swansea, adopting this approach will also allow Adult Services to meet considerable budgetary challenges to allow them to deliver financially sustainable, high quality services. The proposed model also supports the principles behind the Well Being of Future Generations (Wales) Act, specifically the wellbeing goals of a resilient Wales and a healthier Wales by developing sustainable services for the future and services which allow an ageing population to maintain their independence for as long as possible.
- 1.23 It should be noted that if these recommendations are agreed, the Commissioning Review in relation to Day Services for Older People will be complete and it is not envisaged that any further review will take place during this administration.
- 1.24 Remodelling the services in this way should allow the Council to provide better services, and allow people to meet their desired outcomes whilst delivering better care and ultimately keeping people safe and secure for the reasons explained earlier in this executive summary.

2. Background:

- 2.1 In line with the Council's Corporate Commissioning Review approach, a review was undertaken of day services for Older People in 2016. This review looked at those services both provided directly by the Council and those services that are commissioned from the independent sector.
- 2.2 The review set out a range of options for the way forward.
- 2.3 A stakeholder workshop took place to ascertain feedback surrounding the advantages/disadvantages of the full range of options on 10th June 2016.
- 2.4 Stakeholders included a range of internal and external providers, care managers, support and inter-related services, carers, representative groups and elected Members.
- 2.5 Following the stakeholder workshops, a dedicated session was also held with the Trade Unions on 21st June 2016 to talk through their views on the options.
- 2.6 The detailed option appraisal was then held on 27th June 2016.
- 2.7 The Panel for the option appraisal comprised the Commissioning Review Lead, the Principal Officer, the Head of Adult Services, Chief Social Services Officer, the then Cabinet Member as well as representatives from Legal, Finance, Procurement, HR and Corporate Property.
- 2.8 On carrying out the appraisal, it was concluded that the original set of options were too extensive and complex. The options for the review were therefore refined to make them more straight forward and understandable.
- 2.9 The criteria used to appraise each option focussed on the following:
 - Outcomes
 - Fit with strategic priorities
 - Financial impact
 - Sustainability/viability
 - Deliverability.
- 2.10 The full criteria are contained in the Gateway 2 report appended as Appendix 1 to this report.
- 2.11 The options were considered against 3 distinct categories as follows:
 - 1) Overall Day Services Model
 - 2) Delivery Model
 - 3) Income Generation
- 2.12 The preferred options for Day Services for Older People were as follows:
 - 1) Overall Day Service Model:
Preferred Option: Develop service with reduced capacity refocussing day centres on higher dependency, complex/dementia care, but also act as

community hubs to offer activities and community contribution through an expanded range of tier 2 services and local area co-ordination.

- 2) Delivery Model:
Preferred Option: Mixed Delivery with clearly defined internal and external services
 - 3) Income Generation:
Preferred Option: Flat rate charge for access to services under community hub provision which do not meet an 'assessed for' eligible need.
- 2.13 A more detailed rationale is provided within the Options Appraisal Matrix within the Gateway Report at Appendix 1. However, in summary the preferred options scored highest on the basis of the following.
- 2.14 The preferred options would allow the Council to remodel the internal service to focus on more complex needs. In line with the Social Services and Wellbeing (Wales) Act, the focus of the service would be about aiming to achieve better outcomes for people with reablement and greater independence both for attendees and carers at its core.
- 2.15 An individual would be defined as having complex needs and eligible to access a day service if they had needs attributable to one or more of the following features and only a day service could meet that need rather than some other means of support:
- 1) Require support to remain at home due to high levels of daily living, personal care support and health needs including dementia; failure to provide day service may lead to inability to remain at home.
 - 2) Require support to enable reablement or maintenance of daily living skills to enable the person to remain in the family home.
 - 3) Evidence to support the well-being of older people where there is a risk of loneliness, isolation and depression which could lead to significant mental ill-health.
 - 4) Respite required for family and carers where there is a risk of the family situation breaking down.
- 2.16 This approach should also allow us to better manage demand by providing better support to individuals with complex needs and their carers through having a service which focused on complex needs.
- 2.17 We would be able to upskill the workforce to focus on complex needs and therefore provide a higher quality service to those that attended, including the potential for therapy input if needed. Those with non-complex needs would still be entitled to have any eligible needs met but this would not be via a day service. Many service users would be better supported through other means in their local communities, drawing on the support of Local Area Coordinators where applicable and other naturally occurring opportunities in communities. Those with non-complex needs would still be entitled to have any eligible needs met but this would not be via a day service.

- 2.18 From a financial perspective, refocussing the service on complex needs would mean that less places were required which would release an overall saving on the delivery of day services.

3 Implications of the preferred options:

- 3.1 Some detailed modelling was undertaken to determine the potential impact of the proposed options in terms of reduction of day service places based on current and projected demand in line with the preferred options.
- 3.2 In order to consider the specific implications, each preferred option will be considered in turn.
- 3.3 *Preferred option 1: Develop service with reduced capacity refocussing day centres on higher dependency, complex/dementia care, but also act as community hubs to offer activities and community contribution through an expanded range of tier 2 services and local area co-ordination.*
The modelling exercise indicated that reducing capacity of day services places from 440 to 315 (a reduction in 125 places), would allow the service to meet current and projected future demand in line with the preferred options. The reduction of the 125 places would equate to the closure of two day services. The modelling was based on an analysis of occupancy in February 2018, combined with projected increased demand in line with population growth by 2025, as well as assuming any of those on the waiting list had complex needs.
- 3.4 In terms of implementation if the proposal was agreed, in a similar way to how we managed the closure of the Beeches, we would need to undertake an individual social work assessment of need of each service user who currently attends day services to determine whether or not they had eligible needs and whether those needs were complex needs and consequently could be met through day service provision. This assessment would involve a social worker, the individual themselves and any carer/family as required. If it was determined through this assessment that the individual had complex needs, they would be offered a place in an alternative day service. If it was determined through this assessment that the individual did not have complex needs, an individual care plan would need to be determined as to how best to meet any assessed eligible need and if appropriate how this person would access support/social opportunities on leaving the service. This may include accessing support from a Local Area Coordinator if the individual lived in an area served by a Local Area Coordinator. This plan would then be put in place and reviewed to make sure eligible needs continued to be met and/or no safeguarding issues emerged. The individual would have a clear point of contact with the service should their needs change over time and greater support was required.
- 3.5 It should be noted that the approach taken at the Beeches delivered good outcomes for all concerned; those that were eligible accessed alternative services if they wished to do so and appropriate move on plans were agreed with the remainder. The transition arrangements proved successful and no safeguarding issues emerged. For example, some people no longer wanted to continue attending the day service, but wanted to achieve other outcomes

such as meeting a family member once a week. The social worker was able to work with the individual to ensure that outcome could be achieved, and the individual felt a greater sense of wellbeing as a consequence.

- 3.6 Since completing the Commissioning Review, it has been decided to not proceed with the second part of this preferred option to create Community Hubs as this approach has been superseded by the corporate Commissioning Review of Services in the Community. Tier 2 services will be developed in line with this model, or linked to existing hubs in the community.
- 3.7 A public consultation was therefore conducted in relation to Preferred option 1 to develop the service with reduced capacity refocussing day centres on higher dependency, complex/dementia care.
- 3.8 *Preferred option 2: Mixed Delivery with clearly defined internal and external services*
Implementation of Preferred option 1 is contingent on there continuing to be a mixed delivery of internal and external services. This aspect of the review was also part of the public consultation.
- 3.9 *Preferred option 3: Flat rate charge for access to services under community hub provision which do not meet an 'assessed for' eligible need.*
Due to the hub element of the preferred options not moving forward, this preferred option is now redundant. However, it should be noted the proposals surrounding charging for day services have been moved forward as part of the annual budget setting process.

4 Specific impact on internal Services and mitigation:

- 4.1 An evaluation exercise was undertaken to determine the services that would no longer be required as a result of implementation of the preferred options.
- 4.2 An evaluation workshop consequently took place on 31st January 2018 to evaluate each service against specific criteria.
- 4.3 The evaluation workshop comprised representation from Adult Services including the Head of Adult Services and Chief Social Services Officer, Finance, Building Services and Corporate Property.
- 4.4 An evaluation matrix (attached at Appendix 2) was utilised which assessed each day service against the following specific criteria as follows:

Building Suitability:

- Current Condition Survey
- Estimated investment in building required
- Fitness for purpose of existing building layout to deliver proposed future model
- Estimated value of site for redevelopment

Location:

- Availability of alternative day centre provision in the vicinity

Current Level of Use:

- Current occupancy levels
- Community links established/embedded in the community
- Flexibility of use aligned to future model
- Complexity of need of majority of attendees.

4.5 Each criteria attracted a score of up to 5 with a weighted maximum score of 175, with the higher the score indicating that the day service was most fit for purpose to deliver the proposed model. The criteria were driven by the suitability of the building itself to deliver the preferred future model.

4.6 The outcome of the evaluation led to the following overall scores:

Home	Overall Score
Norton Lodge	145
The Hollies	75
St Johns	150
Rose Cross	90
Ty Waunarwydd	130

4.7 The Hollies and Rose Cross Day Services therefore attracted the lowest score, and it was therefore proposed that the buildings would close if the preferred options emerging from the review were agreed.

4.8 At the time of writing the report, there were 9 attendees at the Hollies and 35 at Rose Cross Day Service. In order to mitigate the impact on those affected, a hold was put on new admissions to the Hollies and Rose Cross Day Services once the consultation commenced.

4.9 In order to inform their response to the consultation, each service user in The Hollies and Rose Cross was offered a social work review during the consultation period to determine whether they had complex or non-complex needs so they could understand how the proposals might affect them. However, if Cabinet do decide to proceed, a further social work assessment would be undertaken to ensure that their needs had not changed. If they had complex needs they would be offered a place in the nearest accessible day service to them. For the Hollies, most would therefore attend Llys Y Werin in Gorseinon, an externally commissioned service which is approximately 3 miles away. For Rose Cross, the majority would be relocated to St Johns in Manselton which is approximately 1 mile away. Social Services transport would be provided for anyone who relocated to another service.

4.10 If they did not have complex needs, a tailor made individual move on plan would be established and they would leave the service which ensured that any remaining eligible needs were met. This move on plan might for example involve identifying other opportunities for social activities and interaction either within their local communities or network of family and friends, and the social worker would work with them to put adequate arrangements in place to facilitate this.

- 4.11 The overall impact of the implementation of the model would be mitigated through the proposed approach to gradually phase out non-complex care in the remaining day services, so we would not review people in the other services or require them to move on at this stage.
- 4.12 If the proposals are agreed following the consultation, for those that might need our services in the future, only those with complex needs would be able to access them in the future. Those with eligible needs that are non-complex would have those needs met via alternative provision. Depending on the nature of the need, this may include signposting and support to access other forms or support as part of the social care and support planning process.
- 4.13 From a staff perspective, there were 5 employees potentially at risk who worked at Hollies Day Service and 7 potentially at risk who worked at Rose Cross Day Service.

5 Consultation process:

- 5.1 Cabinet agreed to consult on the preferred model for day services at its meeting of 19th April 2018.
- 5.2 A 12-week public consultation consequently took place from 30th April 2018 to 23rd July 2018. It was agreed to carry out the staff consultation concurrently to ensure staff directly affected could also effectively have their say on the proposals.
- 5.3 The consultation specifically sought views on the following:
- The proposal to refocus Local Authority day services on complex needs only.
 - The Local Authority would consequently no longer accept new admissions to day services for non-complex needs.
 - The specific proposed closure of the Hollies and Rose Cross Day Service buildings.
- 5.4 The consultation was carried out using a questionnaire. The survey was available online and hard copies were also made available at key council venues.
- 5.5 We actively publicised the consultations and used appropriate media and social media platforms as follows:
- Informed all Swansea Councillors and offered face to face meetings
 - Informed all Council staff
 - Informed all local AMs and MPS and offered face to face meetings
 - Informed the Older Person's Commissioner and offered face to face meetings
 - Informed all independent day service providers
 - Informed Swansea CVS and offered face to face meeting
 - Informed Swansea Carers Centre and offered face to face meeting
 - Informed Age Concern and offered face to face meeting
 - Face to face meeting with the Disability Liaison Group

- Press releases at key stages of the consultation process as well as promotion on appropriate social media
 - Informed the Carers Partnership Board and offered face to face meeting
 - Informed the Voice Forum and offered face to face meeting
 - Ensured copies of the consultation documents and questionnaires were available in all Libraries, the Contact Centre and sheltered housing complexes
 - Informed the 50+ Network
 - Informed the Swansea Dementia Forum and offered face to face meeting
 - Informed the Ageing Well Steering Group and offered face to face meeting
- 5.6 The consultation was also publicised to current day service attendees, either via individual letters or information packs sent to each venue.
- 5.7 In relation to the Hollies and Rose Cross Day Services specifically, the following was undertaken:
- A letter was sent to each service user and their families where applicable to explain the proposals, timescales for decision, how the closure would be undertaken if agreed and giving them opportunities to have their say. This included how their individual needs would be assessed and how any individual service provision plan would be agreed.
 - Consultation meetings took place at Rose Cross with attendees and families on 8th May 2018, 16th May 2018 and 21st May 2018.
 - Consultation meetings took place at the Hollies with attendees and families on 17th May 2018 and 11th June 2018.
 - As not all attendees attended each service every day, meetings were arranged to ensure all attendees could attend at least one meeting. In total 23 attendees attended the meetings. For those that did not attend, it was ensured that the staff at the service had conversations with them so they were aware of the consultation and knew how to respond. A number of attendees did not have capacity, so it was ensured that all family members were contacted to make sure they also understood the proposals and knew how to respond. No family members chose to attend the meetings at Rose Cross, but a small number chose to attend the meetings at the Hollies as well as some local community councillors.
 - There were offers of meetings/face to face opportunities at the day service.
 - During the consultation period, we asked a social worker to work with each individual affected to review their needs to establish whether or not they had complex needs. This allowed them to make a more informed response to the consultation as they better understood how the proposals might affect them.
 - The Common Access Point was indicated as the point of contact during the consultation, but residents/families were also able to directly articulate queries to the Cabinet Member and the Head of Adult Services.
- 5.8 A Section 188 letter was issued to the Trade Unions and they were briefed at the beginning of the consultation and regular liaison meetings were held throughout.

- 5.9 A staff consultation meeting was held at both the Hollies and Rose Cross on 1st May 2018 and then 1 to 1s held with each member of staff affected.
- 5.10 All Social Services staff were briefed and given opportunities to have their say on the proposed new models for Residential Care and Day Services.

6 Consultation responses and counter proposals put forward:

Summary of responses

- 6.1 A total of 92 responses were received to the consultation. This comprised 42 online questionnaires and 50 hardcopy questionnaires. One online response was received after the consultation deadline, but was accepted on the basis of ensuring that as wide a range of views as possible was considered.
- 6.2 5 core questions were asked in the questionnaires.
- 6.3 Question 1 asked “Do you agree or disagree with the proposed changes to Day Services for Older People?”. 87 out of 92 respondents replied. Of those 87, 11 strongly agreed, 26 tended to agree, 20 tended to disagree and 30 strongly disagreed. This question related to the overall proposed model for day services.
- 6.4 Question 2 asked respondents to expand on their answer. 67 out of the 92 respondents answered this question. The key themes emerging will be explored further below.
- 6.5 Question 3 asked “Are there any other options you feel the Council should have looked at in relation to Day Services for Older People?”. 59 of the 92 respondents replied to this question. The key counter proposals are outlined below.
- 6.6 Question 4 asked respondents “Considering the above, do you agree or disagree that the criteria used to assess each care home were the right ones?”. 71 out of 92 respondents answered this question. 11 strongly agreed, 24 tended to agree, 16 tended to disagree and 20 strongly disagreed.
- 6.7 Question 4 then went on to ask respondents if they agreed with the proposal to close Rose Cross and the Hollies day services. 70 out of 92 respondents replied in relation to Rose Cross, and 8 strongly agreed, 20 tended to agree, 12 tended to disagree and 30 strongly disagreed. 72 out of 92 respondents replied in respect to the Hollies. Of those 12 strongly agreed, 18 tended to agree, 15 tended to disagree and 27 strongly disagreed.
- 6.8 The final question asked respondents “If you disagree with either of the above please explain why and give any alternatives that you would like the Council to consider”. 56 out of 92 respondents provided a response to this. An analysis of the key themes emerging will be given below.
- 6.9 The majority of the respondents were consequently against the proposed model to change the in-house day service to focus on complex needs only, as

well as the proposal to close Rose Cross and the Hollies Day services as well as the criteria that had been used to reach these proposals.

- 6.10 Whilst staff consultation meetings took place, and specific 1 to 1 meetings with each member of the 12 staff affected, no formal response was received either from staff or the Trade Unions. Staff were inevitably concerned surrounding the future certainty of their employment; to mitigate this all staff affected were given immediate access to the Council's redeployment policies at the start of the consultation. At the time of writing the report, 1 member of staff had decided to retire from Rose Cross and it had been determined that the staff at the Hollies would not be at risk due to their shared employment with the co-located Residential Home. There were sufficient vacancies across Adult Services to give the Council confidence that all affected staff were likely to be accommodated in alternative employment if they wished to stay with the Council.
- 6.11 A detailed consultation summary document is set out as Appendix 6 to this report, which summarises the consultation activity that took place, the responses received and the key themes emerging.

Summary of key themes and responses

- 6.12 Through the consultation responses and meetings that took place at Rose Cross and the Hollies Day Services, a number of key themes and counter proposals emerged. A full summary is attached as Appendix 6 to this report.
- 6.13 The themes, and the Council's response/mitigation to each one is set out below. The themes are summarised as follows:

Theme	Number of comments relating to theme
Support for the model and agreement that the Council should focus on complex needs to ensure those most in need continued to receive services and that they were financially sustainable for the future.	14
A suggestion that community-based options often provided a better solution for people than a traditional day service.	6
Concern that there was a lack of logic and rationale behind the proposed changes.	9
Feeling that day services acted as preventative services which were often the only chance that older people had to socialise and taking this away would lead to further loneliness and isolation and have a detrimental impact on wellbeing. There was also a concern that there were a lack of viable alternatives.	32
There was potential to create alternatives to day services through co-productive approaches to which older people could contribute, but support was needed including suitable transport.	15

The Council should not focus on complex needs only because it was felt that there were no alternatives and the proposed closures would impact negatively on the respite needs of carers.	11
Despite concerns over social isolation and the impact on carers, some respondents still stated that they were in support of the proposals having taken account of this potential negative impact.	8
Perception from a small number of respondents that older people had been betrayed having contributed all their lives through taxes only to be denied the support they need.	3
Concern that the proposals were about savings and in the future more people will not be able to cope and need support to meet other people.	4
Concern that areas to the North and East of Swansea would no longer have day services in the event that Rose Cross and the Hollies day services were to close.	1
Concern that attendees would have longer journeys to access day services in the event that Rose Cross and the Hollies day services were to close.	1
Some respondents did not want things to change and were worried about the impact and people 'losing out'.	11
Comments were made by the attendees and family members at the Hollies that people would be split up and lose friendships.	Family members
Comments were made by attendees and family members at the Hollies that Pontarddulais has its own unique culture, and the culture would be different at an alternative day service.	Family members
The condition of the building should not have been a factor considered within the evaluation criteria used to determine which day services should close.	1
The Council needed to clearer how the remaining services will be equipped to meet the increase in complex needs going forward.	1

- 6.14 14 respondents indicated ***support for the model and agreement that the Council should focus on complex needs to ensure those most in need continued to receive services and that they were financially sustainable for the future.***
- 6.15 6 respondents suggested ***that community-based options often provided a better solution for people than a traditional day service.***
- 6.16 9 respondents felt that ***there was a lack of logic and rationale behind the proposed changes.*** They found it difficult to understand how if the number of people with low and high level needs were both increasing, the Council could justify closing services. They did not believe that there was a genuine reduction in demand and felt the proposals were contrary to the principles behind the Social Services and Wellbeing (Wales) Act. Family members of

those that attended the Hollies felt that the service was under-promoted which was the reason for low attendance.

- 6.17 As people are living longer, there are a lot more people needing support than there used to be. Although there are more people with dementia and other complex needs, there are more people remaining in their own homes, with non-complex needs, where day services may not be the best way to support them to continue to be part of their local community. Therefore the rationale is to refocus the internal and commissioned day services to provide specialist complex care, upskilling staff to focus on these needs.
- 6.18 In reviewing the use of day services, there is a significant under use hence the proposal to reduce the number of day services. The number of referrals into day services has decreased significantly over the years with people no longer wanting traditional day services. People would rather socialise in their own communities and remain independent as long as possible. Our proposed model focuses on complex needs to help those who are less independent to remain at home for longer and offer much needed respite to families. It is intended that those with less complex needs would be supported through other means such as Local Area Coordinators who can help them to find connections in their own communities. The proposal are entirely in keeping with the Social Services and Wellbeing (Wales) Act with promoting independence and enabling people at their core.
- 6.19 32 comments were received stating that ***day services acted as preventative services which were often the only chance that older people had to socialise and taking this away would lead to further loneliness and isolation and have a detrimental impact on wellbeing. There was also a concern that there were a lack of viable alternatives.*** There was consequently a perceived negative equality impact on older people with disabilities, and a valid concern that a move could confuse some older people and be detrimental to their overall wellbeing.
- 6.20 It is acknowledged that social isolation is important to address for older people and although day services help to prevent this, their primary role is to support people with their social care needs and provide respite to their families. The Council will maintain day services and one of the key criteria for complex needs and hence entry into the remaining services is outlined in paragraph 2.15 and relates to a complex need being determined if there is evidence that a day service is the only option to support the well-being of older people where there is a risk of loneliness, isolation and depression which could lead to significant mental ill-health.
- 6.21 If the only need is in relation to social interaction and there is no significant risk to mental ill-health, other options will be looked at. Local Area Coordination is one means to help people engage or re-engage with their community. It is recognised that Local Area Coordination does not cover all areas of Swansea yet and transport is sometimes an issue in parts of Swansea, but Adult Services also works closely with the third sector in supporting local and self-running groups.

- 6.22 As part of the Adult Services model, social work practice has been reviewed and training provided to shift from a service based response to a needs and outcomes based approach where people are provided with advice and information to help them resolve their problems by making best use of resources that exist in their communities and encouraging people to develop their own solutions that don't require complex assessment and formal provision of care. Where necessary, by using simple assessment processes that are proportionate to people's needs and risks, they will provide targeted and co-ordinated interventions based on pre-emptive and preventative approaches which support people to continue to feel confident to live independently at home.
- 6.23 The Council has a duty to ensure that it promotes the wellbeing of vulnerable adults, and by using a different approach to assessment, supporting people to access alternatives, and continuing to support people with complex needs, it will be able to effectively do this. In the event that the Hollies and Rose Cross Day Services were to close, a social worker would work with the individuals and their families to determine move on arrangements and ensure that each individual was properly supported, any eligible needs met and any adverse effect mitigated. The social worker would maintain contact with the individual for a period after moving on to ensure that no issues emerged that needed to be addressed. The potential negative impacts of no longer offering day services for non-complex needs on older people with disabilities can therefore be effectively mitigated.
- 6.24 Added to the above, 15 respondents suggested ***there was potential to create alternatives to day services through co-productive approaches to which older people could contribute, but support was needed including suitable transport.*** Alternatives suggested included using venues like church halls and schools to run initiatives such as art sessions, debating clubs, music appreciation groups, carpentry, gardening, dance and cookery.
- 6.25 Adult Services and the Council are committed to a co-production approach to commissioning different forms of support. Older people have the opportunity to be part of the planning and reshaping of support through the commissioning process. Support from Local Area Coordinators and existing third sector organisations can also help people develop alternative initiatives.
- 6.26 11 comments received suggested ***the Council should not focus on complex needs only because it was felt that there were no alternatives and the proposed closures would impact negatively on the respite needs of carers.*** Family members at the Hollies also expressed a view that anyone should be allowed to attend a day service who wanted to.
- 6.27 The availability of alternatives has been outlined above. In relation to carers, the Adult Services model recognises that more people wish to remain in their own home so as well as focusing on complex care, it will concentrate on providing reablement and respite to support people to remain in their own homes for as long as possible and to support their family carers to help them in their caring role. In paragraph 2.15 of this report, it is explained that someone would be considered as having complex needs and consequently

eligible for day services going forward if it can be demonstrated that respite is required for family and carers where there is a risk of the family situation breaking down and a day service is the only option to provide this respite.

- 6.28 Council day services are provided for people with an eligible social care need. The Council therefore does not concur with the view that anyone should be allowed to attend a day service if they want to. Day services are expensive to run. Those people with eligible need that is non complex will be offered alternative support to meet that need. That may include being supported to access alternative options in their local communities.
- 6.29 ***Despite expressing concerns over social isolation and the impact on carers, 8 respondents still stated that they were in support of the proposals having taken account of this potential negative impact.***
- 6.30 There was a ***perception from 3 respondents that older people had been betrayed having contributed all their lives through taxes only to be denied the support they need.***
- 6.31 All those with an eligible assessed need would be given the support that they required. All individuals in need of support will be supported through targeted and co-ordinated interventions based on pre-emptive and preventative approaches which support people to continue to feel confident to live independently at home. Where people have complex needs which require specialist and/or longer term support, social workers will work with individuals and their families and social networks to ensure that high quality and cost effective services are available to meet these needs and ensure positive outcomes.
- 6.32 4 respondents felt ***the proposals were about savings and in the future more people will not be able to cope and need support to meet other people.***
- 6.33 Those with complex needs would still receive a service, but the Council believes that the eligible needs of people with less complex needs are better met through alternative means. The need to make savings is undoubtedly a factor. As a consequence all Councils have to make significant savings, but in doing so need to ensure that they can deliver sustainable services to meet the eligible needs of an ageing populations with more complex needs.
- 6.34 1 respondent expressed a ***concern that areas to the North and East of Swansea would no longer have day services in the event that Rose Cross and the Hollies day services were to close.***
- 6.35 Whilst it is correct that there would no longer be a Council-run day service in the North of Swansea, the Council commissions Llys Y Werin in Gorseinon. St Johns Day Service is located in the East of Swansea.
- 6.36 There was a ***concern from 1 respondent that attendees would have longer journeys to access day services in the event that Rose Cross and the Hollies day services were to close.*** This was a particular concern for those

that attended the Hollies and was raised in the face to face consultation meetings.

- 6.37 In the event that Rose Cross were to close, it is envisaged that those who were assessed as having complex needs would in all likelihood go to St Johns Day Service in Manselton which would mean that their journey to the service was unlikely to be any longer. If the Hollies day service were to close, it is envisaged that those assessed as having complex needs would go to Llys Y Werin in Gorseinon which is approximately 3 miles from the Hollies. Day services currently do not cover every part of Swansea and journeys do vary in length. However day services try and plan for people who live close to each other to come in to the services on a specific day, reducing the length of the journey.
- 6.38 11 people stated that they ***did not want things to change and were worried about the impact and people 'losing out'***. Comments were made at one of the consultation meetings at Rose Cross that it took time for people to understand their needs, and they were concerned about this in any move on arrangements.
- 6.39 Whilst this is a legitimate view, doing nothing is not an option if services are going to be reshaped to meet the 21st century needs of those most vulnerable and the budgetary savings required are going to be achieved. Where people are already using the 2 day services, should they close, social workers and the day services will work closely with them and their families to seek alternative support to meet their needs, which may be another day service if they are assessed as having complex needs. A transition plan will be developed to help in any move on arrangements, such as visits to the alternative day service if applicable or support in terms of what they do next. Part of this will be to ensure that those that need to know, understand any particular needs and can support the individual affected appropriately.
- 6.40 ***Comments were made by the attendees and family members at the Hollies that people would be split up and lose friendships.***
- 6.41 Part of the move on plan will include support to maintain friendships and keep in touch if individuals no longer continue to attend the same service.
- 6.42 ***Comments were made by attendees and family members at the Hollies that Pontarddulais has its own unique culture, and the culture would be different at an alternative day service.***
- 6.43 Whilst it is recognised that Pontarddulais does have its own culture, not all 14 attendees at the Hollies come from Pontarddulais as several travel from further afield. It is hoped that those with complex needs would move together to an alternative day service so in doing this, the impact would be minimised.
- 6.44 There was one comment that ***the condition of the building should not have been a factor considered within the evaluation criteria used to determine which day services should close.***

- 6.45 Careful consideration was given to developing the evaluation criteria to ensure that each service was evaluated as objectively as possible. It was felt that the condition of the building was an important factor due to the ongoing maintenance costs which could affect sustainability going forward. In addition, the suitability of the building to deliver the preferred future model was an important factor within the evaluation exercise.
- 6.46 There was one comment that ***the Council needed to be clearer how the remaining services will be equipped to meet the increase in complex needs going forward.***
- 6.47 Many of our services already deliver services for those with complex needs and already have the staffing and facilities in place to do this. Going forward the Council will ensure that staff are appropriately trained and upskilled and any capital works are undertaken to make buildings fit for purpose using an allocation that has been set aside in the Councils capital programme for this purpose.

Counter proposals and responses

- 6.48 The counter proposals and the Council's response to them are set out below and can be summarised as follows:
- Savings should be made elsewhere in the Council and day services should consequently remain for those that need them. It was proposed that the budget for day services should be increased.
 - The Council should change the way in which services were procured to release savings. There was a belief that bringing services in-house would be cheaper for the Council.
 - All day services should be outsourced as it was believed that this would be more cost effective.
 - Joint commissioning across health and social care would achieve savings for the Council.
 - Charges should be introduced to keep day services for older people open.
- 6.49 The first counter proposal was that ***savings should be made elsewhere in the Council and day services should consequently remain for those that need them. It was proposed that the budget for day services should be increased. This included a proposal that the number of councillors should be cut by half, and money should not be spent on the Kingsway.***
- 6.50 The Council is not proposing to stop all day service for older people and services for people with more complex needs will be maintained. The Council is consequently exploring all opportunities to ensure services are sustainable in the future and can be delivered within the budget available. Significant savings are being achieved year on year but re-shaping of services is essential for the Council to continue to meet its legal duties to provide care for an aging population with increasing needs.
- 6.51 The number of Councillors is determined by Welsh Government, and is beyond the control of the Local Authority, so there is no opportunity to make a saving in relation to this. The money that has been invested in the Kingsway

cannot be used for other purposes, as its use is determined by Welsh Government.

- 6.52 A further counter proposal was put forward to ***change the way in which services were procured to release savings. There was a belief that bringing services in-house would be cheaper for the Council.***
- 6.53 Unfortunately, this is not the case. Delivering services in-house is generally much more expensive for the Council due to the high overheads as well as the favourable terms and conditions of staff. Bringing services in-house would cost the Council significantly more so would not be a viable option.
- 6.54 Conversely, one counter-proposal was that ***all day services should be outsourced as it was believed that this would be more cost effective.***
- 6.55 It would indeed be more cost effective to outsource all Council run day services for older people. However, the Council wishes to maintain a level of service to ensure that it can meet complex needs and have security of provision. With any outsourcing, there is often fragility in the market and provider failure can lead to detrimental outcomes for service users who are faced with no longer receiving a service. There have been significant lessons learnt from other Local Authorities that have gone down this route, and it is considered good practice to retain an element of the service in-house.
- 6.56 There was one suggestion that ***joint commissioning across health and social care would achieve savings for the Council.***
- 6.57 There is already a programme in place called the Western Bay Health and Social Care Programme which is a collaboration between the Health Board, Local Authorities and third sector in the Western Bay region. This programme is exploring every opportunity to make efficiencies across health and social care, but even by doing this further savings still need to be found by Adult Services.
- 6.58 The final counter proposal was that ***charges should be introduced to keep day services for older people open.***
- 6.59 Charges for day service were agreed as part of the Council's budget setting process for 2018/19. Charges are due to be introduced in October 2018, and the anticipated additional income generated has already been taken into consideration. There are therefore no further savings that can be achieved through charging.

Consultation conclusions

- 6.60 In general whilst there was not majority support for the model or the proposal to close the Hollies and Rose Cross Day Services, there was still a level of support for the model itself which was demonstrated in some of the comments put forward. No viable alternatives were put forward which would allow people to maintain independence and remain at home for longer in line with the

principles of the Social Services and Wellbeing (Wales) Act at the same time as achieving the necessary savings required.

- 6.61 The Council has addressed above each of the concerns put forward in the consultation and provided mitigation where possible.
- 6.62 There were no concerns put forward that could not be mitigated or for which there was no response which alleviated the concerns.
- 6.63 It will be of paramount importance if the proposals are to go ahead to ensure that the wellbeing of current attendees at the Hollies and Rose Cross Day Services is maintained and any moves are carefully and thoughtfully planned involving attendees, their families where appropriate, and a social worker. If a decision is taken to close the Hollies and Rose Cross, each resident will have an individual social work assessment to determine their unique needs and determine appropriate move on plans and ensure any equalities issues are addressed.
- 6.64 It is equally important that all staff affected are supported to wherever possible find alternative employment in line with the Council's HR processes. All 12 staff who were potentially affected were given immediate access to the Council's redeployment processes at the beginning of the consultation period. Since the start of the consultation, one member of staff has decided to retire from Rose Cross and it has been determined that the staff at the Hollies are no longer at risk due to their shared employment with the co-located Residential Home. Some employees have already indicated that they would like to be considered for redundancy in line with the Council's Early Retirement Scheme/Voluntary Redundancy, and have been given provisional figures to allow them to consider this option further. In the event that a decision is taken to close Rose Cross and the Hollies Day Services, the staff involved will be given an extended notice period and be formally put at risk. Alternative employment for those that want it will be sought through the Council's redeployment scheme and those who would rather leave the organisation will be supported through the Council's Early Retirement/Voluntary Redundancy Scheme.

7 Financial implications:

- 7.1 In line with the Council's Medium Term Financial Plan, there are significant savings targets against Adult Services.
- 7.2 The projected saving from closing the Hollies and Rose Cross Day Services would be as follows:

	£
Hollies current budget	84,400
Rose Cross current budget	111,400
Total Saving	195,800

- 7.3 The total direct saving from these proposals would therefore be £195,800.

- 7.4 In addition to the above, there would be a full contract review of all existing externally commissioned day services in line with the proposed delivery model if agreed and it is anticipated that this would release some further savings. The current contract value of externally commissioned services is £325,952.
- 7.5 The above clearly does not equate to meeting the savings targets required of the current budget for Adult Services. However, it should be noted that the Commissioning Reviews are only one element of the savings strategy for Adult Services. The Commissioning Reviews need to be implemented in line with the Adult Services Improvement Plan as a whole and particularly targeted work surrounding demand management to strive towards meeting the overall Adult Services savings targets. In addition, transforming Day Services in line with the preferred options will allow for a keener focus on prevention and early intervention and thus decrease the recourse and consequently spend on long-term Residential Care.
- 7.6 It should also be highlighted that the cost of the routine maintenance required in relation to our residential homes and day services is just over £4million. A contribution toward this is now accounted for in the Capital Programme.

8 Legal implications:

- 8.1 There was a legal requirement to publicly consult and consult with staff affected by the preferred options.
- 8.2 Any future provision of services will need to be considered in accordance with the Social Services and Well-being (Wales) Act.
- 8.3 The Social Services and Well-being (Wales) Act and accompanying Part 4 Code of Practice sets out that where an Authority has carried out an assessment which has revealed that the person has needs for care and support then the local authority must decide if those needs meet the eligibility criteria, and if they do, it must meet those needs.
- 8.4 The proposed model also supports the principles behind the Well Being of Future Generations (Wales) Act, specifically the wellbeing goals of a resilient Wales and a healthier Wales by developing sustainable services for the future and services which allow an ageing population to maintain their independence for as long as possible.
- 8.5 The recommendations put forward in this report will allow the Council to ensure that going forward it can meet all eligible needs.
- 8.6 Any employment issues that arise as a result of agreement of the recommendations will need to be considered in conjunction with HR, and in accordance with any relevant policies and legislative provisions.

9 Equality and Engagement Implications:

- 9.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.
- 9.2 Our Equality Impact Assessment process ensures that we have paid due regard to the above.
- 9.3 Proceeding with the preferred options of the Commissioning Reviews will clearly have an impact on existing day service attendees. Due to the nature of the client group, there will be a disproportionate impact on older people and people with a range of disabilities.
- 9.4 3 separate EIAs were opened as follows to fully assess the impact of the proposals:
- One for the overarching model for day services (Appendix 3 of this report).
 - One relating to the potential closure of the Hollies Day Service (Appendix 4 of this report).
 - One relating to the potential closure of Rose Cross Day Service (Appendix 5 of this report).
- 9.5 These EIAs have been updated throughout the consultation and have informed the final recommendations set out below.

Overarching model EIA

- 9.6 The proposals were found to be relevant to older people, people with a disability, people from a range of different races, those that spoke the Welsh language, those experiencing poverty or socially excluded and carers.
- 9.7 The EIA notes that the overall aim of the proposed changes are in line with the Social Services and Wellbeing (Wales) Act, to refocus the Council's in-house day service on complex needs and no longer deliver care for non-complex needs. Less capacity will be needed to deliver this and it is therefore proposed that the Hollies and Rose Cross Day Service buildings would close, although provision will be maintained on the remaining day service sites.
- 9.8 Shaping the service in this way supports the key principles of prevention and early intervention, which supports the overarching Adult Services model and principles behind the Social Services and Wellbeing (Wales) Act, by ensuring those with complex needs are supported to remain at home for longer as well as provide much needed respite for carers.
- 9.9 The impact on the general population is set out in Section 3 of the EIA. The impact of the overarching model on the wider population is largely positive or neutral, but some further investigation is required in relation to the impact on gypsies and travellers and community cohesion. The EIA will remain open until

such time as the model is implemented, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these areas which is not already being addressed.

9.10 The key themes emerging from the consultation responses have been set out in Section 6 of this report. Alongside this, mitigation has been put forward.

9.11 The key potential positive and adverse impacts of the overarching model, and associated mitigation, are outlined in Section 4 of the model as follows:

- There was a level of support for the model and agreement that the Council should focus on complex needs to ensure those most in need continued to receive services and that they were financially sustainable for the future. This had a positive impact on older people, people with disabilities and their carers.
- There was a suggestion that community-based options often provided a better solution for people than a traditional day service, which again led to a positive impact on older people, people with disabilities and their carers.
- There was a feeling that day services acted as preventative services which were often the only chance that older people had to socialise and taking this away would lead to further loneliness and isolation and have a detrimental impact on wellbeing. There was also a concern that there were a lack of viable alternatives. Day services would still be provided for all those with complex needs and those with eligible and non-eligible non-complex needs would be robustly supported to find suitable alternatives to meet those needs with the help of Local Area Coordinators in some areas of Swansea and the third sector. The Council recognises its duty to promote wellbeing, and the change to social work assessment would allow the Council to do this. It was therefore felt that the possible adverse impact on older people, people with disabilities and those isolated and socially excluded could be mitigated effectively.
- There was potential to create alternatives to day services through co-productive approaches to which older people could contribute, but support was needed including suitable transport. This approach could have a positive impact on older people and people with disabilities and the Council was committed to providing an appropriate level of support.
- There was a belief that the Council should not focus on complex needs only because it was felt that there were no alternatives and the proposed closures would impact negatively on the respite needs of carers. The Council was able to mitigate this, as the criteria used to assess complex needs took account of the needs of carers, and individuals would still be eligible to attend a day service if it was the only way to provide respite and there was a risk that family relationships could break down.
- Despite concerns over social isolation and the impact on carers, some respondents still stated that they were in support of the proposals having taken account of this potential negative impact which suggested that the

proposals would have a positive impact on older people, people with disabilities and carers.

- There was a perception from a small number of respondents that older people had been betrayed having contributed all their lives through taxes only to be denied the support they need. This could be mitigated as all those with eligible social care needs would have their needs met.
- Concern that the proposals were about savings and in the future more people will not be able to cope and need support to meet other people. The Council has a duty to meet the eligible social care needs of vulnerable adults, so this could be effectively mitigated.

9.12 In addition to the above, the potential impact was minimised and adverse effect mitigated by taking a decision to not review those with non-complex needs in the remaining day services in line with the preferred future model. Those service users with non-complex needs would be allowed to remain in the service, until they naturally moved on. Only those attendees at Rose Cross and the Hollies Day Service would consequently be directly affected.

Rose Cross EIA

9.13 The impact on the attendees at Rose Cross Day Services is set out in Section 3 of the EIA. There is clearly a negative impact on older people, people with disabilities and their families/carers. In relation to other protected groups, the impact is largely neutral, but further investigation is required in relation to impact on children and young people, other age groups, gypsies and travellers, and community cohesion. This will continue to be monitored as the EIA will remain open until such time as Rose Cross Day Service is closed, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these areas as all attendees are known to us and any adverse impacts can be mitigated.

9.14 The key themes emerging from the consultation responses have been set out in Section 6 of this report. Alongside this, mitigation has been put forward. Mitigation is outlined in Section 4 of the EIA.

9.15 No adverse impacts of the proposal to close Rose Cross Day Service on people with protected characteristics particularly older people and carers specifically in relation to Rose Cross were highlighted in the consultation. However, the overall responses received give us an indication of the potential impacts on attendees at Rose Cross.

9.16 Overall, there clearly is a risk of a negative impact on attendees at Rose Cross Day Service due to the need to move on if it were to close. As outlined previously, any move will need to be carefully planned following a thorough social work assessment and each individual supported during and following any actual move. The Council has prior experience of doing this from when the Beeches Day Service was amalgamated with Abergelli Day Service. This approach was successful and no adverse ongoing effects were experienced by former attendees at the Beeches.

- 9.17 In addition, during the consultation period, all those affected had a social work assessment to determine whether or not they had complex needs to help inform their response to the consultation. Of the 35 individuals who were still attending Rose Cross Day Service at the end of the consultation, 33 had been defined as having complex needs so in all likelihood would be offered an alternative day service as long as needs did not change.
- 9.18 The impact was also minimised by putting a hold on any new admissions to Rose Cross Day Service from the beginning of the consultation, therefore minimising the number of people potentially affected if the proposals went ahead. At the time of writing the report there were 35 attendees at Rose Cross, so there would be a maximum of 35 people affected if the proposals went ahead.
- 9.19 There is clearly a potential negative impact on those staff affected, but this can be mitigated through the Council's redeployment policies, and the Council is confident that there are sufficient alternative vacancies elsewhere in Adult Services to accommodate them. There were 7 staff potentially at risk. At the time of writing the report, one of the staff had retired. No equalities issues had been raised through the 1 to 1 meetings with each member of staff that needed to be addressed.

The Hollies EIA:

- 9.20 The impact specifically on attendees at the Hollies is set out in Section 3 of the EIA. There is clearly a negative impact on older people, people with disabilities and their families/carers. In relation to other protected groups, the impact is largely neutral, but further investigation is required in relation to impact on children and young people, other age groups, gypsies and travellers, and community cohesion. This will continue to be monitored as the EIA will remain open until such time as the Hollies Day Service is closed, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these protected groups as all attendees are known to us and any adverse impacts can be mitigated.
- 9.21 The key themes emerging from the consultation responses have been set out in Section 6 of this report. Alongside this, mitigation has been put forward.
- 9.22 The key potential adverse impacts of the overarching model and proposal to close the Hollies Day Service on people with protected characteristics particularly older people and carers are set out in Section 4 of the EIA and are summarised as follows:
- Comments were made by the attendees and family members at the Hollies that people would be split up and lose friendships. Those with complex needs would be supported to move to an alternative day service together in the event that the service closed. For those with non-complex needs every effort would be made to ensure existing relationships could be maintained. It was therefore felt that the impact on isolation and social exclusion could be mitigated.

- Comments were made by attendees and family members at the Hollies that Pontarddlais has its own unique culture, and the culture would be different at an alternative day service. There was therefore a potential adverse impact on community cohesion. However, it was noted that several residents at the Hollies did not live in the Pontarddlais area and if relationships could be maintained, the impact on community cohesion could be mitigated.

9.23 Overall, there clearly is a risk of a negative impact on attendees at the Hollies Day Service due to the need to move on if it were to close. However, the above outlines how wherever possible the Council will seek to mitigate those risks and although there is no way of knowing at this stage in some cases a move could be positive as they may find they are happier in any new environment with the ability to develop new relationships and have a positive impact on their wellbeing. As outlined previously, any move will need to be carefully planned following a thorough social work assessment and each individual supported during and following any actual move. The Council has prior experience of doing this from when the Beeches Day Service was amalgamated with Abergelli Day Service. This approach was successful and no adverse ongoing effects were experienced by former attendees at the Beeches.

9.24 In addition, during the consultation period, all those affected had a social work assessment to determine whether or not they had complex needs to help inform their response to the consultation. Of the 9 individuals who were still attending the Hollies at the end of the consultation, all had been defined as having complex needs so in all likelihood would be offered an alternative day service as long as needs did not change.

9.25 The impact was also minimised by putting a hold on any new admissions to the Hollies Day Service from the beginning of the consultation, therefore minimising the number of people potentially affected if the proposals went ahead. At the time of writing the report there were 9 people attending the Hollies, which would mean a maximum of 9 people would be affected if the proposals were to go ahead.

9.26 There is clearly also a potential negative impact on those staff affected, but it was determined during the consultation that the 5 staff identified in the Hollies as at risk were no longer at risk. This was due to their dual employment in the co-located Residential Home.

EIA conclusions/amendment to proposals:

9.27 As stated in Section 5 of this report, a 12-week public consultation took place from 30th April 2018 to 23rd July 2018. The staff consultation was undertaken concurrently to ensure staff directly affected could also effectively have their say on the proposals.

9.28 As a result of the comments received, there is no requirement to amend the proposals as all negative impacts can be adequately addressed or mitigated.

9.29 If the proposals are agreed, the Council will ensure that all attendees, carers and staff affected, particularly in relation to the proposed closure of the Hollies and Rose Cross Day Services, are properly supported to move on and find alternative employment wherever possible.

10 Summary and Conclusions:

10.1 It has been possible to respond to all concerns raised during the consultation and put forward appropriate mitigation.

10.2 The Council has considered all possible alternative options and actively invited alternative options through the consultation, but has not been able to identify any financially sustainable alternatives that allow it to ensure certainty of care for more complex needs whilst overall enabling independence, helping people to remain at home for as long as possible and ensuring the needs of all vulnerable adults are met.

10.3 There is clearly a risk if the proposed model is approved, that there could be a negative impact on those individuals currently attending Rose Cross and the Hollies Day Services due to the need to move on. However, this risk can be mitigated as much as possible by ensuring robust social work assessment identifies those move on plans and all those affected are supported before, during and after any move. All attendees have had a social work assessment during the consultation period and the majority have been assessed as having complex needs, so in all likelihood would be offered a place in an alternative day service, as long as their needs did not change. In addition, although there is no way of knowing at this stage, there could be a positive impact on the wellbeing of current attendees at Rose Cross and the Hollies Day Services as they may be happier elsewhere and build positive relationships as part of any move.

10.4 On balance therefore remodelling as per the proposals in this report will allow the Council to effectively meet the requirements of both the Social Services and Wellbeing (Wales) Act and Well Being of Future Generations (Wales) Act by providing a model of care that is sustainable for the future, and effectively meets the needs of an ageing population with more complex needs. The Council is therefore confident that the recommendations put forward in this report are appropriate despite there not being majority support for the proposals.

10.5 Having due regard to the Equality Impact Assessments, Cabinet is therefore being asked to consider the following recommendations:

- Recommendation 1: Remodel day services for older people so they focus on complex needs only going forward.
- Recommendation 2: As a consequence of the above, close Rose Cross and the Hollies Day Services ensuring that all those affected are fully supported through the process.

11 Proposed implementation timetable:

11.1 Should Cabinet decide to proceed, the proposed outline timetable for implementation would be as follows:

- October 2018; Redeployment and voluntary redundancy process to commence with staff.
- October 2018; Commence social work assessments of all affected attendees to determine move on plans
- Early 2019; Closure of Rose Cross and the Hollies Day Services.

Background Papers: Outcome of Residential Care and Day Services for Older People Commissioning Reviews, Cabinet, 19th April 2018.

Appendices:

- Appendix 1: Day Services for Older People Gateway 2 Report
- Appendix 2: Evaluation Matrix
- Appendix 3: Equality Impact Assessment for overarching model
- Appendix 4: Equality Impact Assessment for proposed closure of the Hollies Day Services
- Appendix 5: Equality Impact Assessment for proposed closure of Rose Cross Day Service
- Appendix 6: Consultation summary document



Appendix 1: Commissioning Gateway Review Report Stage 4

Draft v2.1

Day Services for Older People

Contains:-

Review Overview and Details
Stages review summary
Gateway Approval

Gateway Review Approval

Budget and Performance Review Group 12th July 2016

1. PURPOSE OF REPORT

This report has been produced following the approval by BPRG at Gateway 2 to proceed onto stages 3 & 4 of the commissioning review process. Its purpose is to inform the Budget and Performance Review Group with proposals, and to seek support on the approach taken for the most viable service option, to ensure the continuous delivery of a sustainable provision for our customers and the residents of Swansea.

This report is to request approval to go out to public consultation on the preferred options prior to a final decision by Cabinet and proceeding to Stage 5 within the Commissioning Process by providing evidence the Service Review has completed all relevant tasks.

This Gateway Report will provide an overall status of the Review at Gateway 4. A RAG system will be used to highlight the overall recommendations made by the Gateway Review. Definitions below:

Red	Stop	The Gateway identified significant issues that require immediate action before the Review can proceed onto the next stage.
Amber	Conditional Approval	The Gateway identified issues that must be actioned before next Gateway Review.
Green	Approved	Review to proceed onto the next Stage of the process, but to address any recommendations from the Gateway Review.
Recommendations (if applicable)		Overall RAG
		Red <input type="checkbox"/> Amber <input type="checkbox"/> Green <input type="checkbox"/>
Sign off		
Chief Executive :		
Lead Director/Sponsor:		
Review Cabinet Member:		
Date:		

REVIEW OVERVIEW

Commissioning Strand Lead:	Alex Williams
Service Review Lead:	Alex Williams
Service Review Title:	Day Services for Older People

2. BACKGROUND

2.1 Corporate Policy Context

The One Swansea Plan, People, Places, Challenges and Change¹, defines the following high level population outcomes:

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

Within the high level outcome “People are healthy, safe and independent”, there is a primary driver:

“Older people age well and are supported to remain independent”.

Secondary Drivers for this are:

- Support Age Friendly Communities
- Develop Dementia Supportive Communities
- Prevent falls by older people
- Maximise older people’s opportunities for learning and employment
- Reduce loneliness and isolation among older people

The City and County of Swansea’s Corporate Plan; “Delivering for Swansea 2016-17”² identifies the following priorities:

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

This Commissioning Review is also being undertaken in the context of the Council’s commitment to support *“individuals, families and communities to make use of their own collective resources and reduce the need for higher level support and intervention”*³. This commitment is detailed in what is currently a Draft Prevention Strategy which identified the following five key strategic aims:

- *“To make prevention everyone’s business*
- *To prevent or delay the need for costly or intensive services*
- *To enable people to remain independent for as long as possible and to reduce dependency*
- *To promote voice, choice and control for individuals and families*
- *To increase resilience and build capacity within communities for self help”.*

¹ file:///C:/Users/User/Downloads/The_One_Swansea_Plan_2015_final_version_august.pdf

² <http://www.swansea.gov.uk/corporateimprovementplan>

³ Swansea’s Prevention Strategy – Draft V 14; June 2016

2.2 National Policy Context

National policy over the last 5 years has focussed on service improvement, co-ordination between national and local government and greater integration of social care, health services and other agencies in Wales, notably the Third Sector. There is increasing emphasis on individuals and communities being at the centre of decision-making about their care and on providing care and support at home where possible.

The Social Services and Wellbeing (Wales) Act (2014) is due for implementation from 6 April 2016. It reforms and integrates social services law and emphasises improving wellbeing outcomes for people who need care and support, including carers. It introduces common assessment and eligibility arrangements, strengthens collaboration and the integration of services, and provides for an increased focus on prevention and early help. The Act signals a fundamental change in the way services are commissioned and provided, with the emphasis on supporting individuals, families and communities to promote their health and wellbeing.

Local authorities and their partners need to make sure that people can easily get good quality advice and information which can help them make best use of resources that exist in their communities. They need to work with people to develop solutions to immediate problems and reduce the need for complex assessment and formal provision of care. Where people have complex needs which require specialist and/or longer term support, they will work with them and their families to ensure that high quality and cost effective services are available at the right time and in the right place.

At the same time, across Wales, public sector funding is under increasing pressure and as a consequence in Swansea our target for reducing expenditure on adult social care services is 20% during the period 2015/16 – 2017/18. So, at the same time, we need to save money and improve the effectiveness of our work – both at a time when the proportion of older people is projected to continue increasing, potentially placing additional demands on our services.

2.3 A New Vision for Adult Social Care

In the context of these challenges, a new model for Adult Social Care has been developed. This model is based on 5 key principles:

- **Better prevention** – by supporting care and wellbeing locally and offering good quality information and advice, we can help build more supportive local communities within which people are safer, less isolated and more resilient to problems when they arise.
- **Better early help** – by helping people quickly and effectively to maintain or regain their independence when they do have problems through services such as re-ablement, 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.
- **Improved cost effectiveness** – by commissioning and procuring services more effectively, and finding more cost-effective ways of delivering care 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** – by better integrating our services, our assessments and our resources with our partner agencies we can ensure that they are efficient, avoid waste and are more effective in meeting all of a person's needs.

- **Keeping people safe** – by undertaking a positive risk taking approach, responding proportionally to their needs and ensuring people are treated with respect, dignity and fairness.

All adult social care services and especially those that are the subject of a Commissioning Review will need to be guided by, and make a positive contribution to these principles.

Delivering on the 5 key elements above will require major changes in the way we work in Swansea. Our vision for health, care and wellbeing in the future is that:

“People in Swansea will have access to modern health and social care services which allow 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”.

2.4 The Service Model for Adult Social Care

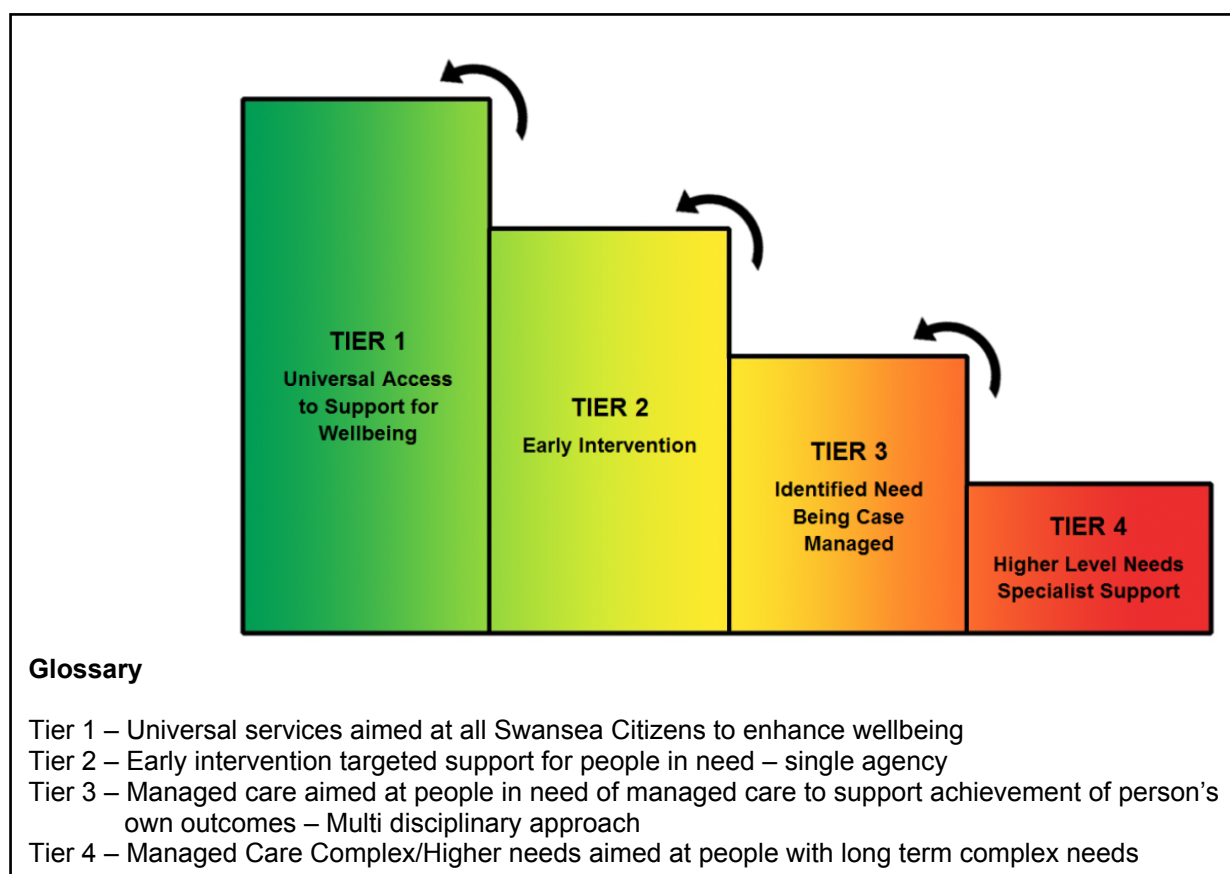
We have developed a service model which summarises the approach which will enable us, working with our partner agencies, to deliver our vision and the 4 key elements described above. The service model is designed to ensure we deliver improving outcomes for adults in Swansea as laid out in the Department of Health Adult Social Care Outcomes Framework 2015/16⁴:

- Ensuring quality of life for people with care and support needs.
- Delaying and reducing the need for care and support.
- Ensuring that people have a positive experience of care and support.
- Safeguarding adults whose circumstances make them vulnerable and protecting them from avoidable harm.

The service model comprises 4 levels of health, wellbeing and social care support for our population. We think it will help us to deliver “better support at lower cost”.

⁴ https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/375431/ASCOF_15-16.pdf

The service model can be illustrated diagrammatically below:



In this model a person's needs should always be met at the lowest appropriate level, and it is recognised that it should be the job of services at each level to work effectively with people to address their holistic needs and reduce their future problems and need for support.

We also believe that by ensuring that services at Tier 2 are more effective in the way that they work with people we can reduce dependency and demand for statutory/complex care over time, and thus shift our joint resources from complex and statutory services to universal and early intervention.

2.5 Key Priorities for Swansea Adult Social Care Services

This service model places a challenge before Swansea's Adult Social Care Services to embrace a culture which places individuals, families and communities at the centre of the services that are commissioned and provided. Consequently, it is necessary to undertake a fundamental transformation in our approach to service provision. In particular, we plan to focus on three key areas immediately:

- Targeted Early Help
- A different Approach to Assessment
- Developing Strong Practice

We will deliver the following changes in each of these areas through a concerted focus on strategic planning with our partners, commissioning and procurement of services, workforce development and

training, and intensive and supportive performance management of internal and external services. This transformational approach will provide the strategic context in which the commissioning review for day services will be placed.

2.5.1 Targeted Early Help

We need to build on the success of many recent initiatives in Swansea to reshape our social care system to focus on those approaches, interventions and services which have been shown to make the greatest difference in promoting independence and reducing demand. Evidence from the Local Government Association Adult Social Care Efficiency Programme⁵ shows that targeted interventions that pre-empt or respond rapidly to episodes of acute need are most effective and can make a real impact in reducing demand for longer term services. In particular:

- **Targeted Preventative Interventions** – A number of individuals make first contact with formal services in response to a single episode in their life. The provision of the right short-term help at the right time can reduce or eliminate the need for longer term care. This can include the provision of information, practical support, referral to community organisations and bereavement counselling. These interventions can also be pre-emptive, and focus on avoidable risks to independence. For example, falls prevention, vaccination, “stay warm” programmes.
- **Integrated Care Pathways** – A number of the approaches described above depend upon structured and effective joint working especially between health and social care professionals. The design and development of integrated care pathways support early identification of risk, targeted interventions, rehabilitation and re-ablement.
- **Stronger Rapid Response** – A swift and well-co-ordinated response to an individual’s needs at the time of crisis has been shown to be effective at significantly reducing their need for longer term more complex services. These services can include the availability of a responsive 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 carers’ respite services.
- **Improved Intermediate Care** – To support effective planning and discharge from hospital, a variety of services “between hospital and home” will support an individual to return to as much independence as possible. These services include good nursing; therapy (from a range of different therapists); re-ablement-based domiciliary or residential intermediate care; continence services; and dementia care support services.
- **Better Hospital Transfer Co-Ordination** - A proactive and multi-disciplinary approach to hospital discharge arrangements and out-of-hospital care can make a significant difference to the ongoing need for formal care and support services that an individual requires.

⁵ Local Government Association’s Adult Social Care Efficiency Programme Reports 2014

2.5.2 A Different Approach to Assessment

Current systems tend to intervene when individuals are at a point of crisis. Consequently, assessments tend to be undertaken when people's needs are at their greatest. Levels of longer term service are established without recognition of an individual's capacity to recover. The longer term provision of higher-than-necessary levels of care and support has been shown to "disable" individuals and promote reliance on those levels of care. We plan to use the opportunities afforded by the implementation of a new approach to assessment, required by the Social Services and Wellbeing (Wales) Act 2014, to instil a "strengths and assets-based" approach to assessment focussed on individuals' capacity to achieve greater independence and also emphasise the potential contribution from informal assets such as family, friends and others in the community. This will be developed with a clear eye on the importance of taking a measured approach to risk, the management of risk, and the importance of safeguarding vulnerable adults.

A number of Councils have also made savings and reduced demand on longer term services by undertaking careful reviews of the care and support received by individuals (possibly targeted) to identify where their needs and/or circumstances have changed in such a way as to reduce their needs. Managing demand away from higher cost, long term Tier 4 services will be an important component of our approach to finding required budget savings over the next three years.

2.5.3 Developing Strong Practice

As already described, the Social Services and Wellbeing (Wales) Act places a challenge on local authorities to embrace a culture which places individuals, families and communities at the very centre of the services we support, commission and provide. The City and County of Swansea has translated this fundamental shift in culture into a detailed service model. However, neither "embracing a model" nor "agreeing a service model" will transform the experience of our citizens. Absolutely fundamental to the real delivery of our vision and our model of service, will be the practice and behaviour of our staff. Moreover, it will depend on a clear understanding and commitment to our approach from other professionals and community stakeholders so that we are working together to a common approach.

In particular, we plan to:

- Develop a clear practice framework which will guide and inform the day to day work of our staff and their key partner professionals.
- Enable our managers to support and challenge their teams to embrace the required culture shift and embed new ways of working.
- Make every contact count; ensuring that staff and colleagues from other bodies work well together and ensure that individuals and families are supported seamlessly to build on their strengths and assets in developing innovative responses to their individual needs.

By focussing our attention on these three areas for change, we believe we can make the biggest difference. But we recognise that the scale of transformation is ambitious and our task in achieving it is complex. We recognise that we won't be able to put this model in place immediately, but rather build towards it carefully and with the full involvement of our partners, stakeholders and of course, communities and individuals.

3. THE DAY CARE SERVICE

3.1 Scope of the Commissioning Review

The scope of this Commissioning Review is defined in the Stage 2 Gateway Review Report⁶ as follows:

- All Older People Day Service Provision, including:
 - 5 in-house day centres
 - 3 day centres commissioned externally from the independent sector
- Only older people client groups
- Develop a clear vision for a modern Older People Day Service
- To cover the reshaping & remodelling of all aspects of day services including:-
 - Needs led
 - Outcome focused
 - Social Inclusion
 - Transportation
- Services procured via:
 - Direct Payments
 - Local Authority

3.2 Definition of Day Care Services

The Stage 2 Gateway Review Report for Day Services⁷ notes that within Swansea Council, there is no agreed definition of Day Care Services. It refers to the definition provided by Age UK in their paper, "Effectiveness of Day Services Summary of Research Evidence"⁸:

"The term 'Day Services' covers a diverse range of services and activities, which cater for a variety of people and needs, and serve a number of different purposes, most of which are broadly preventive including:

- *providing social contact and stimulation; reducing isolation and loneliness*
- *maintaining and/or restoring independence*
- *providing a break for carers*
- *offering activities which provide mental and physical stimulation*
- *enabling care and monitoring of very frail and vulnerable older people*
- *offering low-level support for older people at risk*
- *assisting recovery and rehabilitation after an illness or accident*
- *providing care services such as bathing and nail-cutting*
- *promoting health and nutrition*

⁶ Day Care Commissioning Review Gateway 2 Report

⁷ Commissioning Gateway Review Report – Stage 2: Older Peoples Day Services Review

⁸ http://www.ageuk.org.uk/Documents/EN-GB/For-professionals/Research/Day_services_evidence%20_%20of_effectiveness_October_2011.pdf?dtrk=true

- *providing opportunities for older people to contribute as well as receive.” (2011)*

In the City & County of Swansea Older People Service, the term ‘day care’ is a service provided in day centres to older people who continue to live in their own homes but who are assessed as needing some support. These centres allow carers to have a break from looking after their loved ones and give the older person the opportunity to socialise with other people and join in with group activities. Each centre is run by a manager and appropriately trained staff. The exact services that are provided vary from centre to centre.

3.3 Strategic Role

Day Services can be seen to play an important role in the Swansea Service Model for Adult Social Care. In particular:

- Attending a day centre is an important means by which older people can avoid loneliness and social isolation.
- Whilst attending, there is an opportunity for care staff and other professionals to provide information, practical support and perhaps signposting and referral to other community organisations. Day centres are an ideal venue for providing pre-emptive preventative programmes such as falls prevention, vaccination, “stay warm” programmes etc.
- Day centres provide a means by which care staff can monitor people’s health and wellbeing and detect the early signs of problems and issues that may go on to become more significant and threaten independence. Having done this, day centres provide a good environment in which to address these issues.
- Day centres can potentially provide a good venue for local community groups and activities, strengthening their role as a community resource.
- There is an opportunity to enhance the functionality of day centres as a venue for a variety of in-reaching health and social care services, such as district nursing, chiropody etc.
- There is also the opportunity to develop day centres as a focus for local community support, possibly in collaboration with community facilitators such as Local Area Co-Ordinators.

Section 5.2, and of this report consider and compare models of best practice in the commissioning and provision of day care services. These inform the Options that are considered for the future strategic development of services in the context of the Swansea Model for Adult Social Care.

3.4 Outcomes

At the stakeholder workshop on the 10th September 2015 attendees proposed the following broad outcomes for the service:

- A range of service that are more joined up to ensure everyone has information and access to a relevant service whether this is provided by community groups, day care, respite at home or direct payments – this fits well with the 4 tier approach
- More about what the person wants to see as an outcome and what they want. Menu of options to support them to achieve their outcomes and support people to maintain independence
- A flexible 7 days a week service that improves quality of life, reduce social isolation that is person centred with carers involved. This is provided that within the contracts that

any future service, options need to be affordable; it may not be affordable to provide services 7 days a week.

- Clear eligibility criteria, signposting and referral pathway. Having the right assessment at the right time. Smaller numbers of higher need people with staffing levels to meet their needs
- Formal Day Care to provide a tailored service for 3 key areas
 - Re-ablement
 - Physical and cognitive impairment – people living with dementia
 - Complex needs
- A sustainable service that is fully compliant with the new Social Services and Wellbeing (Wales) Act 2014 and Well-being of Future Generations Act 2015.

The Stage 2 Gateway Review Report for Day Services identifies the following high-level outcomes for the overall model of care for adult social care:

Overall we expect a Swansea Future Model to help support the following:

- Radically changing the way we provide support, by remodelling traditional services and focusing on wellbeing and strengths, and through effective re-ablement approaches, working to achieve independence as soon as possible and then to maintain independence.
- Integrating and aligning our services with Health and other key partners.
- Consistency between children’s services and adult services – to ensure a “whole life” approach and a more seamless transition from one service to the next.
- Working more closely with local communities and carers, by recognising the role that we all play in supporting our neighbours, friends and relatives.

In relation to day services in particular, it is proposed that the overall outcome is a sustainable model of day care services that:

- Delivers positive outcomes for citizens (including carers)
- Ensures high quality services
- Promotes a sustainable workforce
- Responds to demographic change
- Is compliant with legislation
- Promotes equality of opportunity
- Maximises independence and averts the need for longer term services
- Makes best use of public funds

3.5 Vision

Building on the above, the proposed broad vision for day services is:

- A tailored service for 3 key areas
 - Re-ablement
 - Physical and cognitive impairment – people living with dementia
 - Complex needs
- In doing the above a service which:
 - Encourages social contact and stimulation; reducing isolation and loneliness maintains and/or restores independence

- provides a break for carers
- offers activities which provide mental and physical stimulation
- enables care and monitoring of very frail and vulnerable older people
- assists recovery and rehabilitation after an illness or accident
- provides personal care services such as bathing and nail-cutting
- promotes health and nutrition
- provides opportunities for older people to contribute as well as receive.

4. SERVICE PERFORMANCE

4.1 Analysis

The stage 2 review report states there are 3 External Day Care providers and 5 local authority providers. The external providers are:

- Ty Conway, Penlan – Swansea Carers Centre
- Llys y Werin, Gorseinon - Gwalia
- Norton Lodge – joint Red Café & Social Services at Norton Lodge

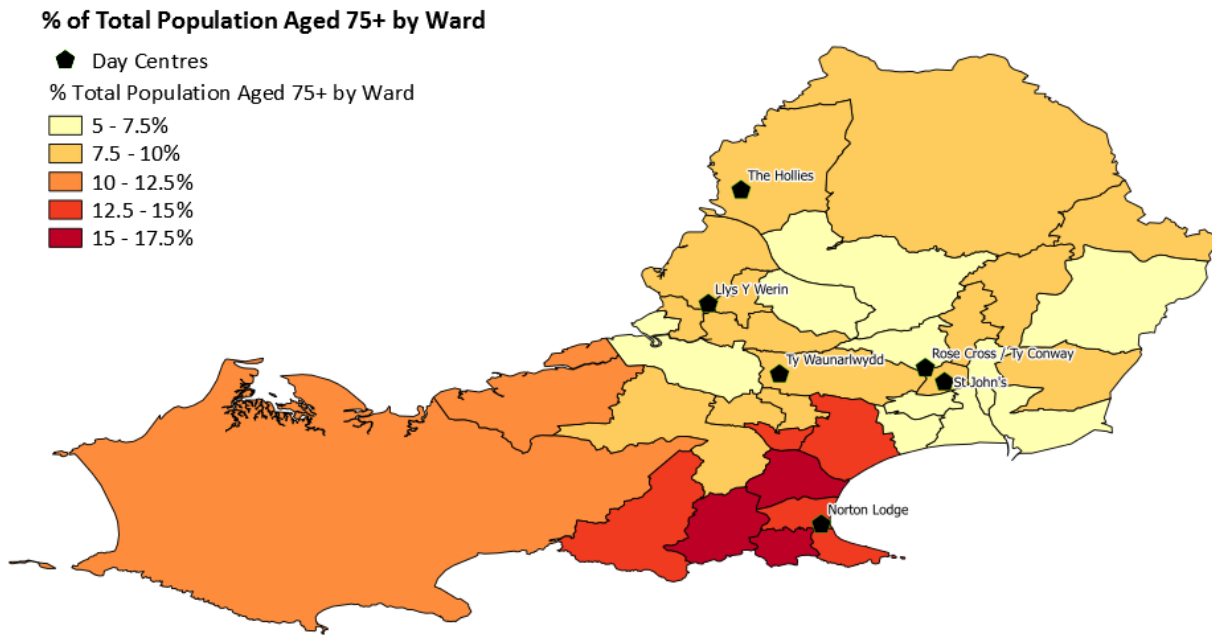
There are 5 Day Centre services to support older people:

- Norton Lodge, Norton – stand-alone provision
- Rose Cross, Penlan – within Rose Cross Residential Care HomeTy Waunarwydd, Waunarwydd - within Ty Waunarwydd Residential Care Home
- St Johns, Manselton – within the grounds of St Johns Resident Care Home
- Hollies, Pontardulais – within the grounds of Hollies Residential Care Home

The stage 2 review states that current service provision is not evenly positioned across the county geographically; there are no facilities in the north east or south east. There are 3 facilities within a mile of each other and 3 in the north west of the county but only 1 covering the whole of the west (Bay). However, whilst there is not an even geographical spread of services across Swansea, it should be noted that transport is currently provided to all service users who want it so nobody is prevent from accessing a service on the basis of where they live. The only specialism that exists is the Red Café – a 4 hour session which is for people living with dementia and 1 day at the Hollies also for people living with dementia with complex needs. Ty Conway offers day care only to those people who have a carer – providing carers' respite.

The map below shows the population aged 75 years and over in relation to the day centre locations illustrating where there is a lack of provision within Swansea (figure 1).

Figure 1 – Percentage of Total Population Aged 75 + by Ward with CC Swansea Day Centres



The access, availability and services provided varies at each establishment, the table below from the stage 2 review report illustrates the availability (table 1):

Table 1 – Day Centres: Capacity and Access

Establishment	No. of Places per day	No of Places per week	Days	Transport	Specialism
Norton Lodge Norton	25	100	Mon-Frid Not Thurs	Social Services	
Norton Lodge Norton	20	20	Thurs	Social Services	
Red Café Norton	10	10	Thurs 1-4	Self-funded DANSA	People living with dementia
Red Cross Penlan	20	100	Mon-Frid	Social Services	
Hollies Pontardulais	20	100	Mon, Tues & Frid	Social Services	
Hollies Pontardulais	8	8	Wed	Social Services	People living with dementia only
St Johns Cwmbwrla	30	100	Mon-Frid	Social Services	
Ty Waunarlwydd Waunarlwydd	23	115	Mon-Frid	Social Services	
Llys y Werin Gorseinon	25	125	Mon-Frid	Social Services	
Llys y Werin Gorseinon	6	30	Mon-Frid	na	15 Extra Care Service Users are offered up to 2 days a week Day Care
Ty Conway Penlan	9	54	Mon-Sat	Subsidised - taxis	

Total	186	762			
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Data provided by Swansea states that in May 2016 there were 300 Day service users with an overall waiting list of 22 people. St Johns Day service has the largest waiting list of 14 people (table 2).

Table 2

Day Services clients & waiting lists - May 2016

	Day Service Support	Waiting list
Rose Cross	40	0
Hollies	31	1
Norton Lodge	83	5
St Johns	96	14
Ty Waunarlyydd	50	2
Total	300	22

However the stage 2 review report details a service user profile of internal provision undertaken in 2015 which found that since 2009 (when the previous profile had been undertaken), the total number of people using the service has dropped considerably from 471 to 268. This was explained by the fact that very few people had been able to access Day Care services for some time, although there was a waiting list of 112 people, despite most of the Day Centres reporting they were working at approximately 50% capacity. This was due to a historical management decision to not allow any new entry into services. This management decision has now been overturned, waiting lists have all been reviewed and the number of people now waiting is relatively low. The capacity and vacancies are detailed below (tables 3&4)

Table 3: Internal Provision Capacity and Current Vacancies

Centre	Mon	Tues	Weds	Thurs	Fri	Total	Vacancy %
Hollies Capacity	20	0	8	20	20	68	
Hollies Vacancies	8	0	6	10	14	38	55.88%
Norton Lodge Capacity	25	25	25	20 + 10	25	130	
Norton Lodge Vacancies	7	7	6	6 + 1 (D)	4	31	23.84%
Rose Cross Capacity	20	20	20	20	20	100	
Rose Cross Vacancies	8	10	10	11	6	45	45%
St John's Capacity	30	30	30	30	30	150	
St John's Vacancies	12	6	15	9	10	52	34.66%
Ty Waunarlyydd Capacity	23	23	23	23	23	115	
Ty Waunarlyydd Vacancies	4	8	13	9	7	41	35.65%
Total Capacity						563	
Total Vacancies						207	
Overall Vacancy							

Percentage								36.76%
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Table 4: External Provision Capacity and Current Vacancies

Centre	Mon	Tues	Wed	Thurs	Fri	Sat	Total	Overall Vacancy %
Ty Conway Capacity	9	9	9	9	9	9	54	
Ty Conway Vacancies	2	3	2	1	2	2	12	22.22%
Llys y Werin Capacity	25	25	25	25	25	25	150	
Llys y Werin Vacancies	13	6	15	6	14		54	36%

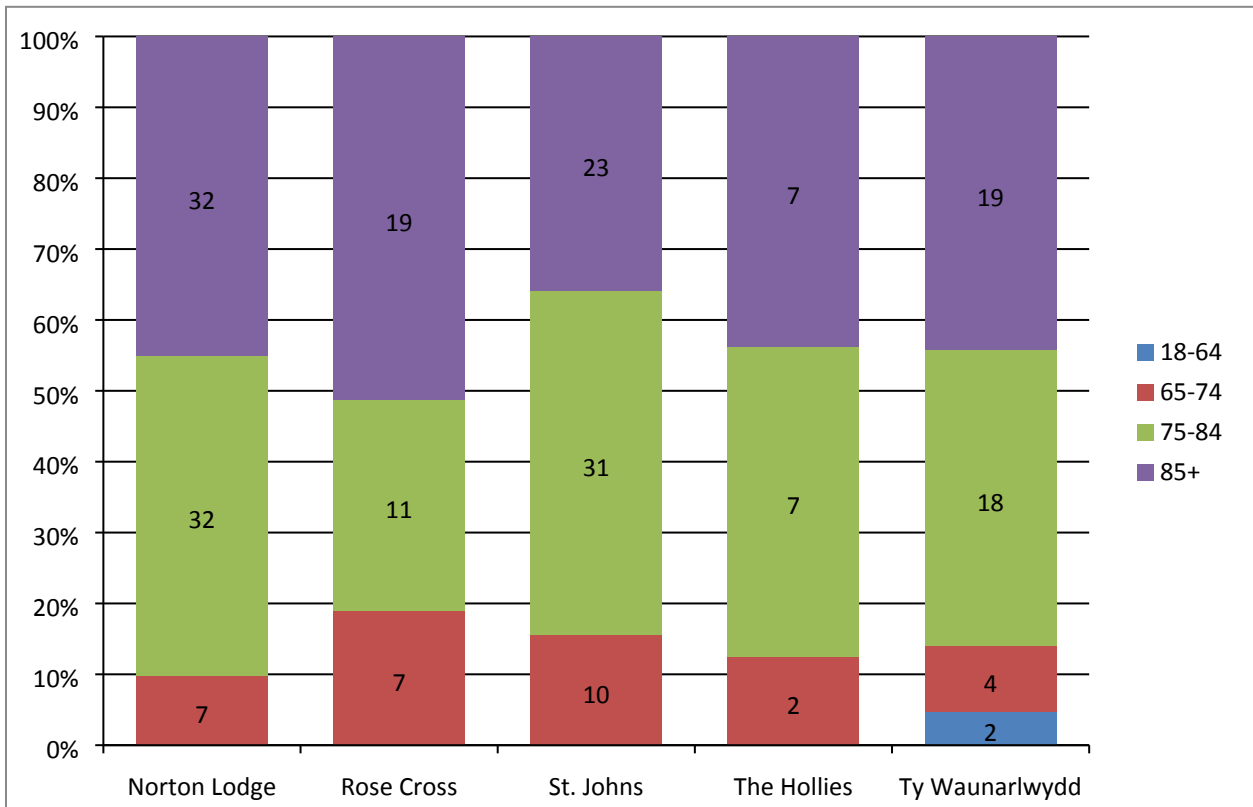
The stage 2 review report also indicates that there has been a considerable increase in the number of people accessing the service for a second day (table 5).

Table 5

Site	Number of SU's that are Single Service 2009	Number of SU's that are Single Service 2015	Number of SU's which attend a 2nd Day 2009	Number of SU's which attend a 2nd Day 2015	Number of SU's which attend on 3 days 2009	Number of SU's which attend on 3 days 2015
Norton Lodge	59	59	7	14	0	0
Rose Cross	18	17	0	18	0	1
St Johns	38	72	2	11	0	1
Hollies	29	15	12	10	0	0
Ty Waunarwydd	41	27	0	21	0	1
Total	185	190	21	74	0	3

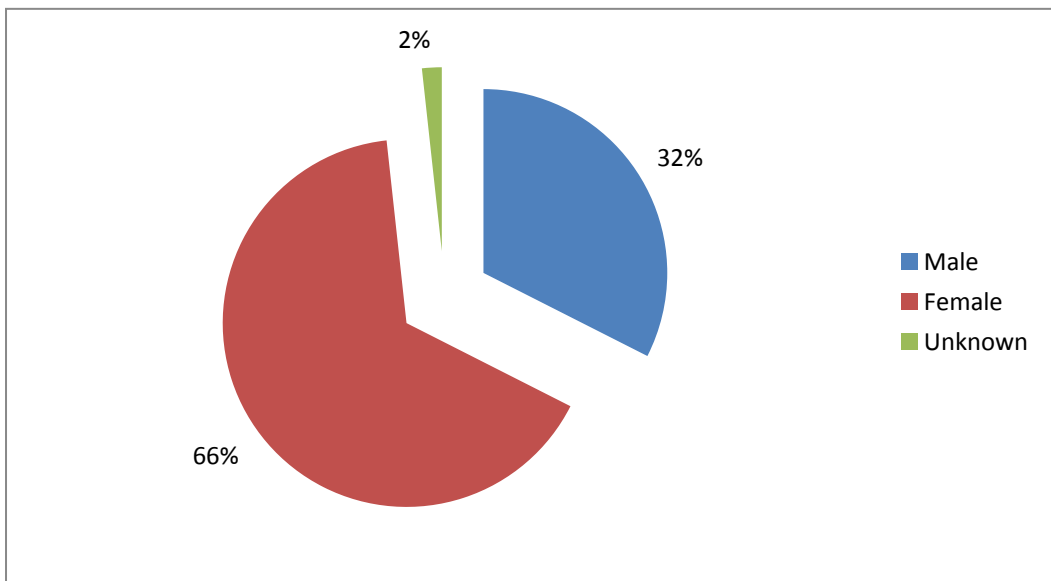
The profile of people using these centres is similar, though Rose Cross has a higher proportion of people aged 65-74 years and people over 85 years, and St Johns has a higher proportion of people aged 75-84 years. Also Ty Waunarwydd is the only centre that currently has clients aged between 18-64 years (figure 2).

Figure 2 - Day Services Client Age Groups May 2016



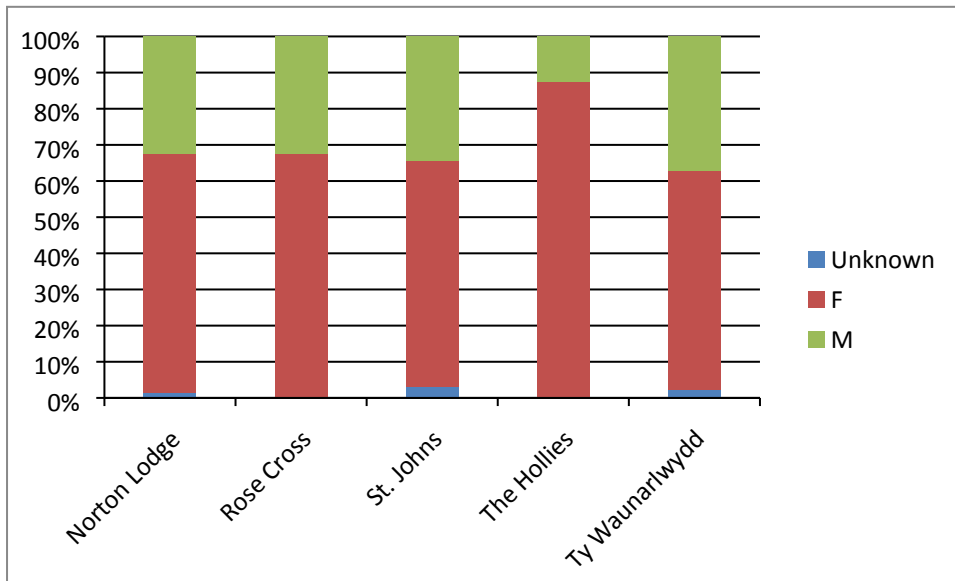
Overall, around two-thirds of clients were female (figure 3).

Figure 3 - Day Services Client Gender - May 2016



Breakdown by day centre shows that The Hollies support a higher proportion of female, and Ty Waunarwydd supports slightly more male clients (figure 4).

Figure 4 - Day Services client gender - May 2016

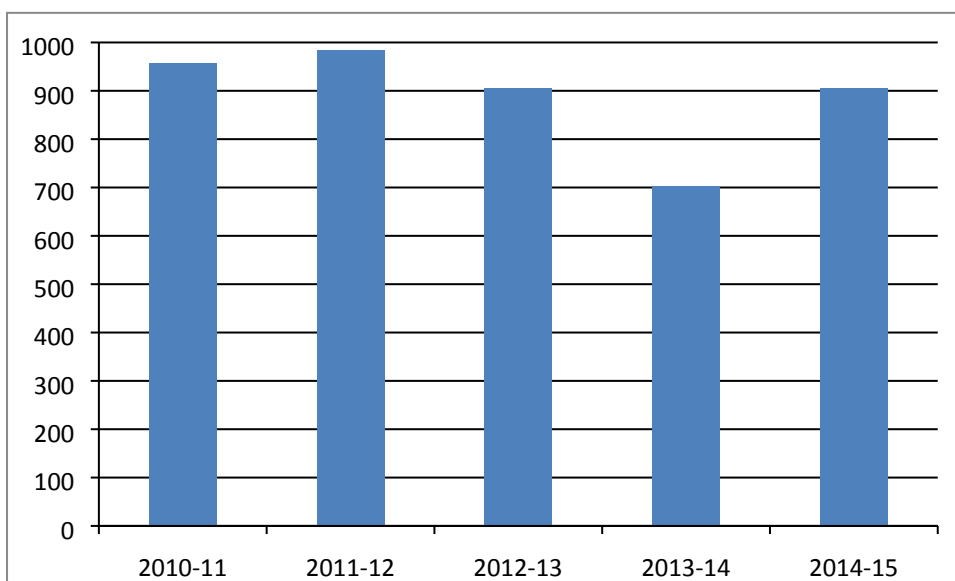


The service user profiling detailed in the stage 2 report indicates that the needs of people using Day Services in 2015 compared to 2009 have increased, the largest percentage increase are in the following areas:

- risk to safety from 38% to 78% - an increase of 40%
- people living with dementia from 19% to 47% an increase of 28%
- confused or disorientated from 29% to 51% an increase of 22%
- history of falls from 43% to 62% and increase of 19%
- assistance with personal care from 22% to 41% and increase of 19%

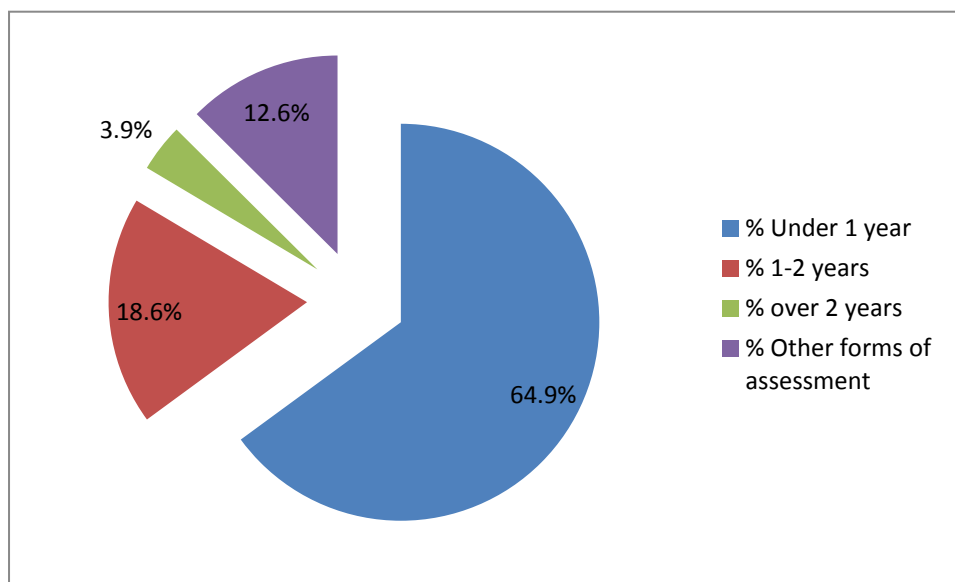
The total number of people aged 65 years and over receiving day care over the whole year (2014-15) is 904 (figure 5). This is a significant increase from the previous year. It should be noted that this is the total number in a year rather than the number accessing day services at any given time.

Figure 5 - Total number of people aged 65+ years receiving day care (whole year)



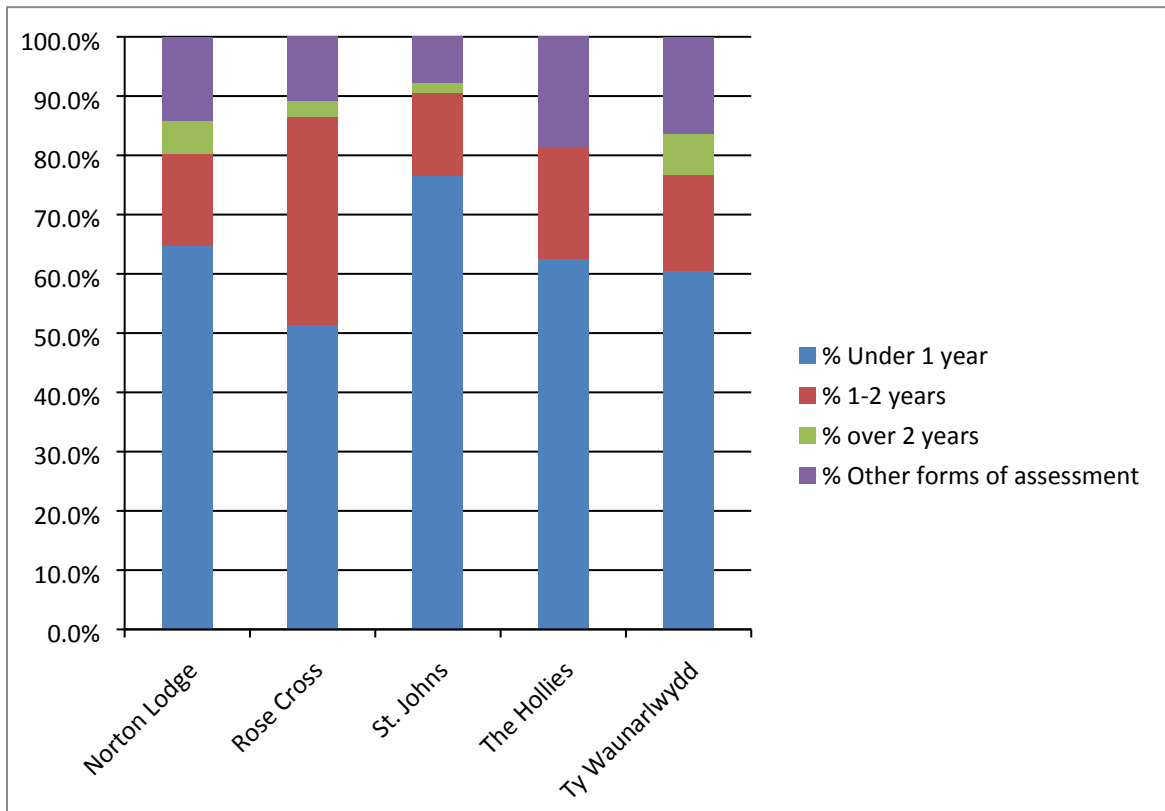
In order to ensure that people are receiving the right services and support it is important that they are reviewed regularly. Figure 6 shows that 65% of people have had a review in the last year with just under an additional 20% reviewed in the last 1-2 years. However, 4% of people had a review over 2 years ago and nearly 13% were classified by Swansea as never having had a social care assessment (other forms of assessment).

Figure 6 - Day Care - Time since last review (as at May 2016)



Breakdown by Day Centre shows that Rose Cross has the lowest number of people who have been reviewed in the last year (51.4%, though does have a larger number of people reviewed in the last 1-2 years) and the Hollies and Ty Waunarlwydd have the highest proportion of people who have never been assessed (18.8% and 16.3%) (figure 7).

Figure 7 - Day Care - Time since last review (as at May 2016)



21% of day centre clients are registered disabled (figure 8).

Figure 8 - Day Services Client Disability Registration May 2016

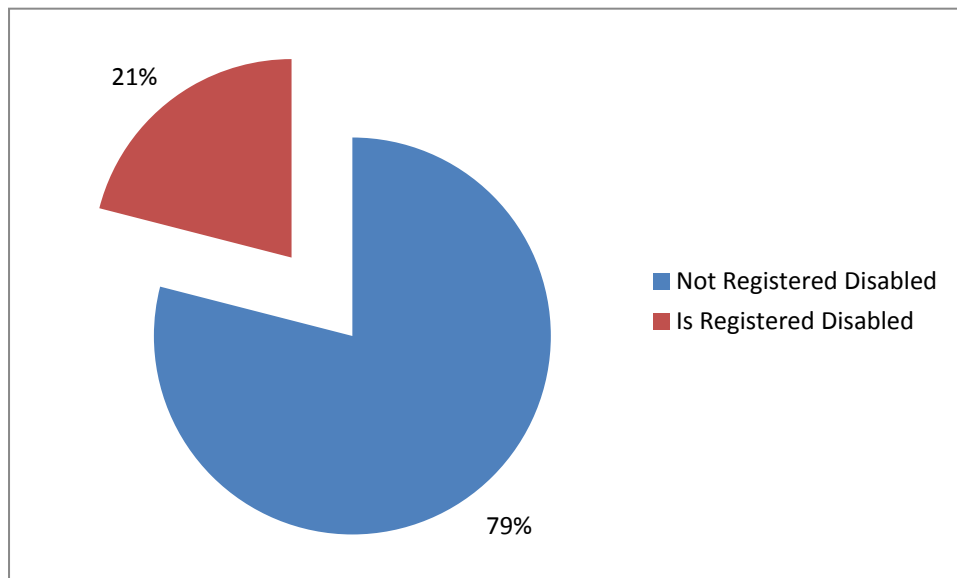


Table 6 below from the stage 2 review report demonstrates the actual cost per unit per day per person if all sites were at full capacity 52 weeks a year and taking into account 10 non-working days which includes 8 Bank Holidays.

Table 6 – Day Centres: Cost per Person per Day

	Norton Lodge	Rose Cross	St Johns	Hollies	Ty Waunarlwydd
Days Available		5,020	5,020	3,348	5,773
Annual Cost	178,073	144,465	184,769	38,724	166,192
Unit Cost (Cost per person per day)	29.56	28.78	36.81	11.57	28.79

St Johns and Hollies benefitted from upward asset valuations during the year which has the subsequently effect of reducing their expenditure for the year in question. Should these be ignored, the effect is as follows (table 7):

Table 7 – Day Centres: Cost per Person per Day (disregarding asset valuation)

	Norton Lodge	Rose Cross	St Johns	Hollies	Ty Waunarlwydd
Day Available	6,025	5,020	7,530	3,348	5,773
Annual Cost (Ignoring Asset Valuation)	178,073	144,465	195,881	72,741	166,192
Unit Cost (Cost per person per day)	29.56	28.78	26.01	21.73	28.79

The **total** number of days available across in-house provision is **27,696**, the **total** annual costs ignoring asset valuation is **£757,351** which equates to an average cost of **£27.35** per unit (stage 2 review report).

4.2 Summary

In summary, and based on available data, the following observations can be made about day services provided or commissioned by the City and County of Swansea:

- There are 5 local authority and 3 independent sector day centres in the City and County of Swansea area
- Current service provision is not evenly positioned across the county geographically
 - There are no facilities in the north east or south east.
 - There are 3 facilities within a mile of each other and 3 in the north west of the county but only 1 covering the whole of the west (Bay).
 - However, transport is currently provided to all service users who want it so nobody is prevent from accessing a service on the basis of where they live.
- There is a limited (although highly valued) service for people with dementia and for carers.
- There are currently around 300 day service users with an overall waiting list of 22 people.

- Since an earlier study in 2009, the number of people accessing the day service has dropped considerably. This is thought to result from an earlier management decision not to take new referrals. This has now been reviewed.
- There has been a considerable increase in the number of people accessing the service for a second day.
- The age profile of attendees to day centres is similar with the majority being over the age of 75 years
- Since an earlier survey in 2009, the needs of people using day services have increased. For example:
 - risk to safety from 38% to 78% - an increase of 40%
 - people living with dementia from 19% to 47% an increase of 28%
 - confused or disorientated from 29% to 51% an increase of 22%
 - history of falls from 43% to 62% and increase of 19%
 - assistance with personal care from 22% to 41% and increase of 19%
- 65% of people have had a review in the last year with just under an additional 20% reviewed in the last 1-2 years.
- 21% of day centre clients are registered disabled.
- The total number of days available across in-house provision is 27,696, the total annual costs ignoring asset valuation is £757,351 which equates to an average cost of £27.35 per unit.

4.3 Key Themes for Options Appraisal

Generally, and from the above analysis, the preferred options must address the following key themes:

- **Equity of Access** – Day centres are not evenly positioned across the county. In spite of the fact that transport is available to all users, the potential for day centres to be a local resource is not currently realised.
- **Targeting Day Services** – Whilst the levels of need and complexity of needs seem to be increasing, there are other indications that day centre services are not targeted. There is no consistent availability of specialist services especially for people with dementia.
- **Making best use of the resource** – Day centre buildings may not currently be being used to their maximum potential.
- **Promoting a stable, experienced and well trained workforce.** – Whilst recruitment and retention has been shown to be perhaps less of an issue than may be expected, there is still some concern about the availability of a static, trained and experienced workforce suitable for offering high quality care and support.

5. SERVICE COMPARISON

As part of the review process a service comparison has been completed to compare the current service model, cost, outputs and performance with others.

5.1 Benchmarking Analysis

The following local authorities were agreed as being suitable for benchmarking with the City and Council of Swansea. These represent areas which are predominantly urban in nature with an adjoining more rural hinterland with more dispersed populations:

- Cardiff
- Newport
- Neath Port Talbot
- Wrexham

As part of the review process a service comparison has been completed to compare the current service model, cost, outputs and performance with others.

The current population in Swansea is 241,297 of which 19.2% are 65 years and over. This is similar to the Welsh average though higher than Cardiff, Newport and Wrexham.

Table 8 - Population in 2014 and breakdown by age

	Number of people	% 0-15 years	% 16-64 years	% 65 + years
WALES	3,092,036	17.9	62.2	19.9
Swansea	241,297	17.2	63.6	19.2
Cardiff	354,294	18.4	67.8	13.8
Newport	146,841	20.0	62.7	17.3
Neath Port Talbot	140,490	17.4	62.9	20.0
Wrexham	136,714	19.2	62.2	18.6

The number of older people in Swansea is expected to rise significantly over the next 20 years: most significantly those aged 85 and over.

Table 9 - Projected percentage change by 2035 in the older population

	65-69	70-74	75-79	80-84	85+
WALES	5	30	36	48	119
Swansea	1	26	30	35	104
Cardiff	24	62	57	51	88
Newport	16	36	30	31	100
Neath Port T	0	29	39	51	94

Wrexham	12	31	45	64	141
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* source – Daffodil: Projecting the need for care services in Wales

The number of people with dementia in Swansea is expected to increase by 61% over the next 20 years (table 10).

Table 10 - Projected numbers of people with dementia

	2020	2025	2030	2035
People aged 65-69 with dementia	158	166	182	179
People aged 70-74 with dementia	358	324	344	376
People aged 75-79 with dementia	565	686	624	670
People aged 80-84 with dementia	843	945	1,162	1,069
People aged 85 and over with dementia	1,696	1,977	2,357	2,955
Total population aged 65 and over with dementia	3,620	4,097	4,668	5,248

* source – Swansea

The number of people projected to need support to manage on their own is expected to increase over the next 20 years (tables 11, 12 and 13).

Table 11 - Projected number of people aged 65 and over unable to manage at least one domestic task on their own

	2020	2025	2030	2035
WALES	278,422	311,163	347,518	381,580
Swansea	20,851	22,954	25,240	27,388
Cardiff	22,551	25,365	28,933	32,677
Newport	11,187	12,316	13,672	15,154
Neath Port Talbot	12,321	13,658	15,182	16,532
Wrexham	11,734	13,351	15,124	16,862

* source – Daffodil: Projecting the need for care services in Wales

Table 12 - Projected number of people aged 65 and over unable to manage at least one self-care activity on their own

	2020	2025	2030	2035
WALES	227,850	254,261	284,615	312,907
Swansea	17,049	18,747	20,676	22,486
Cardiff	18,529	20,813	23,720	26,770
Newport	9,149	10,079	11,220	12,435
Neath Port Talbot	10,082	11,155	12,411	13,530
Wrexham	9,596	10,892	12,377	13,830

* source – Daffodil: Projecting the need for care services in Wales

Table 13 - Projected number of people aged 65 and over unable to manage at least one mobility activity on their own

	2020	2025	2030	2035
WALES	125,645	140,963	159,599	178,134
Swansea	9,445	10,427	11,617	12,821
Cardiff	10,283	11,533	13,188	15,076
Newport	5,058	5,588	6,271	7,021
Neath Port Talbot	5,531	6,143	6,905	7,647
Wrexham	5,272	6,024	6,942	7,871

* source – Daffodil: Projecting the need for care services in Wales

Swansea has the highest number of adults receiving day care of the 4 comparator authorities (table 11 and figure 9). The biggest proportion of these are for clients age 85+ years.

Table 11: Adults receiving day care by LA and age group

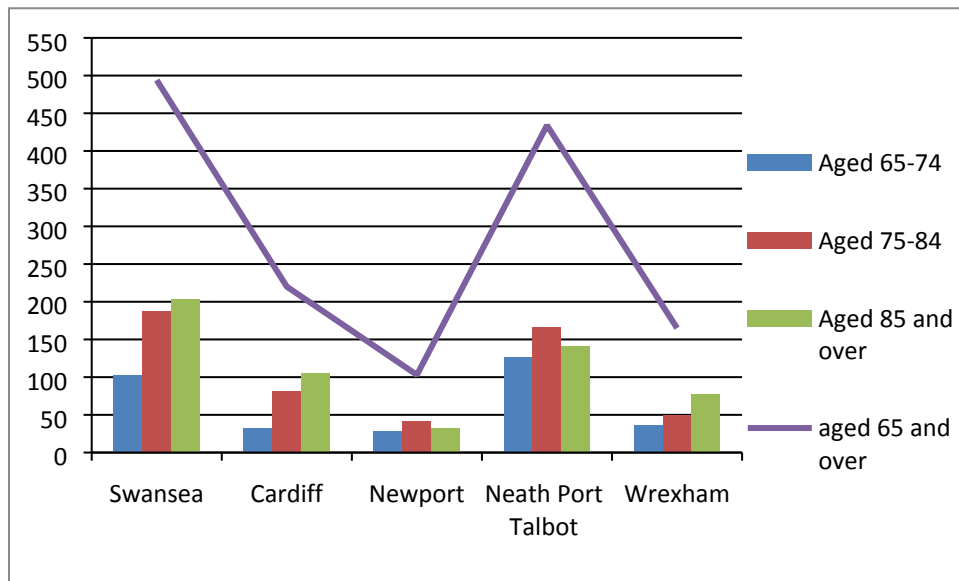
	Total	65-74 years	75-84 years	85+ years
WALES	9103	965	1627	1858
Swansea	1257	103	188	203
Cardiff	281	33	81	106
Newport	293	29	42	32
Neath Port Talbot	1021	127	166	141
Wrexham	243	37	50	78

* Data from Stats Wales

NB this includes substance misuse and other vulnerable adults

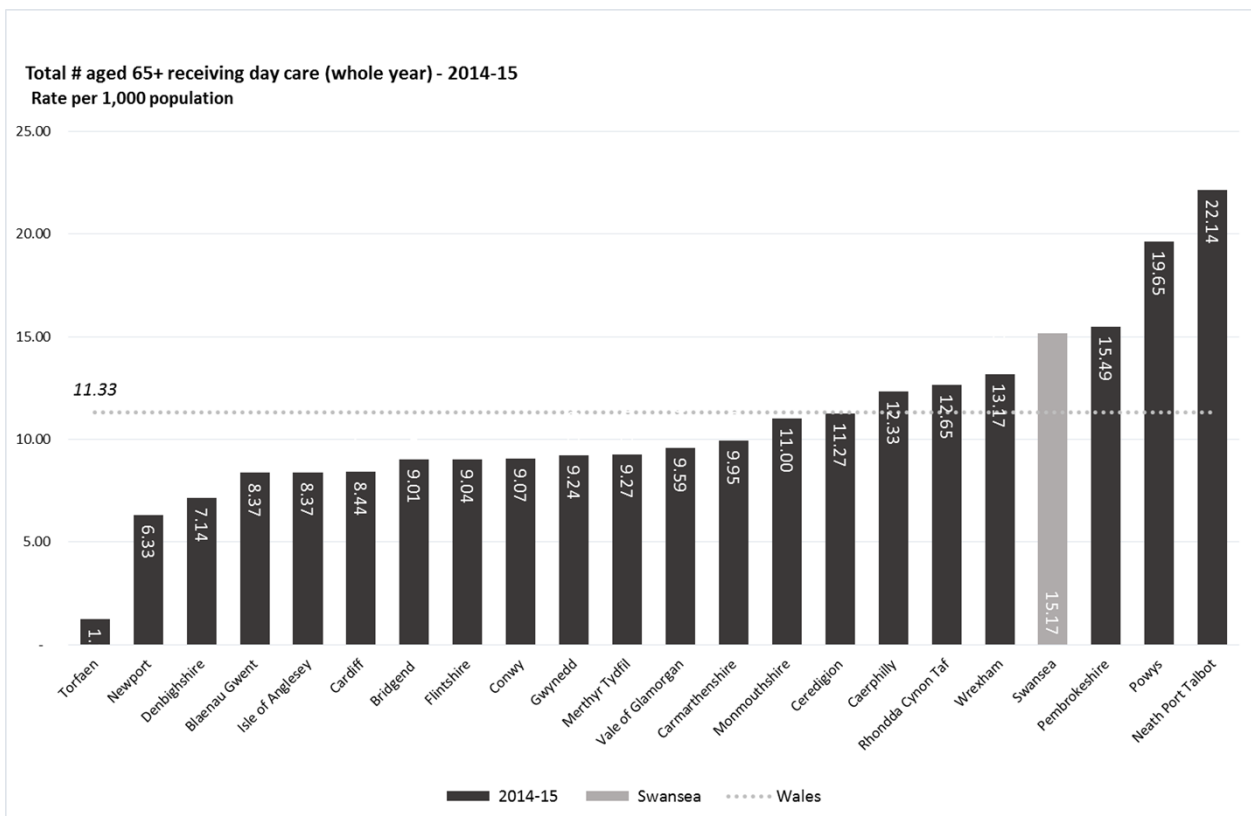
Figure 9 below shows breakdown of those aged 65 years and over: the highest proportion in Swansea being those aged 85 years and over.

Figure 9 – Older People Receiving Day Care



The rate of people in day services per 1,000 population in Swansea is higher than the Welsh average and 4th highest of all the Welsh local authorities (figure 11).

**Figure 10 – Total number aged 65+ receiving day care (whole year) 2014-5
Rate per 1000 population**



5.2 Summary

In summary, and based on available data, the following observations can be made about day services commissioned or provided by the City and County of Swansea:

- The proportion of the population over the age of 65 is similar in Swansea to the Welsh average but slightly higher than similar urban authorities of Cardiff and Newport.
- The population of older people is set to grow at a similar rate across Wales and comparator authorities.
- Over the next 20 years, it is expected that the number of people in Swansea over the age of 85 will increase by 104%
- The number of people with dementia in Swansea is expected to increase by 61% over the next 15 years
- The number of people projected to need support to manage on their own is expected to increase over the next 20 years.
- Swansea has the highest number of adults receiving day care of the 4 comparator authorities.
- The biggest proportion of these are for clients age 85+ years.
- The rate of people in day services per 1,000 population in Swansea is higher than the Welsh average and 4th highest of all the Welsh local authorities

5.3 Key Themes for Options Appraisal

Generally, and from the above analysis, the preferred options must address the following key themes:

- **Ensuring adequate capacity for meeting growing demand** – Even in the context of a new model of adult social care which emphasises prevention, promotes independence and averts the need for long term care, demographic analysis indicated that the demand for day services in Swansea will increase significantly. There are already known to be pressures in meeting the needs of those with dementia and this population is set to grow significantly in Swansea.
- **Supporting an approach to manage down demand** – The new model for adult social care will manage down the demand for long term residential care, based on developed practices and an enhanced range of services elsewhere in the overall “whole system”. There is an opportunity to review the role day centres play in this whole system approach.

6. Best Practice and Innovation

The Institute of Public Care has undertaken research to identify innovation and best practice in other areas/countries. In particular, research has been focussed on the following issues.

- Outcome measurement in day services
- Alternative models of day service
- The role of Local Area Co-Ordination (and similar models) to provide day opportunities and address social isolation
- Day centres as community hubs
- Social enterprise and Local Authority Trading Company (LATC) management models
- Income generation through charging for day services
- Workforce approaches

6.1 Outcome measurement in day services - Using an outcome-based model to commission services should help public sector organisations to achieve greater strategic coherence between service level outcomes and wider social, economic and environmental sustainability. Specifically it should:

- Support better understanding of the longer term impact of their spend and identify ways in which more sustainable, joined-up procurement can help their objectives (positive social, economic and environmental outcomes).
- Stimulate innovation among providers of services (whether third sector, independent or in-house) related to the delivery of the organisations' social, economic and environmental goals.
- Increase the opportunity for third sector organisations, service users and communities to be involved in design and delivery of services – 'co-production' by recognising the importance of wider community and social outcomes.

Good Practice Example - Camden Mental health day care services⁹

The development of a new model to commission outcomes has enabled a major shift in commissioning and procurement practice in Camden. The Invest to Save Budget ISB project joined Camden's mental health commissioners on a journey from a traditional mental health day centre model to an innovative 'co-production' approach, which aims to enable recovery and involvement in mainstream life for all residents. Two of the key elements of the new approach were:

- Explicitly specified social, economic and environmental outcomes to be accounted for in procurement and delivery.
- Establishing effective ways to measure and report on outcomes.

The Outcomes Framework describes:

- How activities and outputs delivered as part of the service contribute to the desired service-level outcomes established by end-users of the service, and commissioners.
- How the service level outcomes relate to the Council's broader priorities (called 'Community Outcomes') established by the Council in their policy and strategy documents.
- How the Council will monitor the value and benefits created through delivery of this service.

⁹ Commissioning outcomes and recovery London Borough of Camden October 2008

- Value can be measured in qualitative, quantitative and financial terms. Value accrues to the service, but also across the Council, its partners in the community and to the wider public sector.

Key messages

- The model has stimulated innovation amongst all providers (in-house, private and third sector) to achieve key local priorities of a public agency.
- The model places the wider social, economic and environmental impacts that some providers may bring to a service at the core of the commissioning process.

However:

- Outcomes are often harder to measure and can be time consuming for the provider
- The more aggregated the personal outcome measures, the less meaningful they become
- There can be a dichotomy between importance to individual and meeting national standards and other drivers

6.2 Alternative models of day service

Community Asset Based Approach

The term an “asset-based approach” has become popular in health and social care in the UK in recent years. The reasons for this are:

- The former social contract of exclusively state provided services is no longer viable in the current economic climate;
- People are living longer and the proportion of older people will increase significantly in the next decade and beyond;
- People want to make decisions about what is important to them, their family and their community – rather than the state making decisions for them;
- The health and wellbeing risks of loneliness and isolation are being recognised and there is a need to address this; and
- There is an increasing recognition that place-based responses are critical to ensuring people can age well close to home.

An asset based approach is about citizens identifying, connecting and using the assets of a community. It starts with the aspirations people have for themselves and their community, then at a more personal level people identify the skills they have as local residents to achieve these. Community asset mapping looks at what the neighbourhood has to offer, where are the clubs, associations, churches, schools and other meeting places? Once a group know what they already have, they can start making connections between people and places to achieve the things that they want for their neighbourhood.

Good Practice Example - 'I love Thornton'¹⁰

Commissioned by NHS Croydon, Croydon Voluntary Action (CVA) delivered this asset based approach pilot project in Thornton Heath, one of Croydon's most deprived wards. Working with three other voluntary sector partners, CVA was given the unique opportunity of being mentored in asset based methodology by Nurture Development –with a two-day practical training course held at the start of the project. The project brief was to “promote participation in social networks and strengthen social connectedness among people aged 50-70 to improve their health and wellbeing”.

Becoming part of a network of local people working to improve their area has translated into a mobilisation of assets under the four chosen themes, resulting in the emergence of new activities including:

- Parents support project – older people developing activities and support networks for parents with young children in the area.
- School magazine – article on intergenerational lunch bringing pupils and older members of the community together.
- Employment and Education for young people – Thornton Heath Business Partnership members offering conflict resolution, mentoring, work experience and training advice in local schools.
- Thornton Heath Rec Cricket Coaching Initiative - coaching, umpiring and friendly matches for elders.
- Thornton Heath Rec Active Walking Group – group of elders from bowling club conducting walking site tours.
- E.T.H.O.S Exercise Group – ten-week programme for older people run by Active Lifestyles.
- Making Tesco elder-friendly – volunteers assisting older people to do their shopping; seated rest areas available; use of the store training room for healthy living classes.
- Thornton Heath Festival – a history tour and big clean project.

Key messages

- In contrast to this fear of an increased demand on services there is evidence that people aged 65 and over are making a significant contribution to the economy and are a valuable asset.
- Some older people, particularly those over the age of 85 years will need help and support to remain independent. The “Little bit of help”, described by the Joseph Rowntree Foundation that can enable a person to remain living independently at home is rarely provided by social services as spending on adult social care has steadily decreased since 2005.¹¹
- Older people offer a wealth of experience, talent and knowledge that is a tremendous asset to their communities. Those older people that do need “A little bit of help”, are much more comfortable with an arrangement where there is a mutual sharing and exchange.¹²
- A reduction in social isolation and loneliness experienced by many older people. A survey by Age UK found that 10 percent of adults over the age of 65 years feel lonely often or all of the

¹⁰ Asset based community development – enriching the lives of older citizens. Deborah Klee, Marc Mordey, Steve Phua and Cormac Russell. Working with older people vol 18 no.3. 2014

¹¹ Age UK (2012), Care in Crisis 2012, Age UK, London

¹² Bowers, H., Lockwood, S., Eley, A., Catley, A., Runnicles, D., Mordey, M., Barker, S., Thomas, N., Jones, C. and Dalziel, S. (2013), Widening Choices for Older People with High Support Needs, Joseph Rowntree Foundation, York.

time^{13, 14} and a reduction in the health risks associated with loneliness. Research has shown that participation in a group cuts an older person's chance of dying in the next year by a half and joining two groups cuts the risk by 75 per cent.

- Although the idea is simple, getting to a point where the assets in a neighbourhood are understood takes time and patience. A group of citizens need to be found who know the neighbourhood and are good at relationship building. It may take some time to get together willing connectors that represent the diversity of the community.

Developing a reablement approach within day services for older people

There are examples of where local authorities have tried to change the culture of day care services to a more reablement style approach.

Good Practice Example: Joint Improvement Team, Edinburgh.¹⁵

Occupational therapists have trained day centre staff on 14 week Cognitive Stimulation Therapy (CST) programmes working with service users with mild to moderate levels of dementia in small groups. They are rolling this out across the city. It is working closely with the voluntary sector where OTs are rolling out their work further. This service is also linking in with Health services, Home Care Reablement, Intermediate Care and the Dementia Strategy.

The evaluation of this approach has demonstrated the following outcomes:

- The Reablement approach within day services can have a positive impact on both service users and carers by helping older people to regain life skills and maintain as independent a life as possible.
- The approach has shown immediate, positive effects. There has been instant improvement in service user's abilities and staff skills, for example the mobilising of seven people who were in wheelchairs.
- The OTs have been working closely with staff which has greatly helped to change the culture within day centres. These results will continue to produce short, medium and long term results for the service and the outcomes of the service users. A longer term objective is the anticipated increase in throughput to preventative services due to the Reablement approach and plans are underway to facilitate this.
- CST has been shown to stimulate and improve memory and cognition therefore strengthening people's resources and allowing them to function at the maximum capacity. This fits with the ethos of Reablement. CST is being offered to older people through the day services as part of a structured programme.
- The service is looking into training relatives/carers in the future so they can undertake CST at home which has had a very positive response from the programme group members.

Key messages

¹³ www.ageuk.org.uk/latestpress/over-1-million-older-people-in-uk-feel-lonely/ (Age UK, May 2013).

¹⁴ Putnam, R.D. (2000), *Bowling Alone: The Collapse and Revival of American Community*, Simon and Schuster, New York, NY.

¹⁵ <http://www.jitscotland.org.uk/example-of-practice/developing-reablement-approach-within-day-services-older-people/>

- There is an opportunity to develop a culture of reablement and, more generally, the promotion of independence in day centre settings.
- Day centres offer a good environment for joint working with health and social care professionals to regain life skills and independence
- Cognitive Stimulation Therapy (CST) programmes working with service users with mild to moderate levels of dementia in day centres settings have been shown to produce positive outcomes.

Integrated day services for people with dementia

Tailored around the needs of the people, these services support and focus on improving the physical and mental health, and overall wellbeing of those with dementia. Care is delivered by staff who have received specialist training in dementia care and will often include the use of assistive technologies and specialist facilities, to offer independence, safety and security to those they support.

Good Practice Example 1: East Renfrewshire integrated day care services for people with dementia¹⁶

The service provides person-centred day services to adults with a diagnosis of dementia. The integrated approach model focuses on high quality personal planning together with care and support arrangements tailored to the person's ability and resources. Specifically, the service offers a person-centred planning service for individuals and carers to help them plan a life with dementia. This includes:

- Advance directive planning; anticipatory care planning and advice and information on accessing help with personal finances and self-directed support arrangements.
- Post diagnostic support to carers and individuals diagnosed with dementia, including accessing mental health services to cope with the diagnosis.
- A flexible day opportunities service, focused on mainstream services and activities that build upon people's hobbies, interests and preferences.
- Carer support, to help people plan for the future, access carer's support through East Renfrewshire carer's service.
- A high quality day care service with clearly programmed activities that focus on the person's strengths and abilities.

Key Messages

This approach has been shown to:

- Focuses on the person's strengths and abilities through activities tailored specifically to them.
- Promotes the idea of anticipatory care planning, reducing crisis management of people with dementia when their illness progresses.
- The organisation of health and social care services does not always support the delivery of care addressing the physical and mental health needs of patients, therefore integrated working needs to be promoted as far as possible. Joint assessment is needed to address mental and physical health to provide holistic care, consulting GPs and other staff with specialist knowledge of physical or mental health when needed.

¹⁶ www.trfs.org.uk/what_we_do/older_people_including_dementia

6.3 The role of Local Area Co-Ordination (and similar models) to provide day opportunities and address social isolation

Men's Sheds Association

The Sheds movement originated in Australia, where there are currently 690 sheds and over 90,000 shed members – frequently referred to as 'Shedders' (AMSA, 2015). According to the Australian Men's Sheds Association (2015) a shed can be defined as:

“a community-based, non-profit, non-commercial organisation that is accessible to all men and whose primary activity is the provision of a safe and friendly environment where men are able to work on meaningful projects at their own pace in their own time in the company of other men. A major objective is to advance the wellbeing and health of their male members.”¹⁷

The movement has recently spread to other parts of the world, however, with over 80 Sheds now up and running in the UK, and many others in planning (UK Men's Sheds Association, 2015). The rationale behind the Sheds movement is that men – especially those who are middle-aged (40-60 years) may be less likely to benefit from conventional approaches to improving mental wellbeing via formal learning environments and counselling approaches such as talking therapy. Instead, they are more likely to thrive in informal spaces, in the company of their peers, and through engaging in practical activities.

A review of the literature – mostly in the Australian context – reveals that men's sheds generally aim to target a range of marginalised male subpopulations that are at particular risk of social isolation¹⁸. Surveys have shown that the majority of men who attend the sheds are retired, unemployed or isolated older men who were considered 'economically inactive' having fallen out of the labour market. 50% of the men who attended were over the age of 65, and 1 in 5 was ex-service personnel.

Good Practice Example: Kent sheds association

In Kent, the focus of the project includes ex-service personnel, of whom there are significant numbers in the county, and who are arguably more likely both to have mental health difficulties, and also to benefit from a shed community and the company of other men.¹⁹ The intended outcomes identified by the programme closely resemble those that have been documented in previous studies of men's sheds, namely a sense of purpose and reduced social isolation, giving to the community and feeling part of the community, an increase in employability and skills, and improved physical health.

Key messages

- A wealth of research supports the thesis that the sheds model leads to improved mental health and wellbeing outcomes for men ²⁰

¹⁷ Australian Men's Shed Association (2015) What is a Men's Shed? <http://www.mensshed.org/what-is-a-men's-shed/.aspx>.

¹⁸ Cordier, R., & Wilson, N.J. (2013). Community-based Men's Sheds: Promoting Male Health, Wellbeing and Social Inclusion in an International Context. *Health Promotion International*, 1-11.

Crawley

¹⁹ Brown, M., Golding, B., & Foley, A. (2008). Out the Back: Men's Sheds and Informal Learning. *Fine Print*, 31(2), 12-15.

²⁰ Ballinger, M. (2007). More than a Place to do Woodwork: A Case Study of a Community-based Men's Shed. Unpublished Master's thesis. Melbourne: La Trobe University, Victoria, Australia.

- The key outcomes include feeling a sense of purpose, being part of something and having a sense of belonging, learning new skills in a supportive environment and feeling like they can give back to the community²¹
- Some commentators have critiqued the concept of a ‘men’s shed’ as being highly gendered, relying on, and perhaps leading to, the stereotyping of men, only able to engage in ‘manly’ activities.
- It has also been suggested that sheds have the potential to be exploited by those who wish to impose certain political agendas on others.²²

Multigenerational houses

This model originates in Germany where centres have been created where older people and children mix, to the advantage of both. These multigenerational houses are, as the UK’s Institute for Public Policy (IPPR) says, “recreating some of the extended family ties that people just don’t have as much anymore”.

Good Practice Example: The mothers’ centre in Salzgitter, Germany.

The mothers centre provided the first German role model in 2006. The idea, pioneered by the then family minister was to bring together under one roof, groups that had previously operated in isolation from each other – childcare groups, youth centres, mothers’ clubs, advice centres and communities for older people. These multi-tasking houses were designed to offer an alternative for older people, who often feel lonely, and for young families who need support but have no grandparents living nearby.

In Germany, the 2006 Salzgitter model was followed, in 2012, by second stage multi-generation houses, with funding for 450 centres. The financial support was part of the German government’s demography strategy, under which nearly all administrative districts have their own such houses.

Key messages

- This approach has been shown to be relatively inexpensive and can be achieved by bringing existing services together in Sure Start centres or community halls and other facilities (such as day centres).²³
- Generations mix; the elderly provide a helping hand with childcare services even as the children themselves enhance older people’s lives.
- However, the approach requires a shift in thinking with more open mindedness and a less risk averse approach to putting different generations together.

6.4 Day centres as community wellbeing hubs

It has been found that many older people withdraw completely from attempting new activities. By providing a broad range of activities within a safe, comfortable environment, it is hoped that Community Hubs will give rise to an ethos of active ageing and positive outcomes in wellbeing will

²¹ Ballinger, M.L., Talbot, L.A., & Verrinder, G.K. (2009). More Than a Place to do Woodwork: A Case Study of a Community-based Men’s Shed. *Journal of Men’s Health*, 6(1), 20-27.

²² Hayes, R. & Williamson, M. (2007). *Men’s Sheds: Exploring the Evidence Base for Best Practice*. La Trobe University: Melbourne, FL.

²³ <http://www.theguardian.com/society/2014/oct/23/german-centres-bring-older-people-children-together>

follow. With the growth of social prescribing on the horizon, the concept of Community Hubs represent a very viable option for health professionals to refer/recommend into.

Community Wellbeing hubs are new initiatives that are set up to demonstrate how preventative services, such as those which stop residents visiting accident and emergency or a GP with illnesses that could have been avoided through earlier intervention, can be provided in a different way, through existing local organisations that are already used and trusted by their communities. The location of these hubs varies depending on how the county has configured them, but some are within existing housing units, others are in existing day centres.

Good Practice Example: Gloucestershire.²⁴

There are 19 Community Hubs for Older People operating countywide in Gloucestershire, some of which are purpose built within Extra Care Housing Schemes or are situated within traditional Sheltered Housing Schemes, Village Halls and Day Centres. The most established hub is seven years old and the newest hub was launched in October 2014. They offer drop-in daytime opportunities and offer whole day opportunities for people over 55 upwards or lower if the health and care need is applicable.

A range of activities are on offer in the hubs; depending on local supply of instructors, programmes will vary from one hub to another.

When the Gloucestershire model was evaluated, it demonstrated the following outcomes for its service users:

- Improvements to physical health.
- Increased confidence through attending exercise classes that enabled clients to participate and be active in other areas of life.
- In addition to the physical outcomes of exercise classes, ranging from increased range of movement, better flexibility and greater endurance, the social benefits were mentioned on many responses.
- Although some hub attendees commented that they had large families and maintained interests outside the hub, many were very appreciative of the opportunity for social interaction, thus alleviating loneliness and isolation.
- Social contact is also proving invaluable as part of the grieving process for some attendees.
- There was a large percentage increase in how stimulated the attendees felt, comparing before and after joining a Community Hub.

Key messages

- Social Prescribing can connect people to activities in community hubs that will benefit them by offering non-medical sources of support.
- An opportunity to make day care services part of existing residential schemes/housing, reducing the need for multiple sites and duplication.
- By working in partnership with the business sector, public sector and the voluntary sector the hubs are introducing activities to groups and individuals that focus simultaneously on

²⁴ Community Hubs: A partnership approach to creating community based services for older people in Gloucestershire. Found at www.housinglin.org.uk

prevention and rehabilitation thus helping people to live longer, healthier and more fulfilling lives.

- There is increasing evidence that show the benefits of social interventions for people experiencing a range of common mental health problems.
- The countywide network of Community Hubs is an infrastructure ready for social prescribing in the future.
- If the Community Hubs can introduce a broad range of stimulating new activities it follows that the social interaction will be the initial outcome measure and the physical, cognitive & sensory results will follow. When these outcomes are achieved we should start to see higher reported improvements in Activities of Daily Living (ADLs), Independence & Health
- In many cases it is not only the Hub attendee who stands to benefit but also their unpaid carers, who learn how to manage dementia and also have some respite while their loved ones are looked after.

However:

- The hubs need to be easily accessible to those who need them. If the Hub is not part of an existing housing scheme, transport options need to be considered which may have financial implications.
- The resources available to Hub Leaders will have an effect on the type of work they can engage in, and what activities they can provide. In an Independent Evaluation of the National Community Hubs Programme in Australia²⁵, it was found that in some hubs there were capacity issues, with limited access to dedicated spaces and infrastructure.

6.5 Social enterprise and Local Authority Trading Company (LATC) management models

Increasingly, councils are considering setting up arms-length local authority trading companies (LATCs). These operate as separate entities to the council but are wholly owned by them. LATCs do not include companies where councils only own a stake and the rest is owned by a private company. It is estimated that about 20 social care LATCs are now trading in the UK, with many more in the pipeline. Most are 100% owned by the local authority and have freedom to make up to 20% of its income from non-council contracts.²⁶ The main reason for this growth is local government's desire to generate income to protect other services. Secondary drivers include:

- the need for certain services to be separate from councils to allow them to compete in a wider geographical area
- a view that greater commercialisation will drive efficiency
- a view that certain services are non-essential to the council and would be better managed separately.
- to 'stimulate' the market by reorganising a package of services on a more commercial footing in the hope of encouraging companies to move into these areas when the work is put out to tender at a later date

Good practice examples

- ECL (formerly Essex Cares), set up by Essex County Council in 2009 to provide services such as equipment and reablement.

²⁵ Independent Evaluation of the National Community Hubs Program. Wagga Wagga, NSW: Research Institute for Professional Practice, Learning and Education.

²⁶

- Norse Care, a care home provider and part of Norse Group, a large trading company owned by Norfolk County Council, employing more than 10,000 staff across the country and offering a wide range of services.
- Tricuro, (Dorset) launched in July 2013, is the first cross-boundary social care LATC. Its services include residential care, day services and catering and it is also the largest social care LATC, with a budget of more than £38m and 1,200 staff. A Dorset county councillor commented that her council chose the LATC option because of the huge financial pressures it was under – and the unpalatability of the alternatives.

Key messages

- As smaller, less bureaucratic organisations LATCs are able to react more quickly and sensitively to shifts in the social care market.
- Staff can also become energised to do things differently and there is potentially room for new ideas to be put in place: LATCs have been seen to be less risk averse than similar Council-run bodies.
- Several adult social care LATCs have slipped into deficit, or had to be brought back in-house. Essex Cares which previously had shown significant surpluses, went into deficit in 2014-15 and required significant restructuring.
- Another social care LATC, Your Choice Barnet, set up in 2012 and projected to make a surplus of £500,000 by 2015-16, has also had some financial problems and received a poor inspection report from the Care Quality Commission.

6.6 Income generation through charging for day services

Some Councils have been able to support some services to become more financially sustainable by finding imaginative ways to increase charging income. For example, some social care packages may be means tested against income, including benefits.

It is important to monitor and review the impact of charging decisions, to check whether policy and service aims have been achieved and whether there have been any unintended consequences, such as a decline in take up of services. In addition to this, Councils are statutorily required under the Social Services and Wellbeing Act to periodically review their overall approach to charging and concessions to assess the impact of charging arrangements and ensure that service charges comply with corporate guidelines.

There is limited research into the longer term impact of income generation for day care, but a study by Mencap²⁷ has demonstrated the negative impact of day service cuts on people with a learning disability:

- Over half (57%) of people with a learning disability who are known to social services no longer receive any day service provision whatsoever (compared to 48% in 2009/10).
- 1 in 4 people with a learning disability who responded to Mencap's online survey now spend less than one hour outside of their home every day.
- Over 1 in 3 admits to feeling 'scared about the future' (37%), 'isolated' (27%) or 'lonely' (28%).
- Almost one in four (23%) family carers state that their family is financially worse off due to the changes to day service provision.

²⁷ Stuck at home: the impact of day service cuts on people with a learning disability. Mencap 2013

- Almost three-quarters of carers (72%) fear that their child will not receive the support they need to live a full and independent life.

Key messages

- If money is ring fenced through income generation, Day Centres have the potential to offer more services to the community.
- Careful consideration would need to be made of the impact on service uptake if charging were to be introduced
- The potential to recoup income also needs to be balanced against the resource needed to recover it ie the resource required to assist with the completion of individual service user financial assessments.

6.7 Workforce approaches - Retaining good care workers is a great challenge. The demanding nature of the work and diminishing resources to support and appropriately remunerate care workers has led to retention of care workers becoming a substantial issue within the sector.

Some research has been undertaken to identify good practice examples to support recruitment and retention in domiciliary care services. The key messages from this apply equally to the maintenance of a motivated and sustainable workforce in day care services:

Key messages

- The following approaches have been shown to support good recruitment and retention
 - Ensuring that providers can pay at or above the statutory hourly minimum rate.
 - Investing in training to professionalise the service
 - Ensure manageable workloads
 - Increased job satisfaction and commitment levels through service design and the implementation of specialist roles with associated training and professional recognition.
 - Guaranteed hours
 - Payment for travel time
 - Staffing arrangements that allow staff to build good relationships with service users (locality patch base)
 - Close management support
 - Targeting older workers
 - Exploring opportunities for recruitment from overseas.

6.8 Key Good Practice Messages

An analysis of examples of good practice described above gives the following key points which may be considered in the development and appraisal of options:

- An outcome based approach to care planning and, where appropriate, contracting can stimulate an innovative approach among service providers.
- This approach may form the basis for a more flexible approach to day service provision.
- The principles of a Community Asset Based approach may guide the development of a wider community role for day centres.
- Adopting a “reablement approach” in day centres can support people, such as those with dementia, to achieve improved independence

- Community based activities such as “sheds associations” and “multi-generational houses” have been shown to support improved wellbeing for older people.
- There is potential for day centres to develop as community hubs offering a range of activities and supporting access to wider range of preventative health and wellbeing services
- Some councils are establishing Local Authority Trading Companies (LATCs)
- LATCs may yield benefits such as:
 - More responsive to shifts in the social care market
 - Improved staff motivation and job satisfaction
- However some established LATCs have experienced financial difficulties.
- Charging for day services may provide opportunities to develop more sustainable funding models of day services.
- Careful consideration would need to be made of the impact on service uptake if charging were to be introduced.
- The potential to recoup income also needs to be balanced against the resource needed to recover it ie the resource required to assist with the completion of individual service user financial assessments.
- In terms of workforce, the following approaches have been shown to support good recruitment and retention
 - Ensuring that providers can pay at or above the statutory hourly minimum rate.
 - Investing in training to professionalise the service
 - Ensure manageable workloads
 - Increased job satisfaction and commitment levels through service design and the implementation of specialist roles with associated training and professional recognition.
 - Guaranteed hours
 - Payment for travel time
 - Staffing arrangements that allow staff to build good relationships with service users (locality patch base)
 - Close management support
 - Targeting older workers
 - Exploring opportunities for recruitment from overseas.

6.9 Key Themes for Options Appraisal

The above research provides rich material to help shape future thinking on the provision of care home services. In particular it identifies the following key themes which should be addressed through the options appraisal.

- **Reviewing the Service Model for Day Services** – Research has identified a number of examples where new service models are producing positive outcomes for services users. These focus around adopting outcome based approaches to care planning and promoting a culture of reablement and independence.
- **A Wider Future Role for Day Centres** - The principles of a Community Asset Based approach may guide the development of a wider community role for day centres. There is potential for day centres to develop as community hubs offering a range of activities and supporting access to wider range of preventative health and wellbeing services
- **Opportunity for strategic partnerships** – Research shows that innovation can on occasion be led by, and frequently delivered through strong partnerships between commissioners and providers.

- **Shown to work elsewhere** – Simply speaking, if an approach has been shown to yield improved outcomes, this may indicate that a similar approach could be developed and taken forward in Swansea

7. STAGE 4 – OPTIONS APPRAISAL

A set of options have been developed which seek to capture accurately the strategic commissioning themes that need to be considered as an output from Stage 4 of this Commissioning Review. The options are presented in a series of inter-related categories which need to be appraised separately and in sequence. The preferred approach from each appraisal will inform the options and approach taken within the subsequent category.

The options appraisal will produce a recommended strategic commissioning approach for day care services which responds to the key operational and strategic issues identified. Whilst it is expected that this process will give clear direction to the commissioning approach, it is noted that subsequent implementation will need to be informed and guided by the development of detailed Business Case and Project Plan processes which will inform subsequent and more detailed decision making.

7.1 Assumptions

The following assumptions underpin the options and their appraisal:

- All commissioning activity takes place within a given budget.
- For the purposes of this options appraisal, it is assumed that investment levels for CC Swansea will not change
- Whilst the overall necessity for CC Swansea to find 20% efficiencies over the next three years remains. The approach taken here is based on the potential to reduce investment levels, but it is understood that the options alone cannot make the savings required. Significant attention will need to be paid to demand management across the system to realise real impact on the budgetary situation.
- Investment and disinvestment priorities will need to be taken in a “whole system” context.
- The proposed options relate to identifying the commissioning arrangements which make best use of resources to ensure improving outcomes for service users and sustainable service arrangements
- There is no significant change in emphasis towards the provision of Direct Payments for day care services

7.2 Stakeholder Engagement

A initial scoping workshop was held on 10th September 2015 at Stage 1 of this Commissioning Review to share information about the review process and to ask participants to share their views about how services to citizens, and commissioning arrangements, could be improved. Participants identified the outcomes and vision for the service as described in Section 3.4 of this report.

A co-production workshop was held on 17th May 2016. This event was used to consolidate and develop an understanding of the key issues facing the domiciliary care service and to engage stakeholders in early discussions on options and evaluation criteria (answering the question “what does “good” look like?”).

A stakeholder engagement event was held on 7th June 2016. This was attended by over approximately 20 individuals representing a diverse range of stakes from across the domiciliary care sector. At this event, attendees were consulted on:

- The strengths and weaknesses of an initial draft range of options. The collated feedback from this exercise is shown in Appendix 1. This contributed to the development of a more focussed range of options that went forward for evaluation as shown below in Section 7.3

- Evaluation criteria. A draft set of evaluation criteria were considered, developed and extended by participants. The final set of evaluation criteria is shown below in Section 7.4

7.3 Options

Following detailed consultation, the following options were considered:

Overall Day Service Model

- Continue as is
- Develop service refocussing day centres on higher dependency complex/dementia care and providing respite using current capacity.
- Develop service refocussing day centres on higher dependency complex/dementia care and providing respite at reduced capacity.
- Develop service using current capacity, refocussing day centres on higher dependency complex/dementia care and offering activities and community contribution through an expanded range of tier 2 services and local area co-ordination
- Develop service at reduced capacity, refocussing day centres on higher dependency complex/dementia care and offering activities and community contribution through an expanded range of tier 2 services and local area co-ordination
- Stop providing centre based day services, but transform all existing day centres to act as community hubs supporting flexible service provision.
- Stop providing centre based day services, but transform a reduced number of existing day centres to act as community hubs supporting flexible service provision.

Delivery Model

- Internal Delivery
- External Delivery
- Mixed delivery with clearly defined internal and external services

Income Generation

- Continue not to charge for day services
- Means tested charging for “assessed for” services that meet eligible need
- Flat rate charge for access to services under community hub provision which do not meet an “assessed for” eligible need.

Overall Management Model

- Deliver transformed in-house service
- Social Enterprise/Local Authority Trading Company

A detailed description of each option, together with an evaluation of its relative strengths and weaknesses is provided in Appendix 2

7.4 Evaluation Criteria

Sections 4, 5 and 6 of this report consider current service performance, benchmarking against other comparator local authorities and evidence of good practice models across the UK and beyond. An analysis under each of these sections has identified the following key issues which need to be addressed through the options appraisal process:

Service performance - Section 4.3

- Equity of Access.
- Targeting Day Services.
- Promoting a stable, experienced and well trained workforce.

Service Comparison (Benchmarking) – Section 5.3

- Ensuring adequate capacity for meeting growing demand.
- Supporting an approach to manage down demand.

Best practice – Section 6.9

- Reviewing the Service Model for Day Services.
- A Wider Future Role for Day Centres.
- Opportunity for strategic.
- Shown to work elsewhere.

The CC Swansea corporate template for options appraisal provides 5 key headings for evaluation criteria:

- Outcomes
- Fit with Priorities
- Financial Impact
- Sustainability and Viability
- Deliverability

Under each of these headings, the following evaluation criteria were developed by the Review Team. These were informed by the key themes from the analyses above and then further refined at the Stakeholder Co-Production workshop held on 9th June, 2016.

Category	Criteria Questions	Weighting
1. Outcomes		
1.1	Promotes health and wellbeing	M
1.2	Maximise opportunities for greater independence	M
1.3	Promotes choice and control	L
1.4	Reduces demand for services	H
1.5	Improves performance	H

1.6	Improves user experience	M
2. Fit with Priorities		
2.1	Fit with SSWB Wales Act and Guidance	H
2.2	Fit with CCS Adult Services Model	H
2.3	Fit with corporate priorities	M
2.4	Fit with Western Bay priorities	L
2.5	Promotes partnership	L
3. Financial Impact		
3.1	Supports cost reductions (20% over 3 years)	H
3.2	Requires investment but supports savings elsewhere in the system	L
3.3	Makes better use of staff resources	M
3.4	Limited/no set-up costs	L
3.5	Achieves capital receipt	L
3.6	Reduce premises cost/maintenance backlog	M
4. Sustainability/Viability		
4.1	Promotes positive workforce	H
4.2	Shown to work elsewhere	L
4.3	Supports positive market development	M
5. Deliverability		
5.1	Legally compliant	H
5.2	Safe	H
5.3	Acceptable to stakeholders/public	H
5.4	Manageable project	H

The detailed options appraisal is shown as Appendix 1

8. SUMMARY & CONCLUSIONS OF REVIEW TEAM

Following detailed analysis and options appraisal, the following strategic approach to day care services is recommended:

Overall Day Service Model

- Develop service at reduced capacity, refocussing day centres on higher dependency complex/dementia care and offering activities and community contribution through an expanded range of tier 2 services and local area co-ordination

Delivery Model

- Mixed delivery with clearly defined internal and external services

Income Generation

- Consult on introducing a flat rate charge for access to services under community hub provision which do not meet an “assessed for” eligible need.

Overall Management Model

- The Options Appraisal Panel concluded that these options should not be scored as not enough information is known about the potential benefits or otherwise of transferring the transformed in-house service. It was concluded that transformation should take place first before these options are evaluated.

Background papers (available on request)

1. Service Model
2. Commissioning Gateway Review Report Stage 2
3. Key themes from the Commissioning Review Workshop; 11.08.15
4. Key Themes from the Co-Production Workshop; 28.04.16
5. Appendix 1 - Stakeholder Feedback on Options from Stakeholder Workshop: 09.06.16
6. Appendix 2 - Options Appraisal

Day Services Evaluation Scoring Matrix

NOTE: - SCORING BASED UPON THE HIGHEST SCORE BEING THE PROPERTY LEAST APPROPRIATE FOR CLOSURE & LOWEST SCORE MOST APPROPRIATE FOR CLOSURE

DAY SERVICES		NORTON LODGE		THE HOLLIES DAY CENTRE		ST JOHNS DAY CENTRE		ROSE CROSS DAY CENTRE		TY WAUNARLYDD DAY CENTRE		
Building Condition	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Condition Survey (Good =5 / Poor = 0)	5	3	15	3	15	3	15	4	20	4	20
	Est. Investment in Building required £ (High value = 0 / no investment req'd = 5)	5	1	5	4	20	3	15	5	25	5	25
	Layout fit for purpose & future use? (Yes = 5 / No = 0)	5	5	25	2	10	5	25	1	5	3	15
	Est. value of site for redevelopment (High value = 0 / Low value = 5)	5	1	5	5	25	5	25	5	25	5	25
	Total	20	4	20	7	35	6	30	9	45	9	45
	Score			1.0		1.8		1.5		2.3		2.3

		NORTON LODGE		THE HOLLIES DAY CENTRE		ST JOHNS DAY CENTRE		ROSE CROSS DAY SERVICE		TY WAUNARLYDD DAY CENTRE		
Location	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Availability of day provision in the vicinity? (Yes = 0 / No = 5)	5	5	25	2	10	4	20	1	5	3	15
	Total	5	5	25	2	10	4	20	1	5	3	15
	Score			5.0		2.0		4.0		1.0		3.0

		NORTON LODGE		THE HOLLIES DAY CENTRE		ST JOHNS DAY CENTRE		ROSE CROSS DAY SERVICE		TY WAUNARLYDD DAY CENTRE		
Current Level of Use	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Current occupancy/ attendance levels (High = 5 / Low = 0)	5	5	25	1	5	5	25	1	5	4	20
	Community links established/embedded in community (day services only) (Yes = 5 / No = 0)	5	5	25	2	10	5	25	3	15	3	15

Flexibility of use : currently used by / scope for wider community use (Yes = 5 / No = 0)	5	5	25	1	5	5	25	1	5	3	15
Complexity of need of majority of current attendees? (High = 5 / Low = 0)	5	5	25	2	10	5	25	3	15	4	20
Total	20	20	100	6	30	20	100	8	40	14	70
Score			5.0		1.5		5.0		2.0		3.5

145

75

150

90

130

Appendix 3: Equality Impact Assessment (EIA) Report

This form should be completed for each Equality Impact Assessment on a new or existing function, a reduction or closure of service, any policy, procedure, strategy, plan or project which has been screened and found relevant to equality.

Please refer to the 'EIA Report Form Guidance' while completing this form. If you need further support please contact acesstoservices@swansea.gov.uk.

Where do you work?
Service Area: Adult Services
Directorate: People

(a) This EIA is being completed for a:

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

(b) Please name and describe here:

Proposed Model for Day Services for Older People:

Following the commissioning review of Day Services for Older People (2016) the preferred option is now progressing for decision. In summary the preferred option proposes to re-shape the internal day service provision and externally commissioned services to focus only on complex care needs and no longer provide day services to those with non-complex needs.

By adopting the preferred option and transforming in-house and commissioned Day Services so they focus on higher dependency, and complex/dementia care, the Council will be able to provide better care for people with complex needs. Refocussing internal and commissioned provision in this way will hopefully allow the Council to provide better services and care for its service users and consequently will need less internal Day Services to provide these specialisms. Therefore, the proposal is to close Rose Cross and The Hollies Day Services – separate EIAs have been undertaken in relation to these proposed closures.

(c) It was initially screened for relevance to Equality and Diversity on:

January 2015, December 2017, March 2018. This EIA has been continually updated alongside the consultation process. The report outlines the final impact taking into account the outcomes of the consultation.

(d) It was found to be relevant to...

Children/young people (0-18)	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Older people (50+).....	<input checked="" type="checkbox"/>	Gender reassignment	<input type="checkbox"/>
Any other age group	<input checked="" type="checkbox"/>	Welsh language	<input checked="" type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	Poverty/social exclusion.....	<input checked="" type="checkbox"/>
Race (including refugees).....	<input checked="" type="checkbox"/>	Carers (including young carers).....	<input checked="" type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	Community cohesion	<input type="checkbox"/>
Gypsies & Travellers.....	<input type="checkbox"/>	Marriage & civil partnership	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	Pregnancy and maternity	<input type="checkbox"/>
Sex.....	<input type="checkbox"/>		

(e) Lead Officer

Name: Cathy Murray

Job title: PO Service Provision

Date: 20th August 2018

(f) Approved by Head of Service

Name: Alex Williams

Date: 20th August 2018

Section 1 – Aims (See guidance):

Briefly describe the aims of the initiative:

What are the aims?

In line with the principles of the Social Services and Wellbeing (Wales) Act, the agreed model for Adult services in 2018 has the following aims at its core:

- Better Prevention
- Better Early Help
- A new approach to assessment
- Improved cost effectiveness
- Working together better
- Keeping people safe

It was agreed through an options appraisal and consultation that in order to best meet these strategic priorities a remodelling of our internal and commissioned services was needed with a focus on complex needs. The focus of the service would be about aiming to achieve better outcomes and greater independence for both service users and carers at its core.

In order to meet the aims above our proposed model for Day Services for Older people will refocus internal and commissioned Day Service provision on complex care and no longer deliver care for non-complex needs.

Shaping the service in this way supports the key principles of prevention and early intervention by ensuring those with complex needs are supported to remain at home for longer as well as provide much needed respite for carers.

It will allow Swansea Council to provide and commission a specialist service for those with complex needs - ultimately aiming to provide better care for Swansea residents. We will be able to upskill staff to concentrate on providing this specialist service in a way that we are currently unable to do as a result of needing to cater for people with a range of complex and non-complex needs.

By refocussing the services in this way, less capacity will be needed and therefore, again subject to consultation, it is proposed that the Hollies and Rose Cross Day Service buildings would close, although provision will be maintained on the remaining day service sites.

The proposed model would also result in no new referrals for non-complex needs to the other internal Day Services – Norton Lodge, St Johns and Ty Waunarlywydd or commissioned day services for individuals with non-complex needs.

Who has responsibility?

Head of Adult Services – Alex Williams

Who are the stakeholders?

- Service users
- Carers / Families
- ABMU Health Board representatives (including Older People Mental Health and Therapies)
- Cabinet and Elected Members (including political and opposition majority, representing areas across Swansea)
- Provider Staff (including, Managers, Care Officers and Drivers)
- External Day Care providers (Gwalia, Swansea Carers Centre and Red Cafe)

- Future Day Care Service Users representatives (Network 50+, Age Cymru, Alzheimer’s Society, SCVS Swansea Dementia Friendly Forum, Advocacy Officer and Minority Ethnic Elders - SBREC)
- Integrated Community Services staff (Social Work Team Leaders, Social Workers and Care Management Officers)
- Officers from Social Services (including key Budget Holders, Commissioning, Safeguarding, Direct Payments, Local Area Coordinator).
- Officers from Corporate departments (accountancy, human resources, legal, commercial & commissioning unit, health & safety, housing, scrutiny and property)
- Union representation (GMB, UCATT and Unison)
- Older People’s Commissioner
- Council Sheltered Housing complexes
- Other organisations e.g SCVS, Carers centre, Age concern, Disability Liaison Group, Contracted independent providers , Swansea Dementia Forum , 50+ Network , Ageing Well Steering group

Section 2 - Information about Service Users (See guidance):

Please tick which areas you have information on, in terms of service users:

- | | | | |
|------------------------------------|-------------------------------------|--------------------------------------|-------------------------------------|
| Children/young people (0-18) | <input type="checkbox"/> | Sexual orientation | <input type="checkbox"/> |
| Older people (50+)..... | <input checked="" type="checkbox"/> | Gender reassignment | <input type="checkbox"/> |
| Any other age group | <input checked="" type="checkbox"/> | Welsh language | <input checked="" type="checkbox"/> |
| Disability | <input checked="" type="checkbox"/> | Poverty/social exclusion..... | <input type="checkbox"/> |
| Race (including refugees)..... | <input checked="" type="checkbox"/> | Carers (including young carers)..... | <input checked="" type="checkbox"/> |
| Asylum seekers | <input type="checkbox"/> | Community cohesion | <input type="checkbox"/> |
| Gypsies & Travellers..... | <input type="checkbox"/> | Marriage & civil partnership | <input checked="" type="checkbox"/> |
| Religion or (non-)belief | <input checked="" type="checkbox"/> | Pregnancy and maternity | <input type="checkbox"/> |
| Sex..... | <input checked="" type="checkbox"/> | | |

Please provide a snapshot of the information you hold in relation to the protected groups above:

Currently there are 5 internal Day Services with a total of 440 places per week. 2 external day services are commissioned with further capacity; currently there are 100 places in Llys Y Werin and 54 places for Ty Conway per week.

The average number of service users per week across all internal day services was 78 attendees. (March 2018)

As part of the commissioning review, information on age groups and level of usage was captured as follows:

Site	Age Range 2009	Age Range 2015	Age Range August 2018	Number of SU's per site 2009	Number of SU's per site 2015	Number of SU's per site August 2018
Norton Lodge	86-100	73-102	71 - 97	143	73	75
Rose Cross	76-85	66-94	65 – 85+	65	36	35
St Johns	86-100	57-99	59 - 95	114	84	91
Hollies	76-100	74-92	75 – 85+	56	25	8
Ty Waunarlwydd	86-100	61-100	57 - 96	93	50	61
Total				471	268	270

In-house Day Services staff capture information on their clients manually on site. This information has been collated as part of the Impact Assessment reports for those Day services identified for potential closure.

In support of the proposed model for day services future service user demand and level / complexity of need has also been considered to ensure we propose a model which is fit for purpose and sustainable.

A regional population assessment was conducted by Western Bay (covering Neath Port Talbot, Bridgend and Swansea Localities) which has helped to better understand the future need in our locality amongst older people and carers, key extracts include:

- By 2041 the number of people over 65 is expected to increase by 37%
- By 2035 the number of people over 85 is expected to increase by 119%

Projection tools used this information to predict the following around the level of need of our regional population:

- By 2020 the population aged over 65 would exceed 111,070 in the region with around 45% of this group living alone. Of that group it is predicted 18.5% would be unable to manage at least one mobility activity on their own (including going outdoors).
- The number of people with dementia is also predicted to significantly increase across the region due to the increased life expectancy and ongoing improvement of diagnosis of the condition. People with dementia are likely to have complex needs

The population assessment does not break down the data into individual protected groups. We know however that very few people from BME communities access our services. The main reason for this is that people from BME communities tend to be cared for at home by extended family networks and are less likely to approach us for statutory support.

Any actions required, e.g. to fill information gaps?

Continued monitoring of those who access Day Services/Social Services by protected group.

As described manual records need to be maintained in relation to service user details on site at the Day Services.

Swansea Council alongside regional partners including the Local Health Board are progressing with the implementation of the Welsh Community Care Information System – this will hold client records for all local authority and Health services and replace the current PARIS client management system used within Adult Social Services. The new system will be developed to better capture and easily extract information around our service users and protected characteristics.

Section 3 - Impact on Protected Characteristics (See guidance):

Please consider the possible impact on the different protected characteristics.

Current Service Users & Carers

	Positive	Negative	Neutral	Needs further investigation
Children/young people (0-18) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Carers (inc. young carers) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Thinking about your answers above, please explain in detail why this is the case.

Our proposal aims to ensure sure that those with the most complex level of need have the need met in the best way possible.

An individual would be defined as having complex needs and eligible to access a day service if they had needs attributable to one or more of the following features and only a day service could meet that need rather than some other means of support:

- 1) Require support to remain at home due to high levels of daily living, personal care support and health needs including dementia; failure to provide day service may lead to inability to remain at home.
- 2) Require support to enable reablement or maintenance of daily living skills to enable the person to remain in the family home.
- 3) Evidence to support the well-being of older people where there is a risk of loneliness, isolation and depression which could lead to significant mental ill-health.
- 4) Respite required for family and carers where there is a risk of the family situation breaking down.

We would continue to assess needs of service users on an individual basis through our Social Work assessment process and all service users that have been assessed as having eligible needs are entitled to have those needs met. Where the eligible need is a complex need then that need can be met by the provision of a day service. Where the eligible need is not a complex need then that need can be met by the provision of other services, which may include signposting and support to access community services.

Positive Impact:

- Older People (50+)
- Children/young people (0-18)
- Any other age group
- Carers
- Disability
- Race
- Religion or (non) belief
- Sex
- Sexual Orientation
- Gender Reassignment
- Marriage and civil partnership
- Pregnancy and maternity

The model has been developed to provide the necessary resource and capacity to deliver the best possible Day Services to those most in need across Swansea. The principle is that there is an increased level of complex needs, particularly with older people with dementia in Swansea. This demand, alongside other complex health issues, will only continue to grow in the years to come – realigning Day Services now will provide Swansea Council with the opportunity to upskill staff and create the necessary Day Service environment which will support the outcomes of service users and carers. This is a positive impact on current service users, their carers and future clients alike by ensuring the service is fit for purpose and sustainable at that level for future years.

In addition the proposed model will continue to provide Day Services provision to all those where it is the only means of support to meet their outcomes including older people with learning disabilities, mental health problems, sensory impairment or physical disabilities, regardless of protected characteristic.

For these clients services will be improved with more specialist support which will better meet their needs. All current and future clients with complex needs determined following a social work assessment will be offered a place in a day service going forward.

We do however recognise that although the proposed model is positive in principle for the above reasons there is potentially a perceived negative impact for those service users at the identified sites for potential closure as those current attendees with non-complex needs at the Hollies and Rose Cross Day Services may no longer be eligible for a day service. The detail surrounding this and the actions to minimise disruption are detailed in the specific impact assessment reports relating to Rose Cross and the Hollies Day Services. For all future potential clients who do not meet the service criteria for complex needs, information on existing alternatives will be shared and options for alternative ways that needs can be met will be discussed with the support of either the Common Access Point or a social worker as part of a social work assessment.

Neutral Impact:

- Asylum Seekers

- Welsh Language
- Poverty/Social Exclusion

Asylum seekers with no recourse to public funds would not be eligible for social care services, unless their human rights were breached.

There will be a neutral impact in relation to Welsh Language. As part of the wider Swansea Council objectives, Adult services will continue to develop and review its Welsh Language strategy focusing on the wider implementation of the 'active offer' as defined within 'More than just words' guidance. This is an ongoing area of development which will only improve but is unaffected by the proposed model of delivery. For the purposes of consultation information on language is held for service users and all correspondence and consultation materials will be available in Welsh Language format.

There is unlikely to be any impact on poverty and social exclusion as all those with eligible needs will receive a service/support, regardless of their financial means.

Needs Further investigation:

- Gypsies & Travellers
- Community Cohesion

It is recognised that not enough information is held in relation to the above areas listed to fully understand the impact of the revised model for Day Services. However the principles of the overall proposed model maintain the objectives of building a sustainable service which will be best able to meet the needs of those with most complex support requirements throughout Swansea. Improved information gathering on these areas across Social Services and partner organisations will assist with this learning.

In relation to gypsies and travellers we currently do not capture information on this in relation to our residents, but the numbers are likely to be low or negligible as gypsy and traveller communities would generally care for family members within their communities rather than access the formal care system, unless circumstances meant that they were unable to manage.

Community Cohesion has been recognised and evaluated as part of the criteria when assessing the options for Day service closures (detailed in separate Equality Impact Assessments).

This assessment included a wider discussion around Day Service's community links and active engagement of staff, premises and service users with the wider community via partner and voluntary organisations. There have been excellent examples of this work in practice with a number of day services which potentially have a positive impact on community cohesion. For example, St Johns Day Services has very strong links with the community and interactive projects with a wide cross section of local groups, statutory agencies and the local church. However, impact outside of service user engagement and impact on achievement of personal outcomes has not been formally expanded to fully understand wider implications and benefits. The Model and proposed reduction in Day Services may or may not have a positive impact on community cohesion though we have already made strides to ensure that community cohesion improved. This will be taken forward for further consideration as part of the wider implementation if approved.

The EIA will remain open until such time as the model is implemented, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these areas which isn't already being addressed.

Section 4 - Engagement:

Please consider all of your engagement activities here, e.g. participation, consultation,

What engagement has been undertaken to support your view? How did you ensure this was accessible to all?

A 12 week stakeholder consultation commenced on 30/04/18 and concluded 23/07/18.

Documents were provided in English and Welsh and were available in large print on request.

We identified the preferred language of the affected Services Users when communicating with them during the consultation.

Consultation information was provided via Corporate Communications to staff, and details were included on the intranet and internet, through the Media, Facebook and Twitter.

A Stakeholder Map was created with the service which identified stakeholders and has been used by the service to evidence engagement with the stakeholders.

Consultation with stakeholders was as follows:

- All Councillors were briefed regarding the proposals
- Ward Councillors - Cllr Child, the Cabinet Member, has spoken to or offered to speak to relevant Ward Councillors
- AM/MPs - letter issued to raise awareness of consultation
- Older Peoples Commissioner - letter issued to raise awareness of consultation
- Trade Unions – Initial meeting held with Management/HR and Unions. Meetings ongoing as necessary
- Library Managers briefed and provided copies of hardcopy questionnaires and displayed in all libraries
- Contact Centre Manager briefed to inform all relevant Contact Centre/Switchboard staff of consultation. Hardcopy questionnaires available in CC and Guildhall reception
- Email or letters sent to all identified relevant stakeholders raising awareness of the consultation and offering to attend any meetings if required
- Ty Conwy and Llys y Werin (commissioned day services) were made aware of consultation and hardcopy questionnaires provided
- Head of Adult Services met with Disability Liaison Group to raise awareness of consultation
- Swansea Council sheltered complexes – hardcopy questionnaires issued

Consultation with affected Services Users and their families/carers was as follows:

1. Bilingual Letters issued pre consultation and letters/questionnaires issued during consultation.
2. Consultation meetings took place at the sites earmarked for closure with residents and families. Meetings took place at the Hollies on 17th May and 11th June. Meetings took place at Rose cross on 2nd May, 16th May and 21st May. It was

involvement, co-productive approaches, etc.

recognised that not all attendees go to the service every day, so it was ensured that each attendee could attend at least one meeting. The details of who attended the meetings is included in the specific Equality Impact Assessment in relation to Parkway.

3. 1 to 1s arranged as necessary at various times.
4. Social Workers meeting with relevant affected Service Users to complete reviews to help determine if they had complex or non-complex needs to help inform their response to the consultation.
5. Other Council Day Care venues and Service Users made aware of consultation by management and Welsh/English hardcopy questionnaires provided

A separate staff and Trade Union 12 week consultation ran concurrently to the wider stakeholder consultation. The staff consultation commenced on 30/04/18 and ended on 23/07/18, this exceeded the legal requirement of a 30-day consultation. All staff affected were met with on 30th April, and 1 to 1 meetings between staff, management, HR and Unions (if they wanted support) were held with all affected staff during the consultation period.

What did your engagement activities tell you? What feedback have you received?

Info received	No. rec'd
Online Questionnaire	42
Hardcopy Questionnaires	50
Letters	0
Emails	0
TOTAL	92

92 respondents completed the questionnaire either online or on paper. The responses to both the paper and online questionnaire are amalgamated below.

(NB: numbers for each question differ as do the stats as some people chose not to answer all questions)

Regarding the overall proposed service model the following question was asked of all stakeholders:

Do you agree or disagree with the proposed changes to Day Services for Older People (focus on providing our services to those with complex care needs)? Please expand your answer

Strongly agree	Tend to agree	Tend to disagree	Strongly disagree
11	26	20	30

67 comments were received summarised into themes as below:

- Lack of logic of the rationale behind the proposed changes x 9
- Prevention/Isolation x 32
- Lack of viable alternatives x 7
- Don't just focus on complex needs because x 11
- Do focus on complex needs (agree with model).... X 14
- Do focus on complex needs, however (agree in part)..... x 8
- Create alternatives
- Betraying older people x 3

The next question asked was, Are there any other options you feel the Council should have looked at in relation to Day Services for Older People?

59 comments were received as follows:

- Support to make alternatives more realistic x 9
- Co-production x 6
- Day services should remain for those who need them X 19
- Change the way services are procured x 1
- Increase the budget x 2
- Joint working across health and other local authorities x 1
- Introduce charges to keep the services open x 3
- Save money from elsewhere in the budget x 1

Other themes and feedback across the model proposal and specific closure proposals included:

- Isolation will lead to decreased wellbeing x 8
- Local services x 8
- Resistance to change x 11
- Use alternative venues and volunteers x 2
- Take funding from elsewhere x 1
- Don't use condition of building as a criteria x 1
- Be clearer about how the remaining services will be equipped to meet the increase in complex needs x 1

Staff were encouraged to take part in the consultation, alongside service users and other stakeholders. Aside from responses counted in these overall totals there was no formal response received from staff or Trade Union representatives during the consultation process.

How have you changed your initiative as a result?

The key potential positive and adverse impacts of the overarching model for day services on people with protected characteristics particularly older people are set out below, alongside appropriate mitigation:

- There was a level of support for the model and agreement that the Council should focus on complex needs to ensure those most in need continued to receive services and that they were financially sustainable for the future. This had a positive impact on older people, people with disabilities and their carers.
- There was a suggestion that community-based options often provided a better solution for people than a traditional day service, which again led to a positive impact on older people, people with disabilities and their carers.
- There was a feeling that day services acted as preventative services which were often the only chance that older people had to socialise and taking this away would lead to further loneliness and isolation and have a detrimental impact on wellbeing. There was also a concern that there were a lack of viable alternatives. Services would still be provided for all those with complex needs and those with non-complex needs would be robustly supported to find suitable alternatives with the help of Local Area Coordinators in some areas of Swansea and the third sector. The Council recognises its duty to promote wellbeing, and the change to social work assessment would allow the Council to do this. It was therefore felt that the possible adverse impact on older people, people with disabilities and those isolated and socially excluded could be mitigated effectively.
- There was potential to create alternatives to day services through co-productive approaches to which older people could contribute, but support was needed including suitable transport. This approach could have a positive impact on older people and people with disabilities and the Council was committed to providing an appropriate level of support.
- There was a belief that the Council should not focus on complex needs only because it was felt that there were no alternatives and the proposed closures would impact negatively on the respite needs of carers. The Council was able to mitigate this, as the criteria used to assess complex needs took account of the needs of carers, and individuals would still be eligible to attend a day service if it was the only way to provide respite and there was a risk that family relationships could break down.
- Despite concerns over social isolation and the impact on carers, some respondents still stated that they were in support of the proposals having taken account of this potential negative impact which suggested that the proposals would have a positive impact on older people, people with disabilities and carers.
- There was a perception from a small number of respondents that older people had been betrayed having contributed all their lives through taxes only to be denied the support they need. This could be mitigated as all those with eligible social care needs would have their needs met.
- Concern that the proposals were about savings and in the future more people will not be able to cope and need support to meet other people. The Council has a duty to meet the eligible social care needs of vulnerable adults, so this could be effectively mitigated.

In addition to the above, the potential impact was minimised and adverse effect mitigated by taking a decision to not review those with non-complex needs in the remaining day services in line with the preferred future model. Those service users with non-complex needs would be allowed to remain in the service, until they naturally moved on. Only those attendees at Rose Cross and the Hollies Day Service would consequently be directly affected.

In general whilst there was not majority support for the model or the proposal to close the Hollies and Rose Cross Day Services, there was still a level of support for the model itself which was demonstrated in some of the comments put forward. No viable alternatives were put forward which would allow people to maintain independence and remain at home for longer in line with the principles of the Social Services and Wellbeing (Wales) Act at the same time as achieving the necessary savings required.

There is clearly a risk if the proposed model is approved, that there could be a negative impact on those individuals currently attending Rose Cross and the Hollies Day Services due to the need to move on. However, this risk can be mitigated as much as possible by ensuring robust social work assessment identifies those move on plans and all those affected are supported before, during and after any move. In addition, there could be a positive impact on the wellbeing of current attendees at Rose Cross and the Hollies Day Services as they may be happier elsewhere and build positive relationships as part of any move.

On balance therefore remodelling as per the proposals will allow the Council to effectively meet the requirements of both the Social Services and Wellbeing (Wales) Act and Well Being of Future Generations (Wales) Act by providing a model of care that is sustainable for the future, and effectively meets the needs of an ageing population with more complex needs. The Council is therefore confident that the recommendations put forward in this report are appropriate despite there not being majority support for the proposals.

There were no proposed changes to the model as a consequence of the consultation responses as the impact would be minimised by restricting any potential moves to those attending Rose Cross and the Hollies (a maximum of 43 attendees), and all remaining adverse effects could be effectively mitigated.

Any actions required (e.g. further engagement activities, mitigation to address any adverse impact, etc.):

A communication plan for the ongoing engagement with stakeholders throughout the process will continue – reaffirming the purpose of the model of delivery and latest updates around decisions. This communication plan will form a key part of the overall project plan should the proposals proceed.

Individual social work assessments will need to take place with all those affected at the Hollies and Rose Cross Day Services; full details of this will be included in the specific Equality Impact Assessment relating to these services.

A communication plan for the ongoing engagement with stakeholders throughout the process will continue – reaffirming the purpose of the model of delivery and latest updates around decisions.

Section 5 – Other impacts:

Please consider how the initiative might address the following issues - see the specific Section 5 Guidance

Foster good relations between different groups	Advance equality of opportunity between different groups
Elimination of discrimination, harassment and victimisation	Reduction of social exclusion and poverty

Please explain any possible impact on each of the above.

The service model for Adult Services aims to impact on all of the above.

In general terms The Social Services and Wellbeing (Wales) Act 2014 provides the legal framework for improving the wellbeing of people who need care and support, carers who need support and for transforming social services in Wales. It reforms social services law, changes the way people's needs are assessed and the way in which services are commissioned and delivered. People with care and support needs will have more of a say in the care and support they receive and there is an emphasis on supporting individuals, families and communities to promote their own health and wellbeing.

The Act introduces common assessment and eligibility arrangements, strengthens collaboration and the integration of services particularly between health and social care, and provides an increased focus on prevention and early help. Local Authorities and health boards come together in new statutory partnerships to drive integration, innovation and service change.

The Act also promotes the development of a range of help available within the community to reduce the need for formal, planned support. Local Authorities need to work with people to develop solutions to immediate problems and reduce the need for complex assessment and formal provision of care. Where people have complex needs, which require specialist and/or longer term support, local authorities will work with people and their families to ensure that high quality and cost effective services are available at the right time and in the right place.

Local Authorities and their partners need to make sure that people can easily get good quality information, advice and assistance, which supports them to help themselves and make the best use of resources that exist in their communities without the need for statutory support.

Local Authorities also need to ensure a shift from a deficit and dependency model to a model, which promotes wellbeing and independence focused on individual outcomes rather than service targets and objectives.

There will be stronger powers to keep people safe from abuse and neglect.

The Adult services model has interpreted this requirement and embedded into all service development, including the proposed model around Day Services.

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

“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 proposed new model for Day Services supports this vision and the overarching Swansea Council model for Adult Social Care agreed in 2016.

What work have you already done to improve any of the above?

Using this vision as our touchstone a number of positive steps have been taken to

address the 4 priorities listed. These include the development of integrated community Hubs which offer community based services staffed by Social Workers, Nursing staff, Occupational Therapists, Physiotherapists and other community support resources from both the Local Health Board and Local Authority – their purpose is to offer a consistency of approach regardless of the individual’s geographical location, staff member providing contact and services which are offered.

It also promotes a service around the individual ensuring that everyone who needs to be involved is available to offer a timely intervention if needed

This model also provides greater consistency in our approach to safeguarding – ensuring that the vulnerable have the most robust processes and professional framework in place to keep them safe from abuse.

It has also enabled us to develop alternative models to traditionally managed care like Day Services – these include the Local Area Co-ordinators who work within the community and build upon the strengths that community can bring in assisting with achieving an individual’s personal outcomes. Our close working with the 3rd sector explores these options further and can help with the future development of other forms of support outside of traditional services available to the individual and the community around them. All of which facilitating the person’s ability to remain as independent as possible within their own communities for longer

The remodelling of Day Services alongside the other commissioning reviews of services allows us to refocus our limited resources into the most complex of needs and shift investment into the more sustainable and long term investment of building on those assets which already exist within the community.

Is the initiative likely to impact on Community Cohesion? Please provide details.

The offer of alternative community based support to those potentially no longer eligible for Day Services will assist with the maximisation of existing schemes and development/potential investment in expansion of these available community based services. This forms part of the wider Prevention Strategy and overall service model for Adult Services in Swansea. It is also a corporate priority across Swansea Council.

How does the initiative support Welsh speakers and encourage use of Welsh?

Across all adult services the ‘Active offer’ is in place - at its heart is the idea that being able to use your own language must be a core component of care – not an optional extra.

In an aim to achieve this Adult Services alongside the whole council are working towards mainstreaming welsh language services as an integral part of service planning and delivery. This continues to be a priority regardless of outcomes tied to this proposal.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).

N/A

Section 6 - United Nations Convention on the Rights of the Child (UNCRC):

Many initiatives have an indirect impact on children and you need to consider whether the impact is positive or negative in relation to both children’s rights and their best interests. Please read the UNCRC guidance before completing this section.

Will the initiative have any impact (direct or indirect) on children and young people

(think about this age group holistically e.g. disabled children, those living in poverty or from BME communities)? If not, please briefly explain your answer here and proceed to Section 7.

All initiatives must be designed / planned in the best interests of children and young people.

Best interests of the child (Article 3): The best interests of children must be the primary concern in making decisions that may affect them. All adults should do what is best for children. When adults make decisions, they should think about how their decisions will affect children. This particularly applies to budget, policy and law makers.

Please explain how you meet this requirement:

We recognise that we need to ensure that all carers (regardless of age) are supported. For this reason, we have joint commissioning arrangements for Adult Services and Child & Family Services for those which support young carers. This proposal will ensure much needed respite for those carers supporting individuals with complex needs will continue to be provided.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).

Impact on this group will continue to be monitored if the proposal is approved. Communication and engagement with alternative provisions for non-complex clients will be managed as part of transition if the proposal is approved.

Section 7 - Monitoring arrangements:

Please explain the monitoring arrangements for this initiative:

Monitoring arrangements:

EIAs to be continually updated in line with decision making and further consultation

Corporate communications team and Access to Services team will continue to be engaged in process with key updates provided as and when possible

Social work assessments for attendees at the Hollies and Rose Cross Day Services to manage impact of change (if approved)

Ongoing project monitoring of overarching project plan to ensure project is delivered in line with objective and any adverse impacts are mitigated.

Implementation of model and affected processes to be mapped and planned appropriately (if approved)

Actions:

Ongoing update of EIA.

(Dependent on decision) commencement of social work assessments for existing service users

(Dependent on decision) finalisation of revised project plan.

(Dependent on decision) implementation of proposed model and associated day service closure.

(Dependent on decision) monitoring of outcomes and impact on those no longer attending day services to be developed and produced

Section 8 – Outcomes:

Having completed sections 1-5, please indicate which of the outcomes listed below applies to your initiative (refer to the guidance for further information on this section).

- | | |
|---|-------------------------------------|
| Outcome 1: Continue the initiative – no concern | <input type="checkbox"/> |
| Outcome 2: Adjust the initiative – low level of concern | <input checked="" type="checkbox"/> |
| Outcome 3: Justify the initiative – moderate level of concern | <input type="checkbox"/> |
| Outcome 4: Stop and refer the initiative – high level of concern. | <input type="checkbox"/> |

For outcome 3, please provide the justification below:

For outcome 4, detail the next steps / areas of concern below and refer to your Head of Service / Director for further advice:

Section 9 - Publication arrangements:

On completion, please follow this 3-step procedure:

1. Send this EIA report and action plan to the Access to Services Team for feedback and approval – accesstoservices@swansea.gov.uk
2. Make any necessary amendments/additions.
3. Provide the final version of this report to the team for publication, including email approval of the EIA from your Head of Service. The EIA will be published on the Council's website - this is a legal requirement.

EIA Action Plan:

Objective - What are we going to do and why?	Who will be responsible for seeing it is done?	When will it be done by?	Outcome - How will we know we have achieved our objective?	Progress
Inform Rose Cross and Hollies attendees and their families, and staff of outcome of Cabinet Decision	Head of Service	Post Cabinet on 20/09/18	Letters issued	
Inform key stakeholders of outcome	Head of Service	Post Cabinet on 20/09/18	Letters/emails issued	
Inform other Council day service users	Head of Service	Post Cabinet on 20/09/18	Letters issued	
Revise overall project plan (if approved)	Project Management Support	Post Cabinet on 20/09/18	Project plan completed	
Stop all new referrals for day services for non-complex needs (if approved)	Principal Officer for Service Provision	Post Cabinet on 20/09/18	No new referrals	
Commencement of Social Work Assessments to manage impact of change (if approved)	Principal Officer for Service Provision	Post Cabinet on 20/09/18	Monitoring that all assessments are taken	
Support before, during and after moves from Day Services (if approved)	Allocated Social Workers	Post Cabinet on 20/09/18	Ongoing monitoring by social workers	

Closure of the Hollies and Rose Cross Day Services (if approved)	Head of Service	Early 2019	Hollies and Rose Cross Day Services close	
Remodelling of remaining services in line with preferred model	Principal Officer for Service Provision	Early 2019	Revised model to deliver complex needs only	
Ongoing revision to EIA	Project Management Support	Ongoing	Evidence of EIA being updated.	

*** Please remember to be 'SMART' when completing your action plan (Specific, Measurable, Attainable, Relevant, Timely).**

Appendix 4: Equality Impact Assessment (EIA) Report

This form should be completed for each Equality Impact Assessment on a new or existing function, a reduction or closure of service, any policy, procedure, strategy, plan or project which has been screened and found relevant to equality.

Please refer to the 'EIA Report Form Guidance' while completing this form. If you need further support please contact acesstoservices@swansea.gov.uk.

Where do you work?
Service Area: Adult Services
Directorate: People

(a) This EIA is being completed for a:

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

(b) Please name and describe here: Proposed Closure of The Hollies Day Service Building

Following the commissioning review of Day Services for older people (2016) the preferred option is now progressing for decision – in summary the proposal is to shape the internal provision to focus on complex care and no longer deliver care for non-complex needs. The in-house service will be developed with reduced capacity refocussing day centres on higher dependency, complex/dementia care.

By adopting the preferred options and transforming in-house Day Services so that they focus on higher dependency, and complex/dementia care, the Council will be able to provide better care for people with complex needs.

Refocussing internal provision in this way will hopefully allow the Council to provide better services and care for its citizens.

By concentrating its resources on these specialisms, the Council will ultimately provide a better service for residents in Swansea, but will need less internal Day Services places to provide these specialisms.

It is therefore proposed that 2 day services for older people would close. Having undertaken an evaluation exercise to determine the relative suitability of each day service to deliver the preferred future model, it has been determined that the Hollies and Rose Cross Day Services would close as they are least fit for purpose to deliver the future model.

This EIA focuses on the closure of the Hollies Day Service, which would happen if the proposed model is agreed by Cabinet.

(c) It was initially screened for relevance to Equality and Diversity on: December 2017 and March 2018. This EIA has been continually updated alongside the consultation process. The report outlines the final impact taking into account the outcomes of the consultation.

(d) It was found to be relevant to...

Children/young people (0-18)	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Older people (50+).....	<input checked="" type="checkbox"/>	Gender reassignment	<input type="checkbox"/>
Any other age group	<input checked="" type="checkbox"/>	Welsh language	<input checked="" type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	Poverty/social exclusion.....	<input checked="" type="checkbox"/>
Race (including refugees).....	<input checked="" type="checkbox"/>	Carers (including young carers).....	<input checked="" type="checkbox"/>

Asylum seekers
Gypsies & Travellers.....
Religion or (non-)belief

Community cohesion
Marriage & civil partnership
Pregnancy and maternity

(e) Lead Officer

Name: Cathy Murray

Job title: Principal Officer, Service Provision

Date: 20th August 2018

(f) Approved by Head of Service

Name: Alex Williams

Date: 20th August 2018

Section 1 – Aims (See guidance):

Briefly describe the aims of the initiative:

What are the aims?

In line with the principles of the Social Services and Wellbeing (Wales) Act, the agreed model for Adult services in 2018 has the following aims at its core:

- Better Prevention
- Better Early Help
- A new approach to assessment
- Improved cost effectiveness
- Working together better
- Keeping people safe

It was agreed through an options appraisal and consultation that in order to best meet these strategic priorities a remodelling of our internal and commissioned services was needed with a focus on complex needs. The focus of the service would be about aiming to achieve better outcomes and greater independence for both service users and carers at its core.

In order to meet the aims above our proposed model for Day Services for Older people will refocus internal and commissioned Day Service provision on complex care and no longer deliver care for non-complex needs.

Shaping the service in this way supports the key principles of prevention and early intervention by ensuring those with complex needs are supported to remain at home for longer as well as provide much needed respite for carers.

It will allow Swansea Council to provide and commission a specialist service for those with complex needs - ultimately aiming to provide better care for Swansea residents. We will be able to upskill staff to concentrate on providing this specialist service in a way that we are currently unable to do as a result of needing to cater for people with a range of complex and non-complex needs.

By refocussing the services in this way, less capacity will be needed and therefore, again subject to consultation, it is proposed that the Hollies and Rose Cross Day Service buildings would close, although provision will be maintained on the remaining day service sites.

The proposed model would also result in no new referrals to the other internal and commissioned Day Services – Norton Lodge, St Johns and Ty Waunarlwydd or commissioned day services for individuals with non-complex needs.

As a result, if approved by Cabinet, following public consultation this would result in:

- The Hollies Day Service closing.
- Alternative uses for the Hollies Day Service would be looked at and the potential to use the building to complement the co-located home would be explored.
- Current Service Users with complex needs in The Hollies Day Service would be offered a place in the nearest accessible day service to them. For The Hollies most would attend Llys Y Werin in Gorseinon, an externally commissioned service which is approximately 3 miles from the Hollies.
- Current Service Users of The Hollies Day Service who have non-complex needs would cease using our internal or commissioned Day Services. An individual move on plan would be determined for each service user affected to ensure any needs/outcomes were met.

- In line with the model, there would be no further referrals to the other internal Day Services – Norton Lodge, St Johns and Ty Waunarlwydd or commissioned day services for individuals with non-complex needs.

Who has responsibility?

Alex Williams (Head of Adult Services)

Who are the stakeholders?

- Service Users
- ABMU Health Board representatives (including Older People Mental Health and Therapies)
- Carers / Families
- Cabinet and Elected Members (including political and opposition majority, representing areas across Swansea)
- Provider Staff (including, Managers, Care Officers and Drivers)
- Future Day Care Service Users representatives (Network 50+, Age Cymru, Alzheimer's Society, SCVS Swansea Dementia Friendly Forum, Advocacy Officer and Minority Ethnic Elders - SBREC)
- Integrated Community Services staff (Social Work Team Leaders, Social Workers and Care Management Officers)
- Officers from Social Services (including key Budget Holders, Commissioning, Safeguarding, Direct Payments, Local Area Coordinator).
- Officers from Corporate departments (accountancy, human resources, legal, commercial & commissioning unit, health & safety, housing, scrutiny and property)
- Union representation (GMB, UCATT and Unison)
- Older People's Commissioner
- Council Sheltered Housing complexes
- Other organisations e.g SCVS, Carers centre, Age concern, Disability Liason Group, Contracted independent providers , Swansea Dementia Forum , 50+ Network , Ageing Well Steering group

Section 2 - Information about Service Users (See guidance):

Please tick which areas you have information on, in terms of service users:

Children/young people (0-18)	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Older people (50+).....	<input checked="" type="checkbox"/>	Gender reassignment	<input type="checkbox"/>
Any other age group	<input checked="" type="checkbox"/>	Welsh language	<input checked="" type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	Poverty/social exclusion.....	<input type="checkbox"/>
Race (including refugees).....	<input checked="" type="checkbox"/>	Carers (including young carers).....	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	Community cohesion	<input type="checkbox"/>
Gypsies & Travellers.....	<input type="checkbox"/>	Marriage & civil partnership	<input type="checkbox"/>
Religion or (non-)belief	<input checked="" type="checkbox"/>	Pregnancy and maternity	<input type="checkbox"/>
Sex.....	<input checked="" type="checkbox"/>		

Information about Staff at The Hollies Day service (See guidance):

Please tick which areas you have information on, in terms of service users:

Children/young people (0-18)	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Older people (50+).....	<input checked="" type="checkbox"/>	Gender reassignment	<input type="checkbox"/>
Any other age group	<input checked="" type="checkbox"/>	Welsh language	<input checked="" type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	Poverty/social exclusion.....	<input type="checkbox"/>
Race (including refugees).....	<input type="checkbox"/>	Carers (including young carers).....	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	Community cohesion	<input type="checkbox"/>
Gypsies & Travellers.....	<input type="checkbox"/>	Marriage & civil partnership	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	Pregnancy and maternity	<input type="checkbox"/>
Sex.....	<input checked="" type="checkbox"/>		

Please provide a snapshot of the information you hold in relation to the protected groups above:

Information held on Service Users:

Within Adult services we hold client records for all service users on the PARIS client management system which provides greater detail around all of the protected groups. Unfortunately these records do not capture all of the service user information as a mandatory requirement nor can it easily disaggregate records to specific services i.e we cannot pull information on clients based on the services they use.

Therefore, in-house Day Services staff capture information on their clients manually on site to ensure that the information is as accurate as possible. This information is not as detailed as we would like and as highlighted above does not cover all protected characteristics.

As of August 2018, there were 9 attendees at the Hollies Day Service.

The information that we held on these attendees was as follows:

Sex	
Female	7
Male	2

Ethnicity	
White	9

Age	
65-74	0
75-84	4
85+	5

Religion/Belief	
Not stated	7
CofE	2

Marital Status	
Married	2
Single	1
Widowed	6

Disability

As of August 2018, there were 9 Services Users at The Hollies Day Service. All Service Users have since been assessed as having complex needs.

An individual will be defined as having complex needs and eligible to access a day service if they have needs attributable to one or more of the following features and only a day service can meet that need rather than some other means of support:

- Require support to remain at home due to high levels of daily living, personal care support and health needs including dementia; failure to provide day service may lead to inability to remain at home.
- Require support to enable reablement or maintenance of daily living skills to enable the person to remain in the family home.
- Evidence to support the well-being of older people where there is a risk of loneliness, isolation and depression which could lead to significant mental ill-health.
- Respite required for family and carers where there is a risk of the family situation breaking down.

Information held on Staff at the Hollies Day Service:

There are 5 day service staff, but all staff hold dual roles with the co-located residential home. We hold the following information on the staff as follows (Null indicates where the information is not recorded):

AGE	GENDER	ANY DISABILITIES	WELSH SPEAKING	MARITAL STATUS	SEXUAL ORIENTATION	NATIONALITY	RELIGION	CARER
42	Female	No	No	Married	Null	Welsh	Null	Null
31	Female	No	No	Single	Null	British	Null	Null
52	Female	No	No	Married	Heterosexual/straight	Irish	Christian/Catholic	

55	Female	Yes	No	Married	Null	Welsh	Null	Null
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Whilst there were 5 posts affected, one post was vacant.

Any actions required, e.g. to fill information gaps? –

As described manual records need to be maintained in relation to service user details on site at the Hollies Day Service.

Swansea Council alongside regional partners including the Local Health Board are progressing with the implementation of the Welsh Community Care Information System – this will hold client records for all local authority and Health services and replace the current PARIS client management system used within Adult Social Services. The new system will be developed to better capture and easily extract information around our service users and protected characteristics.

Staff are encouraged to provide their profile details on our IT system, however this is not mandatory. We will continue to publicise and encourage all our staff to complete.

Section 3 - Impact on Protected Characteristics (See guidance):
Please consider the possible impact on the different protected characteristics.

Current & future Service Users & Carers

	Positive	Negative	Neutral	Needs further investigation
Children/young people (0-18) →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Older people (50+) →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Disability →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Asylum seekers →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers) →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Thinking about your answers above, please explain in detail why this is the case.

Negative impact

- Older people
- Disability
- Carers (inc. young carers).

We recognise that the proposed closure of the Hollies Day Service specifically cannot be viewed as having a positive impact on current residents (many of whom have a disability) and carers. With this in mind of paramount importance is how move on arrangements for residents is managed to ensure all current residents with complex experience minimal impact to their wellbeing.

All clients currently using the Hollies Day Service have been assessed as having complex needs, therefore they will be offered an alternative location to continue to receive this provision if closure of The Hollies Day Service is agreed subject to any change of need. All service users that have been assessed as having eligible needs are entitled to have those needs met. Where the eligible need is a complex need then that need can be met by the provision of a day service. Where the eligible need is not a complex need then that need can be met by the provision of other services, which may include signposting and support to access community services.

These existing service users will be offered an alternative site to receive a Day Service. This will be at the nearest accessible day service which, it is anticipated, would result in the majority attending Llŷs Y Werin in Gorseinon, an externally commissioned service which is approximately 3 miles from the Hollies. Social Services transport will continue to be provided as it is currently. All service users will be fully supported throughout any move to an alternative day service.

We have demonstrated in Section 4 of this EIA how we have mitigated against the negative impact on these groups.

Neutral Impact:

- Race
- Asylum seekers
- Religion or (non) belief
- Sex
- Sexual Orientation
- Gender Reassignment
- Welsh Language
- Marriage and civil partnership
- Pregnancy and maternity
- Poverty/Social Exclusion

Although we have limited information on the individual protected characteristics of attendees, all eligible needs of current attendees at the Hollies will be met, regardless of protected characteristic. All attendees will be supported to move on in line with their needs. There will be a disproportionate impact on females, as the majority of the attendees are female; however again all needs will be met regardless of gender.

The current provision of Day Services will remain unchanged in relation to these areas. Impact will only be attributable to assessment of whether the individual has complex or non-complex needs. As the proposed model describes we will continue to provide services to those with complex health needs and those older people with learning disabilities, mental health problems, sensory impairment or physical disabilities where these services are the

only means of support to meet their outcomes, regardless of protected characteristics.

There will be a neutral impact on poverty and social exclusion as all those eligible for a service will still receive them, regardless of their financial circumstances.

Needs further investigation:

- Children/young people (0-18)
- Any other age group
- Gypsies & Travellers
- Community Cohesion

It is recognised that not enough information is held in relation to the areas listed above to fully understand the impact of the proposals relating to the Hollies Day Service. However, the impact on gypsies and travellers is likely to be limited, but we don't know for certain whether any resident has come from a gypsy and traveller community. The impact on children, young people and any other age group is also likely to be limited due to the age range of those that attend the Hollies, but there will be an impact on carers of other ages.

It is unclear how the proposed closure will impact on community cohesion, but the day service itself does have limited links with the local community.

These areas will continue to be monitored as the EIA will remain open until such time as the Hollies is closed, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these areas as all attendees are known to us and any adverse impacts can be mitigated.

- **Staff Impacts**

It is anticipated that if the closure of the Hollies Day Service is agreed there will be no impact on the staff who as part of their wider role in the residential care setting as Domestic Assistants also provide support in escorting service users to and from the day service. Instead it is proposed, subject approval of a Delegated Powers Report I that these four staff receive revised Job Titles to become full time (or appropriate hours as already contracted) Domestic Assistants within the residential care home setting. Mitigation in relation to staff is included within Section 4 of this EIA.

Section 4 - Engagement:

Please consider all of your engagement activities here, e.g. participation, consultation, involvement, co-productive approaches, etc.

What engagement has been undertaken to support your view? How did you ensure this was accessible to all?

What engagement has been undertaken to support your view? How did you ensure this was accessible to all?

A 12 week stakeholder consultation commenced on 30/04/18 and concluded 23/07/18.

Documents were provided in English and Welsh and were available in large print on request. We identified the preferred language of the affected Services Users when communicating with them during the consultation.

Consultation information was provided via Corporate Communications to staff, and details were included on the intranet and internet, through the Media, Facebook and Twitter.

A Stakeholder Map was created with the service which identified stakeholders and has been used by the service to evidence engagement with the stakeholders.

Consultation with stakeholders was as follows:

- All Councillors were briefed regarding the proposals
- Ward Councillors - Cllr Child, the Cabinet Member, has spoken to or offered to speak to relevant Ward Councillors
- AM/MPs - letter issued to raise awareness of consultation
- Older Peoples Commissioner - letter issued to raise awareness of consultation
- Trade Unions – Initial meeting held with Management/HR and Unions. Meetings ongoing as necessary
- Library Managers briefed and provided copies of hardcopy questionnaires and displayed in all libraries
- Contact Centre Manager briefed to inform all relevant Contact Centre/Switchboard staff of consultation. Hardcopy questionnaires available in CC and Guildhall reception
- Email or letters sent to all identified relevant stakeholders raising awareness of the consultation and offering to attend any meetings if required
- Ty Conwy and Llys y Werin (commissioned day services) were made aware of consultation and hardcopy questionnaires provided
- Head of Adult Services met with Disability Liaison Group to raise awareness of consultation
- Swansea Council sheltered complexes – hardcopy questionnaires issued

Consultation with affected Services Users and their families/carers was as follows:

1. Bilingual Letters issued pre consultation and letters/questionnaires issued during consultation.

2. Consultation meetings took place at the sites earmarked for closure with residents and families. Meetings took place at the Hollies on 17th May and 11th June. It was recognised that not all attendees go to the service every day, so it was ensured that each attendee could attend at least one meeting. All attendees attended at least one meeting. One family member also attended both meetings and 2 community councillors were present at one meeting.
3. 1 to 1s arranged as necessary at various times.
4. Social Workers meeting with relevant affected Service Users to complete reviews to help determine if they had complex or non-complex needs to help inform their response to the consultation.
5. Other Council Day Care venues and Service Users made aware of consultation by management and Welsh/English hardcopy questionnaires provided.

A separate staff and Trade Union 12 week consultation ran concurrently to the wider stakeholder consultation. The staff consultation commenced on 30/04/18 and ended on 23/07/18, this exceeded the legal requirement of a 30-day consultation. All staff affected were met with on 30th April, and 1 to 1 meetings between staff, management, HR and Unions (if they wanted support) were held with all affected staff during the consultation period.

What did your engagement activities tell you? What feedback have you received?

Info received	No. rec'd
Online Questionnaire	42
Hardcopy Questionnaires	50
Letters	0
Emails	0
TOTAL	92

92 respondents completed the questionnaire either online or on paper. The responses to both the paper and online questionnaire are amalgamated below.

(NB: numbers for each question differ as do the stats as some people chose not to answer all questions)

Regarding the overall proposed service model the following question was asked of all stakeholders:

Do you agree or disagree with the proposed changes to Day Services for Older People (focus on providing our services to those with complex care needs)? Please expand your answer

Strongly agree	Tend to agree	Tend to disagree	Strongly disagree
11	26	20	30

67 comments were received summarised into themes as below:

- Lack of logic of the rationale behind the proposed changes x 9
- Prevention/Isolation x 32
- Lack of viable alternatives x 7
- Don't just focus on complex needs because x 11
- Do focus on complex needs (agree with model).... X 14
- Do focus on complex needs, however (agree in part)..... x 8
- Create alternatives
- Betraying older people x 3

Respondents were also asked, **Are there any other options you feel the Council should have looked at in relation to Day Services for Older People?**

59 comments were received which can be themed as follows:

- Support to make alternatives more realistic x 9
- Co-production x 6
- Day services should remain for those who need them X 19
- Change the way services are procured x 1
- Increase the budget x 2
- Joint working across health and other local authorities x 1
- Introduce charges to keep the services open x 3
- Save money from elsewhere in the budget x 1

Respondents were then asked, **Considering the above, do you agree or disagree with the following?**

	Strongly Agree	Tend to agree	Tend to disagree	Strongly disagree
The criteria used to access each day service were the right ones	11	24	16	20
The proposal to close The Hollies Day Service	12	18	15	27

Finally respondents were asked, **If you disagree with either of the above please explain why and give any alternatives that you would like the Council to consider**

56 comments were received which are themed as follows:

- Isolation will lead to decreased wellbeing x 8
- Local services x 8
- Lack of Logic
- Resistance to change x 11
- Use alternative venues and volunteers x 2
- Take funding from elsewhere x 1
- Don't use condition of building as a criteria x 1
- Be clearer about how the remaining services will be equipped to meet the increase in complex needs x 1

Face to face meetings at The Hollies recorded the following feedback:

DATE OF MEETING	POINTS RAISED
THEME 1 – FRIENDSHIPS & SOCIAL CONTACT	
11.6.18	Family members were concerned that people would be split up and lose friendships.
11.6.18	It was felt the proposals were about savings and in the future more people will not be able to cope and need support to meet other people.
THEME 2 – DAY SERVICE USE	
17.5.18	It was also queried why Hollies would close when we are paying Lllys Y Werin.
17.5.18	Family member raised another concern that the service is under promoted and that is why there are low numbers and staff are told to do this (social workers).
11.6.18	A family member felt that the day centres are under promoted by social workers and why not provide 5 days?
11.6.18	One family member proposed that day services could be open 5 days a week and should be advertised and there would be take-up
11.6.18	It was challenged that the decision discriminated against the Hollies as the service is further away from facilities and an easy target. In response, the key factor was the under-utilisation of the service and was a fair comparison.
11.6.18	It was questioned why referrals to the service had been stopped
11.6.18	A family member thought that anyone who wanted to attend a day service should be able to
THEME 3 - ALTERNATIVES	
11.6.18	The family member queried what else was around this area and how people would get there without transport.
11.6.18	Family member asked where people would go if the service closed
THEME 4 - FINANCIAL	
17.5.18	The issue of the Kingsway was raised and the waste of money

	when it could have been spent elsewhere.
11.6.18	The issue of money spent on The Kingsway, Castle Gardens and the Mansion House was raised
THEME 5 - LOCATION	
11.6.18	Concern over travel time was also raised
17.5.18	Family member pointed out that if service users are moved to Llys Y Werin in Gorseinon, the journey will be longer
11.6.18	Another point raised was that Pontarddulais and Gorseinon have their own culture.
THEME 6 - NEEDS	
17.5.18	Family members raised concerns that if their relative is moved they will be confused and it will be detrimental to their needs
11.6.18	It was raised that the Council do not realise that the people are in their 80s and 90s
11.6.18	A family member asked if an Equality Impact Assessment has been completed
11.6.18	Information on 750 houses being built in the area was discussed, and a point raised that there may be more old people living in the area.
11.6.18	Concern over needing support in which case likely to be complex

How have you changed your initiative as a result?

The key potential positive and adverse impacts of the proposed of the Hollies on people with protected characteristics particularly older people are set out below, alongside appropriate mitigation:

- Comments were made by the attendees and family members at the Hollies that people would be split up and lose friendships. Those with complex needs would be supported to move to an alternative day service together in the event that the service closed. For those with non-complex needs every effort would be made to ensure existing relationships could be maintained. It was therefore felt that the impact on isolation and social exclusion could be mitigated.
- Comments were made by attendees and family members at the Hollies that Pontarddulais has its own unique culture, and the culture would be different at an alternative day service. There was therefore a potential adverse impact on community cohesion. However, it was noted that several residents at the Hollies did not live in the Pontarddulais area and if relationships could be maintained, the impact on community cohesion could be mitigated.

Overall, there clearly is a risk of a negative impact on attendees at the Hollies Day Service due to the need to move on if it were to close. However, the above outlines how wherever possible the Council will seek to mitigate those risks and in some cases a move could be positive as they may find they are happier in any new environment with the ability to develop new relationships and have a positive impact on their wellbeing. Any move will need to be carefully planned following a thorough social work assessment and each individual supported during and following any actual move. The Council has prior experience of doing this from when the Beeches Day Service was amalgamated with Abergelli Day Service. This approach was successful and no adverse ongoing effects were experienced by former attendees at the Beeches.

Service from the beginning of the consultation, therefore minimising the number of people potentially affected if the proposals went ahead. At the time of writing the report there were 9 attendees at the Hollies. This would mean a maximum of 9 people would be affected if the proposals were to go ahead.

In addition, during the consultation period, all those affected had a social work assessment to determine whether or not they had complex needs to help inform their response to the consultation. Of the 9 individuals who were still attending the Hollies at the end of the consultation, all had been defined as having complex needs so in all likelihood would be offered an alternative day service as long as needs did not change.

There is clearly also a potential negative impact on those staff affected, but it was determined during the consultation that the 5 staff identified in the Hollies as at risk were no longer at risk. This was due to their dual employment in the co-located Residential Home.

In general whilst there was not majority support for the model or the proposal to close the Hollies, there was still a level of support for the model itself which was demonstrated in some of the comments put forward. No viable alternatives were put forward which would allow people to maintain independence and remain at home for longer in line with the principles of the Social Services and Wellbeing (Wales) Act at the same time as achieving the necessary savings required.

On balance therefore remodelling as per the proposals will allow the Council to effectively meet the requirements of both the Social Services and Wellbeing (Wales) Act and Well Being of Future Generations (Wales) Act by providing a model of care that is sustainable for the future, and effectively meets the needs of an ageing population with more complex needs. The Council is therefore confident that the recommendations put forward in this report are appropriate despite there not being majority support for the proposals.

There were no proposed changes to the proposal to close the Hollies in light of the consultation responses.

Any actions required (e.g. further engagement activities, mitigation to address any adverse impact, etc.):

A communication plan for the ongoing engagement with stakeholders throughout the process will continue – reaffirming the purpose of the model of delivery and latest updates around decisions. This communication plan will form a key part of the overall project plan should the proposals proceed.

Individual social work assessments will need to take place with all those affected at the Hollies Day Service.

A communication plan for the ongoing engagement with stakeholders throughout the process will continue – reaffirming the purpose of the model of delivery and latest updates around decisions.

Section 5 – Other impacts:

Please consider how the initiative might address the following issues - see the specific Section 5 Guidance

Foster good relations between different groups	Advance equality of opportunity between different groups
Elimination of discrimination, harassment and victimisation	Reduction of social exclusion and poverty

Please explain any possible impact on each of the above.

The service model for Adult Services aims to impact on all of the above.

In general terms The Social Services and Wellbeing (Wales) Act 2014 provides the legal framework for improving the wellbeing of people who need care and support, carers who need support and for transforming social services in Wales. It reforms social services law, changes the way people's needs are assessed and the way in which services are commissioned and delivered. People with care and support needs will have more of a say in the care and support they receive and there is an emphasis on supporting individuals, families and communities to promote their own health and wellbeing.

The Act introduces common assessment and eligibility arrangements, strengthens collaboration and the integration of services particularly between health and social care, and provides an increased focus on prevention and early help. Local Authorities and health boards come together in new statutory partnerships to drive integration, innovation and service change.

The Act also promotes the development of a range of help available within the community to reduce the need for formal, planned support. Local Authorities need to work with people to develop solutions to immediate problems and reduce the need for complex assessment and formal provision of care. Where people have complex needs, which require specialist and/or longer term support, local authorities will work with people and their families to ensure that high quality and cost effective services are available at the right time and in the right place.

Local Authorities and their partners need to make sure that people can easily get good quality information, advice and assistance, which supports them to help themselves and make the best use of resources that exist in their communities without the need for statutory support.

Local Authorities also need to ensure a shift from a deficit and dependency model to a model, which promotes wellbeing and independence focused on individual outcomes rather than service targets and objectives.

There will be stronger powers to keep people safe from abuse and neglect.

The Adult services model has interpreted this requirement and embedded into all service development, including the proposed model around Day Services.

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

“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 proposed new model for Day Services supports this vision and the overarching Swansea Council model for Adult Social Care agreed in 2016.

What work have you already done to improve any of the above?

Using this vision as our touchstone a number of positive steps have been taken to address the 4 priorities listed. These include the development of integrated community Hubs which

offer community based services staffed by Social Workers, Nursing staff, Occupational Therapists, Physiotherapists and other community support resources from both the Local Health Board and Local Authority – their purpose is to offer a consistency of approach regardless of the individual’s geographical location, staff member providing contact and services which are offered.

It also promotes a service around the individual ensuring that everyone who needs to be involved is available to offer a timely intervention if needed

This model also provides greater consistency in our approach to safeguarding – ensuring that the vulnerable have the most robust processes and professional framework in place to keep them safe from abuse.

It has also enabled us to develop alternative models to traditionally managed care like Day Services – these include the Local Area Co-ordinators who work within the community and build upon the strengths that community can bring in assisting with achieving an individual’s personal outcomes. Our close working with the 3rd sector explores these options further and can help with the future development of other forms of support outside of traditional services available to the individual and the community around them. All of which facilitating the person’s ability to remain as independent as possible within their own communities for longer

The remodelling of Day Services alongside the other commissioning reviews of services allows us to refocus our limited resources into the most complex of needs and shift investment into the more sustainable and long term investment of building on those assets which already exist within the community.

Is the initiative likely to impact on Community Cohesion? Please provide details.

The offer of alternative community based support to those potentially no longer eligible for Day Services will assist with the maximisation of existing schemes and development/potential investment in expansion of these available community based services. This forms part of the wider Prevention Strategy and overall service model for Adult Services in Swansea. It is also a corporate priority across Swansea Council.

How does the initiative support Welsh speakers and encourage use of Welsh?

Across all adult services the ‘Active offer’ is in place - at its heart is the idea that being able to use your own language must be a core component of care – not an optional extra.

In an aim to achieve this Adult Services alongside the whole council are working towards mainstreaming welsh language services as an integral part of service planning and delivery. This continues to be a priority regardless of outcomes tied to this proposal.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).

N/A

Section 6 - United Nations Convention on the Rights of the Child (UNCRC):

Many initiatives have an indirect impact on children and you need to consider whether the impact is positive or negative in relation to both children’s rights and their best interests. Please read the UNCRC guidance before completing this section.

Will the initiative have any impact (direct or indirect) on children and young people (think about this age group holistically e.g. disabled children, those living in

poverty or from BME communities)? If not, please briefly explain your answer here and proceed to Section 7.

All initiatives must be designed / planned in the best interests of children and young people.

Best interests of the child (Article 3): The best interests of children must be the primary concern in making decisions that may affect them. All adults should do what is best for children. When adults make decisions, they should think about how their decisions will affect children. This particularly applies to budget, policy and law makers.

Please explain how you meet this requirement:

Yes – we recognise that we need to ensure that all carers (regardless of age) are supported. For this reason, we have joint commissioning arrangements for Adult Services and Child and Family Services for services that support carers.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).

We recognise that we need to ensure that all carers (regardless of age) are supported. For this reason, we have joint commissioning arrangements for Adult Services and Child & Family Services for those which support young carers. This proposal will ensure much needed respite for those carers supporting individuals with complex needs will continue to be provided.

Impact on this group will continue to be monitored if the proposal is approved. Communication and engagement with alternative provisions for non-complex clients will be managed as part of transition if the proposal is approved.

Section 7 - Monitoring arrangements:

Please explain the monitoring arrangements for this initiative:

Monitoring arrangements:

EIAs to be continually updated in line with decision making and further consultation

Corporate communications team and Access to Services team will continue to be engaged in process with key updates provided as and when possible

Social work assessments for attendees at the Hollies and to manage impact of change (if approved)

Ongoing project monitoring of overarching project plan to ensure project is delivered in line with objective and any adverse impacts are mitigated.

Implementation of model and affected processes to be mapped and planned appropriately (if approved)

Actions: Known next steps listed in above section

Ongoing update of EIA.

(Dependent on decision) commencement of social work assessments for existing service

users

(Dependent on decision) finalisation of revised project plan.

(Dependent on decision) implementation of proposed model and associated day service closure.

(Dependent on decision) monitoring of outcomes and impact on non-eligible clients to be developed and produced

Section 8 – Outcomes:

Having completed sections 1-5, please indicate which of the outcomes listed below applies to your initiative (refer to the guidance for further information on this section).

Outcome 1: Continue the initiative – no concern

Outcome 2: Adjust the initiative – low level of concern

Outcome 3: Justify the initiative – moderate level of concern

Outcome 4: Stop and refer the initiative – high level of concern.

For outcome 3, please provide the justification below:

For outcome 4, detail the next steps / areas of concern below and refer to your Head of Service / Director for further advice:

Section 9 - Publication arrangements:

On completion, please follow this 3-step procedure:

1. Send this EIA report and action plan to the Access to Services Team for feedback and approval – accesstoservices@swansea.gov.uk
2. Make any necessary amendments/additions.
3. Provide the final version of this report to the team for publication, including email approval of the EIA from your Head of Service. The EIA will be published on the Council's website - this is a legal requirement.

EIA Action Plan:

Objective - What are we going to do and why?	Who will be responsible for seeing it is done?	When will it be done by?	Outcome - How will we know we have achieved our objective?	Progress
Inform Hollies attendees and their families, and staff of outcome of Cabinet Decision	Head of Service	Post Cabinet on 20/09/18	Letters issued	
Inform key stakeholders of outcome	Head of Service	Post Cabinet on 20/09/18	Letters/emails issued	
Revise overall project plan (if approved)	Project Management Support	Post Cabinet on 20/09/18	Project plan completed	
Commencement of Social Work Assessments to manage impact of change (if approved)	Principal Officer for Service Provision	Post Cabinet on 20/09/18	Monitoring that all assessments are taken	
Support before, during and after moves from Day Services (if approved)	Allocated Social Workers	Post Cabinet on 20/09/18	Ongoing monitoring by social workers	
Closure of the Hollies (if approved)	Head of Service	Early 2019	Hollies Day Service closes	
Ongoing revision to EIA	Project Management Support	Ongoing	Evidence of EIA being updated.	

* Please remember to be 'SMART' when completing your action plan (Specific, Measurable, Attainable, Relevant, Timely).

Appendix 5: Equality Impact Assessment (EIA) Report

This form should be completed for each Equality Impact Assessment on a new or existing function, a reduction or closure of service, any policy, procedure, strategy, plan or project which has been screened and found relevant to equality.

Please refer to the 'EIA Report Form Guidance' while completing this form. If you need further support please contact acesstoservices@swansea.gov.uk.

Where do you work?
Service Area: Adult Services
Directorate: People

(a) This EIA is being completed for a:

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

(b) Please name and describe here: Proposed Closure of Rose Cross Day Service Building

Following the commissioning review of Day Services for older people (2016) the preferred option is now progressing for decision – in summary the proposal is to shape the internal provision to focus on complex care and no longer deliver care for non-complex needs. The in-house service will be developed with reduced capacity refocussing day centres on higher dependency, complex/dementia care.

By adopting the preferred options and transforming in-house Day Services so that they focus on higher dependency, and complex/dementia care, the Council will be able to provide better care for people with complex needs.

Refocussing internal provision in this way will hopefully allow the Council to provide better services and care for its citizens.

By concentrating its resources on these specialisms, the Council will ultimately provide a better service for residents in Swansea, but will need less internal Day Services places to provide these specialisms.

It is therefore proposed that 2 day services for older people would close. Having undertaken an evaluation exercise to determine the relative suitability of each day service to deliver the preferred future model, it has been determined that the Hollies and Rose Cross Day Services would close as they are least fit for purpose to deliver the future model.

This EIA focuses on the closure of Rose Cross Day Service, which would happen if the proposed model is agreed by Cabinet.

(c) It was initially screened for relevance to Equality and Diversity on: December 2017 and March 2018. This EIA has been continually updated alongside the consultation process. The report outlines the final impact taking into account the outcomes of the consultation.

(d) It was found to be relevant to...

Children/young people (0-18)	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Older people (50+).....	<input checked="" type="checkbox"/>	Gender reassignment	<input type="checkbox"/>
Any other age group	<input checked="" type="checkbox"/>	Welsh language	<input checked="" type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	Poverty/social exclusion.....	<input checked="" type="checkbox"/>
Race (including refugees).....	<input checked="" type="checkbox"/>	Carers (including young carers).....	<input checked="" type="checkbox"/>

Asylum seekers
Gypsies & Travellers.....
Religion or (non-)belief

Community cohesion
Marriage & civil partnership
Pregnancy and maternity

(e) Lead Officer

Name: Cathy Murray

Job title: Principal Officer, Service Provision

Date: 20th August 2018

(f) Approved by Head of Service

Name: Alex Williams

Date: 20th August 2018

Section 1 – Aims (See guidance):

Briefly describe the aims of the initiative:

What are the aims?

In line with the principles of the Social Services and Wellbeing (Wales) Act, the agreed model for Adult services in 2018 has the following aims at its core:

- Better Prevention
- Better Early Help
- A new approach to assessment
- Improved cost effectiveness
- Working together better
- Keeping people safe

It was agreed through an options appraisal and consultation that in order to best meet these strategic priorities a remodelling of our internal and commissioned services was needed with a focus on complex needs. The focus of the service would be about aiming to achieve better outcomes and greater independence for both service users and carers at its core.

In order to meet the aims above our proposed model for Day Services for Older people will refocus internal and commissioned Day Service provision on complex care and no longer deliver care for non-complex needs.

Shaping the service in this way supports the key principles of prevention and early intervention by ensuring those with complex needs are supported to remain at home for longer as well as provide much needed respite for carers.

It will allow Swansea Council to provide and commission a specialist service for those with complex needs - ultimately aiming to provide better care for Swansea residents. We will be able to upskill staff to concentrate on providing this specialist service in a way that we are currently unable to do as a result of needing to cater for people with a range of complex and non-complex needs.

By refocussing the services in this way, less capacity will be needed and therefore, again subject to consultation, it is proposed that the Hollies and Rose Cross Day Service buildings would close, although provision will be maintained on the remaining day service sites.

The proposed model would also result in no new referrals to the other internal and commissioned Day Services – Norton Lodge, St Johns and Ty Waunarwydd or commissioned day services for individuals with non-complex needs.

As a result, if approved by Cabinet, following public consultation this would result in:

- Rose Cross Day Service closing.
- The Day Service is located within a lounge integral to Rose Cross Residential Home. In the event that the Day Service were to close the lounge would revert back to additional communal space for the home, which would enhance their stay whilst at Rose Cross.
- Current Service Users with complex needs in Rose Cross Day Service would be offered a place in the nearest accessible day service to them. For Rose Cross most would attend St Johns in Manselton, which is approximately 1 mile from Rose Cross.
- Current Service Users of Rose Cross Day Service who have non-complex needs would cease using our internal or commissioned Day Services. An individual move on plan would be determined for each service user affected to ensure any needs/outcomes were met.

- In line with the model, there would be no further referrals to the other internal Day Services – Norton Lodge, St Johns and Ty Waunarlwydd or commissioned day services for individuals with non-complex needs.

Who has responsibility?

Alex Williams (Head of Adult Services)

Who are the stakeholders?

- Service Users
- ABMU Health Board representatives (including Older People Mental Health and Therapies)
- Carers / Families
- Cabinet and Elected Members (including political and opposition majority, representing areas across Swansea)
- Provider Staff (including, Managers, Care Officers and Drivers)
- Future Day Care Service Users representatives (Network 50+, Age Cymru, Alzheimer's Society, SCVS Swansea Dementia Friendly Forum, Advocacy Officer and Minority Ethnic Elders - SBREC)
- Integrated Community Services staff (Social Work Team Leaders, Social Workers and Care Management Officers)
- Officers from Social Services (including key Budget Holders, Commissioning, Safeguarding, Direct Payments, Local Area Coordinator).
- Officers from Corporate departments (accountancy, human resources, legal, commercial & commissioning unit, health & safety, housing, scrutiny and property)
- Union representation (GMB, UCATT and Unison)
- Older People's Commissioner
- Council Sheltered Housing complexes
- Other organisations e.g SCVS, Carers centre, Age concern, Disability Liason Group, Contracted independent providers , Swansea Dementia Forum , 50+ Network , Ageing Well Steering group

Section 2 - Information about Service Users (See guidance):
Please tick which areas you have information on, in terms of service users:

Children/young people (0-18)	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Older people (50+).....	<input checked="" type="checkbox"/>	Gender reassignment	<input type="checkbox"/>
Any other age group	<input checked="" type="checkbox"/>	Welsh language	<input checked="" type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	Poverty/social exclusion.....	<input type="checkbox"/>
Race (including refugees).....	<input checked="" type="checkbox"/>	Carers (including young carers).....	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	Community cohesion	<input type="checkbox"/>
Gypsies & Travellers.....	<input type="checkbox"/>	Marriage & civil partnership	<input type="checkbox"/>
Religion or (non-)belief	<input checked="" type="checkbox"/>	Pregnancy and maternity	<input type="checkbox"/>
Sex.....	<input checked="" type="checkbox"/>		

Information about Staff at Rose Cross Day service (See guidance):
Please tick which areas you have information on, in terms of service users:

Children/young people (0-18)	<input type="checkbox"/>	Sexual orientation	<input type="checkbox"/>
Older people (50+).....	<input checked="" type="checkbox"/>	Gender reassignment	<input type="checkbox"/>
Any other age group	<input checked="" type="checkbox"/>	Welsh language	<input checked="" type="checkbox"/>
Disability	<input checked="" type="checkbox"/>	Poverty/social exclusion.....	<input type="checkbox"/>
Race (including refugees).....	<input type="checkbox"/>	Carers (including young carers).....	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	Community cohesion	<input type="checkbox"/>
Gypsies & Travellers.....	<input type="checkbox"/>	Marriage & civil partnership	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	Pregnancy and maternity	<input type="checkbox"/>
Sex.....	<input checked="" type="checkbox"/>		

Please provide a snapshot of the information you hold in relation to the protected groups above:

Information held on Service Users:

Within Adult services we hold client records for all service users on the PARIS client management system which provides greater detail around all of the protected groups. Unfortunately these records do not capture all of the service user information as a mandatory requirement nor can it easily disaggregate records to specific services i.e we cannot pull information on clients based on the services they use.

Therefore, in-house Day Services staff capture information on their clients manually on site to ensure that the information is as accurate as possible. This information is not as detailed as we would like and as highlighted above does not cover all protected characteristics.

As of August 2018, there were 35 attendees at Rose Cross day Service.

The information that we held on these attendees was as follows:

Sex	
Female	26
Male	9

Age	
65-74	8
75-84	11
85+	16

Marital Status	
Engaged	2
Married	8
Partner	1
Single	2
Widowed	22

Ethnicity	
Asian	1
Polish	1
South African	1
White	32

Religion/Belief	
Not stated	24
CofE/Church of Wales	8
Christian	1
Catholic	1
Bhuddism	1

Disability	
Yes	34
No	1

Disability

As of August 2018 there were 35 Services Users for Rose Cross Day Service, 33 service users had been assessed as having complex needs.

For clarity, an individual will be defined as having complex needs and eligible to access a day service if they have needs attributable to one or more of the following features and only a day service can meet that need rather than some other means of support:

- Require support to remain at home due to high levels of daily living, personal care support and health needs including dementia; failure to provide day service may lead to inability to remain at home.
- Require support to enable reablement or maintenance of daily living skills to enable the person to remain in the family home.
- Evidence to support the well-being of older people where there is a risk of loneliness, isolation and depression which could lead to significant mental ill-health.
- Respite required for family and carers where there is a risk of the family situation breaking down

Information held on Staff at Rose Cross Day Service (NULL indicates the information is not recorded):

AGE	GENDER	ANY DISABILITIES	NATIONALITY	WELSH SPEAKING	MARITAL STATUS	SEXUAL ORIENTATION	RELIGION	CARER
53	F	No	Null	No	Divorced	Heterosexual/straight	No religion	Null
45	F	No	Null	No	Null	Null	Null	Null
36	F	No	Null	No	Null	Null	Null	Null
66	M	No	British	No	Married	Heterosexual/straight	Christian	Null
31	F	Yes	Null	No	Null	Null	Null	Null
41	M	No	Null	No	Married	Null	Null	Null

Any actions required, e.g. to fill information gaps? –

As described manual records need to be maintained in relation to service user details on site at Rose Cross Day Service.

Swansea Council alongside regional partners including the Local Health Board are progressing with the implementation of the Welsh Community Care Information System – this will hold client records for all local authority and Health services and replace the current PARIS client management system used within Adult Social Services. The new system will be developed to better capture and easily extract information around our service users and protected characteristics.

Staff are encouraged to provide their profile details on our IT system, however this is not mandatory. We will continue to publicise and encourage all our staff to complete.

Section 3 - Impact on Protected Characteristics (See guidance):
Please consider the possible impact on the different protected characteristics.

Current & future Service Users & Carers

	Positive	Negative	Neutral	Needs further investigation
Children/young people (0-18) →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Older people (50+) →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Disability →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Asylum seekers →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers) →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Thinking about your answers above, please explain in detail why this is the case.

Negative impact

- Older people
- Disability
- Carers (inc. young carers).

We recognise that the proposed closure of Rose Cross Day Service specifically cannot be viewed as having a positive impact on current residents (many of whom have a disability) and carers. With this in mind of paramount importance is how move on arrangements for residents is managed to ensure all current residents with complex experience minimal impact to their wellbeing.

Following the recent assessments we know that 33 of the total 35 individuals who access Rose Cross Day Service have complex needs, therefore they will be offered an alternative location to continue to receive this service subject to any needs changing. All service users that have been assessed as having eligible needs are entitled to have those needs met. Where the eligible need is a complex need then that need can be met by the provision of a day service. Where the eligible need is not a complex need then that need can be met by the provision of other services, which may include signposting and support to access community services.

Current Service Users of Rose Cross Day Services who have been assessed as having complex needs would be offered a place in the nearest accessible day service to them. For Rose Cross, the majority would be relocated to St Johns in Manselton which is approximately one mile from Rose Cross. All service users will be fully supported throughout any move to an alternative day service.

Where the current service users have been assessed as not having complex needs, the Service User would cease using our internal Day Care services, but would be offered alternative support to meet their needs.

As part of the social work assessment, an individual move on plan would be determined which would ensure that any remaining needs and outcomes were met through access to appropriate support/ social opportunities on leaving the service. If the individual lived in an area served by a Local Area Coordinator, support would be sought through them if appropriate. This plan would then be put in place and reviewed for a period of time to make sure no safeguarding issues emerged. The individual would have a clear point of contact with the service should their needs change over time and greater support was required.

This move on plan might for example involve identifying other opportunities for social activities and interaction either within their local communities or network of family and friends, and the social worker would work with them to put adequate arrangements in place to facilitate this.

We have demonstrated in Section 4 of this EIA how we have mitigated against the negative impact on these areas.

Neutral Impact:

- Race
- Asylum seekers
- Religion or (non) belief
- Sex
- Sexual Orientation
- Gender Reassignment
- Welsh Language
- Marriage and civil partnership
- Pregnancy and maternity
- Poverty/Social Exclusion

Although we have limited information on the individual protected characteristics of attendees, all eligible needs of current attendees at Rose Cross will be met, regardless of protected characteristic. All attendees will be supported to move on in line with their needs. There will be a disproportionate impact on females, as the majority of the attendees are female; however again all needs will be met regardless of gender.

The current provision of Day Services will remain unchanged in relation to these areas. Impact will only be attributable to assessment of whether the individual has complex or non-complex needs. As the proposed model describes we will continue to provide services to those with complex health needs and those older people with learning disabilities, mental health problems, sensory impairment or physical disabilities where these services are the only means of support to meet their outcomes, regardless of protected characteristics.

There will be a neutral impact on poverty and social exclusion as all those eligible for a service will still receive them, regardless of their financial circumstances.

Needs further investigation:

- Children/young people (0-18)
- Any other age group
- Gypsies & Travellers
- Community Cohesion

It is recognised that not enough information is held in relation to the areas listed above to

fully understand the impact of the proposals relating to the Rose Cross. However, the impact on gypsies and travellers is likely to be limited, but we don't know for certain whether any resident has come from a gypsy and traveller community. The impact on children, young people and any other age group is also likely to be limited due to the age range of those that attend the Hollies, but there will be an impact on carers of other ages.

It is unclear how the proposed closure will impact on community cohesion, but the day service itself does have limited links with the local community.

These areas will continue to be monitored as the EIA will remain open until such time as Rose Cross Day Service is closed, and these areas will be investigated further. However, it is considered that there is unlikely to be a significant impact on these areas as all attendees are known to us and any adverse impacts can be mitigated.

- **Potential Staff Impact**

There are 6 staff that currently work at Rose Cross Day service that will be affected if a decision is made to close this home (one has retired since the start to the consultation).

The majority of staff are female, so there is a disproportionate impact on females.

Staff have attended meetings and have been kept informed throughout the consultation and encouraged to take part in the 12 week staff consultation process. One to One meetings have also been offered to staff with management, HR and Unions to explain how the proposal will affect them and the redeployment process. Monthly meetings have been held by management/HR with Unions.

Staff have been offered to attend relevant training courses e.g. Selling You.

Swansea Council is committed to minimising compulsory redundancies. All staff at risk have been given access to the Redeployment list (our normal procedure for staff at risk. They have also been provided with a list of vacancies within the service area and advised that anything advertised will now be a temporary contract so vacancies will be made available to these staff at risk.

If a decision is made to close Rose Cross Day Service staff will be issued with formal notice, with Rose Cross Day Service likely to close by January 2019.

Section 4 - Engagement:

What engagement has been undertaken to support your view? How did you ensure this was accessible to all?

A 12 week stakeholder consultation commenced on 30/04/18 and concluded 23/07/18. Documents were provided in English and Welsh and were available in large print on request. We identified the preferred language of the affected Services Users when communicating with them during the consultation.

Consultation information was provided via Corporate Communications to staff, and details were included on the intranet and internet, through the Media, Facebook and Twitter.

A Stakeholder Map was created with the service which identified stakeholders and has been used by the service to evidence engagement with the stakeholders.

Consultation with stakeholders was as follows:

- All Councillors were briefed regarding the proposals
- Ward Councillors - Cllr Child, the Cabinet Member, has spoken to or offered to speak to relevant Ward Councillors
- AM/MPs - letter issued to raise awareness of consultation
- Older Peoples Commissioner - letter issued to raise awareness of consultation
- Trade Unions – Initial meeting held with Management/HR and Unions. Meetings ongoing as necessary
- Library Managers briefed and provided copies of hardcopy questionnaires and displayed in all libraries
- Contact Centre Manager briefed to inform all relevant Contact Centre/Switchboard staff of consultation. Hardcopy questionnaires available in CC and Guildhall reception
- Email or letters sent to all identified relevant stakeholders raising awareness of the consultation and offering to attend any meetings if required
- Ty Conwy and Llys y Werin (commissioned day services) were made aware of consultation and hardcopy questionnaires provided
- Head of Adult Services met with Disability Liaison Group to raise awareness of consultation
- Swansea Council sheltered complexes – hardcopy questionnaires issued

Consultation with affected Services Users and their families/carers was as follows:

1. Bilingual Letters issued pre consultation and letters/questionnaires issued during consultation.
2. Consultation meetings took place at Rose cross on 8th May, 16th May and 21st May. It was recognised that not all attendees go to the service every day, so it was ensured that each attendee could attend at least one meeting. No family members chose to attend, but day service staff made sure that they had contacted each member so that they were aware of the consultation.

3. 1 to 1s arranged as necessary at various times.
4. Social Workers meeting with relevant affected Service Users to complete reviews to help determine if they had complex or non-complex needs to help inform their response to the consultation.
5. Other Council Day Care venues and Service Users made aware of consultation by management and Welsh/English hardcopy questionnaires provided.

A separate staff and Trade Union 12 week consultation ran concurrently to the wider stakeholder consultation. The staff consultation commenced on 30/04/18 and ended on 23/07/18, this exceeded the legal requirement of a 30-day consultation. All staff affected were met with on 30th April, and 1 to 1 meetings between staff, management, HR and Unions (if they wanted support) were held with all affected staff during the consultation period.

What did your engagement activities tell you? What feedback have you received?

Info received	No. rec'd
Online Questionnaire	42
Hardcopy Questionnaires	50
Letters	0
Emails	0
TOTAL	92

92 respondents completed the questionnaire either online or on paper. The responses to both the paper and online questionnaire are amalgamated below.

(NB: numbers for each question differ as do the stats as some people chose not to answer all questions)

Regarding the overall proposed service model the following question was asked of all stakeholders:

Do you agree or disagree with the proposed changes to Day Services for Older People (focus on providing our services to those with complex care needs)? Please expand your answer

Strongly agree	Tend to agree	Tend to disagree	Strongly disagree
11	26	20	30

67 comments were received summarised into themes as below:

- Lack of logic of the rationale behind the proposed changes x 9
- Prevention/Isolation x 32
- Lack of viable alternatives x 7

- Don't just focus on complex needs because x 11
- Do focus on complex needs (agree with model).... X 14
- Do focus on complex needs, however (agree in part)..... x 8
- Create alternatives
- Betraying older people x 3

Respondents were then asked, **Are there any other options you feel the Council should have looked at in relation to Day Services for Older People?**

59 comments were received and can be themed as follows:

- Support to make alternatives more realistic x 9
- Co-production x 6
- Day services should remain for those who need them X 19
- Change the way services are procured x 1
- Increase the budget x 2
- Joint working across health and other local authorities x 1
- Introduce charges to keep the services open x 3
- Save money from elsewhere in the budget x 1

Respondents were asked, **Considering the above, do you agree or disagree with the following**

	Strongly Agree	Tend to agree	Tend to disagree	Strongly disagree
The criteria used to access each day service were the right ones	11	24	16	20
The proposal to close Rose Cross Day Service	8	20	12	30

Finally respondents were asked, **If you disagree with either of the above please explain why and give any alternatives that you would like the Council to consider**

56 comments were received and are summarised as follows:

- Isolation will lead to decreased wellbeing x 8
- Local services x 8
- Lack of Logic
- Resistance to change x 11
- Use alternative venues and volunteers x 2
- Take funding from elsewhere x 1

- Don't use condition of building as a criteria x 1
- Be clearer about how the remaining services will be equipped to meet the increase in complex needs x 1

Limited feedback was received at the face to face meetings at Rose Cross Day Service, but the following has been recorded.

DATE OF MEETING	POINTS RAISED
THEME 1 – ALTERNATIVES	
16.5.18	Service users queried if they did not go to another day service they would still need somewhere to go, especially for those with no family living nearby.
THEME 2 – NEEDS	
16.5.18	Service users also raised a concern that they have specific needs, e.g. hearing loss and it takes time for people to understand this.

How have you changed your initiative as a result?

No adverse impacts of the proposal to close Rose Cross Day Service on people with protected characteristics particularly older people and carers specifically in relation to Rose Cross were highlighted in the consultation. However, the overall responses received give us an indication of the potential impacts on attendees at Rose Cross.

Overall, there clearly is a risk of a negative impact on attendees at Rose Cross Day Service due to the need to move on if it were to close. However, the Council will seek to mitigate those risks and in some cases a move could be positive as they may find they are happier in any new environment with the ability to develop new relationships and have a positive impact on their wellbeing. Any move will need to be carefully planned following a thorough social work assessment and each individual supported during and following any actual move. The Council has prior experience of doing this from when the Beeches Day Service was amalgamated with Abergelli Day Service. This approach was successful and no adverse ongoing effects were experienced by former attendees at the Beeches.

In addition, during the consultation period, all those affected had a social work assessment to determine whether or not they had complex needs to help inform their response to the consultation. Of the 35 individuals who were still attending Rose Cross Day Service at the end of the consultation, 33 had been defined as having complex needs so in all likelihood would be offered an alternative day service as long as needs did not change.

The impact was also minimised by putting a hold on any new admissions to Rose Cross Day Service from the beginning of the consultation, therefore minimising the number of people potentially affected if the proposals went ahead.

There is clearly a potential negative impact on those staff affected, but this can be mitigated through the Council's redeployment policies, and the Council is confident that there are sufficient alternative vacancies elsewhere in Adult Services to accommodate them. There were 7 staff potentially at risk. At the time of writing the report, one of the staff had retired. No equalities issues had been raised through the 1 to 1 meetings with each member of staff that needed to be addressed.

In general whilst there was not majority support for the model or the proposal to close Rose Cross, there was still a level of support for the model itself which was demonstrated in some of the comments put forward. No viable alternatives were put forward which would allow

people to maintain independence and remain at home for longer in line with the principles of the Social Services and Wellbeing (Wales) Act at the same time as achieving the necessary savings required.

On balance therefore remodelling as per the proposals will allow the Council to effectively meet the requirements of both the Social Services and Wellbeing (Wales) Act and Well Being of Future Generations (Wales) Act by providing a model of care that is sustainable for the future, and effectively meets the needs of an ageing population with more complex needs. The Council is therefore confident that the recommendations put forward in this report are appropriate despite there not being majority support for the proposals.

There were no proposed changes to the proposal to close Rose Cross in light of the consultation responses.

Any actions required (e.g. further engagement activities, mitigation to address any adverse impact, etc.):

A communication plan for the ongoing engagement with stakeholders throughout the process will continue – reaffirming the purpose of the model of delivery and latest updates around decisions. This communication plan will form a key part of the overall project plan should the proposals proceed.

Individual social work assessments will need to take place with all those affected at Rose Cross Day Service.

A communication plan for the ongoing engagement with stakeholders throughout the process will continue – reaffirming the purpose of the model of delivery and latest updates around decisions.

Section 5 – Other impacts:

Please consider how the initiative might address the following issues - see the specific Section 5 Guidance

Foster good relations between different groups	Advance equality of opportunity between different groups
Elimination of discrimination, harassment and victimisation	Reduction of social exclusion and poverty

Please explain any possible impact on each of the above.

The service model for Adult Services aims to impact on all of the above.

In general terms The Social Services and Wellbeing (Wales) Act 2014 provides the legal framework for improving the wellbeing of people who need care and support, carers who need support and for transforming social services in Wales. It reforms social services law, changes the way people's needs are assessed and the way in which services are commissioned and delivered. People with care and support needs will have more of a say in the care and support they receive and there is an emphasis on supporting individuals, families and communities to promote their own health and wellbeing.

The Act introduces common assessment and eligibility arrangements, strengthens collaboration and the integration of services particularly between health and social care, and provides an increased focus on prevention and early help. Local Authorities and health boards come together in new statutory partnerships to drive integration, innovation and service change.

The Act also promotes the development of a range of help available within the community to reduce the need for formal, planned support. Local Authorities need to work with people to develop solutions to immediate problems and reduce the need for complex assessment and formal provision of care. Where people have complex needs, which require specialist and/or longer term support, local authorities will work with people and their families to ensure that high quality and cost effective services are available at the right time and in the right place.

Local Authorities and their partners need to make sure that people can easily get good quality information, advice and assistance, which supports them to help themselves and make the best use of resources that exist in their communities without the need for statutory support.

Local Authorities also need to ensure a shift from a deficit and dependency model to a model, which promotes wellbeing and independence focused on individual outcomes rather than service targets and objectives.

There will be stronger powers to keep people safe from abuse and neglect.

The Adult services model has interpreted this requirement and embedded into all service development, including the proposed model around Day Services.

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

“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 proposed new model for Day Services supports this vision and the overarching Swansea Council model for Adult Social Care agreed in 2016.

What work have you already done to improve any of the above?

Using this vision as our touchstone a number of positive steps have been taken to address the 4 priorities listed. These include the development of integrated community Hubs which offer community based services staffed by Social Workers, Nursing staff, Occupational Therapists, Physiotherapists and other community support resources from both the Local

Health Board and Local Authority – their purpose is to offer a consistency of approach regardless of the individual’s geographical location, staff member providing contact and services which are offered.

It also promotes a service around the individual ensuring that everyone who needs to be involved is available to offer a timely intervention if needed

This model also provides greater consistency in our approach to safeguarding – ensuring that the vulnerable have the most robust processes and professional framework in place to keep them safe from abuse.

It has also enabled us to develop alternative models to traditionally managed care like Day Services – these include the Local Area Co-ordinators who work within the community and build upon the strengths that community can bring in assisting with achieving an individual’s personal outcomes. Our close working with the 3rd sector explores these options further and can help with the future development of other forms of support outside of traditional services available to the individual and the community around them. All of which facilitating the person’s ability to remain as independent as possible within their own communities for longer

The remodelling of Day Services alongside the other commissioning reviews of services allows us to refocus our limited resources into the most complex of needs and shift investment into the more sustainable and long term investment of building on those assets which already exist within the community.

Is the initiative likely to impact on Community Cohesion? Please provide details.

The offer of alternative community based support to those potentially no longer eligible for Day Services will assist with the maximisation of existing schemes and development/potential investment in expansion of these available community based services. This forms part of the wider Prevention Strategy and overall service model for Adult Services in Swansea. It is also a corporate priority across Swansea Council.

How does the initiative support Welsh speakers and encourage use of Welsh?

Across all adult services the ‘Active offer’ is in place - at its heart is the idea that being able to use your own language must be a core component of care – not an optional extra.

In an aim to achieve this Adult Services alongside the whole council are working towards mainstreaming welsh language services as an integral part of service planning and delivery. This continues to be a priority regardless of outcomes tied to this proposal.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).

N/A

Section 6 - United Nations Convention on the Rights of the Child (UNCRC):

Many initiatives have an indirect impact on children and you need to consider whether the impact is positive or negative in relation to both children’s rights and their best interests. Please read the UNCRC guidance before completing this section.

Will the initiative have any impact (direct or indirect) on children and young people (think about this age group holistically e.g. disabled children, those living in poverty or from BME communities)? If not, please briefly explain your answer here and proceed to Section 7.

All initiatives must be designed / planned in the best interests of children and young people.

Best interests of the child (Article 3): The best interests of children must be the primary concern in making decisions that may affect them. All adults should do what is best for children. When adults make decisions, they should think about how their decisions will affect children. This particularly applies to budget, policy and law makers.

Please explain how you meet this requirement:

Yes – we recognise that we need to ensure that all carers (regardless of age) are supported. For this reason, we have joint commissioning arrangements for Adult Services and Child and Family Services for services that support carers.

Actions (to mitigate adverse impact or to address identified gaps in knowledge).

We recognise that we need to ensure that all carers (regardless of age) are supported. For this reason, we have joint commissioning arrangements for Adult Services and Child & Family Services for those which support young carers. This proposal will ensure much needed respite for those carers supporting individuals with complex needs will continue to be provided.

Impact on this group will continue to be monitored if the proposal is approved. Communication and engagement with alternative provisions for non-complex clients will be managed as part of transition if the proposal is approved.

Section 7 - Monitoring arrangements:

Please explain the monitoring arrangements for this initiative:

Monitoring arrangements:

EIAs to be continually updated in line with decision making and further consultation

Corporate communications team and Access to Services team will continue to be engaged in process with key updates provided as and when possible

Social work assessments for attendees at Rose Cross and to manage impact of change (if approved)

Ongoing project monitoring of overarching project plan to ensure project is delivered in line with objective and any adverse impacts are mitigated.

Implementation of model and affected processes to be mapped and planned appropriately (if approved)

Actions: Known next steps listed in above section

Ongoing update of EIA.

(Dependent on decision) commencement of social work assessments for existing service users

(Dependent on decision) finalisation of revised project plan.

(Dependent on decision) implementation of proposed model and associated day service closure.

(Dependent on decision) monitoring of outcomes and impact on non-eligible clients to be developed and produced

Section 8 – Outcomes:

Having completed sections 1-5, please indicate which of the outcomes listed below applies to your initiative (refer to the guidance for further information on this section).

Outcome 1: Continue the initiative – no concern

Outcome 2: Adjust the initiative – low level of concern

Outcome 3: Justify the initiative – moderate level of concern

Outcome 4: Stop and refer the initiative – high level of concern.

For outcome 3, please provide the justification below:

For outcome 4, detail the next steps / areas of concern below and refer to your Head of Service / Director for further advice:

Section 9 - Publication arrangements:

On completion, please follow this 3-step procedure:

1. Send this EIA report and action plan to the Access to Services Team for feedback and approval – accesstoservices@swansea.gov.uk
2. Make any necessary amendments/additions.
3. Provide the final version of this report to the team for publication, including email approval of the EIA from your Head of Service. The EIA will be published on the Council's website - this is a legal requirement.

EIA Action Plan:

Objective - What are we going to do and why?	Who will be responsible for seeing it is done?	When will it be done by?	Outcome - How will we know we have achieved our objective?	Progress
Inform Rose Cross attendees and their families, and staff of outcome of Cabinet Decision	Head of Service	Post Cabinet on 20/09/18	Letters issued	
Inform key stakeholders of outcome	Head of Service	Post Cabinet on 20/09/18	Letters/emails issued	
Revise overall project plan (if approved)	Project Management Support	Post Cabinet on 20/09/18	Project plan completed	
Commencement of Social Work Assessments to manage impact of change (if approved)	Principal Officer for Service Provision	Post Cabinet on 20/09/18	Monitoring that all assessments are taken	
Support before, during and after moves from Day Services (if approved)	Allocated Social Workers	Post Cabinet on 20/09/18	Ongoing monitoring by social workers	
Closure of Rose Cross Day Service (if approved)	Head of Service	Early 2019	Rose Cross Day Service closes	
Ongoing revision to EIA	Project Management Support	Ongoing	Evidence of EIA being updated.	

* Please remember to be 'SMART' when completing your action plan (Specific, Measurable, Attainable, Relevant, Timely)

Appendix 6: Day Care Services - Consultation Summary Report

August 2018

CONSULTATION REPONSES - Stakeholder Consultation

1.1 Introduction

A 12 week stakeholder consultation commenced on 30/04/18 and concluded 23/07/18. Documents were provided in English and Welsh and were available in alternative formats on request. We identified the preferred language of the affected Services Users when communicating with them during the consultation.

Consultation information was provided via Corporate communications to staff, via details on the intranet and internet, Media, Facebook and Twitter.

A Stakeholder Map was created with the service which identified stakeholders and has been used by the service to evidence engagement with the stakeholders:-

Affected Services Users and their families/carers.

- Bilingual Letters issued pre consultation and letters/questionnaires issued during consultation.
- Several visits made by Senior Management to meet affected Service Users/families at various times at venues.
- 1 to 1s arranged as necessary at various times.
- Social Workers meeting with relevant affected Service Users to complete reviews to help determine if had complex or non-complex needs to help inform their response to the consultation.
- Other Council Day Care venues and Service Users made aware of consultation by management and Welsh/English hardcopy questionnaires provided.

Other

- All Councillors briefed regarding the proposals
- Ward Councillors - Councillor Child has spoken to or offered to speak to relevant Ward Councillors.
- AM/MPs - letter issued to raise awareness of consultation.
- Older Peoples Commissioner - letter issued to raise awareness of consultation.
- Trade Unions – Initial meeting held with Management/HR and Unions. Meetings ongoing as necessary.
- Library Managers briefed and provided copies of hardcopy questionnaires and displayed in all libraries.

- Contact Centre Manager briefed to inform all relevant Contact Centre/Switchboard staff of consultation. Hardcopy questionnaires available in CC and Guildhall reception.
- Email or letters sent to all identified relevant stakeholders raising awareness of the consultation and offering to attend any meetings if required.
- Ty Conwy and Llys y Werin (commissioned day services) were made aware of consultation and hardcopy questionnaires provided.
- Head of Adult Services met with Disability Liaison Group to raise awareness of consultation.
- Swansea Council sheltered complexes – hardcopy questionnaires issued.

Staff and Trade Unions

A separate staff and Trade Union 12 week consultation ran concurrently to the wider stakeholder consultation. The staff consultation commenced on 30/04/18 and ended on 23/07/18, this exceeded the legal requirement of a 30-day consultation.

1.2 Information received during consultation is summarised as :-

Info received	No. received
Online Questionnaire	42
Hardcopy Questionnaires	50
Letters	0
Emails	0
TOTAL	92

Further details on number of respondents from different groups and methods of responding are given in the sections below. The number of respondents giving similar comments in each group have been provided.

92 respondents completed the questionnaire either online or on paper. The responses to both the paper and online questionnaire are amalgamated below. One online response was received after the consultation deadline, but was accepted on the basis of ensuring that as wide a range of views as possible was considered.

NB: numbers for each question differ as do the statistics as some people choose not to answer all questions.

Feedback Received:

Question 1: Do you agree or disagree with the proposed changes to Day Services for Older People (focus on providing our services to those with complex care needs)?

Strongly agree	Tend to agree	Tend to disagree	Strongly disagree
11 (12.6%)	26 (29.9%)	20 (22.9%)	30 (34.5%)

Question 2 asked people to expand on their answer. 67 people responded.

Key themes were:

Key Themes	Response Nos
Lack of logic of the rationale behind the proposed changes	9 (13%)
Prevention/Isolation	32 (47%)
Lack of viable alternatives	7 (10%)
Don't just focus on complex needs because	11 (116%)
Do focus on complex needs (agreement with model)....	14 (20%)
Do focus on complex needs, however.....	8 (11%)
Create alternatives	
Betraying older people	3 (4%)

Question 3: Are there any other options you feel the Council should have looked at in relation to Day Services for Older People?

59 comments were received

Key themes/comments	Nos commented
Support to make alternatives more realistic	9 (15%)

Co-production	6 (10%)
Day services should remain for those who need them	19 (32%)
Change the way services are procured	1 (1%)
Increase the budget	2 (3%)
Joint working across health and other local authorities	1 (1%)
Introduce charges to keep the services open	3 (5%)
Save money from elsewhere in the budget	1 (1%)

Question 4 asked respondents, considering the above do you agree with:

	Strongly Agree	Tend to agree	Tend to disagree	Strongly disagree
The criteria used to access each day service were the right ones	11 (15.5%)	24 (33.8%)	16 (22.5%)	20 (28.2%)
The proposal to close Rose Cross Day Service	8 (11.4%)	20 (28.5%)	12 (17.1%)	30 (43%)
The proposal to close The Hollies Day Service	12 (16.7%)	18 (25%)	15 (20.8%)	27 (37.5%)

Question 5: If you disagree with either of the above please explain why and give any alternatives that you would like the Council to consider

56 comments were received as follows:

Key themes/comments	Nos commented
Isolation will lead to decreased wellbeing x 8	8 (14%)

Local services	8 (14%)
Lack of logic	
Resistance to change	11 (19%)
Use alternative venues and volunteers	2 (3%)
Take funding from elsewhere	1 (1%)
Don't use condition of building as a criteria	1 (1%)
Be clearer about how the remaining services will be equipped to meet the increase in complex needs	1 (1%)

Mitigating responses to themes

14 respondents indicated ***support for the model and agreement that the Council should focus on complex needs to ensure those most in need continued to receive services and that they were financially sustainable for the future.***

6 respondents suggested ***that community-based options often provided a better solution for people than a traditional day service.***

9 respondents felt that ***there was a lack of logic and rationale behind the proposed changes.*** They found it difficult to understand how if the number of people with low and high level needs were both increasing, the Council could justify closing services. They did not believe that there was a genuine reduction in demand and felt the proposals were contrary to the principles behind the Social Services and Wellbeing (Wales) Act. Family members of those that attended the Hollies felt that the service was under-promoted which was the reason for low attendance.

As people are living longer, there are a lot more people needing support than there used to be. Although there are more people with dementia and other complex needs, there are more people remaining in their own homes, with non-complex needs, where day services may not be the best way to support them to continue to be part of their local community. Therefore the rationale is to refocus the internal and commissioned day services to provide specialist complex care, upskilling staff to focus on these needs.

In reviewing the use of day services, there is a significant under use hence the proposal to reduce the number of day services. The number of referrals into day

services has decreased significantly over the years with people no longer wanting traditional day services. People would rather socialise in their own communities and remain independent as long as possible. Our proposed model focuses on complex needs to help those who are less independent to remain at home for longer and offer much needed respite to families. It is intended that those with less complex needs would be supported through other means such as Local Area Coordinators who can help them to find connections in their own communities. The proposal are entirely in keeping with the Social Services and Wellbeing (Wales) Act with promoting independence and enabling people at their core.

32 comments were received stating that **day services acted as preventative services which were often the only chance that older people had to socialise and taking this away would lead to further loneliness and isolation and have a detrimental impact on wellbeing. There was also a concern that there were a lack of viable alternatives.** There was consequently a perceived negative equality impact on older people with disabilities, and a valid concern that a move could confuse some older people and be detrimental to their overall wellbeing.

It is acknowledged that social isolation is important to address for older people and although day services help to prevent this, their primary role is to support people with their social care needs and provide respite to their families. The Council will maintain day services and one of the key criteria for complex needs and hence entry into the remaining services is outlined in paragraph 2.15 and relates to a complex need being determined if there is evidence that a day service is the only option to support the wellbeing of older people where there is a risk of loneliness, isolation and depression which could lead to significant mental ill-health.

If the only need is in relation to social interaction and there is no significant risk to mental ill-health, other options will be looked at. Local Area Coordination is one means to help people engage or re-engage with their community. It is recognised that Local Area Coordination does not cover all areas of Swansea yet and transport is sometimes an issue in parts of Swansea, but Adult Services also works closely with the third sector in supporting local and self-running groups.

As part of the Adult Services model, social work practice has been reviewed and training provided to shift from a service based response to a needs and outcomes based approach where people are provided with advice and information to help them resolve their problems by making best use of resources that exist in their communities and encouraging people to develop their own solutions that don't require complex assessment and formal provision of care. Where necessary, by using simple assessment processes that are proportionate to people's needs and risks, they will provide targeted and co-ordinated interventions based on pre-emptive and preventative approaches which support people to continue to feel confident to live independently at home.

The Council has a duty to ensure that it promotes the wellbeing of vulnerable adults, and by using a different approach to assessment, supporting people to access alternatives, and continuing to support people with complex needs, it will be able to effectively do this. In the event that Hollies and Rose Cross Day Services were to close, a social worker would work with the individuals and their families to determine

move on arrangements and ensure that each individual was properly supported and any adverse effect mitigated. The social worker would maintain contact with the individual for a period after moving on to ensure that no issues emerged that needed to be addressed. The potential negative impacts of no longer offering day services for non-complex needs on older people with disabilities can therefore be effectively mitigated.

Added to the above, 15 respondents suggested ***there was potential to create alternatives to day services through co-productive approaches to which older people could contribute, but support was needed including suitable transport.*** Alternatives suggested included using venues like church halls and schools to run initiatives such as art sessions, debating clubs, music appreciation groups, carpentry, gardening, dance and cookery.

Adult Services and the Council are committed to a co-production approach to commissioning different forms of support. Older people have the opportunity to be part of the planning and reshaping of support through the commissioning process. Support from Local Area Coordinators and existing third sector organisations can also help people develop alternative initiatives.

11 comments received suggested ***the Council should not focus on complex needs only because it was felt that there were no alternatives and the proposed closures would impact negatively on the respite needs of carers.*** Family members at the Hollies also expressed a view that anyone should be allowed to attend a day service who wanted to.

The availability of alternatives has been outlined above. In relation to carers, the Adult Services model recognises that more people wish to remain in their own home so as well as focusing on complex care, it will concentrate on providing reablement and respite to support people to remain in their own homes for as long as possible and to support their family carers to help them in their caring role. Under the definition of complex needs, it is explained that someone would be considered as having complex needs and consequently eligible for day services going forward if it can be demonstrated that respite is required for family and carers where there is a risk of the family situation breaking down and a day service is the only option to provide this respite.

Council day services are provided for people with an eligible social care need. The Council therefore does not concur with the view that anyone should be allowed to attend a day service if they want to. Day services are expensive to run, and those without social care needs should be supported to access alternative options in their local communities.

Despite expressing concerns over social isolation and the impact on carers, 8 respondents still stated that they were in support of the proposals having taken account of this potential negative impact.

There was a ***perception from 3 respondents that older people had been betrayed having contributed all their lives through taxes only to be denied the support they need.***

All those with an eligible assessed need would be given the support that they required. All individuals in need of support will be supported through targeted and co-ordinated interventions based on pre-emptive and preventative approaches which support people to continue to feel confident to live independently at home. Where people have complex needs which require specialist and/or longer term support, social workers will work with individuals and their families and social networks to ensure that high quality and cost effective services are available to meet these needs and ensure positive outcomes.

4 respondents felt ***the proposals were about savings and in the future more people will not be able to cope and need support to meet other people.***

Those with complex needs would still receive a service, but the Council believes that the needs of people with less complex needs are better met through alternative means. The need to make savings is undoubtedly a factor. The Council is facing significant budget pressures and at this time of the financial year projecting an overall overspend with a key factor being a significant overspend in Adult Social Care. As a consequence all Councils have to make significant savings, but in doing so need to ensure that they can deliver sustainable services to meet the needs to an ageing populations with more complex needs.

1 respondent expressed a ***concern that areas to the North and East of Swansea would no longer have day services in the event that Rose Cross and the Hollies day services were to close.***

Whilst it is correct that there would no longer be a Council-run day service in the North of Swansea, the Council commissions Llys Y Werin in Gorseinon.

There was a ***concern from 1 respondent that attendees would have longer journeys to access day services in the event that Rose Cross and the Hollies day services were to close.*** This was a particular concern for those that attended the Hollies and was raised in the face to face consultation meetings.

In the event that Rose Cross were to close, it is envisaged that those who were assessed as having complex needs would in all likelihood go to St Johns Day Service in Manselton which would mean that their journey to the service was unlikely to be any longer. If the Hollies day service were to close, it is envisaged that those assessed as having complex needs would go to Llys Y Werin in Gorseinon which is approximately 3 miles from the Hollies. Day services currently do not cover every part of Swansea and journeys do vary in length. However day services try and plan for people who live close to each other to come in to the services on a specific day, reducing the length of the journey.

11 people stated that they ***did not want things to change and were worried about the impact and people 'losing out'.*** Comments were made at one of the consultation meetings at Rose Cross that it took time for people to understand their needs, and they were concerned about this in any move on arrangements.

Whilst this is a legitimate view, doing nothing is not an option if services are going to be reshaped to meet the 21st century needs of those most vulnerable and the budgetary savings required are going to be achieved. Where people are already using the 2 day services, should they close, social workers and the day services will work closely with them and their families to seek alternative support to meet their needs, which may be another day service if they are assessed as having complex needs. A transition plan will be developed to help in any move on arrangements, such as visits to the alternative day service if applicable or support in terms of what they do next. Part of this will be to ensure that those that need to know, understand any particular needs and can support the individual affected appropriately.

Comments were made by the attendees and family members at the Hollies that people would be split up and lose friendships.

Part of the move on plan will include support to maintain friendships and keep in touch if individuals no longer continue to attend the same service.

Comments were made by attendees and family members at the Hollies that Pontarddulais has its own unique culture, and the culture would be different at an alternative day service.

Whilst it is recognised that Pontarddulais does have its own culture, not all 14 attendees at the Hollies come from Pontarddulais as several travel from further afield. It is hoped that those with complex needs would move together to an alternative day service so in doing this, the impact would be minimised.

There was one comment that ***the condition of the building should not have been a factor considered within the evaluation criteria used to determine which day services should close.***

Careful consideration was given to developing the evaluation criteria to ensure that each service was evaluated as objectively as possible. It was felt that the condition of the building was an important factor due to the ongoing maintenance costs which could affect sustainability going forward. In addition, the suitability of the building to deliver the preferred future model was an important factor within the evaluation exercise.

There was one comment that ***the Council needed to be clearer how the remaining services will be equipped to meet the increase in complex needs going forward.***

Many of our services already deliver services for those with complex needs and already have the staffing and facilities in place to do this. Going forward the Council will ensure that staff are appropriately trained and upskilled and any capital works are undertaken to make buildings fit for purpose using an allocation that has been set aside in the Councils capital programme for this purpose.

Counter proposals and responses

The first counter proposal was that ***savings should be made elsewhere in the Council and day services should consequently remain for those that need them. It was proposed that the budget for day services should be increased. This***

included a proposal that the number of councillors should be cut by half, and money should not be spent on the Kingsway.

The Council is not proposing to stop all day service for older people and services for people with more complex needs will be maintained. As previously outlined the Council as a whole is experiencing unprecedented budget pressures and is forecasting a significant overspend this financial year. The Council is consequently exploring all opportunities to ensure services are sustainable in the future and can be delivered within the budget available. Significant savings are being achieved year on year but re-shaping of services is essential for the Council to continue to meet its legal duties to provide care for an aging population with increasing needs. Adult Services is one of the largest areas of spend of the Council, so it is not financially viable for savings to only be made elsewhere in the Council.

The number of Councillors is determined by Welsh Government, and is beyond the control of the Local Authority, so there is no opportunity to make a saving in relation to this. The money that has been invested in the Kingsway cannot be used for other purposes, as its use is determined by Welsh Government.

A further counter proposal was put forward to ***change the way in which services were procured to release savings. There was a belief that bringing services in-house would be cheaper for the Council.***

Unfortunately, this is not the case. Delivering services in-house is generally much more expensive for the Council due to the high overheads as well as the favourable terms and conditions of staff. Bringing services in-house would cost the Council significantly more so would not be a viable option.

Conversely, one counter-proposal was that ***all day services should be outsourced as it was believed that this would be more cost effective.***

It would indeed be more cost effective to outsource all Council run day services for older people. However, the Council wishes to maintain a level of service to ensure that it can meet complex needs and have security of provision. With any outsourcing, there is often fragility in the market and provider failure can lead to detrimental outcomes for service users who are faced with no longer receiving a service. There have been significant lessons learnt from other Local Authorities that have gone down this route, and it is considered good practice to retain an element of the service in-house.

There was one suggestion that ***joint commissioning across health and social care would achieve savings for the Council.***

There is already a programme in place called the Western Bay Health and Social Care Programme which is a collaboration between the Health Board, Local Authorities and third sector in the Western Bay region. This programme is exploring every opportunity to make efficiencies across health and social care, but even by doing this further savings still need to be found by Adult Services.

The final counter proposal was that ***charges should be introduced to keep day services for older people open.***

Charges for day service were agreed as part of the Council's budget setting process for 2018/19. Charges are due to be introduced in October 2018, and the anticipated additional income generated has already been taken into consideration. There are therefore no further savings that can be achieved through charging.

Themes and responses from meetings with Service Users and Family/Carers at the Hollies

Meetings were held with Senior Managers and Councillors at Rose Cross on 8th May, 16th May and 21st May and Hollies on 17th May and 11th June.

Of the total number of current Services Users 62 (14 Service Users at the Hollies and 35 at Rose Cross), 23 affected service users, 1 family member and 9 staff attended the above meetings.

The following points were raised at the meetings at the Hollies.

Date of meeting	Points raised	Response
Theme 1. Friendships & Social Contact		
11.6.18	Family members were concerned that people would be split up and lose friendships.	This was acknowledged and where possible, this would be accommodated. The manager of the Hollies would work closely with social workers to help maintain these friendships.
11.6.18	It was felt the proposals were about savings and in the future more people will not be able to cope and need support to meet other people.	It was explained that people will need social contact but a day service may not be the route to meet this. Councillor Child explained that there are financial pressures and although Social Services is being protected but there is an increase demand for people to stay in their own homes, for reablement and respite. A day service could provide respite for the carer but not solely for social contact.
Theme 2. Day Service use		
17.5.18	It was also queried why Hollies would close when we are paying Llys Y Werin.	It was explained that all day services were looked at as the most suitable for the model going forward, including locality, building. The matrix to score the services has been sent out. Other support such as the Local Area Co-ordinators are available to seek alternatives, alongside social workers. Councillor Lloyd gave an example in St Thomas, where there is no day service but a

		number of groups that people were supported to access including transport.
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17.5.18	Family member raised another concern that the service is under promoted and that is why there are low numbers and staff are told to do this (social workers).	See below
11.6.18	A family member felt that the day centres are under promoted by social workers and why not provide 5 days?	It was explained that the day services were underused and that some were cheaper to run than others. Social workers will look at needs but not all want or need a day service, but only social contact. Social workers will look at other options.
11.6.18	One family member proposed that day services could be open 5 days a week and should be advertised and there would be take-up	It was explained again that the purpose of the day service is for social care not social contact.
11.6.18	It was challenged that the decision discriminated against the Hollies as the service is further away from facilities and an easy target. In response, the key factor was the under-utilisation of the service and was a fair comparison.	Head of Service explained the scoring matrix and why Hollies had scored lower than other day services. The matrix is scored, based on the new model of care.
11.6.18	It was questioned why referrals to the service had been stopped	It was explained that it was to minimise those affected.
11.6.18	A family member thought that anyone who wanted to attend a day service should be able to	It was clarified again that Social Services provide or fund day centre who need social care based on assessed needs only. Local Area Co-ordinator confirmed that for social contact, there are other ways of meeting this and there are community solutions.

Theme 3. Alternatives

11.6.18	The family member queried what else was around this area and how people would get there without transport.	It was clarified that social contact is not social care (although social contact is an added benefit if someone who has social care needs attends a day centre). If the person does not have complex needs, then other options will be looked at. Local Area Co-ordinator explained his role and for social contact only, non-service solutions would be found. He gave an example of a gentleman (83) whose wife was in a nursing home and he was socially isolated and depressed. Day service could have been an option but in discussion with him, Local Area Co-ordinator discovered he wrote poetry and now attends poetry groups, visits schools to read poetry and is no longer isolated. Local Area Co-ordinator acknowledge it would not work for all but it is about seeing the person's abilities and looking at different ways to support them and has worked. Local Area Co-ordinator connects people naturally and tailors support to individual need.
1.6.18	Family member asked where people would go if the service closed	Llys Y Werin being the likely choice although St Johns could be an option.

Theme 4. Financial

17.5.18	The issue of the Kingsway was raised and the waste of money when it could have been spent elsewhere.	Councillor Lloyd explained that this is capital money and can be borrowed for infrastructure projects. It is not revenue and cannot be used for that. Revenue is decreasing and with people living longer, we need to plan for the future. Each individual will be supported in future arrangements.
11.6.18	The issue of money spent on The Kingsway, Castle Gardens and the Mansion House was raised	The difference between capital and revenue monies was explained. There are no plans to use the day centre building but likely to be used to complement the residential service. There is no value in the building due to the access.

11.6.18	It was explained again that the purpose of the day service is for social care not social contact.	Councillor Child replied that in an ideal world there would be more locally but there isn't enough money and it is getting less. Even though Social Services and Education are protected there will still have to be cuts. The Council have put in £6m this year to keep the services going whilst changes are made but it can't afford to increase provision and has to decide where best the money should be spent. Head of Service explained that if the proposal are agreed there should be £750k savings. If the services do not close, the Council will have to seek these savings elsewhere. The proposals have considered a range of options but any counter proposal are welcome.
Theme 5. Location		
11.6.18	Concern over travel time was also raised	Day services are not in every local area, this is already the case including The Hollies. As with day service charges this may mean some chose not to use the day service.
17.5.18	Family member pointed out that if service users are moved to Llys Y Werin in Gorseinon, the journey will be longer	Some service users stated that for them the journey would be shorter.
11.6.18	Another point raise was and that Pontarddulais and Gorseinon have their own culture.	
Theme 6. Needs		
17.5.18	Family members raised concerns that if their relative is moved they will be confused and it will be detrimental to their needs	It was suggested this can be fed back via the survey.

11.6.18	It was raised that the Council do not realise that the people are in their 80s and 90s	This was refuted.
11.6.18	A family member asked if an Equality Impact Assessment has been completed	This was confirmed. The EIA is live and will be updated during the consultation and will inform the Cabinet decision.
11.6.18	Information on 750 houses being built in the area was discussed, and a point raised that there may be more old people living in the area.	In response, it cannot be assumed that they would all need a day service as it may be they need social contact if anything at all.
11.6.18	Concern over needing support in which case likely to be complex	If so, offered a day service. If not, the social worker and Local Area Co-ordinator will support the person and family to find other options. Head of Service explained how another service area (Older People with Learning Disability) where people were supported to move on to other day services or other activities in the community. Each person had an individual plan and supported during and after the move and monitored after the change. All worked out well. This approach will be adopted for the Hollies.
Theme 7. Consultation		
11.6.18	It was questioned why local councillor were not informed of these consultation	Head of Service explained that these consultations were for service users and families, not a public meeting. Councillor Child confirmed that councillors were made aware of the proposals and have attended other consultation e.g. Parkway. He also offered the chance for local councillor to discuss the proposal with him. It was also explained that the general consultations have been promoted in libraries, in the local press and stakeholders contacted.

The following points were raised at the meetings at Rose Cross.

Date of meeting	Points raised	Response
Theme 1. Alternatives		
16.5.18	Service users queried if they did not go to another day service they would still need somewhere to go, especially for those with no family living nearby.	It was explained that other options would be looked at and take into consideration that people would like to stay in contact.
Theme 2. Needs		
16.5.18	Service users also raised a concern that they have specific needs, e.g. hearing loss and it takes time for people to understand this.	This is recognised and there would be a transition period for people to get to know each other and their needs if they moved to another service or group. Social workers will support each person, look at options and visit other places to ensure it is the right place.

1.3 Equalities characteristics of the respondents to the questionnaire:

We asked respondents who completed the questionnaire to complete an equalities questionnaire. There were a total of 92 respondents to the questionnaire. The results were as follows:

Are you...?

24 (28.9%) Male
 53 (63.9%) Female
 6 (7.2%) Prefer not to say

Is your gender the same as that which you were assigned at birth?

73 (92.4%) Yes
 2 (2.5%) No
 4 (5.1%) Prefer not to say

How old are you ...

0 (0.0%)	Under 16	11 (12.8%)	56 - 65
0 (0.0%)	16 - 25	9 (10.5%)	66 - 75
1 (1.2%)	26 - 35	23 (26.7%)	76 - 85
5 (5.8%)	36 - 45	22 (25.6%)	Over 85
12 (14.0%)	46 - 55	3 (3.5%)	Prefer not to say

Would you describe yourself as...

Please mark all that apply

41 (48.8%)	British	0 (0.0%)	Other British (please write in at end)
48 (57.1%)	Welsh	0 (0.0%)	Non British (please write in at end)
6 (7.1%)	English	0 (0.0%)	Gypsy/traveller
1 (1.2%)	Irish	0 (0.0%)	Refugee/Asylum Seeker (please write in current/last nationality at end)
0 (0.0%)	Scottish	2 (2.4%)	Prefer not to say
Write in here			
1 (100.0%)			

To what 'ethnic' group do you consider

78 (94.0%)	White - British	2 (2.4%)	Asian or Asian British - Bangladeshi
0 (0.0%)	Any other White background (please write in at end)	0 (0.0%)	Any other Asian background (please write in at end)
0 (0.0%)	Mixed - White & Black Caribbean	0 (0.0%)	Black or Black British - Caribbean
0 (0.0%)	Mixed - White & Black African	0 (0.0%)	Black or Black British - African
1 (1.2%)	Mixed - White & Asian	0 (0.0%)	Any other Black background (please write in at end)
0 (0.0%)	Any other Mixed background (please write in at end)	0 (0.0%)	Arab
0 (0.0%)	Asian or Asian British - Indian	0 (0.0%)	Other ethnic group (please write in at end)
0 (0.0%)	Asian or Asian British - Pakistani	2 (2.4%)	Prefer not to say
Write in here			
3 (100.0%)			

What is your religion, even if you are not currently practicing?

Please mark one box or write in

18 (22.0%)	No religion	0 (0.0%)	Muslim
58 (70.7%)	Christian (including Church of England, Catholic, Protestant, and all other Christian denominations)	0 (0.0%)	Sikh
0 (0.0%)	Buddhist	2 (2.4%)	Other
0 (0.0%)	Hindu	4 (4.9%)	Prefer not to say
0 (0.0%)	Jewish		
Any other religion or philosophical belief (please write in)			
1 (100.0%)			

Do you consider that you are actively practising your religion?

32 (43.8%)	Yes
36 (49.3%)	No
5 (6.8%)	Prefer not to say

What is your sexual orientation

1 (1.5%)	Bisexual	9 (13.4%)	Prefer not to say
0 (0.0%)	Gay/ Lesbian	1 (1.5%)	Other
56 (83.6%)	Heterosexual		
Please write in			
6 (100.0%)			

Can you understand, speak, read or write Welsh?

Please mark all that apply

20 (24.7%)	Understand spoken Welsh	6 (7.4%)	Learning Welsh
10 (12.3%)	Speak Welsh	48 (59.3%)	None of these
8 (9.9%)	Read Welsh	5 (6.2%)	Prefer not to say
6 (7.4%)	Write Welsh		

Which languages do you use from day to day?

Please mark all that apply

80 (96.4%)	English	0 (0.0%)	Other (write in)
7 (8.4%)	Welsh	3 (3.6%)	Prefer not to say
Please write in			
2 (100.0%)			

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 Disability Discrimination Act 1995 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."

43 (52.4%) Yes
32 (39.0%) No
7 (8.5%) Prefer not to say

Does this illness or disability limit your activities in any way?

43 (61.4%) Yes
23 (32.9%) No
4 (5.7%) Prefer not to say

1.4 Consultation with affected staff and Unions

- Staff briefing meetings held by management, Chief Social Services Officer, Head of Adult Services, Human Resources and Trade Union representation prior to the start of the consultation. In addition meetings with the same group were held during the consultation to brief staff in combination with one to one's arranged as necessary with management/HR and Unions (if requested).
- Frequently Asked Questions (FAQs) created and distributed to relevant affected staff following meetings.
- Staff have been encouraged to participate in the consultation. The primary concern raised by staff was the impact on their jobs. There were 12 staff potentially at risk in the Hollies and Rose Cross Day Services. All staff were given immediate access to the Council's redeployment opportunities. At the time of putting the final recommendations to Cabinet 1 staff member at Rose Cross had retired and it had been confirmed that the staff at the Hollies were no longer at risk due to their dual employment in the co-located residential home. There were sufficient vacancies across Adult Services to give the Council confidence that the remaining staff could be accommodated if they wished to remain in employment with the Council. A number of employees had also expressed an interest in the Council's Early Retirement/Voluntary Redundancy scheme and been given provisional figures. This option would be progressed for those staff who wanted to access it, if the final proposals were agreed.
- No formal response has been received from staff.
- Monthly meetings held with Trade Unions; no formal response had been received from the Trade Unions.

Agenda Item 10.



Report of the Cabinet Member for Business Transformation & Performance

Cabinet – 20 September 2018

Quarter 1 2018/19 Performance Monitoring Report

Purpose:	To report corporate performance Quarter 1 2018/19.
Policy Framework:	<i>Delivering a Successful & Sustainable Swansea</i> Corporate Plan 2018/22 <i>Sustainable Swansea – Fit for the Future</i>
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that: 1) the performance results are noted and 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.
Report Author:	Richard Rowlands
Finance Officer:	Paul Roach
Legal Officer:	Debbie Smith
Access to Services Officer:	Catherine Window

1.0 Introduction

- 1.1 This report presents the performance results for Quarter 1 2018/19 delivering the Council's Well-being Objectives (priorities) described in the Corporate Plan 2018/22 *Delivering a Successful & Sustainable Swansea*.
- 1.2 The outturn presented in the performance tables (Appendix A) incorporates an overview of performance that needs to be considered alongside the current financial situation of the Council.
- 1.3 The financial resources required to achieve the specified performance levels in 2018/19 have been provided in the approved budget. As part of the work on *Sustainable Swansea – Fit for the future* there will be an

increased focus on understanding the level of activity and outcomes that are achieved for the budget allocated so that choices can be made about relative priorities.

2.0 Performance and Improvement

- 2.1 Performance is judged using the results measured by Corporate Plan performance indicators compared to agreed targets.
- 2.2 Improvement is measured by comparing the results of Corporate Plan performance indicators against the results from the same period last year where comparison is possible.
- 2.3 It is important to point out that each of the corporate priorities cannot be seen in isolation from each other. Each priority both affects and is affected by the others. For example, Improving Education and Skills is both important to our efforts to tackle poverty and improve the economy. For this reason, many of the performance indicators allocated to measuring one priority can also be used to show progress meeting other priorities.

3.0 Outturn

- 3.1 The Corporate Plan performance indicators measure progress meeting the following key priorities:
 - i) Safeguarding people from harm.
 - ii) Improving education and skills.
 - iii) Transforming our economy & infrastructure.
 - iv) Tackling poverty.
 - v) Transformation & future Council development.
- 3.2 The outturn for Quarter 1 2018/19 shows that **32 out of 42 (76%)** Corporate Plan performance indicators (that had targets and where there was data) met their targets. **32 out of 36 (61%)** comparable Corporate Plan performance indicators also showed improvement compared to Quarter 1 2017/18.
- 3.3 The performance tables in Appendix A also set out an overview of performance for each Corporate Plan priority provided by Directors and Heads of Service who are the responsible leads; these overviews are set out in para 4.0.

4.0 Context: Overviews of Performance in Quarter 1 2018/19

- 4.0.1 The following overviews provided by responsible departments describe the context to the performance meeting the Council's key priorities as at the end of 2017/18.

4.1 *Safeguarding people from harm*

- 4.1.1 Overall performance across the range of indicators demonstrates the anticipated, significant progress following key infrastructure developments including the redesign of our frontline child protection service, the development of a dedicated Dols (Deprivation of Liberty Safeguarding) team and centralising the adult services safeguarding function.
- 4.1.2 High levels of demand continue to be a challenge but our arrangements remain robust and resilient.
- 4.1.3 Now that the majority of staff within the Council have received a proportionate level of safeguarding training, we will need to consider whether a revised indicator is required going forward.
- 4.1.4 The responsible Cabinet Member continues to follow up with individual Elected Members who do not appear to have complied with undertaking the mandatory training. There is some evidence that Councillors have received the training via other means for example as part of other employment. This may indicate that the published figure under-reports the level of compliance.

4.2 *Improving education & skills*

- 4.2.1 The performance indicator results demonstrate an improving picture overall with improvements on the previous year's results for the expected outcomes at foundation phase, key stage 2 and key stage 3.
- 4.2.2 Despite an increase in percentages to the previous year, some targets have been missed and there continues to be work to support schools on accurate teacher assessment and ensure that pupils are well within the level of performance required. There is a disparity between targets and outputs in key stage 4 indicators. Targets were difficult to predict due to the significant changes to qualifications and the loss of key skills counting towards these indicators. However, Swansea's performance was above the expected benchmark level and results should not be compared with previous years as performance across Wales declined.
- 4.2.3 The rate of improvement has slowed across the national tests. Welsh Government have clearly stated that these tests should be used diagnostically rather than as an accountability measure and schools are now taking this on board.
- 4.2.4 The Partneriaeth Sgiliau Abertawe/Swansea Skills Partnership (PSA) has now been launched in the summer term of 2018 and includes membership from all education sectors in the authority. The aim of this partnership will work towards a number of steps to meet the wellbeing objectives in the corporate plan including ensuring that the skills and qualifications that children and young people attain meet the longer-term aspirations of the city, including those that will arise from the Swansea Bay City Deal.

4.2.5 Attendance continues to be closely monitored due to the importance of children and young people attending school regularly to achieve the skills and qualifications they need. The highest ever results for Swansea were achieved in the 2016-2017 academic year, however the challenging targets were not realised. Further challenge will be required to ensure high levels of attendance across schools.

4.2.6 The level of children becoming NEET was unchanged from the previous year. The Cynnydd project continues to support children who are at risk of becoming NEET, providing tailored interventions to individual pupils in key stages 3 and 4 to prevent them from becoming disengaged from learning.

4.3 *Transforming our economy and infrastructure*

4.3.1 Performance this quarter shows that we have achieved our targets against all but one of the key indicators and we are therefore making solid progress in delivering our objectives.

4.3.2 Over 688 Training and employment person weeks have been created this quarter by the Council's Beyond Bricks & Mortar scheme for the unemployed and economically inactive. However, the number of apprenticeships or trainee starts in the Council has failed to hit target owing to a current shortage of staff resource in this area. This will be addressed with the recruitment of an additional officer within the team. The percentage of all Planning Applications determined within 8 weeks is above target at just over 89%, and so is the percentage of major applications approved at 100%.

4.3.3 Looking at some of the major regeneration priorities, the procurement of the primary contractor for Digital Square & Arena is progressing and contract procurement recommendations will be reported shortly. Enabling works are set to start on site August 2018, with the main works commencing early in the New Year. The Kingsway infrastructure project has commenced and significant progress has been made on site. Multi-disciplinary consultants have also been appointed and work commenced to the review proposals (phase 1) for the Employment Hub with a view to development of the project. A digital services consultant has also been appointed to advise on the digital technology aspects of the project.

4.3.4 The Local Development Plan Inquiry is well advanced; however, the completion of public examination has been delayed until September owing to illness of the Planning Inspector. Work also continues to progress other key objectives to transform our Economy & Infrastructure, such as Hafod Copperworks where the HLF Stage 2 application has been submitted and a decision is anticipated in September. Heads of terms have been agreed for Penderyn and Skyline. The tender process to appoint the development manager for the Castle Square project has also commenced.

- 4.3.5 A series of major music events took place this last quarter, with the BBC Music Biggest Weekend, Swansea, attracting over 60,000 visitors to the city. This was supported by a 'Music Academy' which brought Radio 1 DJ's, musicians and producers to the city to deliver training and live performances with schools and young people in multiple venues in the weeks leading up to the concert, helping to establish the Swansea Music Hub and network for live music in the city. Along with Little Mix and the Killers at the Liberty and the largest Wales Airshow yet, an annual programme of large-scale events, with international focus is establishing itself.
- 4.3.6 Talks continue with the Welsh Government, Arts Council and City partners to finalise plans for the next three years' programming and international exchange. This capitalises on the Wales in China and British Council in India links, which have led to two major exhibitions opening in Swansea this last month, utilising a number of city centre venues and attracting coverage in the national broadsheets. The focus on cultural tourism and joint working with Welsh Government to promote Swansea as a strategic destination also led to us welcoming hundreds of visitors on HM Amadea, which docked in Swansea on 20th July. 620 German passengers participated in excursions across the city, Mumbles and Gower.
- 4.3.7 Work has commenced on this year's £54m rolling Capital Programme to improve Council properties up to the Welsh Housing Quality Standard. The second phase of the More Homes project is underway with a further 2 sites identified for development at Parc Y Helyg and Colliers Way Phase 2.

4.4 *Tackling Poverty*

- 4.4.1 The performance indicators demonstrate some of the supporting factors enabling the Council to tackle poverty and move people towards prosperity. In terms of delivering the "Steps to meet the Well-being Objectives" in the Corporate Plan for Tackling Poverty 17-22 we are:
- Implementing the revised Poverty Strategy to empower local people; and changing cultures to emphasise tackling poverty is everyone's business; and targeting resources to maximise access to opportunity and prosperity.
 - Working with our Health partners to ensure that, through our Early Years' Strategy, children in their early years and at Foundation Phase achieve their expected language, emotional, social and cognitive development and are ready for learning and for school.
 - Ensuring that young people are able to access employment, education or training after reaching 16 years of age through our Youth Progression Framework.
 - Helping to address the impacts of Welfare reform, such as supporting people to claim the full benefits they are entitled to so that they are able to maximise their income.
 - Investing to improve housing and to build more energy efficient Council homes and affordable housing which will help meet housing need,

reduce fuel bills, regenerate estates and bring wider economic and employment benefits.

- Preventing homelessness and supporting people to maintain their tenancies to help maintain stability and security for families, safeguard their health and well-being and prevent social exclusion.
- Exploring the creation of our own energy venture to provide low-cost energy to homes helping to tackle high domestic fuel bills and fuel poverty.
- Supporting the tackling of climate change and helping to eradicate fuel poverty and boost economic development through the ARBED scheme and energy efficiency measures in social housing.
- Exploring tax relief and support for food bank locations and encouraging businesses to reduce food waste by supplying goods to local food banks, whilst exploring sustainable options for reducing food poverty.
- Piloting 30 hours of free childcare in conjunction with the Welsh Government; as well as evaluating the impact on poverty and working to ensure every community has a reliable, affordable and quality bus service to help reduce barriers to employment.
- Supporting individuals to overcome their barriers to employment through our person-centred employability approach, Swansea Working.
- Helping Swansea's poorest communities to tackle poverty by accessing arts, culture and heritage in order to boost skills, confidence, self-esteem and aspiration.
- Implementing the Community Cohesion Delivery Plan to promote cohesive and inclusive communities in Swansea.

4.4.2 We have seen a reduction in performance in a number of indicators this Quarter. An explanation is included against each of the individual KPI's concerned and the reasons are generally systemic, often outside of our direct control and, we anticipate, will show measurable improvement by the end of the next Quarter

4.5 *Transformation & future Council development*

4.5.1 During Quarter 1 work began on reviewing the Corporate Plan. This will involve a wide range of stakeholders and partners and will be informed by local, regional and national data and strategic analysis. Work is also underway to review the Council's transformation strategy, now in its fourth year. £60m has been delivered, mostly through a focused programme of Commissioning Reviews and other targeted change projects, which are now well into implementation.

4.5.2 The digital work delivered during 2017-18 is contributing to the improved performance of CUST 2a (online payments) and b (online forms).

4.5.3 Although FINA6 (identified forecast savings and income) indicates a positive 85% for Quarter 1, this is far from fully assured. There are risks around: the timing of in-year savings; emerging service pressures (particularly in Adult Social Services and teachers' pay in Education); and a forecast budget gap. These risks and the overall Sustainable Swansea

tracker (budget and transformation activity) are being closely managed and monitored by Corporate Management Team.

- 4.5.4 A corporate approach to co-production is underway, training has begun and senior leaders are involved in strategic planning. A new indicator will be devised to track progress and community outcomes as a result of a co-productive approach.
- 4.5.5 Pilots around flexible working are being designed to help improve CHR002 (PAM001 – staff sickness). Research and case studies demonstrate flexible working can significantly contribute to staff well-being. However, Council services are very diverse, therefore the pilots need to adapt to the different services and roles across the Council.

5.0 Considerations

- 5.1 When making comparisons between previous quarters and 2017/18, the following should be considered:
 - 5.1.1 The nature and number of some performance indicators (PIs) has changed between these two periods and therefore direct comparisons may not always be appropriate.
 - 5.1.2 Many of the performance measures are new and definitions may need further refinement.
 - 5.1.3 Some targets for new performance indicators are still being baselined.
 - 5.1.4 Some data will be enhanced and improved to be more robust as data collection methods are developed and / or refined by services over the coming quarters.
 - 5.1.5 The results do not always account for changes in resources and workload during that period (although details can be seen in the numerator and denominator information and in the comments column of the data tables attached to this report).
 - 5.1.6 There may be changes to the numerator and denominator information that may affect the trends by showing a decline while the volume of work has increased.

6.0 Equality & Engagement Implications

- 6.1 This report has no direct equality and engagement implications itself although the data reported may form part of the information that leads to a service screening for and undertaking an EIA as required.

7.0 Financial Implications

- 7.1 In the current and anticipated financial environment further discussion and consideration will be required around priorities and target setting for

performance improvement as part of *Sustainable Swansea – fit for the future*.

8.0 Legal Implications

8.1 There are no legal implications associated with this report.

Background Papers: None.

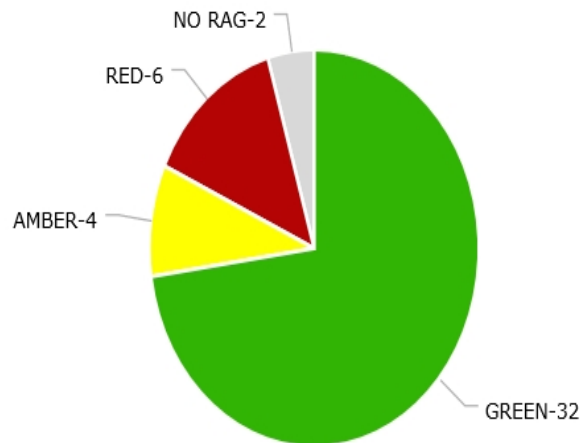
Appendices: Appendix A – Quarter 1 2018/19 Performance Monitoring Report.

Corporate Performance Management Report Q1 2018/2019

JS chart by amCharts

Performance against Target - Overall Council Summary

2018/2019 Quarter 1



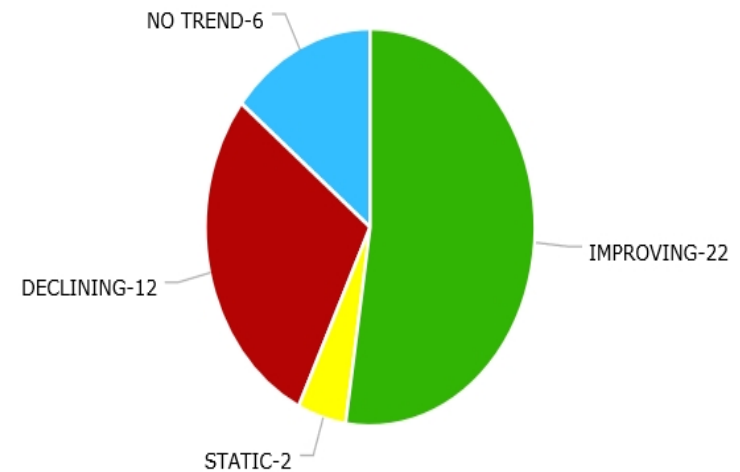
Performance against the target:

GREEN	Met or exceeded target
AMBER	Missed target (less than 5%)
RED	Missed target (more than 5%)
NO RAG	No target set

JS chart by amCharts

Performance compared to same Period of previous year

2018/2019 Quarter 1



Performance compared to the same period of the previous year:

IMPROVING	Better performance
STATIC	Same performance
DECLINING	Worse performance
NO TREND	New indicator - No historical comparison

Overall performance across the range of indicators demonstrates the anticipated, significant progress following key infrastructure developments including the redesign of our frontline child protection service, the development of a dedicated Dols team and centralising the adult services safeguarding function.

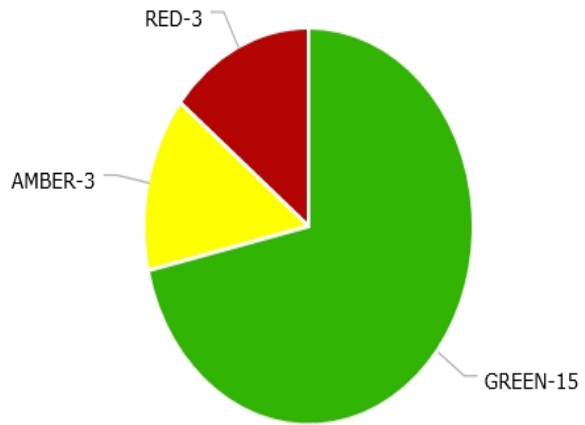
High levels of demand continue to be a challenge but our arrangements remain robust and resilient.

Now that the majority of staff within the Council have received a proportionate level of safeguarding training, we will need to consider whether a revised indicator is required going forward.

The responsible Cabinet Member continues to follow up with individual Elected Members who do not appear to have complied with undertaking the mandatory training. There is some evidence that Councillors have received the training via other means for example as part of other employment. This may indicate that the published figure under reports the level of compliance.

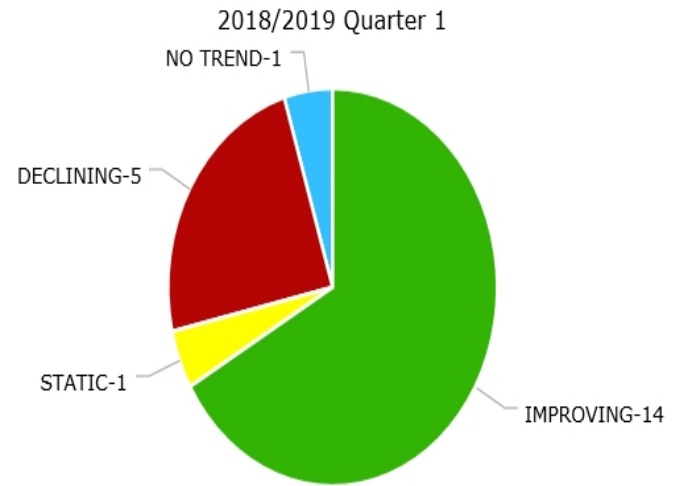
JS chart by amCharts

Performance against Target
2018/2019 Quarter 1





JS chart by amCharts



Performance compared to same Period of previous year



Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
AS10 ↑ Percentage of annual reviews of care and support plans completed in adult services	RAG		GREEN	AMBER	Good progress made on this indicator due to focus in Mental Health and Learning Disability teams on improving performance.
	Result		67.37%	68.98%	
	Target		65.00%	70.00%	
	Trend	No Data	DECLINING	IMPROVING	
	Num	3898.00	4105.00	4058.00	
	Den	5671.00	6093.00	5883.00	
S11 ↓ Rate of adults aged 65+ receiving care and support to meet their well-being needs per 1,000 population	RAG		GREEN	GREEN	
	Result		87.70	64.78	
	Target		88.00	81.00	
	Trend	No Data	DECLINING	IMPROVING	
	Num	3168.00	4141.00	3080.00	
	Den	47220.00	47220.00	47549.00	

Safeguarding 17-22

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
AS12  Rate of adults aged 18-64 receiving care and support to meet their well-being needs per 1,000 population	RAG		GREEN	GREEN	
	Result		9.47	8.28	
	Target		11.00	9.00	
	Trend	No Data	IMPROVING	IMPROVING	
	Num	1535.00	1420.00	1248.00	
	Den	149958.00	149958.00	150659.00	
S13  Number of carers (aged 18+) who received a carer's assessment in their own right during the year	RAG		GREEN	GREEN	
	Result		102.16	197.00	
	Target		82.00	175.00	
	Trend	No Data	No Data	IMPROVING	
	Num		142.00	197.00	
	Den		1390.00		



Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
AS14  The percentage of people who have completed reablement who were receiving less care or no care 6 months after the end of reablement.	RAG		GREEN	GREEN	
	Result		82.79%	83.57%	
	Target		82.00%	80.00%	
	Trend	No Data	IMPROVING	IMPROVING	
	Num	81.00	202.00	117.00	
	Den	120.00	244.00	140.00	
AS15  The percentage of statutory performance indicators where performance is maintained or improving	RAG		GREEN	GREEN	Although performance has improved over the last quarter, performance is not as good as this time last year. This is due to 2 indicators where performance has either not been maintained or improved, namely Measures 19 and 23. Work is ongoing to improve performance in these areas.
	Result		86.00%	71.00%	
	Target		80.00%	70.00%	
	Trend	No Data	No Data	DECLINING	
	Num		6.00	5.00	
	Den		7.00	7.00	



Safeguarding 17-22

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
AS8 ↑ Percentage of adult protection referrals to Adult Services where decision is taken within 24 hours (i.e. 1 working day)	RAG	RED	GREEN	GREEN	
	Result	41.10%	65.23%	70.23%	
	Target	50.00%	65.00%	65.00%	
	Trend	No Data	IMPROVING	IMPROVING	
	Num	127.00	212.00	210.00	
	Den	309.00	325.00	299.00	
AS9 ↑ The percentage of Deprivation of Liberty Safeguarding (DoLS) Assessments completed in 21 days or less.	RAG		AMBER	RED	It continues to be a challenge to process DoLS assessments within the statutory timescales due to the high number of assessments submitted. The new dedicated team came into effect on 2nd July however, so we anticipate an improvement in performance over the next quarter.
	Result		58.60%	50.60%	
	Target		60.00%	70.00%	
	Trend	No Data	DECLINING	DECLINING	
	Num	284.00	246.00	243.00	
	Den	467.00	420.00	480.00	

Safeguarding 17-22

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
CFS14 ↑ The percentage of decisions about a referral for care and support received by Child and Family Services which are taken within 24 hrs from receipt of referral.	RAG	GREEN	GREEN	GREEN	
	Result	100.00%	100.00%	100.00%	
	Target	100.00%	100.00%	100.00%	
	Trend	STATIC	STATIC	STATIC	
	Num	508.00	555.00	362.00	
	Den	508.00	555.00	362.00	
CFS16 ↑ The percentage of initial core group meetings held within 10 working days of the initial child protection conference.	RAG	GREEN	AMBER	GREEN	Fractional decline in performance from the last period. Performance remains above target.
	Result	93.75%	88.79%	92.71%	
	Target	92.00%	90.00%	89.00%	
	Trend	DECLINING	DECLINING	IMPROVING	
	Num	60.00	95.00	89.00	
	Den	64.00	107.00	96.00	

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
CFS18  The number of children looked after per 10,000 of the 0-17 Swansea population.	RAG		AMBER	GREEN	The number of Looked after children increased slightly in 2017/18. Following completion of a number of high profile projects, we are now in a position to renew our focus on achieving the aims of the Safe LAC Reduction Strategy continuing on with our work to safely reduce numbers of children coming into care and increase the numbers returning home. Although we have a higher population than 12 months ago, this work has already seen the looked after population decrease from its peak in Q4 2017/18.
	Result		104.62	108.52	
	Target		100.00	109.00	
	Trend	No Data	IMPROVING	DECLINING	
	Num	496.00	492.00	513.00	
	Den	47026.00	47026.00	47272.00	
CFS19  The number of children on the Local Authority's Child Protection Register per 10,000 of the 0-17 Swansea population.	RAG		GREEN	GREEN	
	Result		54.23	53.31	
	Target		60.00	55.00	
	Trend	No Data	DECLINING	IMPROVING	
	Num	206.00	255.00	252.00	
	Den	47026.00	47026.00	47272.00	



Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
CFS20  The number of children in need of care and support per 10,000 of the 0-17 Swansea population.	RAG		RED	GREEN	
	Result		236.46	186.58	
	Target		190.00	205.00	
	Trend	No Data	DECLINING	IMPROVING	
	Num	1039.00	1112.00	882.00	
	Den	47026.00	47026.00	47272.00	
CFS21  Percentage of all statutory indicators for Child & Family Services that have maintained or improved performance from the previous year.	RAG			RED	Statutory Indicators show a minor decline from figures at the same time last year. Changes to the overall numbers of people with care and support, the redesign of supported care planning and continued work on processes in the looked after system means that we are better prepared to deliver high quality services to children and families in Swansea. We hope that all indicators show improvement by the end of Q3 2018/19.
	Result			20.00%	
	Target			80.00%	
	Trend	No Data	No Data	No Data	
	Num			1.00	
	Den			5.00	

Safeguarding 17-22

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
Measure 18 ↑ The percentage of adult protection enquiries completed within 7 days	RAG	RED	GREEN	GREEN	
	Result	68.93%	92.92%	97.32%	
	Target	100.00%	90.00%	90.00%	
	Trend	No Data	IMPROVING	IMPROVING	
	Num	213.00	302.00	291.00	
	Den	309.00	325.00	299.00	
Measure 19 (PAM025) ↓ The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 or over	RAG	GREEN	GREEN	RED	There was a slight deterioration in performance in June which impacted on the overall level of performance. Measures are in place however to ensure that delays are kept to a minimum and the situation is being closely monitored.
	Result	1.20	0.92	1.69	
	Target	6.00	1.00	1.50	
	Trend	No Data	IMPROVING	DECLINING	
	Num	26.00	20.00	37.00	
	Den	21619.00	21672.00	21956.00	

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
Measure 24 (PAM028) ↑ The percentage of assessments completed for children within statutory timescales	RAG	GREEN	RED	AMBER	An improvement from the last period as the effects of the Supported Care Planning redesign begin to take shape. We hope to be above target for this indicator by the end of Q3 2018/19.
	Result	97.02%	76.22%	86.41%	
	Target	0.00%	86.00%	90.00%	
	Trend	No Data	DECLINING	IMPROVING	
	Num	228.00	250.00	178.00	
	Den	235.00	328.00	206.00	
Measure 28 ↓ The average length of time for all children who were on the Child Protection Register (CPR) during the year	RAG	GREEN	GREEN	GREEN	Within acceptable boundaries.
	Result	236.18	199.00	237.19	
	Target	280.00	300.00	300.00	
	Trend	No Data	IMPROVING	DECLINING	
	Num	16060.00	22330.00	22296.00	
	Den	68.00	112.00	94.00	

Safeguarding 17-22

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
SAFE27  Total number of staff who have completed the corporate mandatory safeguarding awareness training (excludes school based staff)	RAG		RED	GREEN	103 staff completed both adult and child modules: 98 staff completed one module: 0 staff completed face to face training. Results from e-learning and Oracle
	Result		176.00	201.00	
	Target		200.00	175.00	
	Trend	No Data	No Data	IMPROVING	
	Num		176.00	201.00	
	Den				
SAFE8b  Percentage of Elected Members who have received training in safeguarding vulnerable people	RAG		GREEN	AMBER	No elected members have completed training in this period. To date 59 elected members have completed the training .
	Result		47.22%	81.90%	
	Target		25.00%	85.00%	
	Trend	No Data	No Data	IMPROVING	
	Num		34.00	59.00	
	Den		72.00	72.00	

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
SUSC5 ↑ Number of new requests for local area co-ordination	RAG	GREEN	GREEN	GREEN	
	Result	38.00	74.00	97.00	
	Target	35.00	60.00	75.00	
	Trend	No Data	IMPROVING	IMPROVING	
	Num	38.00	74.00	97.00	
	Den				

The performance indicator results demonstrate an improving picture overall with improvements on the previous year's results for the expected outcomes at foundation phase, key stage 2 and key stage 3. Despite an increase in percentages to the previous year, some targets have been missed and there continues to be work to support schools on accurate teacher assessment and ensure that pupils are well within the level of performance required. There is a disparity between targets and outputs in key stage 4 indicators. Targets were difficult to predict due to the significant changes to qualifications and the loss of key skills counting towards these indicators. However, Swansea's performance was above the expected benchmark level and results should not be compared with previous years as performance across Wales declined.

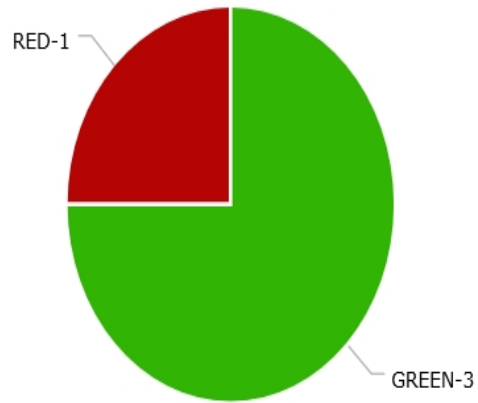
The rate of improvement has slowed across the national tests. Welsh Government have clearly stated that these tests should be used diagnostically rather than as an accountability measure and schools are now taking this on board.

The Partneriaeth Sgiliau Abertawe/Swansea Skills Partnership (PSA) has now been launched in the summer term of 2018 and includes membership from all education sectors in the authority. The aim of this partnership will work towards a number of steps to meet the wellbeing objectives in the corporate plan including ensuring that the skills and qualifications that children and young people attain meet the longer term aspirations of the city, including those that will arise from the Swansea Bay City Deal.

Attendance continues to be closely monitored due to the importance of children and young people attending school regularly to achieve the skills and qualifications they need. The highest ever results for Swansea were achieved in the 2016-2017 academic year, however the challenging targets were not realised. Further challenge will be required to ensure high levels of attendance across schools. The level of children becoming NEET was unchanged from the previous year. The Cynnydd project continues to support children who are at risk of becoming NEET, providing tailored interventions to individual pupils in key stages 3 and 4 to prevent them from becoming disengaged from learning.

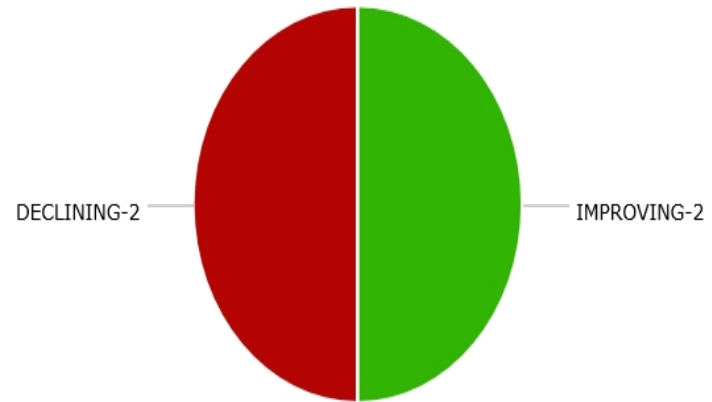
JS chart by amCharts

Performance against Target
2018/2019 Quarter 1



JS chart by amCharts

Performance compared to same Period of previous year
2018/2019 Quarter 1



Education & Skills 17-22

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
BBMA4 ↑ The number of apprenticeships or trainee starts in the Council	RAG		GREEN	RED	No other apprenticeships have been notified as started this quarter. It is anticipated that most apprenticeships will start at the end of the Quarter 2 period to coincide with the start of the college academic year.
	Result		1.00	2.00	
	Target		1.00	5.00	
	Trend	No Data	No Data	IMPROVING	
	Num		1.00	2.00	
	Den				
DU016a (PAM007) ↑ Percentage of pupil attendance in primary schools	RAG	GREEN	GREEN	GREEN	Spring term attendance is lower than the same period last year. This was primarily due to an increase in pupil sickness absence in the early part of the term. Since then, improved attendance has resumed and underlying attendance patterns remain good. Challenge Advisers challenge attendance during school core support visits. There is targeted support in place for non-attendance through the Education Welfare Service and referral procedures in place to support services where required.
	Result	94.26%	95.40%	94.70%	
	Target	94.00%	94.00%	94.00%	
	Trend	DECLINING	IMPROVING	DECLINING	
	Num	1577539.00	1940695.00	1604664.00	
	Den	1673527.00	2034238.00	1694499.00	

Education & Skills 17-22

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
EDU016b (PAM008) ↑ Percentage of pupil attendance in secondary schools	RAG	GREEN	GREEN	GREEN	Challenge Advisers challenge attendance during school core support visits. There is targeted support in place for non-attendance through the Education Welfare Service and referral procedures in place to support services where required.
	Result	93.43%	93.65%	93.74%	
	Target	93.00%	93.00%	93.00%	
	Trend	DECLINING	IMPROVING	IMPROVING	
	Num	1180751.00	1407576.00	1161814.00	
	Den	1263808.00	1503075.00	1239349.00	
OV07 ↑ The number of training and employment person weeks created by BBM for unemployed and economically inactive.	RAG		GREEN	GREEN	The number of training weeks will vary depending on when projects commence on site. It is anticipated that the target will be achieved by the end of the financial year.
	Result		806.00	688.00	
	Target		500.00	450.00	
	Trend	No Data	No Data	DECLINING	
	Num		806.00	688.00	
	Den				

Performance this quarter shows that the majority of targets have been achieved. It is particularly pleasing to see that the percentage of all Planning Applications determined within 8 weeks is above target at just over 89%, and so is the percentage of major applications approved at 100%. There is a transition taking place between the regeneration programmes - "Vibrant & Viable Places" to "Targeted Regeneration Investment" and as such targets for housing units created and commercial floorspace created are yet to be agreed, however, we are hopeful that this will be in place shortly when the new programme is formally approved by Welsh Government.

Looking at some of the major regeneration priorities, the procurement of the primary contractor for Digital Square & Arena is progressing and contract procurement recommendations will be reported shortly. Enabling works are set to start on site August 2018, with the main works commencing early in the New Year. The Kingsway infrastructure project has commenced and significant progress has been made on site. Multi-disciplinary consultants have also been appointed and work commenced to the review proposals (phase 1) for the Employment Hub with a view to development of the project. A digital services consultant has also been appointed to advise on the digital technology aspects of the project.

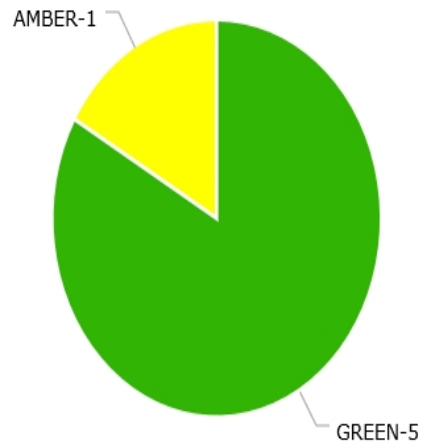
The Local Development Plan Inquiry is well advanced, however, the completion of public examination has been delayed until September owing to illness of the Planning Inspector. Work also continues to progress other key objectives to transform our Economy & Infrastructure, such as Hafod Copperworks where the HLF Stage 2 application has been submitted and a decision is anticipated in September. Heads of terms have been agreed for Penderyn and Skyline. The tender process to appoint the development manager for the Castle Square project has also commenced.

Work has commenced on this year's £54m rolling Capital Programme to improve Council properties up to the Welsh Housing Quality Standard. The second phase of the More Homes project is underway with a further 2 sites identified for development at Parc Y Helyg and Colliers Way Phase 2.

A series of major music events took place this last quarter, with the BBC Music Biggest Weekend, Swansea, attracting over 60,000 visitors to the city. This was supported by a 'Music Academy' which brought Radio 1 DJ's, musicians and producers to the city to deliver training and live performances with schools and young people in multiple venues in the weeks leading up to the concert, helping to establish the Swansea Music Hub and network for live music in the city. Along with Little Mix and the Killers at the Liberty and the largest Wales Airshow yet, an annual programme of large scale events, with international focus is establishing itself. Talks continue with Welsh Govt. Arts Council and city partners to finalise plans for the next three years' programming and international exchange, capitalising on the Wales in China and British Council in India links which have led to two major exhibitions opening in Swansea this last month, utilising a number of city centre venues and attracting coverage in the national broadsheets. The focus on cultural tourism and joint working with Welsh Govt. to promote Swansea as a strategic destination also led to the us welcoming hundreds of visitors on HM Amadea, which docked in Swansea on 20th July. 620 German passengers participated in excursions across the city, Mumbles and Gower.

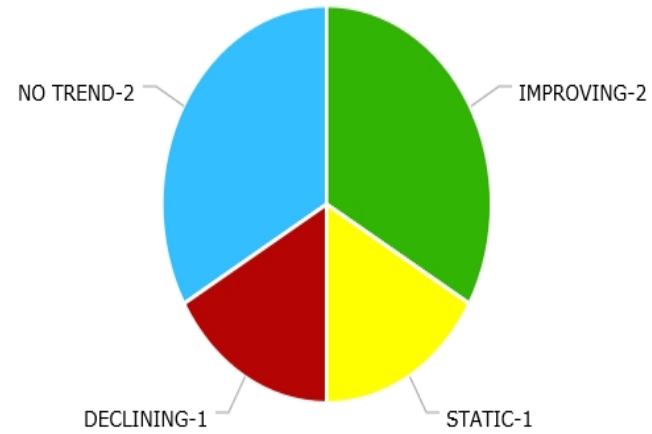
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Performance against Target
2018/2019 Quarter 1





JS chart by amCharts

Performance compared to same Period of previous year
2018/2019 Quarter 1



Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
BBMA1  The number of projects with social benefit clauses and Beyond Bricks & Mortar in their contracts	RAG		GREEN	GREEN	The number of projects started will vary, delays inevitably affect the achievement of targets.
	Result		3.00	5.00	
	Target		2.00	4.00	
	Trend	No Data	No Data	IMPROVING	
	Num		3.00	5.00	
	Den				
C2  The Percentage of all major applications with an economic imperative that are approved	RAG	RED	GREEN	GREEN	
	Result	77.78%	100.00%	100.00%	
	Target	85.00%	85.00%	85.00%	
	Trend	DECLINING	IMPROVING	STATIC	
	Num	7.00	4.00	9.00	
	Den	9.00	4.00	9.00	

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
EC5  Amount of commercial floorspace (m ²) created within the City Centre to accommodate job creation	RAG			GREEN	This is a new performance indicator for new funding streams starting this financial year, project delivery will begin in September and the first outputs are expected in Q4 18/19. From now on this output will be measured cumulatively in year.
	Result			0.00	
	Target			0.00	
	Trend	No Data	No Data	No Data	
	Num			0.00	
	Den				
EC6  Number of new housing units created in Swansea City Centre as a result of Targeted Regeneration Investment Programme (TRIP) funding	RAG			GREEN	This is a new performance indicator for new funding streams starting this financial year, project delivery will begin in September and the first outputs are expected in Q4 18/19. From now on this output will be measured cumulatively in year.
	Result			0.00	
	Target			0.00	
	Trend	No Data	No Data	No Data	
	Num			0.00	
	Den				

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
EP28 ↑ The percentage of all planning applications determined within 8 weeks.	RAG	GREEN	GREEN	GREEN	
	Result	89.60%	88.84%	89.35%	
	Target	80.00%	80.00%	80.00%	
	Trend	IMPROVING	DECLINING	IMPROVING	
	Num	431.00	422.00	470.00	
	Den	481.00	475.00	526.00	
WMT009b (PAM030) ↑ The percentage of municipal waste collected by local authorities and prepared for reuse and/or recycled, including source segregated biowastes that are composted or treated biologically in another way	RAG	GREEN	GREEN	AMBER	The figures provided are for Jan-March 2018 i.e. one quarter behind as with previous returns, due to a unavoidable delay in gathering and submitting data for approval . There is an annual target of 62.5% but due to seasonal fluctuations in the tonnage of recycling collected not all quarters surpass the annual target
	Result	59.25%	63.15%	59.86%	
	Target	58.00%	58.00%	62.00%	
	Trend	IMPROVING	IMPROVING	DECLINING	
	Num	17066.33	16732.66	15325.89	
	Den	28804.01	26496.50	25603.75	

The performance indicators demonstrate some of the supporting factors enabling the Council to tackle poverty (Corporate Priority) and move people towards prosperity.

In terms of delivering the 'Steps to meet the Well-being Objectives' in the Corporate Plan for Tackling Poverty 17-22 we are:

. Implementing the revised Poverty Strategy to empower local people, change cultures to emphasise tackling poverty is everyone's business and target resources to maximise access to opportunity and prosperity.

-Working with our Health partners to ensure that, through our Early Years Strategy, children in their early years and at Foundation Phase achieve their expected language, emotional, social and cognitive development and are ready for learning and for school.

-Through our Youth Progression Framework, ensuring that young people are able to access employment, education or training after reaching 16 years of age.

-Helping to address the impacts of Welfare reform, such as supporting people to claim the full benefits they are entitled to so that they are able to maximise their income.

-Investing to improve housing and build more energy efficient Council homes and affordable housing to help meet housing need, reduce fuel bills, regenerate estates and bring wider economic and employment benefits.

-Preventing homelessness and support people to maintain their tenancies to help maintain stability and security for families, safeguard health and well-being and prevent social exclusion.

-Exploring creating our own energy venture to provide low-cost energy to homes helping to tackle high domestic fuel bills and fuel poverty.

-Supporting tackling climate change and help eradicate fuel poverty and boost economic development through the ARBED scheme and energy efficiency measures in social housing.

-Exploring tax relief and support for food bank locations and encourage businesses to reduce food waste by supplying goods to local food banks, whilst exploring sustainable options for reducing food poverty.

-Piloting 30 hours of free childcare in conjunction with the Welsh Government; evaluating the impact on poverty and working to ensure every community has a reliable, affordable and quality bus service to help reduce barriers to employment.

-Supporting individuals to overcome their barriers to employment through our person-centred employability approach, Swansea Working

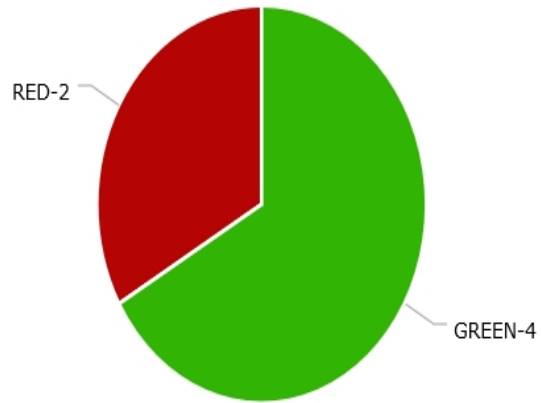
-Helping Swansea's poorest communities tackle poverty by accessing arts, culture and heritage in order to boost skills, confidence, self-esteem and aspiration.

-Implementing the Community Cohesion Delivery Plan to promote cohesive and inclusive communities in Swansea.

We have this Quarter, seen a reduction in performance in a number of indicators. An explanation is included against each of the individual KPI's concerned and the reasons are generally systemic, often outside of our direct control and, we anticipate, will show measurable improvement by the end of the next Quarter.

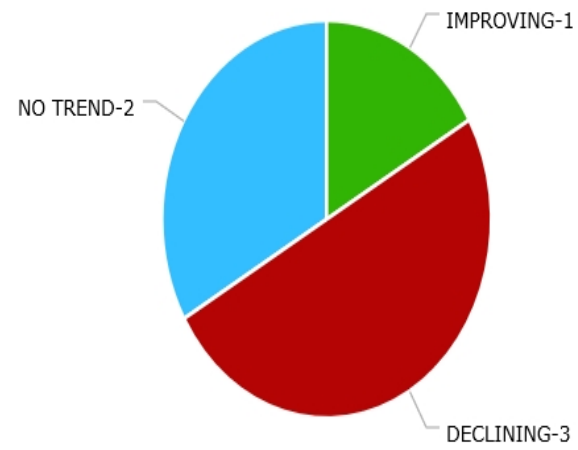
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Performance against Target
2018/2019 Quarter 1





JS chart by amCharts



Performance compared to same Period of previous year
2018/2019 Quarter 1





Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
HBCT01a ↴ Housing Benefit Speed of Processing: Average time for processing new claims.	RAG	AMBER	GREEN		Data not available at this time as system used to produce the data is no longer available at short notice - we are looking at alternative methods to obtain the information required as soon as possible.
	Result	19.10	17.25		
	Target	19.00	19.00		
	Trend	DECLINING	IMPROVING		
	Num	28538.00	25484.00		
	Den	1494.00	1477.00		
HBCT01b ↴ Housing Benefit Speed of Processing: Average time for processing notifications of change in circumstances.	RAG	GREEN	GREEN		Data not available automatically at this time as system used to produce the data is no longer available in same format - we are looking at alternative methods to obtain the information required as soon as possible.
	Result	5.59	6.06		
	Target	7.00	7.00		
	Trend	DECLINING	DECLINING		
	Num	77136.00	82434.00		
	Den	13807.00	13601.00		

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
HBCT02a  Council Tax Reduction Speed of Processing: Average time for processing new claims.	RAG	RED	GREEN	GREEN	PI is worse by a day (approx) compared to last year as expected due to reductions in staffing and increased DWP work. However, there are improvements since the last quarter of over 2 days which is positive.
	Result	20.31	18.50	19.60	
	Target	19.00	22.00	22.00	
	Trend	DECLINING	IMPROVING	DECLINING	
	Num	32938.00	28672.00	25924.00	
	Den	1622.00	1550.00	1321.00	
HBCT02b  Council Tax Reduction Speed of Processing: Average time for processing notifications of change in circumstances.	RAG	GREEN	GREEN	GREEN	Performance is worse by a day (approx) compared to last year as expected due to reductions in staffing and increased DWP work. Although PI is worse compared to Q4 it remains well within target.
	Result	5.09	3.83	5.02	
	Target	7.00	8.00	8.00	
	Trend	DECLINING	IMPROVING	DECLINING	
	Num	81749.00	72777.00	84338.00	
	Den	16070.00	19018.00	16810.00	

Tackling Poverty 17-22

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
POV05  The amount of welfare benefits raised through securing rights and entitlements by the Welfare Rights Team	RAG	GREEN	RED	RED	Outstanding figures for a complex case have not been added - would be around £14,000. Figures are low due to 13 out of 20 appeals being postponed or adjourned. All appeals that went ahead, were successful. The appeals which were postponed or adjourned will be relisted.
	Result	243814.00	175546.00	122941.00	
	Target	200000.00	200000.00	200000.00	
	Trend	IMPROVING	DECLINING	DECLINING	
	Num	243814.00	175546.00	122940.65	
	Den				
POV06  The average number of days all homeless families with children spent in Bed and Breakfast accommodation	RAG	GREEN	GREEN	GREEN	
	Result	2.67	1.50	0.00	
	Target	7.00	6.00	6.00	
	Trend	IMPROVING	IMPROVING	IMPROVING	
	Num	8.00	3.00	0.00	
	Den	3.00	2.00	0.00	

Tackling Poverty 17-22

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
POV10  Number of people gaining employment through Employability Support	RAG			GREEN	One project has yet to start under this measure (Short term Unemployed) and a further project has only just begun to record outcomes.
	Result			128.00	
	Target			125.00	
	Trend	No Data	No Data	No Data	
	Num			128.00	
	Den				
POV11  Number of accredited qualifications achieved by adults with local Authority support	RAG			RED	One project has yet to start under this measure and a further project has only just begun to record outcomes. The Communities for Work programme only record accredited qualifications once the participant has exited the programme, these outcomes will be captured in future quarters.
	Result			117.00	
	Target			200.00	
	Trend	No Data	No Data	No Data	
	Num			117.00	
	Den				

During Qtr 1 work began on reviewing the Corporate Plan. This will involve a wide range of stakeholders and partners and will be informed by local, regional and national data and strategic analysis. Work is also underway to review the Council's transformation strategy, now in its fourth year. £60m has been delivered, mostly through a focused programme of Commissioning Reviews and other targeted change projects, which are now well into implementation.

The digital work delivered during 2017-18 is contributing to the improved performance of Cust 2a and b.

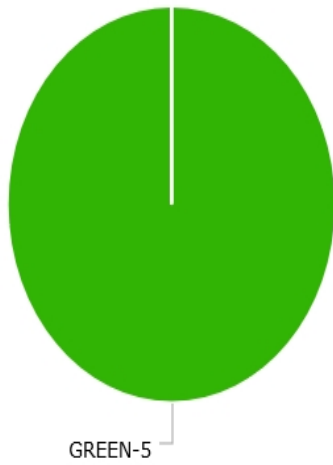
Although FINA6 indicates a positive 85% for Qtr 1, this is far from fully assured. There are risks around: the timing of in-year savings; emerging service pressures (particularly in Adult Social Services and teachers' pay in Education); and a forecast budget gap. These risks and the overall Sustainable Swansea tracker (budget and transformation activity) are being closely managed and monitored by Corporate Management Team.

A corporate approach to co-production is underway, training has begun and senior leaders are involved in strategic planning. A new indicator will be devised to track progress and community outcomes as a result of a co-productive approach.

Pilots around flexible working are being designed to help improve CHR002 (PAM001). Research and case studies demonstrate flexible working can significantly contribute to staff well-being. However, Council services are very diverse, therefore the pilots need to adapt to the different services and roles across the Council.

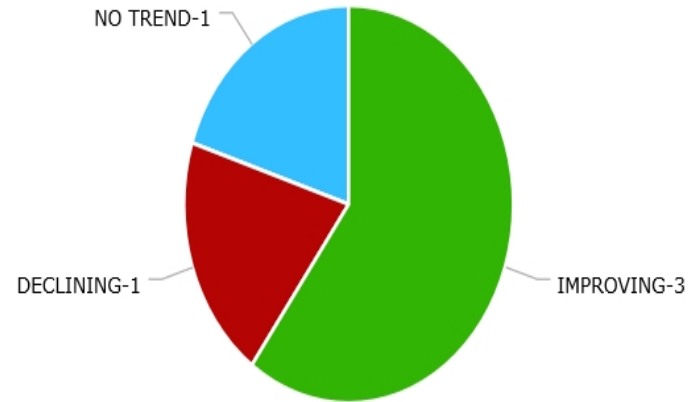
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Performance against Target
2018/2019 Quarter 1






JS chart by amCharts

Performance compared to same Period of previous year
2018/2019 Quarter 1



Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
CHR002 (PAM001)  The number of working days/shifts per full time equivalent lost due to sickness absence	RAG	RED	RED	GREEN	Under the new target agreed of 2.5, the Authority is below at 2.37, although the trend is for increased absence (2.25 last year). Work is continuing across the Authority to further reduce levels.
	Result	2.45	2.25	2.40	
	Target	2.00	2.00	2.50	
	Trend	DECLINING	IMPROVING	DECLINING	
	Num	23153.50	23145.00	21535.45	
	Den	9432.00	10299.00	9089.21	
UST2a  Number of online payments received via City and County of Swansea websites	RAG	GREEN	RED	GREEN	We have expanded the range of online payments available from Q1 2017/18. The number of invoices being paid online has also increased as service users are being reminded that they can 'do it online' if they choose to do so, via social media, the invoices themselves and contact with council staff.
	Result	43085.00	20697.00	22930.00	
	Target	43000.00	44000.00	20700.00	
	Trend	IMPROVING	DECLINING	IMPROVING	
	Num	43085.00	20697.00	22930.00	
	Den				

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
CUST2b  Number of forms completed online for fully automated processes.	RAG	GREEN	GREEN	GREEN	During each month of Q1, new services have been connected with the back office system for waste management. This has resulted in a higher volume of automated processes for high volume requests like bulk waste collection and recycling bag requests. We'll see the full impact of this during Q2. This automation has enabled them to reduce rekeying and has changed the way they work.
	Result	1246.00	3748.00	4692.00	
	Target	1246.00	3600.00	4500.00	
	Trend	No Data	IMPROVING	IMPROVING	
	Num	1246.00	3748.00	4692.00	
	Den				
FINA6  Percentage of identified forecast General Fund Revenue savings and income for the year compared to originally approved budget	RAG	RED	RED	GREEN	Although FINA6 indicates a positive 85% for Quarter 1, this is far from fully assured. There are risks around: the timing of in-year savings; emerging service pressures (particularly in Adult Social Services and teachers' pay in Education); and a forecast budget gap. These risks and the overall Sustainable Swansea tracker (budget and transformation activity) are being closely managed and monitored by Corporate Management Team
	Result	69.27%	62.09%	85.18%	
	Target	85.00%	85.00%	85.00%	
	Trend	DECLINING	DECLINING	IMPROVING	
	Num	15594.00	11627.00	14081.00	
	Den	22513.00	18727.00	16530.00	

Performance Indicator	KEY	2016/2017 Quarter 1	2017/2018 Quarter 1	2018/2019 Quarter 1	Comment-2018/2019
PROC12  Number of data breaches which has resulted in an enforcement or monetary penalty notice being issued by the Information Commissioners Office (ICO)	RAG			GREEN	
	Result			0.00	
	Target			0.00	
	Trend	No Data	No Data	No Data	
	Num			0.00	
	Den				

Agenda Item 11.



Report of the Cabinet Member for Education Improvement, Learning & Skills

Cabinet – 20 September 2018

Increased Planned Places at Ysgol Penybryn Special School

Purpose:	To report to members on the result of consultation and to seek approval for the publication of a statutory notice on the proposal to increase the planned places at Ysgol Penybryn Special School from April 2019.
Policy Framework:	Corporate priorities: <ul style="list-style-type: none">• Improving pupil attainment• Safeguarding vulnerable people
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that: <ol style="list-style-type: none">1) Approval is given to publish a statutory notice to increase the planned places at Ysgol Penybryn Special School from April 2019.2) The additional delegated revenue funding to support the establishment of these increased planned places within Penybryn Special School and associated potential additional transport costs are both accommodated within existing and future education overall revenue budgets.3) Cabinet consider any objections received during the statutory notice period and determine the outcome of the proposal at their meeting on 20 December
Report Author:	Kelly Small
Finance Officer:	Chris Davies
Legal Officer:	Stephanie Williams
Access to Services Officer:	Rhian Millar

1. Introduction

- 1.1 Special schools are funded on planned places. Ysgol Penybryn Special School is set up to cater for 130 pupils in total. There are 93 places (E band) for secondary aged pupils who have moderate to severe learning difficulties. The school also provides for pupils (both primary and secondary aged) with severe autism. There are 37 (G band) places for these pupils. School organisation regulations require a statutory proposal to take place if a special

school increases their planned places by more than 10% (or 20 places, whichever is the lesser) from a count date of 19 January 2013. Ysgol Penybryn Special School had 118 planned places on the count date and therefore require a statutory proposal to increase planned places over 130 (the current number of places).

- 1.2 Increasing planned places at Ysgol Penybryn Special School would alleviate pressure on the moderate autistic spectrum disorder Specialist Teaching Facilities (ASD STFs). The pupils with the more severe needs (i.e. high ASD symptomatology) would transfer to Ysgol Penybryn Special School, allowing the authority to place pupils with moderate ASD into the appropriate STFs. It would also alleviate pressure on secondary mainstream schools and STFs who are struggling to cope with the demands of managing pupils with more severe learning difficulties.
- 1.3 Cabinet agreed at a meeting held on 17 May 2018 that consultation should take place on increasing the number of planned places at Ysgol Penybryn Special School from April 2019. The consultation paper can be found at Appendix A.
- 1.4 **NB.** The figures for pupils and places in ASD STFs in the proposal that went for consultation (Appendix A) have changed since the proposal was written. All primary ASD STFs, including the newly opened Dunvant and Portmead Primary STFs, are full. Birchgrove Comprehensive ASD STF now only has three places left since opening in January 2018 and Dylan Thomas Comprehensive ASD STF is full.
- 1.5 Following this consultation period, Cabinet are now required to consider the responses received during the consultation period and decide if the proposal should move to the next stage – the publishing of statutory notices inviting any formal objections to the proposal.

2. Consultation Responses

- 2.1 All consultation responses have been made available for Cabinet to view. 179 responses were received with 160 of those responding being in support of the proposal, including 94 responses from learners. 9 of the responses did not express a view for or against the proposal and 10 responses were against the proposal.
- 2.2 The main objections to the proposal were around having more learners on site and the potential for increased class sizes, particularly with a larger cohort of the learners having ASD, and how this would affect learners with more severe and complex needs; however the school has recently been extended and the additional pupils would generate funding for new classes to be established and the school welcomes the new planned places for ASD learners. One objector also commented on the traffic infrastructure around the school; however the Traffic Management Assessment that has been produced shows that the additional taxis for learners would be minimal and could comfortably be accommodated on the school site, and this would continue to be reviewed as learners are admitted if the proposal is implemented.

- 2.3 Estyn were also required to comment on the proposal, as per the School Organisation Code, and no concerns were raised. A summary of the issues raised and the local authority response is attached in the consultation report at Appendix B.
- 2.4 Consultation meetings were held with parents, staff and governors who were supportive of the proposal. Notes of these meetings have been made available to Cabinet members.

3. Financial Implications

Capital

- 3.1 No capital funding is being sought as the school have used their own delegated funding to create additional classroom and ancillary spaces.

Revenue

- 3.2 The annual revenue costs for 20 additional planned places at Penybryn Special School i.e. 12 Band G places plus 8 Band E places, is £343,630 per annum once fully established (based on FY2017-2018 planned place funding, additional pupil numbers and adopting the revenue costs for the increase in floor area). This should be considered in the context that a single pupil placed into Ty Danycoed (independent sector), is costing the local authority in excess of £100,000 per annum.
- 3.3 The revenue funding would be delegated to Penybryn Special School each year. The school would then manage the staff and pupils accordingly.
- 3.4 There could be associated transport costs for the learners to attend the school, as per the Home to School Transport Policy; however it is anticipated that there will be reduced costs for out of county placements in other specialist provision, as well as potential for a reduction in associated Social Services costs.

4. Legal Implications

- 4.1 Increasing special school planned places above the current level at Penybryn Special School constitutes a Regulated Alteration which requires consultation and the publication of statutory notices in accordance with s44 and Schedule 2, Part 4, Paragraph 19 of the School Standards and Organisation (Wales) Act 2013 (“the Act”) and the Welsh Government’s School Organisation Code (Circular 006/2013) (the Code).
- 4.2 The Code provides statutory guidance a local authority must follow when seeking to making Regulated Alterations to education provision within a local authority area. The Code provides that:

Local authorities must ensure there are sufficient schools providing primary and secondary education for their area. Schools are regarded as sufficient if they are sufficient in number, character and equipment to provide for all pupils the opportunity of appropriate education. In order to fulfil these duties, local authorities must ensure that they plan thoroughly and engage fully with relevant

partners, including the appropriate religious bodies for schools serving their area which have a designated religious character.’

- 4.3 Additional considerations are applicable when SEN provision is being considered:

Standards of provision

In addition to the usual considerations in relation to standards of provision, relevant bodies should consider:

- Whether proposals will improve standards of accommodation for pupils with SEN, including building accessibility;
- How proposals will address any health, safety and welfare issues;
- How proposals, where appropriate, will support increased inclusion; and
- The impact of proposals on other SEN provision within the immediate and wider local authority area including out of county where appropriate.
- Need for places and the impact on accessibility of schools
-

In addition to the considerations listed in 1.4, relevant bodies should consider:

- Whether there is a need for a particular type of SEN provision within the area;
- Whether there is a surplus SEN provision within the area;
- Whether SEN provision would be more effective or efficient if regional provision were made; and
- The impact of proposals on the transportation of learners with SEN.

Other factors

Relevant bodies should consider:

- How changes to SEN provision in schools are likely to impact on all other services provided in an area for pupils with disabilities and/or SEN.

- 4.4 Before publishing any proposals the local authority (Proposer/s) is under a duty, by virtue of s48 of the Act, to consult on such proposals. The Code states that:
- a. At the start of the consultation period Proposers must provide the consultees listed in the Code with a detailed consultation document following the requirements listed in the Code, and give them at least 42 days in which to respond, with at least 20 of these being school days.
 - b. Where proposals involve specialist resource bases attached to mainstream schools the following information must be included in the consultation document:
 - the impact on SEN provision;
 - how proposals will contribute more generally to enhancing the quality of education and support for children with SEN.
 - c. Consultation comments must be collated and summarised by Proposers. This summary together with the responses to the comments must be published in a consultation report within three months of the end of the consultation period.
 - d. A decision must be made by Proposers whether to proceed with changes within 6 months of the end of the consultation period.

- e. If a decision is made to proceed, a statutory notice is published providing a 28-day notice period for objections. The notice must be published on a school day and with 15 school days (not including the day of publication) in the notice period.
- f. If objections are received, an objection report must be published providing a summary of the objections with responses to them before the end of 7 days beginning with the day of the Proposers determination of the proposals.
- g. The proposer must determine under s53 whether the proposals are to be implemented. Proposals must receive final determination within 16 weeks of the end of the objection period. Local determination is a requirement of the School Organisation Code, and The Local Authorities (Executive Arrangements) (Functions and Responsibilities) (Wales) (Amendment) Regulations 2013 allow for this local determination. The Welsh Ministers and Governing Bodies are to be notified of the decision within 7 days of the decision.
- h. If the Proposer determines to implement proposals, they should be implemented in accordance with the date given in the statutory notice, or any subsequent modified date.

4.5 Failure to comply with the statutory consultation requirements in the Act and Code will leave the Authority open to Judicial Review and the decision could be quashed by the Courts.

Case law has established that the consultation process should:

- be undertaken when proposals are still at a formative stage;
- include sufficient reasons and information for particular proposals to enable intelligent consideration and response;
- provide adequate time for consideration and response; and
- ensure that the product of consultation is conscientiously taken into account when the ultimate decision is taken.

5. Equality and engagement implications

5.1 An Equality Impact Assessment Screening Form (Appendix C) has been revised following the consultation and scrutiny at Corporate Briefing and, at this stage, a full Equality Impact Assessment report is not required. This will continue to be reviewed following the conclusion of the Statutory Notice period, should Cabinet agree to move to this stage.

5.2 A Community Impact Assessment has been undertaken and has been available on the Council website <https://www.swansea.gov.uk/penybrynproposal>

Background papers:

- Welsh Government School Organisation Code (Circular 006/2013)
- Report to Cabinet 21 June 2018

Appendices:

Appendix 1	Consultation Paper
Appendix 2	Consultation Report
Appendix 3	EIA Screening



Ysgol Pen-y-Bryn

PROPOSAL TO INCREASE THE PLANNED PLACES AT THE SPECIAL SCHOOL YSGOL PEN-Y-BRYN BY 20 PLACES FROM 1 APRIL 2019

Introduction to the Proposal

1. Ysgol Pen-y-Bryn is currently full and is likely to be for the foreseeable future. There is significant demand for places which is leading the local authority to have no other option than to place pupils into independent and out of county schools. This is a national pressure in England and Wales where a shortage of special school places for pupils with additional learning needs has been reported in national newspapers and the BBC.
2. In mainstream schools, there are a number of specialist teaching facilities (STFs) which support pupils with moderate/severe learning difficulties, and STFs to support pupils with moderate/severe autistic spectrum disorder (ASD). All of the ASD STFs are also full.
3. There is significant pressure for ASD specialist places, despite opening the three new STFs at Portmead and Dунvant Primary Schools and Birchgrove Comprehensive School.
4. To increase the number of planned places at this school would trigger the requirement for statutory consultation under the Welsh Government's School Organisation Code. Before moving forward with its proposal, the council wishes to seek the views of all of those with a likely interest in the proposal, so that their views can be taken into account before decisions are made. Those being consulted on this proposal are the pupils, parents, governors and staff of Ysgol Pen-y-Bryn, as well as pupils and parents on the waiting list for a placement at an ASD Specialist facility, neighbouring schools, the local community and other interested parties.
5. The consultation period will take place between 5 June 2018 and 18 July 2018. A report on the outcome of these consultations will be submitted to a Cabinet meeting of elected members on 20 September 2018.

What would this proposal mean?

6. This proposal seeks to increase the planned places at Ysgol Pen-y-Bryn by 20 places for young people with moderate/severe autistic spectrum disorder (ASD) aged 3-18 with effect from 1 April 2019.
7. Transportation for the learners will be in accordance with the council's policy for home-to-school transport. Traffic management plans are being undertaken for the area surrounding the school.

8. Further statistics relating to this proposal can be found at Appendix A.

Why has this proposal been brought forward?

- 9. The additional 20 planned places are needed to increase the overall number of special school places available to help to meet the increased demand. It would also alleviate pressure on the moderate ASD STFs in Swansea. The pupils with the more severe needs (i.e. high ASD symptomatology) would transfer to Ysgol Pen-y-Bryn, allowing the authority to place pupils with moderate ASD into the appropriate STFs. It would also alleviate pressure on secondary mainstream schools and STFs who are struggling to cope with the demands of managing pupils with more severe learning difficulties.
- 10. If provision is not increased, learners with special needs may have to travel out of county or be placed in independent schools in order to receive the specialist provision they require. This will cost more as well as potentially involving travel for the young people and their families.
- 11. The authority has experienced a significant increase in the number of learners receiving a diagnosis of ASD since 2012:

Date	No of Statements for pupils with diagnosis of ASD or Asperger's
2018	542
2017	497
2016	426
2015	368
2014	311
2013	244
2012	204

- 12. The information in Appendix A includes a summary of the last Estyn inspection findings in 2013. This inspection found that Ysgol Pen-y-Bryn's performance and prospects for improvement were both good. The increase in planned places is unlikely to affect the schools performance as staff are already working with learners with similar difficulties successfully now. Increasing staffing will bring more flexibility and increase the pool of skills and knowledge in the school. The increase in planned places is already part of the school's improvement plan.
- 13. Further information on the proposal can be found in the report to Cabinet on 17 May 2018
<https://democracy.swansea.gov.uk/documents/g7546/Public%20reports%20pack%20Thursday%2017-May-2018%2014.00%20Cabinet.pdf?T=10&LLL=0>

Financial Information

- 14. No capital funding is being sought, as the school have used their own delegated funding to create additional classroom and ancillary spaces.
- 15. The annual revenue costs for 20 additional planned places at Ysgol Pen-y-Bryn i.e. 12 Band G places plus 8 Band E places, is £343,630 per annum once fully

established (based on FY2017-2018 planned place funding, additional pupil numbers and adopting the revenue costs for the increase in floor area). This should be considered in the context that a single pupil placed into Ty Danycoed (independent sector), is costing the local authority in excess of £100,000 per annum.

16. The revenue funding would be delegated to Ysgol Pen-y-Bryn each year. The school will then manage the staff and pupils accordingly.
17. There could be associated transport costs for the learners to attend the school, as per the Home to School Transport Policy; however it is anticipated that there will be reduced costs for out of county placements in other specialist provision, as well as the potential for reduced associated Social Services costs.

Staffing

18. The staffing ratios for E band pupils is approximately 1 teacher and 1 teaching assistant to every 8 pupils. For G band pupils it is approximately 1 teacher to every 5 pupils and 1 teaching assistant to every 3 pupils.

Community Impact Assessment/Equalities Impact Assessment/Welsh Language Impact Assessment

19. Regulations require that community and equality impact assessments are prepared for all statutory proposals. These assessments have taken place and no issues have been identified. The documents are available on the council's website and support the formal consultation process
<https://www.swansea.gov.uk/penybrynproposal>

What are the Next Steps?

20. Consultation will be carried out between 5 June 2018 and 18 July 2018, including information for learners and meetings for staff, governors and parents (see Appendix B for further details on the timeline and meeting dates) and the results will be reported to the council's Cabinet on 20 September 2018. If Cabinet decide not to proceed, that will be the end of this proposal for the foreseeable future.
21. However, if Cabinet decide to go ahead, there would be a statutory procedure to follow to make the proposed changes for April 2019. A statutory notice outlining the proposals would need to be published, inviting any formal written objections to be submitted within 28 days of publication of the notice (a copy of the notice will be provided to parents/carers and staff members and it will also be published at the school, at the nearest library and on the council website <https://www.swansea.gov.uk/penybrynproposal>). If there are objections, Council will need to consider the objections to the proposal before making a decision. Please note that responses to consultation will not be counted as objections to the proposal. You will have to write in again to the address quoted below if you wish to formally object, and objections will only be registered following publication of the notice.

22. The provisional timetable and procedure which is required by law will be as follows:

1 October 2018	Publication of statutory notices (followed by a 28-day objection period).
29 October 2018	End of objection period. If there are no objections to the proposal, the STF will be established as per the statutory notice. If there are objections, the proposal will fall to Council for determination at their meeting on 20 December 2018.

The earliest date when the new planned places will be available is 1 April 2019.

Further information on the timetable can be found at Appendix B.

United Nations Convention on the Rights of the Child (UNCRC)

23. Article 12 of the UNCRC states that children have the right to have a say in decisions that affect them and to have that view taken seriously. Therefore, throughout the process, we will ensure that children and young people have a chance to have a say on the proposals and on how they think it will affect their rights under the convention.

What do you now have to consider?

24. We would like your views as to whether or not you support the increase of planned places at Ysgol Pen-y-Bryn.

How do you make your views known?

25. Consultation meetings will be held for parents, staff and governors and you are welcome to attend the appropriate meeting (see Appendix B).

26. You are also welcome to put your views in writing on the attached pro-forma (Appendix C) to:
Mr. Nick Williams, Chief Education Officer, Civic Centre, Swansea SA1 3SN
Or e-mail SchoolOrganisation@swansea.gov.uk

27. All views must be received by no later than 18 July 2018. Views received during the consultation period will be collated into a consultation report, together with a response from the local authority, and this report will be given to Cabinet at their meeting on 20 September 2018 for them to decide if the proposal should move to the next stage of the publication of a statutory notice.

If you require this document in Welsh or in a different format, please contact SchoolOrganisation@swansea.gov.uk (01792) 636000.

Information – Ysgol Pen-y-Bryn

School affected by the proposal:

Ysgol Pen-y-Bryn, Glasbury Road, Morriston, Swansea, SA6 7PA

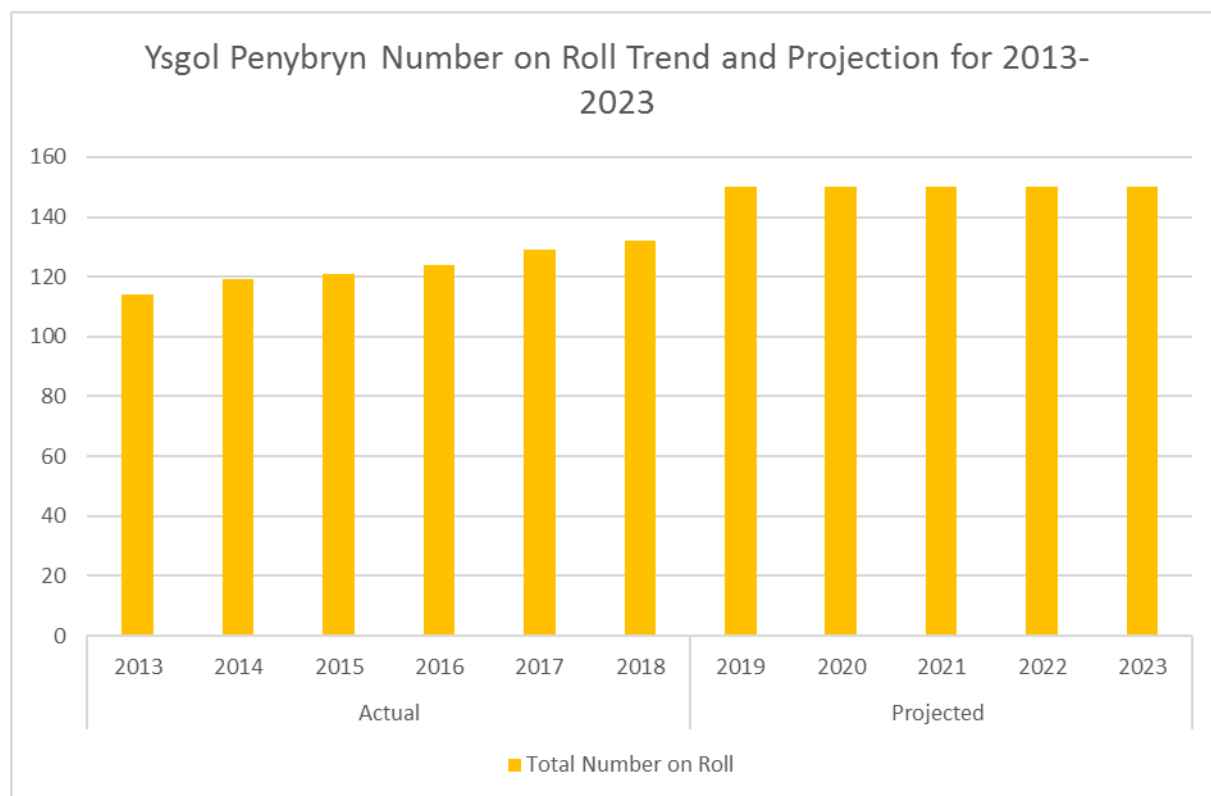
Ysgol Pen-y-Bryn is categorised as an English Medium Community Special School.

There are a number of ASD Special Teaching Facilities (STFs) in the following schools that may be affected because, where appropriate, learners may be moved from an STF into Ysgol Pen-y-Bryn, allowing pupils on the waiting list to be accommodated in those STFs:

Clase Primary School, Rheidol Avenue, Clase, Swansea, SA67JX
 Clwyd Primary School, Eppynt Road, Penlan, Swansea, SA5 7AZ
 Dunvant Primary School, Dunvant Road, Dunvant, Swansea, SA2 7SN
 Gwrosydd Primary School, Parkhill Terrace, Treboeth, Swansea, SA5 7DJ
 Portmead Primary School, Cheriton Crescent, Portmead, Swansea, SA5 5LA
 Birchgrove Comprehensive School, Birchgrove Road, Swansea, SA7 9NB
 Dylan Thomas Community School, John Street, Cockett, Swansea, SA2 0FR

All school listed above are English Medium Community Schools.

Number of Pupils on roll (at January PLASC census date), and pupil projections:



NOR and planned places information for ASD STFs in Swansea:

School	Number of ASD STF Pupils on Roll						
	Year						
	Planned Places	2013	2014	2015	2016	2017	2018
Clase Primary ASD STF	18	14.0	11.0	12.0	11.0	11.0	10.0
Clwyd Primary ASD STF	18	18.0	17.0	17.0	17.5	16.5	17.0
Dunvant Primary ASD STF	16	0.0	0.0	0.0	0.0	0.0	1.5
Gwrosydd Primary ASD STF	20	0.0	8.5	15.0	19.0	17.0	19.5
Portmead Primary ASD STF	16	0.0	0.0	0.0	0.0	0.0	0.0
Birchgrove Comp ASD STF	16	0.0	0.0	0.0	0.0	0.0	0.0
Dylan Thomas ASD STF	21	15.0	15.0	19.0	20.0	20.0	20.0

Projections for future years are up to the number of planned places in each STF.

* opened in January 2018

Possible impact on nursery provision?

Increasing the planned places at Ysgol Pen-y-Bryn will not impact on nursery provision in Swansea.

Condition of Buildings:

All schools in Swansea are allocated a condition rating as follows:

- A = Performing as intended and operating efficiently
- B = Performing as intended but exhibiting minor deterioration
- C = Exhibiting major defects and/or not operating as intended
- D = Life expired and/or risk of imminent failure

The current condition rating of Pen-y-Bryn School is Band C.

Quality of Education:

The school was inspected by Estyn in 2013. The summary of the inspection is shown below. Also provided is summary information from the Welsh Government's My Local School website.

A report on Ysgol Pen-y-Bryn October 2013

Summary

The school's current performance	Good
The school's prospects for improvement	Good

Current performance

Ysgol Pen-y-Bryn is a good school because:

- leaders have high expectations and ensure that the school functions effectively;
- pupils achieve good standards in their learning and develop very good communication skills;
- teaching in most lessons is good and in a few cases excellent;
- provision for pupils' health and wellbeing is good;
- staff work exceptionally well as a team and manage behaviour skilfully;
- learning experiences are very well matched to the learning needs of the pupils; and
- provision for pupils' health and wellbeing is good.

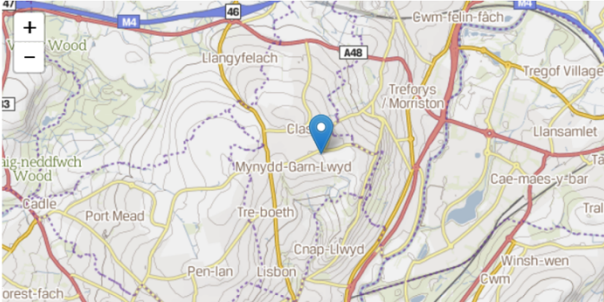
Prospects for improvement

Prospects for improvement are good because:

- senior leaders and the governors have a clear vision for the school, which is shared by all staff;
- leadership is well distributed across the staff;
- staff are highly motivated, feel valued and are keen to move the school forward;
- staff performance is managed carefully;
- the school has very strong partnerships which impact positively on the wellbeing and outcomes for pupils; and
- the school manages its resources well and provides good value for money.

Ysgol Pen-y-Bryn

Ref: 6707000



Basic Details

Local Authority
Swansea

Type
Special (with post-16 provision)

Gender Mix
Mixed

Language
Not applicable

DEF [Defining schools according to Welsh medium provision](#)

Contact Details

Glasbury Road
Morriston
Swansea
SA6 7PA

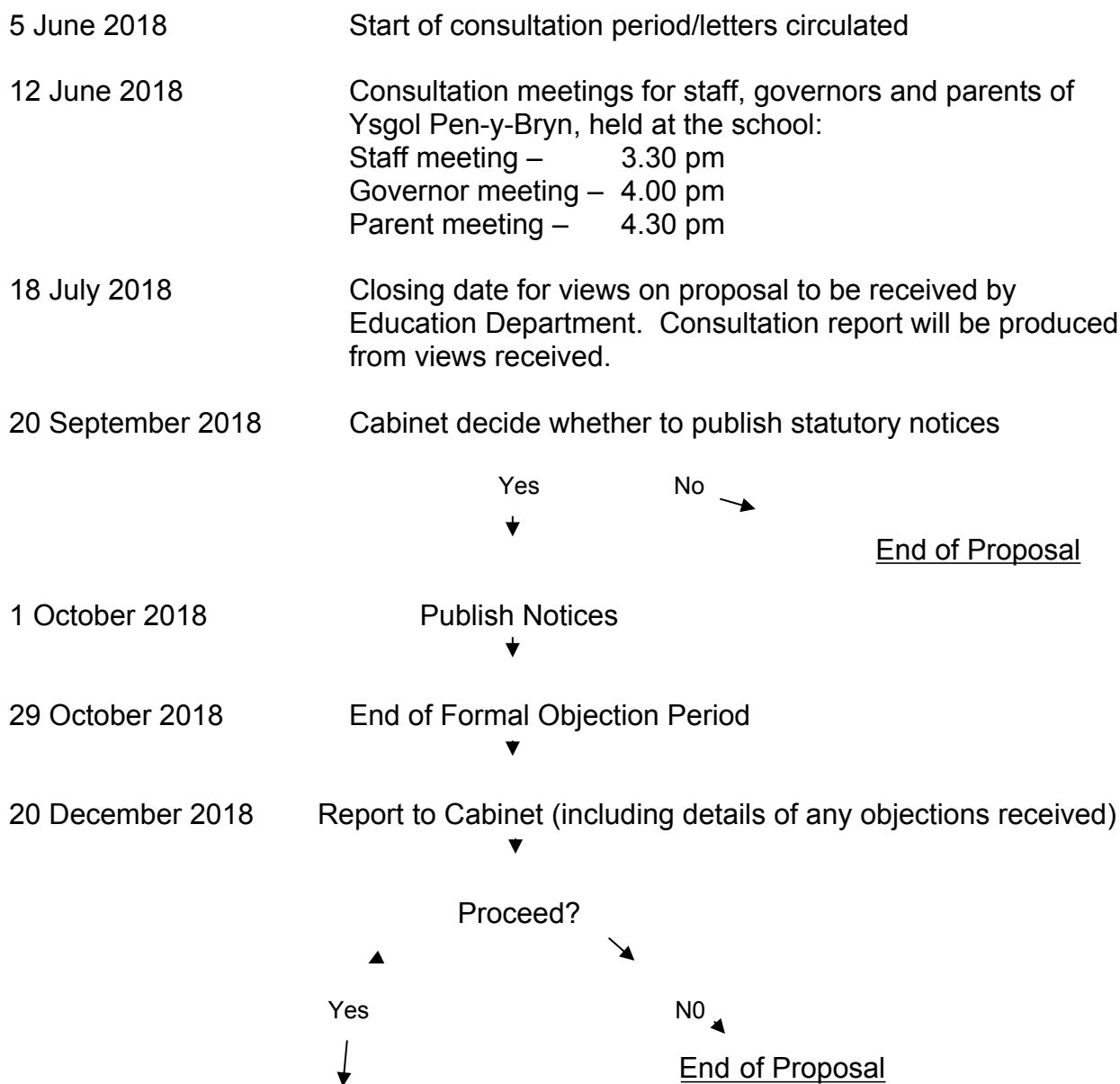
External Links

[Estyn Report](#)

01792 799064

SUMMARY	PUPILS	RESOURCES ▼	CATEGORISATION	PE & SPORT
129 Number of Pupils, 2017	2017	£17136 School budget per pupil	2017	Green Support Category

Timetable



Proposal implemented on 1 April 2019

Response Form

Proposal to increase the planned places at Ysgol Pen-y-Bryn

Please note that under the Freedom of Information Act any responses received can be requested and may have to be made public. All views received in writing during the consultation and any subsequent objection period will be forwarded to Councillors that participate in the Cabinet meetings. Correspondence will also be recorded and acknowledged.

Please send in your response by **no later than 18 July 2018**

1. Are you in favour of the proposal?

Yes	
No	

2. Please indicate if you are responding as:

Pupil	Parent/ Carer	Member of Staff	Governor	Community Member	Other (please indicate)

3. Comments on the proposal (positive and negative) – please continue overleaf if required

4. Your name: _____

5. Your address/email:- _____

If you would like to receive an acknowledgement of receipt to this address/email please tick here:

6. Please indicate if you would like to receive notification of when the consultation report is published using the email/address above.

Yes	
No	

Please return to:

Nick Williams, Chief Education Officer,
Education Department, Civic Centre, Swansea SA1 3SN.

Or you can visit our website and complete the survey online by going to:

<https://www.swansea.gov.uk/penybrynproposal>

Alternatively you can fax the completed form to (01792) 636553 or scan and send to:
SchoolOrganisation@swansea.gov.uk

Swansea Council is the data controller for the personal information you provide on this form. We are collecting this information as part of our obligation under the Welsh Governments [School Organisation Code \(July 2013\)](#). Your information will be used to help us fulfil our legal obligation and will not be used for any other purpose. We will not share your data with third parties unless we are required or permitted to do so by law.

Data protection law describes the legal basis for our processing your data as necessary for compliance with a legal obligation. For further information about how Swansea Council uses your personal data, including your rights as a data subject, please see our corporate [privacy notice](#) on our website.



Consultation Report:

Proposal to increase the planned places at Ysgol Penybryn Special School

Contents

1. Background	2
2. Methodology	2
3. Results and comments	2
4. Estyn response	3
5. Consultation with children and young people	5
6. Consultation meetings	5
7. Recommendations.....	5
Appendix 1 - Summary of responses	6

1. BACKGROUND

Special schools are funded on planned places. Ysgol Penybryn Special School is set up to cater for 130 pupils in total. There are 93 places (E band) for secondary aged pupils who have moderate to severe learning difficulties. The school also provides for pupils (both primary and secondary aged) with severe autism. There are 37 (G band) places for these pupils. School organisation regulations require a statutory proposal to take place if a special school increases their planned places by more than 10% (or 20 places, whichever is the lesser) from a count date of 19 January 2013. Ysgol Penybryn Special School had 118 planned places on the count date and therefore require a statutory proposal to increase planned places over 130 (the current number of places).

Increasing planned places at Ysgol Penybryn Special School would alleviate pressure on the moderate autistic spectrum disorder Specialist Teaching Facilities (ASD STFs). The pupils with the more severe needs (i.e. high ASD symptomatology) would transfer to Ysgol Penybryn Special School, allowing the authority to place pupils with moderate ASD into the appropriate STFs. It would also alleviate pressure on secondary mainstream schools and STFs who are struggling to cope with the demands of managing pupils with more severe learning difficulties.

2. METHODOLOGY

Consultation took place with the prescribed consultees contained within the School Organisation Code 2013 via a letter/email with a link to the consultation document on the Swansea Council website <https://www.swansea.gov.uk/penybrynproposal>

Consultation meetings were also held as follows:

5 June 2018	Start of consultation period/letters circulated
12 June 2018	Consultation meetings for staff, governors and parents of Ysgol Pen-y-Bryn, held at the school
18 July 2018	Closing date for views on proposal to be received by Education Department

The publication of a consultation document is central to the consultation process prescribed by Welsh Government for school reorganisation. The consultation document outlined the changes being considered, the rationale for these, details of the consultation process and incorporated a response form. Consultees were advised of the availability of an online version to complete and also contact addresses to send in comments via e-mail.

The consultation process was extensively promoted online, via the Swansea Council website and social media channels, and also received coverage in the local press.

3. RESULTS AND COMMENTS

During the consultation period 179 responses were received, with 160 of those responding being in support of the proposal, including 94 responses from learners. 9 of the responses did not express a view for or against the proposal and 10

responses were against the proposal. All consultation responses have been made available for Cabinet to view.

The main objections to the proposal were around having more learners on site and the potential for increased class sizes, particularly with a larger cohort of the learners having ASD, and how this would affect learners with more severe and complex needs; however the school has recently been extended and the additional pupils would generate funding for new classes to be established and the school welcomes the new planned places for ASD learners. One objector also commented on the traffic infrastructure around the school; however the Traffic Management Assessment that has been produced shows that the additional taxis for learners would be minimal and could comfortably be accommodated on the school site, and this would continue to be reviewed as learners are admitted if the proposal is implemented.

A summary of the issues raised and the local authority response is attached at Appendix 1.

4. ESTYN RESPONSE

Estyn, the schools' inspectorate for Wales, were also required to comment on the proposal, as per the School Organisation Code, and no concerns were raised as follows:

This report has been prepared by Her Majesty's Inspectors of Education and Training in Wales.

Under the terms of the School Standards and Organisation (Wales) Act 2013 and its associated Code, proposers are required to send consultation documents to Estyn. However, Estyn is not a body which is required to act in accordance with the Code and the Act places no statutory requirements on Estyn in respect of school organisation matters. Therefore as a body being consulted, Estyn will provide their opinion only on the overall merits of school organisation proposals.

Estyn has considered the educational aspects of the proposal and has produced the following response to the information provided by the proposer and other additional information such as data from Welsh Government and the views of the Regional Consortia which deliver school improvement services to the schools within the proposal.

Introduction

This is a proposal by the City and County of Swansea to increase the planned places at the Special School Ysgol Pen-y-bryn by 20 places from 1st of April 2019.

Summary

The proposal by Swansea City and County Council seeks to increase the planned places at Ysgol Pen-y-Bryn by 20 places for children and young people with moderate/severe autistic spectrum disorder (ASD) aged 3-18.

The proposal states that the school is currently full and is likely to be for the foreseeable future. Due to a significant demand for places, the local authority have had to place pupils into independent and out of county schools. It is Estyn's view that the proposal is likely to improve the provision for children and young people with moderate/severe ASD.

Description and benefits

The proposer has given a clear rationale for the proposed expected benefits in relation to the additional 20 planned places are needed to increase the overall number of special school places available to help to meet the increased demand.

The proposer notes appropriately the advantages of the proposal, which include that pupils with the more severe needs (i.e. high ASD symptomatology) would transfer to Ysgol Pen-y-Bryn, allowing the authority to place pupils with moderate ASD into the appropriate STFs. The proposer makes appropriate reference to the fact that this would alleviate pressure on the moderate ASD STFs in Swansea and on secondary mainstream schools and STFs who are struggling to cope with the demands of managing pupils with more severe learning difficulties.

The proposal indicates that an increase in planned places would unlikely affect the schools performance as staff are already working with learners with similar difficulties successfully now and increasing staffing would bring more flexibility.

The proposer has identified suitably the disadvantages of the current proposal, which focuses on the associated transport costs for the learners to attend the school, as per the Home to School Transport Policy. However, the current proposal appears to create new school places and a reduction in the current level and future out-of-county placements. This would possibly provide opportunity for pupils who are currently attending out-of-county provision to re-integrate back into their local area to continue their education.

Educational aspects of the proposal

The proposer makes appropriate reference to the outcomes of the schools' most recent Estyn inspection. It notes that current performance and prospects for improvement at the school were judged to be good at the time of the core inspection.

The proposer notes that increasing the number of places available within the school community would not have any detrimental impact on the provision and quality of educational outcomes in the special school sector.

The local authority has no further comment to make on Estyn's response.

5. CONSULTATION WITH CHILDREN AND YOUNG PEOPLE

A consultation paper was shared with all learners at the school. The paper explained the proposal and included a reply slip for learners to respond. 94 learners responded (72% of learners at the school).

The majority of pupils supported the proposal but 12 had concerns around having too many people in their school/class or felt anxious about meeting new people or having a change of routine. This is an understandable response from learners with complex needs which include severe and complex learning difficulties and associated social anxieties. However, school staff are skilled in managing transitions and change and understand learners concerns. Secondly, the additional places will not change routines that are already well established.

6. CONSULTATION MEETINGS

The response from the consultation meetings with parents, staff and governors was supportive. Notes of these meetings have been made available to Cabinet members.

7. RECOMMENDATION

The local authority would recommend to Cabinet that this proposal is taken to the next stage i.e. the publication of a Statutory Notice.

Consultation Responses

Number of consultation responses received = 179 (including Estyn and the Mynyddback Ward Member)

Support Proposal/Happy	160
Against Proposal/Unhappy	10
Undecided	9
<i>Responses from:</i>	
Pupil	94
Parent/Carer	12
Member of Staff	45
Governor	3
Community Member	7
Other	18

	Point Raised	Local Authority Response	Number of Written Responses Raising Point	% of Responses Raising Point
1	Suitable placements made available for more pupils with complex needs is welcomed in light of rising demands	Agree	29	16%
2	Welcome the opportunity to reduce costs on out of county provision and alleviate pressure on other STF units.	Agree	8	4%
3	Acknowledgement that Ysgol Pen-y-Bryn is a good school and therefore welcome additional places so more can benefit from good practice. Children with ASD deserve access to education.	Agree	11	6%

4	Adding places to Ysgol Pen-Y-Bryn will have a positive impact on the wellbeing of learners who are able to move to the school. It will provide learners who previously would be leaving school at 16 the opportunity to achieve social and life skills required to progress in life and further education.	Agree	7	4%
5	Happy providing adequate staffing, funding and so on are in place.	The extra places are fully funded and the headteacher and governing body would be responsible for providing adequate staffing	7	4%
6	Positive response from Pupils - Make new Friends, Interested in the new classes, help other children, there will be more children to play with. It would be exciting. The school is cool and the teachers are great.	Agree	53	30%
7	Concerns raised about the fact that the increased places are specifically for learners with ASD, and the potential impact on other learners attending the school with severe and complex needs possibly becoming marginalised.	It is agreed the main demand is for learners with ASD diagnoses but there are a range of E and G band places so not all places would be taken up by those with severe and complex ASD. The local authority (LA) would maintain a balance in consultation with the school in line with the current legislation	1	1%

8	Question raised about whether the size of Pen-y-Bryn is suitable for learners with ASD as large settings are often a source of agitation. Particular concern raised about moving learners already placed in a unit without approval or consent from parent/carer which will disturb the children and be a distressing factor.	Penybryn already successfully educates learners with ASD and severe and complex needs. Class sizes are appropriate for the needs of pupils and the modular build has added appropriate classroom space. The LA would not move pupils who were making good progress within an STF setting and would certainly ensure parents/carers and the pupil were involved fully in any decision making. The LA understands that moving learners with ASD who are settled can be distressing and would seek to avoid this.	2	1%
9	Comment that 'Parents of STF pupils feel strongly that it is unfair for Pen-y-bryn to offer three more years of SEN education.'	The LA does not offer STF places post 16 in mainstream schools. Learners have the opportunity to move on to college or if they are able to access a 6th form A level curriculum continue their education at 6th form. All secondary STFs were proposed on this basis and subject to consultation.	1	1%
10	Concern raised regarding the space and number of Staff at Pen-Y-Bryn	The LA will fund the extra places and the school have recently completed a modular build which has provided the extra classroom space. It is the responsibility of the headteacher and governing body of the school to ensure adequate staffing is provided.	3	2%
11	Will the school be given extra funding with the increased pupil number?	The school will receive extra funding from the LA for the proposed additional 20 planned places.	3	2%

12	Negative response from pupils - too many people in my school/class. Feeling anxious about meeting new people or change of routine.	This is an understandable response from learners with complex needs which include severe and complex learning difficulties and associated social anxieties. However, school staff are skilled in managing transitions and change and understand learners concerns. Secondly the additional places will not change routines that are already well established.	12	7%
13	Acknowledge that extra places are needed however, a concern raised over how children with difficulties are being segregated instead of being taught alongside mainstream. It is felt that this separation may result in children with educational needs continuing to be valued as 'less' in society.	The LA understands this concern and tries where possible and appropriate to educate learners with SEN alongside their mainstream peers. Also the school has a strong inclusion policy which includes ensuring learners are given the independence skills to take up a valued place in society.	1	1%
14	Concerns raised about the unsuitable infrastructure and current suitability of school building, noting investment is needed in the school generally before expanding the school.	The school has recently invested a in new modular building to house the additional proposed places. The LA also has broader plans for the development of the school stock across the authority as part of its School Organisation Programme which includes the need to address special school places.	1	1%
15	Comment made that the traffic and parking situation is 'already dangerous'.	The Traffic Management Assessment that has been produced shows that the additional taxis for learners would be minimal and could comfortably be accommodated on the school site, and this would continue to be reviewed as learners are admitted if the proposal is implemented.	1	1%

16	Care needed to ensure class sizes don't increase too much as a result	Agreed. All proposed new places are funded and it is the responsibility of the headteacher and governing body to ensure class sizes are appropriate and staffed according to the needs of learners.	1	1%
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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: Education
Directorate: People

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

(b) Please name and describe below

Increased Planned Places at Penybryn Special School

Special schools are funded on planned places. Penybryn Special School is set up to cater for 130 pupils in total. There are 93 places (E band) for secondary aged pupils who have moderate to severe learning difficulties. The school also provides for pupils (both primary and secondary aged) with severe autism. There are 37 (G band) places for these pupils.

Penybryn have recently used their reserves to invest in a modular build at the school, providing extra classrooms and facilities for pupils. Consequently, no capital funding is required to realise an increase of up to an additional 20 pupils, the number of planned places that we would seek to increase at the school via a statutory proposal.

School organisation regulations require a statutory proposal to take place if a special school increases their planned places by more than 10% (or 20 places, whichever is the lesser) from a count date of 19 January 2013. Penybryn Special School had 118 planned places on the count date and therefore will require a statutory proposal to increase planned places over 130 (the current number of places).

Increasing planned places at Penybryn Special School would alleviate pressure on the moderate ASD STFs. The pupils with the more severe needs (i.e. high ASD symptomatology) would transfer to Penybryn Special School, allowing the authority to place pupils with moderate ASD into the appropriate STFs. It would also alleviate pressure on secondary mainstream schools and STFs who are struggling to cope with the demands of managing pupils with more severe learning difficulties.

The increased planned places would provide the school with additional funding as they get funded for the number of planned places. The increase in budget share would allow the school to recruit the additional staff required.

Following consultation on the proposal outlined above between 5 June 2018 and 18 July 2018 and scrutiny at Corporate Briefing on 6 September 2018 the Equality Impact Assessment Screening Form is revised:

Equality Impact Assessment Screening Form

Revised 6 September 2018

Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery <input checked="" type="checkbox"/> (H)	Indirect front line service delivery <input type="checkbox"/> (M)	Indirect back room service delivery <input type="checkbox"/> (L)
--	---	--

(b) DO YOUR CUSTOMERS/CLIENTS ACCESS THIS...?

Because they need to <input checked="" type="checkbox"/> (H)	Because they want to <input type="checkbox"/> (M)	Because it is automatically provided to everyone in Swansea <input type="checkbox"/> (M)	On an internal basis i.e. Staff <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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group (18+) →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Q4 HAVE YOU / WILL YOU UNDERTAKE ANY PUBLIC CONSULTATION AND ENGAGEMENT RELATING TO THE INITIATIVE?

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

Due to the statutory nature of the proposal a full consultation has taken place between 5 June 2018 and 18 July 2018 and Cabinet are now being asked for approval to go to Statutory Notice. If approved this will give a further opportunity for the public to share their views.

Q5(a) HOW VISIBLE IS THIS INITIATIVE TO THE GENERAL PUBLIC?

High visibility <input type="checkbox"/> (H)	Medium visibility <input checked="" type="checkbox"/> (M)	Low visibility <input type="checkbox"/> (L)
---	--	--

(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 <input type="checkbox"/> (M)	Low risk <input checked="" type="checkbox"/> (L)
---	---	---

Q6 Will this initiative have an impact (however minor) on any other Council service?

Equality Impact Assessment Screening Form

Revised 6 September 2018

Yes

No

If yes, please provide details below

There could be associated transport costs for the learners to attend the school, as per the Home to School Transport Policy; however it is anticipated that there will be reduced costs for out of county placements in other specialist provision, as well as potential for a reduction in associated Social Services costs.

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** → 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). 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.

As this proposal is looking to increase the number of places at Penybryn Special School it is clear that the initiative is planned in the best interests of children (0-18 years). It will allow the school to continue to provide an education to some of the most vulnerable learners in Swansea Council and will have no detrimental impact on any of the protected characteristics.

The proposal is proposed under the School Standards and Organisation Wales Act 2013. Section 44 relates to proposals to establish, alter or discontinue community special schools.

The responses to the consultation were in the main supportive (89.4%) of the proposal including 53 responses from learners and the main objections regarding potentially larger class sizes, traffic and funding are addressed in the proposal and recommendations to Cabinet.

This screening will be reviewed after the statutory notice period and further consideration given to whether an Equality Impact Assessment report is required.

Equality Impact Assessment Screening Form

Revised 6 September 2018

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.

Screening completed by:
Name: Rhodri Jones
Job title: Head of Stakeholder Engagement Unit
Date: 12/04/2018
Approval by Head of Service:
Name: Mark Sheridan
Position: Head of Vulnerable Learners
Date: 06/09/2018

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

Agenda Item 12.



Report of the Local Authority Governor Appointment Group

Cabinet – 20 September 2018

Local Authority Governor Appointments

Purpose:	To approve the nominations submitted to fill Local Authority Governor vacancies in School Governing Bodies
Policy Framework:	Local Authority (LA) Governor Appointments Procedure (Adopted by Council on 26 October 2017)
Consultation:	Access to Services, Finance, Legal
Recommendation(s):	It is recommended that: 1) The nominations recommended by the Director of Education in conjunction with the Cabinet Member for Education Improvement, Learning and Skills.
Report Author:	Gemma Wynne
Finance Officer:	Chris Davies
Legal Officer:	Stephen Holland
Access to Services Officer:	Catherine Window

1.0 The nominations referred for approval

1.1 The nominations are recommended for approval as follows:

1. Brynmill Primary School	Mr Richard Blakeley
2. Duvant Primary School	Mrs Kathryn Jones
3. Pontarddulais Primary School	Mrs Michelle Broadley

4. YGG Felindre	Cllr Brigitte Rowlands
5. Pentrehafod Comprehensive School	Cllr Chris Holley

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

The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

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

Background papers: None

Appendices: None

Agenda Item 13.



Report of the Cabinet Member for Business Transformation & Performance

Cabinet – 20 September 2018

Equality Review Report 2017-18

Purpose:	To present the Annual Equality Review Report for 2017-18 as required by the Public Sector Equality Duty for Wales.
Policy Framework:	Strategic Equality Plan 2016 – 2020.
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that: 1) Cabinet approve the report content for publication.
Report Authors:	Richard Rowlands / Jo Portwood
Finance Officer:	Paul Roach
Legal Officer:	Debbie Smith
Access to Services Officer:	Catherine Window

1.0 Introduction

1.1 The report attached at Appendix A is the second review of the refreshed Strategic Equality Plan (SEP) 2016 – 2020. It is the seventh review under the Public Sector Equality Duty and reflects the annual reporting regulations for Wales introduced in 2011.

2.0 Content

2.1 The report sets out progress against the refreshed Equality Objectives contained within our SEP (appendix 1). It also contains details on employment & training information (appendix 2). Additional information (of relevance to the requirements of the Public Sector Equality Duty) has also been included, outlining work in areas including:

- Equality information
- Engagement
- Hate crime
- Children's Rights
- Community cohesion
- Domestic abuse
- Co-production
- Education & schools

3.0 Equality and Engagement implications

3.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

3.1.1 Our Equality Impact Assessment process ensures that we have paid due regard to the above.

3.2 There are no direct equality and engagement implications associated with this report. However, the report sets out progress to deliver the actions to meet our Equality Objectives that are set out within the Strategic Equality Plan; these actions will have been screened or subjected to an EIA.

4.0 Financial Implications

4.1 There are no direct financial implications associated with this report.

5.0 Legal Implications

5.1 There are no direct legal implications associated with this report.

Background Papers: None

Appendices: Appendix A - Equality Review Report 2017/18 (Year ending March 2018)



**Equality Review Report
2017/18
(Year ending March 2018)**

Equality Review Report 2017/18

1. Introduction

This is the City and County of Swansea's Equality Review Report for 2017-18. This is our seventh review under the Public Sector Equality Duty and reflects the reporting regulations for Wales, which were introduced in 2011.

This report contains details on:

- The second review of progress for our Equality Objectives 2016 - 2020
- 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 April – May 2018 and all departments provided details of their progress. All of the information can be found at Appendix 1.

Our refreshed Strategic Equality Plan for 2016 – 2020 was adopted by Council in March 2016 and is available at www.swansea.gov.uk/sep in full, summary and easy-read versions.

3. Equality Information

Analysis of equality information has been maintained and developed in the last year, with additional and updated demographic information included on the Council's 'Statistics' web pages where available. This includes local social and-demographic data from Census and other official sources.

A range of analysis, in part linked to protected characteristics, was included in the Public Service Board (PSB)'s Assessment of Local Well-being, as required by the Well-being of Future Generations (WFG) Act 2015. The assessment was finalised and agreed by the PSB in April 2017, and this has in turn informed the Board's Local Well-being Plan and objectives. In future, further analysis of equality information will be required as part of the well-being measurement framework being developed by PSB partners.

New versions of the local area profiles, including updated data/information where available, were completed in January 2018 for Wards, Community Areas (as defined in the WFG Act) and Delivery Areas (former Communities First areas). A review of profile content is planned before the next versions are prepared later in 2018.

Monitoring and analysis of available statistics around people with protected characteristics also continues to be undertaken for the Welsh Government's Community Cohesion programme. As part of this and to support other tasks and projects, staff maintain awareness of developments in data and information on protected characteristics.

We continue to use equality information to inform our Equality Impact Assessments (EIAs); this varies according to the EIA subject, relevance and focus.

The CYP Super Survey has come to the end of its contract with Viewpoint and therefore we will be going through a process to take stock of other surveys in circulation and identify any opportunities/need for alternative mechanisms to feedback the views of children and young people to those making decisions that impact upon them.

4. Employment and Training Information

Please see Appendix 2 for this information. In addition, our gender pay gap report has been published at <https://www.swansea.gov.uk/genderpaygap>.

5. Additional information

This section briefly details some of our other work relevant to the requirements of the Public Sector Equality Duty during 2017-18.

5.1 Councillor Champions

Our Councillor Champions cover a wide range of equality issues in addition to wider themes such as health and wellbeing, carers and domestic abuse.

The Champions 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.

They 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.

For more details, visit

<https://democracy.swansea.gov.uk/mgListOtherPosts.aspx?bcr=1&LLL=0>

5.2 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. This year we have improved the process still further by incorporating the key principles of a human rights approach and expanding the engagement element of the report template. We have also developed additional guidance for colleagues.

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 EIA guidance and tools.

All completed EIA reports continue to be published alongside relevant corporate reports at

<https://democracy.swansea.gov.uk/ieDocHome.aspx?bcr=1&LLL=0?Lang=en>
g.

The Council's budget is also subject to the EIA process.

5.3 Consultation and Engagement

Information about our consultation and engagement methods and arrangements are available at <http://www.swansea.gov.uk/haveyoursay>.

Further updates are provided in Appendix 1 – please see Equality Objective 11.

We have continued to develop our relationship with local community groups:

➤ LGBT Forum

The Swansea Bay LGBT Forum began in February 2012 and is run by Swansea Council in partnership with South Wales Police. Membership includes employees or volunteers from local and national organisations who represent the interests of LGBT citizens.

Forum members take part in and support annual events such as,, International Day Against Homophobia and Transphobia (IDAHOT), LGBT History Month and Bi Visibility Day. This year a small working group of forum members started planning for the first Swansea Pride event in many years known as Spring Pride 2017 led by Cllr King, the LGBT champion. This event took place at the National Waterfront Museum.

The forum have been instrumental in setting two equality objectives for the Council's Strategic Equality Plan 2016-20. As a result of that in 2017, we hosted a Gender Equality seminar entitled 'Boys will be boys'. It involved contributions from Stonewall Cymru and Swansea University. It was very well attended and received, with lots of positive feedback from both attendees and speakers.

The second objective was around the need for LGBT guidance in schools. A document is under development aiming to give clear information for schools who may have pupils transitioning or coming out, so that they can receive the right care and support.

➤ BME Forum

Following last year's review and subsequent discussion about a regional forum, the regional BME network was introduced this year. Led by EYST as part of the Welsh Government's Equality and Inclusion Programme, the

network has now met three times and drafted an action plan. We continue to provide support to EYST as the network progresses.

➤ Disability Liaison Group

The Disability Liaison Group allows for 2-way dialogue between the Council and disabled people and/or their organisations. The group is made up of local disabled people and disability organisations as well as Swansea Council for Voluntary Services.

During 2017-2018, this group met 7 times. It is important to note that the group sets the agenda for these meetings in conjunction with the Access to Services Team and requests to meet (from both group members and different Council departments) continue to increase.

Meetings have included information and discussions on:

- Kingsway
- Swansea Central
- Corporate complaints
- Adult Social Services commissioning reviews
- Education
- Castle square

5.4 Co-production

The following activities have taken place since the previous update:

- The Co-production Development Officer, based in the third sector has continued to promote co-production awareness, knowledge and support to the council, health partners, Western Bay, third sector partners and citizens
- The Co-production Network for Swansea is being launched on the 24th May 2018, following the successful launch of the Regional Co-production Network hosted by Swansea agencies in March 2018.
- We are continuing to open up the procurement process to support Co-Productive approaches; we are co-producing a service specification for Independent Professional Advocacy and are involving citizens in the tender process. We are also involving citizens in the re-modelling and re-tendering of Supported Living.
- We are working alongside individuals who receive direct payments and parent carers to map Direct Payments processes in Swansea with a view to undertaking a critical analysis of the current process. We have worked hard to co-produce the meetings ensuring an equal balance of staff and citizens, shared decision-making about meeting times and how to run the sessions to ensure the principles of co-production are delivered throughout this process.
- We are working with citizens to Co-produce elements of a new Adult Services Practice Framework. A small planning group made up of local authority officers, the co-production development officer and citizens are planning an event in May 2018 to hold a conversation about what good social work looks like and what a good assessment looks like.

This work will inform the development of a Swansea Practice Framework and a Social Work Assessment Guide to help people prepare for their assessments.

- We are working with health colleagues to re-shape their service user engagement post into a co-production post to deliver a strategy for citizen involvement in mental health services within health
- The Strategic Commissioning Groups are continuing progress towards operating co-productively and in Mental Health and Physical Disability we are supporting citizens to prioritising the areas for Co-Productive action within the commissioning strategies. This has already taken place in Learning Disability Services
- Adult Services are leading on the development of a Directorate strategy for co-production, self-assessment tool, training package for staff teams and a toolkit to support the implementation of co-production across the Directorate
- Supporting People co-produced the underlying principles and outcomes to inform the design and delivery of floating support within Swansea.
- Exploring Co-Productive approaches within the re-commissioning of domiciliary care, particularly in relation to service design and tendering.

5.5 Hate Crime

We have developed a Swansea Hate Crime Stakeholder Action Plan with key partners (to link to the Welsh Government's 'Tackling Hate Crime and Incidents: A Framework for Action'). Our Plan has 3 strategic objectives:

- Prevent Hate crime
- Increase reporting and access to supporting victims
- Improve the multi-agency response to hate crime

It is a dynamic document and is maintained by the multi-agency Planning Group that meets quarterly.

Hate Crime E-learning course reviewed and is being accessed by staff as a mandatory course.

To increase the reporting of hate crime, awareness training has been delivered by Victim Support & Swansea Council to partner agencies and Council staff. A 'train the trainer' event was also developed by the Council and Victim Support and delivered to staff and partners.

The Council continues to promote Victim Support, the Official National Hate Crime Report and Support Centre for Wales.

To mark Hate Crime Awareness Week, we arranged an awareness raising seminar entitled 'What if...it was you?' where council staff heard from a range of speakers including Disability Wales, Stonewall Cymru, EYST, South Wales Police and Victim Support.

For more information please visit <http://www.reporthate.victimsupport.org.uk/>

5.6 Community Cohesion

The Welsh Government has agreed to fund the Community Cohesion programme for another year (2018-19). The new programme will focus on 4 objectives:

- Work at a strategic level to break down barriers to inclusion and integration across marginalised groups
- Work at a local level to break down barriers to inclusion and integration for particular groups and communities
- Supporting migrants, refugees and asylum seekers and host communities during the integration process
- Tackling discrimination, hostility, tensions and extremism

This new approach by Welsh Government will hopefully allow each council to identify local priorities. The Welsh Government will publish the new Delivery Plan.

Swansea Social Services has recently established a Strategic Working Group who are looking to develop internal referral pathway, and safeguarding leads within the department to effectively deal with Modern Slavery related issues.

5.7 United Nations Convention on the Rights of the Child (UNCRC)

Our Children and Young People's Rights Scheme sets out the arrangements we have to ensure compliance with the due regard duty for embedding the UNCRC into the local authority policy framework.

A UNCRC Action plan exists and is based on clearly identified priorities, 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 third progress report on the due regard duty for embedding the UNCRC into the local authority policy framework was produced in September 2017 and informs objectives within the annual action plan.

Children's Rights are fully incorporated into our EIA process and Strategic Equality Plan. 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
2. Promotion and Awareness raising of the UNCRC 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

Over half of Swansea’s schools are now using My Concern to record all instances of safeguarding/well-being concerns. The safeguarding software eliminates the need for paper-based files, by monitoring and managing all well-being concerns of the children and young people. We are currently looking at how best to utilise the software to give the Council an overview of the types of instances being recorded. This would provide us with a high-level overview and allow us to target support efficiently and effectively.

5.9 Work with Older People

➤ Ageing Well Plan/ Swansea’s Local Wellbeing Plan

Swansea’s Wellbeing Plan was agreed in May 2018, Live Well, Age Well was agreed as one of four key objectives for partners to focus on. The Ageing Well work will be aligned with work in the Local Wellbeing Action Plan.

➤ Events and Engagement Activities

An Ageing Well Engagement Event was held in April 2017 to promote services and information and to gather views about what Ageing Well means to people as well as what an Age Friendly City centre would look like.

- Over 200 people attended
- Over 60 people gave their views

An event to mark UK Day of Older People was held in October 2017 at the Grand Theatre Studio and the following is a snapshot of feedback:

- Over 200 people attended
- Over 40 exhibitors
- UNCRC team and Early Years team in attendance
- 25 electric blankets /safety checks
- 60+ people had a Medicine /Blood pressure check

No AGM was held in 2017, but instead a Christmas Party took place to bring everyone together. The next AGM is scheduled for July 2018 and will be run adjacent to the Dementia Friendly Swansea AGM to try and bring together the two groups.

Future Forum events will be merged with Dementia Friendly Swansea activities.

5.10 The Well-being of Future Generations

The Well-being of Future Generations Act (Wales) 2015 requires the Council:

“To act in a manner which seeks to ensure the needs of present are met without compromising the ability of future generations to meet their own needs”.

This essentially means actively considering impacts on ‘the unborn’ when we make decisions across all services. The Council is committed to ensuring our actions contribute as fully as possible to the social, economic, cultural and environmental well-being of Swansea and its residents both now and in the future. By maximising the Council’s contribution to the national well-being goals we create the conditions ensuring greater equality for all.

Swansea’s Sustainable Development Policy adopted this central principle in 2012. All departments now take into account (to an increasing degree) the long term impact on future generations when designing, planning and delivering services. We ensure that we adopt the Sustainable Development Principle in everything we do; this includes consideration of the long term.

The genuine integration of sustainable development has been reflected in mainstreaming of activities previously centralised within a Sustainable Development Unit. Similarly the work of the Future Generations Board has been integrated into mainstream governance mechanisms.

5.11 Poverty

Tackling Poverty is a corporate priority and one of five key objectives within Swansea’s Corporate Plan; A revised Tackling Poverty Strategy for Swansea “Working towards prosperity for all” was published in 2018 that accompanies Swansea Council’s first Prevention Strategy for Swansea, also published in 2018.

<https://www.swansea.gov.uk/povertystategy>

Swansea’s revised Tackling Poverty Strategy sets out as definition of poverty in a Swansea context as:

- Income below the Minimum Income Standard
- Inadequate access to necessary services of good quality
- Inadequate opportunity or resource to join in with social, cultural, leisure and decision making activities.

Furthermore, the Council sets out its vision for Swansea, aspiring to achieve a Swansea in which:

- Income poverty is not a barrier to doing well at school, having a healthy and vibrant life, developing skills and qualifications and having a fulfilling occupation.

- Service poverty is tackled through targeting resources where they have the most effect, with decisions about that made in conjunction with service users.
- Participation is enjoyed by all our residents, who have the opportunity and resources to join in with social, cultural and leisure activities and decision-making.
- Residents maximise their Income and get the most out of the money that they have.
- Residents avoid paying the 'Poverty Premium', the extra costs people on low incomes must pay for essentials such as fuel and transport.
- Barriers to Employment such as transport and childcare are removed.
- People from Swansea's most disadvantaged communities are not excluded and Inequalities are Reduced between and within communities.

A cross departmental Delivery Plan sets out commitments across the council ensuring that tackling poverty is everyone's business. This approach is further supported through Swansea Council's Poverty Forum and the Swansea Partnership Poverty Forum, promoting the message and developing projects and services that support this principle.

The Prevention Strategy for Swansea builds upon the preventative approach that Swansea has always taken. Borne from a longstanding recognition that prevention activity is better, less time consuming and ultimately less costly and damaging to individuals and organisations than cure. The agenda is not driven by savings, but, rather, more personalised and joined up services.

Prevention is an underpinning principle of Swansea's Corporate Priorities and Well-Being Objectives, taking into account both the Well-Being of Future Generations Act and the Social Services and Well-Being Act.

A cross departmental approach is also taken to deliver the Prevention Strategy for Swansea with commitments across the Council supported by Swansea Council's Poverty Forum and Swansea Partnership Poverty Forum.

5.12 Lifelong Learning Service

The Lifelong Learning consists of three core areas of learning:

- Essential Skills and Family Learning
- Non-accredited Learning for Life
- Digital Literacy and IT.

The Service has historically delivered non-accredited Adult Community Based Learning across Swansea directed by demand from ongoing provision and our cohort of current learners. This will continue so we: 1) meet the demand raised from our existing learner base, and 2) provide a critical income necessary for our sustainability as a service.

In addition to the above, we are refining our model of service delivery to enable a greater capacity for provision that meets the needs identified through

learner consultation, partnership work and strategic endeavours identified locally and regionally. In real terms this means our selection of courses will go beyond the existing provision which addresses social inclusion, good health and wellbeing, to targeting specific needs for those on low incomes and/or with low skills. Of course, we continue to develop the service's provision of Learning for Life which impacts Social Inclusion and Health & Wellbeing with future activities planned for a Learning Festival, Adult Learners Week and our Summer Exhibition.

Non-accredited informal learning in Beginners IT, Creative Arts and Well-being, takes place across the city giving existing learners a focus for progression and an opportunity to engage new recruits into learning. This service supports a diverse group of individuals including those who are hard to reach, economically inactive and marginalised, providing appropriate advice, guidance and support to progress learners through their chosen area of learning.

Bespoke and co-delivered Digital Support, Family Learning, Essential Skills, and Learning for Life courses continue to expand with the refocus of our service, into projects that include Healthy Living/Eating, UC Digital Support, Work Club Support and multi-agency project delivery.

Essential Skills tuition and development is a primary part of the Lifelong Learning service, critical in the transformation it makes to learners' lives. The work is delivered out of multiple venues and supports individuals in literacy, numeracy and employability. Accreditation is given for Pre-Entry to Level 2 in Essential Skills Wales (ESW) and Agored Cymru. Family Learning is also delivered in partnership with schools across Swansea, promoting positive attitudes to learning for parents and their children, while developing the Essential Skills of our learners. The Essential Skills team also support Fast Track attainment of Level 2 ESW qualifications – equivalent to GCSE A-C grades while our IT programme supports Agored Cymru accreditation from Entry Level 3 to Level 1, as well as qualifications in ECDL levels 1 and 2.

As a whole, the service provides a range of life-changing outcomes for individuals that addresses social exclusion, promotes community cohesion and develops progression. Learners find confidence developed from their experience of learning helps support a more positive attitude towards their lives.

5.13 Welfare Reform

The Financial Inclusion Steering Group (FISG) continue to meet on a quarterly basis. FISG has recently reviewed and updated its Terms of Reference, is currently developing a revised action plan and now functions also as the 'Prosperity Sub-Group' for the Swansea Poverty Partnership Forum.

Full Service Universal Credit continues to be rolled out to claimants living in Swansea, who have a change of circumstances that ends their entitlement to their current benefits or have to claim a means tested benefit for the very first

time. Following the Welfare Rights mini ESA take up campaign, the Government have now agreed to review nationally awards of Employment and Support Allowance following migration from Incapacity Benefit. Lifelong learning have a tutor based in Swansea Job Centre to upskill Universal Credit claimants.

The Welfare Rights Team continues to provide appeal representation at first tier and Upper Tribunal hearings in respect of Social Security Welfare Benefit and Tax Credit hearings. The team delivers a range of training courses focusing on the main welfare benefits to staff of the Local Authority, partner agencies and other organisations. This ensures that our workforce (and staff in other organisations) are kept up-to-date with changes in legislation. The team raised £3,569.45 from selling courses and trained 56 Council Staff saving the Authority from paying outside organisations. The team also provide policy advice and support and respond to consultations on welfare reform. The Welfare Rights Advice Line continues to provide specialist advice to front-line staff to assist them with their clients benefit issues.

5.14 Violence against Women, Domestic Abuse & Sexual Violence

Strategic work has been strengthened by the development of our partnership approach to tackling violence against women, domestic abuse and sexual violence (VAWDASV). The new Swansea Violence against Women, Domestic Abuse & Sexual Violence (VAWDASV) Strategy 2018 - 2022 has been published this year following a full consultation process with professionals and community members. This Strategy gives a longer term commitment to our goals of ensuring prevention, protection and support of VAWDASV.

The Domestic Abuse One Stop Shop (OSS) continues to develop its services through a multi-agency partnership approach. The range of services on offer are across the continuum of need, from crisis drop-in through to the Freedom Programme, Nurturing Programme, and coffee and crafts sessions. Surgeries on a range of issues are on offer including legal advice, substance misuse and debt advice. The OSS services are monitored by the Partnership Group who aim to provide services that cover a continuum of care from prevention, crisis and after care and are accessible by all members of the community. Work is being started to look at implementing specific support for male victims and those from the LGBT community.

To reinforce our preventative agenda we have implemented the Domestic Abuse Hub, following the Council's Domestic Abuse review - part of a Council review of Family Support services through the Sustainable Swansea programme.

The review saw the launch last year of a new Domestic Abuse Hub bringing together Swansea Council and its partners in health, police and the third sector to help children and families experiencing domestic abuse or escalating relationship problems. Council staff, service providers, partner agencies, charities and survivors have all contributed to its design.

The DA Hub provides a whole family approach to ensure children, young people and their families feel safe, and not afraid, now and in the future, by being supported by the right people at the right time, so that they get the help they want and need. It has a multi-agency focus and is simplifying the pathways into support services, including mental health and substance misuse.

5.15 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.

5.16 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 2017 – 2018 were:

1. Arabic
2. Polish
3. Kurdish (Sorani)
4. Bengali
5. Romanian

5.17 Change Fund

Through the Third Sector Change Fund in 2017-18, a total of 16 third sector and voluntary organisations were financially supported through grants to deliver services and projects across Swansea. A number of these organisations work with, or represent the interests of, people with protected characteristics. In 2018 a Third Sector Compact Agreement was refreshed outlining how Swansea Council and the sector will work together in the future.

5.18 Children and Young People LGBT Funding

Grant funding was made available from April 2013 to provide a pilot support service to LGBT young people aged 13 to 25. Grants were awarded to two organisations to work jointly to provide the pilot service. This service has been successful and will be reviewed in 2018 to ensure this support continues in the future.

6. Concluding comments

This annual report has allowed us to assess our progress during the second year of our refreshed SEP. Progress has been made against all of our Equality Objectives and the amount of additional information we have to report over and above our Equality Objectives continues to grow, which is very positive. This demonstrates both our ongoing commitment to the equality agenda and the additional progress that is being made.

Appendix 1

Equality Objectives – Progress Update

Equality Objective 1 – Ensure equality of access to services

Corporate Priority link: Safeguarding vulnerable people

Associated actions	Deadline	Progress 2018
Poverty & Prevention		
Develop arrangements with the Corporate Complaints Team to ensure accessible mechanisms for addressing any issues arising in relation to children’s rights in Swansea (including signposting to advocates and providing feedback)	2016	<p>Complete: All responses to queries raised through the UNCRC mailbox follow the Swansea Standard</p> <p>Process map for dealing with issues relating to CCS and the “Due Regard Duty” developed and agreed</p>
Continue facilitation of Play Access Group and BME Family and Play Group	2019 – feeding into the Play Sufficiency Audit (PSA)	<p>In progress: The Play Access Group and BAME (note change in name) Family & Play Group continue to meet and allow for an identification of key issues around access and inclusion although there have been funding and capacity issues with external partners which have impacted on the group. As these groups feed into the overall Play Network it allows for relevant issues and developments to be raised amongst a larger cohort</p>
Provide a range of services through the Families First programme targeted at families with disabled children	March 2017	<p>In progress: Families First has a workstream providing support for families affected by disability. This workstream includes:-</p>

Associated actions	Deadline	Progress 2018
		<ol style="list-style-type: none"> 1. Support for families with preschool children who have an emerging or diagnosed disability. Delivered through Stepping stones. 2. Holistic family support and an advocacy service centred around ALN and education, provided by SNAP. 3. Support for young carers through the YMCA. 4. Life skills and family support for young people with very challenging behaviour and high end disability via the Local Aid Buddies project. 5. Funding to various community groups through the Disability Play grant. 6. Early Language Development support via the Early Interventions internal team.
Communications and Customer Engagement		
Introduce a new British Sign Language service at the Contact Centre	January 2017	<p>Complete: The Council now use existing internal resources to deliver a British Sign Language Service with two officers available at Level 1 BSL and three officers available at Level 2 BSL. We also have access to higher level resource as required through our partnership with the Welsh Interpretation & Translation Service and residents can request a preferred translator if they are available.</p>
Introduce a SMS texting service for residents	January 2017	<p>Complete: Service in place with 546 texts received between April 2017- March 2018 (SMS: 07919 626434)</p>

Associated actions	Deadline	Progress 2018
Provide additional support to Contact Centre customers by having staff positioned at the entrance to assist as needed	Review effectiveness every six months	Complete: The Council continues to have 'floor walkers' at the entrance of the Civic Centre to assist with resident with their queries or make payments at the payment kiosks.
Housing & Public Protection		
Develop a Rents Strategy. Part of this strategy will ensure that the arrears recovery process is easy to understand and takes account of customer needs, particularly those who may be vulnerable	2019	In progress: Preparing and responding to the changes Welfare Reform has brought over the last 18-24 months has been challenging. Resourcing the Rents Strategy has been difficult particularly as the Rents Manager post changed to job share with training requirements for the newly appointed manager. This coincided with Swansea becoming a Universal Credit live service area. Measures have been put in place to complete it by March 2019.
Continue with programme of customer access audits of Housing and Public Protection services to ensure that services are accessible to everyone	Complete every 2 years, 2017 onwards	Complete: Audits completed and reviewed November 2017
Incorporate all relevant equality issues into the new Local Housing Strategy (LHS)	2016	Complete: All equalities issues were incorporated into a dedicated chapter within the LHS. The strategy was approved by Council in 2016 and runs until 2020. In 2016, the Authority also updated its Gypsy and Traveller Needs Assessment and submitted the results to Welsh Government. The results were also used to inform the Authority's Local Development Plan (LDP)
Raise awareness of the availability of Disabled Facilities Grants (DFGs) particularly	2016	Complete:

Associated actions	Deadline	Progress 2018
in terms of disabled children and young people		We have promoted widely via a range of media including social media, websites and published information, such as posters and pamphlets which we distributed through local Doctor's surgeries and also through key partners.
Produce a strategy as part of the More Homes project for using Housing Revenue Account resources to provide more Council Housing, which will help meet the needs of a diverse community	2016	Complete: Strategy reported and endorsed by full Council in November 2016
Provide burial/cremation arrangements in line with the requirements of Swansea's diverse community	Monitored monthly	In progress: Minimal demand. Ongoing and monitored monthly
Develop protocol for inspection of dwellings proposed to be used to accommodate asylum seekers	2016	Complete: Protocol is in place and being followed
Legal and, Democratic Services		
Continue to review Polling Stations; seeking to improve them to ensure a positive experience for the voter	Elections: May 2016 and May 2017	Complete: Every 4 years there is a Polling District/Polling Station review which is due at the end of the year. During the elections last year consideration was given to public access in line with our electoral duties/electoral commission guidance. Where improvements to access were required these were addressed.
Cultural Services		
Continue project in libraries to introduce or improve the computer skills of people of all ages	2016 and ongoing	In progress: We continue to provide digital inclusion opportunities and work with partners to deliver digital literacy opportunities to over 50's

Associated actions	Deadline	Progress 2018
Consider sourcing and implementation of additional/improved visual impairment computer aids in libraries	2016	<p>In progress: Currently we are looking at renewing licenses for Zoomtext for computers which are being upgraded onto Windows 10.</p> <p>Recent Grant funding at Townhill library gave us the opportunity to purchase an additional large key keyboard.</p>
Continue variety of activities that takes Swansea Museum to older people and groups	2016	<p>In progress: Outreach Talks: The museum continues to provide talks to a wide range of community groups, day centres, dementia support groups and residential units. The three most popular talks remain the Swansea Blitz, Mumbles Railway and History and Treasures of Swansea Museum. A few other optional talks are available.</p> <p>30 outreach sessions were delivered to a total of 1268 people.</p> <p>It is estimated that over 95% of attendees are 55+, with the majority of them over 70 years of age.</p> <p>The talks are varied in length depending on group and primarily are aimed at reminiscing rather than in depth history.</p> <p>Memory Boxes: Memory boxes have been produced in partnership with Library Services.</p>

Associated actions	Deadline	Progress 2018
		<p>Memory boxes remain popular and used although distribution and return can sometimes be problematic. Recording numbers is also proving difficult despite box covers clearly requesting people to fill in the usage numbers in the enclosed recording book.</p> <p>Boxes are themed or by decade and include objects donated which are not required for the collection and permission provided for educational purposes or through occasional purchase on eBay or car boot sales.</p> <p>Volunteering: Swansea Museum continues to offer volunteering opportunities to all age groups, however the majority of volunteers are 55+ and several volunteers are in their 80s.</p> <p>The museum currently has approximately 50 volunteers listed on a variety of tasks and projects including research, documentation, gallery assistants, tour guides and Olga crew. The majority of volunteers are individuals who approach the museum directly. Swansea Museum also works in partnership in regard to volunteering opportunities with SCVS, RISW, Friends of Hafod Copper Works and U3A.</p> <p>Volunteer hours for 2017 totalled 3125 hours the equivalent of approximately 2.1 full time staff.</p>

Associated actions	Deadline	Progress 2018
Explore the history and heritage of the LGBT community as an option for the Museum programme	2018	<p>In progress: There were discussions with Unity and other partners on a project that did not come to fruition.</p> <p>A consultation was held with Good Vibes, the LGBT Youth Forum, regarding an overall major HLF bid to celebrate the 150th Anniversary of YMCA Swansea which would start in 2018. A few activities were identified for the overall bid including exploring Polari language and coming out proms etc.</p> <p>The consultation also raised the issue of the 2017 anniversary of the 1967 act, which effectively decriminalised homosexuality. A project idea around celebrating that through a Young Roots application unfortunately was not explored further as both YMCA and the museum had current HLF Young Roots applications already under development. However, these ideas may be developed under the overall activity plan for a YMCA bid or a potential future Young Roots bid.</p> <p>In the Autumn, there will be a major exhibition on suffrage in Swansea. We are awaiting the results of WAG grants to community groups to be announced. If any of the local LGBT groups have secured a grant, an approach will be considered to look at incorporating one of the projects into the exhibition.</p>
Undertake a range of equality-focused activities at the Glynn Vivian, working with groups such as children & young people,	2018 – and continue to monitor	<p>In progress: Learning & engagement programmes:</p>

Associated actions	Deadline	Progress 2018
disabled people, BME and LGBT communities		<p>Over the past year we have continued to offer a range of activities for vulnerable people including:</p> <ul style="list-style-type: none"> • Art Baba's – for young parents and carers • Saturday Family drop workshops- open drop in workshops for the community • Saturday family bookable workshops – intergenerational workshops for children aged 4-12 • Young art force – Arts award accredited classes for NEET and home-schooled children • Workshops for people with visual impairments and / or special needs through Swansea Day Service centres • Wednesday Adult Art Classes – for people aged 55+, offering social accessible workshops for older people. • Asylum seekers and refugees workshops, trips and travel reimbursement. <p>We have also trialled films for LGBT people and attempted to run a filmmaking project with Cardiff based LGBT film Prize IRIS, which had to be cancelled due to low interest.</p> <p>We worked with Gentle radical on their WOW film clubs for women of colour.</p> <p>Exhibitions & Displays: We also presented our Swansea Open exhibition which includes everyone living or working in the City. This was followed by an exhibition entitled, These</p>

Associated actions	Deadline	Progress 2018
		<p>Waters have Stories to Tell, with artists from Canada, Mauritius, Australia, Estonia, Cyprus and Wales.</p> <p>Interpretation: All of our publications and promotions are bi-lingual, and our interpretation includes an App and page-turner for people who are visually or hearing impaired, with labels available in large print, soon to be placed on i-pads. We also have blind describing systems for selected artworks.</p>
<p>Continue to deliver Dylan Thomas Centre Heritage Lottery Fund Project Activity Plan</p> <p>Action amendment for 2018 onwards: Following completion of the Dylan Thomas Centre's successful HLF project (ended March 18), continue to build on and deliver the range of equality-focused activities developed throughout the project, in line with Corporate Priorities.</p>	2017	<p>Complete: The activity element of the Dylan Thomas Centre's Heritage Lottery Funded Project ended in March 2018. The exhibition and legacy work will continue.</p>

Equality Objective 2 – Undertake a range of work focused on safety including hate crime, modern slavery, protection of vulnerable people, radicalisation and extremism etc.

Corporate Priority link: Safeguarding vulnerable people

Associated actions	Deadline	Progress 2018
Poverty & Prevention		
Develop a Hate Crime Strategy	March 2017 with annual	In progress:

Associated actions	Deadline	Progress 2018
Increase understanding of hate crime and awareness of how to report it amongst staff and key partners	monitoring thereafter	<ul style="list-style-type: none"> • Hate Crime Stakeholder Action Plan established and is a dynamic document. • HC Planning Group meets quarterly. • HC E-learning course reviewed and is being accessed by staff as a mandatory course (118 to end of Feb 2018). • Train the Trainer course has been developed by Victim Support. • HC awareness week events co-ordinated and undertaken, one of which was a HC seminar for Council staff. • HC agenda was scrutinised by Council in November 2017 and result was positive. • Victim Support take the lead on this agenda as commissioned by Welsh Government.
Maintain a framework for the delivery of Prevent interventions and support to vulnerable individuals at risk of or being drawn into violent and/or non-violent extremism.	2020 - with action plan reviewed and updated annually	<p>In progress:</p> <ul style="list-style-type: none"> • Participating in the Home Office Dovetail pilot until Oct 2019 • Local Authority Channel Co-ordinator managing case load • Community Integration and Partnership Manager chairs Channel Panel • Multi-agency Channel Panel meets monthly to discuss cases. • Interventions in place for current cases. • Prevent Action Plan 2017-20 established and maintained.
Increase awareness amongst staff and partner organisations on modern slavery and how to signpost victims	March 2017 with annual monitoring thereafter	<p>In progress:</p> <ul style="list-style-type: none"> • Regular Modern day slavery sessions delivered in Western Bay. In the last 12 months a total of 291 people attended these sessions.

Associated actions	Deadline	Progress 2018
		<ul style="list-style-type: none"> • Modern Day Slavery Train the Trainer session was held in Swansea and attended by 30 multi-agencies staff. • First Responders session was held for Swansea Social Workers colleagues and attended by 20 staff members. • Swansea Social Services Strategic Working Group is currently developing internal referral pathway, and will be finalised soon. • The Wave Radio Station in Swansea aired a series of infomercials on Modern day slavery during the safeguarding week in Nov. • The Coco Coordinator is currently assisting colleagues in procurement to develop code of practice flowchart and the mainstreaming of Modern slavery concerns in the supply chain. • The Cohesion Coordinator currently providing the secretariat to the Western Bay Anti-Slavery Forum.
Continue role of BME Family and Play Group within cross-sector Play Network in relation to hate crime awareness and understanding of modern slavery	2019 – feeding into the Play Sufficiency Audit	<p>In progress: Several training opportunities facilitated with good cross internal and external partnership attendance.</p>
Establish a working group to explore opportunities in relation to confidence and safety in getting around the City and County of Swansea	2017	<p>In progress:</p> <ul style="list-style-type: none"> • Initial meetings held with Senior Managers at First Cymru. • Public feedback from Ageing Well events and young people’s “Big Conversations” fed into development plans for the City Centre.

Associated actions	Deadline	Progress 2018
Housing & Public Protection		
Review the Statement of Policy for Licensing in respect of alcohol, entertainments and late night refreshment, taking particular account of the need to ensure protection of children	July 2018	In progress: 17-5-18 Cabinet for approval for reviewed policy to be issued for consultation Consultation due to end 8-6-18 26-7-18 - Results of consultation reported to Council for adoption of the reviewed policy
Review the Council's policy in respect of gambling, taking particular account of the need to ensure protection of children and vulnerable people	January 2019	This review will progress nearer to the deadline
Raise awareness of doorstep crime and scams to prevent people becoming victims	2016 and ongoing campaigns will take place	In progress: Continue to work with community groups and visits to raise awareness of scams and doorstep crime
Provide training and raise awareness with support agencies in identifying scams	2016 and ongoing training will take place	In progress: Ongoing training to both internal and external agencies training staff to ensure they can assist consumers in spotting scams and how to report them
Highways & transportation		
Undertake Safer Routes in Communities (SRIC) project with schools	Annually	In progress: SRIC for St Thomas successfully completed 2017/18. Successfully secured further funding for Gower SRIC 2018/19.

Equality Objective 3 – Develop a whole council approach to the United Nations Convention on the Rights of the Child (UNCRC), to meet our commitments contained within the Children and Young People’s Rights Scheme

Corporate Priority link: Safeguarding vulnerable people

Associated actions	Deadline	Progress 2018
Corporate Actions		
<p>Increase knowledge and understanding of the UNCRC by ensuring all staff attend/participate in the UNCRC corporate training</p>	<p>2017</p>	<p>In progress:</p> <p>Child & Family: Staff have been encouraged to attend training and a register of attendees is now in place and follow up training will be offered to ensure 100% compliance. Presentations have taken place at SMT and team meetings throughout the service.</p> <p>Education: All staff are encouraged to attend/participate in the UNCRC corporate training.</p> <p>Highways: Safeguarding Children training being carried out by whole service – Ongoing</p> <p>CBPS: All employees within CBPS have received Safeguarding awareness training of which the UNCRC is a key part of this training.</p> <p>Poverty & Prevention:</p>

Associated actions	Deadline	Progress 2018
		<p>Funded projects supported by the CYP Fund are required to evidence how children & young people are involved in the planning and delivery of services, in line with the UNCRC</p> <p>Workforce development opportunities offered by Life Stages Team through Poverty and Prevention, Education and Child and Family Services training programmes.</p> <ul style="list-style-type: none"> • UNCRC training provided to new Councillors upon induction • Bespoke workforce development opportunities offered by Life Stages Team as requested and necessary.
<p>Promote and raise awareness of the UNCRC by embedding children's rights within day to day practice and utilising the Children's Rights logo in all promotional activity</p>	<p>2017</p>	<p>In progress:</p> <p>Child & Family: This is achieved in day to day practice via the SOS Practice framework.</p> <p>Education: The Education Department promotes and raises awareness of the UNCRC at every opportunity.</p> <p>Highways: Safe Routes in Communities and Walking Routes to Schools ensure children's rights are being considered – Ongoing</p> <p>Legal: Children's rights are considered by both legal and access to services officers during the report clearance cycle and in decision making process.</p>

Associated actions	Deadline	Progress 2018
		<p>CBPS: Safeguarding awareness and updates are a regular item on the monthly team briefings held with all employees.</p> <p>Poverty & Prevention: The Children’s Play Team feature ‘Dilly’ in all relevant publicity and information and contribute to UNCRC awareness events, significantly International Children’s Rights Day (20th Nov). UNCRC due regard information is disseminated by The Children’s Play Team at every opportunity to support awareness and responsibility across departments and members.</p> <p>Continued use of ‘Dilly’ the children’s rights logo:</p> <ul style="list-style-type: none"> • a Dilly flag flies during planned periods from the Civic Centre Building • #DillyDragon #DdraigDilly linked to the Corporate Facebook and Twitter • Promotional materials like pens, headphones, water bottles, posters and badges have been circulated; • Consistent use of Dilly uniform for staff at public event <p>Partners have linked pieces of work and the UNCRC to Dilly’s work. This includes promoting Dilly on:</p> <ul style="list-style-type: none"> • ‘Playful Schools’ plaques and signage • ‘Smoke Free Beach’ and Smoke Free School Gates’ signage • Throughout the Best Start Campaign

Associated actions	Deadline	Progress 2018
		<ul style="list-style-type: none"> regular posts to the Children’s Commissioner’s ‘Rights Hour’ Twitter feed <p>Digital & transform: There is the recent children and young people’s data protection policy as an example of how we have ongoing work to actively promote children’s rights – www.swansea.gov.uk/youngpeopleprivacy</p>
Ensure quality opportunities for Children & Young People’s voice in policy/service developments that affect them	Ongoing with annual monitoring	<p>In progress: Child & Family: CFS Participation strategy is in place – April 2018</p> <p>Education: The Education Department ensures that the voice of children and young people is heard with all major policy and service development by utilising the Pupil Voice Forum, the Big Conversation, School Councils and pupil specific consultation meetings.</p> <p>Adult Services: A Carers Strategy is in the process of being developed; this will reflect the views of young carers.</p> <p>Highways:</p>

Associated actions	Deadline	Progress 2018
		<p>Children consulted in Safe Routes in Communities and Walking Routes to School – Ongoing – Leading to successful application for SRIC Grant Funding for Gower 2018/19</p> <p>CBPS: Always considered, an example being their involvement on our “More Homes” project where local children designed safety posters that were displayed on the site</p> <p>Poverty & Prevention: Children and young people engaged in the consultation process for both the Poverty and Prevention Strategies. Easy read documents were produced to accompany the full documents which supported Pupil Voice sessions held during the autumn of 2017</p> <p>For the Play Sufficiency Assessment (PSA) a cyp summary was produced and distributed via schools and face to face which explains why there is a duty to secure sufficient play, what the findings were, what we will do and allows an opportunity to say whether they feel we are doing enough and what they would like to see.</p> <p>Consultation processes are used at every opportunity with the regards to the development of any play spaces</p> <p>Specific consultation and engagement with pre-school children was undertaken to identify their wants and needs as part of the Childcare Sufficiency Assessment (CSA).</p>

Associated actions	Deadline	Progress 2018
		<p>As their number one request was for play, particularly, outdoors, this was a major focus for delivery, funding and training during 2017/18 with a wide range of new opportunities made available.</p> <p>6,087 children and young people had opportunities to have their voices heard through Big Conversation mechanisms co-ordinated by the Life Stages Team including:</p> <ul style="list-style-type: none"> - Big Conversation forums - Pupil voice forums - Forums for care experienced children and young people - Specific consultations such as the consultation on the play and childcare sufficiency assessments - Voting in the UK Youth Parliament - CYP Super Survey <p>Cultural Services: The overall EIA for Swansea Museum was revised in 2015 to take account of “Due Regard” to the UNCRC. Ongoing projects such as Kids in Museums, Sharing Treasures Project and the overall education programme continue to involve targeted children and young people.</p> <p>A bid has been submitted to WAG for the re-development of a temporary exhibition gallery back to a permanent gallery dedicated to natural history and science. If funding is secured the bid contains a substantial element for consultation with</p>

Associated actions	Deadline	Progress 2018
		young people, schools and community groups. If funding is not secured a smaller scale consultation will be undertaken.
Poverty & Prevention		
Continue to embed Children's Rights in all practice and procedures within the department and with partner commissioned organisations	2017	<p>In progress: UNCRC Standards have been included in the template for all Social Care Contracts for 18/19</p> <p>Children's rights are embedded in the following corporate plans:</p> <ul style="list-style-type: none"> • Strategic Equality Plan • Democratic Services Reporting • Health & Safety Emergency Planning. • City of Culture plans • City Centre Redevelopment plans. • Strategic Equality plans in schools • Corporate Parenting Strategy • Swansea's Early Years Strategy • Healthy and Sustainable Pre-School Scheme • Play Sufficiency Assessment • Young People's Service plans. • Children and Young People's Strategic Partnership Plan • Swansea's Wellbeing Plan
Raise awareness of "Big Conversation Mechanisms", ensuring children & young people have an understanding of a variety of opportunities to have their voice heard	2017	<p>In progress: A sustained increase of participants in Big Conversation has continued with 2399 children and young people engaging in face to face forum activity.</p>

Associated actions	Deadline	Progress 2018
		<ul style="list-style-type: none"> New opportunities to extend the age range of Big Conversation were planned and promoted.
Develop a communication strategy and campaign plan with key objectives to be delivered across the whole of Swansea	2016	<p>Complete: Communication strategy to promote Children’s Rights has been developed as above, and in line with the Corporate Communication and Engagement team.</p>
Establish a working group to explore issues around gender stereotyping	2017	<p>Complete:</p> <ul style="list-style-type: none"> Hosted a Gender Stereotyping Seminar on 12th Oct 2017 with over 60 colleagues from across the authority attending to hear talks from Stonewall Cymru & Swansea University in relation to the impact of gender stereotyping on children & young people. Held a Pupil Voice Forum on 31st January 2018 to explore issues around identity and equality & to promote inclusion within schools. 30 Primary/Secondary pupils attended aged 10-18 Yrs. (7 Secondary & 6 Primaries) Supported a Gender Equality talk on 8th March 2018 for International Women’s Day with 20 colleagues in attendance. Held a Big Gender Equality Conversation on the 18th of May 2018 with 72 comprehensive school aged pupil from 9 comprehensive schools at Gorseionon Youth Club to consider the impact and explore solutions and consider how schools might tackle the issues raised.

Equality Objective 4 – Continue to improve Social Services provision within both Adult and Child & Family Services, ensuring that the service user’s needs are at the centre of all planning and commissioning activities

Corporate Priority link: Safeguarding vulnerable people

Associated actions	Deadline	Progress 2018
Child and Family Services		
Further develop our front door service in accordance with the Social Services and Wellbeing (Wales) Act to enable equitable access to information, advice and assistance about statutory services and the preventative sector	2016	In progress: Vanguard Systems review is taking place July 2018
Develop a service for perpetrators of domestic abuse including 1:1 and group work, informed by service user feedback, which supports the work already being undertaken with women and children where domestic violence is a feature in their lives	2016	Complete: Completed in 2016 with the development of the DV Hub
Implement the Active Offer of Advocacy Arrangement to help ensure children and young people have access to additional support to have a voice in the decisions that affect them	2016	Complete: In place as of April 2017
Develop and implement Looked After Children Review arrangements, which enable children and young people to lead on their reviews	2017	In progress: Part of the Participation Strategy
Further develop and implement the Signs of Safety Methodology within Social Work	2017	Complete:

Associated actions	Deadline	Progress 2018
Teams. This is a strengths based model which promotes the voice of the child, includes their family and wider networks in safety planning and is focused on outcomes		SOS implementation strategy in place and reviewed annually. Recent review, April 2018, by WBCSB acknowledged the impact of SOS in this area.
Develop a Child Disability Strategy consulting with children, young people, families, multiagency partners and the third sector to ensure that disabled children and their families can access a range of provision across the continuum of need – accessing the right opportunity/service from the right place at the right time	2017	In progress: This work sits under the FSCG and is progressing with collaboration from Education and P&P. The impact of the new ALN Bill and the IAS service is being considered.
Develop a leaving care service in partnership with a third sector provider. Final 'shape' of the new service to be informed by partners and young people's views	2016	Complete: Completed in 2016
Develop a comprehensive support and review framework for all individuals awarded a Special Guardianship order. Services to include training opportunities for carers, groups for young people and general advice and assistance via a dedicated team	2016	Complete: Completed in 2016
In accordance with the Social Services and Wellbeing (Wales) Act, develop policy and procedures for a Swansea "When I'm Ready" scheme in line with Welsh Government Guidance. This will enable	2016	Complete: Completed in 2016

Associated actions	Deadline	Progress 2018
more young people to remain with their foster carers beyond the age of eighteen and until they are ready for independence		
Develop an updated Disability Strategy for Children in accordance with the Social Services (Wales) Act. This will include greater involvement of parents and carers in Care planning via the increased use of Direct Payment packages	2016	Complete: Completed in 2016
Further establish Social Services involvement in the provision of support for children who require therapeutic support by <ul style="list-style-type: none"> continued and active membership by the Head of Service of Child and Family in the Mental Health Planning Group developing packages of therapeutic support for children, families and significant adults from the recently established Internal Therapy Team 	2016	Complete: In addition a regional MAPPS service with Clinical Psychology support has been established to provide support to children with complex needs.
Adult Services		
Further develop safeguarding measures for vulnerable adults in a safer, personal and more timely way	2016	In progress: A review has been undertaken into the approach to safeguarding in Adult Services. This has concluded that the process needs to be redesigned to provide a consistency of approach and dealing with safeguarding issues in a timely manner. A revised structure will be proposed and it is planned

Associated actions	Deadline	Progress 2018
		that this will be implemented in 2018/19. This will ensure that the approach to safeguarding is as robust as possible.
Improve the deprivation of liberty and safeguarding (DOLS) processes	2016	<p>In progress: A new dedicated DoLS team has been created. It is too early to quantify the impact of this team, but there is intended to be a significant improvement on performance and greater adherence the statutory timescales. It is intended that this team will allow the Authority to be fully compliant with its statutory obligations.</p>
Review integration with health in the three community hubs	2016	<p>In progress: 3 Integrated Hubs have been in place since April 2015. Service users report a more joined up service and clear evidence of person-centred approach. In the last year, considerable work has been done to strengthen the role of the multi-disciplinary team of social workers, Occupational Therapists, Physiotherapists and District Nurses at the Common Access Point. This is ensuring that those who access the Common Access Point get consistent and good quality Information and Advice and those that require more ongoing support is minimised in line with their needs/</p>
Continue to transform adult service in order to ensure a citizen directed service	2016	<p>In progress:</p> <ul style="list-style-type: none"> • All Adult Services Practice Framework has now been developed and training is now being delivered to the teams. This is encouraging social work practitioners and those responsible for assessment to take a more person-centred, outcome focussed approach. • Adult Services is developing its approach to co-production of services. Good examples over the last year include the

Associated actions	Deadline	Progress 2018
		<p>development of the Supported Living Framework which service users and families/carers co-produced.</p> <ul style="list-style-type: none"> We continue to develop our in-house service provision in line with the wishes and needs of those we work with.
Further review Commissioning Plans for Adult Services	2016	<p>In progress:</p> <ul style="list-style-type: none"> Commissioning Strategies for people with a Learning Disability, Physical Disability and Sensory Impairment and Mental Health Concerns have now been agreed by Cabinet. Work is required to look at the Commissioning Strategies for Older People going forward.
Web pages updated as appropriate to improve access to information, assistance and advice	2017	<p>In progress:</p> <p>This continues to be work in progress in line with the requirements surrounding Information, Advice and Assistance contained in the Social Services and Wellbeing Act.</p>
Develop Adult Social Work practice framework. This approach needs to be strength based and outcome focused, to promote the voice of service users, their families and the wider community	2017	<p>In progress:</p> <p>Practice Framework has now been developed; training is now being delivered to the teams. As part of this, we are coproducing the amended assessment format and a handbook for service users to guide them through the assessment process.</p>
Further develop our front door service in accordance with The Social Services and Wellbeing (Wales) Act to enable ease of access to information, advice and assistance and also preventative services	2017	<p>Complete:</p> <ul style="list-style-type: none"> All Information and Advice Assistants trained to provide information, advice and assistance as well as signpost people to preventative services. A full Multi-Disciplinary Team is now in place at the Common Access Point to offer information and advice.

Associated actions	Deadline	Progress 2018
		<ul style="list-style-type: none"> A common approach to Information, Advice and Assistance has been developed across Social Services so there is consistency of approach.
Continue to increase the take up of Direct Payment as a way to ensure that people with eligible social care needs are able to access services that are suitable to their needs	2017	In progress: The uptake of Direct Payments is steadily increasing and further work is ongoing to ensure that the support service is designed to provide appropriate support. Further work is also ongoing to look at the rates of pay for Independent Living Support Assistants to ensure that they can be recruited to support people.
Ensure current assessment tool is compliant in accordance with Welsh Government recommendations in preparation for the implementation of The Social Services and Wellbeing (Wales) Act	2016	In progress: Assessment tool has been designed so it is compliant; further developments are planned as part of the Practice Framework development.

Equality Objective 5 – Improve pupil attainment and continue to close performance gaps

Corporate Priority link: Improving pupil attainment

Associated actions	Deadline	Progress 2018
Education and Poverty & Prevention		
Children and young people from ethnic minority backgrounds continue to achieve at least as well as their peers at end of Key Stage 4 (KS4)	Annual analysis of Key Stage 4 results in autumn term.	In progress: 64.1% in 2017 compared to 57.7% for other pupils.
Learners from Asian / Bangladeshi backgrounds achieve at least as well as their peers at end of Key Stage 4	Annual analysis of Key Stage 4	In progress: 53.7% in 2017 compared to 57.7% for other pupils.

Associated actions	Deadline	Progress 2018
	results in autumn term.	
Maintain improving trends in assessment of boys and girls at Key Stage 2 (KS2) and Key Stage 3 (KS3)	Annual analysis of Key Stage 2 and 3 results in autumn term	<p>In progress: KS2: results for both boys and girls have improved over five years and the gender gap has reduced slightly.</p> <p>KS3: results for both boys and girls have improved over five years but the gender gap has widened.</p>
Close the performance gap between boys and girls	Annual analysis of results in autumn term	<p>In progress: KS2: gender gap -6.0% in 2015 improved to -4.1% in 2017.</p> <p>KS3: gender gap -6.6% in 2015 widened to -8.5% in 2017.</p>
Close the performance gap between pupils who receive free school meals (FSM) and those who don't	Annual analysis of results in autumn term	<p>In progress: KS2: five-year upward trend in FSM results, but FSM remain over 16% below non-FSM.</p> <p>KS3: Strong upward trend for FSM pupils, but results remain over 18% below non-FSM.</p>
Reduce inequalities in school readiness	2019	<p>In progress: Flying Start Programme continued to operate with the Foundation Phase Profile adapted for pre-school children and the Wellcomm speech and language screening tool rolled out across all childcare settings.</p> <p>Further development of the Best Start Campaign through Social media, posters and events.</p>

Associated actions	Deadline	Progress 2018
		<p>Consolidation of the Jig-so Project supporting young parents during their child's 1st 1000 Days.</p> <p>Collaboration with the Health Board and Public Health Wales to facilitate a 1st 1000 Days multi-agency event to inform a new action plan.</p>

Equality Objective 6 - Provide equality support for schools
Corporate Priority link: Improving pupil attainment

Associated actions	Deadline	Progress 2018
Continue progressive improvement to access to infrastructure in schools	Annual return to Welsh Government, March	In progress: The Council's bid for 21 st Century Schools (Band B) funding has been approved subject to individual business cases receiving approval. This will continue the progressive improvement to access to infrastructure in schools.
Young people from Gypsy and Traveller communities are offered appropriate access to secondary education and support in engaging with those opportunities	2017 with termly monitoring	In progress: A revised Gypsy and Traveller multi agency group oversees this work led by Head of Service within the Education Department. Further consultation has taken place this year, with further work on future service options being explored by the group.
Launch tool for Recording of Identity Based Bullying across all schools	August 2016 with termly analysis	In progress: The tool was launched but with limited success. A large number of schools are now using software called My Concern to record all incidents of Safeguarding. We are promoting this software to schools and are looking to get overarching view of all incidents at a Council level.

Associated actions	Deadline	Progress 2018
Review guidance to schools on Strategic Equality Plans and present update to Headteachers at a termly meeting and via the schools newsletter	2016	Complete: The guidance was reviewed and a refreshed SEP template was rolled out to schools alongside a bespoke equality impact assessment template.
Continue the contractual agreement with UNICEF UK to embed the Rights Respecting Schools Award in all schools in Swansea	2017	Complete: The contractual arrangements with UNICEF UK have ceased in 2017 as all schools either have reached level 1 or are working towards this status. A sustainable plan for peer led assessment is in development for roll out in 18/19 so the status of schools Rights Respecting Schools wards can be maintained in the future
Ensure schools are protecting children and young people from being drawn into terrorism by having robust safeguarding policies in place to identify children at risk, and intervening/supporting them as appropriate.	2020 - with action plan reviewed and updated annually	Complete: <ul style="list-style-type: none"> Referral process in place. 87 schools (2361) members of staff have received Prevent awareness training in total. Schools advised to include Prevent in their safeguarding policies during the awareness training and wording provided when requested.
Ensure schools are directed to relevant Welsh Government guidance so this can be practiced in schools, for example: provision of counselling, specific equality-related advice and information and any relevant training for school staff, pupils and governing bodies	As guidance is issued	In progress: There is a section on Staffnet to provide schools with all the latest information and a new section is being created on the national Hwb platform going forward.
Develop and publish Transgender Guidance for schools	2017	Complete: The guidance has been developed with the support of Stonewall and is available to all schools.

Associated actions	Deadline	Progress 2018
Stonewall training offered to all schools via Education through Regional Working (ERW)	2016	Complete: The Stonewall training was offered via ERW and schools can continue to access support directly from Stonewall.

Equality Objective 7 - Provide opportunities via apprenticeships and work placements
Corporate Priority link: Improving pupil attainment

Associated actions	Deadline	Progress 2018
Corporate Building and Property Services (CB&PS)		
Work experience placements – provide quality opportunities to students to experience the real workplace. Enable a student to understand and develop the necessary skills to equip them for their chosen career path	Ongoing - as placements are arranged	In progress: Over 45 weeks of on-site work experience placements given to school leavers within CBPS.
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 programme is dependent on future budget approval	Annually	In progress: We will be recruiting a further 18 apprentices in September 2018 taking our total to 198 in the past ten years. Links with Social Services and Education to promote the apprenticeship programme continue with excellent progress being made in particular with Looked After Children where the Swansea “Family” plays a major part in what we are trying to achieve.

Equality Objective 8 - Improve access to the infrastructure around pavements, roads and parking provision for disabled and older people, as well as families with young children

Corporate Priority link: Creating a vibrant and viable city and economy

Associated actions	Deadline	Progress 2018
Implement the Pavements for People Policy	Ongoing	In progress: The Council continues to ensure that the standards set out in the policy are exercised and adhered to
Review accessibility of street furniture, e.g. seating	2017	In progress: The review is ongoing and inventory being updated.
Installation of dropped kerbs to assist access where needed	Case by case basis	In progress: Dropped kerbs now require Councillor community budget funding.
Ensure all new pedestrian crossings are designed to ensure safety for all	As new crossings are developed	In progress: Ongoing and being undertaken as new crossings are provided
Consider equality issues when designing highway and traffic schemes	As projects are designed	In progress: Quality audits being undertaken for major schemes, which consider equality issues as part of the design process e.g. Kingsway
Provide permits for qualifying care organisations and carers to park within residents parking bays	As needed	In progress: This initiative is still being undertaken

Equality Objective 9 - Improve access to public transport by bus for disabled and older people, as well as families with young children

Corporate Priority link: Creating a vibrant and viable city and economy

Associated actions	Deadline	Progress 2018
Promote the RNIB REACT system for visually impaired people at the Bus Station 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	Ongoing	In progress: The REACT fob system is no longer supported by the RNIB so their alternative smart mobile phone app is being explored as an alternative.
Continue to implement programme to provide raised kerbs at bus stops to allow easy access for all passengers. Continued engagement with disability groups	Ongoing	In progress: Raised kerbs are provided as bus shelters are upgraded and also as part of highway improvement schemes.

Equality Objective 10 – Ensure we tackle and alleviate the effects of poverty

Corporate Priority link: Tackling poverty

Associated actions	Deadline	Progress 2018
Poverty & Prevention		
Through the Families First and Flying Start programmes, deliver a range of services to children, young people and their families to improve outcomes, through interventions such as Parenting, Language and Play etc.	March 2017	In progress: Families First continues to develop new and initiative ways to deliver services to children, young people and their families. In 2017/18 Families First engaged with 6,499 cases, comprised of 12,031 individuals Flying Start continues to provide the Best Start in life for children in our most deprived areas.

Associated actions	Deadline	Progress 2018
		In 2017/18 2955 children benefitted from the Flying Start programme. The childcare attendance average remained on target of 80%.
Promote and provide a range of upskilling opportunities on a multi-agency basis in order to achieve quality services through the workforce development approach. This will include training on Motivational interviewing, Team Around the Family (TAF), Solutions Focused Thinking, etc.	March 2017	In progress: 699 training places were provided to professionals on 17 different subject matters
Identify those young people who are most at risk of becoming NEET (not in employment, education or training) and provide them (and their families) with the personal support they require to remain engaged with education, employment and training	October 2017 – annual snapshot	In progress: Robust multi agency monitoring and tracking continues to take place under the authorities Engagement and Progression Plan, overseen by the NEET Board.
Continued use of Child Poverty Impact Assessments (CPIAs) for Play	2019 – feeding into the Play Sufficiency Audit	In progress: The Impact Assessments continue to be used on key developments, including the Open Space Strategy and play's engagement within the City Centre development projects on Swansea Central Public Realm
Food Poverty Community Interest Company: Create a food enterprise to tackle food poverty and feed people well in Swansea	2017	Complete: A Food Enterprise company was established on 1 st April 2018 and this was floated out of the Local Authority to operate autonomously, linking in the with Poverty Forum.
Deliver a range of services through the, Communities for Work Plus and	March 2017	In progress:

Associated actions	Deadline	Progress 2018
<p>Communities for Work Programmes, and through the effective allocation of the Legacy Fund that support people and families in our most deprived communities to improve their opportunities and reach their potential</p>		<p>The Communities First and LIFT Programme has been phased out across Wales during 2017/18. A transition process during this period has enabled the successful allocation of Welsh Government funding to deliver the new Communities for Work Plus Programme and allocation of Legacy Funding, initially until March 2020. The Communities for Work Plus Programme provides employment support through intensive one to one mentoring. This programme works alongside the Communities for Work Programme but can support people who are ineligible for it. CfW+ therefore supports those who are short term unemployed and those who are poor employed. CfW+ prioritises support in Delivery Areas that match the Communities First Cluster footprint, but is not restricted to supporting people who reside in these areas. The Legacy Fund both builds upon the successful and most valued elements of the former Communities First Programme, whilst further supporting the effective delivery of both the Communities for Work and Communities for Work Plus Programmes through resources targeting financial inclusion, digital support, community learning and the emerging Swansea Working programme that aligns employment support in Swansea and ensures a holistic approach to putting the right support at the right time in place.</p>
<p>New action added for 2018 Lifelong Learning Service: Provide a wide range of high quality accredited and non-accredited Adult Education provision throughout Swansea,</p>	2020	<p>In progress: Lifelong Learning provides: Unaccredited informal learning in Beginners IT, Creative Arts and Well-being, delivered across Swansea to provide those</p>

Associated actions	Deadline	Progress 2018
<p>supporting learners to improve and enhance their employment skills and prospects through various learning opportunities</p>		<p>who might not consider learning, the opportunity to try. This provision increases social inclusion and wellbeing with a diverse group of individuals sharing the learning experience. <i>Progress is measured through (RARPA forms – Recognising And Recording Progress and Achievement)</i></p> <p>Bespoke and co-delivered Digital Support, Family Learning, Essential Skills, and Learning for Life offered for hard to reach, economically inactive and marginalised demographic groups. Projects include Healthy Living/Eating, UC Digital Support, Work Club Support. <i>Measured through project specific progression and outcome targets which can include accreditation.</i></p> <p>Pre-Entry to Level 2 Essential Skills Wales (ESW) and Agored Cymru accreditations in Family Learning, Essential Skills, Skills for Work, Digital Literacy and IT. We also deliver Level 1 and 2 in ECDL. Through our programme of learning we can support Fast Track attainment of Level 2 ESW qualifications – equivalent to GCSE A-C grades. <i>Measured via achievement of accreditations.</i></p> <p><i>Progression is also measured through learners being developed to explore suitable progression pathways into subsequent learning or provision.</i></p>
New action added for 2018	2018 - 2021	In progress:

Associated actions	Deadline	Progress 2018
Ensure the adoption, delivery and effective monitoring and reporting of the Council's Poverty Strategy and Prevention Strategy		<p>Swansea's Tackling Poverty Strategy 'Working towards prosperity for all in Swansea' has been adopted by Council. The revised Strategy sets out a whole Council approach to tackling poverty in Swansea through ensuring that tackling poverty is everyone's business and an accompanying Delivery Plan that includes cross departmental commitments.</p> <p>Swansea's first Prevention Strategy has also been adopted by Council. Placing a preventative approach at the heart of everything we do, underpinning corporate priorities and delivery of the Well-Being Plan and Social Services Well-Being Act.</p> <p>Appropriate Key Performance Indicators are being finalised across the Council for both strategies including establishing baselines, targets and expected reporting timeframes for each objective.</p> <p>The Poverty and Prevention Strategy Delivery Team also supports the Poverty Forum, Swansea Partnership Poverty Forum, Financial Inclusion Steering Group and the delivery of key objectives within both strategies.</p>
Provide a welfare rights training programme to support staff from Swansea Council and partner organisations to negotiate the significant changes to the benefits system resulting from Welfare Reform	2017	<p>In progress: The Welfare Rights Training programme was completed with most courses oversubscribed.</p>
<p>New action added for 2018 Provide a specialist advice line service to support staff of Swansea Council and partner organisations negotiate the welfare</p>	2018 – 2020	<p>In progress: The advice line runs three days a week – Monday, Wednesday and Friday. The queries on the advice line have become more</p>

Associated actions	Deadline	Progress 2018
benefit system to ensure that clients are receiving their correct entitlement.		complex due to the significant changes, which particularly affect BME and EEA nationals.
New action added for 2018 Appeal Representation at both first tier and Upper Tribunal hearings	2018 - 2020	In progress: The provides an appeal representation service to clients of staff of Swansea Council and partner agencies.
Finance & Delivery		
Provide support for Universal Credit (UC) applicants by providing two digital self-serve zones in the Contact Centre, as UC is an on-line application. Our customer service team will provide digital support, assistance with making on-line applications and UC advice and information to customers. A Personal Budgeting Support service has also been arranged for appropriate UC customers	Assess effectiveness every six months	In progress: We no longer manage the contact centre and so are not responsible for 'providing' the 2 digital self-service zones although we do use them. Also, overall responsibility for managing the Authority's support for UC applicants lies with the Poverty and Prevention team. However, Benefits staff provide digital support and assistance with making on-line applications for UC from the 2 digital zones in the contact centre as part of the authority wide team.
Provide a dedicated take-up advice line and email address to offer welfare advice to customers, which includes advice on how to claim Housing Benefit (HB), Council Tax Reduction (CTR), Discretionary Housing Payment (DHP) and help and advice on welfare reform changes and other welfare benefits	Assess effectiveness every six months	In progress: Due to the reduction in staffing resources this facility is now mostly only offered to applicants for Council Tax Reduction referred for assistance by Revenues staff. Advice on claiming Housing Benefit, Council Tax Reduction Discretionary Housing Payments continues to be provide by our staff as required by our customers every day. Provision of advice on other state benefits requiring detailed technical knowledge of those benefits is not within our remit although

Associated actions	Deadline	Progress 2018
		other departments within the authority are able to do so e.g. Poverty and prevention Team.
Proactively support all HB cases affected by the Benefit Cap	Ongoing and activity will increase when cap value falls	In progress: Benefits staff continue to support HB customers affected by the benefit cap. The cap was introduced from 2013 and the bulk implementation exercises were dealt with at the time including a second exercise when the cap value was reduced. Cases now come through on an individual basis and are dealt with appropriately.
Work with other organisations such as Age Cymru, Swansea Carers' Centre and DWP Visiting Team to provide advice and guidance on Benefits, Council Tax Reduction and Council Tax discount schemes	Assess effectiveness every six months	In progress: Funded by the Money Advice Service we have developed a relationship with Shelter Cymru to provide personal budgeting support for our customers as required. A drop in 'surgery' was set up in the contact centre earlier this year but due to the lack of take up it was changed to a referral based service. We are part of the team within the authority supporting Universal credit claimants.
Work with Foodbanks such as the Swansea Foodbank (where we are the highest distribution agent), Eastside Foodbank and the Swansea Mosque Foodbank. For all foodbanks we will act as a referring agent and provide welfare benefit advice to the foodbanks to assist customers in food crisis	Assess effectiveness every six months	In progress: A reduction in resources and plans for agile working (no storage space) means that we no longer hand out food parcels but we continue to distribute food parcel vouchers on behalf of the local foodbanks.
Provide advice to parents and schools on Free School Meals (FSM) and Uniform Grant queries	Assess effectiveness every six months	In progress: The section continues to do this providing a dedicated enquiries line for schools to ring with queries relating to free school meals.

Associated actions	Deadline	Progress 2018
Provide advice and information to customers on a range of assistance available, e.g. Warm Home Discount, Welsh Water Assist, Healthy Start Vouchers, Discretionary Assistance Fund, Passport to Leisure, etc.	Assess effectiveness every six months	In progress: We continue to do this and are in discussions about taking over the day to day management of the Passport to leisure scheme with the intention of streamlining the application process for the convenience of our customers.

Equality Objective 11 - Ensure consultation and engagement is inclusive and undertake awareness raising activities
Corporate Priority link: Building sustainable communities

Associated actions	Deadline	Progress 2018
Communications and Customer Engagement		
Continue programme of equality engagement with key forums and groups including: Disability Liaison Group, BME Forum, LGBT Forum and 50+ Network Continue to support equality-related events in association with these forums and groups Improve engagement with local disability groups via the Disability Liaison Group (DLG)	Assess effectiveness annually	In progress: This work has continued as per narrative report (5.4) and specific 50+ update below.
Review the City and County of Swansea Local Service Board & Healthy City Board Ageing Well and Strategy for Older People Action Plan 2015 – 2019	Annually	In progress: We have continued to work with the Network 50+ and Dementia Friendly Swansea to develop work around Ageing Well

Associated actions	Deadline	Progress 2018
Include work with Swansea Network 50+ and other relevant engagement mechanisms / methods with older people in the annual review		
Organise an event to include an Annual Meeting of Swansea Network 50+ and a public event to mark UK Day of Older People	Annually	In progress: UK Day for Older people's celebration took place in October 2017 as well as a number of other engagement activities.
Poverty & Prevention		
Ensure that the Big Conversation continues to encompass a range of mechanisms that aim to facilitate the widest possible participation of all children and young people	2017	In progress: A sustained increase of participants in Big Conversation has continued with new opportunities to extend the age range of Big Conversation planned and promoted. 6,087 children and young people had opportunities to have their voices heard through a range of Big Conversation mechanisms co-ordinated by the Life Stages Team including: <ul style="list-style-type: none"> • Big Conversation forums • Pupil voice forums • Forums for care experienced children and young people Specific consultations such as the consultation on the play and childcare sufficiency assessments <ul style="list-style-type: none"> • Voting in the UK Youth Parliament • CYP Super Survey
Continue a range of inclusive play specific consultation with identified groups and individuals. Undertake specific consultation with key groups with protected	2019	In progress: Ongoing consultation with parent/carers and reps. Significant consultations include:

Associated actions	Deadline	Progress 2018
characteristics as part of the 2016/19 Play Sufficiency Assessment		<ul style="list-style-type: none"> Siting of the location for Swansea's first wheelchair swing in a public park including with young wheelchair users The process for play & leisure opportunities as part of the Commissioning Review of disability services including two specific engagement events and an engagement day for young people
Engage with traveller communities via Play on Wheels mobile play	2019 – feeding into the Play Sufficiency Audit	In progress: Play on Wheels continued to deliver outreach mobile play opportunities at the morganite site with 28 sessions delivered during 17/18
Ensure a wide range of engagement by local people, including the most marginalised members of the community, in the Communities First (CF) Programme. Activities will include information sharing, active participation, collaboration and partnership working between individuals and organisations, and empowering local people	March 2017	Complete: The Communities First Programme had established a Community Engagement and Support Team to ensure that the most disengaged community members were able to access services and support locally and empower people and communities to become more resilient. The role and resources for future Community Empowerment is in the process of being developed with Welsh Government at the time of writing.
Ensure that the relevant aspects of the Ageing Well Plan are embedded within these Equality Objectives from 2017 onwards	2017	In progress: We will look to review Ageing Well objectives in line with Human Rights approach for 18/19
Housing & Public Protection		
Implement an updated Local Tenant Participation Strategy (LTPS) 2015-18	2018 - reviewed quarterly with	In progress:

Associated actions	Deadline	Progress 2018
	Tenant Steering Group	The new TP strategy for 2018-2021 is currently under review and will be finalised by the end of 2018. This will be carried out in consultation with tenants.
Continue to work in partnership with the Youth Inclusion Team, to encourage participation of young people in housing matters (with the aim of setting up a group exclusively for young people and encouraging them to join other groups)	Annual progress review in December of each year	In progress: A visit has taken place to Parklands School YR 6 pupils in response to contact from them on safety in our high rise blocks and the feedback was positive from the school. The big housing conversation youth group hasn't met recently due to difficulties in recruitment, therefore the service is exploring the use of social media to engage with young people.
Promote and raise awareness of the availability of: – Same Sex Marriage into the Civil Marriage ceremony The legal process which enables couples who have previously entered into Civil Partnerships to convert them into marriage	Monitored monthly	In progress: Ongoing and monitored monthly. Information updated on website
Corporate Building and Property Services		
Review current consultation with local access groups to improve physical access to buildings and services	Ongoing with annual reviews	In progress: To date Jason hasn't been asked to attend any meetings but is happy to attend the SAFE meeting and the Disability Liaison Group as and when required and if workloads enable him to.
Economic Regeneration & Planning		
Focus on engagement arrangements and methods with equality groups to ensure inclusivity and help improve the delivery of ongoing work programmes	Ongoing with annual reviews	In progress: Significant engagement undertaken as part of the design of the Swansea Central scheme and planning application process,

Associated actions	Deadline	Progress 2018
		the Kingsway regeneration project, the deposit LDP and various other projects and initiatives across the service
Cultural Services		
Raise awareness of Cultural Services and identify any barriers to participation via engagement with key equality groups	2018 - and continue to monitor progress	<p>In progress: With the current commissioning process taking place within Cultural Services, there is work being undertaken to monitor the equalities impact as part of process and ensuring equalities polices of the bidders are clearly evident as a mandatory part of the process.</p> <p>We endeavour to use models that represent the diverse citizens of Swansea and we try to ensure that our marketing campaigns appeal people of every community and that is supported through our videography and imagery. This is referenced in tender specifications.</p> <p>Swansea Museum: Exhibition and project work has included work with NEET young people and young carers. Swansea Opera exhibition included work with a number of BAME groups including African Community centre and the Chinese Community Centre.</p> <p>During 2018, the One Swansea exhibition will explore immigration and identity. As part of the exhibition, workshops and contributions will be sought from current refugees and asylum seekers. The museum will also be working in partnership with Race Council Cymru, African Community Centre and YMCA Swansea on a project exploring identify and</p>

Associated actions	Deadline	Progress 2018
		music targeting BAME young people. A separate project in partnership with Race Council Cymru and the UK Parliament will explore the 50 th anniversary of the Race Relations Act. In the autumn an exhibition on the 100 th anniversary of suffrage will also explore contemporary issues for young women today.

Equality Objective 12 – Work on health and sport initiatives that focus on outcomes for our communities
Corporate Priority link: Building sustainable communities

Associated actions	Deadline	Progress 2018
Housing and Public Protection		
Deliver a Tobacco Action Plan for Swansea, which will concentrate on areas identified in local needs assessments and mapping exercises	As per deadlines in action plan	In progress: Action plan has been delivered and is ongoing with illicit tobacco and smoke free beaches.
Cultural Services		
Ensure that relevant equality issues are considered when revising leisure centre (and other venue) timetables	Ongoing	In progress: Equality issues are always taken into consideration when timetabling activities. Where changes to programmes identify potential implications to individuals or groups, then the necessary consultation would be undertaken prior to the changes. There is no charge for carers or companions accompanying disabled users who need assistance to ensure that this is not a barrier to participate.

Associated actions	Deadline	Progress 2018
		The Council publish access statements for Leisure Centres on their webpages.
Develop Inclusive Futures Programme working on disability sport programmes events and legacy	2018 - and continue to monitor progress	In progress: The inclusive futures programme was successfully piloted in Swansea. It has since been taken on nationally by Disability Sport Wales. Our involvement is now through our Disability Sports Development officer who can refer to and use the resources of the scheme when necessary
Continue rollout of Insport to target partners and voluntary organisations to encourage integration of disabled people into mainstream sport clubs through national governing body of sport pathways	2018 - and continue to monitor progress	In progress: Insport continues to be a key driver of our approach to disability sport. We continue to accredit clubs and organisations and will ourselves be looking to increase our INSPORT national accreditation following an audit and presentation to a national Disability Sport panel in May 2018
Increase opportunities for young people to participate in after-school (extra-curricular) sporting opportunities	2018 - and continue to monitor progress	In progress: This is a fundamental role of the community sports development and active young team. Links between school and club sport, community capacity building and consultation with young people remain a daily part of the team's operational plan.
Continue to take steps to further reduce the gender gap in participation in sport and physical activity	2018 - and continue to monitor progress	In progress: We continue to offer girls only activities and consult regularly with girls in school and community settings. We also lead the "Us Girls" programme in Swansea, targeting girls aged 11-19 in areas of poverty. We have had national recognition for this programme and were nominated for a UK sports development award through Streetgames in 2018.

Equality Objective 13 – Continue to improve staff and Member awareness of equality and diversity issues

Corporate Value link: People focus

Associated actions	Deadline	Progress 2018
HR & OD		
Regularly review training material to ensure it is up-to-date and covers emerging work areas e.g. age-friendly communities, dementia, UNCRC, etc.	Six monthly reviews	<p>In progress: This work has been routinely completed and training resources continued to be monitored and amended where necessary.</p> <p>Dementia awareness and Child safeguarding including CSE and Human Trafficking are on our learning portal.</p> <p>All E-learning is reviewed by subject matter experts to ensure appropriateness of application.</p>
Ensure that all school based staff and teachers have access to appropriate equality-related awareness raising training	Access currently in place. Promotion to be planned with Chief Education Officer in 2016 and demand monitored 6-monthly	<p>In progress: Demand has been limited. Internal provision has been adequate to fulfil training demand.</p> <p>Equality and other issues are available on the E Learning Portal, in addition School Based staff can access the Staff net where they can view policies etc.</p>
Develop a suite of e-learning courses on a modular basis to cover subject areas such as dementia, hate crime, trafficking etc.	December 2016	<p>Complete: The following e-learning training courses have been added to our portfolio:</p> <ul style="list-style-type: none"> • Dementia Awareness • Domestic Violence Awareness • Transgender Awareness

Associated actions	Deadline	Progress 2018
		<ul style="list-style-type: none"> • Welsh Language Awareness • Safeguarding <p>In addition: A Hate Crime training course has been developed and piloted; it is currently awaiting amendments</p> <p>Our equality & diversity e-learning course continues to be monitored for appropriateness</p>
Regularly review Corporate Induction to ensure training is up-to-date and covers emerging work areas e.g. age-friendly communities, dementia, UNCRC, etc.	Six monthly reviews	<p>In progress: Completed on a regular basis to ensure corporate induction is relevant and fit for purpose.</p> <p>This is again being reviewed in relation to potential enhancement to the process of induction through additional on-boarding and new areas of induction.</p>
Ensure that monitoring of corporate training is carried out to reflect accurately the attendance on all corporate training courses	Annually	<p>In progress: Corporate training is recorded and can be reported via the Council wide Learning Management Data System (OLM)</p> <p>This is ongoing and annual reports of Training delivery and analysis of demand is undertaken to inform future course planning.</p>
Poverty & Prevention		
Deliver appropriate and suitable levels of training on the UNCRC & Children's Rights	2017	<p>In progress:</p> <ul style="list-style-type: none"> • Workforce development opportunities offered by Life Stages Team through Poverty and Prevention,

Associated actions	Deadline	Progress 2018
		Education and Child and Family Services training programmes, training 141 members of staff. <ul style="list-style-type: none"> • UNCRC training provided to new Councillors upon induction • Bespoke workforce development opportunities offered by Life Stages Team as requested and necessary, e.g. Children's Rights in Pre-School Settings
Re-circulate the staff survey first completed in 2014 to all staff and Councillors to measure knowledge and understanding of children's rights and the UNCRC	2016	Complete: Following the initial baseline survey a follow up survey was run to gauge the understanding of Children's Rights. This showed an improvement in understanding and knowledge of the UNCRC and identified areas for development
Deliver Asylum Seeker and Refugee Awareness Training to enable staff to understand issues facing asylum seekers and refugees and make services more accessible and welcoming	2017	In progress: This year training has been delivered to colleagues in Culture and Tourism and Workways
Develop and disseminate information on Swansea's migrant communities for staff and elected Members	2017	In progress: Relevant and current information passed on to elected members (including Cabinet members), and staff as required and appropriate. This includes information incorporated in the joining process of Intercultural Cities Network
Deliver awareness events and Workshop to Raise Awareness of Prevent (WRAP) Training to appropriate frontline staff and Elected Members	2020 - with action plan reviewed and updated on an annual basis	In progress: In this reporting period, April 17 – March 18 <ul style="list-style-type: none"> • 499 individuals (including staff from Social Services, CMHT, Schools & Flying Start and Elected Members) received Prevent awareness training

Associated actions	Deadline	Progress 2018
		<ul style="list-style-type: none"> • 101 members of staff received Extreme Right Wing awareness training. • 239 members of staff completed the mandatory Prevent e-learning course.
Legal and Democratic Services		
To provide 6 monthly updates on legal section of intranet site as to case law dealing with equality issues	Every 6 months	In progress: An Equalities Bulletin was published in May 2018. This looked at all relevant case law and reported on key cases.
All departments		
Continue to provide and promote service-specific equality training / information where needed	Ongoing via annual updates	In progress: Examples from across the organisation include: Education: All staff are required to complete the online corporate equalities training module. Adult Services: Adult Services has developed a Training Needs Analysis which will inform an all Adult Services Workforce Development Plan. Equality Training will form part of this. Highways: Mandatory training is delivered. Rolling programme of all staff receiving equality training particularly front line staff Communications:

Associated actions	Deadline	Progress 2018
		<p>The Communications team helps promote equality issues via our internal Communications platforms to all staff and training opportunities are promoted and discussed within the team.</p> <p>Poverty & Prevention: Funded play projects receive training in and awareness of inclusion as an essential requirement of funding.</p> <p>The Early Years Training Booklet continues to include training for providers around Disability Awareness/ Confidence, Fun with Welsh, and sessions on sex trafficking and similar.</p>

Equality Objective 14 - Comply with the Procurement and Assessment of Impact regulations set out in the Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011

Associated actions	Deadline	Progress 2018
<p>When procuring works, goods or services, we will have due regard to whether it would be appropriate:</p> <ul style="list-style-type: none"> • for the Pre-Qualification and/or award criteria for that contract to include considerations to help meet the general duty • to stipulate conditions relating to the performance of the contract to help meet the three aims of the general duty 	<p>Review effectiveness every six months</p>	<p>In progress: 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.</p>

Associated actions	Deadline	Progress 2018
Continue to operate the Equality Impact Assessment (EIA) process across the organisation	Review effectiveness every six months	In progress: This process continues to be applied to the subject of all corporate reports submitted to Corporate Briefing, Cabinet and Council (as well as other Committees). It is also applied to the budget setting process, major projects as well as all commissioning reviews.
Continue to quality assure completed EIA screenings and reports, providing feedback to departments	Review effectiveness every six months	In progress: Officers are supported by the Access to Services Team via meetings, initial informal feedback and bespoke team sessions on request. The EIA quality assurance process includes officers with expertise in equality, children's rights, poverty, Welsh language, consultation and engagement.

Appendix 2

Swansea Council Workforce Profile

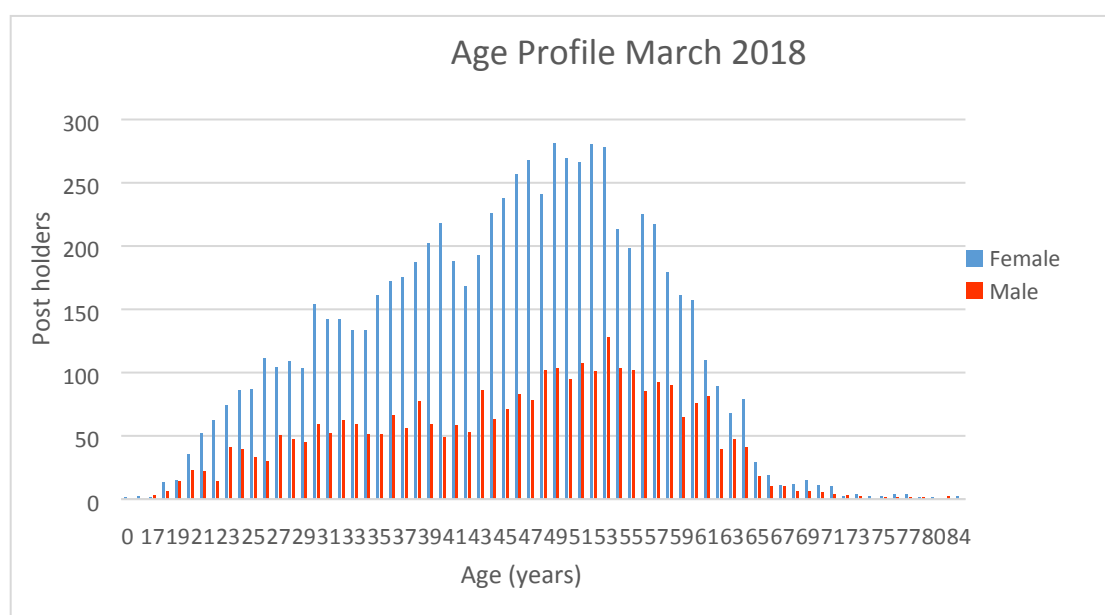
The system used to collect employment and training data continues to be updated to provide more detailed information. However, the equality data available is not complete because employees are not required to provide this information; work is ongoing to encourage employees to update their details.

Relief and Casual staff are excluded.

Gender Workforce Profile (posts)

Count of Employee Number		
Gender	Employment Category	Total
Female	Permanent - Full Time	1198
	Permanent - Job Share	66
	Permanent - Part Time	3047
	Temporary - Full Time	292
	Temporary - Job Share	7
	Temporary - Part Time	2959
Female Total		7569
Male	Permanent - Full Time	1946
	Permanent - Job Share	7
	Permanent - Part Time	413
	Temporary - Full Time	228
	Temporary - Part Time	380
Male Total		2974
Grand Total		10543

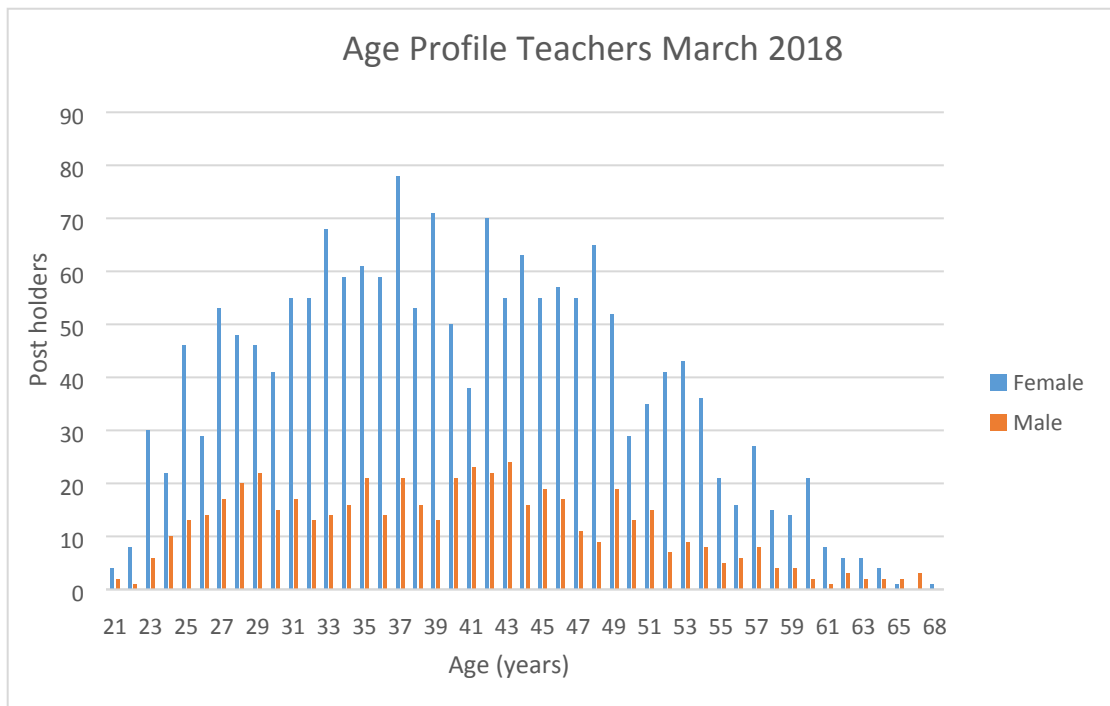
Age



Teachers

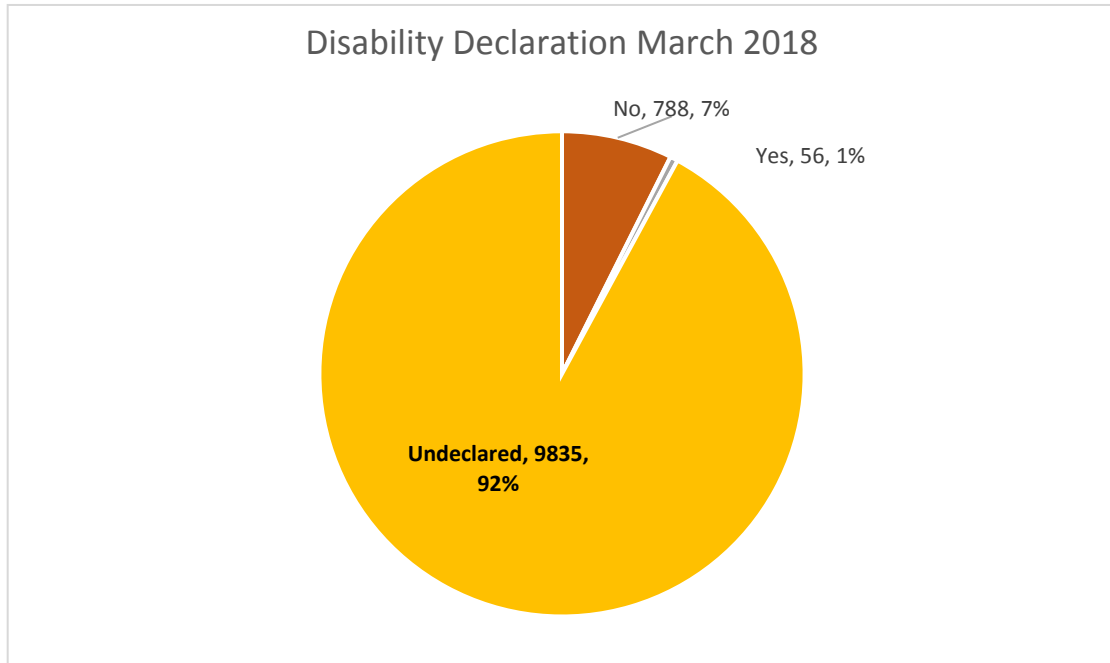
Count of Employee Number	Gender		Grand Total
	Female	Male	
Employment Category			
Permanent - Full Time	859	387	1246
Permanent - Job Share	9		9
Permanent - Part Time	275	22	297
Temporary - Full Time	238	92	330
Temporary - Job Share	1		1
Temporary - Part Time	159	21	180
Grand Total	1541	522	2063

Teachers Age Profile

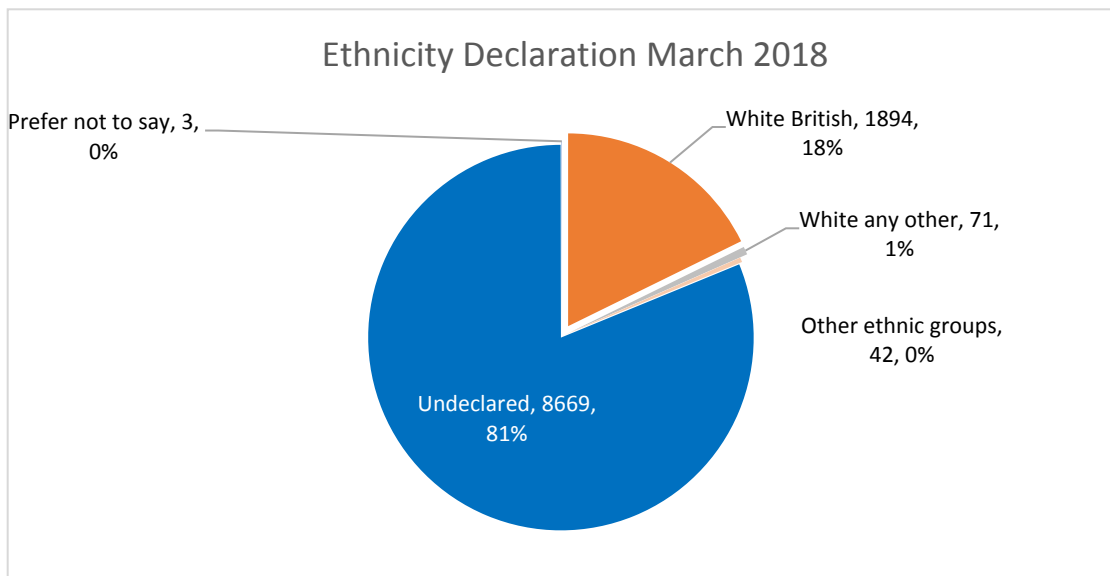


Protected Characteristics (All staff)

Disability General Workforce (posts)

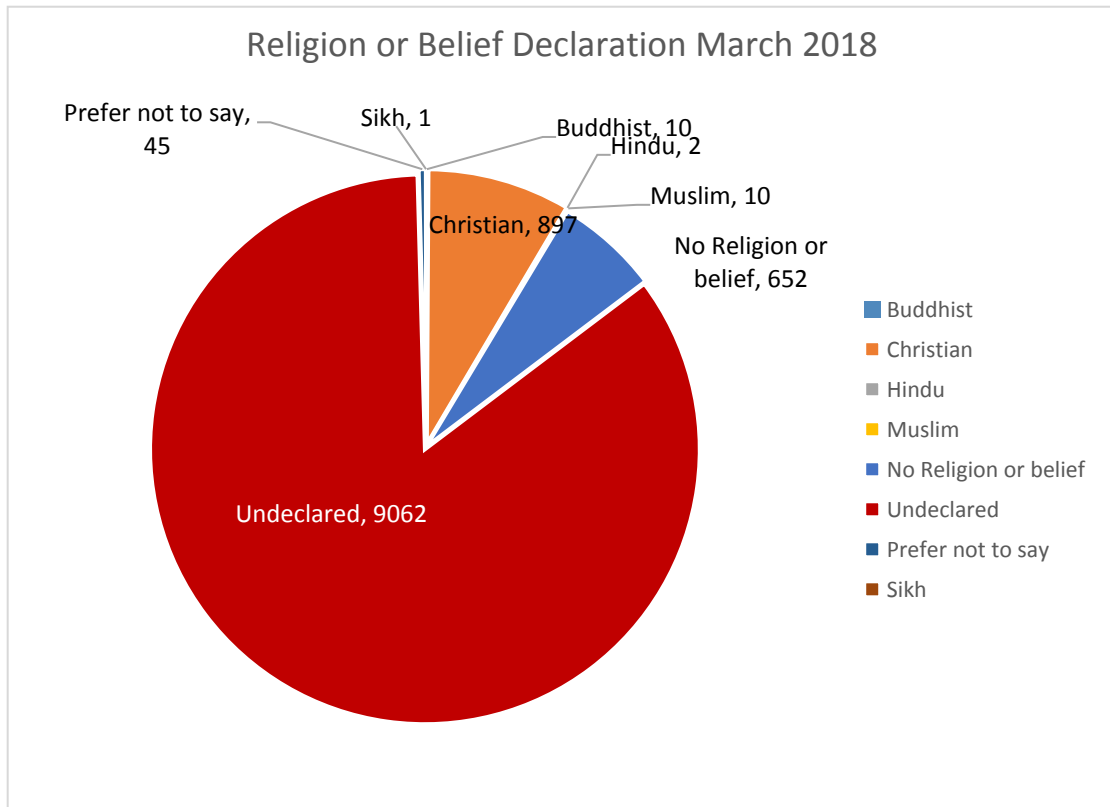


Ethnicity (posts)

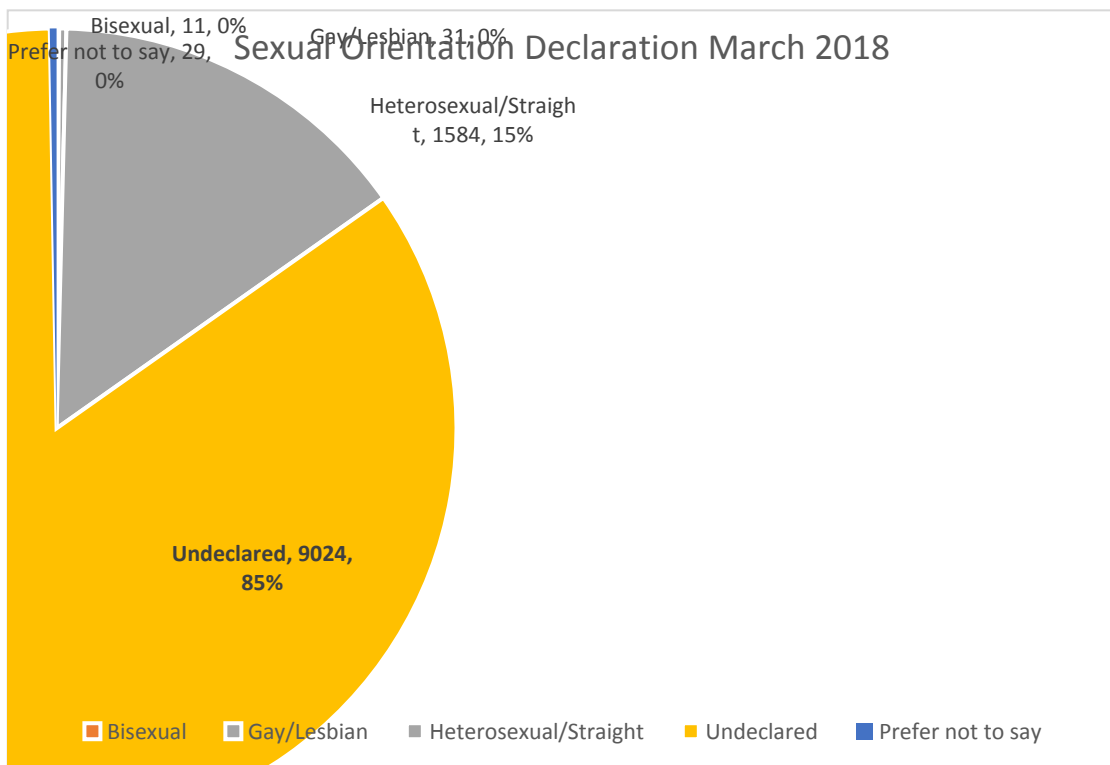


Note: the majority of employees declared as a member of an ethnic group have too few to record (less than ten) and are therefore grouped together as 'other ethnic groups')

Religion or Belief



Sexual Orientation



Training information collected 2017 – 18

NB Where figures are less than 10 these have been replaced with *

By gender:

Male	1386
Female	1638

By age:

24 and under	149
25 – 39	771
40 – 49	868
50 – 59	927
60+	309

By nationality:

British (including Welsh, Scottish, English and Irish)	1281
Non-British	28
Not specified	1715

By ethnic group:

White	676
Other (including Asian, Black, Chinese, etc.)	16
Not specified	2332

By religion:

Christianity	278
Other (including Jewish, Muslim, Buddhist etc)	22
None	210
Not specified	2514

By disability:

Long term illness, health problem or disability	17
None	129
Not specified	2879

By sexual orientation:

Straight / heterosexual	579
Gay / lesbian	13
Bisexual	*
Other	*
Not specified	2427

By gender identity:

Identify as transgender	*
Do not identify as transgender	605
Not specified	2417

Agenda Item 14.



Report of the Head of Democratic Services

Cabinet - 20 September 2018

Review of Councillors' Broadband and Telephone, ICT and Mobile Phone Allowances - May 2017 & Beyond

Purpose:	To consider adopting the recommendations of the Democratic Services Committee in relation to its review of the Councillors' Broadband and Telephone, ICT and Mobile Phone Allowances - May 2017 & Beyond Policy.
Policy Framework:	None.
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that: <ol style="list-style-type: none">1) The Policy be renamed the "Councillors Information, Communication & Technology (ICT) Allowances - May 2017 & Beyond Policy" or "Councillors ICT Allowances - May 2017 & Beyond Policy" for short.2) The following note be added to Paragraph 5.3 of the Policy:<ol style="list-style-type: none">1) The Councillors' ICT Allowance over a 5 year period is £1,808 in total. This amount may be spent at any time during the 5 year term provided the claims are made using the Councillors / Co-opted Members ICT Allowance Claim Form and with relevant receipts.2) Any spend exceeding £200 in the final year of the Term of Office must be approved in advance by the Head of Democratic Services in conjunction with the Chief Transformation Officer. They may look at temporary solutions such as providing Authority owned ICT devices.3) The following condition be added to Paragraph 6.1 of the report:<p>"c) Councillors in receipt of the Telephone element of the Councillors' Broadband and Telephone Allowance must allow for their telephone number to be published on the Authority's website and promoted as necessary save in exceptional circumstances".</p>

- 4) Paragraph 6.4 be redrafted so as to allow each Councillor within the same household to receive the Data Allowance Payment but that the household be limited to one Broadband Allowance;
- 5) The “Broadband and Telephone Allowance” be renamed the “Data and Telephone Allowance”;
- 6) Paragraph 7.1 of the Policy be amended as follows with an additional second condition also being added:

“7.1 The Authority currently pays a monthly Councillors’ Mobile Phone Allowance to qualifying Councillors in order to supplement their mobile phone bills due to their increased use for Council business providing:

 - a) Councillors produce proof on an annual basis of their Mobile Phone contract to the Cabinet Office / Democratic Services Team.
 - b) Councillors in receipt of the Councillors’ Mobile Phone Allowance must allow for their mobile telephone number to be published on the Authority’s website and promoted as necessary save in exceptional circumstances”.
- 7) Paragraph 7.5 of the Policy be deleted and the section renumbered accordingly.
- 8) The following note be added to Paragraph 9.4 of the Policy:

Note:

 - 1) The Co-opted Members ICT Allowance over a 4 and 6 year period is £361.60 and £441.60 in total respectively. This amount may be spent at any time during the 4-6 year term provided the claims are made using the Councillors / Co-opted Members ICT Allowance Claim Form and with relevant receipts;
 - 2) Any spend exceeding £40 in the final year of the Term of Office must be approved in advance by the Head of Democratic Services in conjunction with the Chief Transformation Officer. They may look at temporary solutions such as providing Authority owned ICT devices.
- 9) A Paragraph 9.7 be added to the Policy as follows:

“9.7 Co-opted Members in receipt of the Telephone element of the Co-opted Member Broadband and Telephone Allowance must allow for their telephone number to be published on the Authority’s website and promoted as necessary save in exceptional circumstances”.

Report Author:	Huw Evans
Finance Officer:	Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Catherine Window

1. Introduction

- 1.1 The “Councillors’ Broadband and Telephone, ICT and Mobile Phone Allowances - May 2017 & Beyond” Policy was adopted by Cabinet on 15 December 2015 following recommendations from the Democratic Services Committee held on 18 October 2016 and Council held on 24 November 2016.
- 1.2 The Independent Remuneration Panel for Wales (IRPW) has determined that each Authority must ensure that all Councillors and Co-opted Members should be provided with adequate telephone, email and internet facilities. The Authority complies with the adoption of the “Councillors’ Broadband and Telephone, ICT and Mobile Phone Allowances - May 2017 & Beyond” Policy.
- 1.3 This Authority has adopted a Bring Your Own Device (BYOD) ethos which allows Councillors and Co-opted Members to use the appropriate allowance to purchase the equipment that they require to carry out their roles.
- 1.4 Details of the latest IRPW Annual Report and other information related to the IRPW may be viewed on their website.
<https://gov.wales/irpwsb/home/publication-reports/?lang=en>

2. Review of the “Councillors’ Broadband and Telephone, ICT and Mobile Phone Allowances - May 2017 & Beyond” Policy

- 2.1 The current Policy which is outlined in **Appendix A** has been in place since May 2017 and there is a need to carry out a review to address some minor issues that have come to light during that time.
- 2.2 The Policy was reviewed by the Democratic Services Committee on 31 July 2018. The Committee made a number of amendments and recommended that the recommendations in this report be adopted.
- 2.2 The Councillors’ Broadband and Telephone, ICT and Mobile Phone Allowances - May 2017 & Beyond Policy contains details of the following allowances:
 - Councillors’ ICT Allowance;
 - Councillors’ Broadband and Telephone Allowance;
 - Councillors’ Mobile Phone Allowance;
 - Co-opted Member ICT Allowance;
 - Co-opted Member Broadband and Telephone Allowance.

Name of Policy

- 2.3 The Policy attempts to encompass the titles each of the allowances into its name; however this has led to a Policy name that is far too long and confusing. As such, it is suggested that the Policy be renamed the “Councillors Information, Communication & Technology (ICT) Allowances - May 2017 & Beyond Policy” or “Councillors ICT Allowances – May 2017 & Beyond Policy” for short.

Councillors' ICT Allowance

2.4 Paragraph 5.3 of the Policy sets out an extract of the Councillors' ICT Allowance.

5.3 *The Councillors' ICT Allowance is as follows:*

<i>In the Year immediately following the election of the Councillor</i>	<i>£1,008</i>
<i>Each Year Thereafter (Councillor may take this in advance from Year 2, i.e. £800 (£200 x 4 year Remaining Term of Office). The Authority will not pay any additional monies until following next Local Government Election (Currently scheduled for May 2022))</i>	<i>£200 p.a. (£800) over the term.</i>

2.5 A number of Councillors, have sought clarity from the Head of Democratic Services relating to whether the £1,008 had to be spent in the year immediately following their election. This question mainly stems from the fact that many people may have adequate ICT at that time and do not need to spend at that moment in time; however over the five year term of Office, they may need to access it.

2.6 It is therefore suggested to add the following note to Paragraph 5.3 of the Policy:

Note:

- 1) *The Councillors' ICT Allowance over a 5 year period is £1,808 in total. This amount may be spent at any time during the 5 year term provided the claims are made using the Councillors / Co-opted Members ICT Allowance Claim Form and with relevant receipts;*
- 2) *Any spend exceeding £200 in the final year of the Term of Office must be approved in advance by the Head of Democratic Services in conjunction with the Chief Transformation Officer. They may look at temporary solutions such as providing Authority owned ICT devices.*

Councillors' Broadband and Telephone Allowance

2.7 Paragraph 6.1 of the Policy sets out an extract of the Councillors' Broadband and Telephone Allowance.

6.1 *The Authority currently pays a monthly Broadband and Telephone Allowance to all Councillors providing:*

- a) *Councillors produce proof on an annual basis of their Broadband and Telephone connection at their home;*
- b) *Councillors are not in receipt of a payment for Broadband and Telephone at their home from a third party due to their employment or other election.*

- 2.8 It is proposed that a third condition be added as follows:
- “c) *Councillors in receipt of the Telephone element of the Councillors’ Broadband and Telephone Allowance must allow for their telephone number to be published on the Authority’s website and promoted as necessary save in exceptional circumstances”.*
- 2.9 Paragraph 6.4 of the Policy sets out an extract of the Councillors’ Broadband and Telephone Allowance.
- 6.4 The Councillors’ Broadband and Telephone Allowance shall:*
- a) *Only be paid once per Councillor household (i.e. if there are 2 or more Councillors living at the address then only one person shall receive the payment);*
- b) *Not be paid to a Councillor who does not have Broadband at their home address. If a Councillor does not have Broadband at home then they shall be paid £10 per month towards their Council related telephone calls.*
- 2.10 Paragraph 6.4 a) of the Policy prevents more than one payment being made if there are 2 or more Councillors living at the same address. However, some Councillors may choose to have a mobile data package on their device rather than having a dedicated broadband package at their home address. This means that in a household of 2 or more Councillors, only one Councillor would have an allowance towards broadband.
- 2.11 The digital era has led to people including Councillors working in different ways to address their various requirements. Some people choose to have a broadband connection at home, others choose to have access to the internet via 3G or 4G on their mobile device and others utilise a data dongle. No doubt other methods are or will become available over the coming years.
- 2.12 The Committee recommends that an additional Broadband / Data Allowance payment be made to those additional Councillors in the same household. This recommendation would currently cost £15 per month per Councillor or £180 per Councillor per annum. There are 3 Councillors in this situation, so the current maximum additional cost to the Authority would be £540 per annum. Clearly, this could increase or decrease depending on circumstances changing.
- 2.13 Whilst it is recommended that a household may receive more than one data allowance, only one Broadband Allowance is permitted. This recommendation would require Paragraph 6.4 of the Policy to be redrafted.
- 2.14 It is proposed that the “Broadband and Telephone Allowance” be renamed the “Data and Telephone Allowance” in order to clarify that the allowance is payable to all ow Councillors to access the Internet, emails etc. via whichever data platform they so choose.

Councillors' Mobile Phone Allowance

2.15 Paragraph 7.1 of the Policy sets out an extract of the Councillors' Mobile Phone Allowance.

7.1 The Authority currently pays a monthly Councillors' Mobile Phone Allowance to qualifying Councillors in order to supplement their mobile phone bills due their increased use for Council business providing:

a) Councillors produce proof on an annual basis of their Mobile Phone contract.

2.16 Paragraph 7.5 is almost a complete replica of Paragraph 7.1, it is therefore proposed that:

2.16.1 Paragraph 7.5 of the Policy be deleted and the section renumbered accordingly;

2.16.2 Paragraph 7.1 be amended as follows with an additional second condition also being added:

"7.1 The Authority currently pays a monthly Councillors' Mobile Phone Allowance to qualifying Councillors in order to supplement their mobile phone bills due their increased use for Council business providing:

a) Councillors produce proof on an annual basis of their Mobile Phone contract to the Cabinet Office / Democratic Services Team.

b) Councillors in receipt of the Councillors' Mobile Phone Allowance must allow for their mobile telephone number to be published on the Authority's website and promoted as necessary save in exceptional circumstances".

Payments to Statutory Co-opted Members

2.17 Paragraph 9.4 of the Policy sets out an extract of the Payments to Statutory Co-opted Members.

9.4 The Co-opted Member ICT Allowance would be:

<i>In the Year immediately following the appointment of the Co-opted Member</i>	£201.60
<i>Each Year Thereafter (Co-opted Member may take this in advance from Year 2, i.e. £240 or £160 (£40 x 6 year / £40 x 4 year Remaining Term of Office).</i>	£40 p.a. (£240 or £160) over the term.

- 2.18 In line with Paragraph 2.5 of the report above, it is proposed to add the following note to Paragraph 9.4 of the Policy:

Note:

- 1) *The Co-opted Members ICT Allowance over a 4 and year period is £361.60 and £441.60 in total respectively. This amount may be spent at any time during the 4-6 year term provided the claims are made using the Councillors / Co-opted Members ICT Allowance Claim Form and with relevant receipts;*
- 2) *Any spend exceeding £40 in the final year of the Term of Office must be approved in advance by the Head of Democratic Services in conjunction with the Chief Transformation Officer. They may look at temporary solutions such as providing Authority owned ICT devices.*

- 2.19 In line with Paragraph 2.8 of the report, it is proposed that a Paragraph 9.7 be added to the Policy as follows:

“9.7 Co-opted Members in receipt of the Telephone element of the Co-opted Member Broadband and Telephone Allowance must allow for their telephone number to be published on the Authority’s website and promoted as necessary save in exceptional circumstances”.

3. Equality and Engagement Implications

- 3.1 There are no equality or engagement implications associated with this report.

4. Financial Implications

- 4.1 If the Committee recommends that an additional Broadband / Data Allowance payment be made to those additional Councillors in the same household, it would currently cost £15 per month per Councillor or £180 per Councillor per annum. There are 3 Councillors in this situation, so the current maximum additional cost to the Authority would be £540 per annum. Clearly, this could increase or decrease depending on circumstances changing.

5. Legal Implications

- 5.1 There are no specific legal implications associated with this report.

Background Papers: None.

Appendices:

- Appendix A Councillors’ Broadband and Telephone, ICT and Mobile Phone Allowances - May 2017 & Beyond. Adopted by Cabinet on 15 December 2016

Appendix A

Report of the Head of Democratic Services & Chief Transformation Officer

Cabinet - 15 December 2016

COUNCILLORS' BROADBAND AND TELEPHONE, ICT AND MOBILE PHONE ALLOWANCES - MAY 2017 & BEYOND

Purpose:	To review the "Councillors ICT - May 2012 and Beyond" policy thereby ensuring that Councillors are provided with an ICT provision suited to their needs and is compliant with the determinations of the Independent Remuneration Panel for Wales (IRPW).
Policy Framework:	None.
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that: 1) The current arrangements for Councillors to purchase their own ICT equipment be continued; 2) Access to Office 365 to enable cloud technology for more resilient, secure information sharing system, subject to successful pilot be noted; 3) The Councillors' ICT Allowance as outlined within the report be noted; 4) The Councillors' Broadband and Telephone Allowance as outlined within the report be noted; 5) The Councillors' Mobile Phone Allowance as outlined within the report be noted; 6) The section relating to Councillors' Self Service be noted. 7) The Co-opted Member ICT Allowance and the Co-opted Member Broadband and Telephone Allowance be adopted; 8) Council's decision to ensure that all Scrutiny agendas, reports etc. utilise the Modern.gov Software by May 2017 be noted.
Report Author:	Huw Evans & Jo Harley
Finance Officer:	Carl Billingsley
Legal Officer:	Tracey Meredith
Access to Services Officer:	Phil Couch

1. Introduction

- 1.1 As part of the role of Councillors, Broadband, ICT and Voice Communications equipment and systems are essential in enabling that their responsibilities are delivered effectively and securely.
- 1.2 The current "Councillors ICT - May 2012 and Beyond" policy arrangements have been reviewed prior to the Local Government Elections scheduled for May 2017.

- 1.3 The review allows for new technologies to be made available and to align Councillors role to the new Digital strategy of the Authority. Councillors will be leading the way in the Authority wide rollout of a new Digital culture ambition aiming to make Swansea a lead Authority in the UK.
- 1.4 This report also seeks to review the Councillors' Broadband and Telephone Allowance and the Councillors' Mobile Phone Allowance.
- 1.5 This approach links with the determinations of the Independent Remuneration Panel for Wales (IRPW) by which the Authority is bound. Details of the latest IRPW Annual Report and other information may be viewed on their website. <http://gov.wales/irpwsb/home/publication/?lang=en>
- 1.5 The Democratic Services Committee considered the "Councillors' Broadband and Telephone, ICT and Mobile Phone Allowances - May 2017 & Beyond" report on 18 October 2016. The Committee made a number of minor amendments and recommended the report to Council.
- 1.6 Council at its meeting on 24 November 2016 also considered the report and made a number of minor amendments. Council also recommended the report to Cabinet for adoption.

2. Supporting the Work of Local Authority Members – IRPW Determinations

- 2.1 Determinations 6 and 7 of the IRPW Annual Report of February 2016 state:

"Determination 6: The Panel has determined that each Authority, through its Democratic Services Committee, must ensure that all of its members are given as much support as is necessary to enable them to fulfil their duties effectively. All elected members should be provided with adequate telephone and email facilities and electronic access to appropriate information";

"Determination 7: The Panel has determined that such support should be without cost to the individual member. Deductions must not be made from members' salaries by the respective Authority as a contribution towards cost of support which the Authority has decided necessary for the effectiveness and / or efficiency of members."

- 2.2 The determinations above apply to Councillors, the Statutory Co-opted Members. The IROW have indicated that the Community / Town Council Representative on the Standards Committee is to be treated as a Co-opted Member for this purpose.

2.3 The Authority has 9 Statutory Co-opted Members and 1 Community / Town Council Representative of the Standards Committee as follows:

- Chair of Audit Committee
- Chair of Standards Committee
- Ordinary Members of the Standards Committee x 4;
- Ordinary Members of Scrutiny Programme Committee x 4;
- Community / Town Councillor Representative of Standards Committee.

3. Current ICT Arrangements

3.1 Currently the Authority provides each Councillor with an ICT Allowance in order to enable them to fulfil their duties. The ICT Allowance allows Councillors to purchase their own equipment. The ICT Allowance should be used to purchase items such as desktop or laptop PC, Tablet Computer, Printer and Software), ICT Peripherals (such as storage, backup facilities, printer paper and ink) and ICT Support to Councillors”.

3.2 This current arrangement allows the flexibility that Councillors requested prior to the Local Government Elections in May 2012. It effectively provides bring your own device (BYOD) technology to Councillors, which was an innovative decision 4 years ago. Councillors are able to purchase which ever device they find beneficial for their work; however they should be mindful that it is compatible with Microsoft Office

3.3 The Authority provides the technology for the Councillors to use to access their emails and files. The options enabled are CITRIX for files and emails and webmail for emails. Due to the decision to enable BYOD also required a separate WIFI connection to be installed to access these systems from within the Authority’s main buildings.

4. Consultation Process for Review of Councillors’ ICT Arrangements

4.1 In order to ensure that all Councillors views were considered as part of the review of the Councillors ICT - May 2012 and Beyond Policy, the Democratic Services Committee discussed the issue and instructed the Head of Democratic Services and Chief Transformation Officer to liaise directly with the Political Groups on the Council. During September 2016, meetings took place with the Labour and Liberal Democrat Political Groups and discussions with the Independent and Conservative Political Group Leaders regarding the ICT requirements of Councillors.

4.2 Councillors were briefed on how the new Digital Strategy would provide Councillors with increased functionality taking advantage of new cloud technology. This would enable secure information sharing opportunities as part of the increased partnership working. The Digital Strategy is putting in place new infrastructure to support the principals of self service and mobile working.

- 4.3 Councillors have agreed that the current flexible arrangement, of purchasing their own equipment, is the preferred option post May 2017 election. The principle of Councillors being able to use the equipment for their personal use, without the restrictions that a corporate device would impose, is also welcomed.
- 4.4 Councillors referred to the recognised limitations of CITRIX and Webmail and these will be addressed through a pilot of Office 365 which is cloud technology. This pilot is currently being progressed in the Information and Business Change Section. It is proposed that this is rolled out to a pilot group of Councillors from January 2017.
- 4.5 Office 365 has many benefits as it is a web-based version of Microsoft Office which will provide increased resilience and shared service options for partnership. Benefits to using Office 365?
- a) Anytime, Anywhere Access – Email, important documents, contact and calendar on nearly any device from almost anywhere;
 - b) Easy to Use – it works seamlessly with the programs a lot of people know and use most, including Outlook, Word, Excel and PowerPoint;
 - c) Ability to work either online or offline – Office 365 provides users with the ability to work online or offline via office desktop applications on your PC.
- 4.6 Another issue raised by Councillors was the perceived lack of support from the Authority in relation to the devices that Councillors themselves purchased. Councillors were reminded that they should use an element of their Councillors' ICT Allowance to fund such support from a Third Party provider. This will enable Councillors to receive the relevant technical support for the device(s) they purchased. Guidelines are provided and will be updated to assist technical support arrangements in the future.

5. Councillors' ICT Allowance

- 5.1 The Authority currently pays a Councillors' ICT Allowance to all Councillors providing:
- a) Councillors produce a receipt proving their purchase of relevant ICT items. Relevant ICT items being desktop or laptop PC, Tablet Computer, Printer and Software, ICT Peripherals (such as storage, backup facilities, printer paper and ink) and ICT Support to Councillors.
- 5.2 The Councillors' ICT Allowance shall be subject to Tax and National Insurance deductions. **Appendix 1** shows the Councillors' ICT Allowance Claim Form.

5.3 The Councillors' ICT Allowance is as follows:

In the Year immediately following the election of the Councillor	£1,008
Each Year Thereafter (Councillor may take this in advance from Year 2, i.e. £800 (£200 x 4 year Remaining Term of Office). The Authority will not pay any additional monies until following next Local Government Election (Currently scheduled for May 2022)	£200 p.a. (£800) over the term.

5.4 The Authority recommends that an element of the Councillors' ICT Allowance be used to purchase an ICT support service. **ICT Support is defined as:** Either an ad-hoc or fixed contract with a third party (Not the Authority) aimed at providing ICT support should any element of your ICT equipment fail.

5.5 The Authority will only provide Councillors ICT Support for issues directly linked to the Authorities systems, such as Password Reset, Access to Citrix and Oracle. The Authority will also provide general guidelines should the issue relate to an issue with the Councillors device, in order to aid them when having to contact an external ICT Support supplier.

5.6 The software package used by the City and County of Swansea is Microsoft Office. The Authority therefore recommends that Councillors ensure that any device that they purchase is compatible with Microsoft Office. Without such software Councillors may not be able to open certain documents sent to them by the Authority and in turn the Authority may not be able to open documents which the Councillor sends them.

5.7 Should a Councillor cease to remain a Councillor the Councillors' ICT Allowance shall cease and any ICT Support contract taken out by the Councillor shall remain the sole responsibility of the Councillor as will any repayments. Please also refer to the section relating to **"What happens if a Councillor ceases to remain a Councillor?"**

6. Councillors' Broadband and Telephone Allowance

6.1 The Authority currently pays a monthly Broadband and Telephone Allowance to all Councillors providing:

- a) Councillors produce proof on an annual basis of their Broadband and Telephone connection at their home;
- b) Councillors are not in receipt of a payment for Broadband and Telephone at their home from a third party such due to their employment or other election.

6.2 The Councillors' Broadband and Telephone Allowance shall be subject to Tax and National Insurance deductions.

- 6.3 The Councillors' Broadband and Telephone Allowance is currently set at £25 per Councillor per month. This is split as £15 Broadband and £10 Telephone. It is not proposed to amend the amount of this Allowance.
- 6.4 The Councillors' Broadband and Telephone Allowance shall:
- a) Only be paid once per Councillor household (i.e. if there are 2 or more Councillors living at the address then only one person shall receive the payment);
 - b) Not be paid to a Councillor who does not have Broadband at their home address. If a Councillor does not have Broadband at home then they shall be paid £10 per month towards their Council related telephone calls.
- 6.5 Should a Councillor cease to remain a Councillor the Councillors' Broadband and Telephone Allowance shall cease and any Broadband / Telephone contract taken out by the Councillor shall remain the sole responsibility of the Councillor as will any repayments. Please also refer to the section relating to **"What happens if a Councillor ceases to remain a Councillor?"**

7. Councillors' Mobile Phone Allowance

- 7.1 The Authority currently pays a monthly Councillors' Mobile Phone Allowance to qualifying Councillors in order to supplement their mobile phone bills due their increased use for Council business providing:
- a) Councillors produce proof on an annual basis of their Mobile Phone contract.
- 7.2 The Councillors' Mobile Phone Allowance shall be subject to Tax and National Insurance deductions.
- 7.3 There are 12 Qualifying Councillors: Cabinet Members, Presiding Member and the Leader of the Largest Opposition Group. The Councillors' Mobile Phone Allowance is currently set at £25 per Qualifying Councillor per month.
- 7.4 The Councillors' Mobile Phone Allowance is payable from the date when the Councillor is appointed by Council / Leader of the Council to a Qualifying Councillor position.
- 7.5 The Mobile Phone Allowance will only be paid to those Qualifying Councillors that produce annual evidence of their Mobile Phone Account to the Cabinet Officer / Democratic Services Team.
- 7.6 Should a Councillor cease to remain a Qualifying Councillor (as defined above) the Councillors' Mobile Phone Allowance shall cease and any Mobile Phone contract taken out by the Councillor shall remain the sole responsibility of the Councillor as will any repayments.

7.7 Should a Councillor cease to remain a Councillor the Councillors' Mobile Phone Allowance shall cease and any Mobile Phone contract taken out by the Councillor shall remain the sole responsibility of the Councillor as will any repayments. Please also refer to the section relating to **“What happens if a Councillor ceases to remain a Councillor?”**

8. What happens if a Councillor ceases to remain a Councillor?

8.1 If a Councillor ceases to remain a Councillor for whatever reason during their term of office, the Authority will immediately cease payment of any Allowance that the Councillor had previously been entitled to in their role as a Councillor.

8.2 Any contract taken out by the Councillor during their period as a Councillor will be the sole responsibility of that individual. The Authority will not make any payments towards the remaining period of the contract(s).

8.3 Any ICT equipment and ICT support purchased during a Councillors time as a Councillor shall automatically become the property of that Councillor. The Authority shall have no legal claim to it.

8.4 Should the Councillor cease to be a Councillor within the first 12 months of being elected the Councillor must repay the balance of the £1,008 on a complete month pro rata basis. This paragraph is waived should a Councillor die during their term of Office.

9. Payments to Statutory Co-opted Members

9.1 As Statutory Co-opted Members do not have the same time commitment of a Councillor, it is proposed that the ICT Allowance and Broadband and Telephone Allowance for a Co-opted Member be set at 20% of that of a Councillor.

9.2 The Councillor conditions relating to cessation of role be applied to Co-opted Members, so that they would also have to repay on a pro rata basis their ICT Allowance / Broadband and Telephone Allowance should they stand down prior to the end of their term of office.

9.3 The payments referred to above are not automatic payments and must be claimed by using the appropriate ICT Claim Form and / or by providing the annual bill as proof.

9.4 The **Co-opted Member ICT Allowance** would be:

In the Year immediately following the appointment of the Co-opted Member	£201.60
Each Year Thereafter (Co-opted Member may take this in advance from Year 2, i.e. £240 or £160 (£40 x 6 year / £40 x 4 year Remaining Term of Office).	£40 p.a. (£240 or £160) over the term.

- 9.5 As the Co-opted Members are already in place, it is proposed that the ICT Allowance Payments commence following the Annual Meeting of Council in May 2017 and then align with the actual appointment dates in the future.
- 9.6 The **Co-opted Member Broadband and Telephone Allowance** be set at £5 per Co-opted Member per month. This is split as £3 Broadband and £2 Telephone.
- 10. Data Protection Act / Security Advice (Anti-Virus, Anti-Spam, Firewall and Encryption)**
- 10.1 Councillors are likely to handle personal information about individuals; as such they have a number of legal obligations to protect that information under the Data Protection Act 1998. Should a Councillor fail to comply with this Act then they would be liable to a fine of up to £5,000. The Authority pays the fee for each Councillor to be a registered Data Controller.
- 10.2 The Authority strongly advises that Councillors install Anti-Virus, Anti-Spam and Encryption software on any PC, Laptop, Tablet, Mobile Phone etc. used for Councillor Business. The use of a personal Firewall should also be considered. For advice in this area, Councillors should take appropriate security advice from their external ICT Support provider.
- 11. Claiming of Allowances and Providing Receipts / Proof of Purchase**
- 11.1 **Claiming the Councillors' / Co-opted Members Broadband and Telephone Allowance.** Councillors / Co-opted Members must produce proof of Broadband and Telephone connection at their home on an annual basis in order to receive this monthly allowance. Proof shall be required during May / June each year and should be given to the Cabinet Office / Democratic Services Team as appropriate.
- 10.2 **Claiming the Councillors' Mobile Phone Allowance.** Councillors must produce proof of their Mobile Phone Contract on an annual basis in order to receive this monthly allowance. Proof shall be required during May / June each year and should be given to the Cabinet Office / Democratic Services Team as appropriate.
- 10.3 Failure to provide proof of a Broadband / Telephone / Mobile Phone contract during May / June each year will result in payments being stopped until proof is provided. The Authority shall not backdate any payments beyond 3 months.
- 10.4 **Claiming the Councillors' / Co-opted Members ICT Allowance.** Councillors / Co-opted Members should purchase the ICT equipment they require and complete the Councillors' / Co-opted Members ICT Allowance Claim Form as shown in **Appendix 1**. The Claim Form should be returned to the Cabinet Office / Democratic Services Team as appropriate.

11. Councillors Self Service

- 11.1 The Democratic Services Committee at its meeting on 28 June 2016 received and noted an information report reminding Councillors of the Authorities “Sustainable Swansea - Fit for the Future” programme.
- 11.2 The objectives of Sustainable Swansea - Fit for the Future are:
- To transform services;
 - To deliver better outcomes for residents;
 - To achieve financial sustainability.
- 11.3 In order to achieve objectives, Councillors will need to play their role in the change agenda and embrace Oracle. Oracle is the Authority’s integrated HR, payroll, finance, procurement stores and job costing system. It is used across the Authority in every Service Unit.
- 11.4 Councillor Self Service will allow Councillors to view, amend and apply for things via Oracle including:
- Payslips, P60’s and P11d’s;
 - Changes to personal details (address, bank etc.);
 - Car Parking Permits;
 - Mileage and Expenses Claims.
- 11.5 By encouraging Councillors to use Oracle Self Service, it will reduce printing costs, save administration time and costs. All of which will assist the Authority in managing its financial deficit. Oracle Self Service will also allow Councillors to update their information in real time.
- 11.6 With immediate effect, no new Councillor shall receive a paper payslip and will be required to use the Self Service on Oracle. All current Councillors will be encouraged to shift to the Self Service system; however it will be compulsory from the Annual Meeting of Council in May 2017.
- 11.7 The shift to Oracle Self Service Mileage and Expenses Claims will also commence in May 2017; however a number of Councillors will be invited to start using the system sooner, so that the process can be trialled.
- 11.8 Training will be provided to all Councillors in order to manage this process of change. User Guides are available on the Authority’s StaffNet site <http://www.swansea.gov.uk/staffnet/mileageandexpenses>
- 11.9 Modern.gov is the Authority’s software solution for meeting management including placing agendas, reports and minutes online. It is an integrated package which aims to simplify websites for Councillors, Officers and the public. All Scrutiny agendas, reports etc shall be placed on the Modern.gov software system from May 2017.
- 11.10 This approach compliments the Authority’s Digital Strategy.

12. Equality and Engagement Implications

- 12.1 An Equality Impact Assessment (EIA) screening process took place prior to the consultation period. The outcome indicated that it was low priority and a full report was not required.

13. Financial Implications

- 13.1 Each of the Allowances referred to in this report shall be subject to Tax and National Insurance deductions.
- 13.2 The proposals outlined in the report are contained within existing budgetary constraints.

14. Legal Implications

- 14.1 The proposals identified are in accordance with relevant legislation.

Background Papers: None.

Appendices: Appendix 1 - Councillors' / Co-opted Members ICT Allowance Claim Form.

Background Papers: None.

Councillors / Co-opted Members ICT Allowance Claim Form

Name:	
Address:	
Post Code:	

Please provide details of ICT items or support purchased. In accordance with the Independent Remuneration Panel for Wales (IRPW) Councillors' / Co-opted Members ICT Allowance payments will only be made to Councillors following the completion of this form **together with the relevant receipt(s)**.

Date Purchased	Item / Service Purchased	Cost
Total Amount Claimed		£

Note:

- i) I have incurred these costs to enable me to fulfil my duties as a Councillor / Co-opted Member in accordance with the IRPW.*
- ii) Councillors' ICT Allowance. Year of Election is £1,008. Remaining Term of Office is £200 p.a. x 4 years (£800). The sum of £800 may be taken as a lump sum from Year 2 providing a receipt is provided. The Authority will not pay any additional monies until the following Local Government Election.*
- iii) Co-opted Members' ICT Allowance. Year of Appointment is £201.60. Remaining Term of Office is £40 p.a. The per annum sum may be taken as a lump sum from Year 2 providing a receipt is provided. The Authority will not pay any additional monies until the following Local Government Election.*

Councillor Signature:	Date:
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For Office Use	Checked By:	Payroll No.:
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Agenda Item 15.



Report of the Cabinet Member for Delivery

Cabinet – 20 September 2018

Review of the Gambling Policy

Purpose:	To seek agreement for the draft of the revised Gambling Policy, for the period January 2019 to January 2022, to be issued for consultation.
Policy Framework:	The City and County of Swansea, Statement of Principles, Gambling Act 2005. (The Gambling Policy)
Consultation:	Legal, Finance and Access to Services.
Recommendation(s):	It is recommended that Cabinet: 1) agree the proposed changes to the Council's Gambling Policy 2) agree that the revised Policy is issued for consultation prior to reporting back to Council for adoption
Report Author:	Lynda Anthony
Finance Officer:	Aimee Dyer
Legal Officer:	Lyndsay Thomas
Access to Services Officer:	Rhian Millar

1.0 Introduction

- 1.1 The Gambling Act 2005 (the Act) requires the City and County of Swansea, as the Licensing Authority, to review its Statement of Principles under the Gambling Act 2005, (Gambling Policy), every three years.
- 1.2 The current Gambling Policy was adopted at Council on 26th November 2015 for publication in December 2015.

1.3 The reviewed Policy must be issued for consultation and adopted by Council before publication. The Policy must be published at least 4 weeks before it comes into effect on the 31st January 2019.

2.0 The Gambling Policy

2.1 The Gambling Policy must comply with the requirements of the Act. Account should also be taken of guidance issued by the Gambling Commission (The Guidance).

2.2 The Guidance was first issued in April 2006 and has subsequently been revised. The latest version (5th edition) was issued in September 2015.

3.0 Proposed Changes to the Policy

3.1 A copy of the draft of the revised Policy is attached at Appendix A to this report. The changes proposed are identified in bold italics and any text to be removed is shown by striking through.

3.2 The majority of the Policy has not been changed. Where changes have been made, these are to reflect the changes made to The Guidance and also to provide clarification in respect of specific matters.

3.3 The main changes proposed are:

- The foreword has been amended to include more detail regarding the requirement to publish the statement of principles and also specifies the relevant section of the Act.
- Further details have been provided in relation to the Gambling Commission Guidance, details of the edition have been added and reference made to any subsequent updates (Paragraph 2.4, page 4).
- The County's population has been amended (Paragraph 3.1, page 5).
- A sentence has been added signposting readers to further information about Swansea (Paragraph 3.5, page 5).
- Additional wording has been included specifying the reasons representations or applications for licence reviews can be made based on the three licensing objectives. The specific section of the Act that defines Interested Parties has also been added (Paragraph 6.1, page 6).
- The date of the Data Protection Act has changed from 1998 to 2018 and reference to the General Data Protection Regulations 2016 have been included (Paragraph 8.1, page 8).
- Additional information has been added in respect of the Gambling Commission's Licence Conditions and Codes of Practice (LCCP) and a specific reference made to the social responsibility code (Paragraph 12.5, page 11).

- A paragraph has been added stating that the number and category of gaming machines is set down by the Act and any subsequent changes to legislation. A link to the Gambling Commission's website for current information has been included (Paragraph 12.6, page 11).
- A sentence has been added specifying that Occasional Use Notices must be submitted for each day betting is to take place (Paragraph 37.1, page 30).
- Additional wording has been included in relation to Local Risk Assessments for Operators setting out the Licensing Authority's expectations of Operators and clearly stating that risk assessments are to be kept on individual premises and be available for inspection (Paragraph 40.2, page 34).
- Additional wording has been added detailing additional matters to be considered when carrying out risk assessments (Paragraph 40.3, pages 34 & 35).
- The contact details for the Department for Digital, Culture, Media & Sport have been updated (Paragraph 48.0, page 37).
- The list of consultees has been updated to include Public Health Wales at the suggestion of Gambling Commission (Appendix B, page 39).

4.0 Equality and Engagement Implications

- 4.1 An Equalities Impact Assessment (EIA) Screening Form has been completed with the agreed outcome that a full EIA report is not required.

5.0 Financial Implications

- 5.1 There are no financial implications associated with this report.

6.0 Legal Implications

- 6.1 It is a legal requirement that the Policy is reviewed every three years.
- 6.2 The Act, statutory guidance and statutory instruments set out requirements regarding the form and content of the Policy.

Background Papers:

Gambling Commission guidance to licensing authorities (5th edition).

Appendices:

Appendix A – Draft Gambling Policy.

CITY AND COUNTY OF SWANSEA
STATEMENT OF PRINCIPLES
GAMBLING ACT 2005
(GAMBLING POLICY)

INDEX

Foreword	3
1.0 Licensing Objectives	3
2.0 Introduction	4
3.0 The City and County of Swansea <i>Geographical Area</i>	5
4.0 Consultees	5
5.0 Responsible Authorities	6
6.0 Interested Parties	6
7.0 Licensing Authority Functions	7
8.0 Exchange of Information	8
9.0 Enforcement	9
10.0 Fundamental Rights	10
11.0 Integrating Strategies	10
12.0 Premises Licences	10
13.0 Definition of Premises	12
14.0 Premises Ready For Gambling	13
15.0 Location	13
16.0 Door Supervisors	14
17.0 Duplication with Other Regulatory Regimes	14
18.0 Casinos	14
19.0 General Principles - Casino Premises	16
20.0 Casino Application Stage 1	17
21.0 Principles to be applied to Casino Stage 2	18
22.0 Casino Application Stage 2	18
23.0 Bingo Premises	20
24.0 Betting Premises	20
25.0 Tracks	21
26.0 Adult Gaming Centre	22
27.0 Licensed Family Entertainment Centre	23
28.0 Travelling Fairs	24
29.0 Provisional Statements	24
30.0 Reviews	25
31.0 Permits/Temporary & Occasional Use Notice	26
32.0 Unlicensed Family Entertainment Centres	26
33.0 Alcohol Licensed Premises	27
34.0 Club Gaming Permits	28
35.0 Prize Gaming & Prize Gaming Permits	29
36.0 Temporary Use Notices	29
37.0 Occasional Use Notices	30
38.0 Registration of Small Society Lotteries	30
39.0 Licensing Objectives	30
40.0 Local Risk Assessments for Operators	34
41.0 Local Area Profiles	35
42.0 Decision Making	35

THE CITY AND COUNTY OF SWANSEA

43.0	Appeals Procedure	35
44.0	Reasons for Decisions	36
45.0	Implementing the Determination of the Magistrates' Court	36
46.0	Concerns in respect of Licensed Premises	36
47.0	Information Sharing Network – Operators	37
48.0	Further Information	37
Appendix A Map of the City and County of Swansea		38
Appendix B Consultees		39
Appendix C Principles and Criteria		40 - 47
Appendix D Table of Delegation of Licensing Functions		48 - 49

THE CITY AND COUNTY OF SWANSEA

CITY AND COUNTY OF SWANSEA

GAMBLING POLICY

JANUARY 20169 – JANUARY 201922

Foreword

The City and County of Swansea is responsible under the Gambling Act 2005 (the Act) for licensing premises and issuing **a number of different** permits and authorisations for the together with temporary **and occasional** use of premises, amongst other matters **notices**.

The Licensing Authority is also required **by the Act** to prepare and publish a statement of the licensing principles that they propose to apply in exercising their functions under the Act. This is known as the ~~Gambling Policy (the Policy)~~. The Policy must be reviewed every three years. ***This statement forms the Licensing Authority's mandate for managing local gambling provision and sets out the Licensing Authority's expectations in relation to operators with premises in the locality. This statement, known as the Gambling Policy (The Policy), must be reviewed, consulted on and published every three years. The Policy has been prepared in accordance with Section 349 of the Act with reference to the relevant Guidance issued by the Gambling Commission. The form of The Policy is set out in The Gambling Act 2005 (Licensing Authority Policy Statement)(England and Wales) Regulations 2006.***

This Policy is intended to assist applicants, residents, local businesses and statutory consultees and **guide officers and** Licensing Committees in their decision making role.

1.0 Licensing Objectives

1.1 Licensing Authorities when exercising their functions under the Act must have regard to the licensing objectives. These are:-

- Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime;
- Ensuring that gambling is carried out in a fair and open way;
- Protecting children and other vulnerable persons from being harmed or exploited by gambling.

1.2 The Licensing Authority is aware that in accordance with Section 153 of the Act, in making decisions about premises licences and temporary

THE CITY AND COUNTY OF SWANSEA

use notices it should aim to permit the use of premises for gambling in so far as it thinks it is:

- in accordance with any relevant Codes of Practice issued by the Gambling Commission;
- in accordance with any relevant Guidance issued by the Gambling Commission;
- in accordance with the Authority's Policy; and
- reasonably consistent with the licensing objectives.

2.0 Introduction

2.1 The City and County of Swansea is the Licensing Authority under the Act.

2.2 The Policy must be published at least every three years. This Policy will come into effect on the 31st January 2016~~9~~ and will have effect until 30th January 2019~~22~~. The Policy can be reviewed from "time to time" and any amended parts consulted upon. The Policy must then be re-published.

2.3 Where updates are required due to changes in national legislation, statutory guidance or contact details, the Licensing Authority reserves the right to amend this Policy without consultation where it is necessary to ensure The Policy reflects national legislation or statutory guidance.

2.4 The Licensing Authority declares that this Policy has been prepared having regard to the provisions of The Guidance issued by the Gambling Commission (The Guidance), the licensing objectives in the Act and any responses from those consulted. All references to The Guidance refer to The Guidance **to Licensing Authorities 5th edition** published in ~~March~~ **September 2015 and any subsequent updates**.

2.5 The Licensing Authority acknowledges that it may need to depart from this Policy and from The Guidance in individual and exceptional circumstances and where the case merits such a decision in the interests of the promotion of the licensing objectives. Any such decision will be taken in consultation with the appropriate legal advisors for the Licensing Authority, and the reasons for any such departure will be fully recorded.

2.6 This Policy was approved at a meeting of Council on XXXXXX and was published on XXXXXX.

This Policy is available on the City and County of Swansea website at www.swansea.gov.uk

THE CITY AND COUNTY OF SWANSEA

3.0 The City and County of Swansea Geographical Area

- 3.1 The City and County of Swansea covers an area of 378 kilometres (146 square miles), has a population of ~~239,022~~ **245,500** people and is Wales' second largest city. Some two-thirds of the County's boundary is with the sea. The City and County of Swansea can be broadly divided into 4 physical areas. In the north, the Lliw Uplands present an open moorland feature; the Gower Peninsular in the west, a rural landscape with contrasting coasts and a collection of small villages; the urban and suburban centre stretching from Swansea to Gorseinon and Pontarddulais; and the coastal strip around Swansea Bay, no more than 2 miles in width.
- 3.2 The urban area of the City and County is chiefly focused on Swansea and radiates to the west and north of the city centre around Swansea Bay to Mumbes; over Townhill to Cwmbwrla, Treboeth, Fforestfach and Penlan; through Uplands, Sketty, Killay and Dunvant; along the Swansea Valley communities of Hafod, Landore, Plasmarl, Morriston to Clydach; and on the east side of the River from St Thomas to Bonynmaen, Llansamlet and Birchgrove.
- 3.3 The second urban focus centres on the Gowerton, Gorseinon and Loughor triangle, along with the nearby communities of Pontarddulais and Penllergaer.
- 3.4 The City and County of Swansea is served by 24 community councils.
- 3.5 A map of the Council area is attached at Appendix A.
Further information about Swansea can be found via the Council's web page <https://www.swansea.gov.uk/keyfacts>

4.0 Consultees

- 4.1 The Licensing Authority consulted widely on this statement between XXXXXX before finalising and publishing. The following were consulted:-
- South Wales Police;
 - Representatives of persons carrying on gambling businesses within the Licensing Authority's area who will be affected by this Policy;
 - Persons/bodies representing the interests of persons likely to be affected by the exercise of the Licensing Authority's functions under the Act and by this Policy.
- 4.2 A full but not exhaustive list of consultees is shown at Appendix B.

THE CITY AND COUNTY OF SWANSEA

5.0 Responsible Authorities

5.1 The Licensing Authority is required by regulations to state the principles it will apply in exercising its powers under Section 157(h) of the Act to designate, in writing, a body which is competent to advise the authority about the protection of children from harm. The principles are:

- the need for the body to be responsible for an area covering the whole of the Licensing Authority's area;
- the need for the body to be answerable to democratically elected persons, rather than any particular vested interest group.

5.2 In accordance with The Guidance, the Licensing Authority designates Child and Family Services of the City and County of Swansea for this purpose.

5.3 The contact details of all the Responsible Authorities under the Act are available via the Council's website at www.swansea.gov.uk

6.0 Interested Parties

6.1 Interested parties can make representations about licence applications, or apply for a review of an existing licence **based on the three licensing objectives as detailed in paragraph 1.1 of this Policy Statement**. These parties are defined in **Section 158** of the Act as follows:

6.2 "For the purposes of this Part a person is an interested party in relation to an application for or in respect of a premises licence if, in the opinion of the Licensing Authority which issues the licence or to which the application is made, the person-

- a) lives sufficiently close to the premises to be likely to be affected by the authorised activities;
- b) has business interests that might be affected by the authorised activities, or;
- c) represents persons who satisfy paragraph (a) or (b)"

6.3 The Licensing Authority is required by regulations to state the principles it will apply in exercising its powers under the Gambling Act 2005 to determine whether a person is an interested party.

6.4. The principles are:

- Each case will be decided upon its merits;
- The Licensing Authority will not apply a rigid rule to its decision-making;

THE CITY AND COUNTY OF SWANSEA

- The Licensing Authority will consider the examples of considerations provided in The Guidance;
 - Decisions on premises licences and temporary use notices, will be made in accordance with Guidance;
 - The Licensing Authority will, in accordance with The Guidance, ensure that the phrase “has business interests” will be given the widest possible interpretation and include partnerships, charities, faith groups and medical practices.
- 6.5 The Guidance states that those representing persons living close to premises or who have business interests could include trade associations, trade unions, residents’ and tenants’ associations. The Licensing Authority will not, however, generally view these bodies as interested parties unless they have a member who can be classed as an interested person under the terms of the Act e.g. lives sufficiently close to the premises to be likely to be affected by the activities being applied for.
- 6.6 Interested parties can be persons who are democratically elected such as Councillors, Welsh Assembly Members and Members of Parliament. No specific evidence of being asked to represent an interested person will be required as long as the Councillor etc represents the Ward likely to be affected. Likewise, Parish Councils, likely to be affected will be considered to be interested parties. Other than these persons, the Licensing Authority will generally require written evidence that a person ‘represents’ someone who either lives sufficiently close to the premises to be likely to be affected by the authorised activities and/or business interests that might be affected by the authorised activities. A letter from one of these persons, requesting the representation is sufficient.
- 6.7 If individuals wish to approach Councillors to ask them to represent their views then care should be taken that the Councillors are not part of the Licensing Committee dealing with the licence application. If there are any doubts then please contact the Licensing Division. Contact details are provided at paragraph 48 below.

7.0 Licensing Authority Functions

- 7.1 Licensing Authorities are required under the Act to:
- Be responsible for the licensing of premises where gambling activities are to take place by issuing Premises Licences;
 - Issue Provisional Statements;
 - Regulate members’ clubs and miners’ welfare institutes who wish to undertake certain gaming activities by issuing Club

THE CITY AND COUNTY OF SWANSEA

- Gaming Permits and/or Club Machine Permits ;
- Issue Club Machine Permits to Commercial Clubs;
- Grant permits for the use of certain lower stake gaming machines at unlicensed Family Entertainment Centres ;
- Receive notifications from alcohol licensed premises (under the Licensing Act 2003) for the use of two or fewer gaming machines;
- Issue Licensed Premises Gaming Machine Permits for premises licensed to sell/supply alcohol for consumption on the licensed premises, under the Licensing Act 2003, where there are more than two machines;
- Register small society lotteries below prescribed thresholds;
- Issue Prize Gaming Permits;
- Receive and Endorse Temporary Use Notices;
- Receive Occasional Use Notices;
- Provide information to the Gambling Commission regarding details of licences issued;
- Maintain registers of the permits and licences that are issued under these functions.

7.2 It should be noted that the Licensing Authority will not be involved in licensing remote gambling at all. This is the responsibility of the Gambling Commission via operating licences. Spread betting is regulated by The Financial Services Authority and the National Lottery is regulated by The National Lottery Commission.

7.3 The Licensing Authority recognises that the licensing function in respect of gambling is only one means of promoting delivery of the three licensing objectives and should not therefore be seen as a means for solving all problems within the community. The Licensing Authority will therefore continue to work in partnership with neighbouring authorities, South Wales Police, the Safer Swansea Partnership, local businesses, local people and those involved in child protection to promote the licensing objectives as outlined. In addition, the Licensing Authority recognises its duty under Section 17 of the Crime and Disorder Act 1998, with regard to the prevention of crime and disorder.

8.0 Exchange of Information

8.1 The Licensing Authority, in fulfilling its functions under sections 29, 30 and 350 of the Act, in relation to the exchange of relevant information with the Gambling Commission and other regulatory bodies, will comply with current advice issued by the Commission. In exchanging such information, the Licensing Authority will act in accordance with the provisions of the Act and with the provisions of the Data Protection Act

THE CITY AND COUNTY OF SWANSEA

~~1998~~**2018 and the General Data Protection Regulation 2016.** The Licensing Authority will also have regard to any guidance issued by the Gambling Commission on this matter as well as any relevant regulations issued by the Secretary of State under the powers provided in the Act.

9.0 Enforcement

- 9.1 Licensing Authorities are required by regulations under the Act to state the principles to be applied by the Authority in exercising the functions under Part 15 of the Act with respect to the inspection of premises; and the powers under Section 346 of the Act to institute criminal proceedings in respect of the offences specified.
- 9.2 The City and County of Swansea's principles are that it will be guided by The Guidance and it will endeavour to be:
- Proportionate: regulators should only intervene when necessary: remedies should be appropriate to the risk posed, and costs identified and minimised;
 - Accountable: regulators must be able to justify decisions, and be subject to public scrutiny;
 - Consistent: rules and standards must be joined up and implemented fairly;
 - Transparent: regulators should be open, and keep regulations simple and user friendly; and
 - Targeted: regulation should be focused on the problem, and minimise side effects.
- 9.3 In accordance with The Guidance the Licensing Authority will endeavour to avoid duplication with other regulatory regimes so far as possible.
- 9.4 The Licensing Authority will use appropriate enforcement to promote the Licensing Objectives. The main enforcement and compliance role for the Licensing Authority under the Act will be to ensure compliance with the premises licences and other relevant permissions.
- 9.5 The Gambling Commission is the enforcement body for the operating licences and personal licences. Any concerns about manufacture, supply or repair of gaming machines will not be dealt with by the Licensing Authority but will be notified to the Gambling Commission.
- 9.6 The Licensing Authority will carry out a risk-based inspection programme, having regard to:

THE CITY AND COUNTY OF SWANSEA

- The licensing objectives;
- Relevant codes of practice;
- The Guidance;
- The principles set out in this Statement of Licensing Policy;
- The Licensing Authority's enforcement policy.

9.7 The Licensing Authority will have regard to The Guidance in respect of 'test purchasing' when considering making test purchases at gambling premises.

10.0 Fundamental Rights

10.1 Under the terms of the Act any individual or company may apply for a variety of permissions and have their applications considered on their individual merits. Equally, any Interested Party or Responsible Authority has the right to make relevant representations on an application or to seek a review of a licence or certificate where provision has been made for them to do so in the Act.

10.2 Applicants and those making relevant representations in respect of applications to the Licensing Authority have a right of appeal to the Magistrates Court against the decisions of the Council.

11.0 Integrating Strategies

11.1 By consulting widely prior to this Policy Statement being published, the Licensing Authority will take full account of local policies covering crime prevention, culture, transport, planning and tourism as part of an integrated strategy for the Council, police and other agencies. Many of these strategies may not be directly related to the promotion of the three licensing objectives, but may indirectly impact upon them.

12.0 PREMISES LICENCES

12.1 General Principles

12.2 Premises licences are subject to the requirements set out in the Act and regulations, including the specific mandatory and default conditions which are detailed in regulations issued by the Secretary of State. Licensing Authorities are able to exclude default conditions and also attach others, where it is believed to be appropriate.

THE CITY AND COUNTY OF SWANSEA

- 12.3 This Licensing Authority is aware that in making decisions about premises licences it should aim to permit the use of premises for gambling in so far as it thinks it is:
- in accordance with any relevant code of practice issued by the Gambling Commission;
 - in accordance with any relevant guidance issued by the Gambling Commission ;
 - reasonably consistent with the licensing objectives; and
 - in accordance with the Authority's Gambling Policy.
- 12.4 In accordance with The Guidance moral objections to gambling are not considered a valid reason to reject applications for premises licences and demand is not a criterion for a Licensing Authority.
- 12.5 The Gambling Commission have also issued Licence Conditions and Codes of Practice (LCCP) **which apply to all operators and personal licence holders**. The LCCP **strengthens the Social Responsibility (SR) code requirements and imposes a** formal requirement for operators to consider local risks. The Licensing Authority will have regard to the LCCP when considering applications. **Details regarding the LCCP and SR code can be accessed via the Gambling Commission website at www.gamblingcommission.gov.uk**

The code requires operators;

- ***To supervise customers effectively on gambling premises and identify customers who are at risk of gambling related harm.***
 - ***To have in place schemes to allow customers to self-exclude themselves from all operators of a similar type in the area where they live and work.***
 - ***To have a range of measures with regard to marketing to ensure social responsibility that are transparent and not misleading.***
 - ***To produce a risk assessment on individual premises, and have policies and procedures and control measures in place to mitigate local risks to the licensing objectives.***
- 12.6 ***Where a premises licence allows gaming machines, this will be governed by the number of machines and category as set down by the Act and any subsequent changes to legislation. Current information can be accessed on the Gambling Commission's website via <http://www.gamblingcommission.gov.uk/for-gambling-businesses/Compliance/Sector-specific-compliance/Arcades-and-machines/Gaming-machine-categories/Gaming-machine-categories.aspx>***

THE CITY AND COUNTY OF SWANSEA

13.0 Definition of Premises

13.1 Premises is defined in the Act as including “any place”. Section 152 therefore prevents more than one premises licence applying to any place. A single building could be subject to more than one premises licence, provided they are for different parts of the building and the different parts of the building can reasonably be regarded as being different premises. This approach has been taken to allow large multiple unit premises such as a pleasure park, pier, track or shopping mall to obtain discrete premises licences where appropriate safeguards are in place. The Licensing Authority will pay particular attention if there are issues about sub-divisions of a single building or plot and will ensure that mandatory conditions relating to access are observed.

13.2 Whether different parts of a building can properly be regarded as being separate premises will depend on the circumstances. However, the Gambling Commission does not consider that areas of a building that are artificially or temporarily separate can be properly regarded as different premises.

13.3 The Licensing Authority takes particular note of The Guidance and will take particular care in considering applications for multiple licences for a building and those relating to a discrete part of a building used for other (non-gambling) purposes. In particular the Authority will be aware of the following:

- Entrances and exits from parts of a building covered by one or more licences should be separate and identifiable so that the separation of different premises is not compromised and that people do not ‘drift’ into a gambling area. In this context it should normally be possible to access the premises without going through another licensed premises or premises with a permit;
- Customers should be able to participate in the activity named on the premises licence;
- The third licensing objective seeks to protect children from being harmed by Gambling. In practice this means not only preventing them taking part in gambling but also preventing them from being in close proximity to gambling. Premises should be configured so that children are not invited to participate in, have accidental access to or closely observe gambling where they are prohibited from participating.

13.4 The Licensing Authority will also consider other issues including:

- Whether the premises has a separate registration for business rates;

THE CITY AND COUNTY OF SWANSEA

- Whether the neighbouring premises is owned by a different person;
- Whether each of the premises can be accessed from the street or public passageway;
- Whether the premises can only be accessed from other gambling premises.

14.0 Premises Ready For Gambling

14.1 The Guidance states that a licence to use premises for gambling should only be issued in relation to premises that the Licensing Authority can be satisfied are going to be ready to be used for gambling in the reasonably near future consistent with the scale of building or alterations required before the premises are brought into use. If the construction of a premise is not yet complete or if they need alteration, or if the applicant does not yet have the right to occupy them, an application for a provisional statement should be considered.

14.2 In deciding whether a premises licence can be granted where there are outstanding constructions or alteration works at a premises, the Authority will determine applications on their merits, applying a two stage consideration process: -

- Firstly, whether the premises ought to be permitted to be used for gambling;
- Secondly, whether appropriate conditions can be put into place to cater for the situation that the premises are not yet in the state in which they ought to be, before gambling takes place;

14.3 Applicants should note that the Licensing Authority is not obliged to grant a licence and is also entitled to decide that it is appropriate to grant a licence subject to conditions.

15.0 Location

15.1 The Licensing Authority is aware that demand issues cannot be considered with regard to the location of premises. In accordance with The Guidance, this Authority will pay particular attention to the licensing objective relating to the protection of children and vulnerable persons from being harmed or exploited by gambling, as well as issues of crime and disorder. When considering the Licensing Objectives with regard to the location, the Licensing Authority may take into consideration the following facts

- Size and nature of premises;
- Type of facilities applied for;
- Nature of area in which premises is to be situated;

THE CITY AND COUNTY OF SWANSEA

- Potential impact of premises on area;
- Any other reasonable factor.

15.2 Should any specific policy be decided upon as regards areas where gambling premises should not be located, this statement will be updated. It should be noted that any such policy does not preclude any application being made and each application will be decided on its merits, with the onus upon the applicant to show how potential concerns can be overcome.

16.0 Door Supervisors

16.1 The Guidance states that licensing authorities may consider whether there is a need for door supervisors in respect of the licensing objectives of protection of children and vulnerable persons being harmed or exploited by gambling and preventing premises becoming a source of crime. Where operators and licensing authorities decide that supervision of entrances/machines is appropriate, the Licensing Authority will determine whether these supervisors need to be Security Industry Authority (SIA) licensed.

17.0 Duplication with Other Regulatory Regimes

17.1 The Licensing Authority will take into account all relevant matters and will seek to avoid any duplication with other statutory / regulatory systems where possible, including planning. The Authority will not consider whether a licence application is likely to be awarded planning permission or building regulations approval. It will however consider carefully, any concerns about conditions which are not able to be met by licensees due to planning restrictions should such a situation arise.

17.2 When dealing with a premises application for finished buildings, the Authority will not take into account that those buildings have to comply with the necessary planning or building consents. Fire or health and safety risks will not be taken into account as these matters are dealt with under other relevant legislation.

18.0 Casinos

18.1 On the 26th October 2017, the City and County of Swansea acting as a Licensing Authority agreed to pass a resolution not to issue casino licences under Section 166 of the Act. This resolution came into effect on the 5th December 2017. The decision followed a consultation process and consideration of the responses received.

THE CITY AND COUNTY OF SWANSEA

- 18.2 A potential applicant for a casino premises licence should be aware that this resolution has been passed and that applications for a casino premises licence will not be considered by this Authority. Any application received will be returned and the applicant informed that a resolution not to issue casino licences is in place for the City and County of Swansea.
- 18.3 This resolution will not affect existing casino premises licences including any applications for variations or transfers of these licences.
- 18.4 The resolution will last for a period of 3 years from the date it takes effect. After this time the Authority may pass a new resolution not to issue casino premises licences.
- 18.5 In 2006, the City and County of Swansea submitted a proposal to the Independent Casino Advisory Panel to licence one Large and one Small casino. On 19th May 2008 the Categories of Casino Regulations 2008 and the Gambling (Geographical Distribution of Large and Small Casino Premises Licences) Order 2008 were made. The latter Order specifies which Licensing Authorities may issue Large and Small Casino Premises Licences. The City and County of Swansea was one of the eight authorities authorised to issue a Small Casino Premises Licence.
- 18.6 On 26th February 2008, the Secretary of State for Culture Media and Sport issued the Code of Practice on Determinations under Paragraphs 4 and 5 of Schedule 9 to the Act, relating to Large and Small Casinos, which sets out: -
- the procedure to be followed in making any determinations required under Paragraphs 4 and 5 of Schedule 9 to the Act; and;
 - matters to which the Licensing Authority should have regard in making those determinations.
- 18.7 The Licensing Authority is permitted to grant a Premises Licence for a Small Casino. To grant a casino premises licence the Licensing Authority is required to publish an invitation for applications to be made for a Small Casino Licence under Schedule 9 of the Gambling Act 2005 and will determine the applications received in accordance with The Gambling (Inviting Competing Applications for Large and Small Casino Premises Licences) Regulations 2008, the Department for Culture Media and Sport's Code of Practice and the Gambling Commission's Guidance to Licensing Authorities.

THE CITY AND COUNTY OF SWANSEA

18.8 There are potentially two stages to the determination process. In making a determination required by Paragraph 4 of the Schedule, the Licensing Authority must apply the procedure for assessing applications for premises licences which it ordinarily applies to such applications (Casino Application Stage 1). Where the Licensing Authority determines that it would, if it were able, grant more than one of the Stage 1 applications, the applicants who made those applications would be invited to participate in Casino Application Stage 2.

Note: paragraphs 18.7 & 18.8 do not apply whilst the resolution not to issue casino licences is in force

18.9 As the City and County of Swansea has been authorised to issue a small casino premises licence it is required to set out the principles it would apply in determining such an application, notwithstanding that it has passed a resolution not to issue casino licences.

19.0 General Principles – Casino Premises

19.1 Subject to the provisions in the Act, any person may make an application. The Licensing Authority will determine each application according to criteria which are: -

- the same for all applicants;
- made known to all applicants;
- not pre-selected to favour a particular applicant or application.

19.2 The Licensing Authority shall ensure that any pre-existing contract, arrangements or other relationship with a company or individual does not affect the procedure for assessing applications so as to make it unfair or perceived to be unfair to any applicant. The Licensing Authority shall therefore disregard any contract, arrangement or other relationship.

19.3 The Licensing Authority recognises that applicants may either apply for a full Casino Premises Licence or alternatively a Provisional Statement. Applicants for full Premises Licences however must fulfil certain criteria in that they must: -

- hold or have applied for an Operating Licence; and
- have the right to occupy the premises in question.

19.4 Unless otherwise specified, any reference to the application and procedures for a 'premises licence' for a casino in the following parts

THE CITY AND COUNTY OF SWANSEA

of this section of this document shall also include the application and procedures for a 'provisional statement' for a casino.

- 19.5 In making any decision in respect of an application, the Licensing Authority shall not have regard to whether or not a proposal by the applicant is likely to be permitted in accordance with the law relating to planning or building regulation and any decision shall not constrain any later decision by the Authority under the law relating to planning or building.
- 19.6 The Licensing Committee will make the determination on casino licence applications at Stage 1 and at Stage 2. During Stage 2, the Licensing Committee will be supported by an Advisory Panel of Officers and others with appropriate experience.
- 19.7 In accordance with the Code of Practice issued by the Secretary of State, the Licensing Authority will ensure that there is a Register of Interest in place disclosing interest in any contract, arrangement or other relationship with an applicant or a person connected or associated with an applicant. Applicants should note that this does not apply to any agreement between the Licensing Authority and applicant entered into during Stage 2 of the application process.

20.0 Casino Application Stage 1

- 20.1 The Licensing Authority will provide an Application Pack which will include a statement of the principles that it proposes to apply and the procedure that it proposes to follow in assessing applications for the Small Casino Premises Licence.
- 20.2 At this stage, the Licensing Authority cannot accept any additional information other than the prescribed application form laid down in The Gambling Act 2005 (Premises Licences and Provisional Statements) (England and Wales) Regulations 2007. All such additional information will be disregarded and returned to the applicant.
- 20.3 With regard to Stage 1, the principles as stated in Paragraphs 12-18 of the Gambling Policy shall apply to all applications.
- 20.4 The Licensing Authority recognises that each of the other applicants is considered an 'interested party' and as a result may make representations. It is recognised that the Licensing Authority's decision at Stage 1 may be appealed against, in which case the Licensing Authority will not proceed further until all appeals have been dealt with.

THE CITY AND COUNTY OF SWANSEA

20.5 If this process results in more than one provisional decision to grant a Premises Licence, Casino Application Stage 2 will be implemented.

21.0 Principles to be applied to casino application Stage 2

21.1 The Licensing Authority will apply to Stage 2 the following principles in determining whether or not to grant a Casino Premises Licence: -

- Any provision that is made for the protection of children and other vulnerable people from harm or exploitation arising from gambling, whether in the proposed casino or the wider community;
- Any provision that is made for preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime;
- Any provision that is made for ensuring that gambling is conducted in a fair and open way;
- Likely effects of an application on employment and regeneration in Swansea;
- Design and location of the proposed development;
- Range and nature of non gambling facilities to be offered as part of the proposed development;
- Any financial and other contributions;
- The deliverability of the proposals contained in the applications.

21.2 In determining which application is likely to result in the greatest benefit to Swansea, the Licensing Authority has set out matters which are likely to receive the greatest weight (Appendix C). However, an applicant is not debarred from putting forward other benefits which the Licensing Authority will consider and weight to the extent that it considers them relevant.

21.3 Although applicants are able to submit an application for any location within Swansea which will be judged on its own individual merits, the Licensing Authority is provisionally of the view that the locations for the Small Casino likely to bring the greatest benefit to Swansea is Swansea City Centre.

22.0 Casino Application Stage 2

22.1 The Licensing Authority will agree and implement a protocol governing the storage of confidential information submitted during Stage 2 of the application process so as to maintain confidentiality.

THE CITY AND COUNTY OF SWANSEA

- 22.2 At this Stage, applicants will be required to state the benefits their applications, if granted, would bring to Swansea.
- 22.3 The Licensing Authority will itself evaluate all applications and make the decision to grant the available Small Casino Premises Licence to the applicant that in its opinion will result in the greatest benefit to Swansea.
- 22.4 The Licensing Authority may enter into a written agreement with an applicant and may determine to attach conditions to any licence issued so as to give effect to any agreement entered into. The Licensing Authority may have regard to the effect of any agreement so entered in making the determination on the applications.
- 22.5 The Advisory Panel, appointed by the Licensing Authority, will carry out a preliminary assessment of each Stage 2 application. Following the preliminary assessment, the Advisory Panel may engage in discussions or negotiations with each Stage 2 applicant with a view to the particulars of an application being refined, supplemented or otherwise altered so as to maximise the benefits to the Authority's area that would result from it, were it granted.
- 22.6 The Advisory Panel will assess each bid according to criteria set out in the Application Pack. The applicant will be sent the Advisory Panel's assessment of its application to enable the applicant to correct any factual errors or (without providing new information) make representations as to the assessment.
- 22.7 The Advisory Panel will then provide a final written report to the Licensing Committee which will include its recommendation as to the correct band for each criterion, its qualitative assessment and also the applicant's response. The Licensing Committee will consider the Advisory Panel's report and will determine the precise score for each criterion. The Licensing Committee will not take further evidence or representations made by the applicants but will then make its decision. Any legal advice required shall be supplied by the Solicitor acting for the Licensing Authority. The Licensing Authority will accept or reject any advice given as it considers appropriate.
- 22.8 All Stage 2 applicants will be informed of the decision and reasons for approval or rejection as soon as is reasonably practicable. It is noted that once a decision has been made there will be no right of appeal.

THE CITY AND COUNTY OF SWANSEA

23.0 Bingo Premises

- 23.1 Children and young people are allowed to enter bingo premises licensed for bingo however, they are not permitted to participate in the bingo, and if category B or C gaming machines are available, these must be separated from areas where children and young people are allowed. The Licensing Authority will ensure that:
- all such machines are located in an area of the premises separate from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance;
 - only adults are admitted to the area where the machines are located;
 - access to the area where the machines are located is supervised;
 - the area where the machines are located is arranged so that it can be observed by staff of the operator or the licence holder; and
 - at the entrance to, and inside any such area there are prominently displayed notices indicating that access to the area is prohibited to persons under 18.

24.0 Betting Premises

- 24.1 The Act contains a single class of licence for betting premises. However, within this single class of licence, there will be different types of premises which require licensing.
- 24.2 The Act also permits betting intermediaries to operate from premises, although betting intermediaries usually offer their services via remote communication, such as the internet. In principle, however, there is nothing to prevent a betting intermediary applying for a betting premises licence to offer intermediary services upon the premises.
- 24.3 The Authority is aware of its power to restrict the number of betting machines, their nature and the circumstances in which they are made available by attaching a licence condition to a betting premises licence.
- 24.4 In considering whether to impose such a condition the Licensing Authority will, among other things, take into account the size of the premises, the number of counter positions available for person to person transactions, and the ability of staff to monitor the use of the machines by children and young persons or by vulnerable persons.
- 24.5 The Act provides that a machine is not a gaming machine if it is designed or adapted for use to bet on future real events. Betting

THE CITY AND COUNTY OF SWANSEA

premises may make available machines that accept bets on live events, such as horseracing, as a substitute for placing a bet over the counter. These “betting machines” are not gaming machines: they merely automate the process, which can be conducted in person and, therefore, do not require regulation as a gaming machine.

- 24.6 The holder of a betting premises licence may make available for use, up to four gaming machines of Category B, C or D. Category B machines at betting premises are restricted to sub-category B2, B3 and B4.

25.0 Tracks

- 25.1 The Licensing Authority is aware that tracks may be subject to one or more premises licence, provided each licence relates to a specified area of the track.

- 25.2 In accordance with The Guidance, the Licensing Authority will especially consider the impact upon the third licensing objective (i.e. the protection of children and vulnerable persons from being harmed or exploited by gambling) and the need to ensure that entrances to each type of premises are distinct and that children are excluded from gambling areas they are not permitted to enter.

- 25.3 The Licensing Authority will expect the applicant to demonstrate suitable measures to ensure that children do not have access to adult only gaming facilities. It is noted that children and young persons will be permitted to enter track areas where facilities for betting are provided on days when dog-racing and/or horse racing takes place but that they are still prevented from entering areas where gaming machines (except category D machines) are provided.

- 25.4 The Licensing Authority notes that The Guidance requires Licensing Authorities to consider the location of gaming machines at tracks. Applications for track premises licences will need to demonstrate that where the applicant holds a pool betting operating licence and is going to use his entitlement to four gaming machines, that these machines are located in areas where children are excluded. Children and young persons are not prohibited from playing category D gaming machines on a track.

- 25.5 Betting Machines - The Licensing Authority will in accordance with the Gambling Commissions Guidance, take into account the size of the premises, the number of counter positions available for person to person transactions and the ability of staff to monitor the use of machines when considering the number/nature/circumstances of betting machines an operator wants to offer.

THE CITY AND COUNTY OF SWANSEA

- 25.6 The Licensing Authority will also take note of The Guidance which suggests that Licensing Authorities consider restricting the number and location of such machines in respect of applications for track betting premises licences.
- 25.7 The Licensing Authority will consider attaching a condition to track premises licences requiring the track operator to ensure that the rules of betting are prominently displayed in or near the betting areas, or that other measures are taken to ensure that they are made available to the public. An example may be that the rules are printed in the race-card or made available in leaflet form from the track office.
- 25.8 The Act requires applicants to submit plans of the premises with their application in order to ensure the Licensing Authority has the necessary information to determine whether the premises are fit for gambling.
- 25.9 Plans for tracks do not need to be in a particular scale but should be drawn to scale and should be sufficiently detailed to include the information required by the regulations.

26.0 Adult Gaming Centre (AGC)

- 26.1 The Licensing Authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling.
- 26.2 The Licensing Authority will expect applicants to satisfy the authority that there will be sufficient measures to ensure that no-one under the age of 18 is permitted to enter an AGC. The Licensing Authority will have particular regard to the location of and entry to AGCs to minimise the opportunities for children to gain access.
- 26.3 Where gambling facilities are provided at premises as a supplementary activity to the main purpose of the premises; e.g. motorway service areas and shopping malls, the Licensing Authority will expect the gambling area to be clearly defined to ensure that customers are fully aware that they are making a choice to enter into the gambling premises and that the premises is adequately supervised at all times.
- 26.4 The Licensing Authority may consider measures to meet the licensing objectives such as:
- Proof of age schemes;
 - CCTV;
 - Supervision of entrances/machine areas;

THE CITY AND COUNTY OF SWANSEA

- Physical separation of areas;
- Location of entry;
- Notices/signage;
- Specific opening hours;
- Self-exclusion schemes;
- Provision of information leaflets/helpline numbers for organisations such as GamCare.

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

27.0 Licensed Family Entertainment Centres (FEC)

27.1 The Licensing Authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the Authority that there will be sufficient measures to ensure that under 18 year olds do not have access to the adult only areas.

27.2 Children and young persons will be permitted to enter a FEC and may play on the category D machines. They will not be permitted to play on category C machines and it will be a requirement that there must be clear segregation between the two types of machine so that children do not have access to category C machines.

27.3 The Licensing Authority may consider measures to meet the licensing objectives such as:

- Proof of age schemes;
- CCTV;
- Supervision of entrances/machine areas;
- Physical separation of areas;
- Location of entry;
- Notices/signage;
- Specific opening hours;
- Self-exclusion schemes;
- Provision of information leaflets/helpline numbers for organisations such as GamCare;
- Measures/training for staff on how to deal with children on the premises, for example, suspected truancy from school.

This list is not mandatory, nor exhaustive, and is merely indicative of example measures.

THE CITY AND COUNTY OF SWANSEA

27.4 The Licensing Authority will, in accordance with The Guidance, refer to the Gambling Commission's website in respect of any conditions that apply to operating licences that regulate the way in which the area containing the category C machines should be delineated.

28.0 Travelling Fairs

28.1 Travelling fairs are defined as 'wholly or principally' providing amusements on a site that has been used for fairs for no more than 27 days per calendar year.

28.2 Where category D machines and/or equal chance prize gaming without a permit are to be made available for use at travelling fairs it is the responsibility of the Licensing Authority to ensure that the facilities for gambling amount to no more than an ancillary amusement.

28.3 The Licensing Authority will also consider whether the applicant falls within the statutory definition of a travelling fair.

28.4 The 27-day statutory maximum for the land being used as a fair is per calendar year, and it applies to the piece of land on which the fairs are held, regardless of whether it is the same or different travelling fairs occupying the land.

28.5 The Licensing Authority will work with its neighbouring Authorities to ensure that any land, which crosses its boundaries, is monitored so that the statutory limits are not exceeded.

29.0 Provisional Statements

29.1 Developers may wish to apply for provisional statements before entering into a contract to buy or lease land to judge whether a development is worth taking forward. There is no need for the applicant to hold an operating licence or have the right to occupy premises to apply for a provisional statement.

29.2 Where representations about premises licence applications are made following the grant of a provisional statement, no further representations from relevant authorities or interested parties can be taken into account unless they concern matters which could not have been addressed at the provisional statement stage, or they reflect a change in the applicant's circumstances. In addition, the authority may refuse the premises licence (or grant it on terms different to those attached to the provisional statement) only by reference to matters:

THE CITY AND COUNTY OF SWANSEA

- (a) which could not have been raised by objectors at the provisional statement stage; or
- (b) which in the authority's opinion reflect a change in the operator's circumstances; or
- (c) Where the premises has not been constructed in accordance with the plan submitted with the application. This must be a substantial change to the plan. The Licensing Authority notes that it can discuss any concerns it has with the applicant before making a decision.

30.0 Reviews

30.1 The Licensing Authority may initiate the review of a premises licence or may review a premises licence following the receipt of an application from a responsible authority or interested party.

30.2 The Licensing Authority must grant an application for review unless it decides to reject the application on the grounds that the application for review:-

- is not relevant in respect of The Guidance, the relevant codes of practice, The Policy or the licensing objectives;
- is frivolous;
- is vexatious;
- will certainly not cause the Authority to amend, revoke or suspend the licence;
- is substantially the same as the grounds cited in a previous application relating to the same premises. The Licensing Authority will take into account the time lapsed since the previous application when considering this point;
- is substantially the same as the representations made at the time the application for the premises license was considered. The Licensing Authority will take into account the time lapsed since the previous application was considered and will not review the licence on the basis of the same arguments considered on the grant of the premises licence.

30.3 The purpose of the review will be to determine whether the Licensing Authority should take any action in relation to the licence. If action is justified, the options open to the Licensing Authority are:-

- add, remove or amend a licence condition imposed by the Licensing Authority;

THE CITY AND COUNTY OF SWANSEA

- exclude a default condition imposed by the Secretary of State (e.g. opening hours) or remove or amend such an exclusion;
- suspend the premises licence for a period not exceeding three months; and
- revoke the premises licence.

30.4 In determining what action, if any, should be taken following a review, the Licensing Authority must have regard to the principles set out in Section 153 of the Act, as well as any relevant representations.

30.5 In particular, the Licensing Authority may also initiate a review of a premises licence on the grounds that a premises licence holder has not provided facilities for gambling at the premises. This is to prevent people from applying for licences in a speculative manner without intending to use them.

31.0 Permits / Temporary & Occasional Use Notice

31.1 Permits - The Act introduces a range of permits granted by Licensing Authorities when premises provide a gambling facility and either the stakes and prizes are very low or gambling is not the main function of the premises.

32.0 Unlicensed Family Entertainment Centres (FEC) - Gaming Machine Permits

32.1 Where a premises does not hold a premises licence but wishes to provide only Category D gaming machines, an application may be made to the Licensing Authority for a permit.

32.2 The Licensing Authority will expect applicants to show that there are policies and procedures in place to protect children from harm. Harm in this context is not limited to harm from gambling but includes wider child protection considerations. The efficiency of such policies and procedures will be considered on their merits. They may include training of staff regarding suspected truant school children, how to deal with unsupervised, very young children or children causing problems in and around the premises. In accordance with The Guidance, applicants will be expected to demonstrate a full understanding of the maximum stakes and prizes of the gambling permissible in unlicensed FECs, that they have no relevant convictions and that staff are trained to have a full understanding of the maximum stakes and prizes.

32.3 Unlicensed FECs are premises which are wholly or mainly used for making gaming machines available, therefore, exclude any premises primarily used for any other purposes, e.g. canteens, fast food

THE CITY AND COUNTY OF SWANSEA

takeaways, leisure centres, garages and petrol filling stations, taxi offices.

32.4 The Licensing Authority cannot attach conditions to this type of permit.

33.0 Alcohol Licensed Premises

33.1 The Act provides an automatic entitlement to alcohol licence holders to make available 2 gaming machines of category C or D for use in premises licensed to sell alcohol for consumption on the premises. To take advantage of this entitlement, the person who holds the alcohol licence must notify the Licensing Authority and pay the prescribed fee.

33.2 This is not an authorisation procedure as the Licensing Authority have no discretion to consider the notification or turn it down. The Licensing Authority can however, remove the automatic authorisation in respect of any particular premises if:

- provision of the machines is not reasonably consistent with the pursuit of the licensing objectives;
- gaming has taken place on the premises that breaches a condition of section 282 of the Gambling Act (i.e. that written notice has been provided to the Licensing Authority, that a fee has been provided and that any relevant code of practice issued by the Gambling Commission about the location and operation of the machine has been complied with);
- the premises are mainly used for gaming; or
- an offence under the Gambling Act has been committed on the premises.

33.3 Licensing Authorities may issue licensed premises gaming machine permits for any number of category C or D machines. This will replace and not be in addition to the automatic entitlement to two machines. If the holder of an alcohol licence for a premises wishes to have more than 2 machines, then an application for a permit must be submitted to the Licensing Authority. The Licensing Authority will consider the application based upon the licensing objectives, any guidance issued by the Gambling Commission under Section 25 of the Gambling Act 2005, and such matters as they think relevant.

33.4 The Licensing Authority considers that such matters will be decided on a case by case basis but generally there will be regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the Authority that there will be sufficient measures to ensure that under 18 year olds do not have access to the adult only category C gaming machines.

THE CITY AND COUNTY OF SWANSEA

- 33.5 Measures which will satisfy the Authority that there will be no access may include the adult machines being located in sight of the bar and staff who will monitor that the machines are not being used by those under 18. Notices and signage may also assist.
- 33.6 In relation to the protection of vulnerable persons applicants may wish to consider the provision of information leaflets / helpline numbers for organisations such as GamCare.
- 33.7 It is recognised that some holders of alcohol licences wish to provide gaming machines in areas not covered by their alcohol licence. This would require an application for a premises licence and it is likely that this would be dealt with as an application for an Adult Gaming Centre premises licence.
- 33.8 The Licensing Authority can decide to grant the application with a smaller number of machines and/or a different category of machines than that applied for. Conditions (other than these) cannot be attached.
- 33.9 The holder of a permit must comply with any Code of Practice issued by the Gambling Commission about the location and operation of the machines.

34.0 Club Gaming Permits

34.1 The Licensing Authority may grant members' clubs and miners' welfare institutes (but not commercial clubs) club gaming permits or club machine permits. These enable premises to provide gaming machines as well as equal chance gaming and games of chance as prescribed in regulations. Equal chance gaming includes games such as poker or bingo where the chances are equally favourable to all participants and players are not competing against a bank. The Licensing Authority will only refuse an application on the grounds that:

- the applicant does not fulfil the requirements for a members' or commercial club or miners' welfare institute and therefore is not entitled to receive the type of permit for which it has applied;
- the applicant's premises are used wholly or mainly by children and/or young persons;
- an offence under the Act or a breach of a permit has been committed by the applicant while providing gaming facilities;
- a permit held by the applicant has been cancelled in the previous ten years; or

THE CITY AND COUNTY OF SWANSEA

- an objection has been lodged by the Gambling Commission or the police.
- 34.2 Club gaming permits allow the provision of no more than three gaming machines. These may be from categories B3A, B4, C or D. Only one B3A machine can be sited as part of this entitlement. The club is permitted to choose the combination of machines on its premises. The Licensing Authority may grant or refuse a permit but it may not attach any conditions to a permit.
- 34.3 If a Member's Club or Miner's Welfare Institute does not wish to have the full range of facilities permitted by a Club Gaming Permit they may apply for a Club Machine Permit. This authorises the holder to have up to three gaming machines of categories B3A, B4, C and D.

35.0 Prize Gaming & Prize Gaming Permits

- 35.1 Gaming is prize gaming if the nature and size of the prize is not determined by the number of people playing or the amount paid for or raised by the gaming. A prize gaming permit is a permit issued by the Authority to authorise the provision of facilities for gaming with prizes on specified premises.
- 35.2 An application for a permit can only be made by a person who occupies or plans to occupy the relevant premises and if the applicant is an individual, they must be aged 18 or over. An application for a permit cannot be made if a premises licence or club gaming permit is in effect for the same premises.
- 35.3 The applicant is expected to set out the types of gaming that is intended to be offered and to demonstrate that they understand the limits to stakes and prizes set out in regulations and that the gaming is offered within the law.
- 35.4 The Licensing Authority may not attach conditions to this type of permit.

36.0 Temporary Use Notices

- 36.1 Temporary use notices (TUN) allow the use of premises for gambling where there is no premises licence but where a gambling operator wishes to use the premises temporarily for providing facilities for gambling. Premises that might be considered suitable for a temporary use notice would include hotels, conference centres and sporting venues.

THE CITY AND COUNTY OF SWANSEA

- 36.2 A temporary use notice may only be given by a person or company holding a relevant operating licence. For example, the holder of a betting operating licence could apply to provide betting facilities at a snooker tournament.
- 36.3 The type of gambling that can be authorised by temporary use notices is prescribed by regulations. The Licensing Authority will consider objecting to notices where it appears that their effect would be to permit regular gambling in a place that could be described as one set of premises.

37.0 Occasional Use Notices

- 37.1 Where there is betting on a track on eight days or less in a calendar year betting may be permitted by an occasional use notice (OUN) without the need for a full premises licence. ***An OUN must be submitted for each day that betting is to take place i.e. 3 consecutive days would require 3 OUN.***
- 37.2 There is no provision for objections to be submitted, provided the notice will not result in betting facilities being available for more than 8 days in a calendar year. The Licensing Authority will however consider the definition of a 'track' and whether the use of OUNs is permitted.

38.0 Registration of Small Society Lotteries

- 38.1 In carrying out its functions in relation to Lotteries the Authority will have regard to the Act, The Guidance and any Regulations issued by the Secretary of State.

39.0 The Licensing Objectives

- 39.1 In exercising its functions under the Act, particularly in relation to premises licences temporary use notices and permits, the Licensing Authority must have regard to the licensing objectives.
- 39.2 **Objective 1** - Preventing gambling from being a source of crime and disorder; being associated with crime and disorder or being used to support crime.
- 39.2.1 The Commission takes a leading role in preventing gambling from being a source of crime.
- 39.2.2 Anyone applying to the Authority for a premises licence will have to hold an operating licence from the Commission before a licence can be issued so the Licensing Authority will not be concerned with the

THE CITY AND COUNTY OF SWANSEA

suitability of an applicant. Where concerns about a person's suitability arise the Licensing Authority will bring those concerns to the attention of the Commission without delay.

39.2.3 The Authority will consider the proposed location of gambling premises in terms of this objective. If an area has particular problems with disorder, organised crime etc, the Authority will consider carefully whether gambling premises are suitable to be located there and whether controls may be appropriate to prevent the premises being associated with or used to support crime. This may include conditions on the premises licence such as the provision of door supervisors.

39.2.4 The Authority will seek to address issues of disorder under the Act. Disorder is intended to mean activity that is more serious and disruptive than nuisance. A disturbance could be considered serious enough to constitute disorder if police assistance was required to deal with it. Another factor the Authority is likely to take into account is how threatening the behaviour was to those who could see or hear it.

39.2.5 The Authority will, when determining applications, consider whether the grant of a Premises Licence will result in an increase in crime and disorder.

39.2.6 Applicants are encouraged to discuss the crime prevention procedures in their premises with the Authority's licensing officers and officers from South Wales Police before making a formal application.

39.2.7 In considering licence applications, the Authority will in particular take into account the following:-

- The design and layout of the premises;
- The training given to staff in crime prevention measures appropriate to those premises;
- Physical security features installed in the premises. This may include matters such as the position of cash registers or the standard of CCTV that is installed;
- Where premises are subject to age restrictions, the procedures in place to conduct age verification checks;
- The likelihood of any violence, public order or policing problem if the licence is granted.

39.3 Objective 2 - Ensuring gambling is conducted in a fair and open way

39.3.1 Generally, the Gambling Commission would not expect Authorities to become concerned with ensuring that gambling is conducted in a fair

THE CITY AND COUNTY OF SWANSEA

and open way, as this will be a matter for either the management of the gambling business and therefore relevant to the Operating Licence, or will be in relation to the suitability and actions of an individual and therefore relevant to the Personal Licence. Both of these licences are the responsibility of the Gambling Commission.

39.3.2 As track operators will not necessarily have an operating licence from the Gambling Commission the Authority may, in certain circumstances, require conditions of licence to ensure that the environment in which betting takes place is suitable.

39.4 Objective 3 - Protecting children and other vulnerable persons from being harmed or exploited by gambling

39.4.1 The Authority has noted The Guidance that this objective means that children and young persons should be prevented from taking part in gambling and should be prevented from entering those gambling premises which are adult only environments. The Authority will therefore consider as suggested in The Guidance, whether specific measures are required at particular premises, regarding this objective.

39.4.2 The Authority is also aware of the Gambling Commission Codes of Practice in relation to specific premises.

39.4.3 It is noted that the Gambling Commission does not seek to define “vulnerable persons” but states that “it will for regulatory purposes assume that this group includes people who gamble more than they want to; people who gamble beyond their means; and people who may not be able to make informed or balanced decisions about gambling due to a mental impairment, alcohol or drugs.” This Authority will consider this licensing objective on a case by case basis.

39.4.4 The Authority will seek to ensure that there are restrictions on advertising for premises so that gambling products are not aimed at children or advertised in such a way that makes them particularly attractive to children.

39.4.5 The Authority will consult with South Wales Police and the Principal Officer for Safeguarding Quality and Performance, Child and Family Services and the Principal Officer for Safeguarding and Wellbeing of the City and County of Swansea on any application that indicates there may be concerns over access for children or vulnerable persons.

THE CITY AND COUNTY OF SWANSEA

- 39.4.6 The Guidance sets out considerations that an operator must take into account in order to protect children and young people from accessing gambling premises.
- 39.4.7 The LCCP prescribe how operators must prevent children from using age restricted gaming or gambling activities, particularly where gaming machines are licensed.
- 39.4.8 The Authority will expect applicants to offer their own measures to meet the licensing objectives in respect of issues such as:
- Proof of age;
 - CCTV;
 - Supervision of entrances/machine areas;
 - Physical separation of areas;
 - Locations of entry/gaming machines;
 - Notices/signage;
 - Specific opening hours;
 - Self-exclusion schemes i.e. when someone asks an operator to refuse to accept their custom to prevent them from gambling;
 - Provision of information leaflets/helpline numbers for organisations such as GamCare.

This list is not mandatory and is not exhaustive. It is merely indicative of example measures.

- 39.4.9 The Authority will judge the individual merits of each application before deciding whether to impose conditions to protect children and vulnerable adults on particular categories of premises. This may include such requirements as:-

- Appropriate signage for adult only areas;
- Supervision of entrances;
- Use of supervisors;
- Segregation of gambling areas from areas frequented by children;
- Supervision of gaming machines in non-adult gambling specific premises.

- 39.4.10 Any conditions attached will be proportionate to and will be:

- Relevant to the need to make the proposed building suitable as a gambling facility;
- Directly related to the premises and type of licence applied for;

THE CITY AND COUNTY OF SWANSEA

- Fairly and reasonably related to the scale and type of premises; and
- Reasonable in all other aspects.

40.0 Local Risk Assessments for Operators

- 40.1 The LCCP require new applicants and operators of existing premises seeking to vary a licence, to assess the local risks to the licensing objectives posed by the provision of gambling facilities at each of their premises. They are also required to have policies, procedures and control measures ***in place*** to address those risks.
- 40.2 Operators are required ***by the Social Responsibility (SR) code*** to make the risk assessment available to the Licensing Authority when an application is submitted for a new premises licence, variation of a premises licence or otherwise on request. ***This will form part of the Licensing Authority's inspection regime and may be requested when officers are investigating complaints. The Licensing Authority would expect the local area risk assessment to be kept on the individual premises and be available for inspection.***
- 40.3 ***The code requires the Licensing Authority to set out matters they expect the operator to take account of in the risk assessment in its statement of policy and this Licensing Authority would recommend that the following matters are considered by operators when carrying out their risk assessment:*** ~~In undertaking their risk assessments, operators should have regard to the following:~~
- The layout of the premises in particular access to the premises by children and vulnerable persons;
 - The location of the premises in particular the proximity to premises/areas where the presence of children/vulnerable persons may be expected e.g. schools, parks, playgrounds, entertainment venues such as cinemas and bowling alleys, shops, cafés, bus stops, premises with alcohol licences, medical centres, care homes, money outlets, treatment centres for addictions, ***other gambling outlets, banks, post offices;***
 - The location of the premises in relation to problems of antisocial behaviour, youth crime, ***graffiti/tagging***, street/underage drinking, disorder, ***drug dealing activities etc;***
 - Incidents of underage gambling;
 - Details relating to self-exclusions;
 - Patterns in gambling e.g. coincide with benefit payments, salary payments;

THE CITY AND COUNTY OF SWANSEA

- **Arrangements for localised exchange of information regarding self-exclusions and gaming trends**

40.4 Other issues that may be considered could include:

- **Matters of faith, including all religious or faith denominations including proximity to churches, mosques, temples or any other place of worship.**

This list is not exhaustive and other relevant factors **not in this list that are identified must** should also be taken into consideration.

41.0 Local Area Profiles

41.1 The current Guidance introduces the concept of local area profiles (LAP) for Authorities as a means of mapping out local areas of concern. There is no requirement for an Authority to have a LAP or if they have a LAP for it to be included in The Policy.

41.2 Where the Authority develops a LAP this will be contained in a separate document and made available in conjunction with The Policy.

42.0 Decision Making

42.1 The powers and duties of the Licensing Authority under the Act may be carried out by the Licensing Committee, by a Sub-Committee or by one or more officers acting under delegated authority.

42.2 It is considered that many of the functions will be largely administrative in nature with no perceived areas of contention. In the interests of efficiency and cost effectiveness these will, for the most part, be carried out by officers.

42.3 Appendix D sets out the recommended delegation of functions and decisions by guidance. The Licensing Authority may, nevertheless, refer any matter to the Licensing Committee or Sub-Committee.

43.0 Appeals Procedure

43.1 Appeal provisions for parties aggrieved by decisions of the Licensing Authority are set out in Sections 206 to 209 of the 2005 Act. Appeals must be made to the Magistrates Court for the area in which the Licensing Authority, which has considered the application, is situated.

43.2 An appeal has to be commenced by giving notice of the appeal by the appellant to; The Clerk to the Justices, Swansea Magistrates Court, Grove Place, Swansea SA1 5DB within a period of 21 days, beginning

THE CITY AND COUNTY OF SWANSEA

with the day on which the appellant was notified by the Licensing Authority of the decision to be appealed against.

43.3 On determining an appeal, the Court may:

- Dismiss the appeal;
- Substitute the decision appealed against with any other decision that could have been made by the Licensing Authority;
- Remit the case to the Licensing Authority to dispose of the appeal in accordance with the direction of the Court;
- Make an order about costs.

44.0 Reasons for Decisions

44.1 In anticipation of such appeals, the Licensing Authority will provide comprehensive reasons for its decisions. The Licensing Authority will address the extent to which decisions have been made with regard to any relevant codes of practice and guidance issued by the Gambling Commission, reasonably consistent with the licensing objectives and in accordance with this Policy Statement.

45.0 Implementing the Determination of the Magistrates' Court

45.1 As soon as the decision of the Magistrates' Court has been notified to all parties, the Council will not delay its implementation and necessary action will be taken forthwith unless ordered by a higher court to suspend such action (for example, as a result of an ongoing judicial review). The Act provides for no other appeal against the determination of the Magistrates' Court.

46.0 Concerns in respect of Licensed Premises

46.1 The Licensing Authority will investigate complaints in respect of licensed premises in relation to matters relating to the licensing objectives for which it has responsibility.

46.2 Where an interested party has made either a valid representation about licensed premises or a valid application for a licence to be reviewed, the Licensing Authority may initially arrange a meeting to address and clarify the issues of concern.

46.3 This process will not override the right of any party to decline to participate in any meeting or mediation process.

THE CITY AND COUNTY OF SWANSEA

47.0 Information Sharing Network - Operators

47.1 The Licensing Authority will encourage and will support local operators to create and maintain an information sharing network to discuss issues of problem gamblers that are identified. This will also be an opportunity for operators to discuss issues with the licensing officers.

48.0 Further Information

For further information about the Gambling Act 2005 or this Gambling Policy please contact the Licensing Division at the following address:

Licensing Division
Housing and Public Protection Services
Directorate of Place
City & County of Swansea
Civic Centre
Oystermouth Road
Swansea
SA1 3SN

Or:

Telephone: 01792 635600
Email: evh.licensing@swansea.gov.uk
Website: www.swansea.gov.uk

Information is also available from:-

Gambling Commission

Victoria Square House
Victoria Square
Birmingham
B2 4BP

Tel: 0121 230 6500
Fax: 0121 237 2236

Email: info@gamblingcommission.gov.uk
Website: www.gamblingcommission.gov.uk

Department for Digital, Culture, Media & Sport ~~Department of Culture Media and Sport~~

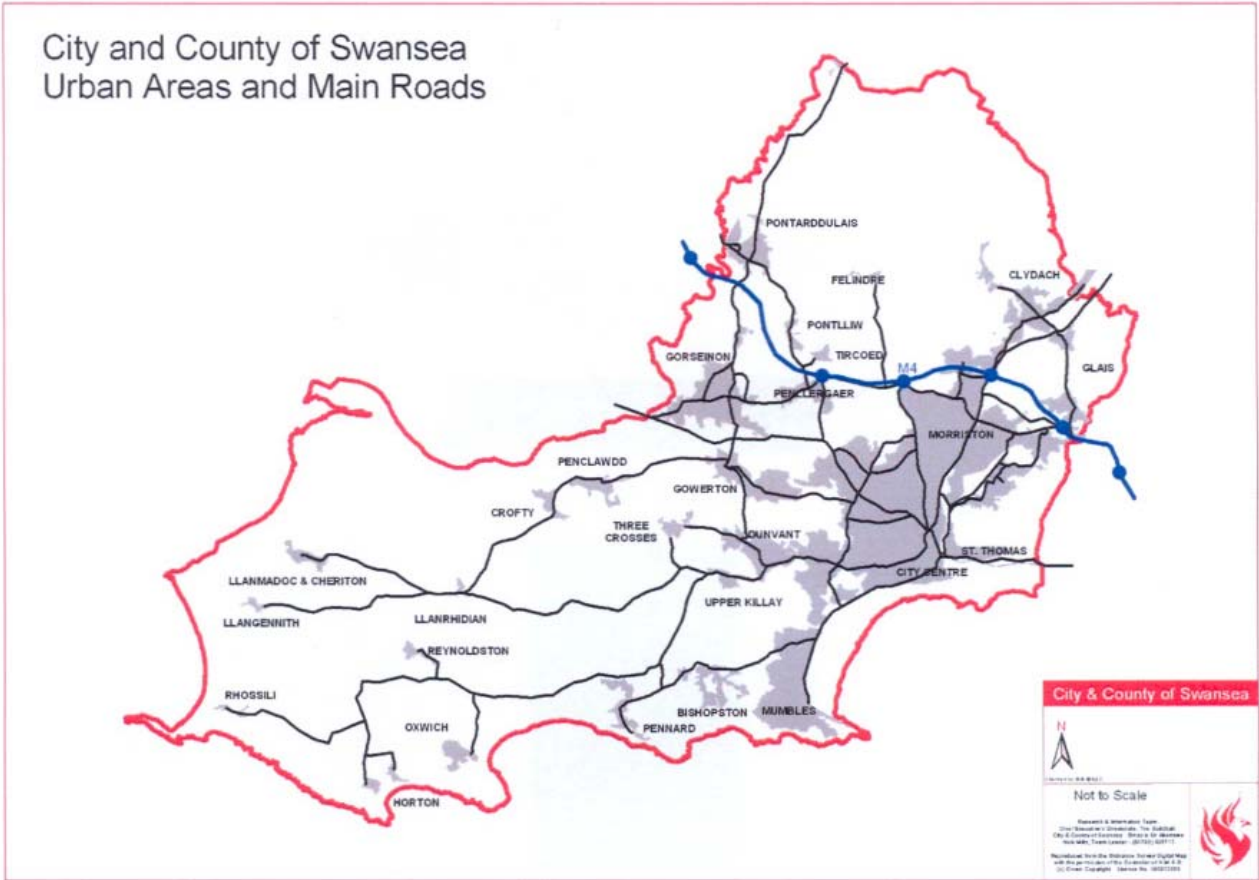
100 Parliament Street ~~2-4 Cockspur Street~~
London
SW1A 2BQ ~~SW1Y 5DH~~

Tel: 020 7211 6200

Email: enquiries@culture.gov.uk
Website: www.culture.gov.uk

THE CITY AND COUNTY OF SWANSEA

APPENDIX A



THE CITY AND COUNTY OF SWANSEA

APPENDIX B - Consultees

The Licensing Authority has consulted the following on the content of this Gambling Policy:-

- Association of British Bookmakers
- British Amusement Catering Trade Association (BACTA)
- Bingo Association
- British Casino Association
- British Beer & Pub Association
- British Greyhound Racing Board
- Casino Operators Association of the UK
- Club & Institute Union
- Gambling Commission GamCare
- Lotteries Council
- Maritime & Coastguard Agency
- Neighbourhood Watch
- Permit Holders
- Premises Licence Holders
- Responsibility in Gambling Trust
- Responsible Authorities:-
 - Chief Officer of Police
 - Licensing Authority
 - Chief Fire Officer
 - HM Revenue & Customs
 - Environmental Health
 - Gambling Commission
 - Planning
 - Child & Family Services
- Licensing Committee
- Elected Members of City and County of Swansea
- Legal Services
- Community Councils
- **Public Health Wales**

THE CITY AND COUNTY OF SWANSEA

APPENDIX C

City and County of Swansea

Small Casino Licence – Principles and Criteria

Principles	Criteria – Benefits/Avoidance of Disbenefits	Importance (Very High/High/Medium)
<p>Any provision that is made for the protection of children and other vulnerable people from harm or exploitation arising from gambling, whether in the proposed casino or the wider community</p>	<ul style="list-style-type: none"> • Commitment to evaluation of social impacts of gambling and ability to evaluate. • Investment in problem gambling schemes/funding for treating programmes/funding to Responsible Gambling Trust • Problem gambling measures; including how the applicant will contribute to education on the risks of gambling, in particular for children and young people. • Demonstrably high level management commitment to social responsibility. • Commitment to staff training on social responsibility issues and recognition of problem gambling. 	<p>Very High</p>

THE CITY AND COUNTY OF SWANSEA

	<ul style="list-style-type: none"> • Operation of self-exclusion schemes/ exclude self-banned individuals from entry. • Responsible marketing/advertising. Who will be targeted? • Proximity of casino to schools, children, places of worship youth and elderly populations. 	
Any provision that is made for preventing gambling from being a source of crime or disorder or being associated with crime or disorder or being used to support crime.	<ul style="list-style-type: none"> • Steps taken to promote safe evening and night time economy. • Provision of CCTV and security measures. • Liaison/consultation with responsible authorities to promote the prevention of crime and disorder objectives under the Gambling Act 2005 and the Licensing Act 2003. 	Very High
	<ul style="list-style-type: none"> • Provision of satisfactory levels of/appropriately qualified and licensed door supervisors. • Liaison with police architectural/crime prevention officers to ensure that where possible opportunities for crime are designed out. 	
Any provision that is made for ensuring that	<ul style="list-style-type: none"> • Provision of separate area/room to allow customers to familiarize 	Very High

THE CITY AND COUNTY OF SWANSEA

	<p>awards) and to achieve career progression.</p> <ul style="list-style-type: none"> • Provision of support to education and training establishments in the area; <p>Regeneration:</p> <ul style="list-style-type: none"> • The extent to which the proposals will act as a direct catalyst for complementary development. 	
	<ul style="list-style-type: none"> • The extent to which the development would create an all year round, diverse tourism/leisure economy such as permanent employment, and generation of further investments. • Steps taken to broaden the visitor demographic. • Steps taken to promote a vibrant night time economy. • The extent to which the development increases the provision of high quality, leisure services/cultural amenities (such as 4*/5* hotel, conference facilities etc.) • Positive multiplier effects on business community. • Proposals for making supply chain and sourcing opportunities available to organizations and individuals in the area. 	

THE CITY AND COUNTY OF SWANSEA

	<ul style="list-style-type: none"> Proposals for engaging with local community partnerships, and for contributing financially or otherwise to community services and facilities; Compatibility with regeneration/planning strategies. Commitment to the periodic evaluation of the economic impact on Swansea of the casino. 	
Design and location of the proposed development	<p>Design:</p> <ul style="list-style-type: none"> Compatibility with the Council's development plan and supporting planning strategies. Degree of integration with existing movement routes, buildings, uses, landscapes, open spaces and strategic car parks. Provision of other complementary facilities to create a mixed use development and a vibrant destination. Impact on existing adjacent developments, avoiding adverse impact to neighboring occupiers. Attainment of high standards of design and buildings of significant architectural merit. 	Very High
	<ul style="list-style-type: none"> Address issues of security and crime 	

THE CITY AND COUNTY OF SWANSEA

	<p>prevention in the design of buildings and routes around them.</p> <ul style="list-style-type: none"> • Accessibility by modes of travel other than the private car. • Promote resource efficient buildings and layouts using sustainable design and construction techniques in accordance with BREEAM criteria set by the Welsh Assembly Government. • Preserve any listed buildings (and their settings) and enhance conservation areas. • Community engagement – proposals for consultations and involvement in design. <p>Location:</p> <ul style="list-style-type: none"> • Application considered on its own merit, but local preference for a city centre or waterfront brownfield location to deliver regeneration objectives. 	<p>Very High</p>
	<ul style="list-style-type: none"> • Extent to which the proposed location is less or more likely to lead to the loss of an existing leisure facility. • Impact on neighbouring businesses and residents 	

THE CITY AND COUNTY OF SWANSEA

	<p>(during construction and once in operation).</p> <ul style="list-style-type: none"> • Extent to which proposed location will maximize the number of new visitors to Swansea. 	
Range and nature of non gambling facilities to be offered as part of the proposed development.	<ul style="list-style-type: none"> • The range and complementary nature of other ancillary facilities offered within and outside the casino development. 	High
Any financial and other contributions	<ul style="list-style-type: none"> • Confirm amount of financial contributions offered and on what basis they will be paid (e.g. one off payment, annual index linked contributions in perpetuity, a percentage of the Gross Gaming Yield etc.). 	Very High
	<ul style="list-style-type: none"> • Confirm financial payments made for late or non delivery of operations or benefits. • If proposal involves loss of existing facilities, will such facilities be replaced and where? • Direct cultural benefits such as showcasing local art/artists. • Support for local supporting/cultural/charitable schemes. • Communication, consultation and 	Medium

THE CITY AND COUNTY OF SWANSEA

	<p>partnership working with local Community Partnerships, in particular Communities First.</p> <ul style="list-style-type: none"> • Contributing financially to additional community services and facilities. • Other benefits the applicant proposes to provide not elsewhere described. 	
Deliverability	<ul style="list-style-type: none"> • Status of approved (e.g. Planning), signed development agreement, 3rd party guarantees. 	Very High
	<ul style="list-style-type: none"> • Timescales for implementation and completion of development and operations. • Timescale, duration and form taken for the delivery of proposed benefits. • Developer/Operator – financial status, track record here and abroad, clear and detailed business plan of proposals. • Evidence of consultation with Statutory Bodies and Responsible Authorities, to ensure due compliance with any and all Statutory Regulation and Legislation. 	

THE CITY AND COUNTY OF SWANSEA

APPENDIX D – Table of Delegations of Licensing Functions

MATTER TO BE DEALT WITH	FULL COUNCIL	LICENSING SUB-COMMITTEE	OFFICERS
Three year Gambling Policy	X		
Policy not to permit casinos	X		
Fee Setting - when appropriate			X (to be approved by the Executive)
Application for premises licences		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Application for a variation to a licence		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Application for a transfer of a licence		Where representations have been received from the Commission	Where no representations received from the Commission
Application for a provisional statement		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Review of a premises licence		X	
Application for club gaming /club machine permits		Where representations have been received and not withdrawn	Where no representations received/ representations have been withdrawn
Cancellation of club gaming/ club machine permits		X	

THE CITY AND COUNTY OF SWANSEA

Applications for other permits			X
Cancellation of licensed premises gaming machine permits			X
Consideration of temporary use notice			X
Decision to give a counter notice to a temporary use notice		X	

X Indicates the lowest level to which decisions can be delegated

THE CITY AND COUNTY OF SWANSEA

Agenda Item 16.



Report of the Cabinet Member for Homes and Energy

Cabinet – 20 September 2018

Contract Award Report for the Framework for the Refurbishment of Kitchens and Bathrooms

Purpose:	The purpose of this report is to obtain approval to establish a framework agreement for the refurbishment of kitchens and bathrooms. An OJEU compliant tender process has been followed to engage four contractors to be appointed onto the framework with an allocation of the properties in the ratio of 40%:20%:20%:20%
Policy Framework:	Council Constitution/Contract Procedure Rules
Consultation:	Finance, Legal, Access to Services.
Recommendation(s):	It is recommended that Cabinet: 1) Authorises the award of the contracts, as recommended in this report. 2) Delegates authority to the Director of Place in conjunction with the Chief Legal Officer and the Chief Finance Officer, to enter into call off contracts under the framework with the successful tenderers, without the need for further approval from Cabinet.
Report Author:	Jeff Pope
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar

1. Background

- 1.1 As part of the Council's objective to achieve the Welsh Housing Quality Standards, provision has been made within the forward Business Plan for the renewal of kitchens and bathrooms to all relevant houses within the HRA portfolio.

1.2 The proposed framework agreements will be initially for a period of two and a half years, with the Authority retaining the option to extend for a further period of one year.

2.0 Tender Process

2.1 The tender was placed on the eTender Wales website on 28th March 2018 with the objective of receiving tenders from Contractors' who wished to be appointed on to the Authority's Contractor Framework for Kitchen and Bathroom Refurbishments.

2.2 Proposed tenderers were informed that tender submissions were to be scored upon a technical expertise (quality) of 30% of the available marks and a cost basis of 70% of the available marks.

2.3 At the end of the tender period, tenders were received from twelve contractors. For the purpose of this report, these will be referred to as follows:

- Contractor A
- Contractor B
- Contractor C
- Contractor D
- Contractor E
- Contractor F
- Contractor G
- Contractor H
- Contractor I
- Contractor J
- Contractor K
- Contractor L

3.0 Tender Scoring

3.1 Contractors K and L were disqualified as the contractors had not returned all the priced documents in accordance with the tender instructions. The remaining ten contractors were then assessed via their completed Supplier Suitability Questionnaires which formed part of the tender document. During this process, Contractors B and J failed the financial assessment contained within the SSQ (**Appendix A**), which left eight tenders to be evaluated.

3.2 Tenders were evaluated using a matrix based on:

Award Criteria	Scoring
Price	2800 points
Project Delivery Method	140 points
Management & Staff Details	140 points
Waste Management Plans	100 points
Recruitment of Labour	180 points
Current Workload and Capacity	180 points

Zero Defects	180 points
Tenant Liaison	180 points
Targeted Recruitment and Training	100 points
TOTAL	4000 points

3.3 Tenders from the remaining eight suppliers were scored upon a technical expertise (quality) of 30% of the available marks and a cost basis of 70% of the available marks. (**Appendix B**). The results are shown below in score order:

Contractor	Score
Contractor A	3668
Contractor C	3406
Contractor D	3278
Contractor F	3186
Contractor E	3130
Contractor G	2727
Contractor I	2530
Contractor H	2451

3.4 The Tender Evaluation Panel recommends that the following contractors will be appointed on to the Authority's Contractor Framework for the Refurbishment of Kitchens and Bathrooms:

Contractor A	Allocation of 40% of properties
Contractor C	Allocation of 20% of properties
Contractor D	Allocation of 20% of properties
Contractor F	Allocation of 20% of properties

3.5 There are 5,500 properties left to finish the Kitchen and Bathroom programme, therefore the 40% allocation for Contractor A is equivalent to approximately 2,200 properties and the 20% allocations for the other three Contractors is equivalent to approximately 1,100 properties each.

3.6 Further information regarding the tender evaluation process can be seen in **Appendix C**.

4.0 Equality and Engagement Implications

4.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

- 4.2 A screening form was completed, **Appendix D** which indicated that a full EIA was not required as the process will take into account disabled people and young children. The procurement process to residents, whatever contractor is chosen, would have the same outcome.

5.0 Financial Implications

- 5.1 The budget for the works is included within the HRA and will be fully funded accordingly.

6.0 Legal Implications

- 6.1 The Responsible Officer is satisfied that the tender process has been undertaken in accordance with prevailing Contract Procedure Rules and Public Contracts Regulations and recommends approval in accordance with those Rules.
- 6.2 In accordance with the Public Contract Regulations, all of the information required to be published was provided to the tenderers within the Notice, Invitations to Tender and tender documents.
- 6.3 The Authority was named in the Contract Notice as a Contracting Authority having the ability to call off from the framework.
- 6.4 The contract will be awarded applying the Terms and Conditions of the NEC3 Engineering and Construction Short Contract (June 2005) as Amended including amendments to the Contract resulting from the Local Democracy, Economic Development and Construction Act 2009

Background Papers: None.

Appendices:

Appendix A - Kitchens And Bathrooms Retender 2018
Appendix B - Analysis Of Tender Returns For Kitchen And Bathroom Refurbishments 2018
Appendix C - Tender Evaluation Report
Appendix D - EIA Screening Form

KITCHENS AND BATHROOMS RETENDER 2018

Estimated Contract Value	£50,000,000.00
Contract Period	2.5 Years
Value per Year	£20,000,000.00
20% of Value	£4,000,000.00
40% of Value	£8,000,000.00

CONTRACTOR	C	B	E	K	J	L
Turnover - Year 1	£14,932,076.00	£5,410,910.00	£11,393,257.00	£8,900,006.00	£4,017,856.00	£1,675,614.00
Turnover - Year 2	£10,168,737.00	£7,060,629.00	£9,203,558.00	£11,411,916.00	£3,627,413.00	£874,655.00
Average Turnover	£12,550,406.50	£6,235,769.50	£10,298,407.50	£10,155,961.00	£3,822,634.50	£1,275,134.50
Ratio if awarded 20%	3.14	1.56	2.57	2.54	0.96	0.32
Ratio if awarded 40%	1.57	0.78	1.29	1.27	0.48	0.16

FAILED

FAILED

Question	Contractor A	Contractor B	Contractor C	Contractor D	Contractor E	Contractor F	Contractor G	Contractor H	Contractor I	Contractor J	Contractor K	Contractor L
A3.1	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(a)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(b)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(c)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(d)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(e)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(f)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(g)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(h)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(i)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(j)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(k)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(l)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(m)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(n)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
B1.1(o)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
C1.1	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
D1.1	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
D1.2	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
D1.3	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
D1.4	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
D1.5	1.0:1	1.84:1	1.38:1	1.11:1	1.8:1	1.78:1	1.02:1	1.56:1	1.72:1	3.0:1	2.0:1	3.0:1
D1.6 - yr1	£3,025,429.00	£543,631.00	£1,201,348.00	£2,220,000.00	£1,290,757.00	£35,570,000.00	£139,954,000.00	£323,364,000.00	£11,200,000.00	£970,300.00	£1,775,980.00	£51,737.00
D1.6 - yr2	£3,892,571.00	£514,890.00	£1,146,391.00	£2,321,000.00	£1,171,974.00	£27,631,000.00	£136,295,000.00	£322,332,000.00	£5,400,000.00	£823,328.00	£1,703,657.00	£5,986.00
D1.7	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
D1.8 - yr1	£32,814,934.00	£5,410,910.00	£14,932,076.00	£61,141,000.00	£11,393,257.00	£122,473,000.00	£473,000,000.00	£802,679,000.00	£85,900,000.00	£4,017,856.00	£8,900,006.00	£1,675,614.00
D1.8 - yr2	£32,619,722.00	£7,060,629.00	£10,168,737.00	£69,009,000.00	£9,203,558.00	£151,827,000.00	£433,000,000.00	£832,427,000.00	£89,900,000.00	£3,627,413.00	£11,411,916.00	£874,655.00
D1.8 Average	£32,717,328.00	£6,235,769.50	£12,550,406.50	£65,075,000.00	£10,298,407.50	£137,150,000.00	£453,000,000.00	£817,553,000.00	£87,900,000.00	£3,822,634.50	£10,155,961.00	£1,275,134.50
Ratio if 20%	8.18	1.56	3.14	16.27	2.57	34.29	113.25	204.39	21.98	0.96	2.54	0.32
Ratio if 40%	4.09	0.78	1.57	8.13	1.29	17.14	56.63	102.19	10.99	0.48	1.27	0.16
Compelling Reason	N/A	None	None	N/A	None	N/A	N/A	N/A	N/A	None	None	None
D1.9	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
E1.1	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
E2.1	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
F2.1	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
F2.2	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
F2.3	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
F2.4	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
G1.1	FAIL*	Pass	Pass	Pass	Pass	FAIL*	Pass	FAIL*	Pass	Pass	Pass	Pass
G1.2	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
H1.1	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
H1.2	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
I1.1(a)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
I1.1(b)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
I1.1(c)	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
I1.2	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
I1.3	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
I1.4	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
J1.1	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass
J1.2	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass	Pass

* - Enforcement notices checked by H&S Officers and confirmation received that mitigating measures acceptable to include this contractor in the tender assessment

Financial Submission

Package Quotations	£4,877,872.15	£5,299,999.48	£5,410,140.15	£5,458,780.90	£5,680,372.20	£5,717,398.55	£6,240,520.00	£6,586,875.40	£6,960,173.38	£7,326,761.00	Not submitted	Not submitted
Schedule of Rates	£2,422,215.80	£2,649,084.75	£2,566,540.75	£2,835,938.55	£2,645,769.10	£2,609,776.91	£3,083,201.12	£3,633,662.84	£3,394,380.61	£3,257,227.50	£5,378,533.30	£3,153,907.50
TOTAL	£7,300,087.95	£7,949,084.23	£7,976,680.90	£8,294,719.45	£8,326,141.30	£8,327,175.46	£9,323,721.12	£10,220,538.24	£10,354,553.99	£10,583,988.50	DISQUALIFIED	DISQUALIFIED

Position	1	2	3	4	5	6	7	8
£ above lowest	£0.00	£676,592.95	£994,631.50	£1,026,053.35	£1,027,087.51	£2,023,633.17	£2,920,450.29	£3,054,466.04
%age above lowest	0.00%	9.27%	13.62%	14.06%	14.07%	27.72%	40.01%	41.84%
Reduction in Score	0	260	381	394	394	776	1120	1172
Score	2800	2540	2419	2406	2406	2024	1680	1628

QUALITY ASSESSMENT

Q1	84	84	84	91	84	70	77	84				
Q2	98	105	98	84	91	77	56	91				
Q3	75	80	70	60	75	90	95	80				
Q4	153	108	126	126	99	117	108	153				
Q5	117	108	108	63	135	72	99	126				
Q6	144	153	135	108	108	99	135	144				
Q7	117	153	153	117	108	108	126	144				
Q8	80	75	85	75	80	70	75	80				
Score	868	0	866	859	724	780	703	771	902	0	0	0
TOTAL	3668	0	3406	3278	3130	3186	2727	2451	2530	0	0	0

= Adjusted following arithmetic check



City and County of Swansea
Dinas a Sir Abertawe

TENDER EVALUATION REPORT
for
THE ESTABLISHMENT OF A CONTRACTOR FRAMEWORK
FOR THE REFURBISHMENT OF KITCHENS AND
BATHROOMS.
31ST JULY 2018

Tender Evaluation Panel

Jayne James	Finance
Caritas Adere	Legal, Democratic Services & Business Intelligence
James Beynon	Commercial Services
Jeff Pope	Corporate Building & Property Services

1.0 Introduction

- 1.1 In order to assist the Authority's current and future HRA Capital Programme in support of the achievement of the Welsh Housing Quality Standards, it is necessary to establish a new Framework Agreement for the Refurbishment of approximately 7,000 Kitchens and Bathrooms.
- 1.2 The Framework will consist of four contractors. The arrangement is for a term of two and a half years, with an option to extend for up to a further one year.
- 1.3 The priced tender was based upon a specimen project of 500 kitchen and bathroom refurbishments. The highest scoring contractor will be awarded 40% of the properties in the refurbishment programme, the second highest scoring contractor being awarded 20%, the third highest scoring contractor being awarded 20% and the fourth highest scoring contractor being awarded 20%, subject to those contractors having the necessary capacity to undertake the works.
- 1.4 It is proposed that, subject to Cabinet approval, all projects falling under this Framework can be awarded by the Responsible Officer via delegated powers.
- 1.5 Within the tender documents it is made clear that the Authority does not guarantee work to any firms.
- 1.6 The responsible Officer is Nigel Williams, Head of Corporate Building Services.

2.0 Procurement Process

- 2.1 The contract was placed on the eTenderWales website on 28th March 2018.
- 2.2 Proposed tenderers were informed that tender submissions were to be scored upon a technical expertise (quality) of 30% of the available marks and a cost basis of 70% of the available marks.

3.0 Scoring Criteria

- 3.1 To accurately assess each submission a weighted scoring matrix for the process was required as shown within **Appendix A**.
- 3.2 Submissions were to be initially assessed in conjunction with an SSQ which was included with the contract documents & a financial appraisal.
- 3.3 All submissions passing the SSQ & meeting the financial criteria were scored based upon a technical expertise (quality) and cost basis weighted on a 30:70 index in accordance with the tender documents.

4.0 Tender Process and Analysis

- 4.1 The tender process was carried out via the etenderWales portal, and all completed Tender Documents were to be submitted by 27th April 2018.
- 4.2 During the tender process 51 contractors expressed interest in tendering via the etenderWales portal site.
- 4.3 As a result of requests from contractors tendering for the contract for extensions to the tender period & a prolonged investigation of whether a TUPE arrangement would be relevant for contractors who are currently engaged on the Kitchens & Bathrooms Framework and being unsuccessful in this new contract, the completion date was extended on numerous occasions up until the 22nd June 2018.
- 4.4 At the extended closing date of 22nd June 2018 tender submissions were received from the following twelve contractors:

Contractor A	£7,310,199.95
Contractor B	£7,949,084.23
Contractor C	£7,979,161.30
Contractor D	£8,294,782.08
Contractor E	£8,326,141.30
Contractor F	£8,327,240.14
Contractor G	£9,323,721.12
Contractor H	£10,220,538.24
Contractor I.	£10,354,553.99
Contractor J	£10,583,988.50
Contractor K	Disqualified
Contractor L	Disqualified

- 4.5 The tenders were opened via the eTenderWales portal by the Commercial Services Department in compliance with Contract Procedure Rules.
- 4.6 The tenders received from both Contractors K and L were disqualified as they only included the priced schedule of rates & failed to include the priced package quotations.
- 4.7 During the SSQ process which contained a financial appraisal it was identified that both Contractors B & J failed to meet the specified financial criteria specified in the tender documents of having a turnover of at least twice the determined value of the allocation of works. Both of these tenders were then removed from further consideration.
- 4.8 The remaining submissions were evaluated by Officers from Corporate Building & Property Services, and the Beyond Bricks and Mortar Team. In addition the four highest point scoring contractors were also checked by the Finance department to ensure that the financial information submitted with their tenders was accurate.
- 4.9 Marks were awarded against each response received in the Quality Assessment based against a set of questions contained within the Tender Document (see the Tender Evaluation Criteria in Appendix A).
- 4.10 In the Financial Assessment full marks were awarded for the lowest priced submission. For other submissions, marks would be lost in proportion to the deviation from the lowest priced submission as per the example shown in the Tender Documents. Tender prices for a specimen project of 500 kitchens and bathrooms were received.
- 4.11 During the process of arithmetically checking the financial tender submissions, errors were discovered in submissions from Contractors A, C, D and F. As agreed with Procurement the errors were communicated to the relevant contractors by e-mail who were asked to re-submit the affected documents (if applicable). Following correction of the arithmetic errors contained within the submissions, the amended tender sums are as follows:

Contractor A	£7,300,087.95
Contractor C	£7,976,680.90
Contractor D	£8,294,719.45
Contractor E	£8,326,141.30
Contractor F	£8,327,175.46
Contractor G	£9,323,721.12
Contractor H	£10,220,538.24
Contractor I	£10,354,553.99

- 4.12 As previously stated in this report, the tenders were assessed on a 70%:30% cost and quality basis. The Contractors' scoring for the Quality element of the tender submission is as follows:

Contractor I	902 points
Contractor A	868 points
Contractor C	866 points
Contractor D	859 points
Contractor F	780 points
Contractor H	771 points
Contractor E	724 points
Contractor G	703 points

- 4.13 Following the application of the formula for the financial submission and the score added to the quality score, the final outcome of the tender submissions is as follows:

Contractor A	3668 points
Contractor C	3406 points
Contractor D	3278 points
Contractor F	3186 points
Contractor E	3130 points
Contractor G	2727 points
Contractor I	2530 points
Contractor H	2451 points

- 4.14 The initial financial appraisal was conducted using the 40% allocation for all contractors to ensure they were financially secure if they were awarded 40% of the works. The financial appraisal identified a possible issue with Contractor C's ability to deliver 40% of the contract. However, further due diligence checks have been carried out by finance and finance are satisfied that they meet the threshold of financial viability and can be considered to deliver 20% of this contract.

This is a framework arrangement. If Contractor C became financially unstable and could not undertake the work then the work would be offered to the other framework contractors.

The Responsible Officer is satisfied that Contractor C are financially secure at present to carry out the 20% allocation of works that they have been appointed for.

5.0 Financial Implications

- 5.1 There is an approved budget for HRA Kitchen and Bathroom renewal for 2018-19 of £26,801,000 and ongoing budgets for the following two years of £26,052.00 in 2019-20, £17,434.000 in 2020-21

6.0 Legal and Procurement Implications

- 6.1 The Responsible Officer is satisfied that the tender process has been undertaken in accordance with prevailing Contract Procedure Rules and Public Contracts Regulations and recommends approval in accordance with those Rules.
- 6.2 The contract will be awarded applying the Terms and Conditions of the NEC3 Engineering and Construction Short Contract (June 2005) as Amended including amendments to the Contract resulting from the Local Democracy, Economic Development and Construction Act 2009.

7.0 Recommendation

- 7.1 The Tender Evaluation Panel recommends that the following contractors will be appointed on to the Authority's Contractor Framework for the Refurbishment of Kitchens and Bathrooms:

Contractor A	Allocation of 40% of properties
Contractor C	Allocation of 20% of properties
Contractor D	Allocation of 20% of properties
Contractor F	Allocation of 20% of properties

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: Corporate Building Services

Directorate: Place

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(b) Please name and describe below

Establishing a framework agreement for the refurbishment of
Kitchen and Bathrooms

Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery	Indirect front line service delivery	Indirect back room service delivery
<input checked="" type="checkbox"/> (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
<input type="checkbox"/> (H)	<input type="checkbox"/> (M)	<input type="checkbox"/> (M)	<input checked="" 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"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Any other age group (18+) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Q4 HAVE YOU / WILL YOU UNDERTAKE ANY PUBLIC CONSULTATION AND ENGAGEMENT RELATING TO THE INITIATIVE?

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 Page 545

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 <input checked="" type="checkbox"/> (L)
---	---	---

(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 <input type="checkbox"/> (M)	Low risk <input checked="" type="checkbox"/> (L)
---	---	---

Q6 Will this initiative have an impact (however minor) on any other Council service?

Yes No **If yes, please provide details below**

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 → 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). 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.

A full EIA was not required as the process will take into account disabled people and young children. The procurement process to residents, whatever contractor is chosen, would have the same outcome.

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.

Screening completed by:
Name: Gordon Rees
Job title: Group Leader, Capital
Date: 31/08/2018
Approval by Head of Service:
Name: Nigel Williams
Position: Interim Head of Corporate Building Services
Date: 31/08/2018

Agenda Item 17.



Report of the Cabinet Member for Homes and Energy

Cabinet – 20 September 2018

Contract Award Report : Framework of Contractors for Housing Renewal and Adaptation Works

Purpose:	To provide details of the procurement of a Framework of Contractors for Housing Renewal and Adaptation works, and to seek approval to appoint selected suppliers into a Framework Agreement.
Policy Framework:	1. Private Sector Housing Renewal and Disabled Adaptations: Policy to Provide Assistance 2017-2022. 2. Contract Procedure Rules.
Consultation:	Legal, Finance, Access to Services.
Recommendation(s):	It is recommended that: 1. The suppliers listed in Appendix 1 are appointed to the Framework for the three lots listed.
Report Author:	Darren Williams
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Catherine Window

1.0 Introduction

- 1.1 A procurement process has been undertaken to establish a Framework of Contractors for Housing Renewals and Adaptation works.
- 1.2 The indicative annual budget for the framework is £4.7 million which is part of the General Fund DFG and Housing renewals annual capital budget.

- 1.3 Individual framework jobs allocated to suppliers will range between £5,000 to £36,000 in value.

2.0 Background

- 2.1 The Housing Renewal and Adaptations service needs to procure a framework of contractors to undertake housing adaptation and repair grant/ loan works to assist elderly and disabled residents to remain living independently within their own homes.

- 2.2 Corporate Building and Property Services have previously determined that this work does not fall within the definition of core business and therefore external suppliers need to be procured through a framework in accordance with Contract Procedure Rules.

- 2.3 The framework consists of three separate lots of work that consist of :
Lot A Disabled Facilities Adaptations primarily bathroom conversions with associated minor builders work, typical values £5,000 to £7,500.

Lot B Disabled Facilities Adaptations primarily large domestic alterations including extensions, ramps, and attic conversions, maximum individual project value £36,000.

Lot C House Renovation Works including repair or renewal of roof, rendering, structural repairs, damp proofing, windows, doors and sundry repair works, maximum individual project value £30,000.

- 2.4 The suppliers selected for each Lot of the framework will be allocated schemes in rotation. The framework will also have a reserve list for each Lot to replace poor performing providers , and will also be used to allocate additional works within the Lot at times of high output, where framework suppliers are at full capacity and unable to take on further work.
- 2.5 The period of operation of this framework will be for an initial period of 2 years, with an option to extend up to a further 2 years.

3.0 Procurement process

- 3.1 The Council's intention was to enter into a framework agreement with a number of suppliers :

Lot A : 12 suppliers, 8 reserve.

Lot B : 15 suppliers, 10 reserve.

Lot C : 7 suppliers, 3 reserve.

- 3.2 The tender was advertised through Sell2Wales.
- 3.3 The award criteria used for this process are tenders are evaluated in terms of quality only, with cost being determined by a pre-priced Housing Grants schedule

of rates.

- 3.4 The 'open' procedure was selected.
- 3.5 The Invitation to tender (ITT) was issued on 19th April 2018 via the eTenderWales Portal.
- 3.6 Thirty six suppliers in total submitted tenders, twenty eight for Lot A, twenty five for Lot B, thirteen suppliers for Lot C, with some suppliers tendering for more than one lot, returned by the deadline date of 24th May 2018.
- 3.7 The tenders were opened by Commercial Services in accordance with Contract Procedure Rules, with one contractor disqualified at this stage, Contractor 3 as they submitted a tender after the submission deadline.
- 3.8 Tenders were evaluated by five officers of the Council's Housing Renewal and Adaptations service with support from an officer of the Commercial Services Department.
- 3.9 Tender evaluation was undertaken in accordance with the criteria set out in the Invitation to Tender documents as a two stage process.
- 3.10 At stage one of the process; the Council undertook a suitability assessment. All tenderers met the minimum standard and proceeded to stage two of the process.
- 3.11 Stage two of the process was the tender assessment stage, the award criteria 100% quality, nil % price, the suppliers working to the Council's pre-priced Housing Grants schedule of rates.
- 3.12 The quality evaluation ensured tenderers were able to demonstrate a minimum understanding of key requirements. The Quality evaluation was based on the assessment of eight method statement questions with appropriate weightings as follows :

Contract Implementation –	35%
Organisation and Support Structure -	10%
Sub-contracting -	10%
Management Reporting & Performance -	10%
Protection of property & furnishings -	10%
Health and Safety and maintenance of facilities -	10%
Customer Service -	10%
Emergency Call out -	5%
- 3.13 The list of suppliers selected for each Lot, and reserves are listed in Appendix 1.
- 3.14 The scores for suppliers for each lot are detailed in Appendix 2.
- 3.15 There were no qualifications in the tenders returned.

4.0 Equality and Engagement Implications

- 4.1 The Access to Services Team has confirmed that an Equality Impact Assessment (EIA) is not required for the purposes of this report, following review of an Equality Impact Assessment screening assessment completed by the service provider.

5.0 Financial Implications

- 5.1 Framework Lot works are funded by General Fund and Housing Revenue Account (HRA) as detailed in the Disabled Facilities and Improvement Grant programme 2018-19, and draft programme 2019-20, approved by Cabinet on the 19th April 2018.

6.0 IT/Systems Implications

None

7.0 Legal Implications

- 7.1 The Responsible Officer is satisfied that the tender process has been undertaken in compliance with the Council's Contract Procedure Rules and European procurement legislation as appropriate.
- 7.2 The framework Lot works are within housing grant / loan assistance schemes in line with local authority powers to provide assistance, contained in the Regulatory Reform (Housing Assistance) (England and Wales) Order 2002 and the Councils published Policy.
- 7.3 A framework agreement will be prepared by the Head of Legal, Democratic Services and Business Intelligence and entered into with the successful tenderers.
- 7.4 The successful tenderers on allocation of framework Lot works on rotation, will enter into a building contract with the Grant / Loan applicant for each job.

Background Papers: None

Appendices:

- Appendix 1 : Selected suppliers for framework lots.
Appendix 2 : Suppliers evaluation scores.

Selected suppliers for framework lots.

LOT A

1. Contractor 21
2. Contractor 10
3. Contractor 20
4. Contractor 23
5. Contractor 12
6. Contractor 16
7. Contractor 8
8. Contractor 6
9. Contractor 18
10. Contractor 24
11. Contractor 31
12. Contractor 29

Reserves :

1. Contractor 30
2. Contractor 32
3. Contractor 34
4. Contractor 35
5. Contractor 13
6. Contractor 11
7. Contractor 1
8. Contractor 5

LOT B

1. Contractor 21
2. Contractor 8
3. Contractor 23
4. Contractor 12
5. Contractor 16
6. Contractor 6
7. Contractor 34
8. Contractor 29
9. Contractor 30
10. Contractor 35
11. Contractor 1
12. Contractor 4
13. Contractor 15
14. Contractor 19
15. Contractor 22

Reserves :

- 1 Contractor 7
2. Contractor 14
3. Contractor 36
4. Contractor 25
5. Contractor 17
6. Contractor 26
7. Contractor 27
8. Contractor 33
9. Contractor 2

LOT C

1. Contractor 21
2. Contractor 20
3. Contractor 12
4. Contractor 28
5. Contractor 34
6. Contractor 35
7. Contractor 15

Reserves :

1. Contractor 19
2. Contractor 29
3. Contractor 33

Suppliers evaluation scores.

Lot A

Contractor 21	78
Contractor 10	78
Contractor 20	77
Contractor 23	77
Contractor 12	76
Contractor 16	76
Contractor 8	75
Contractor 6	69
Contractor 18	67
Contractor 24	67
Contractor 31	67
Contractor 29	66
Contractor 30	64
Contractor 32	64
Contractor 34	64
Contractor 35	63
Contractor 13	63
Contractor 11	61
Contractor 1	58
Contractor 5	55

Lot B

Contractor 21	74
Contractor 8	73
Contractor 23	71
Contractor 12	68
Contractor 20	68
Contractor 6	67
Contractor 34	64
Contractor 29	60
Contractor 30	60
Contractor 35	60
Contractor 1	58
Contractor 4	56
Contractor 15	52
Contractor 19	49
Contractor 22	49
Contractor 7	48
Contractor 14	47
Contractor 36	47
Contractor 25	44
Contractor 17	44
Contractor 26	43
Contractor 27	41
Contractor 33	36

Contractor 2	30
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Lot C

Contractor 21	85
Contractor 20	78
Contractor 12	76
Contractor 28	71
Contractor 34	66
Contractor 35	63
Contractor 15	60
Contractor 19	58
Contractor 29	58
Contractor 33	51

Agenda Item 18.



Report of the Cabinet Member for Environment & Infrastructure Management

Cabinet – 20 September 2018

Financial Procedure Rule 7 Active Travel Fund Grant 2018/19

Purpose:	To confirm the outcome of the bid for Active Travel Fund (ATF) Grant and seek approval for expenditure on the proposed schemes and projects in 2018/19.
Policy Framework:	Joint Transport Plan for South West Wales (2015-2020); Active Travel (Wales) Act (2014).
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that: 1) the projects, together with their financial implications, are approved and included in the 2018/19 capital programme.
Report Author:	Ben George
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar

1. Introduction

- 1.1 A funding bid for the Active Travel Fund (ATF) was submitted to the Welsh Government on 13th July 2018 in accordance with guidance from the Welsh Government.
- 1.2 The Active Travel Fund is a £60million funding pot, which will be allocated over 3-years (2018/19 to 2020/21). The guidance stated that from this total fund there was £10million available for 2018/19, which was to be split between two categories: 'Strategic Routes' (£4million) and 'Local Routes' (£6million).

- 1.3 The ATF is to be used for the delivery of Active Travel infrastructure in support of the Active Travel (Wales) Act (2013). A key requirement of the ATF is that the proposed projects be included in the Council's integrated Network Map. The preparation of this map is a mandatory requirement arising from the Active Travel (Wales) Act and sets out the Council's proposed active travel network to be delivered over the next 15 years.
- 1.4 This funding is available to all Welsh Local Authorities. The Welsh Government elected not to set a maximum value for each scheme, but rather suggested that bids in excess of £1.5million would be considered only in exceptional circumstances. Whilst match funding is not a requirement of the funding bids, it was made clear that those schemes that benefited from match funding would be more likely to receive an ATF allocation.
- 1.5 Despite the late invitation to bid for funding in 2018/19, the terms of the ATF require the schemes to be constructed and funding claimed by 31st March 2019.
- 1.6 Swansea Council submitted two bids totalling £3.614million, and the Welsh Government ultimately awarded funding amounting to £2.068million for FY2018/19.
- 1.7 This report seeks approval to commit these funds to the capital programme in accordance with the Financial Procedure Rules.

2. Submitted Bids

- 2.1. A total of £3.614million was bid for by Swansea Council. The bid schemes and the successful funding allocations are shown in the tables below.

Table One – Summary of ATF Bids 2018/19

Scheme	Total ATF (£k)	Match Funding (£k)	Total Project Costs (£k)
Strategic Schemes	1593	0	1593
<i>Swansea Vale Shared Use Link</i>	401	0	401
<i>Llansamlet Link</i>	205	0	205
<i>Tir Canol Link</i>	245	0	245
<i>Sketty Lane Widening</i>	117	0	117
<i>A48 Shared Use Link</i>	625	0	625
Local Schemes	2021	0	2021
<i>Cwm Level Link</i>	150	0	150
<i>Trallwn Link</i>	194	0	194
<i>Birchgrove Link</i>	119	0	119
<i>Singleton Park Links</i>	373	0	373
<i>Ynystawe Link</i>	264	0	264
<i>Morryston Riverside Link North</i>	240	0	240

<i>Morrison Riverside Link South</i>	65	0	65
<i>Jersey Road Link</i>	144	0	144
<i>Grovesend Access Link</i>	169	0	169
<i>Penyrheol Access Link</i>	202	0	202
<i>Coed Bach Park</i>	100	0	100
Total	3614	0	3614

- 2.2. Swansea Council was ultimately successful in securing £2.068million from the Welsh Government, spread across nine schemes for 2018/19. These schemes are summarised in the table below.

Table Two – Summary of ATF Allocations for 2018/19

Scheme	Total ATF (£k)	Match Funding (£k)	Total Project Costs (£k)
Strategic Schemes	968	0	968
<i>Swansea Vale Shared Use Link</i>	401	0	401
<i>Llansamlet Link</i>	205	0	205
<i>Tir Canol Link</i>	245	0	245
<i>Sketty Lane Widening</i>	117	0	117
Local Schemes	1100	0	1100
<i>Cwm Level Link</i>	150	0	150
<i>Trallwn Link</i>	194	0	194
<i>Birchgrove Link</i>	119	0	119
<i>Singleton Park Links</i>	373	0	373
<i>Ynystawe Link</i>	264	0	264
Total	2068	0	2068

3. Details of Approved Schemes

- 3.1. The projects approved for funding are summarised below.
- 3.2. **STRATEGIC SCHEMES:** The Welsh Government has allocated £968k to deliver four routes in delivery of the Swansea Northern Strategic Route. It is proposed that when fully realised, this northern route will provide off-road connectivity for pedestrians and cyclists between Birchgrove and Gorseinon. The four elements for delivery in 2018/19 are summarised below.
- 3.3. *Swansea Vale Link Road Shared Use Path:* This improvement will deliver a shared use path adjacent to the Swansea Vale Spine Road between Tir Canol Bridge and Gwernilwynchwyth Road. The route length will be 2.6km. This will facilitate an off-road link to local cycle routes, NCN43 and east-west walking and cycling movements.

- 3.4. *Llansamlet Link*: This project will link with off-road provision for pedestrians and cyclists that were completed in 2016/17 by Neath Port Talbot CBC. A new section of shared use path will provide new access to Llansamlet Railway Station and Swansea Vale from Birchgrove and Skewen.
- 3.5. *Tir Canol Link*: This route will connect the National Cycle Network Route 43 to Morriston Hospital via a new 2.1km route. This route, which runs across Tir Canol Playing Fields for part of its length, provides new connectivity for active travel journeys both locally and strategically in the context of the Northern Swansea route.
- 3.6. *Sketty Lane Widening*: This section of the NCN4 is a segregated shared use path, which does not currently conform to the Active Travel Design Guidance. This scheme will therefore widen this path to 5 metres total width to improve the capacity on this part of the network. The total length of the improvement will be 1.1km.
- 3.7. LOCAL SCHEMES: The Welsh Government has allocated £1.1million to deliver five routes that will directly benefit local areas, and provide improved connectivity into the strategic networks for active travel. The five elements are summarised below.
- 3.8. *Cwm Level Shared Use Path*: This 1.1km route will deliver a shared use path between existing provisions for cycling on Eaton Road and National Cycle Network Route 43. This will provide a significant enhancement for cycling in this area of the city; particularly for those accessing Liberty Stadium on match days, but also for the wide range of services which can be accessed from the National Cycle Network Route 43.
- 3.9. *Trallwn Link*: This link will provide a shared use path to link the Upper Bank Cycle Route to the community of Winch Wen and Trallwn. This off-road route, measuring approximately 1.5km will be invaluable in linking this community to established strategic cycling infrastructure in the vicinity of the Liberty Stadium, Swansea Enterprise Park & City Centre.
- 3.10. *Birchgrove Link*: This 0.7km route will complement the Swansea Vale Link which is being funded in the Strategic Routes project, to provide an off-road shared use path connection to the strategic active travel networks. Although short, this route will enable this community to bypass the busy arterial road network which acts as a barrier to the strategic networks which lie to the west of this settlement.
- 3.11. *Singleton Park Links*: This improvement will deliver 2.5km of enhanced shared use paths through the Park for use by pedestrians and cyclists. The routes will link NCN4 to Swansea University Singleton Campus, Singleton Hospital and the adjacent suburbs of Sketty, Uplands and Brynmill. The shared use paths will also be upgraded to accommodate occasional heavy goods traffic for special events.
- 3.12. *Ynystawe Park*: The community of Ynystawe and Ynysforan are geographically close to NCN43, but accessibility to it is poor, primarily due

to the severance caused by the River Tawe. This bid would deliver enhanced links to provide off-road shared use paths to provide safe and direct access between these communities and the established routes. This would deliver 0.6km of enhanced route, by clearing and surfacing an old off-road link between Clydach and Ynystawe, 0.2km of widened shared use paths in Ynystawe Park and a further 0.4km of new and widened shared use path to link with NCN43.

4. Equality and Engagement Implications

- 4.1. The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.
- 4.2. The Equality Impact Assessment process ensures that the Council has paid due regard to the above.
- 4.3. An EIA screening has been undertaken (see appendix x) and the outcome is that no full EIA is required at this stage. If approved, the projects will consider their equality impacts more fully at the appropriate design stages when they will be screened in their own right. These transport infrastructure projects will all serve to improve public amenity, connectivity and access and will be the subject of consultation as appropriate. Close consultation with local disability and access groups will be undertaken to ensure accessibility for all.
- 4.4. All schemes will be designed in accordance with the national design guidance and will be compliant with the Equality Act 2010.

5. Financial Implications

- 5.1. The capital schemes described in this report are funded wholly by the ATF who will provide 100% grant funding for their delivery. The schemes must be completed and all grant funding claimed by 31st March 2019.
- 5.2. STRATEGIC SCHEMES: This project is comprised of four distinct elements. £968k has been allocated for the elements described in the report above.
- 5.3. LOCAL SCHEMES: This project is comprised of four distinct elements. £1100k has been allocated for the elements described in the report above.
- 5.4. Claims are to be made to Welsh Government on a quarterly basis. The grant must be claimed in full by 31st March 2019, otherwise it will be lost.
- 5.5. Any revenue costs arising from capital schemes will be met by existing revenue budgets.

6. Staffing / IT Implications

6.1. There are none.

7. Legal / Procurement Implications

7.1. The grant funding will contain terms and conditions, which are legally binding. The council will need to ensure that it is able to comply with the same.

7.2. All works and services required to deliver the schemes must be procured in accordance with the Council's Contract Procedure Rules and European procurement legislation as appropriate.

Background Papers: Active Travel Fund Bid Documents
EIA Screening Form

Appendices:

Appendix A – Active Travel Fund: Strategic Routes Financial Summary

Appendix B – Active Travel Fund: Local Routes Financial Summary

Appendix C – Summary Plan of Proposed Active Travel Fund Routes 2018/19

Appendix D – Equality Impact Assessment

ACTIVE TRAVEL FUND: STRATEGIC ROUTES FINANCIAL SUMMARY**Portfolio: PLACE****Service : HIGHWAYS****Scheme : ATF – ACTIVE TRAVEL FUND: STRATEGIC
ROUTES FINANCIAL SUMMARY**

<u>1. CAPITAL COSTS</u>	2018/19 £'000				TOTAL £'000
<u>Expenditure</u>					
Swansea Vale Shared Use Path	401				401
Llansamlet Link	205				205
Tir Canol Link	245				245
Sketty Lane Widening	117				117
EXPENDITURE					
<u>Financing</u>					
LTF grant	968				968
FINANCING	968				968

<u>2. REVENUE COSTS</u>	2018/19 £'000				FULL YEAR £'000
<u>Service Controlled - Expenditure</u>					
Employees)				0
) To be met from existing budgets				0
Maintenance)				0
Equipment)				0
Administration)				0
NET EXPENDITURE	0	0	0	0	0

**ACTIVE TRAVEL FUND: LOCAL ROUTES FINANCIAL
SUMMARY**

Portfolio: PLACE

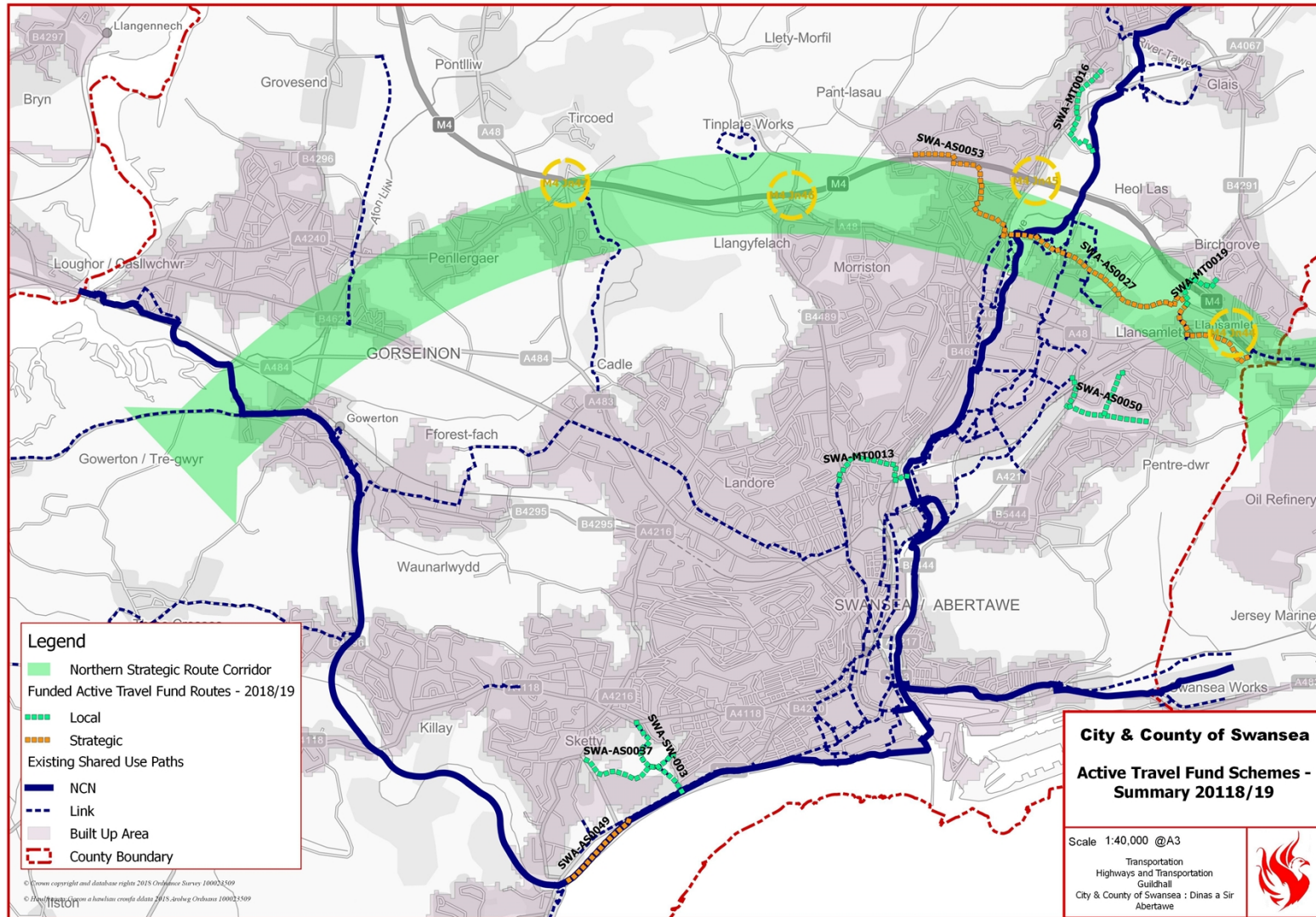
Service : HIGHWAYS

**Scheme : ATF – ACTIVE TRAVEL FUND: LOCAL
ROUTES FINANCIAL SUMMARY**

<u>1. CAPITAL COSTS</u>	2018/19 £'000				TOTAL £'000
<u>Expenditure</u>					
Cwm Level	150				150
Trallwn Link	194				194
Birchgrove Link	119				119
Singleton Park Links	373				373
Ynystawe Link	264				264
EXPENDITURE					
<u>Financing</u>					
LTF grant	1100				1100
FINANCING	1100				1100

<u>2. REVENUE COSTS</u>	2018/19 £'000				FULL YEAR £'000
<u>Service Controlled - Expenditure</u>					
Employees)				0
) To be met from existing budgets				0
Maintenance)				0
Equipment)				0
Administration)				0
NET EXPENDITURE	0	0	0	0	0

APPENDIX C – SUMMARY PLAN OF PROPOSED ACTIVE TRAVEL FUND ROUTES 2018/19



Equality Impact Assessment Screening Form

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: Highways & Transportation

Directorate: Place

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(b) Please name and describe below

Active Travel Fund Bids 2018/19

Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line
service delivery

(H)

Indirect front line
service delivery

(M)

Indirect back room
service delivery

(L)

(b) DO YOUR CUSTOMERS/CLIENTS ACCESS THIS...?

Because they
need to

(H)

Because they
want to

(M)

Because it is
automatically provided to
everyone in Swansea

(M)

On an internal
basis
i.e. Staff

(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"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Any other age group (18+) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Q4 HAVE YOU / WILL YOU UNDERTAKE ANY PUBLIC CONSULTATION AND ENGAGEMENT RELATING TO THE INITIATIVE?

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

The design and development of the schemes will be subject to public consultation, with particular attention afforded to the disability and access groups to ensure that the needs of those represented by these groups are accounted for and accommodated.

Equality Impact Assessment Screening Form

Q5(a) HOW VISIBLE IS THIS INITIATIVE TO THE GENERAL PUBLIC?

High visibility <input checked="" type="checkbox"/> (H)	Medium visibility <input type="checkbox"/> (M)	Low visibility <input type="checkbox"/> (L)
--	---	--

(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 <input checked="" type="checkbox"/> (M)	Low risk <input type="checkbox"/> (L)
---	--	--

Q6 Will this initiative have an impact (however minor) on any other Council service?

Yes No

If yes, please provide details below

The scheme will result in additional assets to maintain (by the Highways Maintenance Team)

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 → 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). 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.

If approved, the projects will consider their equality impacts more fully at the appropriate design stages when they will be screened in their own right. These transport infrastructure projects will all serve to improve public amenity, connectivity and access and will be the subject of consultation as appropriate. Close consultation with local disability and access groups will be undertaken to ensure accessibility for all.

Equality Impact Assessment Screening Form**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.

Screening completed by:
Name:
Job title:
Date:
Approval by Head of Service:
Name:
Position:
Date:

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

Agenda Item 19.



Report of the Cabinet Member for Homes and Energy

Cabinet – 20 September 2018

General Building Materials Framework

Purpose:	The purpose of this report is to obtain approval to award a framework for the supply of General Building Materials that will allow for direct orders for housing stock maintenance and public building projects.
Policy Framework:	Council Constitution/Contract Procedure Rules
Consultation:	Legal Democratic Services and Business Intelligence, Finance, Procurement and Corporate Building Services, Access to Services.
Recommendation(s):	It is recommended that Cabinet: 1) The Suppliers listed in Appendix 1 are appointed to the Framework 2) Authority is delegated to the Head of Corporate Building Services in conjunction with the Chief Legal Officer to determine how any call off contracts are to be entered into and executed by the Council
Report Authors:	Mark O'Neill/ Maz Ward
Finance Officer:	Paul Roach
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar

1. Background

1.1 The Council is proposing to establish a framework agreement with the successful bidders to supply General Building Materials, split over 9 Lots that will allow CBS to continue to carry out works to properties within the housing stock and public buildings.

- Lot1 – Heavy side
- Lot2 – Timber

- Lot3 – Doors
- Lot4 – Paint
- Lot5 – Ironmongery
- Lot6 – Roofing
- Lot7 - Screws and Fixings
- Lot8 – Miscellaneous
- Lot9 – Roofline

2.0 Procurement Process

- 2.1 The estimated value of the new framework is £3.4m per annum, this is based on historical spend.
- 2.2 The Council's intention was to enter into a Framework Agreement with all suppliers who met the minimum requirement set out in the supplier suitability questionnaire.
- 2.3 The opportunity was advertised in the Official Journal of the European Union (OJEU) via Sell2Wales using the open procedure
- 2.4 The tender process was conducted by officers from Procurement and Corporate Building Services. Invitations to tender were issued on 7th June 2018 with a return date of 13th July 2018.
- 2.5 The following suppliers submitted tenders
- Tenderer 1
 - Tenderer 2
 - Tenderer 3
 - Tenderer 4
 - Tenderer 5
 - Tenderer 6
 - Tenderer 7
 - Tenderer 8
 - Tenderer 9
 - Tenderer 10
 - Tenderer 11
 - Tenderer 12
 - Tenderer 13
 - Tenderer 14
 - Tenderer 15
 - Tenderer 16
 - Tenderer 17
- 2.6 Tenders were evaluated by officers of the Council from The Corporate Building Services department (**Appendix A**).
- 2.7 Tenderer 9, 10 and 13 all failed to return the required documentation. They were informed via etenderwales of the council's decision not to allow them participate further in the Tender process.

3. Call-off Procedure

- 3.1 Due to the complexity and variation of items/products, orders will be evaluated against the tendered rates submitted and awarded on the basis of the lowest priced bid in relation to that particular item/products. All Call offs will be conducted using 100% price.
- 3.2 If the lowest priced tenderer cannot supply the required goods then the council will request the goods from the next lowest tenderer and so on.
- 3.3 Due to the complexity and variation of items/products, the Council will at all times reserve the right to make the commercial decision to collect goods from any of the contracted supplier's dependant on the location of works in relation to the supplier's premises. This may result in goods being collected from the supplier who has not offered the lowest rate.

4. Equality and Engagement Implications

- 4.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

- 4.2 The Access to Services Team has confirmed that an Equality Impact assessment (EIA) is not required for the purposes of this report, following review of the completed Equality Impact Assessment screening assessment form (**Appendix B**)

5. Financial Implications

- 5.1 There are no financial implications associated with this report. There are various funding streams for the framework but it will be predominately from the Housing Revenue Account.
- 5.2 There are no savings identified in the framework , however there are terms within the framework that allow the Council to seek an annual rebate of 3% against all spends under this agreement. This will be claimed by the client department.

6. Legal Implications

- 6.1 The Responsible Officer is satisfied that the tender process has been undertaken in compliance with the Public Contracts Regulations 2015 and the Council's Contract Procedure Rules, and recommends approval in accordance with those Rules.
- 6.2 Framework Agreements are to be prepared by the Chief Legal Officer. All contractual liabilities and obligations will be covered by the contract documentation, which will consist of the over-arching Framework Agreement together with the terms of the call-off contract.
- 6.3 It is recommended that authority is delegated to the Responsible Officer to determine how each call off contract is entered into and executed by the Council. This is likely to be through the use of purchase orders referencing the framework's call off terms and conditions. A Contract Award Report may be necessary depending on the value.

Background Papers: None.

Appendices:

Appendix A: Tender Evaluations

Appendix B: EIA Screening Form

Appendix A:

Company	Lot 1 - Heavy Side	Lot 2 - Timber	Lot 3 - Doors	Lot 4 - Paint	Lot 5 - Ironmongery	Lot 6- Roofing	Lot 7 - Screws and Fixings	Lot 8 - Miscellaneous	Lot 9 - Roofline
Tenderer 1		x							
Tenderer 2				x					
Tenderer 3		x					x	x	
Tenderer 4	x	x		x	x	x	x	x	x
Tenderer 5	x				x		x	x	
Tenderer 6									x
Tenderer 7	x	x	x	x	x	x	x	x	x
Tenderer 8	x	x		x	x	x	x	x	
Tenderer 11				x					
Tenderer 12	x	x	x	x	x	x	x	x	x
Tenderer 14						x			
Tenderer 15								x	
Tenderer 16	x	x	x	x	x	x	x	x	
Tenderer 17					x		x	x	

Appendix B:

Equality Impact Assessment Screening Form

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: Corporate Building Services
Directorate: Place

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(b) Please name and describe below

We are looking to set up a framework agreement with the successful bidders to supply General Building Materials, split over 9 Lots that will allow CB&PS to continue to carry out works to properties within the housing stock and public buildings.

Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery	Indirect front line service delivery	Indirect back room service delivery
<input type="checkbox"/> (H)	<input type="checkbox"/> (M)	<input checked="" type="checkbox"/> (L)

(b) DO YOUR CUSTOMERS/CLIENTS ACCESS THIS...?

Because they internal need to	Because they want to	Because it is automatically provided to everyone in Swansea	On an basis i.e. Staff
<input type="checkbox"/> (H)	<input type="checkbox"/> (M)	<input type="checkbox"/> (M)	<input checked="" 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"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Any other age group (18+) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Welsh Language		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	→	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	→	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Community cohesion	→	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Q4 HAVE YOU / WILL YOU UNDERTAKE ANY PUBLIC CONSULTATION AND ENGAGEMENT RELATING TO THE INITIATIVE?

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

Q5(a) HOW VISIBLE IS THIS INITIATIVE TO THE GENERAL PUBLIC?

High visibility (H) <input type="checkbox"/>	Medium visibility (M)	Low visibility <input checked="" type="checkbox"/> (L)
---	--------------------------	---

(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 <input type="checkbox"/> (M)	Low risk <input checked="" type="checkbox"/> (L)
---	---	---

Q6 Will this initiative have an impact (however minor) on any other Council service?

Yes No If yes, please provide details below

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 → 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). 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.

There are no Equality implications involved in this process.

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.

Screening completed by:
Name: Maz ward
Job title: Category Manager
Date: 24.08.2018
Approval by Head of Service:
Name:
Position:
Date:

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