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, 17 August 2017**
Time:	**2.00 pm**
Chair:	**Councillor Rob Stewart**

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

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 - 5
   To approve & sign the Minutes of the previous meeting(s) as a correct record.

4. **Leader of the Council's Report(s).**

5. **Public Questions.**
   Questions must relate to matters on the open part of the Agenda of the meeting and will be dealt within a 10 minute period.

6. **Councillors' Question Time.**

7. **Pre Decision Scrutiny Feedback - Planning & City Regeneration - Commissioning Review.**

8. **Planning & City Regeneration - Commissioning Review.**   6 - 146

9. **Pre Decision Scrutiny Feedback - All Council Catering - Commissioning Review.**

Next Meeting: Thursday, 21 September 2017 at 10.00 am

Huw Evans
Head of Democratic Services
Tuesday, 8 August 2017

Contact: Democratic Services - Tel: (01792) 636923

CITY AND COUNTY OF SWANSEA

MINUTES OF THE CABINET

HELD AT COUNCIL CHAMBER, GUILDHALL, SWANSEA ON THURSDAY, 20 JULY 2017 AT 2.00 PM

PRESENT: Councillor R C Stewart (Chair) Presided

Councillor(s)	Councillor(s)	Councillor(s)
J E Burtonshaw	M C Child	W Evans
R Francis-Davies	D H Hopkins	C E Lloyd
J A Raynor	M Thomas	

Apologies for Absence
Councillor(s): A S Lewis

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

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

1) Councillors R C Stewart, J E Burtonshaw, M C Child, W Evans, R Francis-Davies, D H Hopkins, C E Lloyd, J A Raynor and M Thomas declared a Personal Interest in Minute 29 "Local Authority Governor Appointments";

2) Councillor J E Burtonshaw declared a Personal Interest in Minute 28 "Establishment of Specialist Teaching Facilities for Pupils for Autistic Spectrum Disorder (ASD)";

3) Councillor J A Raynor declared a Personal Interest in Minute 28 "Establishment of Specialist Teaching Facilities for Pupils for Autistic Spectrum Disorder (ASD)";

4) Councillor C E Lloyd declared a Personal Interest in Minute No. 24 "Financial Procedure Rule 7 Local Transport Fund Grant 2017/18";

5) Councillor W Evans declared a Personal Interest in Minute No. 24 "Financial Procedure Rule 7 Local Transport Fund Grant 2017/18".

17. **MINUTES.**

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

1) Cabinet held on 15 June 2017.

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

The Leader of the Council referred to the recent rail electrification statement and reported that he, along with the WLGA and other Council Leaders, would be making representations to the Secretary of State.

19.   **PUBLIC QUESTION TIME.**

No questions were asked.

20.   **COUNCILLORS' QUESTION TIME.**

No questions were asked.

21.   **REVENUE OUTTURN 2016/17 - HOUSING REVENUE ACCOUNT (HRA).**

The Section 151 Officer presented a report which detailed the City and County of Swansea's HRA outturn compared with the approved revenue budget for 2016-2017.

RESOLVED that the variations detailed in the report be noted.

22.   **REVENUE FINANCIAL OUTTURN 2016/17.**

The Section 151 Officer presented a report which detailed the Revenue financial outturn for 2016-2017. The Section 151 Officer referred to an error in the table at paragraph 4.4 with the final figure in respect of overall increase over the last 3 years period (%) being amended to 4.1.

RESOLVED that:

1)   The comments and variations in the report be noted;

2)   The proposed reserve transfers detailed in Section 7.3 of the report be approved.

23.   **CAPITAL OUTTURN AND FINANCING 2016/17.**

The Section 151 Officer presented a report which detailed capital outturn and financing for the year ended 31 March 2017.

RESOLVED that:

1)   The net under spend of the approved budget of £16.155m be carried forward to 2017-2018.

24.   **FINANCIAL PROCEDURE RULE 7 LOCAL TRANSPORT FUND GRANT 2017/18.**

The Cabinet Member for Environment Services submitted a report which confirmed the bid for Local Transport Fund (LTF) Grant and sought approval for expenditure on the proposed schemes and projects in 2017-2018.

RESOLVED that:

1)   The LTF schemes, together with their financial implications be approved.

25.   **END OF YEAR 2016/17 PERFORMANCE MONITORING REPORT.**

The Cabinet Member for Service Transformation & Business Operations submitted a report which outlined the corporate performance for 2016-2017.

RESOLVED that:

1)   The performance results be 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.

26.   **PROGRESS UPDATE ON THE IMPLEMENTATION OF THE NEW MODEL OF PROVISION FOR EDUCATION OTHER THAN AT SCHOOL (EOTAS) AND FEEDBACK FROM THE RECENT STAKEHOLDER CONSULTATION.**

The Cabinet Member for Children, Education & Lifelong Learning submitted a report which provided an update on the implementation of the new model of provision for Education Other Than At School (EOTAS) and feedback from the recent stakeholder consultation.

RESOLVED that:

1)   The feedback from the consultation and mitigation measures be noted:

2)   The proposals for the interim Halfway House be noted;

3)   The progress towards the long term accommodation be noted, and a further report be brought back to Cabinet once the design is finalised and cost certainty achieved.

27.   **QUALITY IN EDUCATION (QED) - EMERGING PROPOSALS AND INVESTMENT PRIORITIES FOR THE NEXT BAND OF THE 21ST CENTURY SCHOOLS PROGRAMME.**

The Cabinet Member for Children, Education & Lifelong Learning submitted a report which sought consideration and endorsement of the future proposals and investment priorities for Band B of the 21st Century Schools Programme for submission to Welsh Government.

RESOLVED that:

1)   The key aims and focus of the Strategic Outline Programme previously supported by the Welsh Government be re-affirmed;

2)   The proposed capital investment priorities for Band B of the 21st Century Schools Programme be endorsed;

3) The proposed funding strategy to meet the Council's local contribution be endorsed;

4) The proposed commencement of statutory consultation, where appropriate, regarding the next priority proposals, which will be the subject of separate reports be noted.

28. **ESTABLISHMENT OF SPECIALIST TEACHING FACILITIES FOR PUPILS WITH AUTISTIC SPECTRUM DISORDER (ASD).**

The Cabinet Member for Children, Education & Lifelong Learning submitted a report which outlined the outcome of the Statutory Notice period and sought determination on the proposals to establish Specialist Teaching Facilities for pupils with Autistic Spectrum Disorder (ASD) at Portmead Primary, Dunvant Primary and Birchgrove Comprehensive Schools from January 2018. She stated that no objections were received for Portmead Primary and Birchgrove Comprehensive School but one objection had been received for Dunvant Primary School.

RESOLVED that:

1) A Specialist Teaching Facilities for Pupils with Autistic Spectrum Disorder (ASD) be established at Portmead Primary, Dunvant Primary and Birchgrove Comprehensive Schools from January 2018.

29. **LOCAL AUTHORITY GOVERNOR APPOINTMENTS.**

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

RESOLVED that:

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

1)	Brynmill Primary School	Cllr Peter May
2)	Casllwchwr Primary School	Mr John Butler
3)	Glais Primary School	Mr Mark James
4)	Hendrefoilan Primary School	Mrs Kathryn Novis
5)	Morriston Primary School	Mr Stephen Griffiths
6)	Sketty Primary School	Mrs Deborah Monaghan
7)	St Joseph's Catholic Comprehensive School	Mr Joseph Blackburn
8)	Waun Wen Primary School	Mrs Jeanette Simpson
9)	Birchgrove Comprehensive School	Mrs Catherine Watkins
10)	Dylan Thomas Community School	Mr Dereck Roberts Mrs Ann Cook
11)	Morriston Comprehensive School	Mr Graham Hanford
12)	YGG Bryn y Môr	Mrs Angharad Brown Mrs Saran Thomas

| 13) | YGG Lôn Las | Parch Eirian Wyn |
| 14) | Ysgol Gyfun Gŵyr | Miss Aldyth Williams |

30. **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)

31. **CONTRACT AWARD REPORT - AWARD OF FRAMEWORK FOR THE PROVISION OF TENANCY BASED CARE AND SUPPORT (SUPPORTED LIVING) FOR PEOPLE WITH A LEARNING DISABILITY OR PHYSICAL DISABILITY.**

The Cabinet Member for Health and Wellbeing submitted a report which outlined the outcome of recent tenders for the appointment of Providers onto a Framework Agreement for Tenancy Based Care and Support (Supported Living) for People with a Learning Disability and / or Physical Disability and sought approval to appoint eight Providers onto the Framework Agreement.

RESOLVED that the recommendation(s) as set out in the report be approved.

The meeting ended at 2.25 pm

CHAIR

Published on 21 July 2017.

Joint Report of the Cabinet Members for Culture, Tourism & Major Projects and Commercial Opportunities & Innovation

Cabinet – 17 August 2017

CITY & COUNTY OF SWANSEA
OPTIONS APPRAISAL FOR THE FUTURE DELIVERY OF SERVICES IN THE SCOPE OF THE PLANNING & CITY REGENERATION COMMISSIONING REVIEW

Purpose:	The purpose of this Options Appraisal is to outline the process, findings and proposed New Models of Delivery for the Planning & City Regeneration Commissioning Review
Policy Framework:	Sustainable Swansea: Fit for the Future
Consultation:	Corporate Management Team Cabinet Members Legal, Finance and Access to Services.
Recommendation(s):	It is recommended that:

1) all aspects of the Planning & City Regeneration service are delivered through a transformed in house model

2) Cabinet notes the financial, HR and legal implications associated with each option as identified in paragraphs 4 – 10 of the report.

Report Author:	Phil Holmes
Finance Officer:	Paul Roach
Legal Officer:	Tracey Meredith
Access to Services Officer:	Sheril Hopkins

Commissioning Gateway Review Report
Stages 3 & 4

Contains:-
1. Purpose of Report
2. The Review So Far
3. Stage 3 - Service Reviews
4. Development, Conservation & Design Options Appraisal
5. Strategic Planning & Natural Environment Options Appraisal
6. Development & Physical Regeneration Options Appraisal
7. City Centre Management Options Appraisal
8. Mobility Hire Options Appraisal
9. Swansea Market Options Appraisal
10. Economic Development & External Funding Options Appraisal
11. Key Issues Going Forward
12. Opportunities & Benefits
13. Conclusions & Recommendations
14. Equality
15. Implementation

Appendices
Appendix A: Gateway 1 Report
Appendix B: Additional Benchmarking Information
Appendix C: Workshop Attendees
Appendix D: Options Scoring Matrix
Appendix E: Financial Information
Appendix F: Equalities Impact Assessment
Appendix G: Equalities Impact Assessment - Mobility Hire

REVIEW OVERVIEW

Commissioning Strand Lead:	Martin Nicholls
Service Review Lead:	Phil Holmes
Service Review Title:	Planning & City Regeneration – Gateway 2 Report

1.0 PURPOSE OF REPORT

1.1 This report has been produced following the approval by CMT and BPRG at Gateway 2 to proceed onto Stages 3&4 of the Commissioning Review process. The purpose of the report is to outline the benchmarking information and options appraisal for each cluster in Planning & City Regeneration, and to present recommendations on the most viable future options for the Service Area.

2.0 THE REVIEW SO FAR

2.1 Scope

As set out in Stage 2 of the process, all parts of the Planning & City Regeneration Service are in scope for the commissioning review. This encompasses:-

- Development, Conservation & Design
- Strategic Planning & Natural Environment
- European & External Funding and Economic Development Team
- Development & Physical Regeneration
- City Centre Management

2.2 Outcomes

The future outcomes identified and approved at Stage 2 consist of:-

Outcome	Outcome Detail	Corporate Priority
1 A vibrant and viable City Centre	*City Centre Regeneration Programme* *City Centre Management* *Vibrant and well managed Market* *Continued Purple Flag status and Evening and Night Time Economy Strategy* *Access to City Centre services* *Swansea Bay City Deal* *Swansea Central Area Regeneration Framework* *Local Development Plan.*	Creating a Vibrant and Viable City and Economy, Tackling Poverty, Building Sustainable Communities.
2. A thriving economy at the heart of the city region	*Swansea Bay City Region Economic Regeneration Strategy* *Swansea Bay City Deal* *Inward investment activities* *Strategic Employment Sites* *Beyond Bricks & Mortar* *Regeneration of Hafod Morfa Copperworks* *Rural Development Plan* *Swansea Bay FLAG*	Creating a Vibrant and Viable City and Economy, Tackling Poverty, Building Sustainable Communities.

3. A healthy urban and rural environment	• *Well-being goals and duties incorporated into corporate plans, policy and strategies* • *Measurably improved access to natural environment/open space and improvements to the built environment* • *Corporate Biodiversity Plan* • *Green Infrastructure Strategy* • *Open Space Strategy* • *Gower AONB Management Plan* • *Rights of Way Improvement Plan*	Creating a Vibrant and Viable City and Economy, Building Sustainable Communities, Tackling Poverty, Improving Pupil Attainment, Safeguarding Vulnerable People.
4. Sustainable development within existing and new communities	• *Sustainable Development principles embedded in all decision-making* • *Measurably improved range and choice of places to live, work and enjoy leisure time* • *Adoption of LDP* • *Placemaking SPG adopted for LDP Strategic Development Areas* • *Urban design and conservation* • *Direct link to the council's overarching prevention strategy and future generation requirements*	Creating a Vibrant and Viable City and Economy, Building Sustainable Communities.

2.3 Emerging Key Issues From Stage 2

The emerging key issues identified at Stage 2 of the review were:-

- The service currently receives significant amounts of EU funding. Despite the UK's exit from the European Union, EU funding sources remain active for the next 2-3 years meaning existing programmes are likely to run to 2021 as a minimum. Subject to the Brexit negotiations there is also the possibility that transitional arrangements and further funding opportunities may extend considerably beyond 2021
- A good range of other external funding sources have been identified and the European & External Funding Team is adding value by supporting teams across the Council that can make use of this funding in support of corporate priorities whilst providing a consistent approach to back office management of the funds and professional liaison with funding bodies.
- The plethora of new Welsh Government legislation and the emphasis on regional working in planning, transport and economic development will have an impact on the service.
- A change in shopping habits (including the move away from the high street to the internet) is redefining the role of city and town centres. This has necessitated a review of Swansea City Centre strategies / activities and influenced city centre regeneration proposals.
- A reduction in resources elsewhere in the Council (legal, HR, facilities, reduction in maintenance activities) is affecting the service's ability to deliver its priorities

2.4 Main Risks Identified:

- Failure to secure funding (e.g. Swansea Bay City Deal) would impact on ability to deliver regeneration proposals.
- Match funding can be difficult to source. Although external grants can often be matched against each other, funding from the applicant organisation is often seen as a marker of intent and commitment to a scheme.

- There is a high profile and expectation attached to the regeneration of Swansea City Centre, but only modest human and financial resources to deliver this.
- Delivery of outcomes is dependent on partnership working with a range of external partners.
- Failure to comply with statutory duties may lead to intervention by the Welsh Government, Natural Resources Wales or the Police, and could have significant financial and political implications.
- Delays to the LDP and a failure to adhere to the recently approved Delivery Agreement would be damaging in terms of the criticisms that it will generate from the Welsh Government and negative perceptions more generally in terms of the Council's ability to strategically plan for future development. It also increases risks and uncertainties associated with having no up to date planning policy to counter hostile applications on un-favoured greenfield sites (note the UDP is 'time expired' after 2016).
- Lack of maintenance, enhancement and promotion of the natural and built environment would result in a loss of ecosystem services, biodiversity and reduction in accessible natural greenspace – which would impact on health and wellbeing / quality of life.

3.0   <u>STAGE 3 - SERVICE REVIEW</u>

Planning & City Regeneration is a highly multidisciplinary service, with a breadth of complementary professional and operational services that join up to support Swansea's urban and rural economies. The work of the service is both strategic and high profile, with strong links to the corporate priorities, as evidenced by the service's lead role in the regeneration of the city centre, the preparation of the Local Development Plan and most recently the council's contribution to the Swansea Bay City Deal.

Financially, the service is punching above its weight. It generates significant income (£6.3m in 2016/17, which represented 68% of gross expenditure) and has a track of securing external funding for the Council (£60.1m 2007-13, £55m 2014-20, with a further £12.58m currently under consideration). It has also taken a significant pro-rata share of budget saving (£1.36m since 2013/14) as part of the Council's response to austerity measures and has consistently delivered against targets.

The Planning & City Regeneration service has 150 employees, 20% of whom are grant or externally funded. In recent years the service has deleted a significant number of senior management and team leader level positions in response to budget savings and ER/VR requests. These reductions have, in the main, been absorbed within the service, reducing management tiers and spans of control. There have been 20- ER/VR reductions within the service since 2010 - which represents over 10% of total staff numbers. Responses to the staff survey show above average levels of satisfaction amongst staff, with the service area scoring higher than the council average for all but one question.

Given the breadth of activities delivered by P&CR, services were broken down in to clusters for more detailed consideration in Stage 3 and 4 of the review. The clusters being:-
Cluster 1 - Development, Conservation & Design
Cluster 2 - Strategic Planning & Natural Environment
       2a. Countryside Access Team
       2b. Gower Area of Outstanding Natural Beauty (AONB) Team
       2c. Nature Conservation
       2d. Landscape Design
       2e. Strategic Planning

2f. Sustainable Development
Cluster 3 - Development & Physical Regeneration
Cluster 4 - City Centre Management
Cluster 5 – Mobility Hire
Cluster 6 – Swansea Market
Cluster 7 – Economic Development & External Funding
Each cluster was reviewed in terms of:-
- What it currently provides.
- Good practice identified elsewhere.
- Service changes proposed

3.1 CLUSTER 1 – DEVELOPMENT, CONSERVATION & DESIGN

3.1.1 The Development, Conservation & Design section comprises 40FTEs and delivers the Council's statutory responsibilities in the regulation of the development and use of land through the processing of in excess of 2,000 planning and related applications and the investigation of approximately 500 enforcement cases per annum. It also provides a central admin function and a specialist urban design and conservation service including the provision of design and heritage advise, preparation of design guidance and policy and input into public realm initiatives.

3.1.2 **Performance Overview/ Good Practice Identified:**
- The Welsh Government Development Management Quarterly Survey[1] demonstrates that Planning Services is now consistently achieving top quartile performance in Wales for key indicators following the investment made in new technology, business process re-engineering and governance/scheme of delegation changes.
- The 2015/16 Annual Performance Report (APR) indicates customer satisfaction levels are above the Welsh average for the planning advise provided.

3.1.3 **Financial Summary**
The gross expenditure on Development, Conservation & Design service in 2016/17 was £1,850,000, broken down across the following budget areas:

25002	Design & Conservation	£124,500
25025	Planning Applications	£1,162,600
25026	Planning Administration	£287,200
25035	Planning Enforcement	£275,700
	Total Budget	**£1,850,000**

The Development, Conservation & Design service generated £1,116,091 of income in 2016/17, which represented 60% of gross expenditure.

Code	Description	Sum	Examples
25002	Design & Conservation	£200	Advise on works to listed buildings
25025	Planning Applications	£ 1,112,791	Planning application fees and fees for fee application advise
25026	Planning Administration	£3,100	Photocopying and planning history searches

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[1] http://gov.wales/topics/planning/planningstats/development-management-quarterly-survey/?lang=en

25035	Planning Enforcement	£0	
	Total Income	**£1,116,091**	

When taking account of the income generated by Development, Design & Conservation, the Council's net expenditure on the service in 2016/17 was £733,909, broken down as shown below:

25002	Design & Conservation	£124,300
25025	Planning Applications	£49,809
25026	Planning Administration	£284,100
25035	Planning Enforcement	£275,700
	Net Expenditure	**£733,909**

3.1.4 **Benchmarking**

Development Management: Benchmarked against the All Wales Annual Performance Report (2015/16) for Local Planning Authorities in Wales. It indicates a consistent approach to in-house provision of the statutory development management service. Few Local Planning Authority have the same structure or level of resources and there are few examples where the statutory planning service sits within the same service area as the economic development function.

Urban Design and Conservation: The majority of cities in England and Wales have design and heritage expertise within the Council to capture the maximum benefit for the public good through the exercise of the development management function and through Council regeneration projects. These functions are often combined into a team or single individual and they are usually embedded into the development management service area. For example Cardiff, Bristol, Plymouth, Gloucester, Bath all have design and heritage officers/ teams. The importance of 'Place Leadership' to deliver placemaking and quality at the Council level is currently being emphasised by both the Welsh Government and the Design Commission for Wales as a key element of the Well Being of Future Generations Act. As there is no Conservation Officer in Neath Port Talbot, there is an opportunity for Swansea to offer this service to a neighbouring authority. Furthermore as both Neath Port Talbot and Carmarthenshire do not have imbedded design advisors there is also scope for the City and County of Swansea to offer a collaborative design service to advise on strategic projects within the Swansea Bay City Region.

Land Searches & Charges: The land charges and searches function is furnished by 7 separate departments within the Authority with fee income circa £200K retained by Legal Services, which covers staffing, IT and other service provision costs. Benchmarking against the London Borough of Newham indicates that this service can be provided more efficiently by a core land charges team with access to all relevant systems which would provide an efficient, resourced and timely service to the public. The location of the core team will need to be explored further. Our benchmarking also revealed that Flintshire County Council have a land charges and searches function which is provided directly by the Development Management Team.

Additional benchmarking information is presented in Appendix B.

3.2   CLUSTER 2 – STRATEGIC PLANNING & NATURAL ENVIRONMENT

3.2.1 The Strategic Planning and Natural Environment (SP&NE) section provides a robust strategic planning and policy framework, maintains, enhances and promotes the built and natural environment for all, and integrates Sustainable Development principles into the delivery of all Council Services. The section comprises six teams covering the following service areas:

- Countryside Access – Team of six officers who carry out the Council's statutory duties in relation over 400 miles of Public Rights of Way (RoW) and 32 square miles of Access Land including the Gower Coast Path.
- Gower Area of Outstanding Natural Beauty (AONB) Team - conservation and enhancement of the Gower AONB.
- Nature Conservation - Team of 7 officers (5 FTEs) responsible for enhancing the natural environment and meeting the Council's statutory biodiversity duties. The team manages Bishop's Wood Countryside Centre at Caswell, which provides opportunities for outdoor learning.
- Landscape - Three officers who provide a landscape architecture and arboricultural advise/ tree preservation service. It is the only team in the SP&NE section set up to be income earning, with a net annual budget totalling just £28k.
- Strategic Planning - production of the Local Development Plan (LDP), Supplementary Planning Guidance (SPG) and development strategies.
- Sustainable Development (SD) – The team has recently reduced from 3.4 FTE to 1.6 FTE following resignation of the team leader and a policy officer.   The SD team is the corporate lead for adoption and accountability of the Wellbeing of Future Generations (WFG) Act across the Council, as well as supporting services to embed SD in corporate procedures and practice. The team also led on Renewable/Smart Energy but this has been divested following the staffing reductions.

3.2.2 **Performance Overview/ Good Practice Identified:**
- Significant progress in preparation of the LDP over the past year. The Deposit LDP has been written, agreed by Council and consulted upon.
- The Council became an early adopter for the WFG Act, as a result of the work of the SD Team.
- UK Most Sustainable Public Sector Platinum Award, awarded to SD Team in 2015
- Sustainable Public Sector Sustain Wales Award, awarded to SD Team in 2015
- New income streams created, with both the SD and Nature Conservation Teams earning consultancy income in 2016/17.

3.2.3 **Financial Summary**
The gross expenditure on SP&NE in 2016/17 was £1,625,391, broken down across the following budget areas:

Code	Description	Sum
25001	AONB	£183,800
25005	Countryside Access	£361,866
25003	Landscape	£141,100
25004	Nature Conservation	£332,836
25036	Strategic Planning	£425,600
42560	Sustainable Development	£180,189
	Total Budget	**£1,625,391**

SP&NE generated £527,902 of income in 2016/17, which represented 32% of gross expenditure.

Code	Description	Sum	Examples
25001	AONB	£105,000	Natural Resources Wales (NRW) grant for AONB Management Plan & Sustainable Development Fund (SDF) grant
25005	Countryside Access	£102,666	NRW grant
25003	Landscape	£113,100	Inter-service credits
25004	Nature Conservation	£183,136	WG grant, RSPCA wetlands project
25036	Strategic Planning	£0	
42560	Sustainable Development	£24,000	Commercialisation of services
	Total Income	**£527,902**	

When taking account of the income generated by SP&NE the Council's net expenditure on the service in 2016/17 was £1,097,489, broken down as shown below:

Code	Description	Sum
25001	AONB	£78,800
25005	Countryside Access	£259,200
25003	Landscape	£28,000
25004	Nature Conservation	£149,700
25036	Strategic Planning	£425,600
42560	Sustainable Development	£156,189
	Net Expenditure	**£1,097,489**

3.2.4 **Benchmarking**

Benchmarking analysis has been carried out for all the areas covered by SP&NE. The main findings of this analysis are:
- Structures and local conditions vary across each local authority and there is no other direct comparator that delivers the same combination of services, and is addressing the same local needs as SP&NE.
- No local authority has outsourced its RoW function.
- Since RoW searches became a statutory requirement in 2016, Countryside Access Officers have spent 20% of their time dealing with search enquiries, which has reduced project delivery time. Support provided by Legal Services (which was shared with NPTBC) has reduced from 3 officers to less than 1 in recent years. Unlike other Local Authorities, CCS has not increased its search fees to reflect this additional work. All search fee income is retained by Legal Services, which does not reflect the time contribution from the RoW Team and others such as Development Control and Highways. Since July 2016 the team have dealt with nearly 1500 search enquiries. At a nominal charge of £10/search this represents a potential lost income stream of £15k (potentially rising to £20k over the course of a year).
- The RoW Ranger service costs £61k/annum with on-costs. Cessation of this service would not be a saving as the Council's statutory duty to maintain the RoW network would need to be met. This would have to be fully contracted out to the private sector or a

partner organisation. Review of private sector rates shows that works such as resurfacing paths, installation of gates, bridges, signposts, drainage, etc which are the primary responsibility of the Ranger Team (i.e. the skilled labour as opposed the manual vegetation clearance) can be carried out cheaper in house. Whilst the rates are comparable with the private sector (£255/day for the 2-man Ranger Team and £130/ individual contractor /day) the Ranger Team's rates include specialist machinery such as diggers whilst hire of this equipment would be in addition to the contractor's cost. Other savings are also made through bulk buying a supply of materials rather than one- off supply and delivery by a contractor. Therefore loss of the Ranger Team would lead to a reduction in the extent of improvement works that could be funded, reduced performance and, unless ring-fenced, the budget would constantly be at risk of further cuts without consideration of service needs.

- All AONBs in England and Wales have dedicated AONB staff. Anglesey and Llyn AONBs are the only two similar to Gower in terms of size, location within a single Local Authority and managed by a small core team. All three are limited in their effectiveness when compared with other AONBs in terms of resources, public and political profile, securing income and servicing projects. Diminishing resources have reduced the ability of all AONBs to engage with and adapt to new ways of working, with increasing reliance on external funding and partnership working with other organisations and service areas for delivery of projects.

- Within the Nature Conservation Team, significant officer time is spent providing Knotweed advice that is mostly not relevant to the team's portfolio. It is an issue that should be dealt with corporately, especially given recent case law. There is no advantage to continuing to provide this service to private landowners, mortgagees, etc. unless they are prepared to cover staff time and costs.

- There is potential for income generation from land/building assets - Bishop's Wood could be run as a fee earning outdoor learning centre, charging for school visits/ outdoor nursery. There is also potential to create a post which supports Outdoor Learning/Wellbeing initiatives in schools which could include work on Council sites such as Bishop's Wood, but also work in school grounds and other greenspaces. An active ongoing partnership has already been developed with the Council's Outdoor Activity Service, which has led to the co-delivery (with the Helping Hands Service) of two half day outdoor "bushcraft" workshops at Bishop's Wood, and a residential outdoor wellbeing activity weekend at Borfa House for staff and their families. Similar future events are planned.

- Other opportunities include maximising income from grazing licences which benefit biodiversity to provide a fund for other management works; charging for walks/events; linking with Helping Hands to establish a tree nursery, grow and sell biomass crops, etc. This would be a medium term option and no specific income stream could be identified for 17/18.Most Welsh Local Authorities offer Tree Protection Services. Swansea's specialist arboriculturist provision (1 officer) is low compared with other Local Authorities of similar size (Basingstoke* & Deane has 11.2 FTEs).

- Swansea, Merthyr and Cardiff Councils are the only Welsh local authorities actively promoting a Landscape Design and Consultancy Service. Typical Hourly Charge-Out Rates for Local Authority landscape architects range from £45-£90 (for example Cardiff Council charge £60/hr for qualified landscape architects) and are competitive with private practice rates (£60 - £112/hr).

- All Local Authorities in England and Wales have Forward Planning Officers dedicated to providing a planning framework to guide development and make clear and consistent decision making. The size of Strategic Planning teams generally reflects the size of the local population rather than the size of the Local Authority and also fluctuates dependent upon the stage of Development Plan preparation and review which is an iterative process.

However no two Local Authorities have the same resources, expertise or local circumstances, which makes benchmarking of activities difficult

- CCS has a much smaller Sustainable Development team than comparative organisations (Public Health Wales and Cardiff Council) and is the only local authority to have commercialised its activities (£20k consultancy income in 2016/17).

3.3 CLUSTER 3 – DEVELOPMENT & PHYSICAL REGENERATION

3.3.1 The Development & Physical Regeneration Team comprises of 14FTEs and was formed in 2015 through the merger of the Physical Regeneration and Property Development teams. Since then 3 senior staff have also retired and none of these posts have been re-filled. The team is supplemented by a term agreement with Cushman & Wakefield property advisers who provide specialist advice and support in the delivery of city centre projects. The blend of In House resources supplemented by external specialists provides a good balance between the cost of delivery and the specialist skills required for delivery.

The team's role is the council's developer interface for major & complex property development schemes. This team is involved in the delivery of high profile city centre development and regeneration projects such as Swansea Central, Kingsway, Civic Centre Site masterplan, leading the preparation of Swansea's City Deal bid, preparing planning strategies such as the Swansea Central Area Regeneration Framework, delivering the Viable and Vibrant Places programme. It is also responsible for delivery of a number of other regeneration projects including Swansea Vale, Felindre and Hafod Copperworks working in partnership with WG, Swansea University along with a number of other projects either for the Council or in collaboration with other organisations or private sector investors.

Current constraints to ongoing delivery are the number of vacant posts within the team, the loss of key staff in other Council departments that support the team e.g. Legal, and access to archived information..

Recent workloads on the City Deal and enabling major City Centre regeneration projects have been significant and challenging to key team members and support staff, and needs to be addressed alongside future proofing through succession management to enable a sustainable approach to delivery.

3.3.2 **Performance Overview/ Good Practice Identified:**
- High profile City Centre regeneration programme being delivered to support corporate objectives.
- £22.25m of inward investment secured in 2015/16 related to property based projects where the Council owned the land

3.3.3 **Financial Summary**
The gross expenditure on Development & Physical Regeneration in 2016/17 was £1,529,398, broken down across the following budget areas:

42484	Swansea Vale Joint Venture	£118,600
42483	Development Projects	£695,798
42328	Spatial development	£248,700
42485	Felindre Joint Venture	£0
42486	St David's Shopping	£259,100
42487	Vibrant & Viable Places	£0

42488	City Centre Regeneration	£207,200
	Total Budget	**£1,529,398**

Note - Revenue budget position is under review to reflect current and proposed city centre regeneration projects.

Development & Physical Regeneration generated £703,130 of income in 2016/17, which represented 46% of gross expenditure.

Code	Description		Examples
42484	Swansea Vale Joint Venture	£50,000	Rental income
42483	Development Projects	£27,800	Fees
42328	Spatial development	£0	
42485	Felindre Joint Venture	£20,000	Rental income
42486	St David's Shopping	£542,500	Car parking, rental income
42487	Vibrant & Viable Places	£62,830	Rental income
42488	City Centre Regeneration	£0	
	Total Income	**£703,130**	

When taking account of the income generated by Development & Physical Regeneration, the Council's net expenditure on the service in 2016/17 was £826,268, broken down as shown below:

42484	Swansea Vale Joint Venture	£68,600
42483	Development Projects	£667,998
42328	Spatial development	£248,700
42485	Felindre Joint Venture	-£20,000
42486	St David's Shopping	-£283,400
42487	Vibrant & Viable Places	-£62,830
42488	City Centre Regeneration	£207,200
	Net Expenditure	**£826,268**

3.3.4 Benchmarking

Benchmarking has been undertaken to identify how other Local Authorities are providing their service. It is very difficult to compare the service that Swansea provides as different local authorities undertake regeneration in different ways and therefore set up their teams in different ways to match their delivery needs. Cardiff are focused on supporting developers to deliver in their city as the private sector is prepared to deliver. It is interesting to note that Carmarthenshire have recently set up a specialist development team along similar lines to Swansea.

Many local authorities are now supplementing their in house team with private sector advisers.

Cost Comparison

We have looked at our cost of providing the service and compared this to delivery by the private sector. The Table below demonstrates hourly staff costs. Since staff are our prime costs this is believed to be the most effective way of benchmarking.

CCS	Hourly Rate	Private	Hourly Rate
Strategic Manager	£35.25	Senior Director	£250
Team Leader	£32.55	Associate Director	£160
Principal Development Surveyor/ Regeneration Manager	£28.44	Senior Surveyor	£120
Surveyor	£25.68	Surveyor	£100

CCS rates do not include profit and reflect lower accommodation and administration costs.

Whilst no adjustment has been made to reflect non-chargeable time such as training and holidays, the amount of difference between the CCS and private sector rates is so significant. It can be seen that the cost of outsourcing the service would be a very expensive option.

As a cross check we have also costed delivery of certain projects within the Work Plan to establish competitiveness. The calculating takes into account the cost of all Property Development Staff involved in delivery of the projects over the next 5 years e.g.

Swansea Central £306,168
Digital Village (Kingsway) £110,380

This compares competitively with private sector rates.

It is acknowledged that the existing team needs to be supplemented by private sector professional advisors and it is envisaged that this needs to continue. However, careful management of this means the Council benefits from up to date market knowledge and advise whilst its officers do the bulk of its work. Therefore supplementing the internal team with appropriate external support creates a fit for purpose and value for money mechanism for service delivery.

If the service were to be outsourced to a different organisation CCS would still need to retain a team, albeit smaller, as an intermediary between the consultants and the Council, to liaise with other departments and provide strategic advice to Members

Detailed direct comparison with other Councils in terms of cost has not been possible as they are organised on a different basis. This is not considered to be an issue as staff costs are likely to be very similar and consultant costs are always procured to ensure value for money.

Review of Staffing Levels
As part of the benchmarking exercise a review of staffing levels compared to the workplan has also been undertaken. The team has an established workplan divided into three sections:-
- Projects.
- Strategic Sites.
- Facilitating Investment.

The current structure to deliver the agenda of the Property Development Team are:-
Strategic Manager - grade 12- 1 post
Team Leader - grade 11 - two posts
Senior Development Surveyors- grade 10 - 6 posts.
Development Surveyor- grade 9- 1 post
Project Support - grade 8 - 3 post
Surveyor - grade 8 - 4 posts (1part time)

Technical Officer - grade 5 - 2 posts part time.

There are therefore 19 posts that equates to 18 FTE. However there are currently a number of posts which are vacant, these are team leader, two grade 10 posts and three grade 8 posts. It is fundamental to fill these posts to ensure delivery of the Council's regeneration agenda.

3.4 CLUSTER 4 – CITY CENTRE MANAGEMENT

3.4.1 CCM, which employs 7 full time (2 on a reduced hour basis) and 1 part time officer, engages with a broad range of internal and external partners including Swansea BID to oversee the co-ordination of operational activities across the City Centre and develops and delivers cross cutting projects and improvements that aim to enhance the appeal of the City Centre offer supporting the City Centre regeneration programme.

CCM oversees on-street activities including the popular commercial lettings and street trading schemes and coordinates these and access to the area via the 4 City Centre Rangers who patrol the City Centre 7 days a week engaging with customers and businesses, identifying and rectifying defects and issues, developing maintenance related projects as well as managing anti-social behaviour.

CCM provides strategic leadership in terms of Swansea Market, Swansea Mobility Hire, the City Centre's vibrant evening and night time economy and also monitors the performance of the area across both its day and night sectors. The delivery of key events and marketing activities including the annual Christmas Market and Christmas lights programme are also a key CCM priority.

3.4.2 **Performance Overview/ Good Practice Identified:**
- CCM is recognised for its best practice by the Association of Town Centre Management and NAMBA.
- CCM led the achievement of Swansea City Centre's Purple Flag status in February 2015 for its evening and night time economy, which was renewed in 2016 and June 2017
- 2015 Finalist for 'Internal Service Team of the Year' for the City Centre Rangers in APSE Service Award
- High levels of customer satisfaction with City Centre Rangers and CCM run events.
- City Centre Management incepted Wales' first ever Business Improvement District (BID).

3.4.3 **Financial Summary**
The gross expenditure on City Centre Management in 2016/17 was £506,400, against the following budget code:

42251	City Centre Management	£506,400

City Centre Management generated £170,800 of income in 2016/17, which represented 33% of gross expenditure.

Code	Description	Sum	Examples
800001	Fees & Charges	£15,000	Street trading fees
800025	Contributions Local Authorities	£5,000	Internal re-charges for services & projects
800026	Contributions Other Orgs	£101,100	Christmas Market/ event

			fees & contributions from BID
800027	Contributions Private Contractors	£10,000	External charges for services & projects
800156	Rents/ Hire Income	£39,700	Commercial Lettings fees
	Total City Centre Management Income	**£170,800**	

When taking account of the income generated by City Centre Management, the Council's net expenditure on the service in 2016/17 was £335,600. However the CCM budget should be seen in the context of other budgets overseen by the Service including Swansea Market (Cluster 6) which derives a signifcant surplus.

	City Centre Management Net Expenditure	£335,600

3.4.4 Benchmarking

The Association of Town Centre Management (ATCM), the sector's leading body, recognises that that of its 400 town and city centre management practitioners no two services are the same however the majority focus on the execution of cross cutting partnerships to develop and implement shared visions, strategies and actions plans.

The ATCM membership consists of a mix of publically funded town centre managers, Business Improvement Districts (BID), Community Interest Companies (CIC's), Town Teams and more. They span across the private, public and voluntary sector, as a collective, and do not usually have a sector specific agenda rather they focus on the promotion of healthy places for the benefit of all stake-holders.

One area of the City Centre Management service were clear comparisons can be drawn is in regards to the City Centre Rangers Service.

There are multiple examples of Ranger type services being provided in towns and cities across the UK which demonstrates their value. The role of these teams is usually either ambassadorial as in Leeds, Sheffield and Newport and/ or environmental management as in Wolverhampton, Aberdeen and Leicester or a combination as per the model used in Swansea.

In terms of the management and funding of such services there appears to be a relatively even split between those over seen by BID companies and those that are run by local councils. The case in Swansea is that the Swansea BID covers 25% of the running costs.

Additional benchmarking information is presented in Appendix B

3.5   CLUSTER 5 – SWANSEA MOBILITY HIRE

3.5.1 Swansea Mobility Hire (SMH) is based within the Bus Station. It hires mobility equipment to enable those with disabilities and/or mobility issues to access the City Centre's shops and services through the provision of electric and manual scooters and wheelchairs.

The Service, which operates 6 days a week (Mon-Sat) and on Sundays in the run up to Christmas, employs 2 full time and 1 part time members of staff who also sell mobility merchandise, as well as hire lockers for luggage and shopping.

SMH has a target income of approx. £30,000 per annum which was achieved in the 2016/17 budget outturn and annual costs to the Authority are circa £94,000.

3.5.2 Performance Overview/ Good Practice Identified:

- High levels of customer satisfaction for Swansea Mobility Hire - a 2015 Customer Satisfaction Survey showed a 100% satisfaction rating of 'Very Good' of the staff, 90% of the waiting time, 90% of the equipment , 85% of the building, 80% regarding the value of the Service and 75% of the opening times.

3.5.3 Financial Summary

The gross expenditure on Mobility Hire in 2016/17 was £124,800, against the following budget code:

42252	Swansea Mobility Hire	£124,800

Mobility Hire generated £30,700 of income in 2016/17, which represented 25% of gross expenditure:

Code	Description	Sum	Examples
800001	Fees & Charges	£28,400	Hire of mobility equipment & left luggage lockers
800236	Miscellaneous Income	£2,300	Sale of merchandise
	Total Swansea Mobility Hire Income	**£30,700**	

When taking account of the income generated by Mobility Hire, the Council's net expenditure on the service in 2016/17 was £94,100.

	Swansea Mobility Hire Net Expenditure	£94,100

3.5.4 Benchmarking

Research was conducted during February 2017 regarding the services and charges applied in relation to similar mobility hire services operating across the UK. The findings are summarised in Appendix B and have been compared to the current services and charges in relation to Swansea Mobility Hire.

3.6 CLUSTER 6 – SWANSEA MARKET

3.6.1 City Centre Management manages the day to day operational and premises management and strategic development of Wales' largest Indoor Market and the circa 110 traders and their staff that it contains with the objective of maximising its full commercial potential, supporting local entrepreneurial development and raising the profile of the award winning facility located within the heart of the City Centre.

The Market, which derives an annual income mainly from trader rents of approx. £1.1 million, £705,700 of which is 'profit', is serviced by 8 full time staff who are based within the building and work on a rota basis.

Widely re-known for its fresh produce and Welsh delicacies, the Market attracts over 4million visitors per year and is open to the public Monday to Saturday and Sundays during Christmas with additional hours after closing to support trader servicing requirements

3.6.2 **Performance Overview/ Good Practice Identified:**
- Awarded 2015 'Britain's Best Large Indoor Market' by NABMA - National Association of British Market Authorities
- Swansea Life Awards: 2016 Best Visitor Experience; 2014 Big Heart of Swansea Award; 2012 Culture & Lifestyle Award Winner - Retail Category
- 'Certificate of Excellence' from Trip Advisor in 2015
- Occupancy levels remain stable at around 96-97% and rental arrears are at an all-time low tracking at 3% whilst the national average is 6%.

3.6.3 **Financial Summary**

The gross expenditure on Swansea Market in 2016/17 was £392,500, against the following budget code:

42253	Swansea Market	£392,500

Swansea Market generated £1,098,200 of income across the following activities in 2016/17:

Code	Description	Sum	Examples
800156	Rents/ Hire Income	£1,070,100	Market stall-holder rents
800236	Miscellaneous Income	£28,100	Casual lettings, storage and other tolls
	Total Swansea Market Income	**£1,098,200**	

Overall Swansea Market achieved full cost recovery in 2016/17 and derived an additional annual income to the Council of £705,700, as follows:

	Swansea Market Net Expenditure	- £705,700

3.6.4 **Benchmarking**

Research was undertaken in February 2017 to consider the performance of Swansea Market in relation to other markets across the UK using a variety of data sources and performance measures; this is presented in Appendix B.

Footfall - Information on footfall data derived over a period of three consecutive years from 2014 onwards is provided by the UK Markets Index (UKMI) which is the only independent measure of performance in retail markets in the UK.

Of the 310 retail markets that participated in the joint NABMA (National Association of British Market Authorities) and NMTF (National Market Traders Federation) Mission for Markets

2016 Survey, general performance trends were identified which have been compared with the performance of Swansea Market. This research evidences a declining national trend in terms of footfall which is also reflected locally.

Comparisons are drawn from a management and regeneration perspective of Swansea Market with several key retail markets across the UK. These are St. George's Market in Belfast, the recently refurbished Newport Market, market leader Bury Market and Kirkgate Market in Leeds.

3.7   CLUSTER 7 – ECONOMIC DEVELOPMENT & EUROPEAN FUNDING TEAM

3.7.1   The Economic Development and External Funding Team has been formed through a merger of the European and External Funding Team, Economic Development and Beyond Bricks Mortar Teams, following the retirement of the Economic Development Team Leader in March 2017. The team is responsible the Council's EU and other grant funding arrangements ranging from light touch input for finance and monitoring only, to full management and implementation of projects (e.g. Workways+). The team sets the Council's strategic framework for economic regeneration, and contributes to the activities of Swansea Bay City Region (including the City Deal), the Public Services Board and manages the Swansea Economic Regeneration Partnership. It delivers Beyond Bricks and Mortar and the Council's apprenticeship programme.

3.7.2   **Performance Overview/ Good Practice Identified:**
- Beyond Bricks & Mortar Team received Community Benefit Award for Good Practice in Procurement in Welsh National Procurement Awards 2014
- 2017 BBM National Procurement Award for Best Employment Initiative
- Track record of securing external funding through competitive bidding processes (£60.1m 2007-13, £55m 2014-20, with a further £12.58m currently under consideration) which facilitates a broad range of economic regeneration and environmental activities.
- 1378 training weeks secured through Beyond Bricks & Mortar in 2016/17, as at November 2016.

3.7.3   **Financial Summary**
The gross expenditure on the Economic Development & European Funding Team in 2016/17 was £3,041,449, broken down across the following budget areas:

42001	Economic Development	£181,189
42101	Business Development Management (including Beyond Bricks and Mortar)	£256,060
42102	Business Development	£0
16001	European Unit	£0
25006	Gower Landscape Partnership	£148,300
25007	Rural Development Plan (RDP) Business Plan 2	£1,549,100
25008	RDP Co-operation	£0
25009	RDP Animation	£0
25010	RDP Running	£0
25011	RDP Implementation	£0
25012	European & External Funding Team staff*	£0
42105	Employment Gateway	£510,200

Code	Description		Sum
42106	Convergence & RDP projects		£373,600
42108	European Fisheries		£0
42109	Workways+ Project		£0
TBC	HLF Hafod Copperworks - Development Phase		£23,000
	Total Budget		**£3,041,449**

The Economic Development & European Funding Team generated £2,612,930 of income in 2016/17, which represented 86% of gross expenditure.

Code	Description	Sum	Examples
42001	Economic Development	£0	
42101	Business Development Management (including BBM)	£9,230	
42102	Business Development	£0	UK Steel plc small business grant funding
16001	European Unit	£0	
25006	Gower Landscape Partnership	£148,000	Heritage Lottery Fund & Natural Resources Wales funding
25007	RDP BP2	£1,549,100	
25008	RDP Co-operation	£0	RDP funding
25009	RDP Animation	£0	RDP funding
25010	RDP Running	£0	RDP funding
25011	RDP Implementation	£0	RDP funding
25012	European & External Funding Team staff	£0	Staff project management and grant administration services for externally funded projects delivered in other departments.
42105	Employment Gateway	£510,200	European Social Fund
42106	Convergence & RDP projects	£373,400	
42108	European Fisheries	£0	
42109	Workways+ Project	£0	European Social Fund funding
42001	Economic Development	£0	
TBC	HLF Hafod Copperworks - Development Phase	£23,000	Heritage Lottery Fund funding
	Total Income	**£2,612,930**	

When taking account of the income generated by the Economic Development & European Funding Team, the Council's net expenditure on the service in 2016/17 was £428,519, broken down as shown below:

Code	Description	Sum
42001	Economic Development	£181,189
42101	Business Development Management (including Beyond Bricks and Mortar)	£246,830
42102*	Business Development	£0
16001	European Unit	£0
25006	Gower Landscape Partnership (HLF & NRW)	£300
25007	RDP BP2	£0
25008	RDP Co-operation	£0

25009	RDP Animation	£0
25010	RDP Running	£0
25011	RDP Implementation	£0
25012	European & External Funding Team staff*	£0
42105	Employment Gateway	£0
42106	Convergence & RDP projects	£200
42108	European Fisheries	£0
42109	Workways+ Project	£0
TBC	HLF Hafod Copperworks - Development Phase	£0
	Net Expenditure	**£428,519**

3.7.4 **Benchmarking**

External Funding Team: The team was established to address a series of internal concerns on individual departmental management of major EU funds, to achieve a holistic corporate approach. A review with colleagues at Welsh European Officers Group indicated that equivalent teams are generally location in regeneration and economic development functions. The decision to build costs of a central EU management function into all submissions at the point of application was based on a similar good practice used in Pembrokeshire County Council through their European Contracts team. This ensures a single point of contact for EU-funded schemes and contracts, compliance, performance monitoring and audit. The team is currently the largest of its type in Wales.

Economic Development (ED) is a function commonly found in most local authorities (LA) across the UK, although there are variations in the emphasis of individual services between authorities due to local strategies and issues, and that makes meaningful benchmarking between local authorities difficult. A review of the city regional authorities in England (e.g. Manchester and Tees Valley) also revealed that regional economic development functions do not replace the need for an economic development presence at a local level.

Beyond Bricks and Mortar: the team was formed to champion the inclusion of social benefits clauses in major council contracts, and was pioneering in this respect. Over time the team has adopted other measures including more recently coordination of internal apprenticeships. There are numerous examples across the UK of similar approaches, but none are identical making meaningful benchmarking difficult. The team is undertaking a survey of other authorities' approaches.

3.8 **Conclusion**

The conclusion of the service review is that whilst it has been difficult to find direct comparators for some aspects of the service, where comparators have been found, it is evident that Planning & City Regeneration provides cost effective, high performing services. In addition, the service is perfectly aligned with the Council's policy aspirations and well placed to ensure the delivery of the Council's Corporate Priorities.

4.0 **STAGE 4 – SERVICE DELIVERY OPTIONS APPRAISAL**

Based on the service review, options have been developed for each individual cluster. These were evaluated and scored at a stakeholder workshop held on March 29th. A list of attendees

at the workshop is listed in Appendix C. Full scoring matrices for each cluster are in Appendix D.

4.1 CLUSTER 1 – DEVELOPMENT, CONSERVATION & DESIGN OPTIONS APPRAISAL

4.1.1 Business models under consideration

Transform In House - This model would:
- review current development management and enforcement service levels,
- capitalise on the agile working agenda,
- promote collaboration to provide specialist services,
- Form a 'core' Land Charges team.

Outsource - This option would involve the outsourcing part or all of the development management function to the private sector. There is no scope to outsource the enforcement service as there are limited commercial opportunities and no income stream associated with this function. Outsourcing was attempted by this Authority in 2004/5 and more recently by Pembrokeshire Coast National Park Authority and Torfaen BC but they focussed mainly on the processing of a discrete range of householder or minor planning applications to address resource and/or recruitment issues during periods of workload pressure.

Collaboration - This option would involve specialist services (e.g. design/conservation/heritage) being shared at the sub-regional level. Whilst it is not considered that there is scope for collaboration on day to day development management services such as householder applications, there is scope to support other authorities with the experienced senior officers who have worked on major city regeneration projects and strategic residential sites.

4.1.2 Options Appraisal – Development, Conservation & Design

Option 1 – Transform In House
This model would:

This model would:
- review current development management and enforcement service levels,
- capitalise on the agile working agenda,
- promote collaboration to provide specialist services,
- create a 'core' Land Charges team.

The Development Management budget has reduced significantly in recent years with service levels focusing on the delivery of pre-application advise and the processing of planning applications within 8 weeks together with a heavy emphasis on the generation of fee income through the pre-application advise service and Planning Performance Agreements to deliver the statutory and non-statutory elements of the service and the Council's corporate priorities and regeneration agenda. This approach has led to a top quartile performance in Wales, a relatively high rate of refusals and a heavy reliance on fee income for the delivery the statutory development management service.

Enforcement resources have, however, focussed on reducing the backlog of historic cases which has not been reflected in performance indicators for the service. A number of high profile enforcement cases have been resolved, attracted media attention and improved the profile of the service in 2016/17.

In house transformation would see a review of service level options to strike an appropriate

balance between speed and quality of service and enforcement activity, drawing upon experience at the neighbouring Authorities of Neath Port Talbot CBC and Carmarthenshire CC.

The development of a management team approach has the clear potential to facilitate the disposal of Council owned land and the delivery of Council corporate priorities and projects such as the redevelopment of the City Centre, Strategic Sites, the More Homes Projects and affordable housing.

Fully harnessing agile working through the deployment of the Mobile App. technology offered by Idox has the potential to bring significant efficiency and resource savings whilst releasing office space within the Civic Centre. Whilst joint working with Neath Port Talbot CBC on the purchase and development of the Idox system has the potential to bring about further efficiency savings and promote collaboration.

Building upon and developing existing specialist urban design and built heritage expertise has the potential to build upon existing positive placemaking in the Authority and generate a further income stream potentially through increased pre-application charging and collaboration with Authorities within the City Deal Region.

The creation of a 'core' Land Charges team that deals with all aspects of searches will serve to address current inefficiencies and risks to the service by directly funding the currently discrete elements of the service from searches fee income.

Advantages	• Establish clear and legible service delivery options,
	• Build upon existing in-house expertise, software systems and successes particularly in performance improvement and provide further efficiency savings and income generation,
	• Build on the benefits of close working relationships between Planning & City Regeneration,
	• Develop a genuine corporate cross cutting commitment to the delivery of Council priorities, policies and projects,
	• Align with City Deal and WG agendas,
	• Promote ongoing discussions with other Local Planning Authorities within the City Deal Region regarding the sharing of specialist services,
	• Provides an avenue to increased fee income and/or provide succession planning and the potential loss of specialist expertise within the Authority and City Deal Region,
	• Build upon existing opportunities offered by technology and joint working with NPTBC,
	• Align with corporate agile working agenda, free up resources, office space and increase efficiency.
	• Improved efficiency and reduced risk to the delivery of the land charges service.
	Workshop Feedback:
	The may be opportunities to increase fee income for the provision of pre-application advice, particularly for Major applications, based upon a management team approach.
Disadvantages	• Changes to service delivery options may have unintended

	consequences including an impact on fee income,
	• A growing reliance upon fee income poses a significant risk to the delivery of the service particularly during cyclical economic down turns,
	• Lack of resources in support services e.g. IT, HR, Legal, Finance remains a risk to the delivery of change,
	• Corporate and political commitment to joint working and collaboration within Authorities is unclear,
	• There is currently a lack of commitment to the Uniform project by NPTBC,
	• Development of a 'core' Land Charges team could have budgetary implications, particularly for Legal Services who currently retain the fee income.
Financial Implications	• Changes to service delivery options may have an impact on per-application advise fee income,
	• There is potential to reduce costs and increase income through efficiency savings and joint working,
	• Savings are likely to be relatively small given that a high percentage of the budget is already sourced from fee income,
	• There are financial and performance risks associated with sharing specialist services and IT.
	• Truly maximising the potential of agile working will require the purchase of additional hardware and software.
	• Set up costs for a 'core' Land Charges team, including online portal and digitisation are unknown at this stage.
Legal Implications	• Complex Service Level Agreements and working arrangements with partner Authorities may be required,
	• Joint procurement of IT and services will require legal input,
	• The potential reduction of fee income from searches by Legal Services could impact upon other elements of the service currently subsidised by this income.
HR Implications	• Collaboration may require the regional sharing/recruitment of staff.

Option 2 – Outsourcing to Private Sector

This option would involve the outsourcing part or all of the development management function to the private sector. There is no scope to outsource the enforcement service as there are limited commercial opportunities and no income stream associated with this function.

This option was attempted by this Authority in 2004/5 and more recently by Pembrokeshire Coast National Park Authority and Torfaen BC but focussed mainly on the processing of a discrete range of householder or minor planning applications to address resource and/or recruitment issues during periods of workload pressure.

There are a number of planning consultants who have delivered elements of the development management service in particular the officer site visit, consideration and recommendation stages of the process.

None appear to have had the capacity or infrastructure to deal with the planning application process end to end or the volume of planning applications processed by this Authority.

Costs have typically been comparable with the planning application fee with all other costs being shouldered by the respective Authorities.

An analysis of the costs of the various stages and the fee income associated with the processing of the various categories of major, minor and householder applications within the Authority indicates that the officer site visit, consideration and recommendation stages represent on average 30% of case officer time.

Commercial rates would increase the cost of the service that in South Wales range between £70-£145 per hour compared to £20-£35 inclusive of on costs for professional planning officers within the Authority.

The only potentially profitable element of the development management process would be the processing of major planning applications which generated a planning application fee income in 2016/17 of £670K.

There are limited consultants providing day to day design and heritage services in support of the development management process. The in-house team has significantly lower costs than buying this service in with the added advantages of local knowledge and ability to take ownership of the outcomes. This approach is counter to the 'Place Leadership' being advocated at the national level. Outsourcing is ultimately driven by the profits of the consultant not the public good.

Advantages	- Increased potential for greater resilience and flexibility particularly during periods of high demand for elements of the service, - Payment per application ensures control of budget, - There could be benefits from new ways of working, - There are some potential cost savings: accommodation, sickness, on costs, reduced costs of democracy etc.
Disadvantages	- No private companies in the area currently provide this development management service end to end or have the capacity to handle the current scale of applications, - Very few consultants provide this day to day design and heritage service. - Planning application fees are not set on a full cost recovery basis, only profitable elements would be commercially viable e.g. major applications, - Fee income from major applications currently subsidises the non-profitable and non-statutory elements of the service and land charges, - There is clear potential for conflicts of interest, - There is clear potential for the loss of democratic accountability, - There would likely be a reduced quality of service to applicants, the public and Members, a disconnect from corporate priorities/working - Inflexibility of contracts and hidden costs, - There would be a loss of in-house expertise, - Loss of local or democratic control, - Loss of potential for income generation,

	• Additional management costs,
	• Loss of customer focus,
	• Confidentiality and security may not be respected,
	• Changes at the outsourcing company could lead to friction/lack of service,
	• Outsourcing company could go out of business
	• Lack of ownership of decision making with a focus on profit not public interest.
	Feedback from Workshop: Potential costs and income should to be fully articulated when considering this option.
Financial Implications	• Additional costs of outsourcing,
	• Reduced opportunities for income generation,
	• Non statutory elements could not be subsidised from planning application fee income,
Legal Implications	• Legal framework required to manage private sector involvement in statutory regulatory function,
	• Additional costs of procurement and management,
	• Revised working arrangements to deal with legal issues and S106 Agreements.
HR Implications	• Potential loss of approx. 30 staff.
	• TUPE implications
	• Formal consultation with affected staff and Trade Unions

Option 3 – Collaboration

This option would involve specialist services (e.g. design/ conservation/heritage) being shared at the sub-regional level.

Whilst it is not considered that there is scope for collaboration on day to day development management services such as householder applications, there is scope to support other authorities with the experienced senior officers who have worked on major city regeneration projects and strategic residential sites.

The Authority has experience of this approach through minerals planning, joint preparation of Fabian Way Innovation Corridor SPG which was led by the Authority with input from NPTBC and on the Swansea Bay Tidal Lagoon project.

Discussions have also been held with Cadw and WG about collaboration in Built Conservation/ Heritage Services. This has revealed clear support for collaboration amongst officers although there is a lack of clear direction from Cadw and a lack of resources to develop specialist roles within individual Authorities. If the Authority were to provide conservation services to a neighbouring Authority using the current resources then this may require work programmes to be refocussed and potentially stop some existing services e.g. in-house consultancy, which is not currently fee earning, or to take on an additional resource to undertake the collaboration. There may be an opportunity to provide resources in "kind" with each Authority becoming a specialist in a specific discipline.

Whilst there may be challenges in developing and operating a collaborative specialist resource, this is an opportunity for Authority to build upon and establish itself as the hub for

existing specialist services such as design, conservation and heritage by increasing the size of the Design and Conservation Team to support the wider sub-region. This could also be considered for share the CCS experience of and track record in master planning strategic sites, major regeneration projects etc.		
Advantages	• Improves access to specialist resources at the sub–regional level, • Potential to benefit outcomes in adjoining authorities where the specialist resources do not currently exist, • Potential for CCS to become the sub-regional hub for specialist services, • Improved profile for CCS, • Potential income or resource in kind for CCS, • Potential to build resilience in the provisions of specialist services. • Fits with agile working agenda.	
Disadvantages	• May require CCS to either stop doing existing work or grow the specialist resource in order to create capacity for collaboration. • Underlying competition with adjoining authorities, • Travel costs for working sub-regionally • Commitment to collaboration at political and corporate level is unclear,	
Financial Implications	• Could generate income but more likely to be time swapped for other specialist resources that CCS needs.	
Legal Implications	• Would need SLAs • Would need to model employment contracts on other cross Council services • Could this create conflict of interest – CCS employee working on item for adjoining LA that CCS doesn't support?	
HR Implications	• Regional sharing of staff. • Potential for a two tier workforce	

4.1.3 Options Scoring Summary - Development, Conservation & Design

All options were scored at a stakeholder workshop held on March 29th.

	Transform In House	Outsource	Collaboration
Service Outcomes	5.0	1.0	4.0
Fit with Council Priorities	5.0	1.0	3.0
Financial Impact	4.3	1.0	5.0
Sustainability/Viability	5.0	1.0	3.0
Deliverability	5.0	2.0	2.0
Total	**4.9**	**1.2**	**3.4**
Ranking	1	3	2

With the highest score of 4.8 the transform in-house option is the best outcome. It meets the criteria; a major improvement is likely and has the greatest potential for substantial advantages. Collaboration would partially meet the criteria and there would be some improvements, however, whilst outsourcing may address resource and/or recruitment issues

during periods of workload pressure the associated costs, infrastructure, resource and capacity issues makes this an unviable option for service delivery.

4.1.4 Preferred Delivery Model - Development, Conservation & Design

The preferred delivery model is **in-house transformation together with collaboration on urban design, conservation and heritage services**.

Collaboration is a key factor which will influence the delivery of this but this may be outside the influence of this Commissioning Review requiring corporate and regional commitment.

5.0 CLUSTER 2 – STRATEGIC PLANNING & NATURAL ENVIRONMENT OPTIONS APPRAISAL

5.1 Business models under consideration

The SP&NE section covers a diverse range of activities, and as such different business models have been considered for each part of the service, as follows:

- Countryside Access, AONB Team and Nature Conservation – Transformation in-house, partnership / collaboration and community transfer have all been identified as potential business models moving forwards. Given the Council's statutory duty for these functions and the limited commercial opportunities / market for these functions, they are not appropriate for outsourcing or delivery by a new company.
- Landscape Team – Transformation in-house, setting up a new company and outsourcing to the private sector have all been identified as potential business models. The team's function is not suitable for community transfer and greater partnership working/ collaboration is an integral part of the in-house transformation option.
- Strategic Planning – Transformation in-house, partnership/collaboration and outsourcing to the private sector/ community transfer have been identified as potential business models to be considered. The team does not have the capacity to set up as an arm's length company due to the limited commercial opportunities / market at present, as well as the requirement to meet the Council's needs.
- Sustainable Development - Two transform in-house options (transformation within the service or within the Council) have been identified as potential new business models, along with outsourcing to the private sector.

Sections 5.2 to 5.5 provide summary versions of the options appraisal for each section within Strategic Planning & Natural Environment. The full document is available on request.

5.2 Countryside Access, AONB Team and Nature Conservation

5.2.1 Options Appraisal – Countryside Access, AONB Team & Nature Conservation

2a Countryside Access, 2b AONB Team & 2c Nature Conservation
Option 1 –Transform In-House
This model would involve merger of Countryside Access with the AONB and Nature Conservation Teams within the Section, as part of a restructured Natural Environment/Resource Management Team. This model would maximise grant income opportunities and develop service improvements through the more efficient and flexible use

of resources.

This model encompasses:
- Specialist legal RoW knowledge to be brought into the team to develop service improvements. Backlog of legal work and delays would be remedied with additional post or shared post with NPTBC and the service could become more proactive.
- Improved use of technology, such as a fully functioning interactive RoW plan hosted on the Council's website.
- There is potential for the 2 person RoW direct labour team to expand either in terms of resources or remit to provide complementary work for other service areas. Creation of a 'core' Land Charges team.
- Appointment of a part-time natural environment/resources management volunteer coordinator (temporary and fully grant funded) is proposed, to free up officer time from administrative tasks and increase time spent on project delivery and match funding grants.
- Appointment of a part-time Ecologist /Biodiversity Officer (temporary and fully grant funded) to meet enhanced Biodiversity Duty requirements.
- Combine/collaborate more effectively with other Council services, e.g. Landscape, Parks Operations, Parks Development, Education, etc. This could include sharing or seconding staff, equipment and resources. New NEAT team drawn upon to assist with habitat/site management e.g. access improvement, scrub control.
- Increase commercialisation, income generation and grant funding opportunities, e.g. by bidding for external contracts
- Explore opportunities for maximising income generation from Bishop's Wood, Outdoor Learning/Wellbeing initiatives in schools grazing licences charging for walks/events; establishing a tree nursery, grow and sell biomass crops, etc. This would be a medium term option with no specific income stream identified for 17/18.
- Stopping the provision of free knotweed advise to private landowners, mortgagees etc.

Greater use must be made of IT and social media for the purposes of promoting work, community engagement, professional news, funding sources and identifying local issues. Transformation would need to be complemented by a document management system to replace the current paper-based filing/record system.

Main Advantages	- Bringing all staff and functions together creates a more efficient service for the Council as a whole - Joined up approach to and responsibility for AONB Management across the Council, including a review of governance arrangements to maximise the benefits of the AONB brand to attract inward investment and tourism - Diverse and specialist knowledge retained and enhanced - Focus on contribution to service priorities for economic regeneration and natural environment/resource management - More opportunities for grant funding of activities
Main Disadvantages	- Potentially greater need for contractors if existing Ranger Team is spread too thinly - Match funding (including officer time) can be difficult to source. - Lack of succession planning - Over-bureaucratic procedures, e.g. grant applications - Failure to comply with statutory duties may lead to intervention

	by the Welsh Government, NRW or police and could have significant financial and political implications
Financial Implications	• Recruitment of part time specialist RoW legal knowledge or pooled resource with NPTCBC would have a budget implication • A Volunteer Co-ordinator post would enable volunteer time to be used as match funding for grant applications • Potential £20k per annum income from RoW search fees – which could be invested in the improvement of the RoW network to help boost recreational activity tourism • Additional income from diversion applications due to the new specialist RoW knowledge. The amount of additional income is difficult to quantify at this stage • Renegotiation of clearance contract and collaboration with the NEAT team within urban areas will bring efficiency savings. • Volunteer coordinator and ecologist posts can be funded through WG Single Revenue Grant in 17/18. Posts could also be funded beyond 17/18 through earned income and/or by joint funding with other organisations e.g. University, NRW • The volunteer post will generate additional grant income as can use volunteer time as match funding
Legal Implications	• Search fees proposed relate to additional work and would be in addition to those already received by Legal Services • Greater ability to meet statutory obligations • The Council should have sufficient ecological experience and capacity to ensure the NERC Duty is met through its work
HR Implications	• Recruitment of part-time specialist legal RoW officer to Countryside Access Team or jointly funded post with NPTBC • Additional posts to add to structure, or could be contracted in

2a Countryside Access, 2b AONB & 2c Nature Conservation
Option 2 – Partnership/Collaboration

For Countryside Access, this model, would involve the expansion of existing and development of new partnerships. The team already work closely with local land owners, farmers, promoters of LDP Strategic Development Areas, commoners and interest groups such as the Gower Society and Ramblers Association.

There is scope to provide aspects of the Countryside Access service to adjoining authorities as part of regional collaborative working, particularly legal work such as dealing with diversion orders (if brought in-house) and direct labour for RoW improvement purposes. Collectively there is a stronger case for recruiting such specialist staff when compared to each authority justifying the full cost on their own.

However there are capacity issues with existing resources and an alternative would be for the Council to buy-in rather than seek to maintain these services in-house (specifically Legal Services).

Non-maintenance of the RoW network is not a realistic option given that walking tourism plays such an important role in the sustainable tourism offer of the County and is of significant economic benefit to rural and coastal localities in particular.

For the AONB Team, this model would retain Council responsibility for the conservation and enhancement of the AONB, but develop a linked charitable structure to widen potential income sources.

A Charitable Trust can apply for and spend a wider range of income sources. It can also find it easier to distribute grants than a Local Authority and has been successfully achieved in other Authorities, e.g. North Kent Downs, Cranbourne Chase Landscape Trust, etc. The AONB team would be able to focus on AONB management purposes, policy formulation and partnership working whilst grant aid was administered by the Charitable Trust.

A Trust would need to be managed by a board of trustees who would undertake the work of the Trust on a voluntary basis. It would also be heavily reliant on active fundraising and voluntary donations. The Trust would have a representative on the AONB Partnership Board and the Council would still be responsible for the production of the AONB Management Plan. The Trust would be responsible for delivering those management plan actions that accord with its charitable purpose.

For Nature Conservation, this model would involve revised collaborative working to build on the already extensive work with partner organisations to develop joint funded services. Beyond this there is scope to provide aspects of the Nature Conservation service to other Local Authorities as part of regional collaborative working, particularly ecological and biodiversity advice. Jointly funded posts could be created to provide this support which could also be extended to other organisations, for example:
- A shared Biodiversity Post with Swansea University. The Council's contribution would need to be grant funded and it would free up current officer time to deal with other areas.
- Through management of land, such as Sites of Interest for Nature Conservation (SINCs) and Local Nature Reserves, working in partnership with Wildlife Trust, Environment Centre, the business sector (e.g. Salix – a natural resource management company), and the Local Biodiversity Action Plan nature partnership, including establishing more Friends of Wildlife Sites groups (based on the Parks model)
- Share/second staff from NRW to deliver shared outcomes/projects.

This is not a cost saving or 'spend to save' option, the focus is on meeting corporate priorities and would require additional resources.

Across all three functions, regional collaborative working is unlikely to bring in any income in the short-term and any in-house services reduced or stopped would still needed to be provided for at most likely greater cost and risk of reputational damage if existing levels of provision are at not at least maintained.

Main Advantages	- Ability to employ/contract staff to deliver shared outcomes - Greater flexibility/ability to respond to changing needs e.g. to deliver Area Statements, Environment Act, WFG Act Resilience Goal, Green Infrastructure Strategy, etc. - More collaborative, strategic, co-ordinated approach to management of natural resources - facilitates sharing of resources, skills and expertise - Reduces competition for diminishing resources

	• Potential additional sources of securing external funding
Main Disadvantages	• It is difficult to identify many additional organisations or groups are not already working in partnership • Less efficient and effective service if delivered with existing resources - spread too thinly • Still restricted by Council procedures e.g. procurement and associated structure and relationships would be confusing/potentially conflicting • Additional investment of staff time/resources to develop , manage and support partnerships/links with charity • Council continues to bankroll, but support services funding contributions are likely to decrease further
Financial Implications	**For Countryside Access:** • Buying-in legal advise, for example from another Local Authority, would be an added cost as it is assumed that Legal Services would redirect existing resources if not providing RoW advise internally. Estimated cost £22.5k based on (0.5) grade 9 Legal Officer post equivalent **For AONB:** • This option increases opportunities for actions to support the conservation and enhancement of the AONB, however there are no direct cost savings for the Council. • Possible indirect savings as a result of reduced draw on Council services to support management plan activities passed on to the Trust. • Loss of grant income would outweigh any savings **For Nature Conservation:** • No direct cost savings • Could potentially save money (land management costs) • Commitment to providing additional resources. At 50% contribution this would cost the Council an additional £20k-£25k for each post created, some of which would be offset by grant income
Legal Implications	• Potential additional legal work/funding • Complex Service Level Agreements required • Retained access to legal support • Council retains contractual responsibilities • Would help to ensure Statutory Biodiversity duties are met • The Council must have a nominated Biodiversity Champion who is active in ensuring that biodiversity is considered throughout the Council's work • The Council should have sufficient ecological experience and capacity to ensure the NERC Duty is met through its work
HR Implications	• Potential increased working hours for Legal /Ranger team • Possible erosion of staff T&Cs as a result of budget cuts • Vulnerability to restructuring • Retained access to HR support

	• New shared posts created
	• Two tier workforce

2a Countryside Access, 2b AONB & 2c Nature Conservation
Option 3 – Community Transfer

For Countryside Access, this model involves transfer of responsibility for maintenance of the RoW network within Community Council areas to Community Councils together with the associated budget. Responsibility for all other RoW work, e.g. legal work and managing the remainder of the network would be retained in-house.

This model was attempted by WGCC in the 1990s and only Pontarddulais CC continues to participate with the support of an annual contribution from the RoW budget of £1000. However this only contributes to maintenance not improvement works which would still need to be carried out by the Ranger Team. Furthermore, Community Councils do not cover the whole of the County and they are under no obligation to take on this responsibility.

Transfer of maintenance responsibility would not reduce the need for the Ranger Team and Community Councils, like the Council, are unable to match fund against a maintenance budget. There would therefore be no cost reduction with this option and less efficiency due the number of additional contractors that would need to be engaged by each Community Council. This could be supported by local volunteers assisting with the clearance work; however this would result in inconsistent delivery and poor practice, such as cutting of protected wildflowers.

For AONB Team, this model would involve the creation of an independent Conservation Board to oversee the future governance and operating structure of the Gower AONB. The sole function would be to conserve and enhance the AONB. The Board would include Council Members, Community Councillors and Welsh Government appointees. There would be direct funding from Welsh Government for AONB management. The Board would build upon existing engagement of partner organisations (such as the AONB Partnership) and provide greater responsibility and autonomy. It would bring together the AONB Management Plan duty, the AONB team and the overall governance structure into a single legal entity. The Board could also sit alongside a Charitable Trust as outlined in Option 2.

For Nature Conservation, this model is a medium term option that seeks to establish the team/part of the team as a social enterprise, for example a Community Interest Company (CIC), set up in partnership with other like-minded organisations to help deliver and lead the efforts to achieve the changes needed to make Swansea an environmentally sustainable city. This model is aimed at meeting strategic priorities. It is not a cost saving or 'spend to save' option and would require additional resources.

The CIC would need to be supported by a group of strategic funding partners, such as the Council, Wildlife/National Trust, local Universities, etc. Directors would be elected from pledge organisations. The CIC would not be controlled by Council, but the Council would retain ownership of assets (Bishops Wood Centre and Nature Reserves). Savings would be made on VAT, non-domestic rates and operating efficiencies and there would be separate funding opportunities.

Main Advantages	• Reduced cost of direct labour
	• Ability to access broader funding than Council/enhanced commercial activity
	• Provision to take on additional powers or responsibility from the

	Council, for example countryside management functions • Support services could potentially be bought-in more cheaply outside the Council • Provide a stronger voice for the interests of the AONB
Main Disadvantages	• No track record as a delivery body – lack of skills, capacity, experience, etc. • Long lead-in time for establishment - need to develop and sustain organisation, which may detract from delivery • Disassociation from the Council would erode working relationships and commitment to Council priorities • Adequate financial reserves/assets are needed for cash flow • Potential for cuts in future Council funding contribution
Financial Implications	**For Countryside Access**: • No savings, less efficient than maintaining the paths in-house • Under this model the RoW budget would be shared pro rata between 21 Community Councils dependent upon extent of RoW network within each. However this would largely use up the £28.5k annual maintenance budget leaving the Council with less than £10k to cover the network outside Community Council areas and deliver footpath improvements, such as resurfacing, bridges, gates, etc. This would result in failure to deliver any current or future ROWIP actions • Council and Community Councils are unable to match fund against any maintenance grant funding **For AONB Team**: • The net annual cost of the AONB team to the Council is less than £80k. All operational costs and part of the salary costs (which total £88k including on-costs) are met from grant income. The establishment of the Board would see the loss of all grant income, which totalled £105k for 16/17, plus there would be a continued requirement for the Council to contribute to staff costs. The exact contribution would need to be negotiated but would be at least 50% i.e. £44k plus). Based on the experience of the Shropshire Hills AONB Conservation Board it will take at least two years to set up a Board and there will be a cash flow deficit for at least the first two years of operation thereafter (up to £50k in the first year) which will need to be bankrolled by the AONB Partnership and the Council. • This a medium term option that would fall in to the 'spend to save' category – potentially saving up to £35k per annum in 4 years' time, but which would need to be balanced against the loss of control over the management of the AONB and the advantages it brings as the main visitor draw to the area. **For Nature Conservation**: • No cost saving • Reliant on funding from partner organisations

	• Set up costs are likely to be similar to those for setting up a local government trading company, i.e. in the order of £25k to cover insurance, professional indemnity, auditor fees, ICT, legal fees, accounting arrangements, etc. In addition, ongoing annual operational costs would be £26k-£38k, which will need to be recovered. To achieve a break even position after 2 years the company will need to achieve a profit margin on sales of 22.5% • More expensive for other services than current in-house model • Additional staff would need to be employed to create capacity to support the partnership. Council would need to contribute to salary costs of up to £50k per annum (with on costs) for each additional officer. The costs should be partly offset by income earned in the long term; however there is no certainty over the level of this income.
Legal Implications	**For Countryside Access:** • Issue over responsibility and liability for health and safety issues on Community Council maintained paths **For AONB Team**: • Board would take on full responsibility to prepare the AONB Management Plan (Council would become a consultee) **For Nature Conservation**: • The Council should retain sufficient ecological experience and capacity to ensure the NERC Duty is met through its work
HR Implications	**For Countryside Access** • Potential reduction of direct labour staff • Potential TUPE transfer **For AONB Team**: • Transfer of AONB staff to the Board, together with intellectual property rights, digital data and paper files and any other assets. • This model would involve the transfer of the two members of the AONB team to the Conservation Board structure under TUPE. The team has no assets that would need to be transferred. **For Nature Conservation**: • Additional staff and/or staff job shared with other organisations

5.2.2 Options Scoring Summary – Countryside Access, AONB Team & Nature Conservation

For the Countryside Access, AONB and Nature Conservation Teams the same three potential delivery options have been identified, namely transform in-house, partnership/collaboration and community transfer. The options for each function were discussed individually at a workshop held with stakeholders on March 29th. The feedback provided is summarised below:

Countryside Access:
• Team is valued for local knowledge and wide contact with landowners and farmers.

- In support of the Partnership/ Collaboration option, Parks could support delivery of clearance/maintenance work contractually or provide manpower to support Ranger Team, otherwise risk losing specialist knowledge on RoW improvement/maintenance
- Partnership/ Collaboration model was viewed as an enhancement of in-house option 1

AONB:
- NRW content with how AONB team already operates in terms of its coordinating function, e.g. management plan, monitoring, review and as a focus for pooling resources
- Option 2 (Partnership/ collaboration) and option 3 (Community Transfer) are seen as medium term (3+years) options
- Creation of a new entity and benefits not fully understood. Worthy of further exploration in due course

Nature Conservation:
- NRW advice is that there is a big gap in environmental education provision in Wales. NRW are not currently providing this (or supporting others to provide) and are assuming that other organisations are. Potential opportunity
- Expanding the Nature Conservation Team was seen as increasing costs for the Council. Clarified that this would need to be resourced through external funding
- Sustainable management of natural resources requires a range of services/elements to come together. Area Statements may help provide evidence, but it is uncertain what level of influence they will have, e.g. with Public Service Boards
- Parks not keen on arrangements for sharing equipment, use of which is at full capacity already

Whilst the teams were assessed separately at the options appraisal workshop, as the evaluation results were so similar they have been combined and averaged into the table below.

Criteria	Transform In House	Partnership/ Collaboration	Community Transfer
Service Outcomes	4	3	1
Fit with Council Priorities	4	3	1
Financial Impact	4.1	3.2	3.1
Sustainability/Viability	4.3	3	3
Deliverability	4.3	3	1.7
Total	**4.1**	**3**	**2**
Ranking	**1**	**2**	**3**

With an average score of 4.1 the transform in-house option is clearly the best outcome. It meets the criteria, delivers the greatest financial savings and has the greatest potential for substantial advantages.

5.2.3 Preferred Delivery Model - Countryside Access, AONB and Nature Conservation

The preferred delivery model is **Transform In House.** Under this option, it is proposed to merge the above three teams (Countryside Access, AONB and Nature Conservation) into a Natural Environment/Resource Management Team. This model would maximise grant

income opportunities and develop service improvements through the more efficient and flexible use of resources.

The partnership /collaboration model would also likely to lead to some service improvements; however the teams already work in close partnership/collaboration with a wide range of external organisations and will continue to further develop these working relationships under the in-house transformation model. Therefore, by itself, improved partnership/collaboration will not deliver the step-change needed for transformational change.

Community transfer, which involves handing over responsibility for tasks, for example to a Conservation Board or Community Interest Company, remains a medium term option. It involves significant set up costs, takes at least four years to come to fruition and is largely untested in practice. However as collaborative working between organisations increases over time this option will become more viable.

5.3   Landscape Team

5.3.1   Options Appraisal – Landscape Team

2d Landscape
Option 1 – Transform In House
This model would involve the novation of the Landscape Service within the Council. This has previously been agreed as part of the Council's medium term financial plan but not fully acted upon. As a consequence landscape design contracts, for example in relation to the QEd programme, have been outsourced in some design and build contracts when services could potentially have been delivered cheaper in house. The team has been weak at promoting itself in recent years, partly due to a requirement to focus on tree works applications as a result of not being able to fill the Tree Preservation Officer post for an extended period. Income could potentially be reinvested in the creation of an additional post to expand and offer landscape design and consultancy services to other Local Authorities and organisations as part of the regionalisation agenda (see Strategic Planning Option 2). This would include feasibility studies, masterplan production, landscape management plans, hard and soft landscape design and design of SUDS. With additional resources, procurement arrangements would need to be reviewed, with projects tendered and implemented contractually and through a Swansea Council Landscape Framework. Under this Framework the Landscape Team would manage the projects from inception to completion, with all projects accompanied by a set minimum landscape maintenance period. The transformational improvements to the TPO service identified for action by the Tree Scrutiny Working Group would continue to be rolled out. Whilst there are no direct cost savings associated with this work there are efficiencies to be achieved through greater knowledge, understanding and better access to information. Greater use must be made of IT and social media for the purposes of promoting work, community engagement, professional news, funding sources and identifying local issues. Transformation would need to be complemented by a document management system to replace the current paper-based filing/record system.

Main Advantages	• A potential resource for regional collaborative working • The team would become more visible within the authority and restore connections that have been lost to 'design and build' • Diverse and specialist knowledge retained and enhanced • Improved local environment – a School grounds service could be delivered in partnership with the Nature Conservation Team • Promotion of the value and importance of trees both within the Council and with wider public
Main Disadvantages	• Heavily reliant on income generation • Lack of succession planning if permanent landscape architect post not created following current secondment • Balance between increased time for travel, workload and additional project management. • Requirement to cover costs/make a profit • The WHQS work will not be delivered based on existing resources and there is likely to be a recruitment difficulty with few local specialists and uncompetitive salary compared to private sector
Financial Implications	• The recent commission to provide the landscape design for the WHQS external and general environment works will enable the team's annual income target of £113k to be exceeded for at least the next four years. Based on currently committed work the team are expected to earn around £163k during 17/18 • The ability to deliver this work and thereby achieve the projected amount of income is limited by the capacity of the team. To assist with delivery of the WHQS work it is proposed to extend hours of existing part-time surveyors within the Regeneration Team in order to speed up delivery (extra 3 days/per week). With on-cost this would equate to around £16k, still leaving a profit of around £30k. • A case will need to be made to extend the current secondment beyond January 2018 or replace with a fixed term contract appointment until 2021. • There is potential to increase the amount of income from WHQS work. Based on current projected output every additional landscape architect (cost approx. £40k with on-costs) would generate £97k (30 dwellings/week, £75/dwelling, 43 working weeks). It is projected that 2-3 landscape architects or equivalent would be needed to deliver the WHQS programme in its entirety.
Legal Implications	• Compliance with public procurement regime
HR Implications	• Current secondment ends Jan 2018.

2d Landscape

Option 2 – Set up New Company

This model would involve the Landscape Team forming a new trading company to facilitate opportunities for income generation.

Over the medium-term improved service design, enhanced commissioning practice, better collaboration with partners, and a clearer focus on citizen priorities has the potential to deliver improved value for money for citizens and taxpayers and greater social returns on investment.

The TPO Service which reports to and is serviced by the Development Control function would remain in-house. The trading company could therefore only apply to the landscape service which to be cost effective would need to be expanded to be able to offer additional services/have the necessary capacity to undertake additional work. It would therefore be more suited to be part of a generic trading company covering a range of local government functions.

Main Advantages	• Ability to raise profile of the team without constraints • Ability to carry out private commissions and engage other consultants/ specialists when required • More flexible to change • Could result in increased productivity • Platform to encourage more income generation and expand service delivery
Main Disadvantages	• Initial outlay and set-up (staff time and funding) • Team is too small to work effectively in this manner, and would need to cover costs and require up-front investment • It would not apply to the TPO service and could lead to loss of capacity to deliver core functions if income does not generate sufficient profit • There would be limited capacity to implement the transformational improvements to the TPO service identified by the Tree Scrutiny Working Group • Lack of capacity of manage additional work in addition to current commitment to WHQS over the period to 2021
Financial Implications	• No cost saving • More expensive for other services than current in-house model • Financial models based on other Council's trading companies e.g. Staffordshire, indicates initial set up costs would be expected to be in the order of £25k to cover insurance, professional indemnity, auditor fees, ICT, legal fees, etc. In addition ongoing annual operational costs would be £26k-£38k, which will need to be recovered. To achieve a break even position after 2 years the company will need to achieve a profit margin on sales of 22.5% • Additional staff would need to be employed, minimum £40k-£50k per annum with on-costs, who would need to generate sufficient income to at least cover their costs (spend to save). High risk as prior to WHQS work the landscape team were not meeting their annual income target of £113k

	• Need to set up separate financial systems and accounting arrangements
Legal Implications	• Legal advise needed to set up, especially company requirements and governance arrangements
HR Implications	• Set up with part-time seconded staff under TUPE • TUPE implications for existing staff • Consultation with staff and Trade Unions essential

2d Landscape

Option 3 – Outsourcing to Private Sector

This model would involve stopping the service and buying-in Landscape and Tree services on a consultancy basis.	
Main Advantages	• Enables access to latest external experience and potentially additional resources for specific projects. • No periods of specialist absence • Introduction of new ways of working and innovation • Removal of cost of democracy
Main Disadvantages	• There are private companies who could deliver elements of the advice and services provided by the team, but landscape architect firms in the Swansea area and few arboriculturists. • Not in a position to immediately respond to requests for Information from the public, Members and other service areas • Private sector would not be able to provide users with aspects of the service such as the depth and breadth of knowledge of the Council • Contractual issues, including service changes lead to increased costs over contract price • Lost commercial opportunities
Financial Implications	• Commercial rates would increase cost of service • Current annual salary costs for the 3 person landscape team equates to £138k including on-costs. Buying in this level of service would cost between £290k and £542k (based on rates of £450-£840/day and 215 working days)
Legal Implications	• Additional legal support required for serving TPO notices, etc.
HR Implications	• Potential loss of up to 3 staff (local employment) • TUPE implications • Consultation with staff and Trade Unions

5.3.2   Options Scoring Summary – Landscape Team

Each of the options were discussed at a workshop held with stakeholders on March 29th. The feedback provided is summarised below:

Option1- Transform In-house:
- A strong track record of providing a valued, independent service for landscape services to support other departments and organisations
- Provides an opportunity for a more recognised team that builds on existing specialisms that can contribute significantly 'on the ground' to improvements at community level
- Can play a role in addressing key wellbeing goals
- Established local knowledge improves quality and efficiency of service delivery and outcomes
- Only a small team, with an older age profile, and experience shows it is difficult to recruit officers with such skills within the market place
- Reliance on contracts to fund operations

Option 2- Set up new company:
- There are relatively few outfits operating in the market to potentially bid for the range of contracts that could be on offer
- A less constrained working environment and reduced bureaucracies associated with local govt – e.g. procurement
- Expense and mechanics involved in setting up what is in effect already being provided on a quasi-independent basis for Council departments
- Could become increasingly remote from other departments – efficiencies and enhanced quality can come from being 'embedded'
- Vulnerable to flux in the demand for services – peaks and troughs that might occur
- Would not apply to TPO service- required in house

Option 3- Outsourcing to private sector:
- Perceptions of greater innovation
- Theoretically a choice of providers thereby helping to reduce costs
- No apparent firms providing the full range of services provided by the team
- An unsustainable model in terms of not retaining skills that can over time produce economies through continually applying skills and knowledge rather than keep purchasing
- Skills already in the organisation would be lost

The scores for each option are outlined below:

Criteria	Transform In House	Set Up New Company	Outsource
Service Outcomes	5	3	1
Fit with Council Priorities	5	3	1
Financial Impact	5	2.3	1.7
Sustainability/Viability	3	2	1
Deliverability	5	1	3
Total Score	**4.8**	**2.3**	**1.5**
Ranking	1	2	3

5.3.3 Preferred Delivery Model – Landscape Team

With an average score of 4.6 the transform in-house option is the best outcome. It meets the criteria; a major improvement is likely and has the greatest potential for substantial advantages. Setting up a new company would partially meet the criteria and there would be some improvements however, as with the outsourcing option, any potential advantages are outweighed by the financial disadvantages.

The in-house option maximises the opportunity to deliver the WHQS external and general environment works programme. Additional part-time staff have recently been engaged to assist with this task which will enable the team's annual income target to be exceeded for at least the next four years. There is also potential to increase the amount of income from WHQS work by contracting in additional landscape architects who would more than cover their costs and ensure the WHQS programme is delivered in its entirety.

5.4   Strategic Planning

5.4.1   Options Appraisal – Strategic Planning

2e Strategic Planning
Option 1 – Transform In House
Resources devoted to the planning function have reduced significantly in recent years at the same time as unprecedented demands are forthcoming, particularly associated with delivering the statutory development plan and other planning frameworks, as well as the aspirations for delivering transformational strategic scale development across the County. The Strategic Planning Team has had to adapt to these demands by taking the lead on a more collaborative forward planning approach, and also by developing more specialist skills. This model would be based on an in-house transformation of the team's functions and work programme to considerably enhance the ongoing development of key skills and specialisms (such as undertaking Sustainability Appraisals, Green Infrastructure Assessments, Spatial Analysis and Database Development, financial viability appraisals of development proposals, etc.), such that the team becomes a key enabling mechanism for a diverse range of corporate priorities, including: creating economic prosperity; increasing affordable housing provision; securing developer contributions/levies; delivering more accessible green infrastructure and open spaces; enhanced sustainable travel choices; and delivering new physical infrastructure and community facilities. Many of these are important facilitators of well-being and are cross-cutting themes and corporate objectives. This model responds to the requirement for the Council to produce evidence and outputs that will fulfil its obligations under the WFG Act. This model will still require the team to produce and monitor the development plan for the County and also respond to priorities for delivering new planning guidance and specific development strategies/briefs. The team have developed a strong culture of multidisciplinary working and bring officers together across a wide range of service areas into project groups to facilitate the delivery of the wider social, economic and environmental objectives of the Development Plan. This is at the heart of the well-being goals. Further transformation offers the opportunity to formalise and/or expand thematic strategies (e.g. transport, greenspace, etc.) and site specific strategic projects. This approach seeks to improve service quality, provide greater resilience and enhance opportunities for workforce development and progression.

This must be supported by greater use of IT and social media for the purposes of promoting work, community engagement, professional news, funding sources and identifying local issues. Transformation would need to be complemented by a document management system to replace the current paper-based filing/record system. This transformation will require the role of the Planning Technician to be expanded to assist with the delivery of this task which applies to all teams within the section and would lead to more efficient, effective and agile working.

Main Advantages	• There are ongoing discussions with other Local Authorities within the Swansea Bay Region exploring the opportunities for more collaborative working, particularly in sharing or pooling of specialist services and the joint collation of spatial planning data and evidence. • Improved communications/promotion of service area/public perception • Diverse and specialist knowledge, and knowledge of local area and issues, retained and enhanced • Potential for increased income generation/external funding generation • Focus on contribution to service priorities for economic regeneration and natural environment/resource management
Main Disadvantages	• A reduction in resources elsewhere within the Council is affecting the Team's ability to deliver its priorities • Over-reliance on grant funding/income generation • Over-bureaucratic procedures, e.g. procurement • Swathe of new legislation impacting on fragile service • Expectations increasing, resources/skills diminishing, legislation increasing in complexity
Financial Implications	• There is also scope to transform the way services are delivered during regular public consultation on plans and strategies. Development of an in-house e-consultation service would save up to £4k /annum on a service which is currently externally hosted (there would be initial set-up costs to be met in the short –term, but is a 'spend to save' opportunity). • Use of in-house mapping services, for example, production of LDP proposals map and hosting on-line interactive map would save £7k on current consultant's costs (one-off) to provide this service. • Publishing Council strategies on line would save (one–off) printing costs. The current development plan cost £15k to print. • Undertaking the Sustainability Appraisal (SA) of the LDP in- house has saved around £60k in consultancy fees based on the costs incurred by adjoining authorities for this work. This is an iterative process that needs to be carried out at each stage of plan preparation Specialist skills are held within the team which are potentially income generating given the majority of LPA's outsource their SA process.

Legal Implications	• None
HR Implications	• No further staff reductions • Additional training needs

2e Strategic Planning
Option 2 – Partnership/Collaboration

This model advances the options outlined in the recent White Paper – Reforming Local Government: Resilient and Renewed, which proposes that land use planning be undertaken on a regional basis in future. This would be achieved either through formal arrangements to prepare Strategic Development Plans for a region, or to pool resources within a region for the production of Local Development Plans. This model could be considered a medium term add-on to Option 1.

Good regional collaborative working already occurs on minerals and waste matters, whilst LDP evidence has been gathered jointly with NPTBC in relation to Housing and Economic Prosperity and SPG jointly produced in relation to Fabian Way. This collaborative working also extends internally within the Council, with Housing, Regeneration and Highways jointly involved in the commissioning of project work.

There is scope for this to be extended and Service Level Agreements (SLA) entered into for elements of service delivery such as Sustainability Appraisals, Viability Assessments, etc. However full service delivery on a regional basis would involve a review of governance arrangements, including plan preparation and decision-making.

Main Advantages	• Supports strategic decision-making at the regional level and aligns well with City Region agenda • It would guide decisions on which specialist services to invest in to support the strategic planning function • Collaborative working to identify key issues and develop policies to address them • Would address loss of specialist expertise within the region • Identified regional deficiencies in ecology and landscape offer an opportunity for the Nature Conservation and Landscape Teams
Main Disadvantages	• Influence over direction of regional working lies outside the Council's control i.e. reliant upon outcome of White Paper and the outcome of the current multitude of Planning consultations on the future of the National Development Framework/National level planning frameworks, Strategic Development Plan/Regional Planning and revisions to the form of Local Development Plans. • The service cannot operate on a leaner, cheaper and wider basis whilst also improving quality and resilience • Introduces more complexity and bureaucracy to an already overcomplicated planning system – and will potentially deter investment in the region • Uncertainty as to how technical support services, e.g. highways, legal, etc. would support regional working
Financial Implications	• Potential reduced costs due to shared collection of evidence

	(typically 15% reduction where commission shared between authorities) however differing issues and needs between areas working on a regional basis could equally lead to increased costs
	• Regional pooling of budgets requires mandatory financial framework. Staff time contribution would also be needed
	• Financial risk of investing in specialist services with no guarantee of return. If an Authority maintains and grows a specialist service, there is no guarantee of financial commitment from other authorities in the region that they will draw upon the service even if a SLA has been entered into. Services provided would also only likely to be required on an occasional basis e.g. annually or during periods of development plan preparation/review and could not therefore be relied upon as an income source.
Legal Implications	• Potential new governance arrangements
	• Complex SLAs required
HR Implications	• Regional pooling of staff

2e Strategic Planning
Option 3 – Outsourcing to the Private Sector/Community Transfer

This model would involve buying-in services on a consultancy basis to deliver aspects of the service and devolving place-making to the neighbourhood level. It would be a hybrid model of delivery through a combination of in-house, partnership and contractual arrangements.

There are a range of planning consultants who could deliver elements of the advice and services provided by the team. Work is currently outsourced where there is an in-house lack of expertise or resource.

Outsourcing could not extend as far as statutory plan production due to potential conflict of interest as well as lack of knowledge of internal processes and reporting procedures and the commercial confidentiality of information gathered in support of plan preparation.

Neighbourhood planning is emerging practice, whereby plan making at community level is devolved to Community Councils and other local interest groups. However this has to sit under and accord with an adopted Development Plan. It requires an increase of skills and capacity at the community level plus significant resources from the Council (finance and staff-time) to support the Community which are not currently available.

Main Advantages	• Introduction of new ways of working and innovation
	• Consultancy support already drawn upon for some commercial work
	• Enables access to latest external experience, broader knowledge and potentially additional resources for specific projects
	• Perceived "robustness" of third party impartial production of evidence.
Main Disadvantages	• Loss of in-house expertise (Council becomes ill-informed client

	lacking sufficient knowledge to scrutinise contracted service and outputs). • To work effectively would need full access at early development stage of plans and policy formulation – access only likely to be granted to internal staff • Culture of money making as opposed to social conscience of Council • Process of procurement and support and scrutiny of contracted services does not necessarily reduce the need for officer time and expertise • Neighbourhood planning is a significant drain on resources and is still in its early stages of development. Lack of capacity to support
Financial Implications	• Commercial rates would increase cost of service. For one-off commissions the South Wales private sector rates range between £70-£145 per hour. The 17/18 salary costs for the 6.5 senior/principal planning officers in Strategic Planning Team amounts to £249k. To provide the same level of service based on private sector rates for 215 working days would cost between £734k and £1.4m, however, in reality, a discount to this cost could be negotiated • Supporting neighbourhood planning would lead to a reduction in capacity and resources for the Council to produce its own statutory plan, the budget for which is currently around £23k per annum. DCLG research indicates that a neighbourhood plan will cost between £20k to £86k to produce. The costs are expected to be met between the plan promoters (usually the local community council) and the local planning authority. At the very minimum the Council contribution to a neighbourhood plan covering a small village would be £5k-£10k and between £25k-£70k for a small town. These costs do not include officer time, legal fees, admin costs or lost income from planning applications covered by a neighbourhood plan development order • On average £25k-£50k is spent per annum outsourcing work to provide the evidence base to support the LDP. This has included the commissioning of SPG, for example, the recent HMO SPG cost over £40k not including considerable in-house support and is not a particularly cost effective method of plan-making.
Legal Implications	• Compliance with public procurement regime
HR Implications	• Potential loss of staff (local employment) • TUPE implications • Consultation with staff and Trade Unions

5.4.2 Options Scoring Summary – Strategic Planning

Each of the options were discussed at a workshop held with stakeholders on March 29th. The feedback provided is summarised below:

Option1- Transform In-house:

- Will enable other teams/sections of the Council to draw on services provided by the upskilled team, e.g. open space appraisals, strategic transport proposals, etc.
- The relatively young age profile of team will enable upskilling to bear fruit
- Diversification of function of team will enhance its capacity to 'add value' to the organisation and give it a stronger footing to face future challenges and ever changing priorities
- Will be consistent with the aspirations for delivering services on a joined up basis, fostering collaboration between sections
- Optimal arrangement for delivering good placemaking, attuned to the local level
- Cost savings of not constantly buying in expertise in key areas
- Increases potential for a 'project based' approach to delivering forward planning aspirations to be undertaken, as this inevitably requires a co-ordinating role for the project officer to work with other departments on complex sites
- Will enable services to potentially be charged out to their organisations, where a particular specialism is an asset for their requirements
- Track record of specialist planning functions being offered and delivered across region already – e.g. mineral planning
- The full potential of generating fees from external charging is unknown
- Necessitates a well-resourced team which is challenging to maintain

Option 2 - Partnership/Collaboration:

- Potential for reduction in overheads if staff were housed in a single regional facility
- Could deliver optimisation of staff efficiency if there was no replication of specialisms across the region and sufficient staff to undertake local as well as regional priorities
- Opportunity for certain strategic planning aspects (i.e. technical areas such as development viability appraisals) being formally agreed to be delivered collaboratively and/or across region, without need for wholescale new regional structure
- Complex HR implications and arrangements for staff under contract to work for different local authorities but undertaking same work. Need to understand what the mechanics are for ensuring equal conditions, treatment and terms for staff
- Experience of arrangements such as Western Bay illustrate the significant amount of resources and diverted time to setting up the processes
- The national requirements/proposals for delivering planning at a regional level are not yet known and any decisions now by individual authorities may not reflect how Welsh Government wish arrangements to proceed
- The key driver for deciding on how strategic planning should be delivered on a regional scale should be the evidence for it (e.g. the geography of the City Deal area, technical, or on housing markets, etc.), which are not likely to be along merged authority boundaries and therefore there is a risk of setting up planning areas within overlapping administrative areas. This adds to bureaucracy and complexity for service delivery
- Concerns about the governance of new planning areas being misaligned or even remote from elected representatives which fundamentally undermines the requirement for stakeholder involvement in the forward planning process
- Other parts of the Council (e.g. 'Resilience') have tried moving towards a regional basis for service delivery but moved back in house
- The mechanics of resolving issues surrounding HR, governance changes, national government requirements on re-organisation and regional planning, and other matters point to transfer of entire strategic planning function to regional arrangement being a more medium to long term model if these matters can all be addressed in time

Option 3- Outsource to the private sector/community transfer:

- Potential for innovation
- Could provide objective third party view of contested issues
- Experience has demonstrated that contracting out separate studies and tasks still requires significant officer involvement to keep work on track and therefore actual costs to produce work can sometimes be doubled in effect
- If private sector is not available to undertake tasks/blocks of work, it can lead to delays and risk to economic growth
- Not a sustainable model in terms of not retaining skills that can over time produce economies through continually applying skills and knowledge rather than keep purchasing
- Skills already in the organisation would be lost and Council losing touch with understanding of work undertaken
- Multiple situations of conflicting interests likely
- The forward planning process inherently requires a deep knowledge of local issues and circumstances
- Complexities and difficulties of a remote organisation providing the co-ordinating role between Council service areas that strategic planning needs to provide
- Community level planning through voluntary and community groups does not have the expertise to carry out the complex, huge range of forward planning services required

The scores for each option are outlined below:

Criteria	Transform In House	Partnership/ Collaboration	Outsource
Service Outcomes	5	3	1
Fit with Council Priorities	5	3	1
Financial Impact	3.7	3.7	1
Sustainability/Viability	4.5	3.5	1.5
Deliverability	5	3	1
Total	**4.6**	**3.2**	**1.1**
Ranking	1	2	3

5.4.3 Preferred Delivery Model – Strategic Planning

With an average score of 4.6 the transform in-house option is the best outcome. It meets the criteria; a major improvement is likely and has the greatest potential for substantial advantages. Partnership/Collaboration also partially meets the criteria, with some improvements likely. However, as with the outsourcing option, the potential advantages are outweighed by the financial disadvantages.

The partnership /collaboration model would also likely to lead to some service improvements, however the teams already work in close partnership/collaboration on a regional basis with other authorities in South West Wales and this will continue under the in-house transformation model in any event as there is a move towards regional land use planning in the medium term. Additional partnership working and collaboration over and above existing/planned arrangements will not deliver the step-change needed for transformational change.

Outsourcing does not deliver a service and is only a feasible option for specialist commissioned work where the necessary skills are not available in-house. It is not

sustainable in the long term, requires significant in-house support and is very expensive by comparison with in-house delivery.

5.5 Sustainable Development Team

The Team Leader post has already been deleted as part of the service's Senior Management Savings. In addition the vacant Project Officer post is being held vacant pending the outcome of the Commissioning Review, and if not filled would provide a further net budget saving after other costs have been deducted.

During 16/17 the team has for the first time provided expert external consultancy work to other public sector bodies in Wales on the WFG Act, capitalising on opportunities created by the new Act and the team's reputation. However the team will be unable to continue this very specific and timely commercial offer with current resources.

5.5.1 Options Appraisal – Sustainable Development Team

2f Sustainable Development
Option 1 – Transform In-House (within Service)
This would seek to move towards reinstating the team's previous award winning model – an independent team that acts as an 'honest broker', free from bias or vested interests, working corporately to provide process consultancy support to support corporate transformation by enabling the Council to respond to, and capitalise on, the WFG Act and wider sustainability agenda, and undertaking commercial work for other organisations.   This would involve appointing to the vacant Project Officer post – upgraded to an additional Policy Officer (Grade 9), which would enable continuation of currently provided commercial work (£10k income per annum), corporate services, including the Climate Change Act and input into the Renewable/Smart Energy agenda working in collaboration with Corporate Building and Property Services. This would also enable cultural and behavioural change underpinning the Act to be driven through all areas of the Council including the seven areas for change identified in the statutory guidance.   The team would need to be directly managed by the Section Manager as the activities are unrelated to any of the other service area teams.   The retention of an in-house expert team would provide the opportunity in the medium term (5+ years) to further transform into a shared service for more than one public body, i.e. at a regional level. This could be cross-sector not just within local government. This would be a medium term aspiration because currently organisations and the WFG Act are not yet mature enough for this way of working.   Transformation would need to be complemented by a document management system to replace the current paper-based filing/record system.

Main Advantages	• Diverse and specialist knowledge can be retained and enhanced • Maintain a commercial profile and continue to identify commercial opportunities • Ensure WFG Act is implemented successfully across the Council and that the Council maximises from the Act and its role in enabling transformation.

	• Continue to lead on SD enabling transformation and other key agendas • Other organisations are having to buy in this knowledge
Main Disadvantages	• Being based within a service rather than at the centre of organisation can cause confusion over responsibility for WFG Act requires a clear mandate for the team in the roll-out of WFG Act related behaviour change • Capacity/resources limits the extent to which the team will be abl be more proactive/innovative • Priority needs to be focussed on the Council not other organisation this stage of WFG Act adoption • Uncertain whether team will continue to be able to achieve annual income target of £10k • There is sufficient budget to support appointment of an additional full time Policy Officer, but no operational budget without further reducing the saving of the deleted Team Leader post
Financial Implications	• The appointment of a full time Project Officer (mid-grade with on-costs) would cost £45.1k. This would be need to be met from a combination of the remaining vacant post salary (£8k) income earned (£10k) however these income streams are the subject of competitive bidding and are therefore not reliable sources of income, redirecting all operational budget to salaries (£18.5k), leaving a salary shortfall (cost) of £8.6k.
Legal Implications	• Ensures statutory requirements in relation to the WFG Act and Climate Change Act are met
HR Implications	• One deleted post, one vacant post filled and regraded

2f Sustainable Development

Option 2 – Transform In-House (within Council)

This model involves splitting the existing resource (2 x 0.8 officers) between the centre and the Planning and City Regeneration Service.

There is a new central Strategic Development Unit in the process of being set up and there is an opportunity for this unit to incorporate a member of the Sustainable Development Team who would bring with them experience of enabling Council services to deliver the WFG Act, change management, central policy development as well as servicing and supporting the PSB.

As part of this split the remaining officer would focus on the Planning and City Regeneration agenda and dealing with delivery of more sustainable forms of development, Sustainability Appraisals of plans, Climate Change, Green Growth, Smart Cities, Foresighting, etc. It would be expected that the officers would continue to work closely together in the short-term until existing project work is completed.

Main Advantages	• Governance of WFG Act via FGB has implementation route to cascade decisions throughout the Council • Use commercialisation expertise and experience to help

	commercialise Strategic Delivery Unit /Corporate Policy Team
	• Builds skills and knowledge, enabling knowledge transfer within services and across the organisation
	• Corporate Performance/ Strategic Delivery Unit /Corporate Policy Team development and refinement of Integrated Impact Assessment and diagnostic workshops
	• Strategic Delivery Unit /Corporate Policy Team capacity to develop new ways of working at a corporate level
Main Disadvantages	• There is a potential risk that the WFG Act becomes too transactional focusing only on compliance rather than for full transformation of business as usual / service delivery.
	• There is a risk of too much focus on the WFG Act and not enough on wider SD issues, Climate Change Act, sustainable regeneration, and, depending on the remit of these teams, the cultural change elements of the Act i.e. ways of working
	• Team's quality, derived from its collective knowledge and experience, could potentially be diluted if working separately in an uncoordinated manner
	• For the Council to deliver the WFG Act effectively services need advise and guidance from SD experts
Financial Implications	• Restructure of SP & NE teams will generate a £30k saving in 2017/18.
Legal Implications	• Potential for legal challenge of the WFG Act reduced.
HR Implications	• Loss of Project Officer post

2f Sustainable Development	
Option 3 – Outsourcing to Private Sector	
This model would involve stopping the in-house SD service and to buy-in SD services on a consultancy basis.	
Advantages	• Enables access to latest external experience, broader knowledge and potentially additional resources for specific projects
	• No periods of in-house specialist absence
	• Potential introduction of new ways of working and innovation
	• Removal of cost of democracy
Main Disadvantages	• Loss of reputation as regional leader in SD agenda
	• Loss of in-house dedicated expertise/difficult to bring back in-house in future
	• SD support is a corporate function. Would require significant procurement across the Council
	• No guarantee that sufficient and appropriate consultants are available locally – small pool within Wales and short to medium term high demand for services

	• Commercial rates would considerably increase cost of service
Financial Implications	• There are a range of professional firms and consultants who could deliver elements of the advice and services provided by the team. The daily costs within the private sector range from £550 for an individual private consultant to over £1000 for a larger organisation such as PWC. The SD team's daily rate for commissioned work is £350 which works out just under £47/hour and is almost double the actual salary cost to the Council. • If the in-house SD service were stopped the savings (including for the deleted and vacant post) would be approx. £170k based on 16/17 figures (for four members of staff). The cost of employing the cheapest available local consultant on a full time basis would be around £120,000 per annum based on daily rates (215 working days), but would only provide just over 60% of current capacity. It is acknowledged that in practice a cheaper rate would be negotiated. However for comparison purposes based on daily rates in order to provide the equivalent staffing levels as at present (the budget for which for 17/18 is £120k) it would cost £189k per annum, and to provide the equivalent of Option 1 it would cost £307k per annum.
Legal Implications	• Potential failure to fulfil duties and obligations under the WFG Act
HR Implications	• Loss of 4 posts (local employment) • TUPE implications

5.5.2 Options Scoring Summary – Sustainable Development Team

Each of the options were discussed at a workshop held with stakeholders on March 29th. The feedback provided is summarised below:

Option 1- Transform In-house (within service):
- Could give greater stature to the Council's commitment to the WFG Act to have a dedicated team
- Dedicated team within the service could be the best way of maintaining vision and mission of service
- Remote from, and potentially not aligned to, the corporate SD function causing confusion over responsibilities
- Not the most efficient or effective utilisation of resources since there would be two parts of the organisation dedicated to similar aspirations
- Already a commitment to facilitate the WFG Act in a different part of the Council
- A separate team doesn't help communicate that SD is a cross corporate objective

Option 2- Transform In-house (within Council)
- The WFG Act is already embedded centrally within the Council and this transformation could augment and enhance that function
- Ability to better communicate role of function across the Council and deliver change
- Good chance of identifying efficiencies and most streamlined way of working
- Innovation benefits of sharing ideas

- Tap into established networks of the different service areas
- Strategic Delivery Unit still somewhat unknown or untested in terms of delivery
- If the current SD team is split, will SD policy development be side-lined from the more central corporate priorities of the Delivery Unit?

Option 3 – Outsourcing to Private Sector
- Potential for innovative schemes to be identified not otherwise within the skills remit of a small number of officers
- Builds on some background of involving private sector in specialist areas to assist team
- Experience has demonstrated that contracting out work still requires significant officer involvement to keep work on track and therefore actual costs to produce work can sometimes be doubled in effect
- Not a sustainable model in terms of not retaining skills that can over time produce economies through continually applying skills and knowledge rather than keep purchasing
- Skills already in the organisation would be lost

The scores for each option are outlined below:

Criteria	Transform In House (within Service)	Transform In House (Within Council)	Outsource
Service Outcomes	5	3	1
Fit with Council Priorities	3	5	1
Financial Impact	3.7	3	1
Sustainability/Viability	3	4.5	1
Deliverability	3	3	1
Total	**3.5**	**3.7**	**1**
Ranking	2	1	3

5.5.3 Preferred Delivery Model – Sustainable Development Team

The Sustainable Development Team has recently gone through a period of significant change and options are limited given available resources. The team's function is not suitable for community transfer and does not have the capacity to set up as an arm's length company due to limited commercial opportunities and a very limited market, as well as the requirement to continue to meet the Council's needs.

Outsourcing would result in a situation where the Council would be worse off both financially and in terms of knowledge and expertise, therefore transform in-house is the only option available. It partially meets the criteria, will lead to some improvements and potential advantages outweigh disadvantages. However there is a significant difference between transforming within Service – which would retain the current team and transforming within Council which would involve splitting up and disbanding the team. This latter option scored slightly better at the options appraisal workshop (total average score of 3.7 compared to 3.5), as it would ensure the needs of both the Service and the Council could continue to be met.

5.6   Preferred Delivery Model – Strategic Planning & Natural Environment

Taking the above into consideration, the preferred delivery model for Strategic Planning & Natural Environment may be summarised as follows:

- Continue restructure of the Strategic Planning and Natural Environment Section by merging the Countryside Access, AONB and Nature Conservation Teams into one team and split the Sustainable Development Team between the Service and the Centre
- Support the Landscape Team to deliver the WHQS external and general environment programme, including providing additional resources
- Advance the skills, experience and specialisms of the Strategic Planning Team to take a lead role on land use planning related matters both across the Council and regionally.

6.0 CLUSTER 3 – DEVELOPMENT & PHYSICAL REGENERATION OPTIONS APPRAISAL

6.1 Business models under consideration

Transform in House - This model would maintain direct provision of the services, but seek to, maximise income and develop service improvements through the more efficient and flexible use of resources and improved technology

New Company - This would mean setting up a new company wholly owned by CCS but operating with a private sector ethos.

Collaboration including Outsourcing - This model would require a joint venture with one or more local Authorities; it would require agreement on behalf of all parties for a long-term plan for the provision of Property Development Services.

6.2 Options Appraisal – Development & Physical Regeneration

Option 1 Transform In House
In house transformation would see a review of service level options to ensure that the planned programme of work can be delivered in a timely manner and within budget. Ways in which the service can be improved:- 1. Fill vacant posts and restructure team to ensure team is fit for purpose. 2. Manage agile working to ensure effective team working and delivery. 3. Implement a document management system allowing easy access to shared data and improve archiving arrangements. 4. Review the complementary role of Consultants working with CCS staff to maximise efficiency and cost effectiveness of project delivery 5. Further develop efficiency savings from joint working with other teams, including on leases & rents. 6. Look at new measures of performance. 7. Examine how we engage with the private sector and Welsh Government 8. Monitoring on an annual basis. 9. Deliver planned regeneration programme over 5 years. 10. Develop staff to ensure the right skills are in place to deliver the agenda. 11. Attract further inward investment through joint working with the Councils Economic Development Team and attendance at business events. 12. Identify potential ways of creating additional income opportunities for the Council through property development e.g. secure income streams that exceed the cost of borrowing

13. Look at the regeneration of key settlements outside the city centre as part of the future workplan.
14. Consideration needs to be given to how Swansea and the City Centre is marketed to attract occupiers and raise awareness.

Advantages	• Builds upon existing in house expertise and delivery track record.
	• Can be progressed quickly to meet tight timescales for project delivery
	• Builds on the close working relationships with planning and other in house teams.
	• Maintains control of the service and allows it to ensure delivery is linked to the Corporate Priorities of the Council.
	• Looks to create income streams for the Council.
	• Access to private sector investment and specialist professional advise not available within the council is easily accessible through the existing team structure and is available to wider Council organisation when required
	• If there is spare capacity consideration could be given to selling our services to other organisations over the medium to long term.
	• Team is inextricably linked to other CCS objectives and priorities e.g. City of Culture.
Disadvantages	• It may be difficult to recruit people with the right skills as there is a lack of property professionals across the UK with the relevant property development experience
Financial Implications	• Delivery of current projects over 5 years will cost £2.5m. This will generate significant economic benefits that are currently being assessed through an Economic Impact Assessment to justify investment and feed into the City Deal process.
	• Significant capital and revenue budgets are required to deliver projects.
	• Explore income generating opportunities from property utilising risk management
	• Corporate budget cuts are impacting on service area performance. Less legal, HR support
Legal Implications	• Efficient project delivery is dependent on experienced and timely commercial property legal and procurement advice. Outsourcing must be considered when necessary.
	• CCS has legal obligation to deliver Best Consideration.
HR Implications	• Recruitment of the right people and integration into the team is essential.
	• Filling vacant posts will improve the team's ability to deliver the agenda and help with succession planning.

Option 2 – New Company	
The Council forms a wholly owned company which it contracts to provide a service or the Council forms a company to trade commercially	
Advantages	• A separate company may have more freedom to trade in the

	market with more flexibility in terms of commerciality rather than fixed policies and procedures • A non LA vehicle may be able to make decisions and act on them more quickly
Disadvantages	• Legal and financial complexities linked to company law could outweigh potential benefits for delivery • Timescales for setting up a such a vehicle would have an effect on short and medium term delivery • Cost of setting up a new company would be challenging and overall operational costs are likely to increase • Disassociation from the Council could erode working relationships and commitment to Council priorities. • The Council and elected members would lose control in favour of a controlling board. • A company will generate a private sector ethos and would not necessarily consider the wider economic benefits.
Financial Implications	• Set up costs of a new company will be high. • Significant financial risks to the Council as the council will need to be prepared to underwrite and losses of the company. • Staff costs are likely to increase in the private sector.
Legal Implications	• Complicated legal issues relating to Council's setting up companies. • Ongoing requirement for the council to be guarantor for the company.
HR Implications	• Staff would be subject to TUPE • There would still be a requirement for in house liaison, monitoring and reporting • Consultation with staff and Trade Unions

Option 3 Collaboration/Partnership including outsourcing

This model looks at the Council providing a service for or jointly with another authority or public body through an administrative, contractual, cooperative or corporate arrangement agreement.

Options can include shared staff and posts, delegate a function, set up a joint committee and decisions are made by the lead Council, agree a joint commissioning of service, contracts with another public body to provide service specifications, or 2 or more LA's form a company to provide services back to the council

This would still require private sector partners/consultants to advice on current market trends and delivery vehicles with agreement between the parties on priorities and budgets.

Advantages	• Some costs would be shared by partners. • Access to more resources, especially by smaller partners. • Overall costs could be reduced.
Disadvantages	• Individual councils lose control of projects. • Prioritisation of projects would be difficult. • Councils would not control delivery priorities. • This would need a vehicle set up to share resources. • Set up costs and share of costs would need to be agreed.

	• A Joint Venture (JV) or other legal agreement would be required which would take time and resources delaying the current programme for delivery of projects.
Financial Implications	• Set up costs would be need to be identified and agreed • Cost of JV or other legal agreement.
Legal Implications	• JV or other legal agreement would need to be put in place.
HR Implications	• Complicated as who will do the work, could be done in another authority with associated implications for existing CCS staff and loss of control for this Council. • Possible TUPE implications

6.3 Options Scoring Summary – Development & Physical Regeneration

A workshop was held with stakeholders on March 29th to consider the best options for delivery of the work plan. A SWOT analysis of all three options was undertaken which identified the following:-

	Options		
	1 – In-house	2 – New Organisation	3 - Collaboration
Strengths	Well-established interface with developers and other key players *e.g.* City Deal	Could be viewed as an independent shining light for Swansea; Not seen as another 'dry' council tool; Focused positive agenda – private sector-style	Partner resources dovetailed; Possible strong partnerships
Weaknesses	Internal barriers tend to be broken down informally; Need more imagination and creativity	Slow to set up – likely to result in lost impetus from existing successes; Potential wasteful duplication of roles	All partners would have to be fully on board – a true collaboration with equal benefits
Opportunities	Long-term planning could negate threats – may need restructure, re-stated goals, more focused top-level leadership, more regular strategic plans, strong communication, commitment to ongoing improvement	More joined up regional decision making	Partners bring wide mix of specialist expertise
Threats	Silo mentality; Contrasting agendas; Not pulling together; No golden thread to council aspirations	One more level of bureaucracy – perceived as another spanner in the works	Aims would have to be crystal clear from the outset

The options were fully discussed during the workshop and a scoring exercise was undertaken for each option. The results of the scoring of options is set out below.

	Transform In House	Set up New Company	Partnership/ Collaboration

Service Outcomes	4.0	5.0	5.0
Fit with Council Priorities	4.0	2.0	3.0
Financial Impact	3.0	2.0	3.0
Sustainability/Viability	5.0	2.0	3.0
Deliverability	4.0	1.0	3.0
Total	**4.0**	**2.4**	**3.4**
Ranking	1	3	2

6.4 Preferred Delivery Model – Development & Physical Regeneration

The clear consensus of the group was that **Transformation In House** was the preferred way forward, and this option scored the highest at 4.0.

Swansea has built a significant momentum with its current City Centre regeneration programme; there is a positive market perception of Swansea and with a reasonably buoyant economic position. Swansea is therefore well placed to ensure delivery is progressed within the current economic cycle. Similarly, the City Deal announcement is positive news and the next stages to secure this must be progressed quickly to release capital for delivery within our current programme. The city centre regeneration programme linked to the City Deal needs to move towards detailed design and delivery planning.

The Collaborative option did show merit and therefore it was considered that this could be considered as part of the transformation option in the medium to longer term linked to the city deal and local government reform discussions. However it was accepted that the setting up costs and timescales would significantly affect delivery were this option to be pursued in the short term.

Benefits were also identified for the Company option however the cost and timescale of setting up a new company would also impact the delivery of the current regeneration agenda which is at an advanced stage. The weaknesses and threats appear to outweigh the opportunities.

A training scheme to develop our own and new staff to furnish them with the relevant skills and share best practice is also to be put in place to ensure we have the necessary skills and resources to deliver the Swansea agenda and use any spare resources to offer our services to other Local Authorities through either delivering regeneration schemes for them or in an advisory capacity, again, linked to the city deal priorities

Recommendations
It is recommended that the Commissioning review approves the progression of the in House transformation. In summary this includes:-
1. Filling vacant posts and restructure the team in order to achieve delivery of regeneration programme to meet corporate objectives.
2. Continuing to supplement core team with private sector consultancy.
3. Look to move towards providing services to other organisations in the medium to long term.
4. Advise the Council on income generation opportunities alongside associated risks on the major regeneration projects.
5. Further develop efficiency savings from joint working with other teams.

7.0 CLUSTER 4 – CITY CENTRE MANAGEMENT OPTIONS APPRAISAL

7.1 Business models under consideration

Transform in House - This model would maintain direct provision of the services; the measures outlined have been considered in isolation or in combination to transform the existing Service in house.
Outsourcing - Transfer CCM management and admin staff and/ or the projects and services they provide currently plus the City Centre Rangers to Swansea Business Improvement District (BID). (The Ranger Service already receives 25% of its funding from Swansea BID).

7.2 Options Appraisal – City Centre Management

Option A – Transform In House
The following measures have been considered in isolation or in combination to transform the existing Service in house:

Option 1 – Expand Existing Services (Street Trading and Lettings)
In line with the delivery of the emerging City Centre evening and night time economy strategy which proposes additional events and activities after dark, expand the existing day time City Centre Street Trading and Lettings schemes into the evening and night time economy. In addition, explore options for new day time pitches and shorter term consents.

Option 2 – Sponsorship (lamppost banners, events, xmas lights etc.)
Explore various sponsorship opportunities including a lamppost banner sponsorship in conjunction with the Commercial Team and sponsorship of key CCM events and projects such as the Xmas lights and Xmas Market.

Option 3 – Additional resources to support operational and strategic improvements and delivery of regeneration programme
Restructure the team with the appointment of a City Centre Team Leader fully funded via additional income sources and existing salary budget.

Advantages	- Options 1 & 2 – Increased income to the Local Authority which helps support the business case for Option 3 i.e. increasing resources. - Option 1 – This measure supports the emerging Evening and Night Time Economy Strategy to diversify the City Centre after dark and increase vibrancy. - Option 2 – The existing lamppost banners in the City Centre will shortly be coming to the end of their life. This scheme will replace the existing without incurring costs to the Authority. - Option 2 – Preliminary work has been undertaken to explore the application of this option. - Option 2 – City dressing adds colour and vibrancy to an area and can help create identity. Consideration to how the banners could be used to achieve will need to be taken with colleagues in Culture and Tourism. - Option 2 – There are new opportunities to dress the new lamppost columns recently installed within Castle Square. - Options 1 & 3 – Improved operational management and

	development of the City Centre in line with and to complement the regeneration activities. • Option 3 – There is political support for the delivery of the projects identified as part of the political focus on the City Centre.
Disadvantages	• Options 1 & 2 – The delivery of these options are hinged on having additional resources to deliver them through the appointment of a Team Leader (as per Option 3) which will also enable the City Centre Manager to focus on other and more strategic priorities e.g. ENTE Strategy, Market Masterplan etc. • Option 2 – The desire for increasing incoming may override the impact and attractiveness of the banners. This will need to be given careful consideration.
Workshop Feedback *[& Follow Up]*	The following comments were received from participants in the workshop, a commentary on which is provided in brackets:
Financial Implications	• Options 1 - 3 - An increased combined income to the Council of approximately £30,000 per annum. • Option 3 – There will be additional staffing costs associated with employing a Team Leader, however, it is anticipated that these will be funded by the additional income generated by the post and existing budget within CCM's salary budget.
Legal Implications	• Option 1 - The existing Street Trading and Lettings Policies as they relate to the City Centre by day will be observed. • Option 2 – Formal agreements regarding sponsorship will be developed with colleagues in Legal.
HR Implications	• Option 3 – Restructuring of the team. Development and evaluation of a new job description for the proposed Team Leader. This would be undertaken in line with a review of the roles and responsibilities for the wider team to ensure service development and continuity. • Option 3 – Recruitment of the proposed post-holder.

Option B – Outsource

Transfer CCM management and admin staff and/ or the projects and services they provide currently plus the City Centre Rangers to Swansea Business Improvement District (BID).

1. CCM Management & Admin
This reflects the following 4 staff and salary costs of £105,500 per annum plus 35% on-costs (£142,425):
- City Centre Manager (32.5 hours per week)
- City Centre Operations & Projects Officer (34 hours per week)
- City Centre Project Support Officer (full time)
- City Centre Lettings & Admin Officer (20.12 hours per week)

2. City Centre Rangers

This reflects 1 Senior Ranger and 3 other Rangers and salary costs of approx. £84,300 per annum plus 35% on-costs (£113,805). Additional costs for equipment, PPE, uniform etc. would also need to be reflected at approximately £4,000 per year.
The Ranger Service already receives 25% of its funding from Swansea BID.

Advantages	• The main advantages of this approach are tied in with the potential financial benefits that may be derived; however, further work is required to ascertain the actual savings initial details of which are set out under Financial Implications below.
Disadvantages	• Governing body ATCM (Association of Town Centre Management) warns against this approach and highlights a number of areas where such an action has been subsequently overturned. • The existing joint working arrangements between BID and CCM are effective. • Reducing services in the City Centre is in contradiction to the City Centre regeneration programme. • Maintaining control of City Centre services is critical especially at this time given the substantive regeneration programme being brought forward for the City Centre and the role CCM being critical to the Authority's aspirations for the City Centre. • Alternative measures would need to be put in place regarding the continued management of key Council projects such as Xmas Lights, Rangers etc. and facilities such as the Market and Mobility Hire as there is a presumption that the Authority would not release these to BID nor would BID be interested in taking them on. • The BID was set up in the interest of the business sector to deliver improvements that are identifiable as being above and beyond the basic service standard. As such the BID is effective as a project delivery mechanism but it does not have the mandate, capacity, ability, experience or accountability to the people of Swansea to take on the operational and strategic demands of CCM. • The BID provides an opportunity for businesses to enhance the City Centre environment where they feel Council services need supplementing. As such from inception there has been an insistence on maintaining a distinct and bespoke identify that is separate from that of the Council Equally the BID would need to formally explore the enthusiasm of their levy payers for assuming current Council functions and embarking on such a fundamental shift in BID policy. This would have to reflect the legal constraints set out below. • Whilst BID is on its third term, a re-ballot process has to be undertaken every 5 years. There is no guarantee therefore as to the continuation of BID going forward. • BID and CCM are two separate but inter-related bodies who share the objective of improving the City Centre and already successfully collaborate on various levels to achieve this.

	There are however fundamental differences in the approach taken by each organisation. The BID represents the business community, is short term and project orientated while CCM is responsible for the delivery of several Council services and operational areas and is also a co-ordinating body with a greater focus and commitment to the longer term development of the City Centre.
	• Rangers: - The Ranger Service underwent a substantive review during 2015 and there were a number of resulting changes and improvements which have been implemented. - KPI's are produced and analysed on a monthly basis and demonstrate that on average the team of 4 Rangers deal with approx. 2,000 separate incidents every month which cover key areas such as customer and tourist enquiries, business enquires, community safety activities, supporting and coordinating activities. - The Rangers are integral to raising operational standards in the City Centre, implementing projects and overseeing the delivery of key services on the ground such as access, Lettings, events and street trading. - The Rangers also receive 25% of their funding from Swansea BID.
Workshop Feedback *[& Follow Up]*	The following comments were received from participants in the workshop, a commentary on which is provided in brackets where relevant: • Is there an opportunity to bring the 3 CCM service areas together and not separate? Look at where there is duplication of roles to see if there could be further joined up service delivery, e.g. Mobility and Swansea Market. [The service areas form part of the CCM service which is overseen by the City Centre Manager and supported by CCM admin and management function. The teams already work closely together with for example the Rangers supporting the Market safety and evacuation processes and the delivery of events. There is also limited opportunity to co-locate services due to lack of space]. • Agreement was given that the service could benefit initially from the delivery of the transformed in house option especially given the level of cost recovery already being achieved. • The option of transferring to BID requires further thought including the legal and employment perspective. The appetite among the membership and the Board of Directors would also need to be tested. • The collaborative role of CCM and BID was acknowledged together with the distinct roles and responsibilities associated with each area. Comments were received about looking at options to further expand CCM's partnership work with BID. • The requirement for the City Centre Manager to fulfil a more strategic role was highlighted. • The benefit of the coordination and cross cutting work the CCM team undertake was also highlighted and universal support was

	given to maintaining an in-house service. • The regeneration agenda was acknowledged as being a mammoth task and that CCM is critically placed to ensure the roll out and onsite management of the plans. • The strength of feeling was such that the group did not complete the scoring of this option.
Financial Implications	• By transferring the admin and management function of CCM to BID it is assumed that BID will take on the financial responsibility for the staff salaries according to the following breakdown - City Centre Manager (32.5 hours per week) - City Centre Operations & Projects Officer (34 hours per week) - City Centre Project Support Officer (full time) - City Centre Lettings & Admin Officer (20.12 hours per week) • The associated total salary bill and hence staff saving to the Authority is approx. £105,500 per annum plus 35% on-costs (£142,425). The annual income however being generated by this team is £170,000 which offsets the staffing costs and generates a surplus of £27,575 which would be lost through the transfer. • By transferring the Ranger function of CCM to BID it is assumed that BID will take on the financial responsibility for the salaries of the four staff the bill for which is £113,805. This is offset by 25% of the costs already coming from BID and the surplus of £27,575being generated by the CCM admin and management function. • The total saving to the Authority by transferring CCM in its entirety to BID is therefore £64,313. However, it is anticipated that BID would request a financial contribution from the Council to support the transfer arrangement. Whilst the figures are unknown at this stage any commitment would therefore reduce the overall saving being derived.
Legal Implications	• According to BID legislation, BID's must deliver additionally to the services traditionally undertaken by the public sector. Transferring CCM would not achieve this objective. • BID legislation also sets thresholds that BID organisations must observe in regards to the number of staff employed as a proportionate of the total levy and other funds generated. It is understood that Swansea BID is currently at the maximum threshold in terms of existing staff numbers and therefore would not be able to absorb any additional staff.
HR Implications	• Redeployment/ redundancy/ tupe transfer measures would need to be undertaken for staff. • Consultation with the Trade Unions would need to be undertaken as a matter of course. • The required notice period would need to be observed by staff.

7.3 Options Scoring Summary - City Centre Management

The transform in house option was scored at a Stakeholder workshop on April 29th. For the outsourcing to private sector option, participants were unable to complete the scoring during workshop and so a score of 11 was allocated by the Service Manager.

Criteria	Transform In House	Outsource to Private Sector
Service Outcomes	4.0	0.0
Fit with Council Priorities	4.0	1.0
Financial Impact	3.7	2.0
Sustainability/Viability	4.0	1.0
Deliverability	4.0	1.0
Total	3.9	1.2
Ranking	**1**	**2**

With the highest score of 3.9 the transform in house option is the best outcome.

7.4 Preferred Delivery Model – City Centre Management

The preferred delivery model for City Centre Management is **Transform in House.** This will bring forward efficiencies and improvements in regards to the City Centre Management function. It affirms City Centre Management's critical position as a key delivery body and driver of change to improve the City Centre which is a major priority for the Authority.

8.0 CLUSTER 5 – SWANSEA MOBILITY HIRE OPTIONS APPRAISAL

8.1 Business models under consideration

Transform In-House - The measures have been considered in isolation or in combination to transform the existing service in house with focus on diversification and increasing the existing fees and charges.
Collaboration/ Partnership/ Community Transfer - To engage Swansea Council for Voluntary Services (SCVS) and/or another third sector partners to consider options to register Swansea Mobility Hire as a charity and/ or to engage volunteers in the future running of the Service.
Combination of Transform In House & Collaboration/ Partnership/ Community Transfer
This option reflects the combination of the transform in house measures outlined above to diversify and enhance the existing performance of the service in conjunction with the development of a collaboration agreement with a third party.
Cease Service - The operation of the Swansea Mobility Service be terminated and the Unit closed.

8.2 Options Appraisal – Swansea Mobility Hire

Option A – Transform In House
Option 1 –Diversification (Left Luggage) The patronage of the existing Left Luggage scheme is growing however there is poor visibility of it in terms of passing footfall and marketing and promotion and thus the overall

income that is being derived (just under £1,000 in 2016-17).

The option to expand the existing Left Luggage scheme to the corridor alongside the SMH unit in the Bus Station could be considered together with options to improve the overall promotion of the Scheme.

Option 2 – Diversification (Repair Service)
The option to diversify the Service to introduce a repair service for privately owned mobility equipment could be considered as part of the commissioning process.

Option 3 – Diversification (Improving Access)
The option for the Mobility Hire Team to work more closely with local access bodies regarding the City Centre such as the RNIB and SAFE and to work with the City Centre Rangers to identify and coordinate access related actions and communications.

Option 4 – Diversification (VIP Designation)
The option to designate and promote Mobility Hire as a Visitor Information Point for customer and tourism related enquiries and to take on the administration of the From Busk Till Dawn permit scheme from CCM.

Option 5 – Fee Increase
The option to increase fees and charges for the Service could be considered as they were last increased in January 2015.

Advantages	- Options 1, 2 and 5: Increase of income to the Service and reduction of overall Council subsidy. - Option 1: The view is that there is anticipated demand for more visible left luggage and shopping services and awareness is currently poor. - Option 3: Currently there is no single point of contact and overall coordination in regards to access issues in the City Centre. This measure would address this issue going forward. - Options 1-4: There is current capacity within the team to undertaken additional work in conjunction with other Council service i.e. the City Centre Rangers and Tourism and Marketing - Option 4: This measure will help address the gap in provision following the closure of the City Centre Tourism Information Centre and provide a point of contact for face to face interaction. - Option 4: In terms of the issuing of busking permits this would enable the customer (i.e. the busker) to be issued with a permit from a central point based within the City Centre (and not have to visit the Civic Centre).
Disadvantages	- Option 2: Repairs and maintenance would need to be undertaken on the first floor which may impact on lone working measures downstairs and the visibility of the SMH Supervisor. - Option 2: Transportation of the equipment for repair may be an issue for customer if the item is defective. - Option 5: It could be argued that those perceived as more vulnerable in society are being targeted in regards to the potential fee increase. - Options 2-4: New skills/ training would need to be developed

	among the team to be able to realise these changes.
	• Option 4: There is limited space within the unit to incorporate information stands for tourism related literature.
Workshop Feedback *[& Follow Up]*	The following comments were received from participants in the workshop a commentary on which is provided in brackets:
	• Luggage drop off is very 1980's is there a demand for this service? *[Feedback from colleagues in Culture and Tourism together with historical complaints suggest that there is demand for expanding the service, however, consultation would be required to formally test this proposition].*
	• Luggage drop off is there a security issue and management of this would need to be thought out so luggage and lockers were picked up for a certain time? *[The development of existing Standard Operating Procedures would be built into the development process].*
	• Have we thought about mobile phone charging points across the city maybe wireless ones etc.? *[This option would be worth testing together with provision for Amazon lockers].*
	• The current shop and facilities are not suitable so have we thought about moving the mobility services into the Swansea Market? *[There is only limited space available within the Market at present due largely to the high rate of occupancy. The space in the centre of the Market that is available and currently used for casual trading is too small to house the operation of the service which is run over two floors at present].*
	• During scoring it was agreed that why not merge in house transformation and then look to having a shared delivery model e.g. volunteers and maybe having this with other wellbeing services both these options scored similar but with a view to bring together. *[This feedback is reflected in the addition of Option 3 below].*
Financial Implications	• Options 1-5 - The total additional income generation through the application of the combined options is anticipated to be approximately £5,000 per annum.
	• Option 1: The initial expansion and improved promotion of the Left Luggage scheme would be expected to generate nominal sums however this additional revenue would cover costs and income would be anticipated to improve with increased awareness and use over time.
	• Option 2: The application of fees and charges for the repair and servicing of equipment would need to be considered.
	• Option 4: Some set up costs would be required for signage and possible information stands but these would be nominal.
	• Option 5: The fees and charges were last increased in January 2015 and resulted in a downturn in patronage. Whilst the overall income did increase, existing customers curtailed the way they used the Service and visited the City Centre less which had a knock on effect elsewhere.
Legal Implications	• Option 2: Issues regarding liability and health and safety would

	need to be fully explored in the event of a defective repair/ accident. • Option 1: The view of South Wales Police Anti-Terrorism Unit and the Authority's Resilience Team would need to be invited in regards to the provision of left luggage lockers in the Bus Station. Given that the lockers would be unmanned once the Unit is closed and the risks associated with this it is anticipated that support may not be forthcoming,particularly given the recent events in London and Manchester.
HR Implications	• Options 1-4: The existing SMH Supervisor, who has the knowledge and experience to diversify the service and specifically to undertake servicing and repairs to the equipment, is due to retire in a couple of years. Succession management together with the training and development of the remaining team would need to be considered.

Option B – Collaboration/ Partnership/ Community Transfer

To engage Swansea Council for Voluntary Services (SCVS) and/or another third sector partners to consider options to register Swansea Mobility Hire as a charity and/ or to engage volunteers in the future running of the Service.

Advantages	• Reduced staffing related costs as a result of restructuring. • Opportunity to source external funding not currently available as a registered charity.
Disadvantages	• The rota and operation of the Service may be affected by the commitment of volunteers to staff the unit. This may result in continuity issues. • The appetite of SCVS to engage with the Council regarding this option will dictate how this option would be progressed. • The continuity and quality of service delivery maybe affected.
Workshop Feedback	• General support was expressed in relation to the ability of this option to retain the service and its staff and to engage the community in its management and development going forward.
Financial Implications	• Reduced overall operating costs from staff savings of £20,000. However, the overall savings are small given the low level running costs of the existing Service. • As a charity there maybe the opportunity to apply for grants and financial support, for example, for access improvements etc. Additional support would be required to develop this aspect given the current skill-set of the existing team.
Legal Implications	• The process of registering as a charity would need to be formally mapped. • A Service Level Agreement would need to be devised with the delivery partner to provide clear terms of reference for the

	operation and management of this option e.g. roles and responsibilities of the Rangers, hours committed too etc. • DBS checks for volunteers would need to be built into the process.
HR Implications	• Potential redeployment of staff and/or redundancies/ transfer via tupe arrangement. • Consultation with the Trade Unions would need to be undertaken as a matter of course. • Training of volunteers would be required. • Consideration will need to be given as to the implications associated with replacing paid personnel with volunteers.

Option C – Combination of Transform In House & Collaboration/ Partnership/ Community Transfer

This option reflects the combination of the transform in house measures outlined above to diversify and enhance the existing performance of the service in conjunction with the development of a collaboration agreement with a third party.

Advantages	• As above.
Disadvantages	• As above.
Workshop Feedback	• This option has been added to reflect the feedback that was received during the stake-holder workshop to combine Option A and B above.
Workshop Scoring	• Unscored as a combination of Options A and B above.
Financial Implications	• As above.
Legal Implications	• As above.
HR Implications	• As above.

Option D – Cease Service

The operation of the Swansea Mobility Service be terminated and the Unit closed.

Advantages	• Overall a saving to the Authority would be achieved in terms of staffing and expenditure. Some income may also be derived from the sale of the equipment.
Disadvantages	• The Transportation Team who manages the Bus Station would need to find another occupier for the Unit once vacated. • A backlash from customers and the disabled community in Swansea would be expected. • Reducing services in the City Centre is in contradiction to the City Centre regeneration programme and the Council's corporate

	objectives regarding the City Centre.
	• An alternative base for the City Centre Ranger team, who work out of the first floor, would need to be sourced in the City Centre.
Workshop Feedback *[& Follow Up]*	• A strong view was shared by the workshop participants that the option to outsource the service wasn't a good idea and that the Unit should not be closed given firstly the relatively small sums of money involved in operating the service and also the perceived undermining of the Authorities overarching objective to regenerate the City Centre. The strength of feeling was such that the group did not complete the scoring of this option.
Financial Implications	• A saving to the Council via the CCM budget of approximately £94,000 per annum would be achieved however this would be off-set by the additional costs to the Transportation Team who manage the Bus Station in the form of lost revenue from the rent of approx. £20,000 per annum as well as liability for Business rates of approx. £7,000 per annum until another occupier can be found. The immediate savings to the Authority would therefore be approximately £67,000. • There may be direct and indirect reparation and 'moving-out' costs associated with this option which would need to be resourced. • Redundancy payments would apply to the existing staff if redeployment is unsuccessful. • The resale of the equipment inventory would need to be managed and a potential income from which may be derived.
Legal Implications	• The required notice would need to be given to the Transportation Team to terminate the lease. • Liability issues associated with the reinstatement of the Unit would need to be considered. • General consultation would be required among service users and local residents regarding the closure plans.
HR Implications	• Redeployment/ redundancy measures would need to be undertaken for staff. • Consultation with the Trade Unions would need to be undertaken as a matter of course.

8.3 Options Scoring Summary - Swansea Mobility Hire

The options were discussed at the stakeholder workshop on March 29th. The new option C (transform in house and collaboration/ partnership) was developed after the workshop to reflect the feedback received on the best way forward, and as a result this option was not scored. We were unable to complete scoring on option 4 – Cease Service during the

workshop therefore the scoring was allocated by the Service Manager based on feedback from both the workshop and internal staff engagement.

Criteria	Transform In House	Collaboration/ Partnership/ Community Transfer	Cease Service
Service Outcomes	4.0	4.0	1.0
Fit with Council Priorities	3.0	3.0	1.0
Financial Impact	3.7	3.3	2.7
Sustainability /Viability	3.5	2.5	0.0
Deliverability	5.0	3.0	4.0
Total	3.8	3.2	1.7
Ranking	**1**	**2**	**3**

8.4 Preferred Delivery Model - Swansea Mobility Hire

Having taken all of the above into account, the different models of delivery have now been considered and it's been determined that the most suitable way forward for Swansea Mobility Hire is a **combination of Transform in House and Collaboration.** This is recommended on the basis that it will bring forward efficiencies and improvements to the service. Swansea Mobility Hire had previously been identified for transfer or closure, and its testament to the progress that has been made in reducing costs that views have now changed.

Proposals for fee increases have been subject to an Equalities Impact Assessment to ensure that they will not have a significant impact on vulnerable individuals. The full Equalities Impact Assessment Screening is attached in Appendix G.

9.0 CLUSTER 6 – SWANSEA MARKET OPTIONS APPRAISAL

9.1 Business models under consideration

Transform In-House - Measures have been considered and could be delivered in isolation or in combination to transform the existing service in house.

Outsourcing - To consider an alternative delivery mechanism for the Market for example, selling the Market or developing a joint venture partnership with a private sector operator and/or a cooperative of traders.

9.2 Options Appraisal – Swansea Market

Option A – Transform In House
Option 1 – Implement cashless payment of rents for traders via the application of Direct Debit payment.

Option 2 – Introduce an 'Additional Space' space policy in the Market to improve aisle circulation space and generate additional income.

Option 3 – Set up a development fund for future regeneration works to the Market against which match funding could be sought.

Option 4 – Identify external funding sources and submit applications to secure budget to deliver the Market Masterplan to support the long term sustainability of the Market and improve declining footfall.

Option 5 – Develop and promote the current casual trader area in the centre of the Market to encourage entrepreneurial activities.

Option 6 – Review the existing Stall Lettings Strategy to maintain and address vacant units including provision for meanwhile uses, events, promotions and short term rental incentives plus enhanced marketing of available units.

Option 7 – Improve the customer experience and access by increasing the visibility of staff to customers by the introduction of more obvious corporate uniform choices and branding, consideration to the introduction of a 'Shop and Drop' scheme and the development of a suite of measures to make the entrances more visible and attractive. Exploit digital media to promote the market to customers.

Advantages	• Option 1 – This measure has been written into the new Market leases which are due to be implemented.
	• Option 1 – This measure will streamline the rent collection process and release the Market Inspector who currently collects the rents to concentrate on other duties. *(staff reductions are not possibile due to minimal staffing threshold required for safety)*.
	• Option 1 – Modernisation of the Market's financial and account management systems.
	• Options 1, 2, 3 & 5 – Preliminary work has already been undertaken in preparation of these measures.
	• Option 2 – Unlocking of aisle space and improved circulation, aces, safety and flow of customers through the facility.
	• Option 2 & 6 – Adoption of a consistent approach and clear policy for the use of additional space in the Market and encourage future stall lettings.
	• Option 3 & 4 – These options will demonstrate to the traders and other stake-holders the Authority's continued commitment to the development of the Market as part of the wider regeneration of the City Centre.
	• Options 3 & 4 – These actions have senior political support.
	• Option 5 – The improved appearance and management of a key and central part of the Market.
	• Option 5 – Improving the infrastructure will widen the appeal of this area to budding entrepreneurs which will in turn increase the diversity of the Market offer.
	• Option 5 & 6 – These measures will support the development of new businesses, jobs growth and the economic prosperity of the area.

	• Option 5 – Encourage a new generation of Market traders thus supporting the sustainability of the Market and its aging trader-base. • Option 5 – The promotion of the casual trading area could draw upon the existing trader and business contacts held by the Service. • Option 6 – Taking a proactive approach to address the feedback and concerns of traders regarding future occupancy levels. • Option 6 – Encourage new traders and types of uses to support a diverse offer. • Option 2, 5 & 6 – Increased and sustainable income and commercialisation of the facility. • Option 7 – Improve customer experience.
Disadvantages	• Options 1 & 2 – Anticipated resistance from the Market traders regarding this change. Possible phasing maybe considered and communications will be key. • Option 1 – The option to restructure the Market team with the implementation of this option is impeded by the minimal staffing thresholds that are required on the basis of health and safety. • Options 2 & 5 - Little direct financial benefit is derived to the Authority in terms of reducing the Market's operating costs as the consequence is a reduction in the service charge element of the trader rents. • Option 3 - would require additional income to the Market to be derived and transferred annually to the development fund. The net impact on the Authority would therefore be zero. • Option 4 – Given the extensive regeneration programme for the City Centre, there is significant competition for funding and resources to deliver improvements to the Market. • All Options - There is limited capacity within CCM team to develop these projects and in particular the resources associated with the delivery of Option 3 (see CCM Options below). • Option 5 – There is limited space within the Market for events and activities and this measure will curtail that further. The development of a modular based system that could be removed when not in use could however be considered to address this issue.
Workshop Feedback *[& Follow Up]*	The following comments were received from participants in the workshop, a commentary on which is provided in brackets: • Is there an option to reduce the staff rota and opening hours for Market? [Due to the minimal staffing levels required for the safe operation of the Market a reduction in staffing is not possible, however, there may be some opportunity to curtail the operating hours]. • Putting in place support and packages for the traders to assist business growth and development e.g. rate increases, marketing support and branding etc. [Marketing support is currently available to the traders, for example use of the Market's digital platforms. Assistance is also provided in terms

	of health and safety compliance. The offer of social media and merchandising training has been rejected]. • Have you thought about putting in lampposts or floor markings to stalls so people have directions to the stalls? A stall map on the entrances would also be a good idea. [Tear-off maps are already provided at each entrance together with static illuminated map boards. Measures to improve navigation have been built into the Market Masterplan]. • What stalls within the Market are advertised outside as in the enterprise parks? [Plans have been developed to introduce advertising boards at the entrances for trader advertising.] • In terms of renting out space to new businesses these spaces should be on a 2 month to 6-month contract not just for a weekend or a few days. [The casual trader area has been developed to provide a flexible and affordable lettings space for new or developing businesses to test their business model. The permanent Market stalls are subject to a lease for which there is no minimal term however the surrender period is 6 months which is a standard clause]. • The rates for casual traders should match the rents for the permanent traders over the time and space that is used. [See above]. • Applicants from prospective tenants should have an USP and not duplicate the products already being sold in the Market. [The vetting of prospective tenants is subject to an established Lettings Policy and application process which takes account of the existing occupancy of the Market and gives preference to product/ service lines that are not currently represented].
Financial Implications	• Option 1 - The Current Arrears Procedure will need to be reviewed to ensure visibility of payments, defaults and arrears. • Options 2 & 5 - Increased income to the Council estimated at approx. £5,000 per annum. • Option 3 - The financial management and operation/ criteria associated with the creation and use of a 'sink/ development fund' will need to be considered. Additional income to the Market will need to be achieved to ensure the net impact on the Authority is zero. • Option 8 – The costs associated with these measures can be funded from existing budgets.
Legal Implications	• Options 1 & 2 – The consistent treatment of non-compliance according to the terms of the Market lease will need to be considered.
HR Implications	• Option 1 – A review of the job descriptions and job evaluation for the Market team will be required, in particular that for the Market Inspector.

Option B – Outsource	
To consider an alternative delivery mechanism for the Market for example, selling the Market or developing a joint venture partnership with a private sector operator and/or a cooperative of traders.	
Advantages	• The engagement of a new provider may generate new ideas, streamline processes and procedures and reduce bureaucracy. • Adoption of a more commercial / private sector approach to the management and development of the Market. • Potential for private sector investment
Disadvantages	• The current surplus income being generated by the Market which is used to support the delivery of other Council services could be affected positively or negatively. This could only be tested through a competitive bidding process • Maintaining management control is critical especially at this time given the substantive regeneration programme being brought forward for the City Centre and the role of the Market being in the heart of the City Centre and therefore critical to the delivery of the Authority's regeneration strategy. • The ability of the Market traders to take on the management of the Market is subject to their capability and capacity to do so. The view is that traders do not have the knowledge, skills or experience in this area. • A commercial approach to the management and development of the Market is already being undertaken by officers who have introduced multiple measures to ensure the efficiency and effectiveness operation of the facility and the resulting revenue to the Council.
Workshop Feedback *[& Follow Up]*	The following comments were received from participants in the workshop, a commentary on which is provided in brackets: • The importance of sustaining the 98% occupancy rating of the Market was stressed by the group. [Whilst a level of churn is expected, the occupancy of the Market has been stable for some time]. • The option of retaining the service in house was universally accepted but equally support was given to ensuring the income generating ideas and measures to support the traders were implemented.
Financial Implications	• The Market currently generates an income of approx. £1.2million per annum mainly through the Market rents. Taking account of the budgeted expenditure and other costs, a surplus of approx. £706,000 per year is generated to support the delivery of other Council projects and services. The outsourcing of the Market would expect to see the removal/ reduction of this income to the Authoritygoingforward.
Legal Implications	• Full engagement of the Council's Legal team will be required to consider the legal implications and terms associated with the sale and/or development of a contractual arrangement regarding the outsourcing/ engagement of a third party.

	• Consideration would need to be given to the evoking of the 'development clause' of the Market lease. • The requirement for consultation with the Market traders and other key stake-holders would need to be looked into.
HR Implications	• Potential redeployment of staff and/or redundancies/ transfer via tupe arrangements. • Consultation with the Trade Unions would need to be undertaken as a matter of course.

9.3 Options Scoring Summary - Swansea Market

The options were discussed and scored at a stakeholder workshop on March 29th. The highest scoring option was Transformation in house, with 3.9.

Swansea Market	Transform In House	Outsource to Private sector
Service Outcomes	4.0	1.0
Fit with Council Priorities	4.0	1.0
Financial Impact	3.7	1.0
Sustainability/Viability	4.0	1.0
Deliverability	4.0	1.0
Total	**3.9**	**1.0**
Ranking	**1**	**2**

9.4 Preferred Delivery Model - Swansea Market

The preferred delivery model for Swansea Market is to **Transform in House.** This has been chosen because it would bring forward efficiencies and improvements in the running of the Market, while enabling the Council to retain control of a key asset for the City Centre which generates in excess of £1m in income per annum.

10.0 CLUSTER 7 – ECONOMIC DEVELOPMENT & EUROPEAN FUNDING OPTIONS APPRAISAL

10.1 Business models under consideration

Option 1 'As is': status quo following the simple merger of the teams brought together under one line manager but no other significant changes of approach.

Option 2 Transform in house: will make the most of the strong foundations of the existing three sub-teams to maximise the output of external funding in line with corporate objectives and economic development needs.
- **External Funding Advise and Support:** further develop the External Funding 'advise and consultancy' function through additional core resource to coordinate, develop and bid for £30m + external funds
- **Maximise remaining EU funds**
- **Post Brexit funding situation:** on alternative funding options

- **Grant coordination:** supporting wider grant coordination in conjunction with Finance, charging for external funding support and maximising grant income in support of Council objectives
- **Swansea Economic Regeneration Partnership review:** review membership and alignment to fit better with the evolving economic regeneration agenda and linking better with private sector
- **Beyond Bricks and mortar implementation:** small additional resource to enhance new work streams in particular apprenticeships, as well as broadening social benefits work beyond construction to other contract types; further work with procurement; resource to push agenda further

Option 3 Outsource to private sector: To fully externalise the team where external provision can be identified, though not all elements of the team exist in this way.

Option 4 Regionalise: Potential to consider regionalisation of the function working with neighbouring local authorities.

10.2   Options Appraisal – Economic Development & External Funding

Option 1 – As is	
The **Economic Development and External Funding Team** has been formed from merging the current European and External Funding Team, Economic Development and Beyond Bricks Mortar Teams. The 'as is' option is the status quo following the simple merger of the teams brought together under one line manager but no other significant changes of approach.	
Advantages	• Underpins specific corporate objectives and associated team in particular regeneration of the City Centre and supporting people into employment to reduce poverty • Majority of team is externally funded • Good spread of compatible skill sets and resources • Cross-departmental working for all sub-teams supporting the wider Council corporate objectives holistically.
Disadvantages	• Could be better links between the sub-teams and opportunities in the externally funded projects and core-funded initiatives • Could be better links between implementation staff influencing strategic direction based on direct feedback from 'the coalface'. • Staffing resource restrictions in seeking new funding due to lack of available core staff time that is 'clean' of external funding. • Staffing resource restrictions in servicing wider agenda, e.g. working external partnerships to best effect.
Financial Implications	• Cost base remains the same • Bulk of team externally funded
Legal Implications	• None
HR Implications	• Small number of core funded staff (Economic Development and BB&M), External funding team externally funded (fixed terms contracts).

Option 2 – Transform in house

The Economic Development and External Funding Team has been formed from merging the current European and External Funding Team, Economic Development and Beyond Bricks Mortar Teams. The sum of the parts of the new team provide a major opportunity to significantly improve cross-programme and cross-Council working across a number of agendas that are 'enabled' by the support provided by the combined team.

The full transform in house option will make the most of the strong foundations of the existing three sub-teams to maximise the output of external funding in line with corporate objectives and economic development needs.

External Funding Advice and Support: There are significant opportunities to further develop the External Funding 'advice and consultancy' function through additional core staffing resource to coordinate, develop and bid for external funds that support not only the Councils Economic Regeneration agenda and corporate plan but for external organisations and community groups to realise the potential that funding could unlock. Currently the EEFT has a list of programmes valued at £33m in the pipeline, but very limited staffing resource to lead on this. Without additional core resource the opportunity to secure millions of pounds of external funding for the Authority will be undoubtedly be lost:
• ERDF Kingsway Employment Growth Hub (£4m)
• ERDF Dyfatty junction re-construction (£10m)
• ERDF Building for the Future (£6m)
• Coastal Communities Fund (£300k)
• Vibrant and Viable Places (£2m)
• Vibrant and Viable Places 2 (£5m)
• Heritage Lottery Fund – Parks for People (£100k)
• Heritage Lottery Fund – Morriston Townscape (£2m)
• Heritage Lottery Fund – Mumbles Pier (£1.7m)
• Heritage Lottery Fund – Tabernacle (£250k)
• ESF Cam Nesaf (£1.6m)

Maximise remaining EU funds: Crucially following the extended UK Government EU Funding Guarantee along with updates from, WEFO and Welsh Government emphasising that new "projects which are approved whilst we remain in the EU will be fully funded, including for expenditure which occurs post exit" there is a real need for capacity to respond quickly to new funding prospects made available whilst we remain part of the EU. As at 21st December 2016 39% of EU Structural Funds was still available for the 2014-2020 Programme Period out of £2B ESIF.

Post Brexit funding situation: The team is also working to adapt to the changing landscape and working on alternative options to ensure strategic delivery of corporate objectives can be maintained and kept up to date.

Finance and Income generation: through additional resource the team would adopt an 'invest to save' approach with added capacity to support wider grant coordination in conjunction with Finance, charging for external funding support and maximising grant income in support of Council objectives. (This is a recognised need highlighted in the options appraisal workshop).

Swansea Economic Regeneration Partnership review: Other than business support, the

ED function is delivered in the City and County of Swansea by one full-time and one part-time (1.6 FTE, although currently operating 1.2 FTE under continuing flexible working arrangements) Economic Development Officers. This remains an essential element to supporting strategy and project development in support of corporate objectives and the City Deal. The Economic Development arm of the team will be responsible for a review of the Swansea Economic Regeneration Partnership in terms of membership and alignment to fit better with the evolving economic regeneration agenda, improve consultation qualities and delivery capacity; links to other partnerships. In particular improved and refreshed links with the private sector are essential to underpin corporate objectives (this was identified as a key issue by participants in the options appraisal workshop). Role of chairs of other relevant partnerships linking in to SERP agenda.

Beyond Bricks and mortar implementation: this team has been highly successful but lacks implementation capacity. A small additional resource would unlock significant capacity to support the work of the wider team and more scope to enhance new work streams in particular apprenticeships, as well as broadening social benefits work beyond construction to other contract types; further work with procurement; resource to push agenda further

Collaboration with regional partners to deliver city deal and local government reform opportunities: pursuing opportunities for regional working across the Swansea Bay City Region, in line with the City Deal Agreement, to deliver shared economic regeneration priorities.

Advantages	- Underpins specific corporate objectives and associated team in particular regeneration of the City Centre and supporting people into employment to reduce poverty - Potential to re-balance skills sets across the wider group of teams - Maximise the benefits of the existing staffing resource, projects and programmes - Draw out additional benefits from linking across the wide portfolio of programmes and projects covering range of council priorities - Maximise impact and added value of external funding sources – which was identified as an issue by participants in the options appraisal workshop, including maximising engagement of external partners in particular via the SERP. - Better relationships and working with strategic external partners through reformed SERP - Better targeting of employability resource and improved linkages to regeneration and other major initiatives
Disadvantages	- Fixed terms contracts could affect staff retention - Uncertainty over future funding streams
Financial Implications	- The team would significantly benefit from core funding to support the transformational agenda to increase capacity particularly in buying experienced officer time to support coordinating the development and bidding for external funding through 'advice and consultancy' function. - Resource to support stronger implementation of apprenticeship scheme - Reduce risk of losing key experienced staff as a result of fixed

	term contracts.
	Additional core revenue funding is required to the total value of £71,500p.a, which alongside existing core budget of £16,000, will finance the appointment of two officers. One experienced officer with a budgeted cost of £52,918 would coordinate and bid for £33M+ in external funding and the second officer with a budgeted cost of £34,549 would support implementation of an apprenticeship scheme. Without additional core resource the opportunity to secure millions of pounds of external funding for the Authority will be undoubtedly be lost.
Legal Implications	• None
HR Implications	• Large parts of team externally funded on fixed term contracts, core funding would enhance the delivery of the External Funding Service • Potential to re-balance skills sets across the wider group of teams

Option 3 – Outsource to private sector

	Break service up into components and outsource to private consultants.
Advantages	• Commission delivery • Outsourcing can secure specialised expertise/resources not necessarily available in-house; • It can be more cost-effective to appoint outsourced service providers when delivering specific services not regularly required in-house; • Consultants are often able to bring broad experience gained elsewhere from working with previous client organisations and with supplier researchers/consultants. • Ability to 'buy-in' specialist knowledge
Disadvantages	• Would not be possible to provide holistic package of joined up services currently offered. • Lack of local economic development knowledge (links with partner organisations, local conditions, local contacts, historic knowledge) • Complex to access central systems of local authority for external funding purposes – additional resource impact for internal central services responding to audit queries to an external contractor • Lack of real ownership and local context • Lack of ability to respond quickly to internal queries from senior management/politicians at very short notice to required depth. • Lack of commitment to local area – only a contractual relationship not an investment.
Financial Implications	• Higher costs due to shorter term contracts and profit element. A review of private sector rates shows that the cost would be more than double (£594k) for the same core resource. • Still need for contract management role inside the authority

	• Risk of issues with compilation of financial and monitoring information • Difficult to justify value for money • Saving of internal staff costs – cost neutral in terms of external funding team staff
Legal Implications	• Complex contractual arrangements • Need for contract management and performance management
HR Implications	• Staffing implications tied up in contracts; loss of existing skills and legacy knowledge • Potential TUPE implications

Option 4 – Regionalisation

Potential to consider regionalisation of the function working with neighbouring local authorities.

Advantages	• Potentially more joined up across the region • Economies of scale • CCS currently has largest relative resource in this area of work so could be an option if Swansea leading.
Disadvantages	• Lack of local knowledge, e.g. City Deal approaches in England such as Greater Manchester have both regional and local support teams as there is still a substantial body of work and input required from local level that feeds regional level work. Another example would be NPT tourism team being deleted due to existence of regional tourism partnerships. Creation of a Destination Management Plan was made difficult due to loss of local team that would draft the plan. Regional level did not have the resource or remit to do this. • Loss of local intelligence and information gathering • Loss of legacy knowledge • Lack of scope for speedy responses to urgent queries • Lack of local relationships and contacts • Lack of commitment to the local area • A reduction in capacity to support each local area included to the full – implied reduced resource means less capacity – the choice implies a more restricted service.
Financial Implications	• Cannot be viewed as a cost saving opportunity • Whilst in theory it would be seen as a cost saving by reducing staffing and basing staff in a single location for the wider region, in practice local support would also be needed, so in practice costs would rise if the same level of support as currently provided is still required. • Governance structures are not fit for purpose to manage resource allocation for ED and external funding distribution. • Drives up costs, as regional management structures of necessity have to be replicated to an extent at local level in order to provide information on local performance and expenditure (e.g. any regional European or Welsh Government

	funded programme)	
Legal Implications	• Complex SLAs required	
HR Implications	• Loss of local skills and legacy knowledge within the Authority • Potential TUPE implications	

10.3 Options Scoring Summary - Economic Development & External Funding

Each option was discussed and scored in the Stage 4 workshop held on 29th March. Transformation in house was identified as the highest scoring option with 4.5 (out of 5).

	As Is	Transform In House	Outsource to Private Sector	Regionalisation
Service Outcomes	3.0	5.0	5.0	2.0
Fit with Council Priorities	3.0	4.0	3.0	2.0
Financial Impact	3.3	4.3	1.7	3.0
Sustainability/Viability	4.0	5.0	2.0	2.0
Deliverability	5.0	4.0	2.0	2.0
Total	**3.7**	**4.5**	**2.7**	**2.2**
Ranking	**2**	**1**	**3**	**4**

10.4 Preferred Delivery Model – Economic Development & External Funding

The preferred delivery model for the Economic Development & External Funding Team has been identified as Transformation in House, which can be summarised as:
- **External Funding Advice and Support:** further develop the External Funding 'advice and consultancy' function through additional core resource to coordinate, develop and bid for £30m + external funds
- **Maximise remaining EU funds**
- **Post Brexit funding situation:** focus on alternative funding options
- **Grant coordination:** supporting wider grant coordination in conjunction with Finance, charging for external funding support and maximising grant income in support of Council objectives
- **Swansea Economic Regeneration Partnership review:** review membership and alignment to fit better with the evolving economic regeneration agenda
- **Beyond Bricks and mortar implementation:** small additional resource to enhance new work streams in particular apprenticeships, as well as broadening social benefits work beyond construction to other contract types; further work with procurement; resource to push agenda further
- **Collaboration with Regional partners to deliver city deal and local government reform priorities**: regional working to deliver shared economic regeneration priorities

Full transform in house option will make the most of the strong foundations of the existing three sub-teams and maximise external funding and private sector engagement in line with corporate objectives and economic development needs.

11.0 <u>KEY ISSUES GOING FORWARD</u>

The emphasis on local government reform and regional collaboration, as outlined in the City Deal agreement, will impact on the service moving forwards, although there is not enough clarity at this stage to determine the full effect this will have. The Commissioning Review has identified transformation in house as the preferred option at this stage. This will ensure that the service is as efficient and effective as possible, and fit for purpose to respond to the more radical changes that are likely to result from Local Government Reform in future years.

It is apparent that the reduction in resources elsewhere in the Council (legal, HR, facilities, reduction in maintenance activities) is affecting the service's ability to deliver its priorities. In addition difficulties in recruiting to specialist posts within the service is constraining delivery and needs to be addressed.

The Service has a track record of securing significant levels of external funding, particularly European, to deliver the Council's regeneration agenda. Delivery of the Council's high profile regeneration proposals is dependent on continued success in securing funding. The commissioning review proposals will ensure the service is well placed to maximise remaining European funding opportunities, and pursue alternative funding sources post-Brexit.

The transformation being progressed through the Commissioning review will strengthen the service area's ability to meet its statutory duties in the areas of planning, biodiversity and natural environment.

12.0 **OPPORTUNITIES AND BENEFITS**

12.1 The estimated financial impact of the above recommendations are as follows:

Cluster Area	Est. Saving/Income	Est Cost
Cluster 1 DEVELOPMENT, CONSERVATION & DESIGN	£97000	£20000
Cluster 2 - STRATEGIC PLANNING & NATURAL ENVIRONMENT	£90000	
Cluster 3 - DEVELOPMENT & PHYSICAL REGENERATION	£20000	
Cluster 4 – CCM	£50000	£40000
Cluster 5 – MOBILITY HIRE	£25000	
Cluster 6 SWANSEA MARKET	£5000	
Cluster 7 - ECONOMIC DEVELOPMENT &		£71500

EXTERNAL FUNDING	

Full financial tables are included in Appendix E and further information available on request.

13.0 CONCLUSIONS AND RECOMMENDATIONS

This Commissioning Review has demonstrated that Planning & City Regeneration provides cost effective and high performing services that help to deliver the Council's corporate priorities. The proposals outlined in this report build on this strong foundation and introduce new ways of working to increase efficiencies, generate new income and ensure the service is fit for the future.

In particular, the commissioning review process has challenged the service to think outside and beyond its strategic and operational responsibilities. The workshops and stakeholder engagement have proven invaluable in testing our view of the service. The feedback and scoring has helped reaffirm our agenda and strengthen our proposed model of delivery, stimulating new ideas for efficiencies and income generation as part of an in-house transformation evolution of the service. This will provide a solid foundation for the more radical changes that are likely to impact on the service in coming years from the local government reform agenda being pursued by the Welsh Government.

The Commissioning Review process was undertaken before the new political priorities were known, but in house transformation remains the right option to pursue at this time to maintain momentum in delivery of the City deal and the wider City Centre Regeneration Programme.

When taken in combination, the in-house transformation of services results in a more efficient and cost effective service, with proposals to deliver a further £287k of budget savings, offset by some enabling costs where agreed. We realise that this represents a significant (circa 10%) reduction in the service's budget at a time when expectations for delivery are increasing. It also follows considerable savings delivered by the service in recent years. The proposed savings represent careful consideration by the service's SMT and are thought to be deliverable and sustainable, with manageable risk and impact on the service's ability to deliver against the corporate priorities. However, to reduce budgets even further would introduce significantly more risk and uncertainty at a time when our delivery is critical to Swansea's future economic prosperity.

It is recommended that:
- all aspects of the Planning & City Regeneration service are delivered through a transformed in house model.

14.0 EQUALITY AND ENGAGEMENT IMPLICATIONS

14.1 An EIA screening form was completed, and is attached in Appendix F. It is agreed that there will be little to no impact for any protected groups, and as a result, a full EIA has not been deemed necessary.

14.2 Mobility Hire - At this point in time we do not consider a full equality impact assessment to be necessary. This view is taken on the basis that the fundamental focus will continue to be the provision of access equipment for those with mobility issues seeking to use the City Centre. As a result, a full EIA has not been deemed necessary however the screening will remain open during implementation. A copy of the EIA screening form is attached in Appendix G.

15.0 <u>IMPLEMENTATION</u>

An implementation plan will be developed following approval of the proposed way forward by Cabinet.

BACKGROUND PAPERS: None

APPENDICES:
Appendix A: Gateway 1 Report
Appendix B: Additional Benchmarking Information
Appendix C: Workshop Attendees
Appendix D: Options Scoring Matrix
Appendix E: Financial Information
Appendix F: Equalities Impact Assessment
Appendix G: Equalities Impact Assessment – Mobility Hire

Commissioning Gateway Review Report
Stage 2
Planning & City Regeneration

Contains:-
>   Review Overview and Details
>   Stages review summary
>   Gateway Approval

Gateway Review Approval
Corporate Management Team
18th January 2017

The Gateway Report will provide an overall status of the Review at Stage 2. A RAG system will be used to highlight the overall recommendations made by the Gateway Review, as defined 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
To proceed to the next stage of the commissioning review.	Green

Sign off	
Chief Executive :	
Lead Director/Sponsor:	
Review Cabinet Member:	
Date:	

1

Commissioning Strand Lead:	Martin Nicholls
Service Review Lead:	Phil Holmes
Service Review Title:	Planning & City Regeneration

1.0   PURPOSE OF REPORT

1.1   This report is to request approval from the Corporate Management Team to move onto Stage 3 of the Commissioning Process. This document should provide sufficient evidence to assure the panel that the Service Review for Planning & City Regeneration has completed all relevant tasks for stages 1 and 2, and that the review is on track to progress to the next stage within the process.

2.0   SERVICE REVIEW DETAILS

2.1   Service Review Scope

Following a major review of the senior management structure in 2010, a new merged service comprising the former Economic & Strategic Development and Planning Services was created. The service currently combines the Council's planning and city regeneration functions. It is a diverse and multidisciplinary professional service that encompasses Development, Conservation & Design, Strategic Planning & Natural Environment, Economic Development, European & External Funding, Development & Physical Regeneration and City Centre Management.

The Development, Conservation & Design section delivers the Council's statutory responsibilities in the regulation of the development and use of land through the processing of in excess of 2,000 planning and related applications and the investigation of approximately 500 enforcement cases per annum. It also provides a central admin function and a specialist urban design and conservation service including the provision of design and heritage advice, preparation of design guidance and policy and input into public realm initiatives.

The Strategic Planning and Natural Environment (SP&NE) section provides a robust strategic planning and policy framework, maintains, enhances and promotes the built and natural environment for all, and integrates Sustainable Development principles into the delivery of all Council Services. The section comprises six teams covering the following service areas: conservation and enhancement of the Gower Area of Outstanding Natural Beauty (AONB); Countryside Access – responsible for the Public Rights of Way network and Access Land; Landscape architecture and tree preservation; Nature Conservation - enhancing the natural environment and biodiversity duties; Strategic Planning, including production of the Local Development Plan (LDP); and Sustainable Development – responsible for integrating sustainable development and well-being objectives into wider business processes.

The Economic Development Team sets the Council's strategic framework for economic regeneration and works collaboratively with internal and external partners to deliver the Council's economic regeneration agenda. The Economic Development Team contributes to the activities of Swansea Bay City Region, including the City Deal, the Public Services Board and

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Swansea Economic Regeneration Partnership. It delivers Beyond Bricks and Mortar and co-ordinates inward investment activities.

The European & External Funding Team manages the Council's EU and other grant funding arrangements, ranging from light touch input for finance and monitoring only, to full management and implementation of projects. Current projects include Workways+, Communities for Work, Cynydd, Cam Nesa, Rural Development Plan, Hafod Morfa Copperworks Heritage Lottery Fund project, Welsh Government Vibrant & Viable Places and Gower Landscape Partnership. The portfolio amounts to around £11m of new funding during 2016.

The Development & Physical Regeneration Team is the council's developer interface for major & complex property development schemes. The team is involved in the delivery of high profile development and regeneration projects and strategies. The team have recently completed the Review of the City Centre Framework and are leading the delivery of strategic regeneration projects such as the Viable and Vibrant Places programme, Swansea Central mixed–use regeneration, the Civic Centre site masterplan, Kingsway regeneration and Hafod Copperworks.

The City Centre Management team works with a broad range of internal and external stake-holders to facilitate the operational coordination and management of the City Centre and is the main point of contact for Swansea Business Improvement District (BID). City Centre Management organises several events and a varied range of on-street activities in the City Centre and also over-sees the collation of key performance data which monitors the health of the City Centre. City Centre Management is the strategic lead for the management and development of the City Centre evening and night time economy and also manages key services like the City Centre Rangers, Swansea Mobility Hire and Left Luggage and Swansea Market.

All parts of the service are in scope for the commissioning review.

The full detailed scoping document as approved by Executive Board and Cabinet is attached as Appendix 1. In addition from the staff workshop on October 11th, the SWOT (Appendix 2) and PESTLE (Appendix 3) are also attached.

3.0   STAGE 1 – DEFINE OUTCOMES

P&CR Service Plan Vision: To become one of Wales' leading economic regeneration and planning services, with a can-do approach to promoting the economic, social and environmental well-being of Swansea.

The first stage of the review was to define the outcomes required. This was initiated at a staff workshop (which followed the approved Stage 1 process) held in October. A long list of draft outcomes from the staff workshop were circulated to internal stakeholders for comment. The list of outcomes is included in Appendix 4.

The key findings from the workshop and consultation exercise have been translated into the following four prioritised outcomes:

Outcome	Outcome Detail	Corporate Priority
1 A vibrant and viable City Centre	- *City Centre Regeneration Programme* - *City Centre Management* - *Vibrant and well managed Market* - *Continued Purple Flag status and Evening and Night Time Economy Strategy* - *Access to City Centre services* - *Swansea Bay City Deal* - *City Centre Strategic Framework* - *Local Development Plan.*	Creating a Vibrant and Viable City and Economy, Tackling Poverty, Building Sustainable Communities.
2. A thriving economy at the heart of the city region	- *Swansea Bay City Region Economic Regeneration Strategy* - *Swansea Bay City Deal* - *Inward investment activities* - *Strategic Employment Sites* - *Beyond Bricks & Mortar* - *Regeneration of Hafod Morfa Copperworks* - *Rural Development Plan* - *Swansea Bay FLAG*	Creating a Vibrant and Viable City and Economy, Tackling Poverty, Building Sustainable Communities.
3. A healthy urban and rural environment	- *Well-being goals and duties incorporated into corporate plans, policy and strategies* - *Measurably improved access to natural environment/open space and improvements to the built environment* - *Corporate Biodiversity Plan* - *Green Infrastructure Strategy* - *Open Space Strategy* - *Gower AONB Management Plan* - *Rights of Way Improvement Plan*	Creating a Vibrant and Viable City and Economy, Building Sustainable Communities, Tackling Poverty, Improving Pupil Attainment, Safeguarding Vulnerable People.
4. Sustainable development within existing and new communities	- *Sustainable Development principles embedded in all decision-making* - *Measurably improved range and choice of places to live, work and enjoy leisure time* - *Adoption of LDP* - *Placemaking SPG adopted for LDP Strategic Development Areas* - *Urban design and conservation* - *Direct link to the council's overarching prevention strategy and future generation requirements*	Creating a Vibrant and Viable City and Economy, Building Sustainable Communities.

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4.0 STAGE 2 - SERVICE ASSESSMENT

4.1 What is the gross expenditure of the service?

The gross expenditure of Planning & City Regeneration is £9,355,021 for 2016/17, broken down into the following budget areas:

a. Development, Conservation & Design

25002	Design & Conservation	£124,500
25025	Planning Applications	£1,162,600
25026	Planning Administration	£287,200
25035	Planning Enforcement	£275,700
	Total Budget	**£1,850,000**

b. Strategic Planning & Natural Environment

Code	Description	Sum
25001	AONB	£183,800
25005	Countryside Access	£361,866
25003	Landscape	£141,100
25004	Nature Conservation	£332,836
25036	Strategic Planning	£425,600
42560	Sustainable Development	£180,189
	Total Budget	**£1,625,391**

c. Economic Development

42001	Economic Development	£128,292
42101	Business Development Management (including Beyond Bricks and Mortar)	£256,060
42102	Business Development	£0
	Total Budget	**£384,352**

d. European & External Funding

16001	European Unit	£0
25006	Gower Landscape Partnership	£148,300
25007	Rural Development Plan (RDP) Business Plan 2	£1,549,100
25008	RDP Co-operation	£0
25009	RDP Animation	£0
25010	RDP Running	£0
25011	RDP Implementation	£0
25012	European & External Funding Team staff*	£0
42105	Employment Gateway	£510,200
42106	Convergence & RDP projects	£373,600
42108	European Fisheries	£0
42109	Workways+ Project	£0
42001	Economic Development	£52,897
42110	HLF Hafod Copperworks - Development Phase	£23,000
	Total Budget	**£2,657,097**

e. Regeneration & Physical Development

42484	Swansea Vale Joint Venture	£118,600
42483	Development Projects	£695,798
42328	Spatial development	£248,700
42485	Felindre Joint Venture	£0
42486	St David's Shopping	£259,100
42487	Vibrant & Viable Places	£0
42488	City Centre Regeneration	£207,200
	Total Budget	**£1,529,398**

Note - Revenue budget position is under review to reflect current and proposed city centre regeneration projects.

f. City Centre Management

42251	City Centre Management	£506,400
42253	Swansea Market	£392,500
42252	Swansea Mobility Hire	£124,800
	Total Budget	**£1,023,700**

g. Planning & City Regeneration Directorate Budget

42408	**Directorate Budget – Gross Expenditure**	**£285,083**

4.2 Income generated by Planning & City Regeneration

Planning & City Regeneration will generate £6,314,753 of income in 2016/17, which represents 68% of gross expenditure. Income is generated against the different budgets as follows:

a. Development, Conservation & Design

Code	Description	Sum	Examples
25002	Design & Conservation	£200	Advise on works to listed buildings
25025	Planning Applications	£1,112,791	Planning application fees and fees for fee application advise
25026	Planning Administration	£3,100	Photocopying and planning history searches
25035	Planning Enforcement	£0	
	Total Income	**£1,116,091**	

b. Strategic Planning & Natural Environment

Code	Description	Sum	Examples
25001	AONB	£105,000	Natural Resources Wales (NRW) grant for AONB Management Plan & Sustainable Development Fund (SDF) grant
25005	Countryside Access	£102,666	NRW grant
25003	Landscape	£113,100	Inter-service credits
25004	Nature Conservation	£183,136	WG grant, RSPCA wetlands project
25036	Strategic Planning	£0	
42560	Sustainable Development	£24,000	Commercialisation of

		services	
	Total Income	**£527,902**	

c. Economic Development

Code	Description	Sum	Examples
42001	Economic Development	£0	
42101	Business Development Management (including BBM)	£9,230	
42102	Business Development	£0	UK Steel plc small business grant funding
	Total Income	**£9,230**	

d. European & External Funding

Code	Description	Sum	Examples
16001	European Unit	£0	
25006	Gower Landscape Partnership	£148,000	Heritage Lottery Fund & Natural Resources Wales funding
25007	RDP BP2	£1,549,100	
25008	RDP Co-operation	£0	RDP funding
25009	RDP Animation	£0	RDP funding
25010	RDP Running	£0	RDP funding
25011	RDP Implementation	£0	RDP funding
25012	European & External Funding Team staff	£0	Staff project management and grant administration services for externally funded projects delivered in other departments.
42105	Employment Gateway	£510,200	European Social Fund
42106	Convergence & RDP projects	£373,400	
42108	European Fisheries	£0	
42109	Workways+ Project	£0	European Social Fund funding
42001	Economic Development	£0	
42110	HLF Hafod Copperworks - Development Phase	£23,000	Heritage Lottery Fund funding
	Total Income	**£2,603,700**	

e. Development & Physical Regeneration

Code	Description		Examples
42484	Swansea Vale Joint Venture	£50,000	Rental income
42483	Development Projects	£27,800	Fees
42328	Spatial development	£0	
42485	Felindre Joint Venture	£20,000	Rental income
42486	St David's Shopping	£542,500	Car parking, rental income
42487	Vibrant & Viable Places	£62,830	Rental income
42488	City Centre Regeneration	£0	
	Total Income	**£703,130**	

f. City Centre Management

City Centre Management will generate £1,299,700 of income across the following activities in 2016/17:

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f (i) City Centre Management Income

Code	Description	Sum	Examples
800001	Fees & Charges	£15,000	Street trading fees
800025	Contributions Local Authorities	£5,000	Internal re-charges for services & projects
800026	Contributions Other Orgs	£101,100	Christmas Market/ event fees & contributions from BID
800027	Contributions Private Contractors	£10,000	External charges for services & projects
800156	Rents/ Hire Income	£39,700	Commercial Lettings fees
	Total City Centre Management Income	**£170,800**	

f (ii) Swansea Market Income

Code	Description	Sum	Examples
800156	Rents/ Hire Income	£1,070,100	Market stall-holder rents
800236	Miscellaneous Income	£28,100	Casual lettings, storage and other tolls
	Total Swansea Market Income	**£1,098,200**	

f (iii) Swansea Mobility Hire Income

Code	Description	Sum	Examples
800001	Fees & Charges	£28,400	Hire of mobility equipment & left luggage lockers
800236	Miscellaneous Income	£2,300	Sale of merchandise
	Total Swansea Mobility Hire Income	**£30,700**	

g. Planning & City Regeneration Directorate Budget

42408	**Directorate Budget – Income**	**£55,000**

4.3 What is the net cost of the service to the Council?

When taking account of the income generated by the Service, the Council's net expenditure on Planning & City Regeneration is £3,040,268 in 2016/17. This is broken down across the different budget areas as follows:

a. Development, Conservation & Design

25002	Design & Conservation	£124,300
25025	Planning Applications	£49,809
25026	Planning Administration	£284,100
25035	Planning Enforcement	£275,700
	Net Expenditure	**£733,909**

b. Strategic Planning & Natural Environment

Code	Description	Sum
25001	AONB	£78,800
25005	Countryside Access	£259,200
25003	Landscape	£28,000
25004	Nature Conservation	£149,700

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25036	Strategic Planning	£425,600
42560	Sustainable Development	£156,189
	Net Expenditure	**£1,097,489**

c. Economic Development

42001	Economic Development	£128,292
42101	Business Development Management (including Beyond Bricks and Mortar)	£246,830
42102	Business Development	£0
	Net Expenditure	**£375,122**

d. European & External Funding

16001	European Unit	£0
25006	Gower Landscape Partnership (HLF & NRW)	£300
25007	RDP BP2	£0
25008	RDP Co-operation	£0
25009	RDP Animation	£0
25010	RDP Running	£0
25011	RDP Implementation	£0
25012	European & External Funding Team staff*	£0
42105	Employment Gateway	£0
42106	Convergence & RDP projects	£200
42108	European Fisheries	£0
42109	Workways+ Project	£0
42001	Economic Development	£52,897
42110	HLF Hafod Copperworks - Development Phase	£0
	Net Expenditure	**£53,397**

e. Regeneration & Physical Development

42484	Swansea Vale Joint Venture	£68,600
42483	Development Projects	£667,998
42328	Spatial development	£248,700
42485	Felindre Joint Venture	-£20,000
42486	St David's Shopping	-£283,400
42487	Vibrant & Viable Places	-£62,830
42488	City Centre Regeneration	£207,200
	Net Expenditure	**£826,268**

f. City Centre Management

Overall City Centre Management achieves full cost recovery and derives an additional annual income to the Council of £276,000, as follows:

	City Centre Management	£335,600
	Swansea Market	- £705,700
	Swansea Mobility Hire	£94,100
	Net Expenditure	**-£276,000**

g. Planning & City Regeneration Directorate Budget

42408	Directorate Budget – Net Expenditure	£230,083

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Since 2013/14 Planning & City Regeneration has delivered £1.36 million in budget savings as outlined in the table below:

Financial Year	2013/14	2014/15	2015/16	2016/17	**Total**
Savings	£54,000	£659,000	£490,000	£157,000	**£1,360,000**

As of December 2016, Planning and City Regeneration has a draft capital budget of £10.2m for 2016/17 and £5.7m already secured for 2017/18.

4.4 How is Planning & City Regeneration performing?

Planning & City Regeneration prides itself on high levels of performance and customer satisfaction.

For Planning Services, the Annual Performance Report (APR) is seen by Welsh Government as an important mechanism for monitoring Local Planning Authority performance against a key set of National performance indicators and as a means of driving its agenda for modernising the planning system in Wales. It also represents an important tool for benchmarking the performance of authorities across Wales.

The APR for Swansea for 2015/16 demonstrates that Planning Services has already made significant progress in addressing areas of performance that were in need of improvement and in embracing the Welsh Government's agenda for the modernisation of the planning system in Wales. The service is now consistently achieving top quartile performance for key indicators following the investment made in new technology, business process re-engineering and governance/scheme of delegation changes. The full APR is available on request, but in summary:
- The average time taken to determine all planning applications at 61 days was significantly below the Welsh average of 77 days.
- The percentage of all applications determined within required timescales also showed a significant improvement increasing from 71% in 2014-15 to 84%, well above the Welsh average of 77%.
- Significantly, for the delivery of the Council's regeneration agenda, the percentage of all major planning applications determined within required timescales has increased from 6% in 2014-15, which was the lowest performance in Wales, to 36% in 2015-16, which is above the Welsh average.
- Ongoing progress on reducing the backlog of outstanding historic enforcement cases continues, to influence performance relating to the speed of investigation and resolution of cases.
- The percentage of Member made decisions contrary to officer advice has reduced from 23% in 2014-15 to 10% in 2015-16 equating to 0.3% of all planning application decisions being made against officer advice compared to 0.6% across Wales. The quality of such Committee decisions has also improved significantly with 5 of the 7 subsequent appeals made in respect of applications refused contrary to officer advice being dismissed at appeal.
- Significant progress in Local Development Plan (LDP) preparation has been made over the past year. The Deposit LDP has been written, agreed by Council and consulted upon. The representations received are in the process of being assessed and a consultation report is being prepared with the intention to submit the Plan for Examination in early spring 2017.

In terms of customer satisfaction, survey work has revealed that:
- 69% of respondents thought that the Local Planning Authority gave good advice to help them make a successful application (Wales average = 48%), and 55% were satisfied overall with how their application was handled (Wales average = 61%).

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- For the City Centre Rangers, 96.4% of customers surveyed in 2015 said they were aware of the City Centre Rangers, and 80.64% rated the Service as 'Good' or 'Very Good'.
- For the City Centre Mobility Hire Unit , a 2015 Customer Satisfaction Survey showed a 100% satisfaction rating of 'Very Good' of the staff, 90% of the waiting time, 90% of the equipment , 85% of the building, 80% regarding the value of the Service and 75% of the opening times.
- Feedback from City Centre Management run events show an average satisfaction rating of 84.2% as Very Good/ Good with 94.7% of respondents rating staff helpfulness as Very Good/ Good.

47% of staff responded to the 2016 staff survey (CCS average was 24%) and the service area scored higher than the council average for all but one question:
- 63% of staff always/ often look forward to going to work (CCS average = 56%)
- 86% of staff are always/often enthusiastic about their work (CCS = 71%)
- 95% felt they are always/ often able to make suggestions to improve the way things are done in the team/ department (CCS = 82%)
- 86% felt their team has a clear vision about where it's going and what it wants to achieve (CCS = 77%)
- 89% were satisfied/ very satisfied with the support from their immediate manager (CCS = 81%)
- 67% were satisfied/ very satisfied with the support to develop their skills and learn new things (CCS = 71%)

Planning & City Regeneration has received the following accolades:

Award	Description
UK Most Sustainable Public Sector Platinum Award	Achieved by the Sustainable Development Team in 2015
Sustainable Public Sector Sustain Wales Award	Awarded to the Sustainable Development Team in 2015
Welsh National Procurement Award	Beyond Bricks & Mortar Team received Community Benefit Award for Good Practice in Procurement 2014
APSE Service Award	2015 Finalist for 'Internal Service Team of the Year' for the City Centre Rangers
NABMA - *National Association of British Market Authorities*	Swansea Market awarded 2015 'Britain's Best Large Indoor Market'
Purple Flag	Swansea City Centre achieved Purple Flag status in February 2014 for its evening and night time economy which was renewed in 2015.
Swansea Life Awards	Swansea Market: - 2016 Best Visitor Experience - 2014 Big Heart of Swansea Award - 2012 Culture & Lifestyle Award Winner - Retail Category
Trip Advisor	Swansea Market awarded 'Certificate of Excellence' (2015)

Other examples of good performance across the service area include:
- Track record of securing external funding (£60.1m 2007-13, £55m 2014-20, with a further £12.58m currently under consideration) which facilitates a broad range of economic regeneration and environmental activities. All external funding has been secured through competitive bidding processes from Welsh Government, European Union (EU) Funding Programmes and Heritage Lottery, and all projects are delivering against targets that have been agreed as a condition of the grant. One of the strengths of the service is the diverse skill set of staff - securing funding, successfully delivering projects and monitoring/ evaluating activities is a result of multi-disciplinary working between officers across the service.
- £22.25m of inward investment secured in 2015/16 related to property based projects where the Council owned the land
- 1378 training weeks secured through Beyond Bricks & Mortar in 2016/17, as at November 2016.

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- Strong partnership working ethos with a diverse range of partners across Swansea and the wider region to promote the economic, social and environmental wellbeing of Swansea.
- As a result of the work of the Sustainable Development Team, the Council became one of 11 local authorities in Wales to become an early adopter for the Wellbeing of Future Generations Act.
- The Sustainable Development Team has set up a community benefit society (the Swansea Community Energy & Enterprise Scheme) to generate renewable energy to support some of the poorest communities in Swansea. A community share offer has raised £425,000 to fund a construction loan for ten solar energy installations with profits from electricity generated anticipated in excess of £500k during the lifetime of the project going into a community benefit fund.
- Swansea is the only area in Wales to have been awarded Purple Flag status for the way it manages its evening and night time economy.
- Occupancy levels in Swansea Market remain stable at around 96-97% and rental arrears are at an all-time low tracking at 3% whilst the national average is 6%.
- City Centre Management incepted Wales' first ever Business Improvement District (BID).
- The service is often held up as a model of best practice, e.g. City Centre Management is recognised for its best practice by the Association of Town Centre Management and NAMBA. Officers from across the service are routinely invited to speak at various national conferences and its projects and services have been published in a variety of guides.

The Planning & City Regeneration service is very diverse and is delivering against a broad range of objectives to promote the economic, social and environmental well-being of Swansea. While some areas of activity lend themselves to quantitative performance measures, others are much more difficult to measure. The most detailed picture of the service area's performance emerges from the Team Scorecards, which set out clear objectives for each Section (linked to the service area's priorities), and which are monitored on a monthly basis by the Head of Service.

4.5 How are we demonstrating 'value for money'?

Planning & City Regeneration demonstrates value of money in a number of ways:
- City Regeneration & Planning services are subject to regular financial audits the outcomes of which have been endorsed and recommendations followed up.
- The service secures external funding significantly in excess of its net cost to the Council each year to fund economic and environmental activities that would otherwise not take place.
- The costs of external providers would be significantly in excess of the current cost of staff within the Authority providing the same service.
- Restructuring of the management of European funded projects across the Council has reduced the number of core staff required for implementation and delivery, and has reduced pressure on central services (e.g. financial services) by reducing the number of requests for supporting information.
- The fees and charges that apply across the service have been successfully benchmarked against similar services offered elsewhere in Wales and further afield where appropriate.
- An independent expert appointed under the Professional Arbitration on Court Terms (PACT) Scheme by the President of the Royal Institution of Chartered Surveyors (RICS) determined in July 2014 that the rents paid by the Swansea Market traders are fair and represent market value.
- Key data on the health of the City Centre is monitored on a monthly basis by the City Centre Management, which is benchmarked against towns and city centres across the UK on a regional and national basis.
- A range of service lead key performance indicators are monitored each month to assess the performance of services. For example, the City Centre Rangers dealt with 24,642 incidents over

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2014-15 and on average covered 350 miles on foot patrol each month whilst Swansea Mobility Hire has averages approx. 11,300 annual trips by service users.

- The economic return on investment into City Centre events is assessed with results showing a consistent positive impact on footfall and economic activity.

4.6 Who else provides the same service – within the council?

- The statutory elements of the planning function are provided exclusively by the Service.
- Legal coordinate Local Land Charge Authority searches and retain the fee income to cover staffing costs and costs of IT and service provision. There may be opportunities to review the resources allocated by the various service areas to furnishing this function.
- Nowhere else in the Council provides the same/similar services as the Strategic Planning and Natural Environment Section. Collaboration is required with other service areas to deliver complementary services, for example dealing with trees on Council land and landscaping of school grounds. The Sustainable Development team also work closely with Performance Management in seeking to embed the Wellbeing of Future Generations Act.
- The Parks Department undertakes work which is of benefit to biodiversity, including the Wildflower meadow scheme, beach management works and Knotweed control service. They also provide opportunities for school visits, volunteering and environmental events in some of the Parks. There is scope for closer working with Parks to improve biodiversity on Council owned land under their management.
- No one individual or Team replicates the service of the Economic Development Team; the team possesses specific economic development expertise that is not available elsewhere in the Council.
- In terms of funding administration, Poverty & Prevention administers the Community Transformation Fund (to encourage community organisations to take on council services to generate savings), the Education Department has a schools grants team that support schools in mainstream grants, and the Tourism Team supports applications for funding from Visit Wales. All EU funded schemes currently sit with the European & External Funding Team
- City Centre Management has recently commissioned the Special Events team to deliver certain events in the City Centre and Marketing Services to promote them.
- With regards to City Centre Management run premises, such as the Market, City Centre Management provides the interface with the Market traders and over-sees the day to day management as well as long term development of the facility. The Estates team supports City Centre Management with property and tenancy related matters and Facilities Management have a premises manager's role within the wider organisation.
- The Neighbourhood Support Team within Housing also provides Rangers who deliver a significantly different service to that provided by the City Centre Rangers.
- Estates Services also deal with rent collection and disposals of Council owned land.
- Sure-Sprung sell mobility equipment, however, this tends to be the larger items some of which is sold at Mobility Hire.

4.7 Who else provides the same service – externally?

- There are a wide range of professional firms and consultants with planning, economic development, sustainable development and environmental expertise who could deliver elements of the advice and services provided by officers in the service. However, external

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consultants would not have the same depth and breadth of knowledge of the Council as internal officers, and would need to be on hand to respond to officer and member requests (and meetings), sometimes at short deadlines or immediately.

- Other local authorities provide similar services and there are opportunities for collaborative working with other Authorities particularly in the sharing or pooling of specialist services. An example of this is the Council's Service Level Agreement with Carmarthenshire County Council for Mineral planning advice as there are no in-house minerals planners.
- Personal search agents can carry out Local Land Charge Authority searches.
- The National Trust (on land in their ownership) and Natural Resources Wales also undertake work which conserves and enhances the natural beauty of the landscape of the AONB. Both organisations are part of the Gower AONB Partnership and work collaboratively with the AONB team. Natural Resources Wales are seeking to appoint regional coast path officers.
- There are voluntary-sector organisations (such as National Trust and the Wildlife Trusts) with a biodiversity conservation remit, however this is largely focused around their own landholdings, without the wider strategic remit of the Strategic Planning & Natural Environment Team.
- Swansea Council for Voluntary Services operates a grant finder service and supports third sector organisations with grants.
- The current model of delivery is based on a "mixed economy" with consultants being procured where necessary, including some areas of specialisation. This will be further explored in stages 3 and 4
- Swansea Business Improvement District (BID) represents the businesses in the City Centre to deliver improvements in the City Centre that the businesses agree and fund through a levy. City Centre Management and Swansea BID work collaboratively to fund and deliver services and projects, however, legislation relating to BIDs requires that BID companies add value to and do not replace existing services provided by public service providers such as councils and the police.
- With regards to Swansea Market, some other towns and cities have privately run markets.
- In regards to Swansea Mobility Hire, there are a number of local private companies that sell wheelchairs, scooters and mobility equipment. Bush Health Care, based within the City Centre, also offer a hire service but this is limited to wheelchairs. All the main towns and cities across Wales operate mobility schemes the scale of which depends on the size of the area they serve.

4.8 What Commercial Opportunities can Planning & City Regeneration pursue?

The service already pursues a wide range of commercial activities which are generating income for the Council. In addition, it is actively exploring new commercial opportunities across the service, as follows:

- Further opportunities to commercialise the city centre through sponsorship, advertising and expansion of street trading and lettings
- There is potential for the Development & Physical Regeneration Team to advise on acquisition of assets, with a view to the Council actively managing them to create future income streams to support borrowing and major regeneration projects.
- The European & External Funding Team is working with the Corporate Commercial Team to explore the possibility of charging for grant searches, bid writing and project administration.
- The Beyond Bricks & Mortar Team (within the Economic Development Team) is exploring the potential for generating income from undertaking studies on Social Return on Investment for other Public Sector organisations.

- The Strategic Planning & Natural Environment Section is exploring possibilities of charging for specialist advice and training (e.g. in Sustainable development, Japanese knotweed, ecological advice & surveys) and providing services to other sections (e.g. for landscape architectural advice and Strategic Environmental Assessments) to save on consultancy costs. As an example, undertaking the iterative Strategic Environmental Assessment/Sustainability Appraisal of the LDP in-house has saved the Council around £60k in fees.
- There is potential to increase income generation from Bishops Wood Centre and income could be earned from Public Right of Way searches by reorganising the Authority's search service.

4.9 What work is Statutory and Non Statutory?

The Wellbeing of Future Generations Act places a well-being duty on local authorities to improve the economic, social, environmental and cultural well-being of Wales. The work of the Planning & City Regeneration service contributes to this duty. In addition:
- The Authority has a statutory responsibility for functions associated with the determination of all planning and related applications submitted within or straddling its administrative boundaries and to deal with any associated appeals or consultations including Development of National Significance and Nationally Significant Infrastructure Project applications. Since March 2016 the Authority has also had a responsibility to respond to statutory pre-application enquiries in a format prescribed by Welsh Government. It also provides a non-statutory pre-application advice service over and above its statutory requirements which generates additional fee income.
- Planning Enforcement is not a statutory function, however, the Authority has a duty to address unauthorised development which is causing demonstrable significant and material harm.
- Two full time staff are employed to carry out the planning element of the Local Land Charge Authority search which is a statutory requirement. Fee income for this service is currently retained by Legal with this resource currently being subsidised by planning application fee income.
- The provision of an urban design and conservation service is not a statutory requirement; however, it provides invaluable input into the delivery of the Authority's statutory functions, corporate regeneration initiatives and objectives. The Authority also has various statutory duties in respect of ancient monuments, listed buildings and conservation areas which are dealt with by this team.
- The vast majority of the Strategic Planning & Natural Environment Section's work is statutory, except landscape architecture service which is intended to be income generating. All teams have responsibility for the preparation, monitoring and review of statutory plans and strategies to be adopted as Council policy. Non-statutory work includes preparation of Supplementary Planning Guidance (SPG) - this provides detailed explanation of adopted policy to enable better informed decision-making.
- The work of the Economic Development Team is primarily non statutory, but the team provide input on TAN 23 economic development planning assessments.
- External funders will not support statutory activity so all the work of European & External Funding Team is non statutory.
- The work of the Development & Physical Regeneration Team is primarily non statutory but the team provide advice to the planning department on scheme viability linked to planning applications.
- City Centre Management has to fulfil statutory compliance with its legal responsibilities in leases as landlord, and as tenant and premise management including Fire Risk Assessment, Health and Safety at Work etc.

4.10 How many staff do we have delivering the service?

The Planning & City Regeneration service has 150 employees in scope –
- Development, Conservation & Design – 43 staff (39 FT 4 PT)

- Strategic Planning & Natural Environment – 31 staff (22 FT, 9 PT)
- Economic Development Team – 7 staff (3FT, 4PT)
- European & External Funding Team – 27 staff (23 FT, 4 PT)
- City Centre Management - 21 staff (15 FT, 6PT)
- Development & Physical Regeneration – 21 staff (16 FT & 5 PT)

30 staff (20% of the total) are grant or externally funded.

In recent years the service has deleted a significant number of senior management and team leader level positions in response to budget savings and ER/VR requests. These reductions have, in the main, been absorbed within the service, reducing management tiers and spans of control. The total number of ER/VR reductions within the service since 2010 is 18 - which represents over 10% of total staff numbers.

5.0   EMERGING RISKS, ISSUES & OPPORTUNITIES

5.1   Emerging key Issues

- The service currently receives significant amounts of EU funding. Despite the UK's exit from the European Union, EU funding sources remain active for the next 2-3 years meaning existing programmes are likely to run to 2021 as a minimum. Subject to the Brexit negotiations there is also the possibility that transitional arrangements and further funding opportunities may extend considerably beyond 2021
- A good range of other external funding sources have been identified and the European & External Funding Team is adding value by supporting teams across the Council that can make use of this funding in support of corporate priorities whilst providing a consistent approach to back office management of the funds and professional liaison with funding bodies.
- The plethora of new Welsh Government legislation and the emphasis on regional working in planning, transport and economic development will have an impact on the service.
- A change in shopping habits (including the move away from the high street to the internet) is redefining the role of city and town centres. This has necessitated a review of Swansea City Centre strategies / activities and influenced city centre regeneration proposals.
- A reduction in resources elsewhere in the Council (legal, HR, facilities, reduction in maintenance activities) is affecting the service's ability to deliver its priorities

5.2   Any emerging opportunities or quick wins?

The following quick wins have been identified:
- Service/Section/Team Plans on a page/scorecard linked with employee performance management appraisal and development review to enable more joined up working
- Interactive use of Council's website, to reduce officer time spent dealing with queries with members of the public and other interested parties and speed up responses to enquiries.
- Improved communications strategy/media coverage, including updated intranet and internet sites, to promote work including better use of Social Media
- The Service regularly undertakes public consultation on plans and strategies. Development of an in-house e-consultation service would save over £3,000 per annum which is currently spent on an externally hosted service.

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- Use of in-house mapping services, e.g. for producing LDP proposals map and hosting on-line interactive map would save £7,000 on use of consultants to provide this service.
- Publishing Council strategies online could save printing costs, e.g. publishing the LDP online could save over £15,000 in printing costs.
- Implementation of sponsorship opportunities across the service e.g. a banner sponsorship scheme in the City Centre.

5.3 Any Lessons Learnt from the Process so far?

From these initial stages of the commissioning review it is clear that the service is highly multidisciplinary, with a breadth of complementary professional and operational services that join up to support Swansea's urban and rural economies. The work of the service is both strategic and high profile, with strong links to the corporate priorities, as evidenced by the service's lead role in the regeneration of the city centre, the preparation of the Local Development Plan and most recently the council's contribution to the City Deal.

Financially, the service is punching above its weight, generating significant income and external funding for the Council. It has also taken a significant pro-rata share of budget saving as part of the Council's response to austerity measures and has consistently delivered against targets.

Where available, national benchmarking datasets demonstrate that our performance is improving, perhaps best illustrated by the top quartile status of the planning applications service PIs. Our work is also recognised nationally, with the award winning Beyond Bricks & Mortar Service, the Sustainable Development Team and various City Centre Management functions. It was also pleasing to see the recent staff survey results, with staff morale significantly outperforming the council average.

Like any other Council service, we face risks and issues moving forward. With the necessary corporate inputs, the commissioning review will assist the service in mitigating these risks. In previous years the service has responded well to change and challenge, dealing with the significant loss of tacit knowledge from the many ER/VRs that have been approved as part of ongoing budget savings. Based on the evidence in this initial report I believe the service can continue to deal with the challenges ahead, using the commissioning review process to become fit for the future and sustainable in the long term.

5.5 Risks

- Failure to secure funding (e.g. Swansea Bay City Deal) would impact on ability to deliver regeneration proposals.
- Match funding can be difficult to source. Although external grants can often be matched against each other, funding from the applicant organisation is often seen as a marker of intent and commitment to a scheme.
- There is a high profile and expectation attached to the regeneration of Swansea City Centre, but only modest human and financial resources to deliver this.
- Delivery of outcomes is dependent on partnership working with a range of external partners.
- Failure to comply with statutory duties may lead to intervention by the Welsh Government, Natural Resources Wales or the Police, and could have significant financial and political implications.
- Delays to the LDP and a failure to adhere to the recently approved Delivery Agreement would

be damaging in terms of the criticisms that it will generate from the Welsh Government and negative perceptions more generally in terms of the Council's ability to strategically plan for future development. It also increases risks and uncertainties associated with having no up to date planning policy to counter hostile applications on un-favoured greenfield sites (note the UDP is 'time expired' after 2016).

- Lack of maintenance, enhancement and promotion of the natural and built environment would result in a loss of ecosystem services, biodiversity and reduction in accessible natural greenspace – which would impact on health and wellbeing / quality of life.

5.6   Are there any issues you require a steer from the Gateway Review Panel?

- Confirmation that the outcomes listed in section 3 are adequately defined and capture Council wide issues

Appendices:

Appendix 1 – Scoping Document
Appendix 2 – SWOT Analysis
Appendix 3 – PESTLE Analysis
Appendix 4 – Outcomes
Appendix 5 – Stakeholder Consultation List

Additional information is available on request in relation to the Planning Performance Framework, customer satisfaction figures, PI's and detailed budget information.

Appendix B

Benchmarking

Cluster 1 - Development, Conservation & Design

Development Management

Benchmarking against the All Wales Annual Performance Report (2015/16) for Local Planning Authorities in Wales indicates a consistent approach to in-house provision of the statutory development management service. Few Local Planning Authority have the same structure or level of resources and there are few examples where the statutory planning service sits within the same service area as the economic development function.
http://gov.wales/topics/planning/planningstats/annual-performance-report/planning-annual-performance-report-2015-16/?lang=en

Collaboration and partnership working, particularly for specialist services such as minerals planning, is also identified as good practice in response to current budgetary pressures, albeit for a limited number of Authorities. This also reflects Welsh Government commitment to strategic planning and regional working promoted through the Wales Planning Act 2015 and the recently published White Paper (Reforming Local Government: Resilient and Renewed) issued by the Cabinet Secretary for Finance and Local Government issued on 31st January 2017.

The Killian Pretty Review of the planning system in England http://webarchive.nationalarchives.gov.uk/20151113141044/http://www.planningportal.gov.uk/uploads/kpr/kpr_final-report.pdf and the subsequent Welsh Government review of the planning system in Wales did not consider outsourcing to the private sector as a scenario.
http://gov.wales/topics/planning/planningresearch/publishedresearch/towardsawelshplanningact/?lang=en

Outsourcing of the statutory development management function in Wales has been limited and focussed mainly on the processing of a discrete range of planning applications to address resource and/or recruitment issues during periods of workload pressure.

This Authority, Pembrokeshire Coast National Park Authority and Torfaen BC have previously outsourced elements of the statutory development management function, however, this has been limited and focussed mainly on the processing of a discrete range of householder or minor planning applications to address resource and/or recruitment issues during periods of workload pressure. Torfaen BC reported benefits in terms of speed of determination but increased costs per application with a reduced quality of service to applicants/agents and third parties despite administrative, technical, validation, consultation and decision making costs being shouldered by the respective Authorities.

Commercial rates would increase the cost of the service that in South Wales range between £70-£145 per hour compared to £20-£35 inclusive of on costs for professional planning officers within the Authority.

Urban Design and Conservation

The majority of cities in England and Wales have design and heritage expertise within the Council to capture the maximum benefit for the public good through the exercise of the development management function and through Council regeneration projects. These functions are often combined into a team or single individual and they are usually embedded into the development management service area. For example Cardiff, Bristol, Plymouth, Gloucester, Bath all have design and heritage officers/ teams. The importance of 'Place Leadership' to deliver place making and quality at the Council level is currently being emphasised by both the Welsh Government and the Design Commission for Wales as a key element of the Well Being of Future Generations Act

The Design and Conservation Team in Swansea has been benchmarked against the Place making Team in Cardiff which falls with the Strategic Development Management service area. The Swansea and Cardiff Teams provide very similar functions including design and heritage advise for development management and listed buildings, input into strategic regeneration projects, preparation of Supplementary Planning Guidance and master planning work. However the key difference is that the Swansea Team provides a comparable service with a much smaller team of 2 full time posts in comparison to 6 full time posts in Cardiff. Whilst Cardiff may have more listed buildings, there are more conservation areas in Swansea and both cities are facing considerable growth pressures with city centre regeneration and strategic housing expansion. Furthermore the Team in Swansea commented on an identical number of planning applications in 2016 as the Cardiff Team, with less than half the resources of Cardiff. Therefore whilst the Team in Swansea is very lean as a result of previous savings and restructure, it is able to process a significant workload, playing a central role in strategic growth and key regeneration projects that is welcomed and well respected by developers as demonstrated by very positive user feedback.

In contrast whilst Newport is Wales's third city, it has a much smaller population than Swansea and covers a much less varied planning environment. As a result whilst Newport has a Conservation Officer, there is no urban designer and instead they rely on the Design Review service of the Design Commission for Wales for design input into the development management of major schemes and they buy in design services for regeneration projects. Newport has indicated an interest in buying in or sharing design advise services for development management from Swansea.

Evidence provided by Cadw shows that of the 25 authorities across Wales, 22 have at least one post providing heritage advise in respect of listed buildings and conservation areas, but their role typically does not extend to place making and as a result they often take a narrow protectionist approach to change. In Swansea the broader place making context of the heritage role allows the wider benefits to be captured with a focus on delivery. The lack of capacity in the heritage sector across Wales has been highlighted by Cadw as a risk to the historic environment and they

are currently investigating the scope for and barriers to collaboration between authorities with input from Welsh Councils including the City and County of Swansea. As there is no Conservation Officer in Neath Port Talbot, this is an opportunity for Swansea to offer this service to a neighbouring authority. Furthermore as the neighbouring authorities of Neath Port Talbot and Carmarthenshire do not have imbedded design advisors there is also scope for the City and County of Swansea to offer a collaborative design service to advise on strategic projects within the Swansea Bay City Region.

Design and heritage consultants charge out at £50-£110 per hour. However these consultants do not typically offer the day to day advise feeding into the development management process as provided by the Swansea Design and Conservation Team. Instead consultants typically focus on task and finish projects such as public realm studies and area regeneration studies. These consultants are typically located in Cardiff and Bristol so there are significant travel costs associated with buying in a comparable day-to-day service. No other Council has outsourced place-making and listed building advise to the development management system, however specific design projects such as public realm has been outsourced by Regeneration colleagues in Swansea and the Design and Conservation Team acts as client advisors in these project.

Land Searches & Charges

The land charges and searches function is furnished by 7 separate departments within the Authority with fee income circa £200K retained by Legal Services which covers legal staffing and IT costs.

Two officers are employed by the Development, Conservation & Design Service providing the largest number of search hours, search information and resources of any of the respective departments. Provision of this service is, however, currently subsidised by planning application fee income posing a risk the continued delivery of this element of the service making it vulnerable to economic pressures.

Benchmarking against the London Borough of Newham indicates that this service can be provided by a core land charges team with access to all relevant systems which would provide an efficient, resourced and timely service to the public.

Flintshire County Council have a land charges and searches function that is provided directly by the Development Management Team.

CLUSTER 4 – City Centre Management

The Association of Town Centre Management (ATCM), the sector's leading body, recognises that that of its 400 town and city centre management practitioners; no two services are the same however, the majority focus on the execution of cross cutting partnerships to develop and implement shared visions, strategies and actions plans.

The ATCM membership consists of a mix of publically funded town centre managers, Business Improvement Districts (BID), Community Interest Companies (CIC's), Town Teams and more. They span across the private, public and voluntary sector, as a collective, and do not usually have a sector specific agenda rather they focus on the promotion of healthy places for the benefit of all stakeholders.

Many town and city centre management services were incepted, as is the case in Swansea, as operational schemes to improve high street retailing by, for example, cleaning the streets, reducing shop theft and enhancing the trading environment. Today however many have evolved beyond this operational role and are helping to support more clearly defined economic regeneration benefits.

In their 2015 paper C*losing the Productivity Gap*, ATCM highlights Rotherham's in Town Living Scheme, Digital Infrastructure Delivery in Mansfield and Youth Employment in Kirklees as examples of the contribution town centre management is making to the economic regeneration agenda in these areas.

ATCM states *'The proactive management of town and city centre has emerged as a key route to translating abstract economic objectives into real productivity gains'.*

'Making town centre management an investment priority is an easy win for anyone involved in economic development. Whether the aim is developing the skills of business and entrepreneurs, matching school leavers and graduates to the right apprenticeships and employment opportunities or helping to deliver national infrastructure, then town centre management provides a compelling solution'.

Whilst ATCM advocate closer affiliation of town centre management services with economic regeneration; in terms of models of delivery according to British BIDs, as of May 2017 there are currently 273 BIDs in operation across the UK 225 of which are town centre focused. In Wales there are 5 established BIDs including Wales' first designated BID being Swansea and its newest Cardiff.

Operational Services
Ranger's
One area of the City Centre Management service were clear comparisons can be drawn is in regards to the City Centre Rangers Service. This was subject to a review process which was completed towards the end of 2015 the outcomes of which included rebranded uniforms, enhanced performance management and reporting measures and the refocusing of roles and responsibilities.

There are multiple examples of Ranger type services being provided in towns and cities across the UK that demonstrates their value. The role of these teams is usually

either ambassadorial as in Leeds, Sheffield and Newport and/ or environmental management as in Wolverhampton, Aberdeen and Leicester or a combination as per the model used in Swansea.

In terms of the management and funding of such services there appears to be a relatively even split between those over seen by BID companies and those that are run by local councils. The case in Swansea is that the Swansea BID covers 25% of the running costs.

Cluster 5 - Swansea Mobility Hire

Research was conducted during February 2017 regarding the services and charges applied in relation to similar mobility hire services operating across the UK. The findings are summarised below and have been compared to the current services and charges in relation to Swansea Mobility Hire:

Area	Services	Charges
Swansea	- Hire of mobility equipment. - Also sell mobility aids. - Left luggage and shopping facilities provided.	• As from January 2015: - £12 per annum membership. - £5 one-off visitor's fee. - £2 half day equipment hire. • - £3 full day equipment hire. • - £1 parking fee. - Locker hire rates between £2-£6 per day/ half day subject to locker size.
Tamworth	- Hire of mobility equipment. - Also sell mobility aids.	- £5 per day.
Cheltenham	- Hire of mobility equipment. - Also sell mobility aids.	- £28.56 per annum membership. - £5.10 per use.
Bath	- Hire of mobility equipment.	- £1 per hour - £5 late return fee.
Stoke	- Hire of mobility equipment.	- £24 per annum membership - £2 per use. - £5 for day visitors.
Bolton	- Hire of mobility equipment. - Also sell mobility aids. - Undertake repairs to privately owned mobility equipment.	- £3 per use.

As part of an earlier review process regarding Swansea Mobility Hire, the following information was collated at the time. Information in relation to Swansea Mobility is also provided for comparative purposes.

Area	Operating Model	Funding	Status	Other Info
Swansea	- Council service. - 2 full time, 1 part time and 1 casual worker.	- Fees and charges (income approx. £31,000 per annum). - Council subsidy (£94,000 per annum)	- Service relocated to Swansea Bus Station and rebranded in 2011 to Swansea Mobility Hire. - Review undertaken in 2015 resulting in the subsidy reduction from approx. £114,000 to approx. £94,000 per year.	- Web presence: http://www.swansea.gov.uk/mobilityhire
Cardiff	- Registered charity.	- Fees and charges. - Lamb Securities, the owners of St. David's 2 complex, contribute £30,000 per annum.	- Staff made redundant in 2015 and threatened with closure previously.	- No web presence, email etc.
Bristol	- Registered charity.	- Fees and charges. - There is a webpage which links other organisations and it appears that these organisations pay for this which is likely subsidising the service.	- Scheme targets visitors, tourists etc.	- This scheme was built into the redevelopment of Cabot Circus. - Web presence: http://www.bristolshopmobility.co.uk/contact-us.html
Wrexham	- Run by AVOW (Association of Voluntary Organizations in Wrexham).	- Fees and charges (modest charging). - Council subsidy.	- Previously a service provided by the Council.	- Web presence: http://www.wrexham.gov.uk/english/community/Shopmobility.htm
Chester	- Limited company with charitable status. - Volunteers and paid staff - Part of consortium of 4 mobility	- Fees and charges (split pricing for members and visitors). - Part funded by the local council. - Donations also received.		- Web presence: http://www.cheshirewestandchester.gov.uk/residents/health_and_social_care/adultsocialcare/getting_out_and_about_-_transp/shopmobility.aspx

	services.			
Neath	- Registered charity. - 2 part time staff on a temporary contract.		- Uncertain future at the time of the review.	- No web presence.
Carmarthen	- Service manned by volunteers.			
Abergavenny	- Council service. - One staff member and volunteers.	- Funded by a small budget via Abergavenny Town Council. - Sponsorship open to local businesses to sponsor a wheelchair (A4 placard on basket and back of chair). - Service is free to users.		

Cluster 6 - Swansea Market

I. Performance

Research was also undertaken in February 2017 to consider the performance of Swansea Market in relation to other markets across the UK using a variety of data sources and performance measures.

Footfall

Information on footfall data derived over a period of three consecutive years from 2014 onwards is provided by the UK Markets Index (UKMI) which is the only independent measure of performance in retail markets in the UK.

As at January 2017, the UKMI advised that according to their national footfall data from January to November 2016 there was a 3.5% drop in footfall in participating markets compared to the same period in 2015. This data is outlined below in comparison to the previous year.

Year	Period	% change
2016	Jan - Nov	- 3.5%
2015	Jan-Nov	- 6.0%

Swansea Market, which has automated footfall counters located at each entrance, also showed a comparative decline in footfall for the same periods which is calculated on the basis of the following numbers.

Year	Period	Figures	% Change to previous year	YOY Difference
2016	Jan-Nov	3,920,001	-3.5%	-141,006
2015	Jan-Nov	4,061,007	-2.0%	-81,905
2014	Jan-Nov	4,142,912	-1.8%	-73,901

Specific footfall figures for Swansea Market from 2014 until 2016 are as follows:

Period	2016	2015	2014
Annual	4,416,895	4,563,511	4,668,012
Daily average	12,101	12,503	12,789
Monthly average	368,075	380,293	389,001

The best trading week during 2016 was week commencing 19 December 2016 which saw a drop of 1% on the best trading week of 2015 week commencing 14 December 2015.

The worst trading week for Swansea Market during 2016 was week commencing 14 March 2016 which saw a drop of 5% on the worst trading week of 2015 which was week commencing 5 January 2015.

Patterns regarding key trading periods for both Christmas and the October Half Term holidays show a 7% and 10% decline respectively from 2014.

Year	Period	Figures	% Change to previous year	YOY Difference
2016	Christmas week	118,434	-1.0%	-1,185
2015	Christmas week	119,619	-6.5%	-8,271
2014	Christmas week	127,890		
	2016 vs 2014		-7%	-9,456

Year	Period	Figures	% Change to previous year	YOY Difference
2016	October half term	92,047	-5.7%	-5,522
2015	October half term	97,569	-4.3%	-4,369
2014	October half term	101,938		
	2016 vs 2014		-10%	-9,891

ii. Mission for Markets Survey

Of the 310 retail markets that participated in the joint NABMA (National Association of British Market Authorities) and NMTF (National Market Traders Federation) *Mission for Markets 2016 Survey*, the following general performance trends were identified which have been compared with the performance of Swansea Market.

	Footfall	Income	Occupancy
Mission for Markets Survey Findings	- 43% of markets reported footfall was down. - 40% of markets reported footfall was about the same. - 17% of markets reported footfall increased.	- 45% of markets achieved a surplus. - 25% of market reported a deficit. - 20% of market said they broke even. - 8% of market operators didn't know.	- The overall national average was 77%. - The national average for indoor markets was 86%.
Comparison with Swansea Market	Swansea Market is showing declining footfall (-3.5% YOY) in line with 43% of other UK markets.	According to the 2014-2015 budget, Swansea Market achieved a surplus (£772,178) in line with 45% of other markets.	Swansea Market achieved above the national average of 86% occupancy with a consistent occupancy rating of between 96% and 98%.

Further findings from the Mission for Markets Survey are set out below, a commentary on which in regards to the status of Swansea Market is also provided.

Mission for Markets Survey Findings	Comparison Swansea Market
There are 1,227 retail markets in the UK. 65% of retail markets are run by local authorities and 18% are operated by private companies. The remainder comprise retail markets managed by trader cooperatives, social enterprises and community interest companies.	Swansea Market is run by the local authority in line with 65% of the retails markets responding to the Survey. In relation to market operators in Wales, the trend is that the majority of markets are managed by local councils.
32,000 businesses trade on retail markets in the UK, providing employment for 24,500 people. The majority of these jobs are part-time. There has been a huge change in the employment structure of the sector. In 2014-15, 33,000 businesses employed 21,500 people and most of these roles were full-time.	There are 110 stalls currently available in Swansea Market ranging in size and the number of workers employed at each stall. On the basis of a rudimentary analysis it is estimated that between 250 and 500 people work in the Market the majority of whom would be expected to live locally. These figures do not reflect the supply chain

	that indirectly supports the operational and management of the Market.
In financial year 2015-2016, traders on retail markets in the UK collectively turned over £2.7 billion. Combined with the turnover of the 26 wholesale markets in the UK, the annual turnover of markets was £5.95 billion. Turnover is gradually increasing year on year by around £200 million.	Information regarding the collective turnover of Swansea Market traders is not available. However the total rental and other income derived from the Market according to the 2014-2015 outturn is £1,128,818 of which £772,178 is surplus and used to support the delivery of other Council services and projects.
The sector has been challenged by radical changes in the retail industry, notably the rise of the discounters and online shopping. Retail markets are adapting to compete. Traders are specialising or diversifying their business models. Operators invested £51.6 million into improving their retail markets in 2015-16.	There are multiple examples of entrepreneurialism and diversification being applied by traders in Swansea Market for example, whole-sale and provision of customer delivery services. There are however many more traditional traders who are failing to embrace change and in particular do not engage in social media and on-line opportunities. CCM works closely with the Swansea branch of the National Market Traders Federation and together have brought forward a number of recent operational improvements. For example, parking enforcement in the Market Loading Bay and the development of a communal trolley system. In addition, the Local Authority has invested significant sums in 2015-2016 together with grant funding to replace the Market roof. Going forward a Masterplan has been developed setting out the ambitions for the Market over the medium to long term. Aspirations to enhance the Market entrances and provide customer toilet facilities are among the projects which are being considered subject to funding.
It is estimated that there are 26 billion shopping visits to retail markets in the UK per year. Operators of markets are reporting a decrease in footfall and profitability since 2012. As traders are reporting a gradual increase in turnover, this suggests they are adapting quicker and more effectively.	As per the information provided above, footfall into the Market has been declining over several years. Traders are also reporting concerns about the profitability of their stalls which the majority contribute to the declining performance of the City Centre as a whole. The realisation of the City Centre regeneration programme is therefore critical to the long term vitality of the Market.

Traders on retail markets have a mature age profile with over 65% having 50 years of age. Data on self-employment suggests that older people make up the majority of self-employed workers in the UK. 58% of business owners are male. The sector is still above average for the amount of businesses run by women, demonstrating the inclusivity of markets.	Research consistently shows that the main demographic of the Market represents an age profile of 55 years and above. The Market's Marketing Strategy has responded to this by targeting students, families and those working in the City Centre, the positive impact of which has however been diluted by the declining trends in footfall .
The highest proportion of market traders is in the South of England (38%) and this gradually decreases through the Midlands (28%) to the North of England (27%). 9% of market traders are based in Northern Ireland, Scotland and Wales combined. Business owners prefer trade from indoor markets in the North, outdoor markets in the Midlands, and events are the predominant trading channel in the South.	Whilst markets appear to be less popular in Northern Ireland, Scotland and Wales, there is a South Wales network of approx. 10 market operators that meets relatively regularly to share information and best practice. Among this group Swansea Market is held up as a model of success given its overall performance and operating practices. In 2015 Swansea Market was awarded the title of Britain's Best Large Indoor Market by NAMBA (National Association of British Market Authorities) and also maintains Trip Advisor's Standard of Excellence.
Market traders are incorporating more events and specialist markets in their business models. 64% trade on events, 50% on outdoor markets, and 43% on indoor markets. In addition, 23% trade online. There remains a challenge for the sector to adapt to new technologies and engage with digital. 40% of market traders take cashless payments. 45% have a website. 55% use social media to promote their business.	As part of its Marketing Strategy, Swansea Market has a standalone website and social media presence. Whilst a number of traders have their own digital platforms and engage with the Markets, many more do not. The Market also benefits from a programme of regular events and activities to raise the profile of and drive footfall into the Market in line with local and/or national events. Outdoor radio broadcasts, photography, exhibitions, choirs and children's activities and entertainment, among other activities, feature through the year. Limited space within the Market however restricts the type and scale of events that are organised. Swansea Market Traders Federation are keen to see the reinstatement of the annual Swansea Market Cockle Festival as a destination event in the City Centre. This is not however currently feasible due to funding and resources.
In 2014-15, respondents were asked to identify lines that would go up and down. They were right. There has been an increase in food, entertainment/communications, and arts and	Over the years whilst the number of fish and seafood stalls have remained relatively stable, Recorded changes in the number and types of other businesses operating in the Market can

crafts. There has been a decrease in clothing and children's goods. This year's hot line is speciality goods and, arguably, the most underperforming line is electrical goods. This year, traders expect a boom in hot food, alcoholic drinks, and vintage and handmade goods.	be seen. The number of butchers, fruit, vegetable and flower units and clothing and footwear stalls have declined. In sharp contrast places to eat, services and supplies (such as key cutting and jewellery repair) and jewellery, cosmetics and leather goods have been growth areas.

C. Case Studies - Other Markets

The following information has been extracted from the Swansea Market Master Plan which was undertaken by consultants The Urbanists in May 2015.

Comparisons are drawn from a management and regeneration perspective of Swansea Market with several key retail markets across the UK. These are St. George's Market in Belfast, the recently refurbished Newport Market, market leader Bury Market and Kirkgate Market in Leeds.

Comparison: Swansea and Belfast

Similarities:

- Central location close to amenities such as rail and bus stations

- Managed by local councils

- Regeneration projects focused on infrastructure

- Both are tourist attractions

Differences:

- Specialisation in Belfast with different market themes each day

- St George's project has led to regeneration of surrounding area

- St.George's market is based upon flexible stalls that enables the market to adapt its offer over time and on different days of the week

- St.George's market is in a part of Belfast city centre that has undergone significant transformation - the market is an important part of this but there are other attractions that have helped to create a lively context around the market building (such as the Titanic Quarter)

Comparison: Swansea and Newport

Similarities:

- Central location close to amenities such as rail stations and universities
- Managed by local councils
- Regeneration projects focused on infrastructure
- Both have fixed market stalls

Differences:

- Newport makes use of its extra space by hosting events
- The regeneration in Newport has resulted in a more multiuse space with the gallery and business loft

Comparison: Swansea and Bury

Similarities:

- Both settlements have pockets of deprivation, but are able to draw upon areas with disposable income. Both face considerable competition from nearby centres (Swansea: Trostre, Carmathen and Cardiff) (Bury: Bolton, Rochdale and Manchester)
- Both markets have been rebuilt in the 20th century following destruction of previous accommodation
- Both regions have a good reputation for excellent local produce
- Both markets are connected to covered malls of a similar age, size and configuration
- Public transport is located within close proximity of both markets
- Both are managed by local councils

Differences:

- Bury market is zoned - different parts of the market offer different kinds of tenancy, produce and opening hours/days
- Bury has a range of different kinds of accomodation to suit different kinds of trader
- Bury has recognised that its local catchment is limited and that to continue to prosper it needs to deploy active strategies to attract visitors from outside the town
- Bury has been successful in securing a contemporary mixed use development

Comparison: Swansea and Leeds

Similarities:

- Central location close to amenities such as railway stations and universities

- Managed by local councils

- Regeneration proposals focused on infrastructure (namely the roof), but also to turn the stalls to face outwards, extend opening hours and reconfigure the layout

- Both have fixed indoor market stalls

Differences:

- Kirkgate operates strategies to encourage businesses into the market

- Leeds host events to increase revenue, something not seen in Swansea

- Kirkgate have an active online and social media marketing strategy

- Collaborations with academia to improve business performance

- Leeds is benefiting from a number of modern retail developments - all in the context of the market

APPENDIX C - Planning & City Regeneration Commissioning Review
Stakeholder Workshop
29th March 2017

Attendees:
Phil Holmes
Cllr Robert Francis Davies

Table 1 – Development, Conservation & Design	Table 2 - Economic Development & External Funding
Ryan Thomas with Ian Davies & Steve Smith	Steve Phillips & Paul Relf
Andrew Shaw (Corporate Building)	Clare James & Elliott Williams & Helen Beddow
Gareth May (UNISON)	Paul Cridland (Finance)
Cllr Chris Holly	Nick Williams (WG)
Cllr Paul Lloyd**	Jane Whitmore (Poverty & Prevention)
Cllr Clive Lloyd	Steve Hopkins (Tourism)
Jill Williams (Housing)	Jamie Kaijaks
Marlyn Dickson	
Phil Baxter	
Table 3 - City Centre Management, Mobility Hire & Swansea Market	**Table 4 – Development & Physical Regeneration**
Lisa Wells & Sarah Lawton	Huw Mowbray & Katy Evans
Bob Fenwick (Highways)	Andy Pearson
Bronwen Williams (UWTSD)	David Owen (Planning)
Chris Trustcot (Police)	Debbie Smith (Legal)
John Hurley (Public Lighting)	Geoff Proffitt (Swansea University)
Lisa Harley (Quadrant)	Grant Prosser (Director of Development Coastal Housing)
Russel Greenslade (BID)	Jacki Rees Thomas (CCS)
Richard Mears (Highways)	Matt Bowyer (Transportation)
David Price-Deer (Events)	
V Thomas	
Table 5 - Strategic Planning, Landscape, Sustainable Development	**Table 6 - Countryside Access, Nature Conservation, AONB**
Paul Meller & Tom Evans	Paul Meller & Chris Lindley
Andrew Ferguson	Chris Howell (Int)
Gail Evans	Cllr Mark Child (biodiversity champion)
Richard John (property)	Deb Hill
Steve King	Liz Thomas Evans (Int)
Dave Meyrick	Mark Russ (int)
Penny Gruffydd	Kerry Rogers (NRW)
Jeff Saywell	Bob Denley
Phil McDonnell (Swansea Environment Forum)	
Cllr Paul Lloyd**	

Appendix D Options Scoring Matrix - Cluster 1 Development, Conservation & Design

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes	Criteria	Weight	Transform In House		Outsource		Collaboration		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	5	25	1	5	4	20		0
	Total	5	5	25	1	5	4	20	0	0
	Score			5.0		1.0		4.0		0.0

Fit with Priorities	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	5	25	1	5	3	15		0
	Total	5	5	25	1	5	3	15	0	0
	Score			5.0		1.0		3.0		0.0

Financial Impact	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Make more effective use of staff resources	5	5	25	1	5	5	25		0
	Maximise Income generation opportunities	5	3	15	1	5	5	25		0
	Have limited or no set up costs and/or long term benefits	5	5	25	1	5	5	25		0
	Total	15	13	65	3	15	15	75	0	0
	Score			4.3		1.0		5.0		0.0

Sustainability/Viability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Any prohibitive legal implications for implementation	5	5	25	1	5	3	15		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	5	25	1	5	3	15		0
	Total	10	10	50	2	10	6	30	0	0
	Score			5.0		1.0		3.0		0.0

Deliverability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Be implemented within the realistic timescales	5	5	25	2	10	2	10		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	5	5	25	2	10	2	10	0	0
	Score			5.0		2.0		2.0		0.0

| | | | TOTAL | 4.9 | | 1.2 | | 3.4 | | |
| | | | **SCORE** | **1** | | **3** | | **2** | | |

Appendix D Options Scoring Matrix 2a - Countryside Access

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes	Criteria	Weight	Transform In House Score	Weighted	Collaboration/Partnership Score	Weighted	Community Transfer Score	Weighted	Option 4 Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	4	20	3	15	1	5		0
	Total	5	4	20	3	15	1	5	0	0
	Score			4.0		3.0		1.0		0.0

Fit with Priorities	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	4	20	3	15	1	5		0
	Total	5	4	20	3	15	1	5	0	0
	Score			4.0		3.0		1.0		0.0

Financial Impact	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Make more effective use of staff resources	5	3	15	1	5	3	15		0
	Maximise Income generation opportunities	5	3	15	4	20	1	5		0
	Have limited or no set up costs and/or long term benefits	5	5	25	3	15	3	15		0
	Total	15	11	55	8	40	7	35	0	0
	Score			3.7		2.7		2.3		0.0

Sustainability/Viability	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Any prohibitive legal implications for implementation	5	5	25	4	20	3	15		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	3	15	4	20	1	5		0
	Total	10	8	40	8	40	4	20	0	0
	Score			4.0		4.0		2.0		0.0

Deliverability	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Be implemented within the realistic timescales	5	5	25	3	15	3	15		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	5	5	25	3	15	3	15	0	0
	Score			5.0		3.0		3.0		0.0

| | | | TOTAL | 4.1 | | 3.1 | | 1.9 | | |
| | | | SCORE | 1 | | 2 | | 3 | | |

Appendix D Options Appraisal Scoring - Cluster 2b AONB

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes	Criteria	Weight	Transform In House Score	Weighted	TRUST/Collaboration/Partnership Score	Weighted	Community Transfer Score	Weighted	Option 4 Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	4	20	3	15	1	5		0
	Total	5	4	20	3	15	1	5	0	0
	Score			4.0		3.0		1.0		0.0

Fit with Priorities	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	4	20	3	15	1	5		0
	Total	5	4	20	3	15	1	5	0	0
	Score			4.0		3.0		1.0		0.0

Financial Impact	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Make more effective use of staff resources	5	3	15	1	5	3	15		0
	Maximise Income generation opportunities	5	3	15	4	20	4	20		0
	Have limited or no set up costs and/or long term benefits	5	5	25	3	15	5	25		0
	Total	15	11	55	8	40	12	60	0	0
	Score			3.7		2.7		4.0		0.0

Sustainability/Viability	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Any prohibitive legal implications for implementation	5	5	25	4	20	4	20		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	3	15	4	20	4	20		0
	Total	10	8	40	8	40	8	40	0	0
	Score			4.0		4.0		4.0		0.0

Deliverability	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Be implemented within the realistic timescales	5	5	25	3	15	1	5		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	5	5	25	3	15	1	5	0	0
	Score			5.0		3.0		1.0		0.0

| TOTAL | | | | 4.1 | | 3.1 | | 2.2 | | |
| SCORE | | | | 1 | | 2 | | 3 | | |

Appendix D Options Appraisal Scoring - Cluster 2c Nature Conservation Team

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes	Criteria	Weight	Transform In House		Collaboration/Partnership		Set up new company/Community Transfer	
			Score	Weighted	Score	Weighted	Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	4	20	3	15	1	5
	Total	5	4	20	3	15	1	5
	Score			4.0		3.0		1.0

Fit with Priorities	Criteria	Weight	Option 1		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	4	20	3	15	3	15
	Total	5	4	20	3	15	3	15
	Score			4.0		3.0		3.0

Financial Impact	Criteria	Weight	Option 1		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted
	Make more effective use of staff resources	5	5	25	3	15	3	15
	Maximise Income generation opportunities	5	5	25	5	25	3	15
	Have limited or no set up costs and/or long term benefits	5	5	25	5	25	3	15
	Total	15	15	75	13	65	9	45
	Score			5.0		4.3		3.0

Sustainability/Viability	Criteria	Weight	Option 1		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted
	Any prohibitive legal implications for implementation	5	5	25	5	25	3	15
	Maintain sustainability of the service and/or make service improvement for the citizen	5	5	25	3	15	3	15
	Total	10	10	50	8	40	6	30
	Score			5.0		4.0		3.0

Deliverability	Criteria	Weight	Option 1		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted
	Be implemented within the realistic timescales	5	3	15	3	15	1	5
				0		0		0
				0		0		0
				0		0		0
				0		0		0
				0		0		0
	Total	5	3	15	3	15	1	5
	Score			3.0		3.0		1.0

TOTAL				4.2		3.5		2.2
SCORE				**1**		**2**		**3**

Appendix D Options Appraisal Scoring - Cluster 2d Landscape Team

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes	Criteria	Weight	Transform In House		Set up new company		Outsource		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	5	25	3	15	1	5		0
	Total	5	5	25	3	15	1	5	0	0
	Score			5.0		3.0		1.0		0.0

Fit with Priorities	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	5	25	3	15	1	5		0
	Total	5	5	25	3	15	1	5	0	0
	Score			5.0		3.0		1.0		0.0

Financial Impact	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Make more effective use of staff resources	5	5	25	3	15	1	5		0
	Maximise Income generation opportunities	5	5	25	3	15	1	5		0
	Have limited or no set up costs and/or long term benefits	5	5	25	1	5	3	15		0
	Total	15	15	75	7	35	5	25	0	0
	Score			5.0		2.3		1.7		0.0

Sustainability/Viability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Any prohibitive legal implications for implementation	5	5	25	1	5	1	5		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	3	15	3	15	1	5		0
	Total	10	8	40	4	20	2	10	0	0
	Score			4.0		2.0		1.0		0.0

Deliverability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Be implemented within the realistic timescales	5	5	25	1	5	3	15		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	5	5	25	1	5	3	15	0	0
	Score			5.0		1.0		3.0		0.0

TOTAL		4.8		2.3		1.5		
SCORE		1		2		3		

Appendix D Options Appraisal Scoring - Cluster 2e Strategic Planning

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes	Criteria	Weight	Transform In House Score	Weighted	Partnership/Collaboration Score	Weighted	Outsource Score	Weighted	Option 4 Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	5	25	3	15	1	5		0
	Total	5	5	25	3	15	1	5	0	0
	Score			5.0		3.0		1.0		0.0

Fit with Priorities	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	5	25	3	15	1	5		0
	Total	5	5	25	3	15	1	5	0	0
	Score			5.0		3.0		1.0		0.0

Financial Impact	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Make more effective use of staff resources	5	3	15	5	25	1	5		0
	Maximise Income generation opportunities	5	3	15	3	15	1	5		0
	Have limited or no set up costs and/or long term benefits	5	5	25	3	15	1	5		0
	Total	15	11	55	11	55	3	15	0	0
	Score			3.7		3.7		1.0		0.0

Sustainability/Viability	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Any prohibitive legal implications for implementation	5	5	25	3	15	1	5		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	4	20	4	20	2	10		0
	Total	10	9	45	7	35	3	15	0	0
	Score			4.5		3.5		1.5		0.0

Deliverability	Criteria	Weight	Option 1 Score	Weighted	Option 2 Score	Weighted	Option 3 Score	Weighted	Option 4 Score	Weighted
	Be implemented within the realistic timescales	5	5	25	3	15	1	5		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	5	5	25	3	15	1	5	0	0
	Score			5.0		3.0		1.0		0.0

	TOTAL SCORE			4.6		3.2		1.1		
				1		2		3		

Appendix D Options Appraisal Scoring - Cluster 2f Sustainable Development

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes	Criteria	Weight	Transform In House (within Service)		Transform In House (within Council)		Outsource		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	5	25	3	15	1	5		0
	Total	5	5	25	3	15	1	5	0	0
	Score			5.0		3.0		1.0		0.0

Fit with Priorities	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	3	15	5	25	1	5		0
	Total	5	3	15	5	25	1	5	0	0
	Score			3.0		5.0		1.0		0.0

Financial Impact	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Make more effective use of staff resources	5	3	15	3	15	1	5		0
	Maximise Income generation opportunities	5	5	25	3	15	1	5		0
	Have limited or no set up costs and/or long term benefits	5	3	15	3	15	1	5		0
	Total	15	11	55	9	45	3	15	0	0
	Score			3.7		3.0		1.0		0.0

Sustainability/Viability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Any prohibitive legal implications for implementation	5	3	15	5	25	1	5		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	3	15	4	20	1	5		0
	Total	10	6	30	9	45	2	10	0	0
	Score			3.0		4.5		1.0		0.0

Deliverability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Be implemented within the realistic timescales	5	3	15	3	15	1	5		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	5	3	15	3	15	1	5	0	0
	Score			3.0		3.0		1.0		0.0

| | | | TOTAL | 3.5 | 3.7 | 1 | |
| | | | SCORE | 2 | 1 | 3 | |

Appendix D Options Appraisal Scoring - Cluster 3 Development & Physical Regeneration

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes	Criteria	Weight	Transform In House		Set up New Company		Partnership/ Collaboration		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	4	20	5	25	5	25	4	20
	Total	5	4	20	5	25	5	25	4	20
	Score			4.0		5.0		5.0		4.0

Fit with Priorities	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	4	20	2	10	3	15		0
	Total	5	4	20	2	10	3	15	0	0
	Score			4.0		2.0		3.0		0.0

Financial Impact	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Make more effective use of staff resources	5	3	15	2	10	3	15		0
	Maximise Income generation opportunities	5	3	15	2	10	3	15		0
	Have limited or no set up costs and/or long term benefits	5	3	15	2	10	3	15		0
	Total	15	9	45	6	30	9	45	0	0
	Score			3.0		2.0		3.0		0.0

Sustainability/Viability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Any prohibitive legal implications for implementation	5	5	25	2	10	3	15		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	5	25	2	10	3	15		0
	Total	10	10	50	4	20	6	30	0	0
	Score			5.0		2.0		3.0		0.0

Deliverability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Be implemented within the realistic timescales	5	4	20	1	5	3	15		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	5	4	20	1	5	3	15	0	0
	Score			4.0		1.0		3.0		0.0

	TOTAL			4		2.4		3.4		
	SCORE			1		3		2		

Appendix D Options Appraisal Scoring - Cluster 4 City Centre Management

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

			Transform In House		Outsource				Option 4	
Outcomes	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	4	20	1	5		0		0
	Total	5	4	20	1	5	0	0	0	0
	Score			4.0		1.0		0.0		0.0

			Option 1		Option 2		Option 3		Option 4	
Fit with Priorities	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	4	20	1	5		0		0
	Total	5	4	20	1	5	0	0	0	0
	Score			4.0		1.0		0.0		0.0

			Option 1		Option 2		Option 3		Option 4	
Financial Impact	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Make more effective use of staff resources	5	3	15	2	10		0		0
	Maximise Income generation opportunities	5	4	20	2	10		0		0
	Have limited or no set up costs and/or long term benefits	5	4	20	2	10		0		0
	Total	15	11	55	6	30	0	0	0	0
	Score			3.7		2.0		0.0		0.0

			Option 1		Option 2		Option 3		Option 4	
Sustainability/Viability	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Any prohibitive legal implications for implementation	5	4	20	1	5		0		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	4	20	1	5		0		0
	Total	10	8	40	2	10	0	0	0	0
	Score			4.0		1.0		0.0		0.0

			Option 1		Option 2		Option 3		Option 4	
Deliverability	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Be implemented within the realistic timescales	5	4	20	1	5		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	5	4	20	1	5	0	0	0	0
	Score			4.0		1.0		0.0		0.0

		TOTAL	3.9	1.2
		SCORE	**1**	**2**

Appendix D Options Appraisal Scoring - Cluster 5 Mobility Hire

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

			Transform In House		ation/Partnership/Community		Cease Service		Option 4	
Outcomes	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	4	20	4	20	1	5		0
	Total	**5**	**4**	**20**	**4**	**20**	**1**	**5**	**0**	**0**
	Score			**4.0**		**4.0**		**1.0**		**0.0**

			Option 1		Option 2		Option 3		Option 4	
Fit with Priorities	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	3	15	3	15	1	5		0
	Total	**5**	**3**	**15**	**3**	**15**	**1**	**5**	**0**	**0**
	Score			**3.0**		**3.0**		**1.0**		**0.0**

			Option 1		Option 2		Option 3		Option 4	
Financial Impact	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Make more effective use of staff resources	5	4	20	5	25	1	5		0
	Maximise Income generation opportunities	5	3	15	4	20	3	15		0
	Have limited or no set up costs and/or long term benefits	5	4	20	1	5	4	20		0
	Total	**15**	**11**	**55**	**10**	**50**	**8**	**40**	**0**	**0**
	Score			**3.7**		**3.3**		**2.7**		**0.0**

			Option 1		Option 2		Option 3		Option 4	
Sustainability/Viability	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Any prohibitive legal implications for implementation	5	3	15	1	5		0		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	4	20	4	20		0		0
	Total	**10**	**7**	**35**	**5**	**25**	**0**	**0**	**0**	**0**
	Score			**3.5**		**2.5**		**0.0**		**0.0**

			Option 1		Option 2		Option 3		Option 4	
Deliverability	Criteria	Weight	Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Be implemented within the realistic timescales	5	5	25	3	15	4	20		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	**5**	**5**	**25**	**3**	**15**	**4**	**20**	**0**	**0**
	Score			**5.0**		**3.0**		**4.0**		**0.0**

TOTAL			3.8		3.2		1.7		
SCORE			**1**		**2**		**?**		

Appendix D Options Appraisal Scoring - Cluster 6 Swansea Market

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes	Criteria	Weight	Transform In House		Outsource to Private sector				Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	4	20	1	5		0		0
	Total	5	4	20	1	5	0	0	0	0
	Score			4.0		1.0		0.0		0.0

Fit with Priorities	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Deliver the City & County of Swansea's Corporate priorities	5	4	20	1	5		0		0
	Total	5	4	20	1	5	0	0	0	0
	Score			4.0		1.0		0.0		0.0

Financial Impact	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Make more effective use of staff resources	5	3	15	1	5		0		0
	Maximise Income generation opportunities	5	4	20	1	5		0		0
	Have limited or no set up costs and/or long term benefits	5	4	20	1	5		0		0
	Total	15	11	55	3	15	0	0	0	0
	Score			3.7		1.0		0.0		0.0

Sustainability/Viability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Any prohibitive legal implications for implementation	5	4	20	1	5		0		0
	Maintain sustainability of the service and/or make service improvement for the citizen	5	4	20	1	5		0		0
				0		0		0		0
	Total	10	8	40	2	10	0	0	0	0
	Score			4.0		1.0		0.0		0.0

Deliverability	Criteria	Weight	Option 1		Option 2		Option 3		Option 4	
			Score	Weighted	Score	Weighted	Score	Weighted	Score	Weighted
	Be implemented within the realistic timescales	5	4	20	1	5		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
				0		0		0		0
	Total	5	4	20	1	5	0	0	0	0
	Score			4.0		1.0		0.0		0.0

TOTAL	3.9	1
SCORE	1	2

Appendix D Options Scoring Matrix - Cluster 7 Economic Development & External Funding

Adjust the weights in the blue boxes to suit the importance you attach to each of the Category Headings and criteria questions for the Service area under review. Then fill in the red boxes with your scores and the table will work out the weighted and total scores for each option.
If you are looking at more than 4 Options as part of the matrix, you will need to cut and paste further options onto the spreadsheet.

Outcomes

Criteria	Weight	AS IS Score	AS IS Weighted	Transform In House Score	Transform In House Weighted	Outsource to Private Score	Outsource to Private Weighted	Regionalisation Score	Regionalisation Weighted
Meet the Service mission, Vision and core outcomes as outlines in stage 1	5	3	15	5	25	5	25	2	10
Total	5	3	15	5	25	5	25	2	10
Score			3.0		5.0		5.0		2.0

Fit with Priorities

Criteria	Weight	Option 1 Score	Option 1 Weighted	Option 2 Score	Option 2 Weighted	Option 3 Score	Option 3 Weighted	Option 4 Score	Option 4 Weighted
Deliver the City & County of Swansea's Corporate priorities	5	3	15	4	20	3	15	2	10
Total	5	3	15	4	20	3	15	2	10
Score			3.0		4.0		3.0		2.0

Financial Impact

Criteria	Weight	Option 1 Score	Option 1 Weighted	Option 2 Score	Option 2 Weighted	Option 3 Score	Option 3 Weighted	Option 4 Score	Option 4 Weighted
Make more effective use of staff resources	5	2	10	5	25	1	5	3	15
Maximise Income generation opportunities	5	3	15	5	25	3	15	3	15
Have limited or no set up costs and/or long term benefits	5	5	25	3	15	1	5	3	15
Total	15	10	50	13	65	5	25	9	45
Score			3.3		4.3		1.7		3.0

Sustainability/Viability

Criteria	Weight	Option 1 Score	Option 1 Weighted	Option 2 Score	Option 2 Weighted	Option 3 Score	Option 3 Weighted	Option 4 Score	Option 4 Weighted
Any prohibitive legal implications for implementation	5	5	25	5	25	1	5	1	5
Maintain sustainability of the service and/or make service improvement for the citizen	5	3	15	5	25	3	15	3	15
Total	10	8	40	10	50	4	20	4	20
Score			4.0		5.0		2.0		2.0

Deliverability

Criteria	Weight	Option 1 Score	Option 1 Weighted	Option 2 Score	Option 2 Weighted	Option 3 Score	Option 3 Weighted	Option 4 Score	Option 4 Weighted
Be implemented within the realistic timescales	5	5	25	4	20	2	10	2	10
			0		0		0		0
			0		0		0		0
			0		0		0		0
			0		0		0		0
			0		0		0		0
Total	5	5	25	4	20	2	10	2	10
Score			5.0		4.0		2.0		2.0

TOTAL	3.7	4.5	2.7	2.2
SCORE	2	1	3	4

Opportunity	Income	Saving	Cost	When	Risk
Cluster 1					
Legal recharge of land search fees	£35,000	0	0	2017/18	Corporate agreement required on where this service will sit
Formation of Core Searches Team		0	0	2017/18	Set up costs are not clear e.g. cost of digitisation
Accommodation savings from Agile working	0	0	0	2017/18	
Increase in charging for design & heritage pre-application advice	£2,000	0	0	2018/19	Loss of experienced Urban Design Officer in July 2017 will reduce the potential of this opportunity in the short term.
Collaboration with other Authorities to provide Design & Heritage Services	0	0	0	2019/20	
Review of service delivery options	£30,000	0	0	2018/19	Alternative service delivery options may have an impact upon staff costs and fee income. Planning application fee income is volatile and influenced by external economic, legal and political factors.

Review of service delivery options	0	£0	£5,000	2017/18	Preferred service delivery options will require engagement and commitment from third parties including applications/agents.
Efficiency savings from capitalising on Agile working	0	£30,000	0		Agile working will require business process reengineering and specialist software to facilitate remote working and provide efficiency savings and maintain performance levels.
Efficiency savings from Agile working	0	0	£15K plus 2K per annum		Ongoing software issues continue to frustrate remote working and will hamper delivery of efficiencies as part of agile working agenda if not addressed corporately..
Cluster 2					
Restructure of SP &NE teams		30'000		2017/18	
Rights of Way Search Fees	20'000		£0	2017/18	
Income from WHQS work until 2021	30'000		£0	2017/18	Will need to secure secondment of landscape architect beyond Jan 2018

Potential additional income from WHQS work until 2021	0	0	£0	Oct2017 onwards	Current resources will not deliver WHQS programme. CBPS have still not tendered for work and income is dependent on actual cost /property
Review of e-consultation, mapping services and plan production	£0	£4'000	0	2018/19	
Temporary part-time volunteer coordinator posts	£5'000		£0	2017/18	
Charging for Bishop's Wood Centre, outdoor learning/ walks/events, etc.	£1'000		£0	2018/19	
Cluster 3					
Efficiency savings - Savings linked to joint working with other teams	£10,00	0	0		Collaboration form other departments within the LA required
St Mary's & St David's Increased Income generation	£10,00	0	0		
Cluster 4					

CCM sponsorship of key activities and expansion of existing services.	£30,000	0	0	2017/18	Banner sponsorship subject to appropriate design and planning consent. The ability to deliver this income is subject to the provision of additional resources set out within the main report.. Engagement of the Commercial Team would be beneficial in terms of seeking sponsorship.
Restructure of CCM management Structure	£0	£20,000	£40,000	2017/18	Additional intangiable benefits/ efficiencies will also be achieved.
Release of the City Centre Manager to focus on the key strategic projects and support regeneration activities.	0	0	0	2017/18	Intangiable benefits/ efficiencies will be achieved.
Cluster 5					
Reduction of staff with third party collaboration.	£20'000	0	0	2018	Subject to the appetite of SCVS/ third party provider. Continuity of service provision will be critical.
SMH increased income.	£0	£2,500	£0	2017/18	Fee increases may lead to a reduction in the overall patronage of the service. Perception of vulnerable section of society being targeted.

Diversification and cross cutting service delivery.	£0	£2,500	£0	2017/18	Staff succession. Additional training and development requirements. Limitations of ground floor space. Maintaining service continuity in particular given Item 1 above.
Cluster 6					
Income from enhanced casual lettings and additional floor space policy.	£5'000	0	0		The application of the Additional Floor Space scheme would be subject to the implementation of the Market lease.
Review and development of existing processes to ensure the sustainability of the Market.	0	0	0		Intangiable benefits will also be achieved.
Measures to improve the customer experience.	0	0	0		The Market is seeing declining footfall and increasing stall vacancies. This measure will help counter these issues. Processes will need to be built into the Drop and Shop scheme. Additional intangiable benefits/ efficiciencies will also be achieved.

Introduction of cash-less rent collections	0	0	0		Subject to the implementation of the Market Lease (as mentioned in Item 1). May impact on other parts of the Authority (Finance). Additional intangiable benefits/ efficiencies will also be achieved.
Source potential funding and sponsorship to deliver a Market Improvement Plan.	0	0	0		Subject to the availability of funding to deliver the scheme including the use of the proposed improve fund 'sink-fund' (see risk below). Subject also to the release of the City Centre Manager and appointment of Team Leader (see Cluster 4).
Creation of a Market Improvement Fund	0	0	0		Additional income to the Market would need to be generated and transferred to the development fund. The net impact would therefore be zero, however, this is subject to the ability of the team to achieve a new income target. As a capital reserve there is a risk that these monies could be reallocated to support more pressing priorities.
Cluster 7					

Implementation of an invest to save approach by further developing the External Funding advice and guidance service	0	0	£37'000	
Appointment of corporate apprentice officer (at Grade 7) to deliver the 'Council Wide Apprentice Strategy'.	0	0	£34'500	

Equality Impact Assessment Screening Form

Section 1
What service area and directorate are you from?
Service Area: Planning & City Regeneration
Directorate: Place

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
☐	☐	☒	☐	☐	☐

(b)   Please name and describe below

This project follows the 4 stage Commissioning Review framework.
As part of the Sustainable Swansea programme, service reviews (commissioning reviews) are being carried out across all council services.

In due course the review will document the services provided, compare our provision with that of others and make recommendations across the entire range of services in scope to ensure we provide or continue to provide efficient and effective services.
The Planning & City Regeneration review includes -
Cluster 1 DEVELOPMENT, CONSERVATION & DESIGN
Cluster 2 - STRATEGIC PLANNING & NATURAL ENVIRONMENT
Cluster 3 - DEVELOPMENT & PHYSICAL REGENERATION
Cluster 4 – CCM
Cluster 5 – MOBILITY HIRE
Cluster 6 SWANSEA MARKET
Cluster 7 - ECONOMIC DEVELOPMENT & EXTERNAL FUNDING

Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery	Indirect front line service delivery	Indirect back room service delivery
☒ (H)	☒ (M)	☒ (L)

(b)   DO YOUR CUSTOMERS/CLIENTS ACCESS THIS SERVICE…?

Because they need to	Because they want to	Because it is automatically provided to everyone in Swansea	On an internal basis i.e. Staff
☐ (H)	☐ (M)	☒ (M)	☐ (L)

Q3   WHAT IS THE POTENTIAL IMPACT ON THE FOLLOWING PROTECTED CHARACTERISTICS

	High Impact (H)	Medium Impact (M)	Low Impact (L)	Don't know (H)
Age	☐	☐	☒	☐

Equality Impact Assessment Screening Form

Disability	☐	☐	☒	☐
Gender reassignment	☐	☐	☒	☐
Marriage & civil partnership	☐	☐	☒	☐
Pregnancy and maternity	☐	☐	☒	☐
Race	☐	☐	☒	☐
Religion or (non-)belief	☐	☐	☒	☐
Sex →	☐	☐	☒	☐
Sexual Orientation →	☐	☐	☒	☐
Welsh Language →	☐	☐	☒	☐

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

Workshops with stakeholders and engagement through the intranet and staff events were consistent throughout the review. As the options were developed we held
a stakeholder workshop that was well attended with all major stakeholders from both Internally & External represented.

Q5(a) HOW VISIBLE IS THIS SERVICE/FUNCTION/POLICY/PROCEDURE/ PROJECT/ STRATEGY TO THE GENERAL PUBLIC?

High visibility to general public	Medium visibility to general public	Low visibility to general public
☐ (H)	☐ (M)	☒ (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 to reputation	Medium risk to reputation	Low risk to reputation
☐ (H)	☒ (M)	☐ (L)

Not yet documented/detailed; however, this is likely to be a YES given the scope of this review and the vast number of dependencies between the Planning service and other council services.

Q6 **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 Q6 followed by Section 2

Q7 **If after completing the EIA screening process you determine that this service/function/policy/project is not relevant for an EIA you must provide adequate explanation below (Please use additional pages if necessary).**

Equality Impact Assessment Screening Form

Section 2

During the review we have identified that there will be little to no impact for any protected groups, recommendations are that all aspects of the Planning & City Regeneration service are delivered through a transform in house model with a focus on new ideas for efficiencies, income generation and creating a solid foundation for the more radical changes that are likely to impact on the service in coming years from the local government reform agenda being pursued by the Welsh Government as a result, a full EIA has not been deemed necessary.

The only possible exception is for Mobility Hire, which has been screened separately.

NB: Please send this completed form to the Access to Services Team for agreement before obtaining email approval from your Head of Service.

Screener- This to be completed by the person responsible for completing this screening
Name: ——Marlyn Dickson
Location: ——Agile Room
Telephone Number: Date: ——01/08/2017
Approval by Head of Service
Name: Phil Holmes
Position: ——Head of Service – Planning & City Regeneration
Date: ——02/08/2017

Please return the completed form to <u>accesstoservices@swansea.gov.uk</u>

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: Planning & City Regeneration (City Centre Management)
Directorate: Place

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
☒	☐	☐	☐	☐	☒

(b) Please name and describe below

This project follows the 4 stage Commissioning Review framework.

As part of the Sustainable Swansea programme, service reviews (also known as commissioning reviews) are being carried out across all council services. The review of the Planning & City Regeneration Section has identified within the Swansea Mobility Hire a number of in-house changes to delivery of the Service. The proposal purports a programme of diversification to develop a more cross Council approach whereby designation as a Visitor Information Point to deal with tourist and visitor queries will be undertaken. The coordination of access issues in the City Centre will also be a role the service will provide and a maintenance and repair service for mobility equipment will also be developed. Measures to engage the third sector in the future operation of Swansea Mobility Hire together with an increase in the hire fees and charges that are in place will be undertaken. A programme to better promote the Service is another recommendation that will be addressed.

Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery	Indirect front line service delivery	Indirect back room service delivery
☒ (H)	☒ (M)	☐ (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
☐ (H)	☒ (M)	☒ (M)	☐ (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)	☐	☐	☒	☐
Any other age group (18+)	☐	☒	☐	☐
Disability	☐	☒	☐	☐
Gender reassignment	☐	☐	☒	☐
Marriage & civil partnership	☐	☐	☒	☐
Pregnancy and maternity	☐	☐	☒	☐
Race	☐	☐	☒	☐
Religion or (non-)belief	☐	☐	☒	☐
Sex	☐	☐	☒	☐
Sexual Orientation	☐	☐	☒	☐
Welsh Language	☐	☐	☒	☐
Poverty/social exclusion	☐	☒	☐	☐

Equality Impact Assessment Screening Form

Carers (inc. young carers) ➡	☐	☒	☐	☐
Community cohesion ➡	☐	☒	☒	☐

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

At present no public consultation/engagement has been undertaken, however, as the options are developed there will be engagement with service users and other stake-holders with a role and/or interest in the Service.

Q5(a) HOW VISIBLE IS THIS INITIATIVE TO THE GENERAL PUBLIC?

High visibility	Medium visibility	Low visibility
☐ (H)	☒ (M)	☐ (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	Medium risk	Low risk
☒ (H)	☐ (M)	☐ (L)

Q6   Will this initiative have an impact (however minor) on any other Council service?

☒ **Yes**   ☐ **No**   **If yes, please provide details below**

The programme of diversification will support a number of other Council services in the delivery of their objectives. In particular, the Culture and Tourism team will benefit from having a central City Centre Facility from which key activities may be promoted. This is particularly pertinent following the closure of the City Centre Tourist Information Centre.

A number of colleagues across the council will also be supported in terms of the   provision of a 'one stop shop' type facility from which access issues in the City Centre can be coordinated.

The continuation and diversification of this City Centre facility will also support the regeneration agenda for the City Centre that is being developed by colleagues working across the council and in particular in the City Planning and Regeneration section.

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

Equality Impact Assessment Screening Form

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.

At this point in time we do not consider a full equality impact assessment to be necessary. This view is taken on the basis that the fundamental focus will continue to be the provision of access equipment for those with mobility issues seeking to use the City Centre. The proposed changes will complement the existing provision and provide customers with the opportunity to access wider council services and seek additional support.

Proposals to increase the current fees and charges will take into account reasonable increments in line with inflation increases which have not occurred since January 2015. Benchmarking also shows that the fees are typically lower than similar services operating across the UK.

There is an acceptance that this position may change and we will repeat this screening exercise when planning the implementation of the proposed changes (in particular any increases to fees / charges) and following the engagement of service users and other stake-holders.

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: Lisa Wells
Job title: City Centre Manager
Date: 24 July 2017

Approval by Head of Service:
Name: Phil Holmes
Position: Head of City Planning & Regeneration
Date:

Please return the completed form to <u>accesstoservices@swansea.gov.uk</u>

Report of the Cabinet Member for Service Transformation & Business Operations

Cabinet – 17 August 2017

**"ALL COUNCIL CATERING" COMMISSIONING REVIEW
GATEWAY 2 REPORT**

Purpose:	This report outlines the background to the "All Council Catering" Commissioning Review and sets out the findings and recommendations from the Options Appraisal
Policy Framework:	Sustainable Swansea – Fit for the Future
Consultation:	Finance Legal Access to Services Services in Scope
Recommendation(s):	It is recommended that: a) The preferred option is approved b) The post of Business Development Officer is created c) Commercial opportunities are approved for implementation d) Cabinet endorse the view that the staff catering service should be cost neutral e) Cabinet recognises the financial risk associated with Secondary School dropout and known budget pressures. f) Cabinet recognises the change in financial position from this review g) Further work is commissioned to review the internal controls in place to support this business model
Report Author:	Andrew Hopkins
Finance Officer:	Carol Griffiths
Legal Officer:	Debbie Smith
Access to Services Officer:	Sherill Hopkins

1   SUMMARY

1.1   This report is to seek approval to proceed with the recommended options outlined by the Catering review project team and to provide evidence that the review has completed all relevant tasks as part of the commissioning process.

1.2   The preferred option as an output of the review is included in **Appendix A** and is written in a style of a business plan, as one of the recommendations of the project team is to adopt a more commercial ethos for catering services going forward.

1.3   This report will also address an overview of the review findings to date as well as outline some of the comparison and performance information.

2   BACKGROUND

Commissioning Review approach

2.1   Cabinet will recall that "Catering" was one of the areas initially in scope in the first tranche of commissioning reviews, but for various reasons failed to progress at the time. It has now been added to the "cross-cutting themes" for the next phase but has still adopted the standard commissioning process and principles.

2.2   Given that the scope of the review covers many catering functions across a number of service areas, the cross-cutting approach has adopted the principles of service integration, collaboration & rationalisation as well as a common theme of commercialism by looking at all parts of our catering systems, processes, people & strategies.

2.3   As such, a different approach to the management and leadership of this review was agreed. Two leads from the Transformation Team have acted as delivery leads, whilst the Director of Place acted as review lead. The lead Cabinet member is Cllr Clive Lloyd, Deputy Leader & Cabinet member for Transformation & Business Operations

2.4   To support the Transformation Team in delivering this review, a business intelligence group was established to supply the requisite information, guidance and support at each stage.

2.5   The Transformation Team have used their remit in terms of business improvement to adopt the above mentioned principles to present a radical preferred option as an output of the review

Scope of the review

2.6   The scoping template can be found in **Appendix B** and covers 3 broad areas: social services catering, school meals catering & commercial catering.

2.7   The rationale for the review included in the template, offers a great insight in to why the cross-cutting approach was required to achieve the best outputs of this review.

2.8 The review team has looked at all aspects of catering services at an operational level, as it was evident from the service assessment that this is where a number of opportunities exist for continuous improvement. Findings from the comparison exercise have also re-enforced the focus needed here.

Out of scope

2.9 Corporate Management Team (CMT) have previously recognised that some functions within scope of the review may fall outside of any recommendations:

Function / service	Reason
Mansion House	A review of the Mansion House is ongoing with potentially some investment for remedial works, with a view to commercialise the building. It is envisaged that any future plans for catering will be picked up as part of the business case.
Outdoor Education Centres	This was one of the first commissioning reviews and significant savings have been achieved as part of their implementation plan. A staffing review and a more commercial ethos has covered catering within.
Cultural services portfolio	Specifications as part of the tender exercise currently under way for our Leisure Centres, Outdoor Leisure facilities and visitor attractions include catering functions as part of management and operations of these sites. Outcomes to be achieved mirror what has been outlined in this review.

2.10 It is likely that if approved, the preferred option could pick up any opportunities from these facilities within its business plan, particularly the Mansion House as the vision for the preferred option is strongly weighted towards commercialisation.

Savings targets

2.11 No savings targets were allocated as part of the review, and more detail on proposed changes to budgets are provided within the financial appraisal.

Influences & challenges facing the review

2.12 The review has identified a number of influences and challenges during the review and are listed below to provide context.

Demand for School Meals	National trends show that demand for school meals free and paid is decreasing. This is due to a number of factors such as affordability of alternatives i.e lunchboxes, availability of menu choices, perceptions over price and quality, and changing social trends. The service is reliant on paid meal income, currently £4.7m to offset the cost of free school meals.

	APSE benchmarking data shows that Swansea is currently below the meal uptake percentage average for a similar Local Authority. Therefore, increasing meal uptake has been highlighted as a key objective for the preferred option
Competition	Some secondary schools allow pupils outside of school premises during break and lunch times which brings our service into direct competition with the external market place. Often a preferred choice for pupils are sugary options available outside the school gates which coupled with the healthy eating legislation schools need to abide to, we struggle to compete.
Food poverty	The Authority has committed to tackling food poverty by dedicating resource to set up a Community Interest Company (CIC) based on a similar model devised in Liverpool to provide cookery training, source fresh food, provide employment opportunities and tackle food poverty (http://www.cancook.co.uk/cancook-cic/) As the review has progressed, opportunities have been developed to explore how the social enterprise could pilot meals delivery within our catering settings or become a provider of cooked meal products. These are explained further within the options.
Social habits	A significant influence of this review is how social trends have developed in recent years with the development of a "coffee and cake" culture, the move from a canteen/restaurant type environment to a café, as well as a greater shift in customers consuming products to go rather than within a catering setting. The review has developed opportunities to transform existing staff catering provision taking into account the changes in social habits.
Complex needs	Changes to legislation emphasise the need for service providers in social care to adopt the key principles of choice & independence and this is no different for catering services. Options have been developed in this review to take into account the different needs of residents and day services users who have varying needs across a range of client groups.

Secondary School buy back

2.13 With catering budgets delegated to schools, there is increasing evidence that schools are seeking other options with regards to how they service catering provision.

2.14 With increasing autonomy and more challenging school governors panels, Secondary Schools are looking to save money where possible on ancillary services.

2.15 The review has identified one Swansea Secondary school already left the School Meals SLA and others awaiting the outcome of that transition before deciding next steps. The reasons for this school leaving were:

- Ability to generate surpluses to be reinvested into the school
- To employ a Catering Manager to transform existing provision
- To improve the quality and presentation of existing products and develop new product lines
- To align provision to future trends i.e. café not a canteen
- To improve pupil attainment by meeting the needs of their pupils
- Successful examples in other Local Authorities.

Outcomes identified at Stage 1/2

2.16 The following outcomes were identified at Stage 1 / 2:

Outcome	*Corporate Priority link*
SOCIAL SERVICES & SCHOOL MEALS	
1. To meet the continuous need for healthy and nutritious meal provision as part of a balanced diet	Tackling Poverty Improving Pupil Attainment Safeguarding Vulnerable People
2. To assist with the development of social skills and provide opportunities for social interaction amongst service users and residents	Improving Pupil Attainment Building Sustainable Communities
3. To ensure the wellbeing of service users and consumers, and to safeguard vulnerable individuals with complex needs	Safeguarding Vulnerable People
4. To give consumer choice and independence in meal provision and meet a range of dietary requirements	Tackling Poverty Safeguarding Vulnerable People
5. To ensure holistic approaches are followed to link catering provision with other desired outcomes. i.e physical activity, safeguarding	As above
COMMERCIAL CATERING	
1. To ensure profitability of each operation	Vibrant city & economy
2. To add value to each respective site as an overall product/service offering	Vibrant city & economy

3. To provide choice and alignment to consumer needs in a modern café style environment	Vibrant city & economy

Emerging Key Issues

2.17 The issues identified below are a summary of the emerging issues identified, and were all evidenced as part of the service assessment within the 1st Gateway report:

- Paper based administration processes not operating under lean principles, issues magnified by the scale of the school meals service
- Complex end to end business processes evident for income collection of paid meals and subsequent debt recovery procedures
- Communications and promotional aspects of the school meals service can be reviewed with a view to increase meal uptake
- The availability of management information is a concern, in particular headline performance metrics evidenced by the difficulty to collate information in stage two.
- There has been little development in digital technology to modernise the service
- Business support functions are duplicated with administration functions present in both School Meals catering & Social Services catering
- Evidence of spend in Social Services catering outside of bulk buying purchasing arrangements

3. COMPARISON & PERFORMANCE

Approach

3.1 The approach to information gathering adopted the standard four pillars of benchmarking but also looked to address some fundamental questions:

What meal uptake strategies have you adopted?

what does your catering services cost to deliver?

ow are catering services structured?

what processes exist to support an efficient catering operation?

e commercial principles adopted within your catering services?
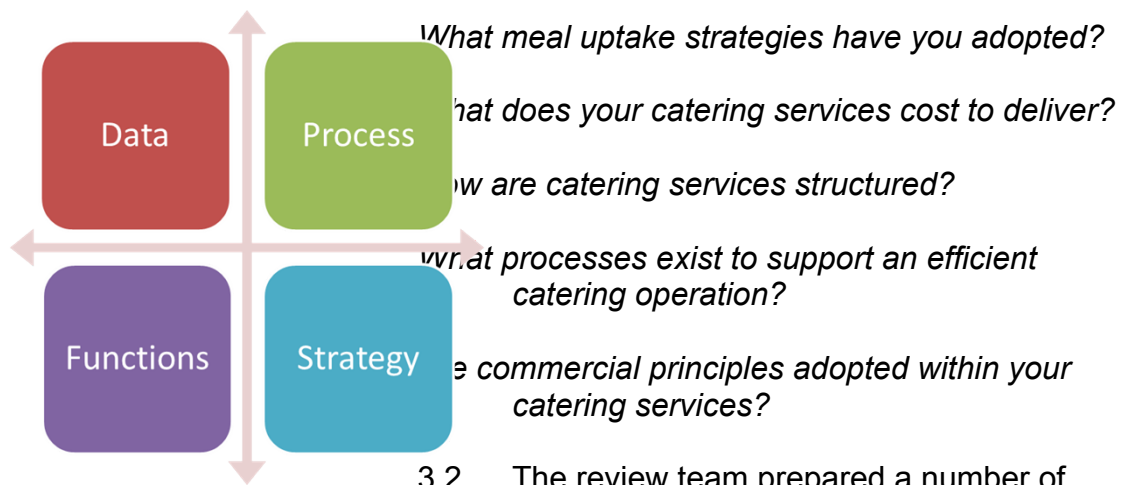
3.2 The review team prepared a number of questions under each of these pillars of benchmarking and are available in **Appendix C**

3.3   It was important to collect information from a wide range of sources, therefore contact was made with other Local Authorities, Colleges, Universities and local private companies to gather a detailed assessment of approaches to deliver catering functions. Site visits were also undertaken where necessary to understand catering operations which have adopted a commercial approach.

Quantitative data

3.4   The review team has been working with APSE and LACA (Lead Association for Catering in Education) to collate high level data to understand:

- Cost per meal (Primary, Secondary)
- School numbers
- Employee numbers (Posts, FTE)
- Meals produced
- Income collected (Free School Meals & Paid)
- Food costs
- Staff costs
- Unit costs

3.5   At time of writing, a completed set of financial information has been difficult to collate with some Authorities reluctant to provide such level of detail due to commercial sensitivity, however they have supported the review by providing qualitative data for some of the other questions that the review has addressed.

3.6   In summary however, the following observations were made in respect of quantitative data:

- Our paid meal uptake figures are currently below the average for similar comparators (APSE group C5):

Paid for meals	Swansea	Average
Primary (absence adjusted)	37.97%	42.34%
Secondary (absence adjusted)	38.36%	42.59%

- Free school meal uptake figures vary significantly between Primary's & Secondary's and compared against the average for similar comparators (APSE group C5):

Free school meals	Swansea	Average
Primary (absence adjusted)	82.93%	79.84%
Secondary (absence adjusted)	58.73%	74.58%

- The service performs above average in terms of unit costs:

Total cost per lunchtime meal	Swansea	Average
Primary (including CEC)	£2.08	£2.39
Secondary (including CEC)	£2.19	£2.61

Food only cost per lunchtime meal	Swansea	Average
Primary and special schools	£0.64	£0.72

- The service is above average in terms of direct costs associated with food production (cost of sales) compared to overall cost

Direct costs as a percentage of total costs	Swansea	Average
Primary & Special schools	88.89%	82.65%
Secondary schools	90.70%	85.05%
All	89.56%	83.04%

- Catering services enjoys a significant share of paid meal income which complements the cost of free school meals in how the service is funded. This is compared to other Local Authorities in Wales where a general fund subsidy is required in addition to FSM funding and paid meal income to meet the cost of the service.

- Several examples in APSE data show school meals services generating significant surpluses on paid meals to offset the cost of FSM.

- Our low unit costs in comparison allows the service to keep the cost of school meals relatively low. It lies in the middle quartile for school meal prices with £2.20 being the mean and median figure.

- Primary & Secondary meal prices are split in other Local Authorities with the mean at £2.43 and median £2.40 thus placing Swansea below average with only Caerphilly cheaper for Secondary meals at £2.15

- A small sample of quantitative data has been collected for Social services catering, which is insufficient to use for comparison purposes.

Qualitative data

3.7 The review team were successful in gathering a significant amount of detail regarding catering operations and strategy, and it is this information which has proved more of use when identifying and evaluating options.

3.8 In summary, comparisons made have resulted in the team collating the following findings:

Functions	• Most Local Authority catering services are managed within an Education directorate with commercial catering functions managed separately under Estates / Facilities Management and/or Leisure.

	• Social services catering is managed separately and colleagues consulted had little or no knowledge and visibility of provision • Some catering functions have direct control over ancillary services such as kitchen management & compliance and debt recovery. • Different models of service delivery exist with outsourced Catering examples in Newport and Anglesey. The Vale of Glamorgan are planning to set up a wholly owned trading company in year 3 of a 5 year business plan • There was no common trends in respect of business support with some aspects delivered within the catering service, and some provided corporately. • Staffing provision is determined via a template and rationale which is standard across Local Authorities. • Food supplies & services are available via an all wales framework, however not all Authorities are opted into these arrangements. • Operating models other than in-house are evident in local commercial catering functions with examples and benefits realised from PFI and outsourced contracts. • Outsourced catering contracts tend to form part of wider soft facilities managed service contracts Recommendations from our own catering providers internally have recommended longer term contracts, better partnership working, utilising local supply chains for equipment and food as well as consolidating services for commissioning as options for consideration.
Processes	• Issues around communications were listed as a common themes with little co-ordination between the Council as service provider, schools as customers and parents/pupils as consumers • Ordering and purchasing processes are either delegated to cooks at each location or operate within a centralised model • ICT solutions have been implemented to modernise the service and support standardised processes for meal reconciliation and ordering & purchasing. Additional functionality is also evident to support nutritional analysis, stock control and financial management. • No Local Authority consulted has adopted online payments in primary schools • There were no common trends in respect of business support with some aspects delivered within the catering service, and some provided corporately.
Strategy	• It is evident that other catering services adopt a split pricing policy for Primary & Secondary school meals

	• A number of Local Authorities have applied for Appetite for Life standards with a view to use as a promotional tool in marketing and communications material. • Several councils have introduced a no debt policy with catering services billing schools directly for the number of meals produced. Schools are responsible for reconciling all paid meals. • Staffing reviews have been undertaken in light of budget cuts, workforce planning and the age profile of the current workforce. • Local supply chains are used for food supplies and equipment and not all-Wales frameworks.

Commercial Catering

3.9 Recommendations from the Gateway 1 review have looked to address the continued subsidy of staff catering in the Council. Therefore, a key element of the benchmarking exercise has been to understand how commercial catering is delivered in other organisations.

3.10 Whilst it was evident that catering is delivered in various models of provision across these organisations, some common themes were evident:

- Catering is seen as a service to staff and not necessarily a net income stream
- Provision meets the needs of convenience and choice for consumers
- Catering provision has modernised and focuses on the overall customer experience not necessarily just the food product
- Food supplies are often bought readily prepared and meet a "grab and go" style culture
- Catering compliments existing facilities requirements and ensures staff wellbeing. I.e consideration of space for informal meetings and social interaction.

3.11 A meeting and site visit with one of our comparators proved beneficial as commercial opportunities have been developed in-house. Lessons learnt have influenced how we approach commercial opportunities for our services and are covered in more detail as part of the preferred option.

Lessons learnt from comparison / benchmarking

3.12 Operations, processes and strategy are the three generic headings in which the review team has learnt the most from comparison and benchmarking, the following aspects will look to be explored further within the preferred option:

- The preferred option should look to increase meal uptake, in particular paid meals.

- A key focus of the preferred option should review communications & engagement with schools as customers and pupils/parents as consumers. The review has highlighted areas for improvement around this theme.
- A coherent strategy or business plan should be produced that takes a longer term view of the service
- Commercial opportunities should form a significant element of the preferred option, which can focus on commercial return and culture change of staff.
- Greater visibility of financial information should be explored, with billing mechanisms revised i.e removal of client account
- Online payments in primary schools should continue to be rolled out
- A no debt policy has been successful in reducing school meal arrears and administrative issues
- Age profiling is an issue and therefore workforce planning and resource requirements should be reviewed.

4. OPTIONS APPRAISAL

Approach

4.1 Given the wide scope of this review and the cross-cutting approach adopted, the options appraisal has required careful planning and evaluation to reach the preferred option. It has also needed to consider the findings of the comparison exercise. The options appraisal therefore has adopted the following principles in addition to standard considerations at this stage:

- The preferred option should look to integrate and rationalise existing services
- The preferred option should focus on the "what" and not the "who"
- The preferred option should adopt a commercial ethos within its cultural development and change

4.2 The approach to identifying options was influenced by the commercial nature of the business which made it extremely important that any preferred options should concentrate on the product as much as the method of delivery. Therefore, the project team put together some detail around the features of such options as well as benefits and drawbacks.

4.3 Focus sessions were then held to discuss the feasibility of these features and to transform them into viable options that could be used for evaluation. The options were then substantiated to include a rationale, assessment of deliverability and sustainability, and a match to outcomes and corporate priorities. These supported the features and benefits and drawbacks to form an **options canvas**.

"Models" & "Options"

4.4 The options originally formed contained many nuances in terms of:

- What catering functions were in scope
- Who managed the respective catering functions
- Slight variations on the delivery model itself

4.5   Therefore, the project team decided to split the options identified into models & options as illustrated below:
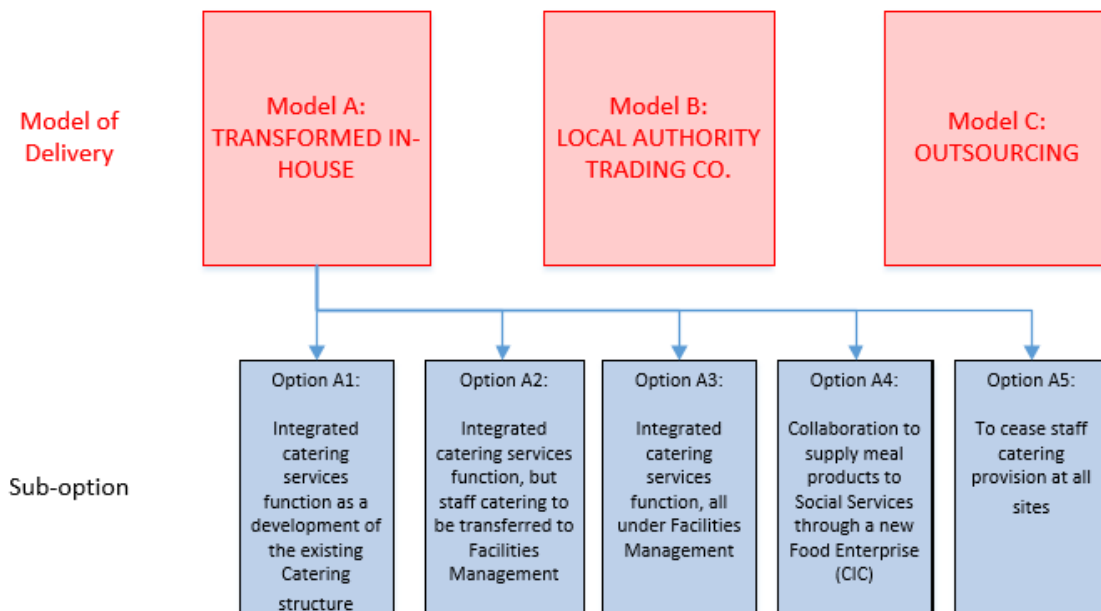
4.6   The identified models and options canvasses are provided in **Appendix D** which presents the detail of each identified model & option. In addition to each option identified, it is worth noting that these options would be available regardless of the preferred model of delivery.

Commercial business case development

4.7   A focus during the options appraisal stage also has been to develop our commercial opportunities as part of the preferred option. This has predominantly been on our staff catering provision, as the review has identified that this service is not operating at cost neutral currently.

4.8   Additional opportunities are also being explored within our Adult Services establishments at Fforestfach Day Service, CREST, Swansea Vale Resource Centre & Victoria Park Kiosk.

Options appraisal workshop

4.10 The project team hosted an options appraisal workshop on Thursday, 25th May 2017 in which delegates were asked to discuss each "option" identified as well as score each "model" against a thematic list of questions. The criteria included strategic fit, match to review outcomes, financial impact, deliverability and sustainability.

4.11 In summary, the main points that came from each table discussion were:

- In looking at a rationalised service, the Council should be mindful of meeting CSSIW expectation with regards to meal provision
- Hard to see the added value of transferring the service to Facilities Management
- The council really needs to improve and focus on marketing its catering services
- Consumers need to be more involved in menu options
- Previous experience of outsourcing means that we should be wary of taking this path

4.12 Details of the scoring exercises, questions, feedback from each table are provided in **Appendix E**

5. PREFERRED OPTION

5.1 The preferred option is detailed separately in a 3 year business plan as **Appendix A**. The project team felt this approach was necessary to detail the preferred option as:

- The review has highlighted a more commercial approach is required to manage and operate the service.
- Features within the preferred option will have an impact on the financial make up of the service, therefore there is a focus on this cumulatively.
- Marketing & branding is essential to the service increasing meal uptake and a business plan is useful to illustrate this.
- Changes proposed as part of the preferred option will take some time to implement, therefore business planning and focus on managing implementation is necessary.

5.2 The preferred option of the **Commissioning Review Team is to consolidate the existing school meals and social services catering functions into a single in-house managed service. It also proposes to manage:**

- Centralised vending contracts for the Authority
- Existing staff catering functions at the Civic Centre, Guildhall & Pipehouse Wharf
- The development of commercial opportunities across the revised service structure
- Potential transition of tendered sites managed by other services as part of commercial development opportunities longer term.

5.3 Referring back to the "options" canvasses described in Section 4, this preferred option is strongly aligned to Option A1. The business plan will adopt the majority of the features and will transform incrementally over a 3 year period.

5.4 Our consultation indicated strongly however, that the preferred option for catering should focus on the "what" as much as the "who", therefore this

preferred option could encompass aspects of the other sub-options in its evolution.

Preferred Option Features
i.   A single managed in-house catering function
ii.   Development of commercial opportunities for staff catering provision
iii.   Review of management & staffing structure
iv.   Rationalisation of business support
v.   Revised operational processes in alignment across both areas i.e. menu preparation, ordering & purchasing
vi.   Revised billing & financial procedures for school meals
vii.   Rollout of online payments for school meals
viii.   Changes to existing school meals "product" with a view to increase take up of paid meals:
a. Re-brand of existing Captain Jack brand / identity
b. Better online presence
c. Use of social media
d. Holistic communications with schools & parents
e. Revised pricing strategy
ix.   Production of a catering strategy supported with action plans, changes in culture and focus on financial returns.

<u>Why this delivery model and preferred option? – the rationale</u>

5.5   The transformed in-house **model** ticks a number of boxes as part of the evaluation process:

- The cross-cutting approach looks to integrate, rationalise and collaborate with other internal services where possible. This model will act as a pilot of this approach
- The existing provision in Social Services can be re-aligned to meet the needs of all consumers
- Working together as part of an integrated service will deliver stronger outcomes
- Greater scope for financial savings is evident as the new structure embeds

5.6   The sub-option chosen is the preferred **option** for operational and management responsibility of the integrated service for the following reasons:

- It improves the efficiency and effectiveness of resources across two service areas
- Social services provision can realise efficiencies from centralisation of menu preparation and to move away from the de-centralised model currently adopted

- Greater scrutiny of inventory control and volumes of food orders is achievable from a centralised model to reduce and where possible eliminate waste
- Improved resilience for sickness and absence across the service by sharing staffing resources
- Allows scope for wider review of staffing and business support functions
- Improved management information to assist with assessments of service performance and future planning
- Potential to generate significant savings cumulatively through reduction in food & staffing costs and increasing and diversifying income streams

5.7   Further details of the preferred option:

- Vision & outcomes
- Employment & Staff
- Marketing & Promotion
- Income & Commercial opportunities
- Revised budgets
- Council & School implications

are provided in the business plan

6.   DISCOUNTED MODELS & OPTIONS

Outsourcing

6.1   The review team saw examples of outsourcing in 2 Welsh Local Authorities. In both these examples, the contract value was made up of:

- Paid meal income
- Free school meal funding
- A general fund subsidy

6.2   The provider worked with the respective Local Authorities to reduce the general fund top up over the life of the contract. However, the cost of free school meals to each Authority remains and with the ability for paid meal income lost to a provider, this option is not seen as the most beneficial for Swansea at this moment.

6.3   Other reasons for discounting this option include:

- Loss of ability to reduce the cost of free school meals
- Loss of the "Swansea Pound"
- SLA is for a "Council Catering" service – any diversion from this may cause schools to revisit their options
- Increasing pay gap between Council employees and those on long term outsourced contracts
- Providers driven by different outcomes

<u>Local Authority Trading Company (LATC)</u>

6.3   There are examples of trading companies wholly owned by the local authority or a co-operative model owned by a mix of schools and local authority. Whilst it was discounted for the purposes of the options appraisal, it remains an option within the preferred option business plan. This is because:

- The commercial side of the business may grow to an extent where an alternative business model is required for legislative and operational reasons
- The business plan focuses on 3 year developments for the service and the service must transform operations and processes to be as efficient and effective as possible in the short term.

6.4   The main reasons for not pursuing a LATC at this stage is because:

- There should be a period of commercial activity first before establishing a LATC
- There is significant financial risk to the Council with the possibility of a trading company becoming insolvent
- There would be significant disruption to staff who would be affected by any TUPE transfer in addition to the HR resource required to implement this change
- The Council has no experience in setting up trading companies
- Of potential state aid implications
- Further work is required to understand whether the Council has the requisite powers to explore a trading model for commercial catering

<u>Sub-options discounted</u>

6.5   **Option A2:** *"Integrated catering services function, with staff catering & vending provision to be managed within a corporate landlord function"*

Why? It was felt that to adopt a commercial ethos as part of the integrated service model, staff catering provision should remain under that management structure as this is a purely commercial aspect of the business. In addition:

- The business cases developed, do not support this option
- Facilities Management do not manage an in-house catering function currently
- Limited scope to make savings from the current model if commercial opportunities are not pursued
- Uncertainty amongst current workforce may impact adversely on service delivery

6.6   Instead, the service will work with Facilities Management colleagues to develop the environment of the staff canteen as outlined in the business plan.

6.7 **Option A3:** *"Integrated catering services function comprising all current in-house provision under the management of a corporate landlord function"*

Why? Management of the service comprises catering & cleaning, therefore to transfer catering in isolation may prove difficult. The scenario where cleaning would be solely managed within education is not feasible and does not result in the best use of resources. In addition:

- Facilities Management have other work programmes that are prioritised such as the agile working and office relocation programme, as well as the commercial sales of leased office accommodation.
- Business cases developed for commercial opportunities supports development within the existing structure
- Facilities Management do not manage an in-house catering function currently
- Provider / customer relationship is better served under an Education banner

6.8 **Option A4:** *"Collaboration to supply meal products to Social Services through a newly formed Social enterprise "Can Cook Swansea"*

Why? The review has identified that the current food production techniques meet the desired outcomes from the service. In terms of a transition there are a number of operational aspects to be revised first before looking at the food production methods, which by definition is a significant change for the business. In addition:

- Short term risk is evident in that the enterprise is not set up as yet and business planning is in its infancy
- This pilot exercise identified in the short term is unable to generate significant savings for the service
- It will require careful management and communication to implement the pilot offer alongside the existing catering model.
- It may cause uncertainty amongst existing workforce who may see this as a threat
- Other models have moved away from catering provision within older persons day services and focused on specialist provision
- A procurement exercise may have to be explored if a decision is taken to engage a supplier of wholesale items
- Unable to switch all settings in one go – full savings not realised in short term

6.9 **Option A5:** *"To cease staff catering provision and to close our in-house staff catering sites at Civic Centre, Guildhall & Pipehouse Wharf"*

Why? This option conflicts directly with the commercial opportunities development that is integral to the preferred option. In addition:

- It will significantly impact staff morale and wellbeing from the loss of a service that is seen as "part of the job"
- Loss of a new income stream that is achievable
- It opposes the development of the environment and service which is part of the business case for the commercial sales of leased office space

7. FINANCIAL IMPLICATIONS

7.1 The business plan contains a financial appraisal of the preferred option and includes analysis of income streams, changes to planned expenditure, revised budgets as well as a summary of savings from this project.

8. LEGAL IMPLICATIONS

8.1 The business plan makes reference to legal implications of the preferred option.

9. CONSULTATION

9.1 Catering is a classic example of a consumer led service that the Council provides. A key principle outlined at the commencement of the review was to take a consumer led approach to the future outputs of Catering and therefore were keen to gather information as part of robust consultation and stakeholder engagement.

9.2 Including the consultation prior to Gateway 1, the list below summarises the consultation and engagement the review has conducted. More detail on the outputs of these exercises are included in **Appendix F.**

- Stage 1 Stakeholder Workshop (review launch event)
- School Headteacher consultation
- Primary School pupil consultation
- School Business Manager meetings
- Innovation Community Challenge Session
- Trade Union briefings
- Pupil Voice Forum
- 2016 Super Survey
- Sessions in care homes with staff and residents
- Staff Catering Survey
- Parents Survey – School Meals
- Stage 4 Stakeholder Workshop (Options Appraisal)

10.0 EQUALITY

10.1 An Equalities Impact Assessment (EIA) screening form has been completed for the preferred option. At this stage, it is the view of the project team that a full EIA is not required. This is because the business plan has outlined plans to significantly improve outcomes and to provide an improved service to customers, consumers within our school meals service, and service users within our social services establishments. There is no detrimental impact on protected characteristic groups.

10.2 The preferred option has demonstrated that we have used feedback from the various consultation exercises above to form the key features contained within the transformed in-house model.

10.3 Further engagement is taking place with the Access to Services team, and is planned within the implementation plan to understand future requirements as the business model develops.

Background Papers: None

Appendices:

Appendix A – Preferred Option Business Plan
Appendix B – All Council Catering Commissioning Review – Scoping Template
Appendix C – Benchmarking / Comparison Questions
Appendix D – Model & Option Canvasses
Appendix E – Table Feedback and scoring of identified business models
Appendix F – Consultation & Engagement Summary
Appendix F1 – Parent Survey Results (Primary)
Appendix F2 – Parent Survey Results (Secondary)
Appendix F3 – Headteacher Survey Results
Appendix F4 – Primary School Pupil Survey
Appendix F5 – Staff Survey Results

Preferred Option A: Transformed in-house

Integrated Catering Services function Transformation Business Plan – June 2017

LIST OF CONTENTS

INTRODUCTION

This business plan aims to show how the in-house transformation of Council Catering services will be implemented over a three-year period.

It will outline the preferred option of the Commissioning Review Team that looks to consolidate the existing school meals and social services catering functions into a single in-house managed service. It also proposes to manage:

- Centralised vending contracts for the Authority
- Existing staff catering functions at the Civic Centre, Guildhall & Pipehouse Wharf
- The development of commercial opportunities across the revised service structure
- Potential to include tendered sites managed by other services currently as the plan matures

SUMMARY OF FEATURES

i. A single managed in-house catering function
ii. Development of commercial opportunities for staff catering provision
iii. Review of management & staffing structure
iv. Rationalisation of business support
v. Revised operational processes in alignment across both areas i.e. menu preparation, ordering & purchasing
vi. Revised billing & financial procedures for school meals
vii. Rollout of online payments for school meals
viii. Changes to existing school meals "product" with a view to increase take up of meals:
    a. Re-brand of existing Captain Jack brand / identity
    b. Better online presence
    c. Use of social media
    d. Holistic communications with schools & parents
    e. Revised pricing strategy
ix. Production of a catering strategy supported with action plans, changes in culture and focus on financial returns.

VISION & PURPOSE

Vision Statement

"To provide a modern, innovative service that offers independence and choice in provision, whilst retaining the requirements of a healthy and balanced diet. The service will be responsive and affordable which meets the complex needs of consumers both in schools and in care & support environments."

Outcomes to be met

1. To meet the continuous need for healthy and nutritious meal provision as part of a balanced diet
2. To assist with the development of social skills and provide opportunities for social interaction amongst service users and residents
3. To ensure the wellbeing of service users and consumers, and to safeguard vulnerable individuals with complex needs
4. To give consumer choice and independence in meal provision and meet a range of dietary requirements
5. To ensure holistic approaches are followed to link catering provision with other desired outcomes. i.e physical activity, safeguarding

Key aims & principles

1. Providing nutritionally prepared menus in an ever changing environment
2. To increase uptake of school meals both free & paid
3. Achieving financial sustainability in all catering operations
4. Optimisation of resources across both service areas managed effectively
5. Offering continuous operational improvements incrementally
6. Co-ordinated approaches to promotional material and signposting of the service by working closely with partners
7. To allow choice and independence in all catering provision meeting the needs of all consumers
8. Shift towards a commercial culture for all aspects of the service
9. Greater emphasis on production of management information and use of performance metrics
10. To maintain affordable meals for all our customers and demonstrate value for money
11. Alignment of all catering operations and strategies to the councils priorities

Transformation outline strategy

Timeline	Key activities
Immediate (initial months to April 2018)	• Consultation with all staff and trade unions impacted by the integrated service model • Review of all contracts to identify gaps in provision (schools term time contract only) • Formation of marketing plan key to future of service • Develop brand identity with schools in light of challenges faced re. uptake and SLA buy back • Rollout of online payments in Primary Schools • Implementation of commercial opportunities within staff canteen • Further business case development of opportunities at Social Services establishments • Transition to "to be" business processes • Review of duplicated business support activities

Medium term (April 2018 – April 2021)	• Continual review of business model to maintain/improve performance and drive aspects of commerciality • Renewed emphasis on workforce planning & rationalisation of workforce • Seek to increase local supplier spend to link to Council manifesto commitments • Retain schools in Catering Services SLA
Long term (year 3+)	• Explore opportunities for market development i.e bidding for contracts to provide catering to other public bodies • Explore opportunities to expand product range or diversify service

EMPLOYMENT & STAFFING

Service integration will have an impact on employment & staffing requirements going forward. The preferred option will look to:

Review headcount

Current Education headcount – 532, Establishments – 95
Current Social Services headcount – 179, Establishments – 18

As part of the service rationalisation and a view to standardise operational practices, a review of social services staff requirements will be performed with a view to replicate the staffing templates used previously in Education.

Review the management of casual hours contracts

Current Education – 108
Current Social Services – 119

The review will also encompass the permanent / full time equivalent per establishment that is required as part of a wider review of staffing resource across the service. The plan will look to reduce the number of additional hours as an output of this exercise.

Re-grade current job descriptions

Currently, there is a difference in grade between kitchen assistants in Education (Grade 2) and Social Services (Grade 3). However, there are assistant cooks in Education paid Grade 3 – where duties and levels of responsibility may be the same but the job title may be misleading

The integrated service will perform a full review of job descriptions, duties and grades to ensure there us parity,

There is a risk that should be identified at this stage, and this is if the re-grading exercise results in an increase for Education kitchen assistants to a Grade 3 level.

<u>Create an additional "Finance and Business development" post</u>

Additional resource is required to deliver a mixture of strategic and advisory functions to the integrated service and to support the leadership team of Alison Cosker, Head of Catering & Cleaning Unit and Julie Archer, Deputy Manager, Catering & Cleaning Unit to:

- Review and develop the business plan as the integrated services model grows in maturity
- Liaise with subject matter experts in the Authority to develop a robust marketing plan
- Deliver the necessary changes to the product mix based on the marketing plan
- Be responsible for the production of any marketing, advertising and promotional material on the advice of SME's.
- Develop business cases to explore new products and markets in collaboration with the Commercial Team
- Explore further income generation opportunities
- Focus on customer account management, to retain existing business
- To monitor progress of the integrated service model transformation and performance against agreed KPI's.
- Produce financial scenario plans in light of the number of variances that can affect the business
- Provide a pro-active role in budget monitoring
- Evaluate the benefits of the online payments implementation
- Be a SME for all financial matters locally.

Provision has been made in the financial appraisal for this post to be appointed to a Grade 8, temporary for 2 years. The total costs would be £37,490 at the bottom of the grade (SCP 31) and £39,733 at the midpoint of the of the grade (SCP 33) – Both include on costs of 35.5%

SOCIAL SERVICES TRANSFORMATION

The business plan rightly focuses on all aspects of the integrated catering service, however the benefits realised are as much in social services catering operations as they are in increasing income in school meals.

Therefore this plan looks to:

- Rationalise and have greater management control of Social Services operations
- Adopt a synergy for resource allocations at each establishment
- Centralise business support functions
- Improve resilience in sickness and absence in Social Services catering
- Realise savings from reduced food costs and potential reduction of headcount
- Develop commercial opportunities incrementally as the business develops

The integrated service manager with work closely with the adult social care operations manager and business development officer to develop and implement the necessary changes.

MARKETING & PROMOTION

The integrated service will produce a marketing plan that will be the cornerstone of how the business plan develops. It will be tasked with utilising our communication methods better in order to maximise brand awareness and signposting opportunities, in turn adding to the aim of increasing school uptake.

Additionally, it will seek to take a whole system view of clients, customers and consumers to ensure that the service works closer alongside schools to retain them in the SLA. This will naturally progress more holistic approaches to communications with parents from the service and schools.

Subsequently, the marketing plan will look at how a strategy can be developed over time to attract business in new markets.

The Finance & Business Development Officer will be responsible for leading on development of the marketing plan, working closely with communications, engagement & marketing colleagues. Any additional costs for advertising, design and paid for publicity will be factored into the financial appraisal as the business develops.

Service USP

- Experienced
- Knowledgeable
- Trustworthy
- Reliable
- Resilient

Growth strategies

Existing products & markets	Existing products & new markets
1% year on year increase of school meal uptake - More of a commercial sales focus for staff catering - Develop internal vending provision & room hire provision for external bookings. - Transform provision in residential homes and day services - Increase unit spend in Secondary schools	- Develop a sales focus to win back previously opted out schools - Develop existing service to after school clubs - Increase take up of staff meals in schools - Seek additional markets outside of Local Authority boundary subject to having requisite powers

New products for existing markets	New products for new markets
- Transformed staff catering provision - Development of commercial opportunities at Social Services establishments - Upselling of ancillary services in one SLA i.e facilities compliance and management - Review of social services provision	- Training & advisory service - Public sector contracts (TBC) - Others to be apparent as business develops

Branding

The marketing plan will look to re-brand the existing Captain Jack school meals brand or establish a corporate brand that represents the integrated service model. Whichever option is chosen it must quickly establish a brand identity and loyalty in its chosen markets.

FOOD SUPPLY CHAINS

The integrated service is about to enter an All Wales Framework for various food & drink product categories via the National Procurement Service (NPS). This is a new framework that replaces the existing framework as part of the Welsh Purchasing Consortium (WPC)

The service will review whether the new framework will be utilised for the duration of the business plan and/or whether alternative supply chains are more appropriate for our product mix.

Can Cook "CIC"

The Can Cook social enterprise currently in development have outlined in their business plan their product mix. This includes products in the food supply market.

These products compared to our current methods of food production are at opposite ends of the food production continuum with Can Cook proposing to supply ready prepared food products that require re-heating before sale to the consumer.

The review has proposed that catering services look to dovetail plans with Can Cook long term, however a shift to the current method of food production proposed by Can Cook is a completely different food production model.

Any collaboration will require further discussion as the business plan progresses.

INCOME & COMMERCIAL OPPORTUNITIES

Integral to the preferred option business plan is the ability to generate income as part of a transformed service. The following appraisal will detail how income is to increase and is based on a number of assumptions:

<u>School meals</u>

- The financial appraisal will assume the FSM budget will increase in line with the cost of increased FSM uptake to the catering service
- The meal price of £2.25 will increase by 10p per year for the next 3 years:
    - 2018/2019 - £2.35
    - 2019/2020 - £2.45
    - 2020/2021 - £2.55
- The free breakfast club funding continues to be delegated to schools and will use the previous funding formula to when the service was WAG funded. The financial appraisal will assume that the budget remains constant over 3 years.
- Secondary school paid income is based on the number of meals served from the biometric system x meal price. **Actual income is a lot higher than the figures stated**. Therefore, retention of additional unit spend in Secondary schools will increase income dramatically.

The latter point here illustrates the importance of Secondary schools to the School Meals SLA as the ability to increase unit spend from a cafeteria service can massively inflate income.

The table below illustrates the various income streams to the school meals service and how they will be affected by the proposals in this business plan:

School meals service						
Income stream	Description		Budget 2017/2018	2018/2019	2019/2020	2020/2021
Free School Meals	The Free School Meal budget (FSM) continues to be delegated on the previous centrally held budget for free school meals. 10p additional price per year is added here to illustrate the effect on the FSM budget	Primary	£1,238,500	£1,322,942	£1,379,239	£1,435,534
		Secondary	£549,450	£586,913	£611,888	£636,863
"Paid" School Meals	Current uptake is at 37%. The business plan aims to increase uptake by 1% year on year. The figures here show the **gross** increase factoring in a price increase also. Increased costs resulting from uptake are shown in the revised budget allocations	Primary	£2,411,500	£2,601,680	£2,739,513	£2,879,843
		Secondary	£1,790,050	£1,931,220	£2,033,533	£2,137,700
School Breakfast Clubs	WAG funding is no longer applicable and is now part of the Revenue Support Grant (RSG). A budget delegation is made based on the previous years FSM entitlement at each school.		£530,100	£530,100	£530,100	£530,100
Staff & Visitor Meals	These budget headings are to remain. Meals for staff were previously bought by some schools but this market has diminished due to shrinking school budgets. The target will be kept to market staff meals charged at a higher price to reflect portion sizes. These can be paid online also to encourage take-up.	Primary	£90,000	£90,000	£90,000	£90,000
		Secondary	£50,000	£50,000	£50,000	£50,000
Functions Income	This element of the business has diminished in recent years, however the business plan will look to review whether increased marketing for buffets and hospitality can yield additional income		£23,000	£23,000	£23,000	£23,000
	Total income		£6,682,600	£7,135,855	£7,457,273	£7,783,040
	Cumulative increase			£483,255	£774,573	£1,100,440

Commercial income streams & opportunities

The cross-cutting review has highlighted that commercial opportunities can be pursued collectively across school meals & commercial catering. The opportunities are described below with a financial appraisal to support.

Café Tawe Restaurant – Civic Centre

Aims/Objectives:
- To transform the existing staff catering provision into a profitable service that realises an income stream for the Authority
- To increase sales / footfall to the restaurant
- To modernise the service to meet market trends and consumer needs (staff)
- To develop and change the product range as part of the business case
- To align the environment to the office relocation / agile working programme by having a synergy in the furniture and ambience of the restaurant
- To enhance the offer for "services to staff" when selling commercial office space in the building

How will this be achieved?
The implementation plan will focus on 3 broad themes to transform existing provision:

Development of a staff hub
With minimal investment, the opportunity is available to transform the environment of the Café Tawe Restaurant into a "staff hub". Currently, very few staff visit the canteen other than to purchase food so this initiative looks to increase footfall, link to staff wellbeing, and look at staff spend as a secondary purpose to visit the canteen. This can be achieved by:

- Installation of Wi-Fi
- Better use and investment in furniture
- Using space for sales pitches from external organisations
- Installing information screens and monitors
- Providing daytime to & music
- Displaying advertising, poster sites and staff information screens
- Providing space for informal meetings
- Promoting the area for use by visitors to the building for meetings etc

A quote has been received for adaptation works to the existing space for £21,513 which would see the space align to a similar theme to the newly established agile working areas:

Facilities management colleagues are leading on this aspect of the plan and are fully in support to develop the opportunity given the wider benefits to the office accommodation strategy.

Customer convenience
Methods to improve the current service and target an existing and new customer base to increase volumes using our catering service. The following options have been identified which are not interdependent on each other:

- Loyalty card / prepaid card scheme
- Additional payment methods i.e. chip & pin, contactless
- Cookery demonstrations by staff including healthy "taste and try" alternatives
- Payroll deductions (if viable)
- Removal of security lock to allow public access
- Pre-order function
- Scaling up of current Sandwich Bar / Trolley methods
- Improve kitchen equipment and presentation of products

Product development
This opportunity looks at what choice is currently available and where any development in new products provides a business case to develop further:

- Takeaway function for staff – for home/family
- Improved hot drinks function
- Corner shop style service selling convenience products i.e. bread, milk, newspapers, magazines
- Christmas hampers and other seasonal related items
- Ready meals
- Cakes, pastries and other high street café style products

NB Costs to implement a chip and pin / contactless payment device are negligible and the service are looking to implement this change ASAP. A lack of such devices were quoted as the main reason why staff do not use the canteen.

Implementation plan
The role of the Business Development Officer will be to deliver the changes as part of the implementation plan which encompasses the above opportunities as well as:
- Revise menus and identify savings in the food / staffing mix
- Work with marketing and communications colleagues to promote and signpost the service
- Develop financial projections as the business plan develops
- Scope further investment in the business on a spend to save basis
- Review future commissioning options for the service

This opportunity proposes an October 2017 implementation to maximise sales opportunities from high levels of staff in work during the Autumn period

Financial appraisal

The current breakfast/lunch income split is 29%/71% and taking an increase of 30% in sales income, the lunch volumes would increase from 150 transactions to 273 in year one. Given that accommodation in the building is 1100, this shows there is still significant potential to increase sales volumes incrementally.

Despite this however, a view must be taken after the initial trading period if the service does not eliminate it's subsidy in year one. Subsequently, it is proposed that the commissioning options are revisited if this scenario occurs.

The service must deliver additional sales volumes as staffing costs have increased in 2017/2018 from £109,100 to £145,800

For the purposes of the financial appraisal, and to support a three year business plan 30% increase in additional sales is projected in year one, 20% in year two, and 10% in year three.

Swansea Council Vending

Background:
- Existing vending provision in the Council is de-centralised and is arranged at a service level.
- Not been reviewed strategically as a collective and income is negligible across the Council.
- Some machines not in locations where sales can be optimised
- Machines are unreliable and in need of a refurbishment or replacement

Aims/Objectives:
- To establish an additional income stream to the integrated catering service
- To meet the needs of an agile workforce and modern ways of working by providing food and drink on the go
- To increase footfall and develop a brand recognition with the integrated service
- To target consumers that do not currently access the Café Tawe restaurant
- To utilise an additional sales platform to boost income

Benefits:
- Machines offer convenience to staff and other consumers, are quick and can be open all hours
- They offer versatility and options exist to sell a wide range of products
- Social benefits would be realised where

staff/colleagues get together in communal areas
- They meet the needs of an agile workforce and modern ways of working

Proposal:
- To centralise all vending operations in the Authority to the integrated catering service
- To establish an income stream to support commercial catering operations
- To review further the commissioning options for vending service:
  - Fully managed service via a commissioned partner
  - Purchase of new machines
  - Purchase of merchandising equipment from high street chains. i.e Costa, Starbucks etc
  - Lease / rental agreement
- To work closely with colleagues to establish suitable locations for vending provision

Financial appraisal
The income stream is entirely dependent on each option:
(information supplied from existing framework)

Fully managed	Purchase	Rental
No upfront cost	Machines in each respective category are typically priced between £2,000 & £3,000	Machines in each category tend to be priced between £70 & £100 monthly rental
Typical royalty based on £25,000 turnover is between 15% and 30% of sales	Further work is required to predict sales levels at each site to understand payback factoring in cost of managing the service	Further work is required to predict sales levels at each site to understand payback factoring in maintenance etc.

For the purposes of the financial appraisal it is proposed that the service has a net income target of £10,000 for the next 3 years for Authority wide vending provision.

The following table summarises the financial projections for these commercial income streams. A number of assumptions are made for the purposes of financial planning:

- Staffing costs are re-aligned using the same method as per the school meals service. Food costs are increased in line with 33% of turnover
- Average spend remains at £3.00 for a lunchtime transaction
- Staff catering functions aside from Civic Centre will forecast the same income projections as the same business case does not apply.

- Financial forecasting is for 2018/2019 onwards, however the implementation of commercial opportunities looks to be from October 2017.

Commercial Catering					
Income stream	**Description**	*Budget 2017/2018*	**2018/2019**	**2019/2020**	**2020/2021**
Staff Catering Civic Centre	The target operating model will look to achieve sales increases (based on 2016/2017 sales of 30% in year 1, an additional 20% in year 2, and 10% in year 3. This is caveated in the business case above. The revised budget for the service is shown separately.	*£155,000*	£213,174	£255,808	£281,390
Staff Catering Guildhall	Income generation within the above business case is focused on increasing volumes not average spend. This opportunity is less in the Guildhall with increased competition and the building at capacity. Therefore no projections for additional income is made at this stage	*£62,000*	£62,000	£62,000	£62,000
Staff Catering Other	This income stream includes Pipehouse Wharf and the hospitality / buffet provision which has diminished in recent years. Therefore, targets have been reduced to reflect this	*£33,000*	£20,000	£20,000	£20,000
Vending Provision	As per the business case above, an initial net income target of £10,000 will be allocated over the length of the business plan.	*£7,600*	£17,600	£17,600	£17,600
Contact Centre Cafe	The current contract has been extended until May 2018 where further commissioning options can be revisited as per the Gateway 1 report. Therefore, the assumption will be made to budget for the current level of income	*£31,100*	£31,100	£31,100	£31,100
	Total income	*£288,700*	**£343,874**	**£386,508**	**£412,090**
	Cumulative increase		**£55,174**	**£97,808**	**£123,390**

ADDITIONAL COSTS

The following items are examples of additional costs that are not attached to a specific proposal in the business plan but are factored into budget and financial planning for the duration of the business plan

<u>sQuid Online Payments Transaction charge</u>

The integrated catering service in conjunction with the school funding and information unit have awarded a contract to manage online payments for school meals as well as other paid for activities in a school such as trips etc.

The online payments solution is in direct response to feedback from parents regarding more flexible payment methods and will contribute greatly to increasing paid meal uptake and reducing school meal arrears.

The contract value is made up of:

An annual licence fee: £49,575
A transaction charge of 1.2% anticipated to cost £21,000 per year

This effectively means that we must increase and maintain paid meal uptake by 2% assuming unit spend remains the same to payback this investment.

<u>Finance & Business Development Officer Post</u>

As eluded to and detailed earlier in the report, the business plan proposes to appoint a Business Development Officer on a Grade 8 salary, 37 hours per week on a 2 year temporary post.

<u>Pay award</u>

Additional costs have been added for stepped pension increases as well as a 3% uplift added to the total workforce budget. The LGA have advised local authorities to plan for a 3% increase in 2018/2019 for the lowest paid in the workforce due to a review of spinal points.

<u>Food costs</u>

The service are about to enter a new framework for food supplies, however based on historical figures, projected food costs are derived at 38% of turnover

<u>Unforseen circumstances</u>

The above will all be taken into account when planning forthcoming budgets, however there are some scenarios which cannot be planned such as:

- Inclement weather and schools are closed
- Spikes in food costs because of changes in market conditions
- Power failure or appliance failure in schools

- Limitations on the number of trading days

BUDGET PLANNING

<u>School Meals</u>

The following assumptions have been made to budget projections for the following three year period:

- To be prudent, unit cost has been applied to meal uptake increase to show the increased costs from food & staff. However it is likely that only small concentrations of schools will require extra staff to produce additional meals, the more likely scenario is that food cost increases will be evident only.
- Staffing costs have been uplifted in light of the potential scenario on pay awards above.
- Food costs are derived as 38% of turnover based on historical performance.
- The additional costs of the Business Development & Finance Officer are included
- The anticipated cost of the online payments transactions fee are included
- Meal uptake is for all not just paid meals
- **Projections are based on 2016/2017 actual figures however, 2017/2018 budgets are shown below for illustration**

School Meals (linear budget)				
	2017/2018 £	2018/2019 £	2019/2020 £	2020/2021 £
Employees	3,913,900	4,189,489	4,259,196	4,329,895
Transport	52,900	53,958	55,037	56,138
Supplies & Services	2,510,000	2,733,125	2,838,764	2,962,555
Internal Debits (SLA)	113,100	113,100	113,100	113,100
GROSS EXPENDITURE	**6,589,900**	**7,089,672**	**7,266,096**	**7,461,688**
Free School Meals (Primary & Special)	1,238,500	1,322,942	1,379,239	1,435,534
Free School Meals (Secondary)	549,450	586,913	611,888	636,863
Paid Meal Income (Primary & Special)	2,411,500	2,601,680	2,739,513	2,879,843
Paid Meal Income (Secondary)	1,790,050	1,931,220	2,033,533	2,137,700
School Breakfast Clubs	530,100	530,100	530,100	530,100
Staff & Visitor Meals	140,000	140,000	140,000	140,000
Functions Income	23,000	23,000	23,000	23,000
GROSS INCOME	**6,682,600**	**7,135,855**	**7,457,273**	**7,783,040**
NET EXPENDITURE	**(92,700)**	**(46,183)**	**(191,177)**	**(321,352)**
Cumulative reduction		46,517	(98,477	(228,652)

Primary FSM budget	1,238,500	1,322,943	1,379,239	1,435,534
Secondary FSM budget	549,450	586,913	611,888	636,863
Total FSM budget	**1,787,950**	**1,909,856**	**1,991,126**	**2,072,397**
Reduced cost to FSM due to Catering profit	**1,695,250**	**1,863,673**	**1,799,950**	**1,751,044**
Cumulative reduction		168,423	104,700	55,794

Summary

The projections show an increased cost to the FSM budget offset by a trading profit on the Catering account. It is necessary to show the effect on the FSM given that the business plan focuses on all meal uptake and increases in price.

The proposed changes outlaid in this business plan show a healthy financial position to alleviate **significant known budget pressures** in the proposed pay award which will increase staffing costs by £120,000 in 2018/2019

The combination of meal price increase and meal uptake increases show the reduction in the cost of FSM to the Authority from 2019 onwards.

The reduction in cost to FSM would increase further if the following scenarios were to occur:

- Paid meal uptake rises above that of FSM uptake
- Unit spend in Secondary schools increases
- Paid uptake in Secondary schools increases
- Increased volumes result in food cost increases only

For prudence, these scenarios cannot be budgeted for in the business plan.

If the FSM budget is not increased in line with the additional cost for FSM uptake and existing delegation is used, then this will reduce the income shown in the Catering trading account, so the net effect is NIL.

Commercial Catering

The following assumptions have been made to budget projections for the following three year period:

- Income levels remain constant at other commercial catering sites
- Vending income achieves £10,000 as outlined in the income projections table
- Unit spend remains at £3.00
- Food costs equate to 33% of sales when calculating additional sales
- Staff costs are to increase aligned to with the projections made for the school meals catering service
- Staff catering functions aside from Civic Centre will forecast the same income projections as the same business case does not apply.

- Financial forecasting is for 2018 onwards, however the implementation of commercial opportunities looks to be in October 2017.

Commercial Catering (46107)				
	2017/2018 £	2018/2019 £	2019/2020 £	2020/2021 £
Employees	145,800	151,632	153,148	154,680
Transport	0	0	0	0
Supplies & Services	122,800	138,476	152,546	160,987
GROSS EXPENDITURE	**268,600**	**290,908**	**306,494**	**316,467**
Sales Income	224,700	295,174	337,808	363,390
Vending Income	2,000	17,600	17,600	17,600
Internal Charges	6,666	6,666	6,666	6,666
GROSS INCOME	**233,366**	**319,440**	**362,074**	**387,656**
NET EXPENDITURE	**35,234**	**(28,532)**	**(55,580)**	**(71,189)**
Cumulative reduction		(63,766)	(90,814)	(106,423)

NB the above table does not show the income for the Contact Centre Café, this is captured in a separate cost centre managed by Facilities Management.

Summary

The projections show that with vending income, the staff catering function will turnover a profit in 2018/2019, however as indicated in the business case, the proposed changes will require to eliminate the subsidy in 2017/2018 of £35,234

The business case looks to implement the changes from October 2017 which will look to review the method of food production, product range, promotion & signposting and environment of the restaurant immediately.

The projections do not show changes in the food / staff cost ratio or change in food production methods that could be evident from a new menu and changes to how the service is delivered on a daily basis.

PROJECT SAVINGS

Year on Year increases	£ 2018/2019	£ 2019/2020	£ 2020/2021
Known budget pressures			
Pay award	120,416		
Pension contributions	38,259	38,642	39,028
Online payments implementation (not including licence fee of £49,575)	21,000	5,500	5,000
Transport costs	829	1,079	1,101
	180,504	**45,221**	**45,129**
Project Spend			

Increased staff only costs (meal uptake)	26,440	26,704	26,971
Commercial catering staff only costs	5,717	1,516	1,531
Appointment of Finance & Business Development Officer	37,490	1,107	1,136
Increased food only costs (meal uptake)	166,142	100,139	118,792
Commercial catering food only costs	16,234	14,069	8,442
	252,023	**143,536**	**156,872**
Total Additional Expenditure	**432,527**	**188,757**	**202,001**
Project savings			
Increase in paid meal income	234,574	240,147	244,497
Increase in FSM income (trading)	143,027	81,270	81,270
Increase in Commercial income	68,709	42,635	25,580
	446,309	**364,053**	**351,347**
Net savings from Commissioning Review	**13,782**	**175,296**	**149,347**
Cumulative savings	**13,782**	**189,078**	**338,425**

Savings associated with the review are included above but are diluted somewhat by significant known budget pressures. Figures throughout the financial appraisal are prudent for specific reasons mentioned above. The review should recognise that additional savings can be realised from:

- Increased unit spend in Secondary schools
- Further uptake increases for paid meals
- Food only costs rising with uptake as opposed to unit costs
- Reduction in staffing costs as part of a review of resource allocations
- Reduction in the number of casual hours contracts

LEGAL IMPLICATIONS

The Local Government Act 2003 ("the Act") gives Local Authorities the general power under section 93 to charge for discretionary services which are not covered by any other specific legislation with the following restrictions:

- The recipient of the service must have agreed to its provision and agrees to pay for it.
- Charges may be set differentially, so that different people are charged different amounts, i.e concessions
- The income from charges for a service should not exceed the cost of providing that service (over a "reasonable" but unspecified period e.g. 3 years).

The Act suggests that the Catering service can include the cost of financing any capital investment, and an allocation of overheads and other non-chargeable central costs such as the cost of the authority's "corporate and democratic core" functions. There is no definition of "the service", and there is scope for a reasonably broad approach, so

that the costs could cover a wide range of service-related expenditure, not just the marginal additional cost of the particular transaction for which a charge is to be made.

Implications for the Integrated Catering Service

- Catering is a discretionary service, albeit the Local Authority has a duty to ensure FSM provision is maintained.
- Income from paid school meals can offset the cost of FSM, and this is seen in local authorities in England.
- Charging structures can be reviewed and set differently. For example, a different pricing split between Primary meals and Secondary meals. This is easily justifiable given the different sales mix and portion sizes.

COUNCIL IMPLICATIONS

The features summarised in this preferred option have several implications for the Council going forward:

Joint working / Collaboration
Whilst the integrated model looks to integrate the workforce, social services will retain budget responsibility for catering in residential homes and day services. Social Services will also look to the Head of Catering & Cleaning expertise to review efficiencies and effectiveness of their operations.

Marketing & Commercial

As indicated above, the new Business Development Officer will seek support of subject matter experts with marketing and commercial knowledge to develop the business. Resource will require to be allocated in an advisory capacity.

Business support

It is proposed that business support activities currently within the Adult Services support team will transfer to the Head of Catering & Cleaning support team. These functions include all HR, training & purchasing activities.

This will be a transition in the initial period, with a wider review of business support corporately likely to revisit this part of the business.

Income collection

The plan will review where the income collection functions are best placed in the Council (currently with Facilities Management). Comparisons showed us that invoicing and debt management functions sit with the school meals function in other Authorities.

<u>Schools SLA</u>

The plan will review what constitutes the school meals SLA as the comparison showed us that kitchen management and compliance functions are included as part of the school meals SLA.

The service will also focus on added value in the SLA and greater emphasis on the services USP to demonstrate the benefits of buying into our service.

SCHOOLS IMPLICATIONS

<u>Communications</u>

The review has highlighted the need to work closer with schools when issuing communications with parents. Features such as holistic messages around payment information, arrears policies, nutritional information and promotional material are important to consider. This is a key aspect of the business and cannot be underestimated.

<u>Online payments & reconciliation</u>

The new online payments system to be launched from September will assist the school clerks with income collection and notifying parents when payments are due. It will also have the functionality to implement any changes if the Council explores any amendments to the debt policy in future.

The service will also work closely with schools to standardise debt recovery processes in light of the current level of arrears.

<u>Buy in</u>

The service will recognise the difference between schools as customers and pupils as consumers. The new business development officer will be responsible for developing the relationships with schools along the principles of account management.

The buy in of the schools is critical to any joint marketing opportunities, as they often are in contact with parents in respect of the school meals service.

CONCLUSION

By following this business plan the integrated catering service is able to meet the challenges it faces and improve outcomes for all service users. It will sustain the service in light of budget pressures and allows focus on significant income generation opportunities and savings from rationalisation. The plan outlines a range of ways in

how this will be achieved and demonstrates continuous improvement and modernisation of the service.

In the medium term the service will have developed its brand loyalty by increasing uptake and be a trusted partner of schools. It will have made more efficient and effective use of resources in Social Services and aligned provision to the needs of service users. Commercially, catering will be sustainable financially and add value to the Councils staff accommodation as ancillary services to staff

The review team recommends:

- That CMT/Cabinet recognises the financial risk associated with Secondary School dropout and known budget pressures.
- That CMT/Cabinet recognises the change in financial position from this review
- That this preferred option is adopted as the outcome of the "All Council Catering Commissioning Review and is approved to proceed to Cabinet on 17th August 2017
- The CMT/Cabinet endorses the view that staff catering functions should operate at a cost neutral position as a worst case scenario
- That the post of Business Development Officer is created subject to Cabinet approval
- The commercial opportunities are viable and can be progressed subject to Cabinet approval.

Commissioning Review - Scoping Template

Review/Service Area: All Catering Provision in CCoS	Budget Savings anticipated: £ including in overall medium term financial plan

Complexity (H, M, S) – Medium Complexity (across Directorates)			
Scope of Service Review	**Rationale?**	**Key Issues/Constraints Interdependencies**	**Allocated Resources (agreed)** *(Service Area, BC, Corporate Services etc)*
In-Scope: **School Meals** • Primary School provision • Secondary school provision • Schools SLA (both catering & FM) • Payment systems • Free school meals (FSM) • Existing projects i.e paperless • Staff structures • Captain Jack Meals / Menu • Breakfast Clubs **"Commercial" Catering** • CCOS Kiosk (Guildhall) • CCOS Tawe Café (Civic Centre) • CCOS Pipehouse Wharf • Meeting and events (internal) • Coastline Café • Vending Machines • Mansion House • Outdoor residential (Rhosilli and Borfa House) • Phoenix Centre	• Existing service is in need of modernisation • Resource heavy administration processes around school meals reconciliation and income collection are evident • Branding & communications of school meals over recent years has been sporadic • Consumer input into service provision is relatively low, therefore business intelligence to align future plans is limited • Management information is patchy across the service as well as performance metrics to monitor the services • There has been little development in ICT systems/solutions in recent years • Services have dedicated business support functions which could link to the principles of the business support review and future council • Evidence of p-card spend in Social Services • There are significant income opportunities and other quick wins that could be pursued	• Secondary schools are reviewing current arrangements of buying back into the Catering SLA. Morriston Comp have recently opted out for the 17/18 academic year sighting issues over quality, choice, hygiene, presentation. • Demand for school meal uptake nationally is falling and is replicated in Swansea • There is a strong private sector market that exists for catering services • The Authority has committed to tackling food poverty by dedicating resource to set up a Community Interest Company (CIC) • Social habits have changed in respect to catering with the development of the "coffee and cake" culture • Catering provision within Social Services needs to meet the needs of service users with complex needs and ensure independence, voice and choice aligned to the principles of the Social Services & Wellbeing Act.	**Lead Cabinet Member:** Cllr Clive Lloyd **Review Sponsor** – Martin Nicholls **Review Lead** – Andrew Hopkins & Kathryn Phillips **Delivery Team** – Alison Cosker, Julie Archer, Cathy Murray **Business Intelligence Group:-** • Karen Betts • Steve Herman • Carol Griffiths • Ricky Holdsworth • Becky Jones • Chris Davies • Amanda Jones • Rhodri Jones • Jane O'Connor • Kelly Small • Tony Sturgess • Nerys Williams • Others to be added if/when required **Additional Resource:-** • Additional resources to be agreed and called upon when required

- 360 café
- The LC
- Grand Theatre
- Franks Bar (Brangwyn)
- Glynn Vivian Art Gallery
- Plantasia

Social Services Provision-
- Swansea Vale Resource Centre
- Fforestfach Day Service
- Victoria Park Kiosk
- Community Recovery Education & Skills Training (CREST)
- Parkway HFA
- Rose Cross House
- St John's House
- Norton Lodge DC
- Maesglas CSU & SNS
- The Hollies
- Trewarren SN
- FSS/Parkway SNS
- Bonymaen House
- Ty Waunarlwydd
- Alexander Road
- Bichgrove SNS
- Abergelli ADS
- Ty Cila

Sign off	Signature:	Date:
Director		
Lead Cabinet Member **To be confirmed**		
Review Lead		

Theme	Example Questions / Topics
Data	Does your school meals function run at cost neutral?
	What income is attributable for school meals? Primary / secondary / inc. FSM entitlement
	What price do you charge for school meals?
	What KPI's do you have in place for catering?
	School meal uptake - paid / non-paid
	What is your food cost as a % of sales?
	What is your cost of sales?
	Information on kitchen equipment. Gas/electric
	How is management information available as a whole?
Functions	What is your structure for catering? i.e one service?
	What roles/responsibilities exist within your structure. i.e supervisors, area supervisors
	Can we get an org. chart / hierarchy chart from them?
	What are the arrangements for business support?
	How does this structure allow for shared / best use of resources?
	How does the structure support school / commercial / soc. Serv catering?
	How is Facilities Management support given to Catering services?
	What is similar / different in respect of Soc serv catering delivery?
Process	How are SLA's being reviewed for Catering services?
	What administration processes exist for food purchasing / menu preparation? Soc. Serv / schools / staff
	Above including P2P process
	Have any paperless projects being launched?
	How are school meals volume reconciled?
	What process exists for the collection of school meals income?
	How is debt recovery managed for school meal arrears?
	How are sickness / absence interviews dealt with?
Strategy	Has catering been managed strategically across a range of functions?
	Do you have a catering strategy / business plan?
	What is your forward view / programme for catering
	What is your view of Local Authority catering in the future?
Change	Have you launched / planning any initiative to increase school meal uptake?
	Have you reviewed branding / comms for school meals?
	Has any changes been made to the service incrementally for service improvement? I.e business processes
	What is the key driver for change? I.e digital, commercial, falling demand

	Has catering been reviewed as part of a wider review. i.e commissioning, service re-design etc
	Have other models of delivery been looked at? I.e outsourcing, LATC etc
Commercial	What commercial opportunities have been pursued?
	How have you looked to retain existing business? I.e schools SLA
	Has a commercial culture been adopted amongst catering functions?
	Is there any strategy along the principles of commercialism?
	Any quick wins?
	Which parts of Ansoff have you looked at? I.e market or product development

"All Council Catering" Commissioning Review – Model Description Canvas
Model A: Transformed in-house

Description:
The transformed in-house model looks to change how existing catering provision is delivered, by making incremental changes as part of an evolving implementation plan. It looks to propose a range of options that can be explored further all of which to a greater extent will future proof catering services against the challenges it faces, as well as meet the criteria in terms of financial benefits, sustainability and deliverability.

Greater detail is provided in the various sub-options to illustrate what opportunities exist within this model.

Features:
There are common features that exist across the various sub-options:
- Better use of existing resources by looking to rationalise existing provision
- Development of commercial opportunities to increase income
- Changes to the existing school meals product with a view to increasing uptake of paid meals
- Review of operational practices in Social Services provision
- Changes to management and staffing structures
- Rationalisation where possible of business support activities
- Increased visibility of financial performance

Rationale:
- Cross-cutting review looks to address how resources can be better utilised. This option satisfies those questions
- Existing provision in Social Services can be realigned to meet the needs of all consumers
- Working together as part of an integrated service will deliver stronger outcomes
- Scope for financial savings incrementally as the new structure embeds
- Strong offer in terms of meeting the agreed criteria for future options

Benefits:	**Drawbacks:**
• Provides greater scope for continuous improvement • Outcomes are not limited to financial benefits • Improves management collectively and to future proof the service in light of future challenges	• Risk that service does not transform to a degree which will not meet the aims of a future catering service • Risk that governance is not clearly defined when services are integrated • Little resource currently to implement changes as desired from the chosen sub-options
Strategic Fit:	**Match to review outcomes:**
• Seeks to integrate services and optimise the use of resources • Meets three generic aims of Sustainable Swansea • Option demonstrates the desired outcomes of the commissioning process	• Ensures the wellbeing of service users by enhancing the resilience and flexibility of the catering function • Provides greater scope for a holistic approach to linking catering to other outcomes i.e safeguarding • Greater control over menu preparation and purchasing, allowing for enhanced monitoring of nutritional benefits.

Sub-options:

Whilst this model seeks to integrate services to obtain the best use of resources for delivering catering, several sub-options have been identified. It is anticipated that these sub-options will be reviewed in detail as part of an implementation plan of the transformed in-house model. These sub-options include:

- A1: Integrated catering services function encompassing school meals, social services and staff catering.
- A2: Management responsibility for staff catering and vending to be transferred under a corporate landlord function
- A3: All of integrated catering services management responsibility transferred under a corporate landlord function
- A4: Exploration of a collaboration with the Can Cook social enterprise currently in development to pilot meals delivery within social services settings
- A5: To cease the staff catering provision at Civic Centre, Guildhall and Pipehouse Wharf.

Further information on each of these sub-options is included in a separate template.

Financial Impact:

- Increasing uptake of the paid element of school meals will ensure that the future meal cost to parents can remain constant
- Increases in uptake of paid meals can further eliminate the cost of free school meal provision
- Potential to utilise resources better, resulting in savings in administration, food and staffing costs
- Reduction of unit costs in Social Services
- Implementation of online payments will help reduce the level of outstanding debt for paid meals, thus realising a saving for the Council who currently fund the deficit
- Savings through reduction in associated administration for income collection and meal reconciliation
- Income generation through the development of commercial opportunities
- Greater control over the level of uptake resulting in change in financial performance

Deliverability:

Regardless of which sub-option that catering services evaluates as the direction of travel, this model seeks to integrate social services and school meal provision

Initially, the transition will look to establish a new management structure for the integrated service with changes to day to day operations unaffected. The implementation will look to review operational processes and establish a common approach where possible. Given the impact on staff will be limited in the short term, this model is deemed as deliverable.

Budget make-up as well as staffing implications have been discussed and outcomes deemed acceptable to pursue this model further

Sustainability:

The proposed changes as part of this option will future proof the service given the challenges identified as part of this review. Within the benefits of this option, the greater level of management control will be key, given the financial pressures evident from increasing food costs, and operational pressures from an ageing workforce.

"All Council Catering" Commissioning Review – Model Description Canvas
Model B: Local Authority Trading Company (LATC)

Model Description:

This model proposes the spin out of an integrated catering service into a Local Authority Trading Company (LATC) wholly owned by the council.

It will be established as part of a five year business plan which initially see a transformed in-house model to make incremental changes to catering services in a "transition" phase. The implementation phase at year 4 will see the creation of the trading company with all of the integrated catering service transferring into the new structure.

The components and features within the business plan would remain the same as what is proposed within the transformed in-house model i.e pursuit of commercial opportunities, revised school meals offer, revised staffing structure etc

As part of this model, there are options to review the ownership structure by potentially having the company jointly owned by Primary & Secondary Schools, thus taking the option of a co-operative

Features:
- A Board of Directors made up of council staff, elected members and head teachers responsible for all governance and performance, which will report to a newly formed shareholder committee.
- A robust vision and strategy for catering services within a five year business plan
- A strong marketing and branding presence as part of the revised school meals offering
- Development of a training needs analysis to develop commercial and marketing skills as well those needed to manage a company
- A three year transition phase to transform the existing model ready for implementation
- A two year implementation phase with the set up of a trading company in 2020
- Development of additional income streams through pursuit of commercial opportunities

Rationale:
- All profits made by the company can be reinvested into the catering service, allowing to focus on service improvements i.e. kitchen improvements, investment in appliances
- Performance management is likely to improve with whole stakeholder representation through the Board of Directors.
- More efficient vehicle to establish commercial opportunities and to trade with the private sector
- Allows for further exploration of sub options listed below and to seek further outcomes from implementing such options
- If the co-operative example is followed then it places more ownership of the service at the heart of schools
- All parties more likely to work together to ensure cost effective and efficient services

Benefits:	**Drawbacks:**
- The ability to generate profits by maximising income - Creation of a separate legal entity to the Council reinforces the changes to the way the service is run - Creates a new identity for the service, and will develop the relationship with	- Financial risk to the Authority if the trading company becomes insolvent or faces financial difficulty - Legal risk due to our obligations to provide a free school meal in light of operational pressures - Significant time and resource will need

• schools further to increase uptake. • Choice available to source ancillary services	to be applied to set up the trading company, something which the Council does not have significant experience of doing • Displacement and uncertainty created amongst workforce subject to a TUPE transfer to the new company • If the co-operative option is explored then it will be difficult to achieve if there is no consensus in how the service is performing or whether there are differences in interests
Strategic Fit: • Continues to evidence financial sustainability and generate surpluses to the Authority • Synergy between meal uptake and pupil attainment – this option supports the development of the catering service. • Develops commercial opportunities for new services in our communities, safeguarding vulnerable people	**Match to review outcomes:** • More likely to ensure the profitability of this catering operation • To add value building on existing provision • To provide choice and alignment to consumer needs in a modern environment

Financial Impact:
- Significant staff time and cost associated with implementing the change to the new structure
- Unclear whether the trading company will have access to funding streams outside the legal structure of a local authority.
- Freedom to explore additional commercial opportunities
- Freedom to retain profits to re-invest into the service
- Trading company will be liable for corporation tax

Deliverability:
Set up of the trading company is dependent on several factors:
- The service meeting it's need to transform as per Model A in the initial transition phase (year 1-3)
- The Council having the support network to help the set-up and implementation of the trading company in 2020
- The agreement of key stakeholders to form the Board of Directors
- Successful TUPE transfer of staff to the new legal entity

Given the three year transition period that could be implemented, this option is a feasible one given the extent of opportunities available as well as the current financial make up of the service.

If the co-operative approach is explored, given that there is evidence of Secondary schools opting out of the current SLA and others potentially reviewing how they source catering, significant sales expertise would be required to establish continued brand loyalty in the school meals service

With schools the largest stakeholder group, it is likely that they would be put off by Social services catering being included in the model given it's lack of profitability currently which could potentially dilute and jeopardise the schools catering provision.

Sustainability:
The service will be reliant on paid meal income in order to sustain the level of income required to maintain budget independence. Given that paid meal income is strongly aligned to secondary schools, the continued risk of schools potentially seeking alternative catering provision is a concern in the transition period.

Given that paid meal uptake is below the comparator average, and financial sustainability is currently being achieved, there is scope to increase income through various initiatives. The development of commercial income streams also makes this an attractive option.

If the co-operative option is explored, it would be sustainable operationally as all parties will work collectively to ensure that services are efficient and cost effective. It will also ensure that profits from the service will be retained for investment in the service by controlling dividends.

Given the changing landscape of school autonomy, delegated budgets, greater governor scrutiny and competition for catering services it is debatable whether schools will commit to this model which by its nature will require a commitment over several years.

"All Council Catering" Commissioning Review – Model Description Canvas	
Model C: Outsourcing	**In-summary:** Potential outsourcing of all or a range of current in-house catering functions

Model Description:

Development of a specification to outsource all operational and managerial functions of Catering services to the private sector. The requirements for this model would look to meet the challenges facing catering services and to:

- To increase take up of school meals
- Seek additional savings that cannot be achieved in the existing model
- Increase customer satisfaction of the school meals service
- Provide an efficient and cost effective operation for Social services catering
- Ability to add value to school meals that cannot be achieved as easily with other models:
  - Cashless catering
  - Use of local supply chains
  - Offer a wider choice of menus
  - Meet the needs of a range of dietary requirements

Part of this option includes the possibility of including staff catering alongside existing tendered contracts

Features:

- Full tendering exercise
- All FSM delegation bought back to form the value of the contract plus any paid meal income
- Scope to vary the contract terms i.e. percentage rebates of paid income
- Removal of administration and management responsibility
- TUPE transfer of staff to provider
- Schools would retain option to buy-in to SLA – therefore reserving the right to make their own arrangements for catering

Rationale:

- Successful examples of outsourced catering services in Newport & Anglesey.
- Options for provider to commit to investment in the service
- Potential increased savings through life of the contract due to growing differential between Local Authority and contractor rates of pay
- To deliver better outcomes and performance within the requirements of the contract as highlighted above

Benefits:	**Drawbacks:**
- Greater scope for investment from provider in catering services than in the existing model - Significant cashable savings generated over the whole life of contract - Potential income stream attributable through rebates - Evidence of providers ability to increase school meal take up - Easier to achieve the style of provision that meets the needs of staff	- Potential for staff terms and conditions to change after the commencement of contract - High turnover of staff evident in first year of contract - Increasing pay gap between Council employees and those employed by the contractor - Contractor driven by different outcomes i.e. profitability over choice and quality - Little evidence of outsourced catering in Social Services in isolation - Lost income from staff catering contract where changes could've been delivered

	in-house
Strategic Fit: • Links between increased meal uptake and pupil attainment	**Match to review outcomes:** • Potential risk to not meeting nutritional standards and following holistic approaches to developing meal provision as private sector has other drivers • Contract would have the ability to offer greater choice and independence in meal provision

Financial Impact:
- Cost of procurement evident to source a provider and manage the contract
- Contractual rebates provider achieves not shown as part of income figures, skewing margins evident to customer
- Any financial benefit would need to achieve a share of turnover or share of profits arrangement
- Management fee likely to be charged to cover additional responsibilities, which would negate financial benefits of outsourcing to some extent
- If existing profit margins are better than that paid to us by the provider we lose the ability to generate profits to offset FSM cost
- FSM cost will remain to the Authority as this will form part of the contract value

Deliverability:

The service has previously reviewed the option to outsource the School meals function and can revisit lessons learnt from that review. Outsourcing the school meals function in isolation is deliverable, as almost all aspects of the service will be transferred to the contractor. A new remit would be required to monitor the performance of the contract.

Examples of other outsourced school meal services evidence a council subsidy forming the value of the contract in addition to FSM monies and paid income. Given that the service operates at cost neutral currently without any general fund subsidy, the service would require to review the value of the contract in terms of net benefits to the council financially, with a view towards rebates on paid meals to secure a positive net financial change on the contract. However, this would limit the attractiveness of such an opportunity to a provider.

A different view can be taken however, by including social services provision as part of the financial appraisal, as this service is currently subsidised by the council. Therefore a view could be taken to eliminate this subsidy from the contract.

However, given the complex costing structures in Social Services catering currently, this would require careful scoping of options and contract negotiation.

Sustainability:
There is evidence to suggest that catering contracts with the private sector are long term, with Newport extending their six year contract by another 3 years. The main reason for this is the cumulative saving over the term of the contract has been significant and the performance of the contractor is deemed to be more than acceptable, as it has increased take up and is able to offer a quality cost effective service.

The contract has also transferred the majority of financial risk by working closely with the Council to eliminate council subsidies to FSM provision

Finally, it is debatable in the current context of school buy back whether the current SLA price offers value for money, as each school could effectively source their own catering contract cheaper than the value of the current SLA. This will become more of a factor in years to come. Swansea schools are also aiming to learn lessons from Morriston Comprehensive School who have launched their own catering venture by employing a catering manager, opting out of the SLA and taking on the day to day management of staff.

"All Council Catering" Commissioning Review – Option Description Canvas	
Sub-option A1: Integrated catering services function under a single in-house managed structure	**In summary:** Combining Education, Social Services & Staff Catering provision

Description:

This option looks to consolidate the existing school meals and social services catering functions into a single in-house managed service. It also proposes to manage:

- Centralised vending contracts for the Authority
- Existing staff catering functions at the Civic Centre, Guildhall & Pipehouse Wharf
- The development of commercial opportunities across the revised service structure
- Potential to include tendered sites managed by other services currently

Features:

- A single managed in-house catering function
- Development of commercial opportunities for staff catering provision contained within
- Development of commercial opportunities for specific Social Services Day services sites – Swansea Vale Resource Centre, Cwmbwrla Day Centre, Fforestfach Day Service & Victoria Park Kiosk
- Review of management & staffing structure
- Rationalisation of business support
- Revised operational processes in alignment across both areas i.e. menu preparation, ordering & purchasing
- Revised billing & financial procedures including implementation of no debt policy for school meals
- Rollout of online payments for school meals
- Changes to existing school meals "product" with a view to increase take up of paid meals:
  - Re-brand of existing Captain Jack brand / identity
  - Better online presence
  - Use of social media
  - Holistic communications with schools & parents
  - Revised pricing strategy
- Production of a catering strategy supported with action plans, changes in culture and focus on financial returns.

Rationale:

- Better use of resources between service areas
- Efficiencies from centralisation of menu preparation
- Greater scrutiny of inventory control and volumes of food orders
- Improved resilience for sickness and absence across the service
- Allows scope for wider review of staffing and business support
- Improved management information to assist with service assessments
- Potential to generate significant savings cumulatively through reduction in food & staffing costs and increasing and diversifying income streams

Benefits:	**Drawbacks:**
- Provides greater scope for continuous improvement - Outcomes are not limited to financial benefits - Improves management collectively and to future proof the service in light of future challenges	- Savings not realised in short term - Significant differences in business operations that will take time to align - Changes will not increase paid school meal uptake in isolation - True cost recovery needs to be established i.e. accommodation costs.

Deliverability:
The impact of this option is most likely to affect day to day operations and line management responsibility. Initially, the transition will look to establish a new management structure for the integrated service. The implementation will look to review operational processes and establish a common approach where possible. Evidence gathered as part of the review to date has shown that a common approach to operations across both service areas is achievable.

Sustainability:
The proposed changes as part of this option will future proof the service given the challenges identified as part of this review. Within the benefits of this model, the greater level of management control will be key, given the financial pressures evident from increasing food costs, and operational pressures from an ageing workforce.

"All Council Catering" Commissioning Review – Option Description Canvas

Sub-option A2: Integrated catering services function to be established, but without staff catering provision which will transfer to a corporate landlord function	**In summary:** Existing staff catering provision to be managed under Facilities Management portfolio

Option Description:

This sub-option is available as part of the "transformed in-house" model and looks to retain the option of an integrated catering service. Thus, combining the current social services and school meals catering functions as identified.

Where this option is different, it proposes the current staff catering provision to be transferred to Facilities Management and also for them to manage a centralised vending contract as part of the development of commercial opportunities.

Features:

In addition to the integrated service, this option features:

- Transfer of managerial responsibility for staff catering provision to facilities management
- Establishment of a centralised vending contract for the Authority across all services and managed by facilities management
- Options for staff catering provision to be commissioned collectively alongside other tendered sites.

Rationale:

- Offers a more natural fit alongside corporate landlord functions for a commercial service
- Existing catering arrangements within facilities management realise a net income stream to the Authority
- Allows the integrated service to concentrate fully on continuous improvement as part of school meal and social services provision
- Transfer of responsibility would allow for closer line management of staff catering operations in its current form.

Benefits:	**Drawbacks:**
- Scope to realise significant savings from current staff catering arrangements to ensure financial sustainability - Lessons learnt from incumbent provider - Better fit for pursuit of commercial opportunities Additional benefits within rationale above	- Corporate landlord function does not manage an in-house catering function currently - Limited scope to make savings from staff catering in current in-house model - Uncertainty amongst current workforce may impact adversely on service delivery - Business case developed for commercial opportunities does not support this option

Deliverability:

Implementation would initially retain the current model of delivery but transfer the managerial responsibility for the service. The service would be reviewed further with a view to commission both the staff catering and current tendered operation in Civic Centre (Coastline café) prior to March 2018.

The canteen within the Civic Centre, which forms the majority of the commercial income for staff catering, is within scope of the roll out of agile working in the Civic Centre. There is a strong case for control of the operation there to align with planning for staff accommodation in the

building.

The existing business case to change the environment for a revised service requires Facilities Management as a key stakeholder, with further conversation with the company responsible for the existing office refurbishment. This adds to any justification of this option.

Sustainability:
The staff catering in-house operation as it is, remains unsustainable financially, and in light of competing resources for council priorities is difficult to justify a continued general fund subsidy.

Sustainability can be judged on the robustness of the commercial business case that has been completed to develop the staff catering function in light of opportunities that have arisen in the review. This option is likely to in the future, evaluate the options of an outsourced contract as part of tendered operations as well as cessation of service.

Use of accommodation within the Civic and Guildhall are likely to significantly change over the new few years and therefore planning for catering in the building will go hand in hand with this. Strategically therefore, there is a strong case for management of the service to align with the corporate landlord function.

"All Council Catering" Commissioning Review – Option Description Canvas

Sub-Option A3: Integrated catering services function comprising <u>all</u> current in-house provision under the management of a corporate landlord function	**In-summary:** Transfer of all in-house managed catering services to Facilities Management

Option Description:

This sub-option is available as part of the "transformed in-house" model and looks to build on the structure of the integrated catering service and enhance it by including all current in-house provision under the management of a corporate landlord function

The service would therefore comprise the following elements:
- School meals provision
- Social services residential & day service provision
- Staff catering functions at Civic Centre, Guildhall & Pipehouse Wharf
- Coastline cafe
- Centralised vending contracts
- Development of commercial opportunities
- Catering & kitchen support service (management & compliance)

Features:

In addition to the integrated service, this option features:
- Revised management structure for all aspects of the service
- Continuation of a review of vending arrangements Authority wide with a view to establish a centralised vending contract that adds value and realises an income stream for the Authority.
- Options for staff catering provision to be reviewed collectively alongside other tendered sites.
- A management and compliance service to be included within the structure and the catering SLA as one SLA arrangement for catering with schools

Rationale:
- Optimises the use of resources for all current in-house catering to alleviate weaknesses highlighted in the service assessment
- Seeks to achieve financial sustainability collectively
- Offers a more natural fit alongside corporate landlord functions for a commercial service
- Existing catering arrangements within facilities management realise a net income stream to the Authority
- Allows integrated services to concentrate fully on continuous improvement as part of school meal and social services provision
- Gives critical mass to the service to realise commercial opportunities and work together to add value to existing catering provision
- Allows school meal and social services to draw on elements of commerciality evident as part of the new structure.
- To design a long-term catering strategy to realise opportunities internal and external to the council's future plans as part of the transformation agenda.
- Aligns commercial catering provision to management of accommodation strategy which will be a factor in future service planning

Benefits:	**Drawbacks:**
- Scope to realise significant savings from current catering arrangements to ensure financial sustainability - Lessons learnt from incumbent provider responsible for elements of civic catering - Best placed to deliver commercial opportunities as many of the pre-requisites will involve FM as a key stakeholder. Additional benefits within rationale above	- Corporate landlord function does not manage an in-house catering function currently - Limited scope to make savings from staff catering in current in-house model - Uncertainty amongst current workforce may impact adversely on service delivery - Business case developed for commercial opportunities supports development within existing structure - Management of the service comprises Catering & Cleaning, therefore to transfer Catering in isolation may prove difficult. The scenario where Cleaning would be solely managed within Education is not feasible and does not make the best use of resources.

Deliverability:

Implementation would see the creation of a new hierarchy for the integrated service under facilities management. Aspects of the service would remain distinct such as school meals, social services and staff catering however the service will be managed and operated collectively to optimise resources.

It is likely that the creation of a new hierarchy would require careful planning alongside the review of day to day operations, business support as well as the use of systems and business processes. Given the complexities and various aspects of the school meals operation, this cannot be underestimated.

This option could also consider the implementation of a phased transition to the new model with the new service concentrating on quick wins in the short term such as the integration of social services and school meals catering as well as some of the features listed in the transformed in-house model.

Sustainability:

This option will future proof catering functions for the challenges it faces both internally and externally as well as equip it with the ability to explore commercial opportunities.

It optimises the use of resources across the council and offers an element of financial sustainability in light of budget pressures that will be evident in the short to medium term.

Sustainability of this option should be assessed against the status quo of the current in-house operation which remains unsustainable financially, and in light of competing resources for council priorities is difficult to justify a continued general fund subsidy.

Sustainability can also be judged on the robustness of the commercial opportunities listed in the business case which form a critical part of this option.

Option A4: Collaboration to supply meal products to Social Services through a newly formed Social enterprise "Can Cook Swansea"

Option Description:

This option works in synergy with a transformed in-house catering service, through collaboration between Social Services settings and the newly established Food Enterprise set up within Poverty & Prevention..

As an alternative to fresh food preparation in Services, the Food Enterprise can supply settings with freshly prepared, locally sourced, healthy meals appropriate to each facility/Service.

Features:

- A co-produced offer through collaboration between Social Services and the new Food Enterprise
- A single supplier for a wide range of meal products
- Nutritionally balanced, portion controlled, healthy meals which are nutritionist approved to support the health and wellbeing of vulnerable people
- Options for catering with a rotating menu, suitable for care homes/some day service settings, and wholesale products with a commercial resale mark-up for income generation, suitable for day service settings looking to add ranges to their product lines
- Options to devolve some/all responsibility for food preparation to the enterprise (as appropriate to each setting)
- Co-produced menus utilising core 'COOKED' products, to ensure service users and families/carers are actively involved in designing a meal offer that meets their needs which is consistent across settings
- From the opening of the enterprise's 'Mega Kitchen' in 18/19, capacity will exist to on-board multiple settings as opportunities arise (e.g. if an incumbent Cook within a RCH takes ER/VR)
- Opportunity to pilot with a limited number of settings to determine ongoing viability as part of an in-house transformed model
- Opportunity to create new income through resale of wholesale 'COOKED' convenience products
- A percentage of all meals sold will directly contribute to local community work around food, including free fresh meals for those in need, training, apprenticeships, community support and employment opportunities

At this stage in the development of the Social Enterprise' business plan the opportunity exists to pilot this initiative within the Social Services catering environment. As the enterprise matures, with the focus on the food supply side of the business, the opportunity may arise to review wider food production methods across the Council and whether utilising Can Cook as a food supplier is a viable option.

Rationale:

- Potential to generate savings through reduction of staffing costs and income generation through resale – possibility of savings on food in some settings but this needs to be explored further to establish the extent
- Potential to create capacity through minimising time spent on back office functions and food preparation
- Consistently high standard food offer across CCoS settings
- Streamlined ordering/invoicing
- Supports the development of a transformed in-house catering function, including the

potential to explore an arms-length trading company in the future
- Capacity for detailed Management Information from single supplier – greater intelligence
- Direct link to a community-driven social enterprise that has been incubated by the Council
- Opportunities to link with future developments by the enterprise which will directly benefit Swansea residents, creating new approaches to eliminating food poverty in Swansea

Benefits:	Drawbacks:
- Allows the transformed in-house model choice as to what is the best options for social services catering, and how to meet the needs of service users and residents. - Future proof the organisation against workforce pressures/investment requirements for equipment - Directly supports a new way of funding work to tackle poverty in Swansea - Reduces time spent on back office functions around food, creating capacity/efficiencies within business support function - Minimises time spent on food preparation as food will be delivered cooked and chilled (both contract and wholesale). This will create capacity in the kitchen for new ventures (e.g. more commercial offers in certain day services) - Minimise need for ongoing investment in kitchen equipment (beyond storage/regeneration of meals)	- Short term risk evident that this is a new enterprise to be set up which nothing in place at this stage - Pilot exercise identified in short term unable to make significant savings for the service - Will require careful management and communication to implement the pilot offer alongside the existing catering model. - May cause uncertainty amongst existing workforce who may see this as a threat - Other models have moved away from catering provision within older persons day services and focused on specialist provision - Procurement exercise may have to be explored if a decision is taken to engage a supplier of contract/wholesale items - Unable to switch all settings in one go – full savings not realised in short term

Deliverability:

In 17/18, the capacity of the enterprise's kitchen will be relatively limited but will have capacity to deliver a pilot across a small number of CCOS sites which will allow for a thorough analysis of benefits. When the 'mega kitchen' opens in 18/19 the enterprise's capacity will significantly increase to be able to cater for a wider number of services.

This option should be considered as part of a transformed catering offer, not in isolation, in order to maximise the efficiencies available.

Sustainability:

The enterprise is new to the market and is overcoming this by working in partnership with a similar business which has been trading successfully in Liverpool for over 10 years. Negotiations are taking place between the enterprise and a number of third sector partners which will allow for significant growth over the next five years which will see the enterprise firmly established in Swansea's food space. This could allow CCOS to benefit from greater efficiency across a growing number of Services, more detailed Management Information, and minimise the effect of fluctuating food prices and the operational pressures of an ageing workforce. However, benefits identified will be dependent on the success of this pilot option.

"All Council Catering" Commissioning Review – Option Description Canvas	
Option A5: To cease staff catering provision	**In-summary**: To close our in-house staff catering sites at Civic Centre, Guildhall & Pipehouse Wharf

Option Description:

This option forms part of the integrated and revised catering model, and looks to cease existing operations across the Council's staff catering portfolio. This would include:

- Café Tawe Restaurant, Civic Centre
- Café Tawe Kiosk, Guildhall
- Café Tawe Kiosk, Pipehouse Wharf

This option opposes the development of business cases to transform the staff catering financial performance by stopping all staff catering operations under the existing management structure.

Features:

- Immediate cessation of staff catering service after consultation
- Potential redeployment of staff within the integrated catering service
- Existing canteen space to be utilised as part of the accommodation strategy

Rationale:

- The existing service has no budget allocation and repeatedly receives a council subsidy to operate. The budget position is exacerbated further when factoring in below the line costs such as utilities and maintenance.
- The business cases in development are deemed to be not robust
- Previous efforts to transform the existing canteen have not been successful in terms of financial performance.
- Investment is required for the pre-requisites listed in the business case which despite projections of payback, is risky when the future of Civic Centre accommodation is uncertain
- Management information available suggests only 10-15% of staff use the facility on a daily basis currently

Benefits:	**Drawbacks:**
- Immediate financial saving from cessation of service - Space to be utilised as part of the accommodation strategy - Service can focus resources on larger parts of the business i.e school meals	- Significant impact on staff wellbeing and morale - Loss of commercial opportunity outlined in business case

Deliverability:

Implementation would be dependent on a consultation exercise with staff as consumers as well as operational staff within the respective canteens and kiosks. Kitchen appliances can be re-used at alternative sites within the service including schools and social services establishments.

The existing space could quickly form options for the accommodation strategy including additional office or meeting space.

Sustainability:

It should be questioned the ability of alternative catering provision in each building to cope with additional volumes of staff should the canteen provision cease. The Coastline Café in particular operates at capacity during most lunchtimes.

Longer term, this option should also be questioned in terms with alignment to an agile workforce

where catering needs are likely to change.

From a financial perspective, whilst this option offers cumulative savings, it should be assessed against commercial opportunities for the service which could easily be transferred to a new facility as part of the city centre re-development.

Table 4 – Facilitator: Jo Doek, Notes: Vicky Thomas

Scoring Matrix		
Model A: Transformed in-house	Model B: Local Authority Trading Company	Model C: Outsourcing
58	52	30

Summary/Key points

- Difficult to assess the performance of a combined service when financial information is difficult to break down
- In looking at a rationalised service, the Council should be mindful of meeting CSSIW expectation with regards to meal provision
- Likewise, in respect of gathering information for service users and residents with complex care and/or dietary needs
- Consensus that the Authority should be billing schools directly and take specific measures for improving debt recovery
- The revised service should focus on marketing to sell our school meal service to parents and also work closer with schools to better join-up communications to parents.
- Similar points raised to business case for improved staff catering offer: better environment, more convenient, greater menu choice

Table 5 – Facilitator: Cathy Murray, Notes: Gemma Whyley

Scoring Matrix		
Model A: Transformed in-house	Model B: Local Authority Trading Company	Model C: Outsourcing
66	65	35

Summary/Key points

- In order to do anything, we would want to transform in house to begin with but would really like to explore the opportunities around a trading company etc in the future.
- There was also an agreeance that marketing would need to be invested into in order to maximise income for the service and promote good practice moving forward.
- Secondary schools opting out - sit down with all secondary schools to put them all out or keep them all in? - impact on our service of them going and why are they going? - does opting out mean that the children are getting a less healthy meal? Nobody governs what food provision schools can provide themselves - is this about the wellbeing of our children or finance at school level - confusion over purpose of catering service (health eating vs value for money?)
- Opportunity to become more 'business minded' to SELL the SLA more and to tackle the reasoning behind the reduction in numbers.
- If schools meals is outsourced we NEED to govern the private companies who run it to ensure it is healthy etc.

Table 1 – Facilitator: Julie Archer, Notes: Andy Pearson

Scoring Matrix		
Model A: Transformed in-house	Model B: Local Authority Trading Company	Model C: Outsourcing
61	61	51

Summary/Key points

- Across the council, we don't think enough about catering's commercial opportunities. What buildings do we have – and how could we increase our income from them? Small catering units across our estate could support more vulnerable people learning more catering skills.
- We'd like to see how a combination of Variants 1&2 would look.
- This option simply taking the operation from one dept to another? I don't see how savings would be made. I doubt it's worth the effort, simply to make a large sideways move.
- Trading Company would may reduce red tape and would allow better purchasing options to decrease overall costs. It'd probably make good money which would be reinvested in the company.
- It could open up other commercial opportunities such as opening outlets in other places such as the high street.
- Outsourcing is not an option for Adult Services!

Table 2 – Facilitator: Carol Griffiths, Notes: Jamie Kaijaks

Scoring Matrix		
Model A: Transformed in-house	Model B: Local Authority Trading Company	Model C: Outsourcing
68	41	28

Summary/Key points

- Lack of business intelligence in social services and lack of a clear plan
- Merging Social services with education would be good, as it would share knowledge, support, and best practice. It would be good, if not to merge to emulate education model in social services
- It is difficult for social services to analyse demand as customers always change their minds, so have to have back up/alternatives. Increased frozen food capability maybe link with Can cook, freeze our own left overs (need advice from Catering on what can and cannot be frozen/reheated etc.) to have a supply of ready meals as back up.
- It is important that the food consumer picks the food choice
- Currently have poor branding & promotion of services especially with the security restriction of staff canteen. Many outside officers do not know Canteen there or cannot access.
- Improved Vending machines/location
- Potential for social services to buy consultancy off education if not merging
- If we created an arm's length company, would any surplus be reinvested into the business? Also if we transformed In house what would happen to surplus? Would it belong to catering or go back to the council?
- Potential to sell food to people to take home for an evening meal from schools/day care/staff canteen
- Waste - food thrown out at the end of the day, can we sell it or give to the community i.e. homeless? But we would need to know costs
- No appetite for outsourcing as whole service due to lack of control. Individual school may feel differently.
- Lack of data from the two schools that have outsourced catering. Is it cheaper? Quality? We should be speaking to them about their experience.
- Previous outsourcing e.g. IT have not been successful or cost saving. Paying for every extra!
- Unsure of whether we can deliver. Not a good track record in authority – slow to change

Table 3 – Facilitator: Kathryn Phillips, Notes: Chris Peters-Bond

Scoring Matrix		
Model A: Transformed in-house	Model B: Local Authority Trading Company	Model C: Outsourcing
64	41	25

Summary/Key points

- No catering expertise in care currently, so combined would bring that expertise.
- Centralised procurement bring additional efficiencies
- Need to ensure we are meeting the CSSIW expectations with regards to meals. Centralised admin may take the pressure off, however we would need to ensure that regulations are adhered to – people involved in decision making regarding menus, food, what training provided.
- Are pupils still involved in menu decisions? Schools committees used to be involved in deciding menus.
- How would you draw information about individuals with complex care or dietary needs together – meeting social care legislation
- Quick win for improving current system, cashless payment purely online and not machines in schools to put money in to top up. Money disappears en-route to school otherwise. Online will help promotion of school meals to parents. Marketing of meals service. Need to sell it to parents.
- Concerns that FM do not have the catering expertise. Similar position we are in now with regards social services.
- How can we encourage grab and go meal options for schools that allow children to be able to eat outside and make the most of their 'play' time.
- Would removing staff catering lower morale and productivity?
- Do schools use social media to promote catering? We need to work better with schools. Comms is disjointed. Messages to schools are not in line with the messages schools are giving parents.
- Differences in shifts between social services – 30 weeks and 52 weeks. Term time, split shifts. Opportunities for offering extra hours for those who want it. Would contracts need to be aligned?

Stakeholders (Communicating to)	Key Messages	Method of delivery (Channel)	Transformation Lead	Planned delivery date	Current status	SME Support
Consumers						
Care home residents/carers	Scope of review and SWOT	Set-up specific sessions in care homes and invite residents/carers		February 2017		
School Children	SWOT	7x school roadshows (Rhodri Jones – School children's councils)		February 2017		Rhodri Jones
Parents	Scope of review and SWOT	Join on to PTA meetings / specific roadshow sessions?		February 2017		Kelly Small (Nick Williams / Lindsay Harvey)
LA Staff	Scope of review and SWOT	Innovation Challenge Session	Andrew Hopkins	January 2017		Leanne Cutts
Core Stakeholders						
Trade Unions	Scope of review and review progress	Monthly meeting (potentially on an ongoing basis)	Gemma Whyley	January 2017		Deb Yeates

Councillors	Scope of review, progress and interdependencies	Specific 2 hour workshop to explore key themes?		February 2017		Cabinet Office
Heads of Service	Scope of review, progress and interdependencies	Specific 2-hour workshop to explore key themes?		February 2017		CMT?
Corporate resources (IT, HR etc)	Scope of review, progress and interdependencies	Specific 2-hour workshop to explore key themes?		February 2017		Jane O'Connor (Business Support)
Additional catering Services (JR, Can Cook)	Good Practice Examples, Opportunities, Vision and Outcomes	Individual sessions with service managers?		January / February 2017 (potential to be later and feed into stage 3?)		Individual service managers (Alison Cosker to support)
3rd Party Providers / Contractors	SWOT – how could we deliver better?	Questionnaire?		January / February 2016		NA
School Heads / Business Managers	Scope and SWOT and ongoing review updates	Cross-Phase Heads Group / Joint Finance Group		January / February 2017		Sarah Nurse
Schools not in SLA – BVS an Olchfa						

STAKEHOLDER ENGAGEMENT TO DATE

22ND NOVEMBER 2016 – LAUNCH EVENT WORKSHOP (FRONT LINE STAFF)

The Catering review commenced with a Staff workshop on 22nd November held at the Civic Centre. Over 40 front line staff from the services within scope of the review attended the session which focused on why the review is taking place, the wider context of commissioning reviews in the Council and a more in depth look at the Catering function specifically. Staff were able to express their views based on strengths, weaknesses, opportunities and threats for the service as well as some input on external factors impacting Catering now and in the future. Finally, each table were given the opportunity to focus on one sole opportunity deemed to be the most lucrative and to expand on it further in terms of its deliverability.

PESTLE Exercise

Political	Economical	Social
BREXIT	Increase in living wage / JE	Increase in people with special food needs
Local commissioning agenda	Pension cost increases	
May elections – Could we actually make a decision	Outsourcing = losing the Swansea £1	Availability and variety of foods to cater for everyone
Spending restrictions	Local food suppliers – is it available in Swansea?	Changing food trends
Academisation agenda		Larger range of food needed, including around the world
Obesity / Diabetes work – funding arrangements	Supporting local economy	Culture of convenience
	Veg – Newport contract?	
General election	Procurement – cost saving vs limited quality. Not always Value for Money	Less people being taught how to cook
FSM / PDF money		
Catering now under spotlight (Jamie Oliver effect)		Digital payments stop victimisation
	Different areas have different amounts to spend e.g on school meals	
Change of policy & procedures		High street trends – best can be copied
Internal politics effecting decision making	Delivery of goods patchy as suppliers not local	Benefits cuts – a trend
		Home economies not taught
Catering for all cultural requirements	Flexibility of buying local with p-	Smartphones to pay –

Healthy school measures (2013) could be changed Political restrictions on recruitment DOLS	card – could also be a risk Rising food prices Family income under pressure Home economic education needed Fewer relatives at home to cook Understanding your costs	contactless. Trend Meals on wheels service – take away culture Opportunities to provide basic "life" skills in cooking, budgeting No one has the time – take away culture High street trends – sharing platters Shift in culture, eat what you like, go large 40 mins to feed our children (eating on the move) Social media – promoting food, how do we limit the impact of this? Every school in every area has the same menu – this may not suit everyone's taste.
Technological Mobile technology in schools (stock, payments etc) Card payment system in canteen Training including webinars ICT systems upgrading Kitchen equipment upgrades Unused equipment in sites Trade asset management Social media for recruitment, promotion/marketing of services, BP sharing	Legal Food Safety Standards / Environmental Health WG Guidelines "Appetite for Life" Health & Safety Weights and Measures Employment Law CSSIW Estyn inspections Child Protection/Safeguarding (Adult Services & education etc) FOI's	Environmental Old building / old facilities not suitable for catering (leaky roof) Difference in quality of resource between schools Equipment and cost of repairs Office space & locations Working environments not always appropriate Parking SLA arrangement – Schools have funding. Difference with Social Services

Research / scientific nutritional advice updates Smart meters to manage waste & fuel Lack of IT for administration staff BACS or DD for primary school meals Linking outgoing to ordering – stock control Paperless projects Payment methods to support end user Thumbprint payments effective Primary schools – complex resource heavy	DBS checks Public liability Legal charging restrictions Internal procurement rules for providers VAT Wellbeing of Future Generations Act Social Services & Wellbeing Act Welsh Language Standards Care Council of Wales – Codes of Conducts WCCIS – But we don't even have PARIS Insurance Training Allergens HACCP Hygiene ratings HR Process – slows recruitment even if there is a urgent need Constant changing of law is a burden	Hot kitchens in summer – ventilations in some schools is poor Inadequate national regulations re kitchen welfare Size of kitchens / service areas with unused facilities Long queues / poor bad weather provision Civic centre "threat" Kitchens not fit for purpose – not suitable Investment – redecorate for users

SWOT exercise

Strengths	Weaknesses
Cashless catering	No card payments
Cashless catering	Payment systems
Record keeping – accessibility	ICT ordering
Qualified staff	Slow ICT
Training & development opportunities	Not trustworthy

Qualified staff	ISIS not available
Multi skilled staff	P-card use
Staff commitment	Schools ICT
Highly trained staff	ICT for operational staff
In-house operational management	Costs of supplied food
Staff knowledge	Procurement
Training & development of staff	Not value for money
Staff knowledge	Availability of stock
Support & training	Unclear costs in Social Services
Shared knowledge	Oracle i-siop
Highly trained, skilled staff	Issues when ordering
Education for service users	Staff
Nutritional meals	Recruitment
Training for service users, work opportunities	Turnover of staff
Independence, self-serve	Sickness policy
Facilities to develop people in the Community	Occupational health processes
	Afraid of waste
Users needs met	Facility to transport food in-house
Communication/engagement with service users	Other suppliers locally
	Consistency
Stepping stone for service user to gain employment	Vegetarian provisions in day centres
	No choice in day centres
Empty plates	Tasting sessions at pre-school
Changing menus to decrease health risks	Variance in service provision
	Joined up thinking
Schools are bought into an SLA	Duplication
Following WAG guidelines	Networking
Health and Safety standards met	Contingency planning
Use of good quality products	Sharing knowledge
Good quality of service	Education
Flexibility and delivery of suppliers	

Well balanced meals Vegetarian provision& special diets Stock management and supply Consistency Reputation Nutritious menu Nutritious menu Value for money	
Opportunities Card machines Cashless systems Better IT systems Processes Cashless systems Payment systems Income generation New products Self service Catering agency Economies of Scale Offer discounts Expand commercially New products Competancy checks Shared staff Multi-skilling staff Share strengths Training Shift thinking Challenging practice Care plan One service	**Threats** Paper based systems External competitors Internal competitors External competitors Reduced funding Budget cuts Food costs Costs to end user External competitors School meals prices Food costs Reduced funding External competitors Recruitment Retention Absence Sickness Staff turnover Sickness Staff motivation SLA opt out Home closures Day service reductions Must provide

In-sourcing New products Management Partnership opportunities Can Cook project Centralise expertise In-sourcing Opening times Public access to canteen Quality Production of meals Training Partnership working Community development Feedback Identification of need Collaboration Advertising Cross working	Compliance Impact Environment Location Local supply base Food preparation Packed lunches Legislation

Opportunities exercise

Parent / Carer Nutritional Education @ Home
Focus on providing advice to those other than service users.

- Incentives / subsidised healthy food
- Don't make unhealthy food available
- Consequence of the impact of not doing this
- Home economies
- Education – involve parents
- Convenience – end ready meals

- Practical examples / games to show
- Collaborative working potential harm
- Challenge – healthy food is more expensive
- Link with external agencies for support / incentive
- Working parents / change in culture
- Empowering customers to influence change
- Time management workshops
- Changing eating habits & patterns
- School holiday meals
- Healthy meal stamps / Clear plates stickers

Special Diet provision – Pureed Food
Market niche in becoming a supplier of pureed food
- People with difficulty swallowing
- Market development by providing for NHS
- Use product development of Birchgrove SNS & Swansea Vale Resource Centre
- Corporate support to develop business case.

Commercial Arm of Catering – Combined Community Kitchen Scheme
- Easily adaptable model for other opportunities
- Greater utilisation of staff
- Quality freshly prepared meals
- School meals supplier/provider
- Social services – provider of voluntary placements. Trained staff / service users
- Poverty, reablement & wellbeing act as services change

JANUARY 2017 – SCHOOL HEADTEACHERS CONSULTATION

School head teachers were all contacted via the weekly communications methods arranged centrally. The following questions were posed:

- Does the SLA for school meals represent good value for money? If not, please elaborate on areas for improvement. (*cost*)
- Are your needs met by the current SLA and do you have the opportunity to shape how the service is delivered? (*customer input/performance*)
- How could the administration function be improved from your perspective? (*ICT*)
- Are you aware of any examples of good practice surrounding school meals both within your school and elsewhere? (*case studies*)
- What initiatives would you like to see developed by the school meals function in the future to increase uptake of school meals? (*Innovation*)

Unfortunately, only 3 responses have been received to date, therefore this does not offer a representative view of findings. However, suggestions for improvement were raised around the following themes:

- *Online payment systems introduced to eliminate administration burden and support attempts to reduce arrears*
- *Better communications from CCOS to communicate that no school meals can be provided if payment not received*
- *Good practice examples shared around weekly reconciliation of meals*
- *Opportunity to provide a more diverse salad bar (similar to format used in Harvester restaurants)*

However, the response from one primary school indicated that the school meals service offered excellent value for money given the value it provides for low income families. The school meal served at lunchtime can often be the only hot meal that a child will receive each day.

JANUARY 2017 – SCHOOL BUSINESS MANAGERS MEETINGS (OLCHFA & MORRISTON SECONDARIES)

The project team wanted to engage with schools who have opted out of the Catering SLA to understand from their perspective why this was the case. The following questions were set:

- What was the overriding factor for sourcing an alternative caterer?
- How do you evaluate the effectiveness of your current caterer?
- Are there good examples that CCOS schools meals service can learn from external caterers?
- How do you involve the consumer pupils/parents in developments in school meal provision?
- What is your view on the future of local authority schools catering?

Morriston have decided to employ a strategic catering manager within the school and launch their own business with all profits reinvested into the school. The main reasons they gave to pilot this were:

- *Ability to sell cheaper products to boost sales*
- *The freedom to reinvest profits back into school funds*
- *Concerns over the quality of the food produced by CCOS staff*
- *Unhappy with the presentation of the service in a canteen not café style*
- *Negative feedback from pupils with regards to choice, affordability, customer service & hygiene*
- *Successful examples quoted elsewhere*
- *FSM eligible pupils not taking up the service*

Olchfa employ an external caterer through a WPC framework. The reasons for sourcing this caterer are historic. Income is attributable through a payback agreement within the contract. In terms of examples that CCOS could learn from external caterers, the business manager quoted the presentation of the food, (porcelain dishes etc) monthly initiatives with a regional theme, TV monitors, and using kitchen as a classroom. Choice is also available through a sixth form café and a burger bar which are both provided by the caterer.

17TH JANUARY 2017 - INNOVATION SESSION PURPLE ROOM

Staff and trade union members attended an Innovation workshop held on January 17 to discuss areas for improvement, vision, and outcomes, as well as opportunities. The staff who attended not only had valuable input as users of the staff catering function but many have school age children and some have relatives using our residential or day services. They were therefore able to give us valuable insight and ideas about school catering and social services catering. The information from this session has been analysed and the opportunities were highlighted around technology including cashless catering, better information gathering and trend analysis, wider menu options for specific diets and better education within primary schools on healthy eating.

Key themes which came out of the outcome and visions exercise were: healthy eating and nutrition, affordability, education, consistency, choice and environment.

17th JANUARY 2017 – TRADE UNION MEETING

The scope of the review was presented at a recent trade union meeting and questions taken in respect of some anecdotal information. TU representation was evident at the Innovation Community session and further workshops are planned as the review progresses.

25TH JANUARY 2017 - PUPIL VOICE FORUM

This session asked specific questions to representatives of each secondary school who meet as a pupil voice forum. This gives young people the opportunity to discuss educational related matters with the Chief Education Officer. The project team posed the following questions of the group.

- Do the menus give enough choice to pupils? *(product)*
  Yes 33 No 24
- Is the food that pupils want always available when accessing the canteen? *(Stock control / volumes)*
  Yes 9 No 48
- What initiatives should the school meals service provide during the school year? *(innovation)*
  - *More salad*
  - *Genuinely healthy meals*
  - *Hot drinks*
  - *Easier pre-order system*
  - *More choices*
  - *New foods*
  - *Chinese New Year*
  - *Indian food*
  - *Mexican food*
  - *Variety of cultures*
  - *Chocolate eggs at Easter time*
  - *Buffets for special occaisions*
  - *More Christmas things*
  - *Football cakes*
  - *Traditional Welsh food*
  - *World food events*
  - *Greek food*
  - *Sushi bar*
  - *African food*
  - *Italian food*
  - *St David's day Cawl and Welsh cakes*
- Do pupils get the opportunity to feedback on the food they receive? *(customer)*

I agree 25 I disagree 32

- What is best about the school meals service currently? *(strengths)*
  - *There is always hot food*
  - *Variety of food*
  - *Hygienic*
  - *Healthy options*
  - *Staff are nice*
  - *Portion size*
  - *Pupils feed back*
  - *Food is well cooked*
  - *Special days (i.e Indian day, Roald Dahl day)*
  - *Salad bar*
  - *Hot and cold options*
  - *Pre-ordering option*
  - *Take-away options*
  - *Fast service*
  - *Friday fish and chips*
- What could be improved within the school meals service? *(weaknesses)*
  - *Quality of food*
  - *More salad*
  - *More choice*
  - *Reduce prices*
  - *More savoury choices*
  - *Quicker service*
  - *Healthier food*
  - *Nothing*
  - *Amount of food*
  - *The system (pushing in etc)*
  - *Clean cutlery*
  - *Queueing times*
  - *Canteen size*
  - *Odd prices*
  - *Clean dining hall*
  - *More buffets*
  - *More vegetarian/vegan options*
  - *Better drink options*
  - *Free samples*
  - *More Halal options*
  - *Represent different nationalities*
  - *More dessert choice*

2016 SUPER SURVEY

In addition to the pupil voice forum, information was also provided as part of the pupil super survey in 2016

School Dining Experiences

The young people were asked to rate the importance of a range of factors associated with school lunches (see Table below).

Most young people said that 'Being able to buy food to take out of the canteen' (**54%**, n = 1416) and 'Staff to ensure everyone queues correctly' (**44%**, n = 1145) were 'Very important' when choosing whether to use the school canteen. Whilst **37%** said not having to queue for a long time (n = 985), and **32%** said not being rushed were 'Very important' to them (n = 834).

Table 1: How important are the following when choosing whether to use the school / college canteen? (n = 2,630-2,631 overall)

		Very important	Quite important	Not important	Total
Not having to queue for a long time	n	985	1098	548	2631
	%	37%	42%	21%	**100**
Not being rushed because there aren't enough seats	n	834	1092	705	2631
	%	32%	42%	27%	**100**
Staff to ensure everyone queues correctly	n	1145	1061	424	2630
	%	44%	40%	16%	**100**
Being able to buy food to take out of the canteen	n	1416	862	352	2630
	%	54%	33%	13%	**100**

Safety in School

The young people were asked if they felt safe in school. Of the **2,743** who responded, **52%** said **Yes** they did (n = 1416).

Those who felt unsafe were asked where in the school they felt most unsafe. Of those who responded, **18%** said they **felt unsafe in the canteen** (n = 85, of 471 responding).

FEBRUARY 2017 – CATERING SURVEY

Catering services have undertaken a survey through their Area Supervisors. The engagement will involve an informal telephone conversation with head teachers with a view to carrying out a more in-depth survey with them. Secondly, a pupil survey is also proposed, with the aim to capture a 25% response rate with both lunch and packed lunch school children.

DATE tbc – STAFF SURVEY

The review team launched a survey for staff to inform options for the future of staff catering. Questions were asked concerning aspects such as:

- How often do you use our staff catering facilities?
- What do you use our staff catering facilities for?
- Which services do you prefer to use and why? Including other provision such as Coastline café in Civic Centre?
- What changes would you like to see in our staff catering functions?

Results were captured and presented in tabular and graphical form.

Significant outputs for improvements to staff catering were around payment methods, choice & improvements to the environment

DATE tbc – PARENT SURVEY OF SCHOOL MEALS

The review team also conducted a parent survey which was shared effectively via Social Media to obtain a good response.

Questions were asked concerning aspects such as:

- Free School Meal entitlement and takeup
- Lunch arrangements
- Communication frequency and channels
- Choice, value for money and quality
- How the school meals service could improve

One of the key outputs from this survey is that parents do not feel well informed about the service and often find out information regarding the service from the school as opposed to the local authority as service provider.

Which primary school do your children attend in the City and County of Swansea?

8 (2.5%)	Birchgrove Primary School	5 (1.5%)	Hafod Primary School	0 (0.0%)	Talycopa Primary School
6 (1.8%)	Bishopston Primary School	4 (1.2%)	Hendrefoilan Primary School	2 (0.6%)	Terrace Road Primary School
1 (0.3%)	Blaenymaes Primary School	0 (0.0%)	Knelston Primary School	3 (0.9%)	Townhill Community Primary School
2 (0.6%)	Brynhyfryd Primary School	35 (10.8%)	Llangyfelach Primary School	2 (0.6%)	Trallwn Primary School
1 (0.3%)	Brynmill Primary School	1 (0.3%)	Llanrhidian Primary School	4 (1.2%)	Tre Uchaf Primary School
6 (1.8%)	Burlais Primary School	2 (0.6%)	Mayals Primary School	3 (0.9%)	Waun Wen Primary School
3 (0.9%)	Cadle Primary School	0 (0.0%)	Morriston Primary School	2 (0.6%)	Waunarlwydd Primary School
5 (1.5%)	Casllwchwr Primary School	6 (1.8%)	Newton Primary School	5 (1.5%)	Whitestone Primary School
1 (0.3%)	Cila Primary School	0 (0.0%)	Oystermouth Primary School	6 (1.8%)	Ynystawe Primary School
7 (2.2%)	Clase Primary School	2 (0.6%)	Parkland Primary School	15 (4.6%)	YGG Bryniago
5 (1.5%)	Clwyd Community Primary	0 (0.0%)	Penclawdd Primary School	21 (6.5%)	YGG Brynymor
3 (0.9%)	Clydach Primary School	3 (0.9%)	Pengelli Primary School	0 (0.0%)	YGG Felindre
0 (0.0%)	Craigcefnparc Primary School	4 (1.2%)	Penllergaer Primary School	2 (0.6%)	YGG Gellionnen
1 (0.3%)	Craigfelen Primary School	5 (1.5%)	Pennard Primary School	1 (0.3%)	YGG Llwynderw
2 (0.6%)	Crwys Primary School	0 (0.0%)	Pentrechwyth Primary School	5 (1.5%)	YGG Lon-Las
2 (0.6%)	Cwm Glas Primary School	1 (0.3%)	Pentre'r Graig Primary School	9 (2.8%)	YGG Pontybrenin
1 (0.3%)	Cwmrhydyceirw Primary School	1 (0.3%)	Pen y Fro Primary School	0 (0.0%)	Ysgol Gymraeg Tan-y-lan
5 (1.5%)	Danygraig Primary School	3 (0.9%)	Penyrheol Primary School	3 (0.9%)	YGG Tirdeunaw
4 (1.2%)	Dunvant Primary School	1 (0.3%)	Plasmarl Primary School	1 (0.3%)	YG Y Cwm
1 (0.3%)	Gendros Primary School	5 (1.5%)	Pontarddulais Primary School	1 (0.3%)	YGG Y Login Fach
4 (1.2%)	Glais Primary School	2 (0.6%)	Pontlliw Primary School	0 (0.0%)	Christchurch Church in Wales Primary School
3 (0.9%)	Glyncollen Primary School	3 (0.9%)	Pontybrenin Primary School	2 (0.6%)	St David's RC Primary School
4 (1.2%)	Gors Community Primary School	6 (1.8%)	Portmead Primary School	14 (4.3%)	St Illtyd's RC Primary School
17 (5.2%)	Gorseinon Primary School	0 (0.0%)	Sea View Community Primary School	6 (1.8%)	St Joseph's Cathedral Primary School
6 (1.8%)	Gowerton Primary School	12 (3.7%)	Sketty Primary School	0 (0.0%)	St Joseph's Catholic Primary School

| 2 (0.6%) | Grange Primary School | 0 (0.0%) | St Helen's Primary School |
| 6 (1.8%) | Gwyrosydd Primary School | 11 (3.4%) | St Thomas Community Primary School |

1 (100.0%)

Primary School Catering: Have Your Say

We are inviting you to have your say on school meals as part of a review the Council is undertaking looking at all its catering services. By taking part you can help make sure the views of parents and carers are considered when identifying the way forward for catering provision in schools.

No decisions have been made at this stage. Information gathered in this survey will influence the options put forward for the future.   The Council is also gathering views through other activities, and comparisons done with other parts of the public and private sector.

If you require any further information about this survey or require an alternative format please email Andrew.Hopkins@swansea.gov.uk or Kathryn.Phillips@swansea.gov.uk

How many children do you have attending at this school

171 (52.6%)	1	0 (0.0%)	5
126 (38.8%)	2	0 (0.0%)	6
28 (8.6%)	3	0 (0.0%)	7 or more
0 (0.0%)	4		

Are you entitled to Free School Meals?

| 28 (8.7%) | Yes | 294 (91.3%) | No |

If yes, do you choose to take up the Free School Meal benefit?

| 30 (44.1%) | Yes | 38 (55.9%) | No |

What arrangements do you make for your child's lunch?

| 94 (29.5%) | Eat school dinners everyday | 170 (53.3%) | Conbination of school dinners and packed lunch |
| 55 (17.2%) | Have a packed lunch everyday | | |

Thinking about your answer to the above, why do you make this choice?

178 (100.0%)

How informed do you feel about the school meals service?

| 49 (15.3%) | Very informed | 182 (56.7%) | Fairly informed | 64 (19.9%) | Fairly uninformed | 26 (8.1%) | Very uninformed |

If you feel uninformed, please tell us why

40 (100.0%)

Where do you get your information about the school meals service?

24 (7.5%)	School Website	268 (84.0%)	Leaflets/letters given out by School
51 (16.0%)	Council Website	18 (5.6%)	Other parents
3 (0.9%)	School Facebook page	16 (5.0%)	Other (please write in)
1 (0.3%)	Council Facebook page		

18 (100.0%)

How often have you been contacted regarding School meals by...?

	Never	Once when my child started school	At the start of each school year	At the start of each term	Other (please specify)
School	99 (31.1%)	36 (11.3%)	80 (25.2%)	89 (28.0%)	14 (4.4%)
City and County of Swansea	209 (79.2%)	9 (3.4%)	25 (9.5%)	19 (7.2%)	2 (0.8%)

23 (100.0%)

Do you agree or disagree with the following statement about School meals?

	Strongly agree	Tend to agree	Tend to disagree	Strongly disagree	Dont Know	Not applicable
School meals are good value for money	30 (9.3%)	132 (41.0%)	80 (24.8%)	61 (18.9%)	15 (4.7%)	4 (1.2%)
There is a good choice and varitey of meals provided	33 (10.3%)	125 (39.1%)	83 (25.9%)	70 (21.9%)	7 (2.2%)	2 (0.6%)
The food offered is of a good standard and quality	28 (8.7%)	117 (36.4%)	62 (19.3%)	42 (13.1%)	68 (21.2%)	4 (1.2%)
My child enjoys School meals	43 (13.4%)	156 (48.8%)	56 (17.5%)	33 (10.3%)	12 (3.8%)	20 (6.3%)

If you disagree with any of the above please explain why?

133 (100.0%)

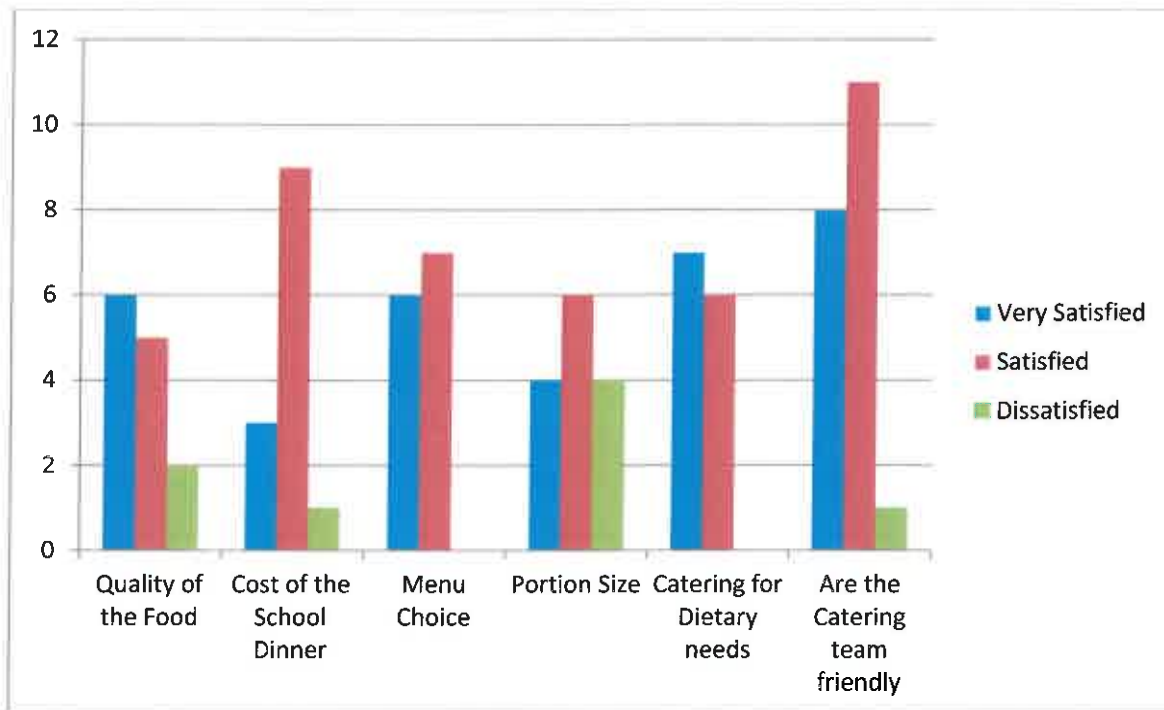**What do you like best about the current school meals service?**

198 (100.0%)

How do you think the school meals service can be improved?

238 (100.0%)

Secondary School Catering: Have Your Say

We are inviting you to have your say on school meals as part of a review the Council is undertaking looking at all its catering services.
By taking part you can help make sure the views of parents and carers are considered when identifying the way forward for catering provision in schools.
No decisions have been made at this stage. Information gathered in this survey will influence the options put forward for the future.   The Council is also gathering views through other activities, and comparisons done with other parts of the public and private sector.
If you require any further information about this survey or require an alternative format please email Andrew.Hopkins@swansea.gov.uk or Kathryn.Phillips@swansea.gov.uk

Which Secondary School do your children attend in City and County of Swansea?

1 (0.9%)	Birchgrove Comprehensive School	6 (5.3%)	Olchfa School
3 (2.7%)	Bishop Gore Comprehensive School	1 (0.9%)	Pentrehafod School
0 (0.0%)	Bishopston Comprehensive School	61 (54.0%)	Penyrheol Comprehensive School
3 (2.7%)	Cefn Hengoed Community School	3 (2.7%)	Pontarddulais Comprehensive School
1 (0.9%)	Dylan Thomas Community School	7 (6.2%)	Bishop Vaughan Catholic Comprehensive School
2 (1.8%)	Gowerton School	17 (15.0%)	Ysgol Gyfun Bryn Tawe
4 (3.5%)	Morriston Comprehensive School	4 (3.5%)	Ysgol Gyfun Gwyr

How many children do you have attending this school?

80 (70.8%)	1	0 (0.0%)	5
32 (28.3%)	2	0 (0.0%)	6
1 (0.9%)	3	0 (0.0%)	7 or more
0 (0.0%)	4		

Are you entitled to Free School Meals?

14 (12.5%) Yes
98 (87.5%) No

If yes, do you choose to take up the Free School Meal benefit?

9 (34.6%)   Yes
17 (65.4%) No

What arrangements do you make for your child's food in school?

9 (8.2%)   They take food into school from home
65 (59.1%) I give money to my child to buy food in school
0 (0.0%)   I give money to my child to buy food outside school
36 (32.7%) Combination of the above

Thinking about your answer to the above, why do you make this choice?

69 (100.0%)

If you give your child money, how much do you give per day (please give the amount per child)?

1 (1.0%)   Under £1   30 (28.8%) £3 - £4

11 (10.6%) £1 - £2   5 (4.8%)   More than £4
57 (54.8%) £2 - £3

How informed do you feel about the school meals service?
   4 (3.6%)   Very informed
   36 (32.1%) Fairly informed
   25 (22.3%) Fairly uninformed
   47 (42.0%) Very uninformed

If you feel uninformed, please tell us why
   50 (100.0%)

Where do you get your information about the school meals service?
   18 (20.9%)   School Website   21 (24.4%) Leaflets/letters given out by School
   6 (7.0%)   Council Website   10 (11.6%) Other parents
   1 (1.2%)   School Facebook page   40 (46.5%) Other (please write in)
   0 (0.0%)   Council Facebook page
   51 (100.0%)

How often have you been contacted regarding School meals by...?

	Never	Once, when my child started school	At the start of each school year	At the start of each term	Other (please specify)
School	58 (52.3%)	33 (29.7%)	13 (11.7%)	3 (2.7%)	7 (6.3%)
City and County of Swansea	78 (87.6%)	8 (9.0%)	2 (2.2%)	0 (0.0%)	1 (1.1%)
11 (100.0%)					

Do you agree or disagree with the following statement about School meals?

	Strongly agree	Tend to agree	Tend to disagree	Strongly disagree	Don't Know	Not applicable
School meals provision at the school are good value for money	13 (11.4%)	51 (44.7%)	15 (13.2%)	22 (19.3%)	12 (10.5%)	1 (0.9%)
There is a good choice and variety of meals provided	9 (7.9%)	40 (35.1%)	23 (20.2%)	22 (19.3%)	20 (17.5%)	0 (0.0%)
The food offered is of a good standard and quality	11 (9.6%)	44 (38.6%)	22 (19.3%)	8 (7.0%)	29 (25.4%)	0 (0.0%)
My child enjoys the food in school	10 (8.8%)	52 (45.6%)	28 (24.6%)	18 (15.8%)	4 (3.5%)	2 (1.8%)

If you disagree with any of the above please explain why?
   51 (100.0%)

What do you like best about the current school meals service?
   71 (100.0%)

How do you think the school meals service can be improved?
   89 (100.0%)

Head Teacher School Catering Questionnaire Results 02/17

> **How Satisfied or Dissatisfied are you with the following aspects of School Dinners?**

Head Teacher Questionnaire
Results 02/17

How Satisified or Dissatisifed are you with the following aspects
of School Dinners?

	Very Satisfi	Satisfied	Dissatisfied
Quality of the Food	6	5	2
Cost of the School Dinner	3	9	1
Menu Choice	6	7	0
Portion Size	4	6	4
Catering for Dietary needs	7	6	
Are the Catering team friendly	8	11	1

Head Teacher School Catering Questionnaire Results 02/17

Do you have School Dinner?

Do you have School Dinner?

Legend: Yes, Sometimes, Never
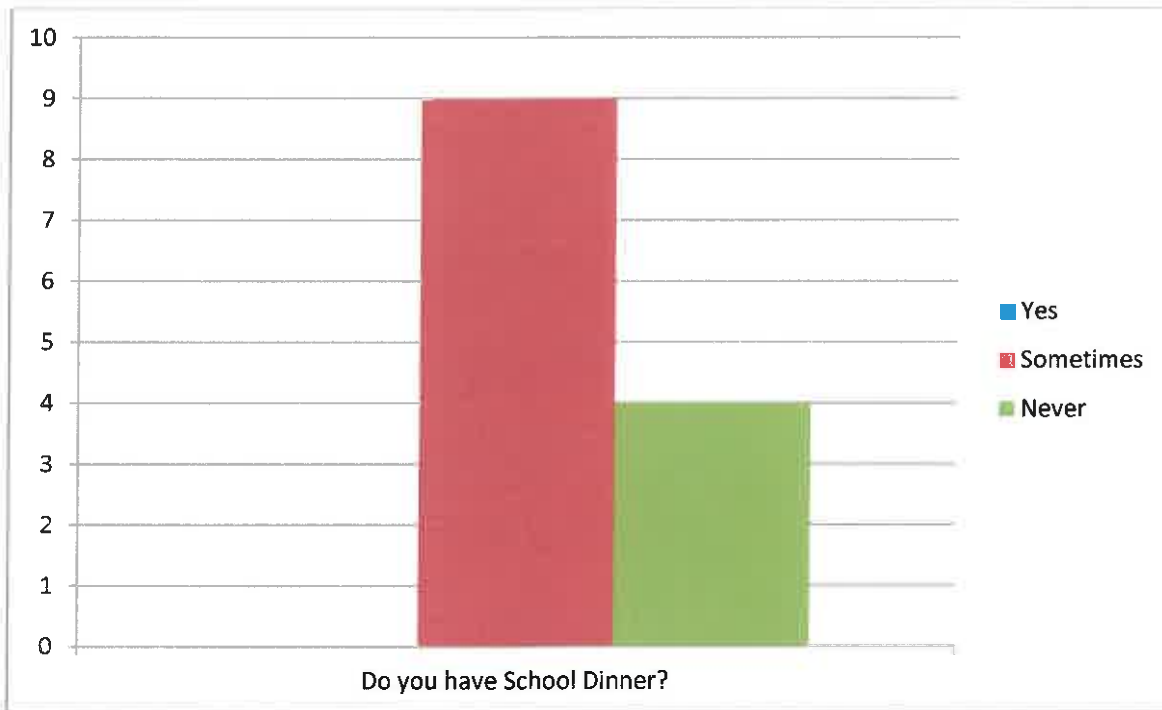
Head Teacher Questionnaire
Results 02/17

Do you have School Dinner?

	Yes	Sometimes	Never
Do you have School Dinner?	0	9	4

Pupil Questionnaire
Results 02/17

Q1. Do you have School Dinners?

Do you have school dinners	Yes	Sometimes	Never
	148	106	46
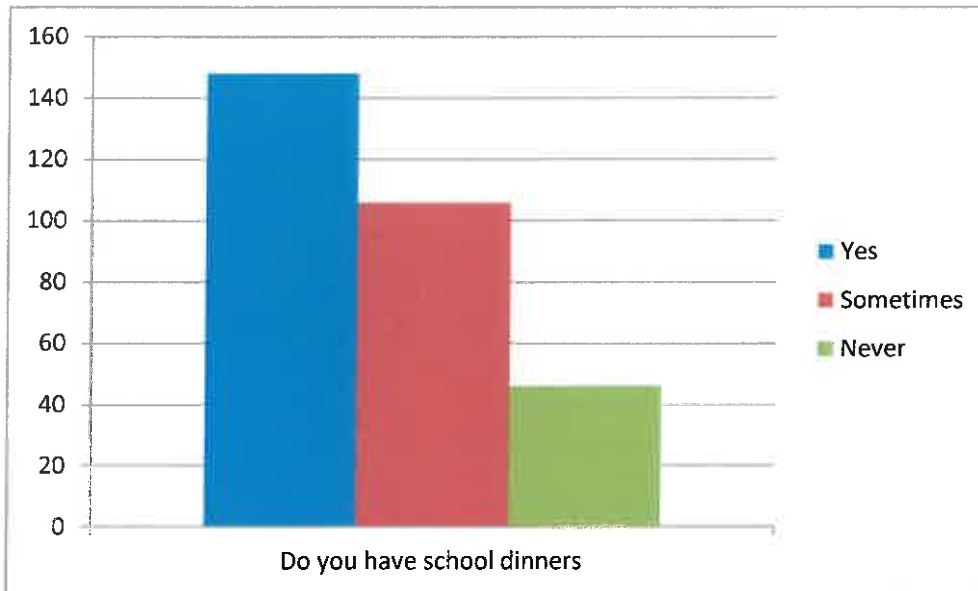
Pupil Questionnaire
Results 02/17

Q2. Why don't you have school dinners?

	Pupil no
I tried them but I don't like them	94
I like my packed lunch	76
My parents choose for me	112
I don't know	18
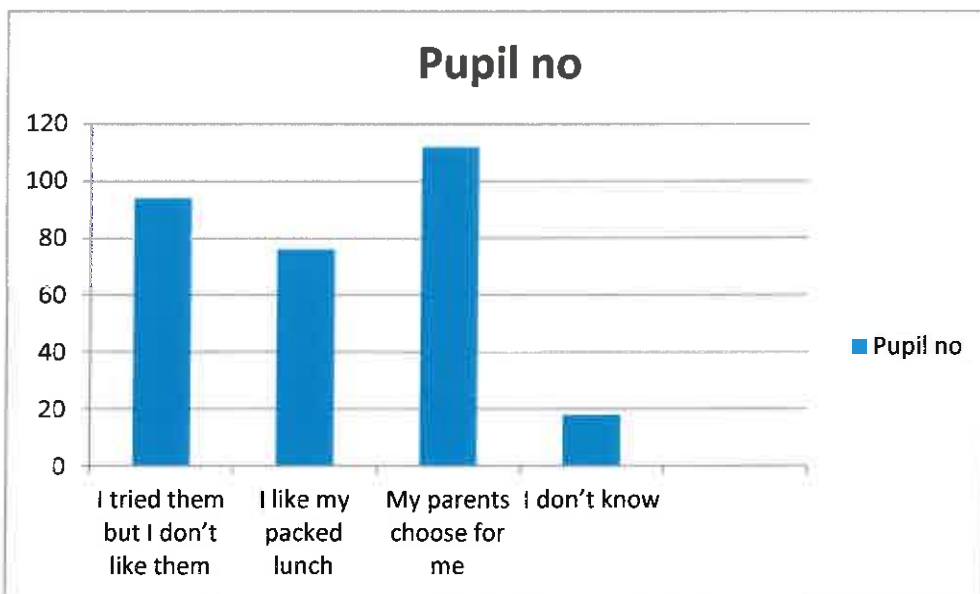
Pupil Questionnaire
Results 02/17

Q3. What do you think of school dinners?

	Very good	good	OK
What do you think of school dinners?	187	60	53
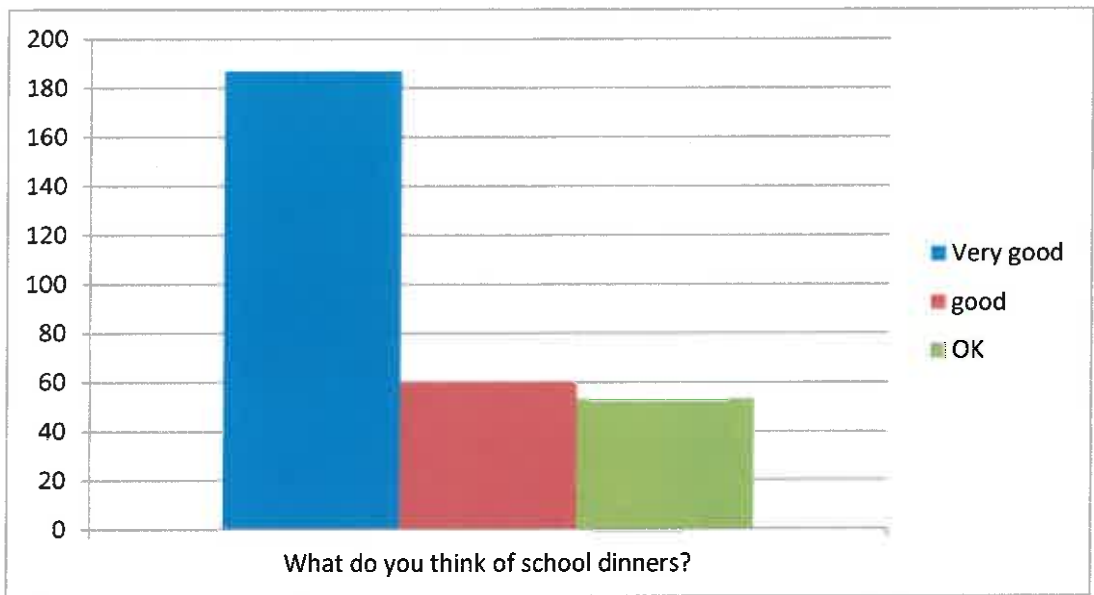
Pupil Questionnaire
Results 02/17

Q4. At dinner time which of these things are you happy / unhappyy with?

	happy	unhappy
Taste of the food	272	28
Amount of food	251	49
Food that you like / don't like	252	48
Time you have to eat dinner	271	29
Where you sit / who you sit with	251	49
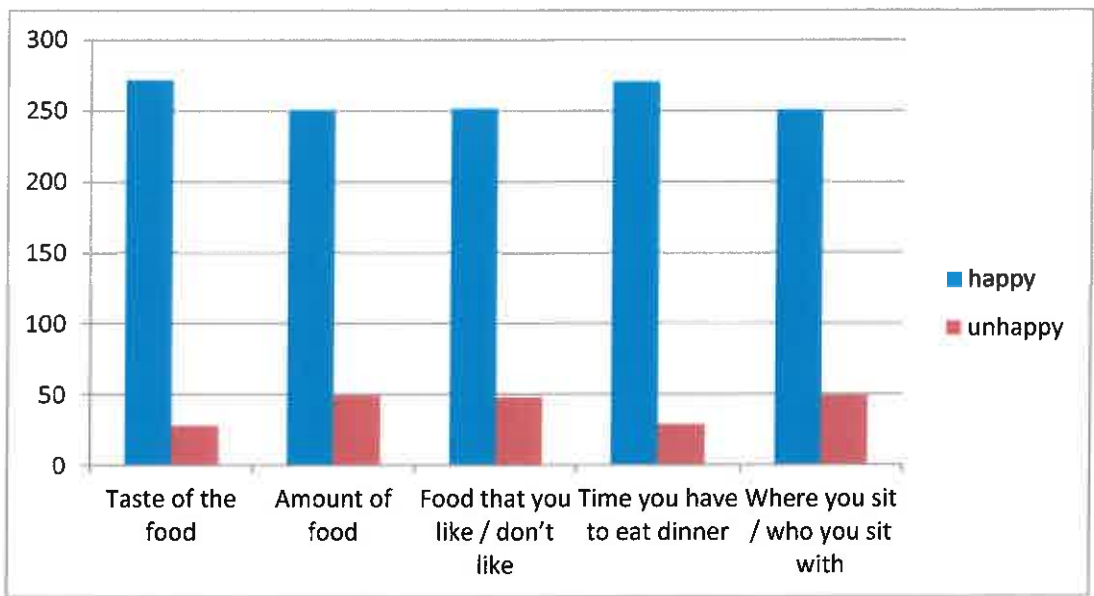
Pupil Questionnaire
Results 02/17

Q5. Do you usually get the meal you want?

	yes	no
Do you usually get the meal you want	266	34

Do you usually get the meal you want
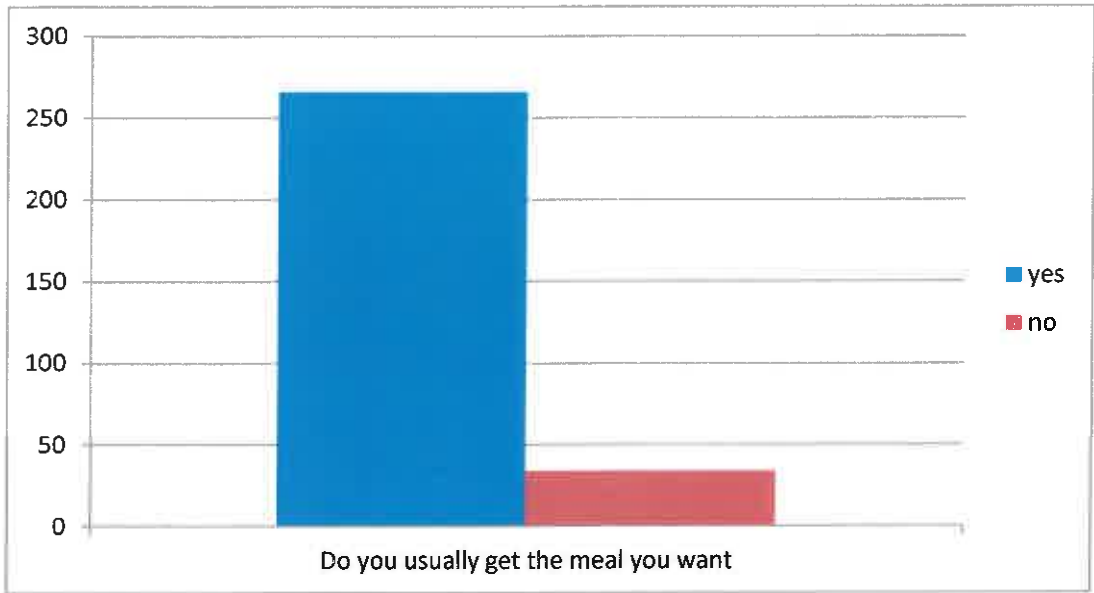
Pupil Questionnaire
Results 02/17

Q6. Are the kitchen staff friendly?

	yes	no
Are the kitchen staff friendly	293	7
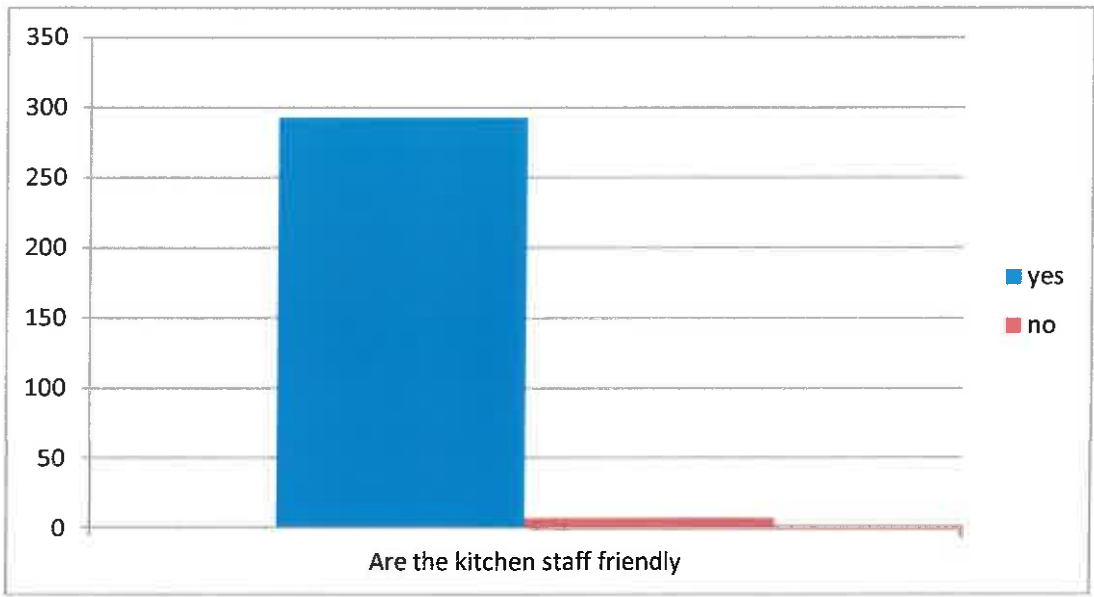
Q4 How much do you spend on breakfast items during the working week?

Responses	Total	%
Under £1	89	38.53%
£1 - £2	53	22.94%
£2 - £3	37	16.02%
More than £4	31	13.42%
£3 - £4	21	9.09%
(blank)		0.00%
Grand Total	231	100.00%

Total %

Q4 How much do you spend on breakfast items during the worki...
- Under £1
- £1 - £2
- £2 - £3
- More than £4
- £3 - £4

Values
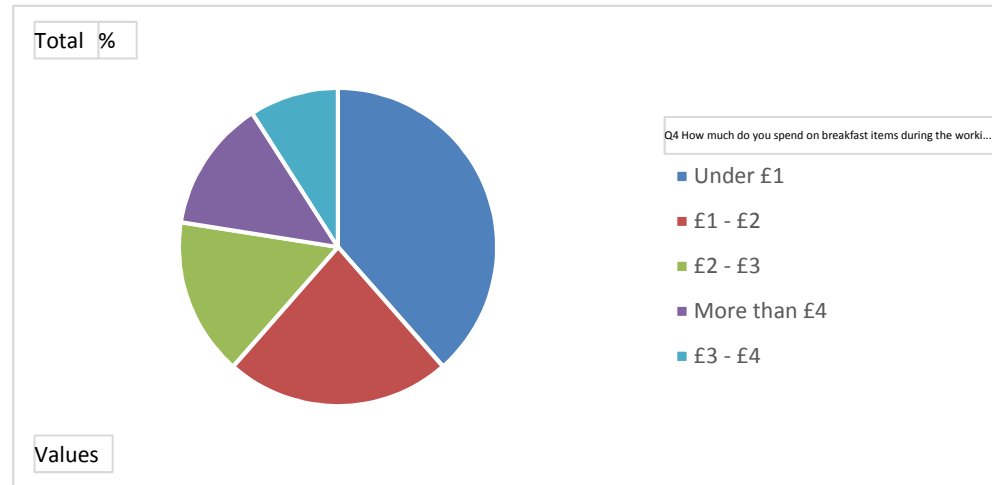
Q5 For lunch, are you most likely to...?

Row Labels	Total	%
Bring from home	139	54.30%
Buy from Council run canteen/kiosk at your main place of work	71	27.73%
Other (please specify)	13	5.08%
Buy from local shop near to work	9	3.52%
Buy from Victoria Park kiosk	8	3.13%
Buy from Coast cafe in Civic Centre	8	3.13%
Buy from Franks Cafe in the Guildhall	6	2.34%
Buy from local restaurant/cafe near to work	2	0.78%
(blank)		0.00%
Grand Total	**256**	**100.00%**

Total %

Q5 For lunch, are you most likely to...?
- Bring from home
- Buy from Council run canteen/kiosk at your main place of work
- Other (please specify)
- Buy from local shop near to work
- Buy from Victoria Park kiosk
- Buy from Coast cafe in Civic Centre
- Buy from Franks Cafe in the Guildhall
- Buy from local restaurant/cafe near to work
- (blank)

Values
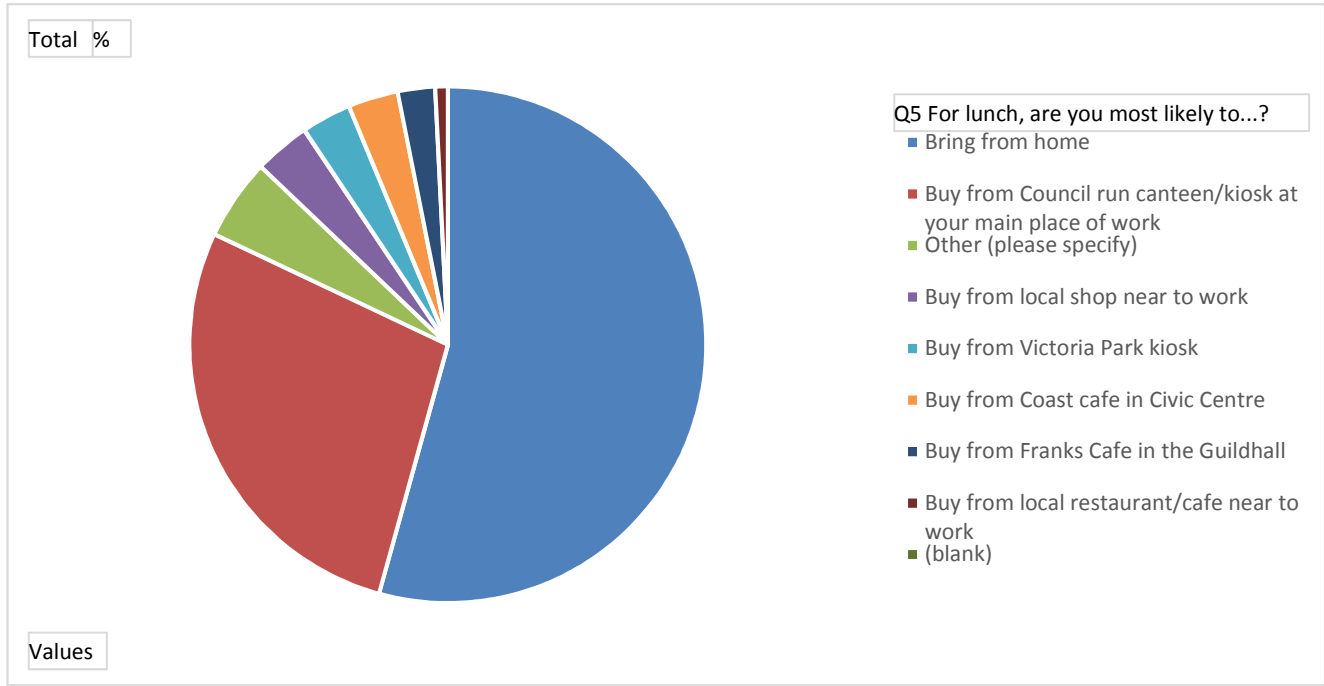
Q5a Why do you bring in lunch from home?

Row Labels	Total	%
Cost	56	41%
No response	25	18%
Dietary needs	16	12%
Choice	14	10%
Quality	8	6%
Convenience	4	3%
Routine	4	3%
Poor quality on	3	2%
Availability	3	2%
Cheaper	2	1%
Costs	2	1%
Saves money	1	1%
Grand Total	138	100%
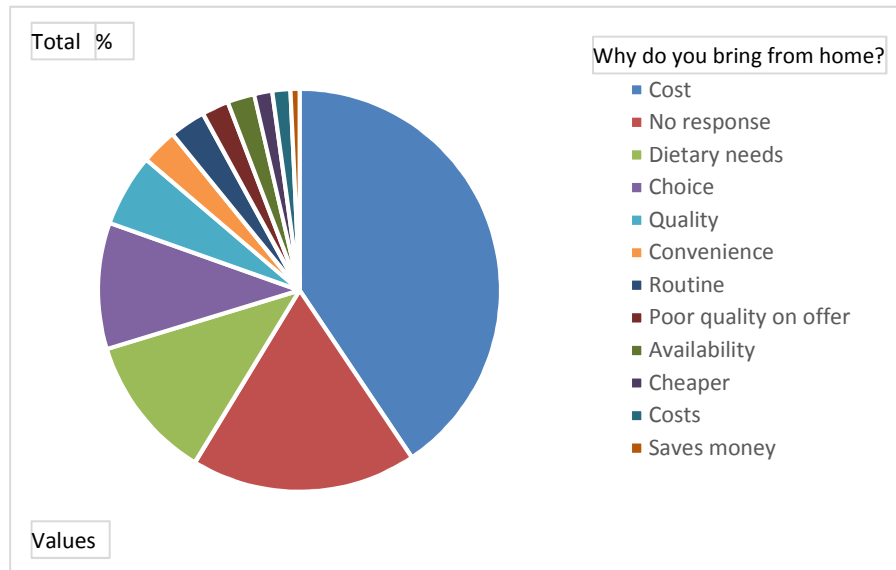
Q5b Why do you buy lunch a from Council run canteen/kiosk at your main place of work

Row Labels	Total	%
Convenience	28	39%
No response	15	21%
Routine	10	14%
Cost	8	11%
Choice	5	7%
Social	3	4%
Quality	1	1%
Dietary needs	1	1%
Grand Total	71	100%
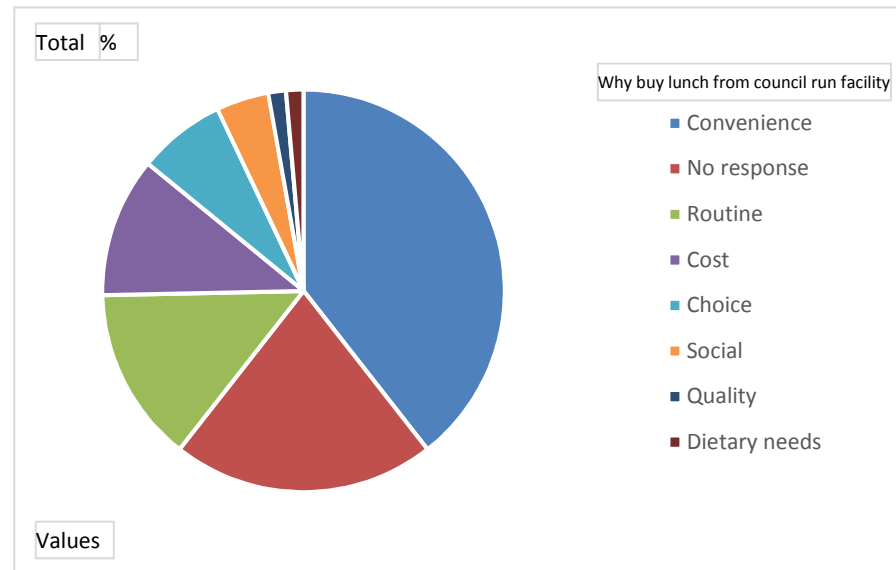
Q7 How much do you spend on lunch items during the working week

Row Labels	Total	%
£1 - £2	37	15%
£2 - £3	42	17%
£3 - £4	39	16%
£4 - £5	25	10%
More than £5	79	32%
Under £1	25	10%
(blank)		0%
Grand Total	**247**	**100%**

Total %

Q7 How much do you spend on lunch items during the working w…

- £1 - £2
- £2 - £3
- £3 - £4
- £4 - £5
- More than £5
- Under £1
- (blank)

Values
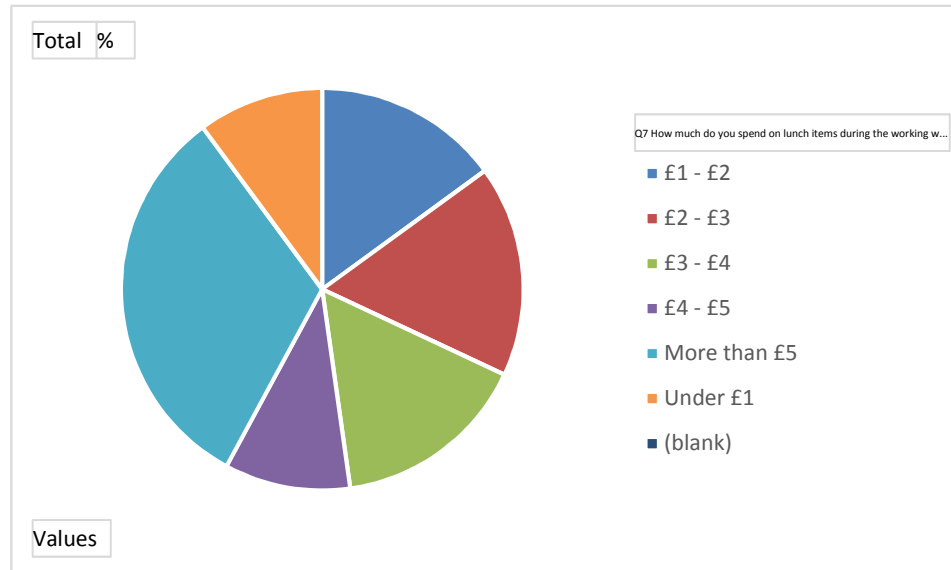
Q8 How often do you use Council run catering facilities?

Row Labels	Total	%
Everyday	50	19%
Few times a month	31	12%
Few times a week	87	33%
Less often	33	13%
Never	10	4%
Once a month	14	5%
Once a week	37	14%
(blank)		0%
Grand Total	**262**	**100%**

Total %

Q8 How often do you use Council run catering facilities?

- Everyday
- Few times a month
- Few times a week
- Less often
- Never
- Once a month
- Once a week

Values
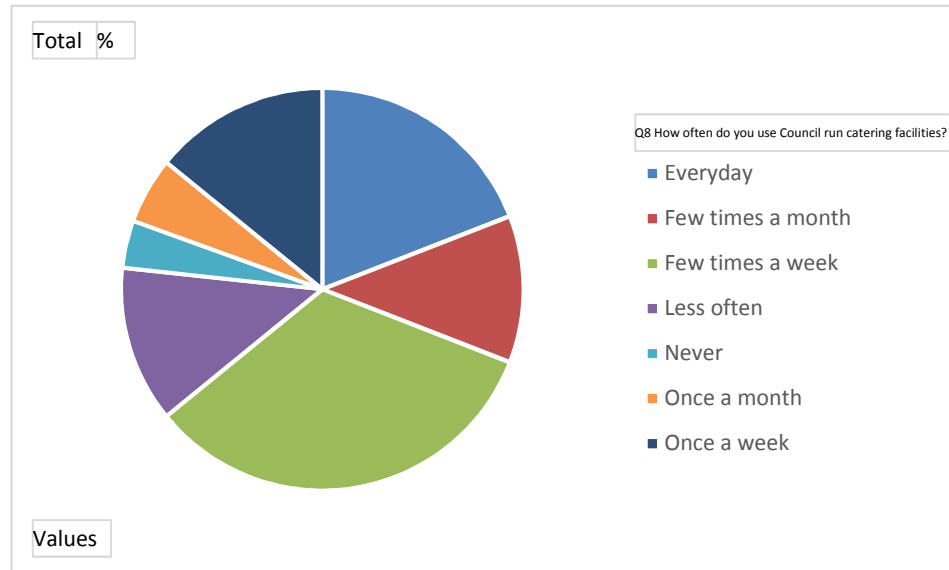
Q9 What stops you using Council run catering facilies more often?

Don't like the food	48	13%
Not enough choice	63	16%
Too expensive	64	17%
Can't pay by card	60	16%
Not enough healthy options	68	18%
I prefer to get out of the building	44	11%
Other (please specify)	36	9%

383

- Don't like the food
- Not enough choice
- Too expensive
- Can't pay by card
- Not enough healthy options
- I prefer to get out of the building
- Other (please specify)
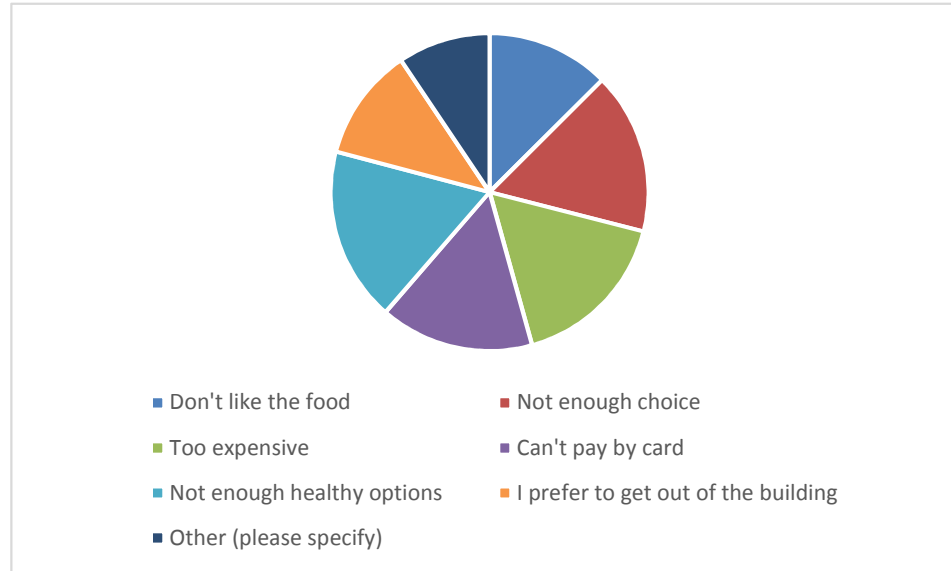
Q10 How do you rate…

Q10.a The selection of food on offer

Responses	Total	%
Fairly good	117	46%
Fairly poor	80	32%
Very good	48	19%
Very poor	8	3%
(blank)		0%
Grand Total	253	100%

Total %

Q10.a The selection of food on offer
- Fairly good
- Fairly poor
- Very good
- Very poor
- (blank)
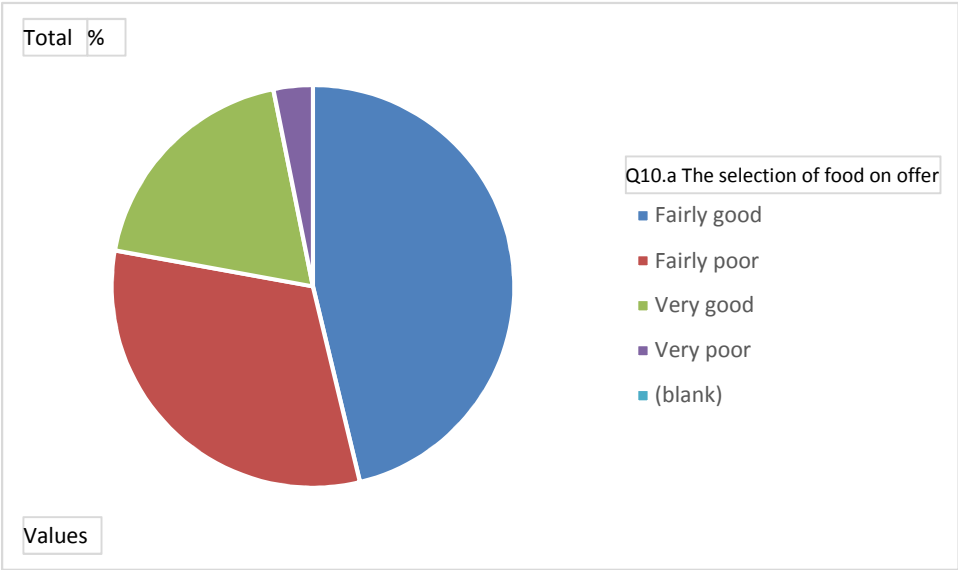
Values

Q10.b The quality of food on offer

Responses	Total	%
Fairly good	130	52%
Fairly poor	59	24%
Very good	49	20%
Very poor	12	5%
(blank)		0%
Grand Total	250	100%

Total %

Q10.b The quality of food on offer
- Fairly good
- Fairly poor
- Very good
- Very poor
- (blank)
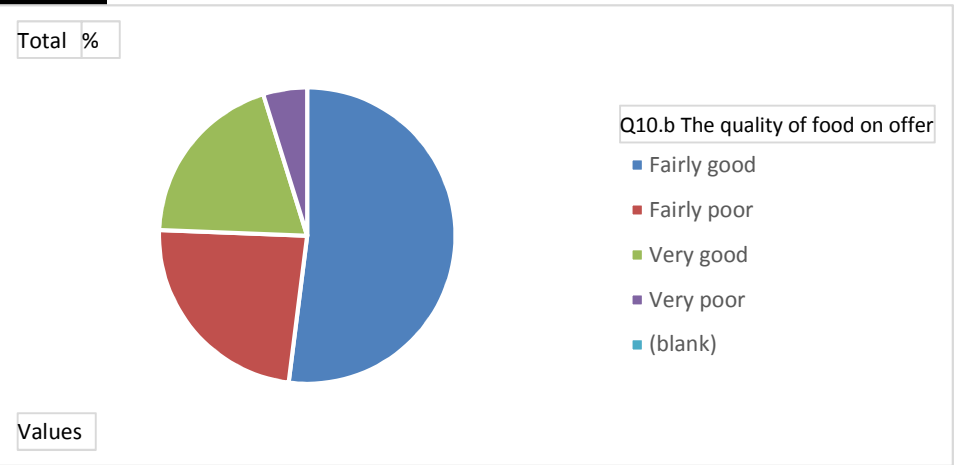
Values

Q10.c Value for money

Responses	Total	%
Fairly good	102	41%
Fairly poor	65	26%
Very good	66	27%
Very poor	15	6%
(blank)		0%
Grand Total	248	100%

Total %

Q10.c Value for money
- Fairly good
- Fairly poor
- Very good
- Very poor
- (blank)

Values
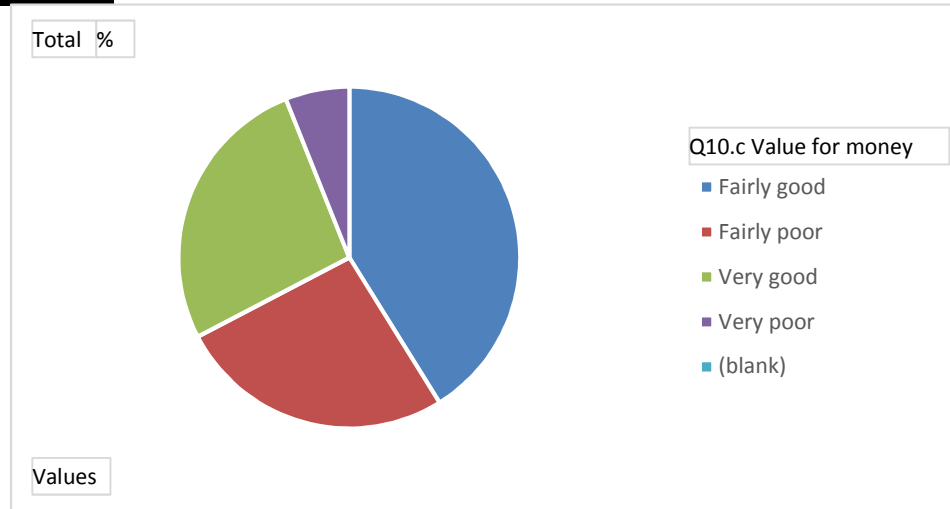
Q10.d The service you receive

Row Labels	Total	%
Fairly good	86	35%
Fairly poor	22	9%
Very good	134	54%
Very poor	7	3%
(blank)		0%
Grand Total	249	100%

Total %

Total

Q10.d The service you receive
- Fairly good
- Fairly poor
- Very good
- Very poor

Values
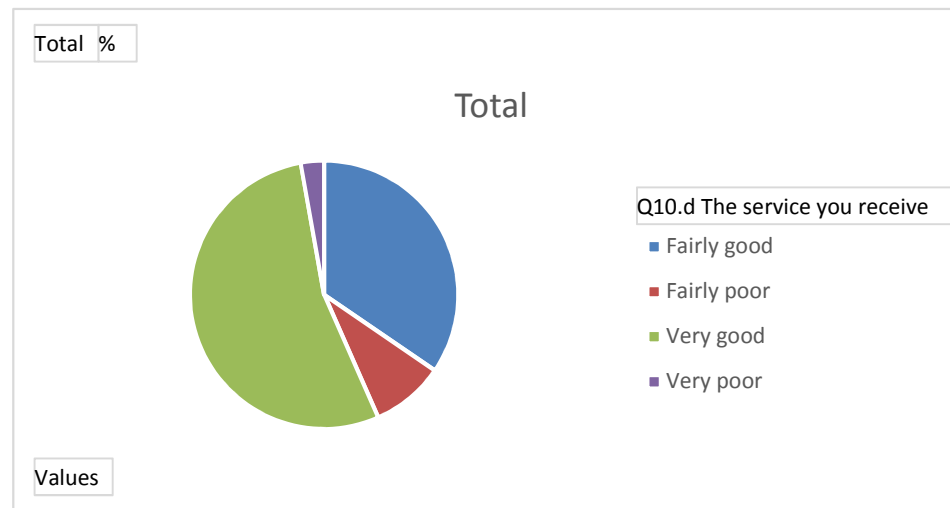
Q11 What changes or improvements do you think should be made ...

1 Menu changes, communicate menus, desk delivery service, card payment as I never have cash, layout
2 Having a card machine / or a free cash point at the Civic Centre.
3 Ready made salad pots (like Coastline Cafe), I love the fruit pots on offer with the trolley service
4 less stodge and unhealthy options - salads are uninspiring - go out and look at what innovative cate
5 I can pay different amount for exactly the same food, difference can be up to 90 pence more/less
6 have a coffee shop open afer 2pm
7 Move away from school canteen style catering. Minimise waste. Make seating area more hospitable.
8 I would like the salad bar expanded and more option with fresh veg available.
9 more competitive pricing and the trolley is worse 85pence for a packet of crisps!!!
10 The staff are so nice. You used to publish a menu, !This box is too small to fit all my comment...!
11 More selection, same week in week out. Sandwiches only have ingredients in the middle
12 more like the Coastline Cafe
13 Prices should be cheaper
14 More healthy options
15 Charge a little more & increase portion sizes of the primary items.
16 I find the variation in pricing strange, some things are very reasonable, others expensive i.e salad
17 More healthy options
18 Cheaper and nicer facilities.
19 Improve quality of sandwhich fillings and baguettes
20 Less stodge. Even the salads have pasta and mayo on them!
21 Give them more staff. The Civic canteen staff are run off their feet most of the time.
22 Food offer could be better
23 Simple homemade soups and bread, good quality salad bar, sandwiches/baguettes with more variety
24 Canteen food should be subsidised for staff. I could get cheaper bar meals than I often pay inhouse.
25 Staff canteen should be subsidised. Prices are not competitive and discourage many from using facili
26 Layout of the canteen could be improved massively as well as value for money
27 Greater range of foods, avaialble later than 2.30pm
28 Open up to service users on site like the NHS does. Don't be a cafe- make canteen the USP
29 More vegetarian food. More hot food. Lots more fresh vegetables - not just cold salads
30 I think the trolley is good, perhaps tea/coffee could be added to it? Other than that, all is great.

31 dont know, but a great improvement is the trolley that comes around the offices
32 SOME STAFF VERY GRUMPY
33 Card payments, coffee loyalty cards, more choice for breakfast
34 As a former chef an outside caterer would be more cost effective with hot food needing to be limited
35 quality ie buying toast that been sitting there for ages. Food is slightly overcooked & tasteless
36 lower charges - some times if you have a small portion of a couple of vegs it gets expensive
37 higher quality food, more diverse, modern range of healthy food, and more vegetarian choices
38 Leafy green veg available daily along with popular items like curry and chilli
39 The quality of the food available is poor. EG the cheese is tasteless.
40 quality and selection of food .. more choices
41 Improve the food quality at lunch - breakfasts are good
42 salad bar costs too much, main meals should come with vegetables in price
43 card payment would help,
44 The daily menu used to be on the internet. Could this be reinstated? Wasn't always accurate though.
45 None
46 More choice. Send menu of hot food available each day on daily email to staff. Staff are excellent
47 Do all possible to support & encourage catering staff, who do a great job on limited resources
48 more options for vegatarians, vegans, lactose intollerant and celiac. Recycleable packaging.
49 Not charging for carton when buying a jacket potatoe, more healthy options and bring down the prices
50 Home made chips. More peas made available oftener than on a Friday. Change menuchoice on a Friday.
51 Set charges for full meal choices, more fresh products used/healthy options available
52 More varied selection.
53 Seems to be less choice if you go at 1pm rather than 12pm
54 Less easy to cook food i.e. oven chips
55 Cooks should be more imaginative. Would be great to have proper chips not oven ones
56 The trolley service provided by Kimberley is excellent. Just more selection of veg sandwiches!
57 Vegan & healthy options
58 Improved sandwich fillings & salads (not all covered in mayonnaise); also eating environment
59 lower the prices, and make sure the cook knows how to have chips ready by 12.
60 Need to stop being too traditional, curry and fish every Friday for the last 30 odd years.
61 none
62 Tables are too close together, reopening the Café.

63 use local produce. make the curry spicy and use proper fresh meat in it.

64 More seating

65 More seating. Location of lower floor

66 healthier options, seperate serving area and utensils for vegatarian options

67 allow card payments and continue with sandwich trolly!

68 Better quality meats & not just crusts available at breakfast time

69 More healthy eating options, inlcuding diet-specific e.g. low sugar/carb (diabetics), gluten-free

Greater separation of meat and non-meat items, and mor eveggie offering. Being a veggie, it is very annoying to
see tongs being used for toast and meat products. I have asked a number of times to change this, bit things
70 revert back meaning I do not but anything..

71 More pre-prepared salad & healthy options; lower prices

72 fresher vegetables, more fish choices

73 fresher, better cooked veg e.g. Brussel Sprouts, more fish options

Change the approach to food being served. Paninis, fresh sandwiches on crusty bread and rolls, salads (greek,
74 tuna nicoise, grilled chicken etc), Better fillings with jackets (like cost cafe). Basically increase the quality of food

75 Allow card transactions

meal deals rather than pay for each item individually eg: roast dinner have to pay separately for each veg portion
76 which makes the dinner option expensive

77 A menu available online for the upcoming week

78 On the few times i have visited the choices was very good

79 more variety especially in Coast Cafe. Food very expensive and same thing every day

Better range of healthy, vegetarian and vegan options - alternative grains for instance like quinoa and
80 buckwheat. dressing for salads!! Proper coffee machine/barrista style. Good range of herbal teas such as Pukka

81 Consistent charging would be good i can pay £2 for something today but be charged £3 tomorrow

Make the pricing less confusing and affordable, Salad for instance you pay if you have two items that are green?
What's that all about? The salad is also very bland and obsure. You have to have rice with your curry or its an
extra £2 with chips. I would definately make the Salad bar more interesting like you see in Morrisons. I also feel
82 very strongly in the food being thrown out when there are many charities that would take it.

More healthy options to be made available e.g. low calorie mayonaise, healthy salads. Improve queuing system,
83 bagette/jacket stall often results in long queue, when all that is required is a jacket potato.

84 The vending machines on the ground floor need fixing/replacing as they are constantly jamming food or

85 Decaff coffee and meal offers (such as a bacon roll or bacon on toast for £1, rather than individually priced items)

fresh chips (not chilled),   and 100% swap the veg servery with meat servery - this will help the flow of people

86 through the servery and prevent an accident happening

I think the changes already made are good i.e. the facility to have a sandwhic/baguette/toastie made to order,

87 same for baked potatoes.

The changes already made are positive e.g. Freshly made to order sandwhiches/baguettes/toasties and the range of baked potato filings. Desired changes would be: it would be useful if staff could pay by debit card as in the Cafe in Civic foyer. Too many items in the salad bar contain mint, I would have this option much more frequently if there wasn't so much mint used, also offer onions as a choice for those who like onions in the mixed

88 salad. The main course should come with one side included in the price, having 'a la carte' pricing in a works

89 I like more healthy options lunch time or snack like beans on toast I eat my main meal with family in the evening

charge for a set meal, not for every portion of veg you have with the meat, very expensive for a dinner when they

90 charge you for gravy on top of every portion of veg.

Would prefer a Costa Coffee Machine and more choice of fillings for freshly made sandwiches especially towards

91 the end of the service

92 More staff to serve your meals at the counters

Need more staff to serve the Meals and not be walking around, no presence of staff most of the time. Also don't understand why its is more exspensive to have a take away as you have to pay for the box and the food is still the same price if on a plate and then your told to use plastic cuttlery. Annoying when no cuttlery available for a sit down meal. Meals are labled as cheep but are not when you get to the till as it all adds up should have a price

93 for fish, chips and maybe peas or side salad not just the fis. Prices are very deceiving.

94 Have the menu available online (inc the days specials)

let someone with a catering qualification manage the service ask the staff to watch a catering programme and

95 use some imagination

96 Online lunch menu

more emphasis on healthier foods and meals - when I worked at Jubilee Court we had a French Chef who did

97 healthy meals with very little the food and quality was excellent!

98 Better selection and cost

Better range of foods e.g. most salad items covered in salad cream or mayo (which we don't all like). The new

99 sandwich bar is great but expensive.

I think the salad & healthy options could be alot better, such as having decent meat, cheese or eggs to go with it.

100 I dont mind paying for a good salad but to be charged separately for everything gets a bit much and puts me off

more staff are needed as never no eggs when I go, always have to ask for fresh toast and to pay as not many staff and always busy, its hard when you need to be quick. This is no fault of the staff but they are often grumpy when you go upstairs to the canteen as they are trying to do everything and there is not many of them. They are

101 not able to monitor when things run low and cook ready as they are so busy

Newspapers, Birthday cards or more apptly these days leaving cards and finally cold and flue remedies to keey

102 staff sickness rates down.

Perhaps add a bit more variety to choices, does occasionally feel 'samey' from one day to the next - could consider bringing in 'specials'. Perhaps have more than one veggie option occasionally, or consider making

103 dishes that are not specifically vegetarian, but are meat free.

104 being able to pay by card and be penalised or have a minimum charge

chips are dry and taseless, more green veg should be offered eg peas? have new meal choices and not the

105 same each week eg fish and curry every friday should change

Remove the 10p charge for the container on takeaway food; stop putting mayonnaise on all the salad choices and using the waste vegetables/sausage in the salad bar; portions size are an issue, often too small. A roast

106 dinner should be a standard price and not per vegetable -which increases the charges substantially for those who

Much improvement needed in the segregation of vegetarian food from non-vegetarian and differentiation between

107 vegetarian and non-vegetarian serving implements. I would also like the daily menu placed on Staffnet.

Healthier food choices, fixed pricing. Meal deal offer (i.e sandwich and a drink £3.00) more variety and more food

108 cooked to order rather than sat there for 2 hours.

109 Clearer pricing on hot food items.

110 more healthy options

111 More choices of sandwiches, they are often soggy and tasteless

112 I would use the facility more if there was better quality food, even if prices increased

113 Sometimes the canteen seems very short of staff but those that are there do their best to provide a good service

114 card payments

115 Increase range, cater for more protein and reduced carb diets

116 dont think we'd miss them

117 More sandwiches, meal deals, less big meals.

118 Meal Deals could be introduced and/or a reward scheme e.g buy 9 bacon baps get 10th Free

119 There is very little on offer for alternative diets - e.g gluten free and dairy free alternatives

120 Meal Deals could be introduced and/or reward schemes eg buy 9 bacon baps and get 10th Free

121 Card payment, more healty choices, larger kiosk in the GH, customer service training

122 Cheaper and Healthier meals

123 The food in the kiosk needs an overall with more choice and better quality foods

124 Franks still isn't great. Service is better but the staff still wander off while trying to order

125 Food at the Guildhall kiosk is not as good as at the Civic Centre. More options for vegetarians.

126 Difficult in Guildhall as the Kiosk is too small to compete against Franks but is cheaper than Frank

127 Bread options could be improved, care with sandwich dates

128 More choice, healthier options also.

129 In need of more healthier options in Guildhall Kiosk e.g salad bar, fruit bar, breakfast bar.

130 More choice in the Guildhall. The Kiosk doesn't offer a very good selection and Franks is expensive

131 Open longer, offer delivery service

132 service is awesome if it is Shimmy or Pam

133 more healthy options better quality like victoria park

134 Healthier choices with better quality foods

135 Place the standard of service provided by staff in Victoria Kiosk in all of the other Council facili

136 To offer more healthy vegetarian and vegan food.

137 Better quality food e.g. bread, rolls, teacakes. Curry is to runny and very little chicken.

138 Kiosk

139 basic hygiene while serving (the kitchen itself is very clean) More sandwich filling choice

140 needs to be a moer professioanl service and bif differnce betwen venues

141 More variety of menus and sandwiches

142 It is hard to rate them all under one umbrella as they vary so much. Victoria Park Kiosk is best

143 More choices at Guildhall - staff are lovely - but limited choices
    more healthy options! eg: caesar salads, egg + cress sandwiches and healthy snacks like cereal bars and fruit

144 salads: Also milk purchased often has a very short best before date

145 More cheaper and healthier options

146 Not so much butter on the sandwiches

147 Canteen type facility at the Guildhall

148 More fresh cooked foods and healthy options

149 This only applies to Victoria Kiosk - the quality in the GH kiosk is poor

150 CHEAPER FOOD - EATING IN OTHER LOCAL ESTABLISHMENTS ARE MUCH CHEAPER

151 the experience in the guildhall kiosk depends on who is working!!

152 more vairety/specials

153 Fresh bread or food with a realistic sell by date.

154 the catering facilities are fine

155 a cafe at heo;l yr Gors

156 n/a

157 Let FM run them

158 unable to comment

159 Healier and more diverse options

160 More healthy choices and better cooks.

161 unsure

Agenda Item 11.

Report of the Cabinet Member for Health and Wellbeing

Cabinet - 17 August 2017

PARTNERSHIP AGREEMENT (S33) FOR WESTERN BAY PROGRAMME INFRASTRUCTURE

Purpose:	To seek endorsement of the principles of the Partnership Agreement (S33) for Western Bay Programme Infrastructure, which includes a pooled fund for the staffing costs for the Western Bay Programme Office
Policy Framework:	Social Services & Wellbeing (Wales) Act 2014 & National Health Services (Wales) Act 2006
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that Cabinet:

1) Endorse the principles of the Partnership Agreement for Western Bay Programme Infrastructure, whereby the City & County of Swansea is the host authority, with the three statutory partners of Bridgend County Borough Council, Neath Port Talbot County Borough Council and the ABMU Health Board

2) Authorise the Chief Social Services Officer to approve and arrange for the execution of the final version of the Partnership Agreement in consultation with the Head of Legal, Democratic Services and Business Intelligence and the s151 Officer

3) Authorise the Chief Social Services Officer in consultation with the Head of Legal, Democratic Services and Business Intelligence and the s151 Officer to make any future minor changes to the executed Partnership Agreement..

Report Author:	Sara Harvey,
Finance Officer:	Chris Davies
Legal Officer:	Pamela Milford
Access to Services Officer:	Sherill Hopkins

1. Introduction

1.1 The Local Authority Chief Executives, Directors of Social Services, Heads of Service together with ABMU Health Board Senior Leaders across Bridgend, Neath Port Talbot and Swansea have been working together under the auspices of the Western Bay programme since 2012. The Western Bay programme has evolved and is now managing and overseeing a range of collaborative services and activities across the region.

1.2 A Regional Partnership Board provides strategic oversight and direction to Western Bay and includes elected Member representation from the three Local Authority Leaders and portfolio holders, the Chairman of the ABMU Health Board alongside third sector, independent sector, carers and service user representatives (full Membership of the RPB attached as Appendix 1).

1.3 The Western Bay Programme Office is hosted by the City & County of Swansea, through the employment of a small team of staff who coordinate and support a set of programmes and projects that progress health and social care integration. The funding for this arrangement has to date been through different Welsh Government funding streams (Regional Collaboration Fund, Delivering Transformation Grant and Intermediate Care Fund).

1.4 Welsh Government transferred the Delivering Transformation Grant funding to the Revenue Support Grant to continue to support the regional joint working activity and new requirements around partnership working, as required within the Social Services and Well-Being (Wales) Act 2014. The Integrated Care Fund is held by the ABMU HB for the Regional Partnership Board.

2. Legislation

2.1 The Social Services and Well-Being (Wales) Act 2014 brought about new requirements on partners in the way that services are delivered and the outcomes for citizens. Part 9 of the Act specifically imposes legislative obligations on partners relating to Partnership Arrangements. It requires Local Authorities and the Health Board to make arrangements to promote co-operation with their relevant partners and others, in relation to adults with needs for care and support, carers and children. It also provides Welsh Ministers with regulation making powers in relation to formal partnership arrangements, resources for partnership arrangements (including pooled funds) and partnership boards.

2.2 Furthermore the Code of Practice for Part 8 of the Social Services and Well-Being (Wales) Act 2014 (SSWBWA) states '*The director of social services must lead on the development of effective arrangements, including at regional partnership level, to promote co-operation to achieve the following purposes:*

a) *Improve the well-being of people with care and support needs, including carers who need support;*
b) *Improve the quality of care and support for people, including support for carers;*
c) *Protecting adults with care and support needs who are at risk of experiencing abuse or neglect; and*
d) *Protecting children who are at risk or experiencing abuse or neglect'.*

2.3   There is therefore a statutory requirement for Directors of Social Services to ensure that partnership working arrangements are in place and are delivering improved effectiveness and efficiency in relation to the delivery of care and support services to address care and support needs, and support needs for carers, identified in the population needs assessment.

2.4   A draft Partnership Agreement has been developed to reflect the agreed partner contributions required to support the Western Bay Programme Office. The draft Partnership Agreement is based on the provisions of Section 33 of the National Health Services (Wales) Act 2006, which enables the Health Board and Local Authorities to pool funds to enable the provision of shared services.

3.   Background

3.1   The Local Authority Chief Executives and Social Services Directors, together with the Chief Executive of the Health Board and Executive Directors of the HB across Western Bay have worked collaboratively for a number of years and there are a number of regional services and projects currently in existence which are working successfully e.g. Community Services Programme (older people services), Contracting and Procurement Project, prevention and wellbeing initiatives including Local Area/ Community Coordination, Workforce Development training implementation, the Wales Community Care Information System implementation, support for carers, as well as 'business as usual'/ Tier 2 initiatives including the Western Bay Adoption Service, regional Safeguarding Boards, Integrated Family Support Service, Regional Collaborative Committee for Supporting People, Youth Justice and Early Intervention Service.

3.2   The governance of the Western Bay Programme is well established and fit for purpose in fulfilling the priorities identified by the Regional Partnership Board and the requirements of the SSWBWA. Improved engagement and participation of other sectors including the third and independent sectors has been developed through the programme.

3.3   The regional partnership arrangements and work programmes are supported by the Western Bay Programme Office, hosted by the City & County of Swansea. The Programme Office works across partner organisations to deliver on the Regional Partnership Board priority areas of work and provides business support to the Regional Partnership Board and to the transformational Programme and Project Boards which support the Board.

3.4   The City and County of Swansea is the host authority for the Western Bay Programme Office. To date the posts (staffing), work programmes, meetings and activities have been funded by the Delivering Transformation Grant combined with the Integrated Care Fund (formerly Intermediate Care Fund). The Partnership (s33) Agreement will formalise the arrangements for the Programme Office and establish a pooled fund arrangement drawing on the Revenue Support Grant and the Integrated Care Fund.

3.5   The Delivering Transformation Grant has previously supported the development of the population assessment; the Social Enterprise support programme delivered by three County Voluntary Councils; costs associated with the Regional Citizen panel and communication and engagement activities, including the Western Bay web-site, as well as provision of expert advice.

3.6   Skills and capacity to deliver regional working arrangements across health and social care and across local authority and sectoral boundaries are scarce and the experience which has been built up among the Western Bay Programme Office staff over the past 3-4 years is valuable to the programme going forward.   The importance of retaining the knowledge and experience in the current team and providing some certainty to experienced staff, with a proposed extension of contracts for three years to 2020 (including a review in 2019) was agreed through support of a business case endorsed by the Western Bay Leadership Group (Local Authority and Health Board Chief Executives and Directors in November 2016.

4.   Principles of the Partnership (s33) Agreement

5.1   A Partnership (s33) Agreement has been drafted and developed jointly among the legal and finance leads of the 4 statutory partners. It is based on the following principles:

5.1.1 the provision of high quality, efficient and cost effective arrangements to meet the needs of the Partners, Service Users and other authorised users;

5.1.2 the establishment of an initial budget and the contributions to be made by each of the partners for 2017/18, together with the budget setting arrangements for future years;

5.1.3 the provision of detailed financial governance arrangements for the pooled fund

5.1.4   transparency in relation to risk sharing arrangements including a provision for any redundancy costs to be shared by the parties in the event of termination of the agreement

5.2   The financial contributions and funding are set out in **Appendix 2**, together with the budget for the first financial year.

6.   Financial Implications

6.1   The financial contributions and funding are set out in **Appendix 2.**

7.   Workforce Impact

7.1   The City & County of Swansea employs the Western Bay Programme Office staff, some of whom are employed on fixed term contracts, others are seconded from partner organisations.

8.   Equality Impact

8.1   There are no equality or engagement implications associated with this report.

9.   Legal Implications

9.1   The establishment of a Partnership Agreement under s33 of the National Health Services (Wales) Act 2006, creates legal obligations which will underpin the resourcing of the Western Bay Programme Office and will provide a transparent and auditable basis for the future of this shared resource.

9.2   The Agreement and the governance arrangements contained therein will be subject to annual review to ensure that it continues to be fit for purpose.

10.   Risk Management

10.1   An overall risk log is maintained by the Western Bay Programme Office in relation to the Western Bay programme. Individual risk logs are maintained by individual work programmes and projects that make up the Western Bay Health and Social Care programme.

11.   Reason for Proposed Decision

11.1   To formalise the partnership funding arrangements in relation to the Western Bay Programme infrastructure and to establish a pooled fund arrangement hosted by the City & County of Swansea.

Background Papers:
Social Services and Wellbeing (Wales) Act 2014
Part 9 Code of Practice (Partnership arrangements)

Appendices:
Appendix 1   Membership of Western Bay Regional Partnership Board
Appendix 2   Financial contributions and budget

Western Bay Regional Partnership Board

Name:	Partnership Body / Partner Organisation:	Role:
Cllr Rob Stewart	C&C of Swansea	Leader / Chair of RPB
Prof. Andrew Davies	ABMU HB	Chairman / Vice Chair of RPB
Cllr Huw David	Bridgend CBC	Leader
Cllr Rob Jones	NPT CBC	Leader
Cllr Phil White	Bridgend CBC	Member/Portfolio Holder – Social Services & Early Help
Cllr Dhanisha Patel	Bridgend CBC	Member/Portfolio Holder – Wellbeing & Future Generations
Cllr Peter Richards	NPT CBC	Member/Portfolio Holder – Adult Social Services & Health
Cllr Alan Lockyer	NPT CBC	Member/Portfolio Holder – Children's Social Services
Cllr Clive Lloyd	C&C of Swansea	Member / Deputy Leader
Cllr Mark Child	C&C of Swansea	Member/Portfolio Holder – Health & Wellbeing
Alex Howells	ABMU HB	Interim Chief Executive
Siân Harrop-Griffiths	ABMU HB	Director of Strategy
Maggie Berry	ABMU HB	Non Member Officer
Susan Cooper	Bridgend CBC	Corporate Director of Social Services & Wellbeing & 'Lead Director' for Western Bay
Nick Jarman	NPT CBC	Director for Social Services, Health &

		Housing
Dave Howes	C&C of Swansea	Chief Officer for Social Services
Melanie Minty	Care Forum Wales	Policy Advisor
Gaynor Richards	NPT CVS	Third Sector Representative (CVC)
Emma Tweed	Care and Repair	Third Sector Representative (National)
Carwyn Tywyn	Mencap Cymru	Third Sector Representative (Local)
Rosita Wilkins	Service User / Citizen Representative	Service User / Citizen Representative
Linda Jaggers	Carer / Volunteer Ambassador for Carers Wales	Carers Representative
Co-opted Members		
Darren Mepham	Bridgend CBC	Chief Executive / Chair of Western Bay Leadership Group
Steven Phillips	NPT CBC	Chief Executive
Phil Roberts	C&C of Swansea	Chief Executive
Sara Harvey	Western Bay Programme	Western Bay Programme Director

Table 1: Available funding Welsh Government Revenue Support Grant budget 2016/17: Total Fund £491,000

Revenue Support Grant split 2017/18:

Partner	£	%
Bridgend CBC	127,000	26
NPT CBC	141,000	29
CCoS	223,000	45

Additional contribution from Intermediate Care Fund (held by ABMU):

Older People Fund, proportion for regional staffing costs for Intermediate Care Services: **£169,146**

LD Fund, proportion for regional staffing costs for Contracting and Procurement Project: **£112,330**

TOTAL FUND AVAILABLE: £772,476

Percentage contribution split of Total Fund:

Partner	£	%
Bridgend CBC	127,000	16
NPT CBC	141,000	18
CCoS	223,000	29
ABMU	281,476	36

Table 2 - Western Bay Costs 2017/18

Western Bay Programme Office Core Salary Costs (Programme Director, WB Programme Co-ordinator, Programme Administrator, Communication and Engagement Officer, Community Service Programme Co-ordinator, Project Co-ordinator (NEW))	£341,088

Overheads, Training, Expert Advice, Events, Workshops, Citizen Panel Meetings, RPB meetings	£37,000
Additional Regional Resource Requirements (Expert advice for Care Homes, Third Sector Social Enterprise Costs)	£112,912
RSG Funded Costs	**£491,000**
Community Services Programme - Salary Costs (Community Services Intermediate Care Manager, ICF co-ordinators x 3)	£169,146
Contracting and Procurement Project – 2 key regional posts: WB Implementation Manager and WB Contracting Officer	£112,330
TOTAL COSTS	**£772,476**

Note:

Additional regional posts for the Contracting and Procurement Project and WCCIS Project are funded through ICF 17/18.

The Regional Carers Co-ordinator is funded via the Carers transition funding.

**Report of the Cabinet Member for Service Transformation
& Business Operations**

Cabinet - 17 August 2017

REVENUE AND CAPITAL BUDGET MONITORING 1ST QUARTER 2017/18

Purpose:	To report on financial monitoring of the 2017/18 revenue and capital budgets, including the delivery of budget savings.
Policy Framework:	Budget 2017/18 Transformation and Future Council (Sustainable Swansea –fit for the future)
Consultation:	Cabinet Members, Corporate management Team, Legal Services and Corporate Equalities Unit.
Recommendation:	It is recommended that the comments and variations in this report, and the actions in hand to address these, are noted.
Report Author:	Ben Smith
Finance Officer:	Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Sherill Hopkins

1. Background and Introduction

1.1 This report details forecast variations from the agreed budget for 2017/18, including the latest assessment of the delivery of savings.

1.2 In respect of Revenue Budgets, this report provides a consolidated forecast which combines:

- − projected variations (mainly shortfalls) in relation to budget savings agreed by Council in February 2017

- − Variations arising from other service pressures not directly linked to specific savings plans (e.g. increased demand)

1.3 The report includes comments from Directors in relation to the variations highlighted and the action that is in hand or proposed as appropriate.

2. Revenue Outturn Forecast Based on June Position

2.1 Appendix 'A' to this report details the approved Revenue Budget for 2017/18 and the forecast variation at this time.

2.2 Other than projected variations on Directorate expenditure, it is too early to forecast variations that may arise on significant Corporate items including Capital charges and the level of Council Tax collection – it is assumed at the current time that these remain largely as per the approved budget.

2.3 The overall Directorate position is summarised below:-

DIRECTORATE

	FORECAST VARIATION 2017/18 £000	SAVINGS VARIATION 2017/18 £000	OTHER VARIATION 2017/18 £000
CORPORATE SERVICES (inc. all Business Support)	1,900	1,650	250
PEOPLE - POVERTY AND PREVENTION	-20	0	-20
PEOPLE - SOCIAL SERVICES	4,994	3,872	1,122
PEOPLE - EDUCATION	341	0	341
PLACE	0	0	0
NET DIRECTORATE EXPENDITURE	**7,215**	**5,522**	**1,693**

2.4 Directors' comments on the above variations are shown at appendix 'B' :-

2.5 Within the *Sustainable Swansea* Delivery Programme, work continues to develop service delivery plans that will include all savings requirements across all strands. This includes the cross cutting nature of new reviews as well as the completion of current in-flight reviews.

2.6 The above potential overspend is a significant risk and needs to be addressed on a whole Council basis as it is unlikely at the present time that alternative savings will be deliverable within budgets. A number of the overspend items follow on from the outturn position for 2016/17 and need to be considered in the light of the forecast savings going forward within the Medium Term Financial Plan, and the cumulative effect of non-achievement savings on the MTFP deficit going forward.

2.7 Corporate Management Team has re-enforced the current arrangements for budget monitoring in particular :-

- focus on corrective action;
- increased control;

2.8 Offsetting opportunities do exist to ameliorate some of the identified service pressures, totalling at least £0.5m, as follows.

- Some £1m was set aside in the budget for the potential costs relating to the impact of the Apprenticeship Levy. The final costs relating to this levy will only be known once final employee related costs are calculated at the year end. Based on the initial costs for the first months of the year it is likely that the entire allocation will be required as a minimum. Should this not be the case then any saving will be proposed to be used to further mitigate service pressures.

- In setting the budget for 2017-18 it was anticipated that several specific grants could be reduced as part of the overall funding package from Welsh Government and a contribution to the reserve established in 2016-17. In the immediate aftermath of the "Brexit" result of the EU referendum, there are ongoing future uncertainties over long term wider grant funding . The budgeted contribution in 2017-18 is £0.946m resulting in a balance currently of £2.29m in the reserve. Should all of this contribution , or the reserve, not be required then it could be utilised to offset , as a one off , an element of the current potential overspend for 2017-18. At this stage it is assumed that a minimum of £0.5m will be available to partially mitigate the forecast overspend.

2.9 Conversely, it should be noted that on basis of bids already committed to the Council's existing Transformation Fund reserve this remains wholly committed and cannot therefore be used to fund further transformative work unless and until monies advanced for existing plans start to crystallise additional and significant savings to pay back to the fund, not merely help unlock already planned budgeted savings.

3. Contingency Fund Provision for 2017/18

3.1 There is no carry forward of previous years underspends into the contingency fund for 2017/18. As such the contingency fund is set at the £5.4m contribution set out in the budget report approved by Council on 23rd February 2017.

3.2 The current potential calls on the contingency fund for 2017-18 are:-

Contingency Fund 2017/18	Prediction
	2017/18 (£m)
Contribution for year	5.400
Balance to fund ER/VR	-3,464
Community Budgets	-44
Part Reinstatement of Parks Savings	-47
Pathologists	-136
DoLS legal	-63

City Deal – CCC top slice	-50
DoLS Social Services	-285
Legal IGU	-10
City Centre Regeneration team???	-450
Social Services procurement	-80
PSB support	-14
Waste vehicle replacement underwrite	-237
Interim arrangements – finance and service centre	-20
Corporate Building Services additional back-pay	-500
Balance 31st March 2018	**Nil**

The above table lists potential calls on the budgeted contingency fund . The final amounts will be dependent on a number of factors during the year including speed of implementation, actual costs/commitments incurred , final Directorate outturn position. Updates will be provided during the financial year as part of the routine quarterly reporting to members

Any departures under ER/VR in 2017-18 will again be charged to the contingency fund as a one off cost to release future revenue savings. It would be prudent given the experience in 2016-17 and the accelerated budgetary savings pressures likely to bear upon the authority to assume the in year call on the contingency for the purposes of funding ER/VRs to be at least £7m, even at this early stage in the year. This amount clearly exceeds the current amount available in the contingency fund as detailed above. Therefore, any excess cost will fall to the Restructuring Reserve. At this juncture it is likely that some further £3.5m as a minimum will be required from this reserve in 2017-18.

3.3 The initial scale of potential overspends for 2017/18 are significantly in excess of any potential sums available to offset that shortfall. The current indication, in line with previous years first quarter monitoring, is that there needs to be urgent and decisive action to pursue additional savings across the Council if an overall balanced budget is to be achieved.

3.4 The action being taken includes working through existing plans on an accelerated delivery basis :

- Management and Business Support Review: ongoing comprehensive review of the management structure across the Council and future requirements given the Council's priorities, future challenges and the changing nature of the role of managers
- Reducing the Pay Bill: review of options to reduce employee costs across the Council as part of our overall future workforce strategy (subject to trade union consultation at the appropriate time)
- Commercialism through third party Procurement Savings and Income Generation: review of further options to increase income from fees and charges, trading etc, in addition to the targets already set for 2017/18
- Progressing Commissioning Reviews and Cross Cutting Themes.

- Implementation of the Leading Learners transformation programme for Education that outlines a range of projects.
- Further implementation of the Adult Services Saving Plan through which we have identified mechanisms for bringing down overall costs.

3.5 It should be noted that at this time, although the Council continues to pursue a number of VAT related claims, there is NO notification of substantial windfalls from VAT refunds or any other external source in the current year.

4. Revenue Budget Summary

4.1 The position reported above reflects the best known current position, very early in the financial year, which introduces a degree of greater risk in the estimates necessarily made . A net £7.2m of shortfall in revenue budgets, offset by, a one off, £0.5m of identified additional savings. This leaves a forecast overall £6.7m overspend forecast for the year at the end of the first quarter.

4.2 Corporate Management Team have reinforced the expectation that overall net expenditure must be contained within the limits of the current year budget as set by Council.

4.3 As previously mentioned, it is too early to provide an accurate forecast as to the potential outturn on Corporate items such as Council Tax collection which is in itself potentially affected by the effects of welfare reform measures, but offset by an increasing tax base.

4.4 The overall judgement at this point is that there is an urgent need to identify significant additional budget savings across all Council Services if a balanced outturn for 2017/18 is to be achieved. In forming this view it is noted that a similar, but larger first quarter overspend position was forecast at broadly the same stage last year, that action was taken in year to address the gap entirely last year, indeed achieving a slight overall under spend, albeit predominantly on a one off basis, and that nevertheless there are ongoing over spend pressures in Social Services and Education.

4.5 Consequently there is a degree of confidence that further inroads can be made into the forecast overspend position by ongoing management and member action.

4.6 Set against this are increasing risks around building general inflationary pressures and the potential for feed through effects to current and future public sector pay awards which are set at national level (e.g;.fire, teachers) which if not fully felt in terms of impact in the current year will further add to spending pressures in next year's budget, especially if not directly funded by increased government grant support.

4.7 Detailed monitoring of budgets will continue to be carried out and reported to Departmental Performance and Financial Management meetings on a monthly basis. Should there be no improvement in the overall forecast by the end of quarter 2 it may be the case that additional measures will have to be imposed in order to move closer to a balanced budget for 2017/18.

Capital Budget

5.1 Expenditure to 30th June 2017 is £14.192 million, summarised as follows:

Directorate	Budget 2017/18	Actual to 30/06/17*	% spend
Corporate Services	2,307	538	23.3%
People	18,441	3,603	19.5%
Place (General Fund)	45,465	3,389	7.5%
Place (HRA)	61,674	6,662	10.8%
Total	**127,887**	**14,192**	11.1%

Expenditure on major schemes is detailed in Appendix C.
* Figures based on actual spend and therefore may only have 1 or 2 months costs relating to external invoices.

6. Housing Revenue Account

6.1 Other than any additional costs which may arise as a result of immediate assurance and reassurance work, and further potential work undertaken with regard to fire safety measures there are no other material budget issues to flag at this stage of the year.

6.2 The actual level of any revenue costs arising from the totality of fire safety measures and assurance work will depend on final options worked up. Costs will be reported in due course in year of which some may accrue against the General Fund.

7. Legal Issues

7.1 There are no legal issues contained within this report.

8. Equality issues

8.1 The Revenue budget of the Council was approved following the application of the corporate Equality Impact Assessment(EIA) process throughout the Budget setting process. It is essential where service levels are affected by changes to the Revenue Budgets (including savings options) that the EIA process (alongside consultation and engagement as appropriate) is applied to ensure due regard is paid to the potential equality impacts of any proposals prior to decision making.

Background Papers: None

Appendices: Appendix A – Revenue Budget forecast 2017/18
Appendix B – Directors comments on variances
Appendix C – Commentary on Savings Tracker
Appendix D – Savings tracker chart
Appendix E – Savings tracker summary
Appendix F - Expenditure on major Capital Schemes

REVENUE BUDGET PROJECTION QUARTER 1 2017/18

Appendix A

DIRECTORATE	BUDGET 2017/18 £000	PROJECTED 2017/18 £000	VARIATION 2017/18 £000
CORPORATE SERVICES	42,946	44,846	1,900
PEOPLE - POVERTY AND PREVENTION	6,136	6,116	-20
PEOPLE - SOCIAL SERVICES	103,849	108,843	4,994
PEOPLE - EDUCATION	164,716	165,057	341
PLACE	51,294	51,294	0
NET DIRECTORATE EXPENDITURE	**368,941**	**376,156**	**7,215**
SPECIFIC PROVISION FOR APPRENTICESHIP LEVY	1,000	1,000	0
OTHER ITEMS			
LEVIES			
SWANSEA BAY PORT HEALTH AUTHORITY	84	84	0
CONTRIBUTIONS			
MID & WEST WALES COMBINED FIRE AUTHORITY	12,275	12,275	0
CAPITAL FINANCING CHARGES			
PRINCIPAL REPAYMENTS	15,316	15,316	0
NET INTEREST CHARGES	15,893	15,893	0
NET REVENUE EXPENDITURE	**413,509**	**420,724**	**7,215**
MOVEMENT IN RESERVES			
GENERAL RESERVES	0	0	0
EARMARKED RESERVES	4,888	4,388	-500
TOTAL BUDGET REQUIREMENT	**418.397**	**425,112**	**6,715**
DISCRETIONARY RATE RELIEF	400	400	0
TOTAL CITY AND COUNTY OF SWANSEA REQUIREMENT	**418,797**	**425,512**	**6,715**
COMMUNITY COUNCIL PRECEPTS	965	965	0
TOTAL REQUIREMENT	**419,762**	**426,477**	**6,715**
FINANCING OF TOTAL REQUIREMENT			
REVENUE SUPPORT GRANT	231,170	231,170	0
NATIONAL NON-DOMESTIC RATES	79,531	79,531	0
COUNCIL TAX - CITY AND COUNTY OF SWANSEA	108,096	108,096	0
COUNCIL TAX - COMMUNITY COUNCILS	965	965	0
TOTAL FINANCING	**419,762**	**419,762**	**0**

Directors comments on budget variances   **Appendix 'B'**

Director of Corporate Services

Variance	£000	Explanation and Action
Savings Variation		
Comms & Consultation :		
Creation of a single Comms & Marketing function.	100	This saving is under review with the CEO and Members following the restructure. The target still needs to be met but will be considered alongside changes within the Business Support project
Performance :		
Consolidation of Performance reporting functions : Council wide	115	This is under review by the new Interim Director as part of establishing a corporate approach to Business Support and the new Strategic Delivery Unit. This does not mean the target will not be met but requires alignment with new Policy commitments and revised Corporate Priorities
Sustainable Swansea (Directorate Target) :		
Business Support	1,000	Directors have been working together to ensure a corporate approach to Business Support, including how this target can be met through federated delivery of the Business Support model and associated savings. The project plan also contains other areas of transformation to deliver the saving including: Vacancy and contract management, savings as a result of changing the way the Council works with suppliers, in a way which helps both parties
Senior Staff savings	435	The Directorate has identified where savings need to be made across Services. The timing of delivery has been the main issue to ensure the savings can be met in year.
Other Variation		
2016-17 workstream savings un-achieved . Training, Lean Systems & Terms & Conditions	250	The Directorate has identified where savings targets have not been achieved and carried forward. Some of the savings have not been achieved due to timing, where others are as a result of changes in the environment. The Directorate is planning when and how savings will be met in year through the Performance & Financial Monitoring meetings.

Business Support savings targets all currently appear under the Corporate Services directorate. Some £1million of the overall target is currently under discussion with both the Place and People Directorates in terms of being delivered via federated approach and "mini hubs". The benefit of this approach is that it will ensure corporate consistency without losing Service focus. However the scale of the work is significant to achieve in the current financial year. If such savings are unrealised then there will be a potential shortfall of the £1m, which remains for now budgeted under Corporate Services. Given the overall financial position of the Council the Directorate will continue to identify further savings opportunities on an on-going basis and report accordingly.

Director of People

Social Services

Variance	£000	Explanation and Action
Savings Variation		
Review of contracts and efficiencies	195	Work in this area has had some success, but further detail remains
Use of Direct Payments	550	Challenging targets have been set for the use of Direct Payments as an alternative to more traditional services.
Additional Income	810	Increased charges and robust processes have had a positive effect on the department's income levels. It is very early in the year to make a judgement on the level of success of such measures and it is hoped that evidence of significant improvement will continue over the coming months.
Domiciliary Care – Reduction in use of double handed calls	450	Work in this area is projected to achieve significant in year savings although a deficit remains.
Outcome based assessments	700	Savings will be achieved due to ongoing Western Bay work. All opportunities for further savings will be reviewed although the pressure of cases coming through transition remains.
Maximising Health Contributions to Packages of Care	529	Work to achieve this is ongoing, although it must be recognised that our Health Partners are in a similar financial position and have similar aims for this area
Child and Family - Safer LAC Reduction	638	Whilst the Safer LAC reduction scheme remains a success story for the Department, an increase in certain placement types combined with a reduction in placements with an element of cost recovery presents a pressure.
Other Pressures		
External Domiciliary Care	918	These areas are exposed to both demographic and cost pressures. Work to ensure all placements are appropriate and cost effective continues with commissioning reviews pending.
External Residential Care	607	

Variance	£000	Explanation and Action
Internal Staffing and Services	-631	Whilst an underspend is currently expected, work will continue to identify further savings opportunities
MHLD Complex Care	794	This is a continuation of the previous year's overspend and remains an area of significant pressure
Looked After Children and Special Guardianship Orders	362	This is a continuation of the unachieved saving above.
Balance Sheet Adjustment	-928	A review of the balance sheet provides a one off opportunity to use dormant balances to support the current year's revenue position.

The Social Services position is primarily due to structural budget issues and large shortfalls in planned savings for the year. Significant work will be undertaken to improve the position regarding planned savings in the coming months.

Education

Variance	£000	Explanation and Action
Continuing pressures from 2016-17		
One to One - Special Schools / Specialist Teaching Facilities	480	Delegation of one to one support for Special Schools under consideration for April 2018 but some pressures will continue and require tighter oversight and scrutiny to confirm underlying trends
Special Needs Transport Costs	325	This remains the most significant area of concern as it is inherently volatile and effectively uncontrollable and expectations continue to be raised by Welsh Government and through legal challenges
Non-Delegated Cost Pressures	190	Tighter monitoring and scrutiny of these areas may mitigate the pressures to some extent
Unachievable allocated corporate targets from 2016-17	205	Pro rata allocation of corporate savings targets remain undeliverable (Corporate terms & conditions, LEAN, Training etc.) and will require alternative savings to be identified in addition to existing Education specific MTFP targets. Cloud savings are still to be delivered by corporate IT and remain a further risk.
Total Pressures	**1,200**	
Continuing managed savings from 2016-17	-434	Mitigation of pressures by continuing impact of robust scrutiny of spending across all service areas
Further anticipated managed savings	-425	Additional anticipated but largely one-off savings
Total Managed Savings	**-859**	

Net Budgetary Pressures still to be contained	341	Non-delegated budgets and spending will continue to be scrutinised to as far as possible offset pressures

There are further areas of uncertainty, particularly the level and cost of Out of County places which remains inherently volatile, the impact of the new model of EOTAS provision, the final settlement figure for the transfer of Employment Training which is still to be agreed, and the impact of any further backdating of increases in business rates on school premises.

Poverty & Prevention

Variance	£000	Explanation and Action
Tackling Poverty Unit	-20	Delay in recruitment & restructure to new Adult Prosperity and Wellbeing Manager (to be in place by Q2)

At this stage no further over/underspends to report. Work is ongoing around ensuring budgets are profiled to maximise use of grant and ensure no overspends in service area. All savings for 17/18 have been applied to budgets and are on track to be achieved.

Director of Place

There are some carried forward unachieved savings in relation to Terms & Conditions and Commercial Services although these will be offset by Commissioning Review savings and adjustments to reflect overlaps across the various Sustainable Swansea work strands. In relation to the Depot savings the project has been delayed but is expected to be completed during 2017/18 although as the exact date relies on acquisitions the full 'overspend' will be shown until this is clarified. Notwithstanding the above, an area of likely underspend relates to the inclusion of an allocation from WG for homelessness prevention at £741k. Many of the initiatives will take some time to implement meaning an underspend during 2017/18; however options are being looked at to offset this which will reported via the second quarter report.

Overall Target

The overall target was set by Council on 23/02/17. Taking into account the various savings streams (service savings, cross cutting savings, stopping services, increased council tax resources and unpicking some of the overlaps across streams) a stretch target equivalent to £18.727m is needed to balance the budget on its own. This tracker was predominantly compiled in June and July at the end of the first quarter.

Firm/To date

A strict interpretation of "firm" has been used. To qualify budget must have been allocated, removed and actual practical steps delivered to achieve the planned saving. **NON DELIVERY OF ORIGINAL SAVINGS**

Forecast

The overall weighted forecast is 62%, so very significantly short of where we should be. There is some progress on most areas of savings but limited delivery significant savings in the service savings, especially in Corporate Services and Social Services (both of which are reporting significant over spending) and in senior staff savings in Corporate Services and Place (which will need to be reviewed) . **SOME LARGE GAPS**

Service Savings

There are gaps in assured and evidenced savings across two directorates, Social Services and Corporate Services . These are significant enough to indicate that the overall budget will remain overspent by year end. **SUBSTANTIALLY BELOW TARGET**

Senior Staffing

Of the £2.5m savings target set at budget, there is already significant slippage in two directorates, Corporate Services and Place. **SIGNIFICANTLY BELOW TARGET**

Delivery Strands

All now fully allocated into services - no cross cutting unallocated strands remain. **NO LONGER APPLICABLE**

Other Savings

The nature of these savings is that they are mostly fully assured right at the start of the year. The major exception is Council Tax which ultimately depends upon collection performance. It is also where mitigating actions taken to address gaps elsewhere are likely to be recorded as the year develops **TARGET MET**

Risks and Issues to Address This Time

Overall rate of progress is significantly below expectation and is therefore again red flagged for the whole year .

The risks are predominantly around assuring progress is actually occurring on Service Savings and Senior Staffing savings. Reassurance and revalidation work will be essential in the second quarter to ensure all savings are being fully captured.

Cabinet will in due course be advised of the first quarter position, which taken together with emerging additional overspends in Corporate Services, Education and Social Services means that urgent action must be taken now on service spending.

Spending restrictions remain in place and will need to do so all year.
Immediate effort has been directed to:
Reminding every Head of Service they have NO authority to overspend and must take all endeavours to balance their budgets
Freezing recruitment to all but utterly exceptional circumstances posts
Stopping all overtime bar utter exception
Freezing all discretionary spend

Comments and feedback from PFMs

None to date

	£'000			£'000			£'000			To date	Forecast
Target	**18,727**		**To date**	**4,760**		**Forecast**	**11,627**		**Delivery**	**25%**	**62%**
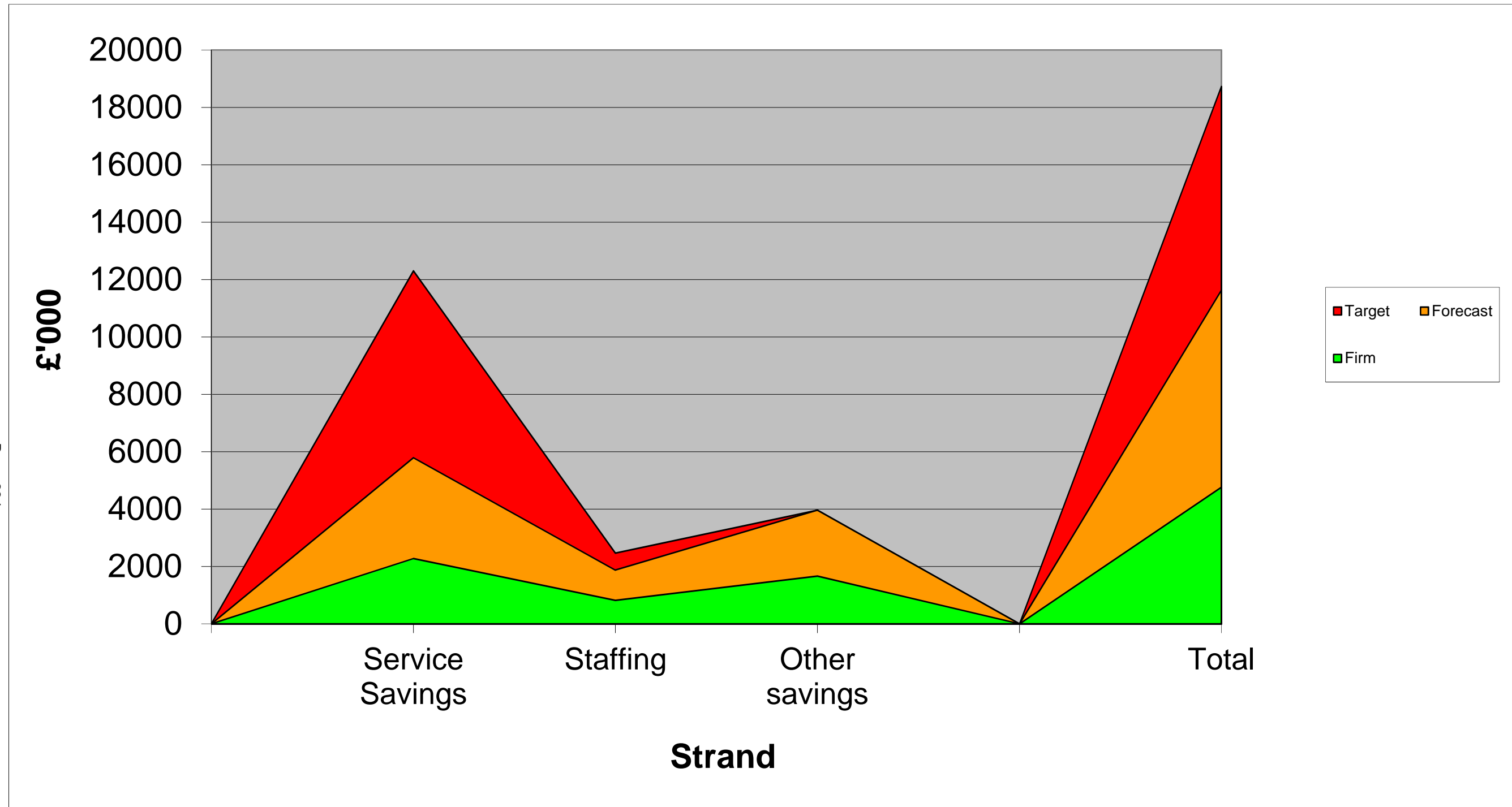
	Target £'000	Forecast £'000	Firm £'000
Service Savings	12,299	5,789	2,277
Staffing	2,465	1,875	820
Other savings	3,963	3,963	1,663
Total	**18,727**	**11,627**	**4,760**

Service Savings	Target £'000	Firm £'000	Forecast £'000	Target Met	Assessment	
Corporate Services	1,565	207	229	15%	🟥	RED
Education	314	194	314	100%	🟩	GREEN
Social Services	6,712	382	2,478	37%	🟥	RED
Poverty and Prevention	243	223	243	100%	🟩	GREEN
Place	3,465	1,271	2,525	73%	🟧	AMBER
	12,299	**2,277**	**5,789**	**47%**	🟥	RED

Senior Staffing	Target £'000	Firm £'000	Forecast £'000	Target Met	Assessment	
Corporate Services	735	144	372	51%	🟥	RED
Education	98	98	98	100%	🟩	GREEN
Social Services	764	36	764	100%	🟩	GREEN
Poverty and Prevention	146	123	146	100%	🟩	GREEN
Place	722	419	495	69%	🟥	RED
	2,465	**820**	**1,875**	**76%**	🟧	AMBER

Other savings	Target £'000	Firm £'000	Forecast £'000	Target Met	Assessment	
Council Tax (net)	3,263	963	3,263	100%	🟩	GREEN
Net levy savings	0	0	0	100%	🟩	GREEN
Reduced contingency fund	0	0	0	100%	🟩	GREEN
Use of Insurance Reserve	700	700	700	100%	🟩	GREEN
Use of General Reserves	0	0	0	100%	🟩	GREEN
	3,963	**1,663**	**3,963**	**100%**	🟩	GREEN

GRAND TOTAL	**18,727**	**4,760**	**11,627**	**62%**	🟥	RED

Classification		Jun	Sept	Dec	Mar
RED	Forecast below target by	30%+	20%+	15%+	5%+
AMBER	Forecast below target by	15-30%	10-20%	5-15%	0-5%
GREEN	Forecast below target by	15%	10%	5%	0%

Capital expenditure on major schemes to 30 June 2017 (where spend greater than £250k)	£000's
People	
YGG Lon Las Primary School new build	253
Pentrehafod Comp School Remodelling	1,564
Resources	
Telephony System Replacement	360
Place	
3G Pitches (across 3 schools)	426
Highways & Transport – carriageway resurfacing	747
Highways & Transport – invest to save scheme	364
Corporate Building and Property Services	313
Disability Facilities Grants	604
HRA Adaptations programme	627
HRA Kitchens & Bathrooms	3,630
HRA Boiler replacements	300
HRA High-rise flats (Clyne Court / Jeffreys Court)	250
HRA Llanllienwen	298
HRA More Homes	467

Report of the Cabinet Member for Service Transformation & Business Operations

Cabinet – 17 August 2017

RISK MANAGEMENT POLICY

Purpose:	To agree and adopt the Council's revised Risk Management Policy
Policy Framework:	Well-Being of Future Generations (Wales) Act 2015. Code of Corporate Governance.
Consultation:	Legal, Finance, Access to Services.
Recommendation(s):	It is recommended that:

1)   Cabinet adopts the revised Risk Management Policy.

Report Author: Richard Rowlands

Finance Officer: Carl Billingsley

Legal Officer: Debbie Smith

Access to Services Officer: Sherrill Hopkins

1.0   Introduction

1.1   This report presents the Council's revised Risk Management Policy for adoption by Council. The revised Risk Management Policy is attached at Appendix A and is supported by the revised Risk Management Framework attached at Appendix B.

2.0   Background

2.1   The Risk Management Policy sets out the principles for managing and communicating risk, ensuring that risk is embedded and effectively managed throughout the Council.

2.2   The Risk Management Policy will govern how the Council manages risks to achieving its priorities and objectives, risks arising from service delivery, risks to corporate and financial health and governance and the longer-term risks facing the Council and the community.

3.0 Overview of the Risk Management Policy

3.1 The Risk management Policy sets out:

1) *Risk Management Statement* – setting out the Council's overall approach to risk management.

2) *What is Risk Management* – outlining the definition of risk management used in the Policy.

3) *Aims of Risk Management* – describing what the Council aims to achieve through the Risk Management Policy.

4) *Risk Levels* – the different levels of risk managed through the Policy: Corporate, Directorate, Service, Project / Programme and Information Risks.

5) *Roles & Responsibilities* – setting out the different roles and responsibilities for officers and Members to manage risk in the Council.

6) *Risk Management Cycle* – the process for managing risk in the Council through the Policy.

7) *Risk Escalation* – guidelines for escalating risk for control and mitigation.

8) *Risk Management Communication* – the approach to embed risk management into the Council's organisational culture and governance.

9) *Risk Management Framework* – supporting the application of the Risk Management Policy in the Council.

4.0 Equality & Engagement Implications

4.1 The screening of this policy and framework has not identified any direct impacts from the policy on groups with protected characteristics, children and young people or the Welsh language and so has not been deemed relevant for an EIA. The EIA screening is attached as Appendix C.

4.2 However, the individual risks that are identified, evaluated and controlled by services with reference to this policy and framework could have a significant impact. In light of this, the implementation plan for this policy and framework includes a plan for communications and staff / Member training. This is to ensure that all staff and elected members receive training relevant to them so that they are able to implement the policy effectively and control risk to mitigate any effects on citizens, including any impacts on groups with protected characteristics. Elected

representatives (Cabinet) will also jointly own risks with CMT, Directors and Heads of Service where they can help control the risk.

4.3   Audit Committee, as part of its statutory role to assure the effectiveness of the risk management policy and framework and its operation within the Council, will receive a quarterly report on the overall status of risk management within the Council to ensure that it is working effectively.

4.4   Finally, there is scope within the policy through the incorporation into the policy of the 'involvement' principle of the Well-Being of Future Generations Act, for responsible officers / risk owners to involve citizens in identifying, evaluating and controlling risks where that is deemed relevant and appropriate by them.

5.0   Financial Implications

5.1   There are no direct financial implications. The Policy sets out the need to categorise financial risks that may have an adverse impact on or result from the Council's financial budgeting, planning, control and resilience.

6.0   Legal Implications

6.1   There are no direct legal implications. The Policy seeks to embed the Sustainability Principle in the management of risk outlined within the Well-Being of Future Generations (Wales) Act 2015 and statutory guidance, including the need to consider long-term strategic risks to the Council and community.

Background Papers: None.

Appendices: Appendix A – Draft Risk Management Policy.
                 Appendix B – Draft Risk Management Framework.
                 Appendix C – Equality Impact Assessment Screening Form.

City & County of Swansea Draft

Risk Management Policy

Purpose

This policy sets out the principles for managing and communicating risk, ensuring that risk management is effectively implemented throughout the City and County of Swansea.

The Risk Management Policy governs how the Council manages risks to achieving its priorities and objectives, risks arising from service delivery, risks to corporate and financial health and governance and the longer-term risks facing the Council and community.

The Council recognises that it has a responsibility to manage business risks effectively in order to reduce uncertainty in achieving its priorities and objectives and to benefit from opportunities.

This policy applies to all Council staff and its principles should be applied when working internally or externally with partners and other stakeholders.

Approval

Title	Date

Reference No.:	Version 1.2
Date:	22/02/2017
Author:	Performance & Delivery
Website	**http://staffnet/riskmanagement**

Risk Management Policy

Contents

Document Control

Version No.	Revision Date	Summary of Changes
1.2	2016/17	*Purpose* - amended
		Risk Management Statement – amended
		What is Risk Management – amended
		Aims of Risk Management – amended
		Principles of Risk Management – deleted
		Risk Levels – added
		Roles & Responsibilities – added
		Risk Management Cycle – added
		Risk Escalation – added
		Risk Management Communication – amended
		Corporate Risk Management Framework - amended

Risk Management Policy

1. Risk Management Statement

The City and County of Swansea is aware that the nature and range of its responsibilities and the environment in which it exercises them present a wide range of risks. Such risks may threaten the achievement of the Council's aims and objectives as set out in the Corporate Plan and affects its employees, service users, Council tax payers and other stakeholders.

The Council also recognises the need to strike the right balance between encouraging innovation and avoiding risk. It is appropriate to take and manage calculated risks in pursuing opportunities to improve services and to obtain better value for money.

The Council like all public bodies, as well as considering short and medium risks, will also have to understand and address the longer-term risks and challenges facing the Council and the community. We need to prevent risks from occurring and to mitigate their impact should they occur. We may need to work with others to prevent risks from occurring or to control and manage them. We need to be mindful that dealing with risks does not create risks and issues for other public bodies. Involving clients, customers and citizens in helping to prevent and to control and manage risks will help too.

While the elimination of risk entirely is neither feasible nor desirable, the Council is committed to the continuing management of risk through a cost-effective formal process which involves risk identification and categorisation, evaluation, and treatment to eliminate or mitigate the likelihood of risks occurring and their impact.

Clear identification and assessment of risks will improve corporate governance and performance and lead to more effective use of resources and direct improvements to the service to our customers.

2. What is Risk Management?

The term 'risk management' incorporates all the activities required to identify and control the exposure to risk which may have an impact on the achievement of the Councils business.

Risk Management is the process by which risks are identified, evaluated and controlled and is a key element of the framework of corporate governance.

> **Definition of Risk**
> *Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies.*

Risk arises as much from failing to capture opportunities whilst pursuing business objectives as it does from a threat that something bad will happen.

3. Aims of Risk Management

Through this Policy, the Council aims to:
- Provide an effective/consistent approach to identifying, evaluating and controlling risk across all activities.
- Improve the ability of the Council to achieve its priorities and objectives.
- Embed risk management into the culture and practices of the Council so that everyone recognises that risk management is part of their jobs.
- Place greater emphasis on prevention rather than detection and correction.

- Improve the identification, evaluation and control of strategic and long-term risks, operational risks and community risks.
- Protect and enhance the assets and image of the Council.
- Embed the Sustainability Principle (Well-Being of Future Generations Act 2015) and improve the Council's governance and decision making processes and outcomes.

4. Risk Levels

There are different levels within the risk register: Corporate, Directorate, Service, Project / Programme and Information risks.

Corporate Risks are those that have a potential impact on the Council as a whole and / or the community or could prevent the Council from achieving its priorities and objectives.

Directorate Risks are those that have a potential impact on a single Directorate and could interfere with it achieving its priorities and objectives.

Service Risks are those that have a potential impact on a single Service Unit and could interfere with it achieving its priorities and objectives.

Programme and Project Risks are those that could have a detrimental or other impact on the achievement of programmes or projects objectives.

Information risks involve the fraudulent, unauthorised or negligent access, use, misuse or misplacing of information, records and data held by the Council that is confidential, commercial or otherwise sensitive.

Risks may appear in more one level within the risk register but mitigation and controls would be relevant and specific to each level of risk.

Risks are identified during Corporate, Directorate and Service Planning or during review or as and when they arise.

All risks are recorded in Risk Registers and are controlled at least on a monthly basis at the appropriate forum as detailed in the Risk Management Framework accompanying this Policy.

Corporate Risks will also be reported and reviewed in-depth each quarter in line with corporate performance monitoring.

In addition, RED risks at the different levels, including Directorate and Service Risks, have visibility and are reviewed each month at CMT.

5. Roles & Responsibilities

The Leader and Cabinet are responsible for setting the Council's risk management policy and agreeing the Risk Management Framework, having ownership or joint-ownership of Corporate Risks with CMT where Cabinet can help control the risk and for assessing the current and long-term risks associated with Cabinet reports.

The Chief Executive and Corporate Management Team (CMT) are responsible for ensuring that an effective risk management policy, framework and arrangements are in place within the Council. CMT also has ownership or joint-ownership of Corporate Risks with Cabinet where CMT can help control the risk and for reviewing and regularly monitoring 'RED' risks at the different risk levels.

Risk Management Policy

Cabinet and CMT jointly own and are responsible for the Risk Management Policy and Framework and for championing risk management throughout the Council. They are jointly responsible for identifying and evaluating current and longer-term Corporate Risks during corporate planning and as they emerge and for reviewing, monitoring and ensuring control of Corporate Risks. CMT and Cabinet have joint-ownership of Corporate Risks where CMT and Cabinet together can help control the risk.

Directors and Heads of Service are responsible for championing and making arrangements for embedding risk management throughout their directorates and service units. They are also responsible for identifying and evaluating current and longer-term risks during directorate and service planning and as they emerge and for reviewing, monitoring and ensuring risks are controlled. Directors and Heads of Service will also be responsible for ensuring risks are escalated for control and mitigation when necessary.

Cabinet Members have joint-ownership / ownership for Corporate, Directorate and Service Risks where they can help control the risk.

All Members are responsible for considering the current and long-term risks associated with policy decisions.

All officers and managers are responsible for Identifying opportunities and managing risks effectively in their jobs, reporting any risk management concerns, incidents and 'near misses' to their line managers. Officers and managers are responsible for identifying, evaluating and controlling operational risks and for ensuring they are documented on relevant risk registers/trackers/reporting templates. Officers and managers are responsible for escalating risks for control and mitigation when necessary.

Internal Audit is responsible for providing an independent and objective opinion to the Council on the effectiveness of the risk management policy and arrangements.

Audit Committee are responsible for challenging and providing independent assurance to Members on the adequacy of the Risk Management Policy and Framework, the development and operation of risk management in the Council and monitoring progress in addressing risk related issues reported to the Committee.

The Senior Information Risk Owner (SIRO) is responsible for ensuring that information risks are treated as a priority for all business outcomes and providing board-level accountability and assurance that information risks are being addressed.

The 'Responsible Officer' is responsible for the management, monitoring and control of an identified risk. The responsible officer is the person who is able to do something to control the risk. The responsible officer will escalate risks for control and mitigation when necessary.

More detailed information on Risk Management roles and responsibilities can be found in the Council's Risk Management Framework associated with this Policy.

6. Risk Management Cycle

The Council implements a 'Four Step' Risk Management Cycle across the Council to provide a consistent approach to managing risk.

Risks will be identified by considering the hazards that could happen and, if they did, their adverse or other impact.

Current and long-term risks will be formally identified, categorised and reviewed during annual corporate, directorate and service planning.

Identified risks will be categorised as: strategic (long-term or external) risks, operational risks arising from Council activity or service delivery; financial risks to budget planning, control or resilience; regulatory risks resulting from legislative frameworks, and; governance risks resulting from the leadership, management, decision-making or control of the Council. Risk categorisation will help clarify the nature of risks and help identify whether a particular risk is a corporate, directorate or service level risk.

Identified risks will be evaluated according to the likelihood they will occur and the impact they will have should they occur.

Once risks have been identified and evaluated, decisions will be made concerning how to respond to specific risks by taking action to improve the outcome as detailed in the Risk Management Framework associated with this Policy. When considering how to respond to risks, the Sustainable Development principle (Well-Being of Future Generations Act 2015) will be applied.

The outcomes from the operation of the Risk Management Cycle will be recorded in the appropriate Risk Registers.

Risks will be controlled and monitored at the appropriate forum on a monthly basis and more frequently if necessary.

More detailed information on Risk Management Cycle can be found in the Council's Risk Management Framework associated with this Policy.

7. Risk Escalation

Risks will be escalated when the impact from a risk, or decisions or actions needed to mitigate or control the risk, is beyond a single service or directorate, or when the risk tolerance line has been exceeded; or for other reasons outlined in more detail in the Risk Management Framework associated with this Policy.

8. Risk Management Communication

This Policy and the associated Risk Management Framework seeks to help embed risk management into the Council's culture. This will require effective staff and Member communication and training. Risk identification and evaluation is integrated into corporate and service planning. Cabinet and CMT and individual Directors and Heads of Service must champion and make arrangements for embedding risk management throughout the Council. The Council will disseminate best practice in risk management from its own experience and that of others.

9. Corporate Risk Management Framework

This policy should be read in-conjunction with the corporate Risk Management Framework, which aims to help managers and Members at all levels apply risk management principles consistently across their areas of responsibilities.

City & County of Swansea

Draft

Corporate Risk Management Framework

Purpose

This framework describes the specific risk management activities that will be undertaken within the City & County of Swansea. The aim is to help managers at all levels apply the principles consistently across their area of responsibility.

CIPFA state that *"Risk management is important to the successful delivery of public services. An effective risk management system identifies and assesses risks, decides on appropriate responses and then provides assurance that the chosen responses are effective."*

The Council recognises that it has a responsibility to manage risks effectively in order to reduce uncertainty in achieving its priorities and objectives and to benefit from opportunities. This framework applies to all Council staff and its principles should be applied when working internally or externally with partners and other stakeholders.

Definition of Risk

"Risk is an event, action, or lack of action that could adversely affect the Council's ability to achieve objectives and to successfully execute its strategies. Risk arises as much from failing to capture opportunities whilst pursuing business objectives as it does from a threat that something bad will happen"

Approval

Title	Date

Reference No.:	Version 1.10
Date:	14th February 2017
Author:	Performance & Delivery
Website	**http://staffnet/riskmanagement**

Contents

Document Control

Version No.	Revision Date	Summary of Changes
1.10	2016/17	*Foreword* – amended
		Definition of Risk - added
		Definition of Risk Management - added
		Corporate Commitment to Risk Management - amended
		Aims of Risk Management – amended
		Benefits of Risk Management - deleted
		Risk Levels – added
		Roles & Responsibilities - amended
		Risk Management Cycle – amended
		Risk Escalation – added
		Glossary of Terms - deleted

1. Foreword

This framework aims to help employees, senior managers and elected Members to apply risk management principles consistently across their area of responsibility.

The intention of the framework is to help ensure that risk management is embedded into the culture of the Council, with members, managers and officers at all levels recognising that risk management is part of their jobs.

Clear identification and assessment of risks will improve corporate governance, corporate and service planning and performance and lead to more effective use of resources and direct improvements to the service to our customers.

The Council is increasingly involved in dealing with uncertainty and managing major change. We are under increasing pressure to deliver better services, increasingly in partnership with others, in new and innovative ways and within reducing budgets. All of this attracts risk which needs to be managed and controlled effectively if we are to achieve the desired outcomes.

The Council like all public bodies, as well as considering short and medium risks, will also have to understand and address the longer-term risks and challenges facing the Council and the community. We need to prevent risks from occurring and to mitigate their impact should they occur. We may need to work with others to prevent risks from occurring or to control and manage them. We need to be mindful that dealing with risks does not create risks and issues for other public bodies. Involving clients, customers and citizens in helping to prevent and to control and manage risks will help too.

Risk management is the process of identifying significant risks, evaluating the potential consequences and implementing the most effective way of responding to, controlling and monitoring them.

By being more risk aware, the Council will be better placed to avoid threats and take advantage of opportunities when they arise.

Risk Management is everyone's business but it will be championed and strongly led by the Corporate Management Team, Cabinet and Leadership Team of the Council

Signed ………………….…………………..

   Phil Roberts
   Chief Executive

2. Definition of 'Risk'

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies (CIPFA).

3. Risk Management

Risk Management is the process by which risks are identified, evaluated and controlled and is a key element of the framework of corporate governance (CIPFA).

4. Corporate Commitment to Risk Management

The Council views the management of risk as an essential part of strong corporate governance. The approach is one of managing risk proactively and positively. Effective risk management helps improve services and outcomes, enhances accountability and ensures compliance with formal policies and procedures. Proactive and effective risk management is everyone's business.

5. Aims of the Risk Management Framework

Through this framework, the Council aims to:

- ensure an effective risk management system is in place;
- Improve the ability of the Council to achieve its priorities and objectives.
- help employees, senior managers and elected Members to apply risk management principles consistently across their area of responsibility;
- ensure that the risk management system identifies and assesses risks, decides on appropriate responses and then provides assurance that the chosen responses are effective;
- ensure that risk management is embedded into the culture of the Council, with employees, Members and managers at all levels recognising that risk management is part of their jobs;
- place greater emphasis on prevention rather than detection and correction;
- improve the identification, evaluation and control of strategic and long-term risks, operational risks and community risks;
- protect and enhance the assets and image of the Council;
- embed the Sustainability Principle (Well-being of Future Generations Act) and improve the Council's governance and decision making processes and outcomes.

6. Risk Levels

There are different levels within the risk register: Corporate, Directorate, Service, Information and Project / Programme Risks.

Risks Levels
Corporate Risks are those that could have a detrimental impact on the whole Council or community or could prevent the Council from achieving its priorities and objectives. Corporate Risks are recorded in the Corporate Risk Register.

A **Directorate Risk** is a risk that:
- Could have a detrimental impact on a single directorate and interfere with it achieving its priorities and objectives.
- Needs cross-service mitigation and control within the directorate.
- Is beyond the capacity of a single service to control and mitigate.

Directorate Risks are recorded in the Directorate Risk Register.

A **Service Risk** is a risk that:
- Does not have a detrimental impact beyond a single Service Unit and interfere with it achieving its priorities and objectives.
- Can be mitigated and controlled within the Service Unit.

Service Risks are recorded in the Service Risk Register.

An **Information Risk** is a risk that:
- Involves the fraudulent, unauthorised or negligent access, use, misuse or misplacing of information, records and data held by the Council that is confidential, commercial or otherwise sensitive.

Information Risks are recorded in the Information Risk Register

A **Project and Programme Risk** is:
- An uncertain event or condition that, if it occurs, has a positive or negative effect on a project's or programme's objectives.

Project or programme risks are identified and recorded onto a Risk Tracker, which Project or Programme Managers are expected to control and manage.

There may be 'uniform' risks identified, e.g. safeguarding, Health & Safety, financial control, etc. that should appear at all levels of the risk register. Risks may appear in more one level within the risk register but mitigation and controls would be relevant and specific to each level of risk.

7. Roles and Responsibilities

To implement this framework, specific roles and responsibilities for key stakeholders have been identified as outlined below:

Roles & Responsibilities

Leader and Cabinet
- Set the Council's Risk Management Policy and agree the Risk Management Framework.
- Have ownership of Corporate Risks where Cabinet can help control the risk.
- Assess / challenge the current and long-term risks associated with Cabinet reports.

Chief Executive and Corporate Management Team:
- Ensure that an effective Risk Management Policy, Framework and arrangements are in place within the Council.
- Have ownership of Corporate Risks where CMT can help control the risk.
- Review and monitor 'RED' risks at the different risk levels.
- Consider the current and long-term risks associated with decisions.

Cabinet and CMT
- Have joint-ownership of the Risk Management Policy and Framework and champion risk management throughout the Council.
- Identify and evaluate current and longer-term Corporate Risks during corporate planning and as they emerge.
- Review, monitor and ensure control of Corporate Risks.
- Have joint-ownership of Corporate Risks where CMT and Cabinet can help control the risk.

Cabinet Members:
- Have joint-ownership / ownership for Corporate, Directorate and Service Risks where they can help control the risk.

Elected Members:
- Gain an understanding of risk management and its benefits;
- Be aware of how risks are being managed through the Risk Management Policy and Framework; and
- Maintain an awareness of the risk management implications of policy decisions.

Directors:
- Champion and make arrangements for embedding risk management throughout their Directorate.
- Identify and evaluate current and longer-term Directorate Risks during directorate planning and as they emerge.
- Review, monitor and ensure control of Directorate Risks.
- Ensure Directorate level risks are escalated when necessary.

Heads of Service:
- Champion and make arrangements for embedding risk management throughout their Service Unit.
- Identify and evaluate current and longer-term Service Risks during service planning and as they emerge.
- Review, monitor and ensure control of Service Risks.
- Ensure Service level risks are escalated when necessary.

Council Officers and Managers:
- Identify opportunities and manage risks effectively in their jobs, reporting any risk management concerns, incidents and 'near misses' to their line managers.
- Identify, evaluate and control operational risks and ensuring they are documented on relevant risk registers/trackers/reporting templates.
- Escalate risks when necessary.

Internal Audit:
- Provide an independent and objective opinion to the Council on the control environment (which comprises of risk management, control and governance) by evaluating its effectiveness in achieving the Council's objectives.

The Audit Committee:
- Challenge and provide independent assurance to the Members of the adequacy of the risk management framework.
- Challenge and monitor the effective development and operation of risk management in the Council.
- Monitor progress in addressing risk related issues reported to the Committee.

The **Responsible Officer** is responsible for the management, monitoring and control of an identified risk. The responsible officer should be the person who is able to do something to control the risk. The responsible officer will escalate risks for control and mitigation when necessary.

The **Updater** is responsible for updating the risks recorded in the risk register.

The **Administrators** are responsible for oversight of the risk management framework, quality assurance, maintaining policies and procedures and system administration and maintenance.

The **Corporate Director (Resources)** has the authority to escalate risk concerns or issues from PFM to Corporate Management Team on behalf of Corporate Finance, HR and Performance

representatives.

The **Senior Information Risk Owner (SIRO)**:
- Ensuring that information risks are treated as a priority for all business outcomes.
- Providing board-level accountability and greater assurance that information risks are being addressed.

Project and Programme Managers are responsible for controlling, reporting and escalating programme / project risks above their agreed tolerance levels to senior management.

Risk awareness raising and training sessions will be provided for the workforce and for elected Members on identifying and reporting risks, including what to do if they identify a risk.

8. Risk Management Cycle

The Council implements a 'Four Step' Risk Management Cycle across the Council to provide a consistent approach to managing risk.

Figure 1 – Risk Cycle
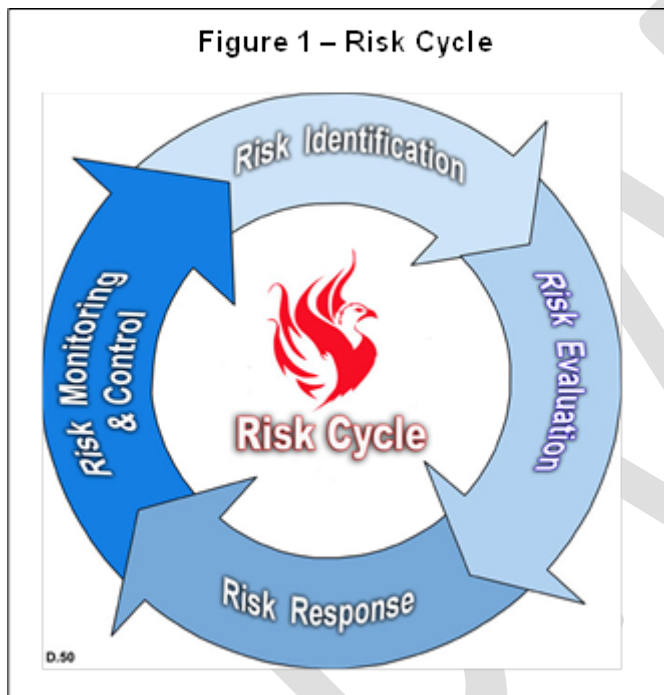
Step 1 – Risk Identification

Step 2 – Risk Evaluation

Step 3 – Risk Response

Step 4 – Risk Monitoring & Control

8.1   Step 1 - Risk identification

Risk identification is about considering the hazards that could happen and, if they did, would have an adverse or other impact.

Risks are formally identified and reviewed during annual corporate and service planning as part of the consideration of the threats to achieving our priorities and objectives. This is illustrated in fig 2 on the next page.
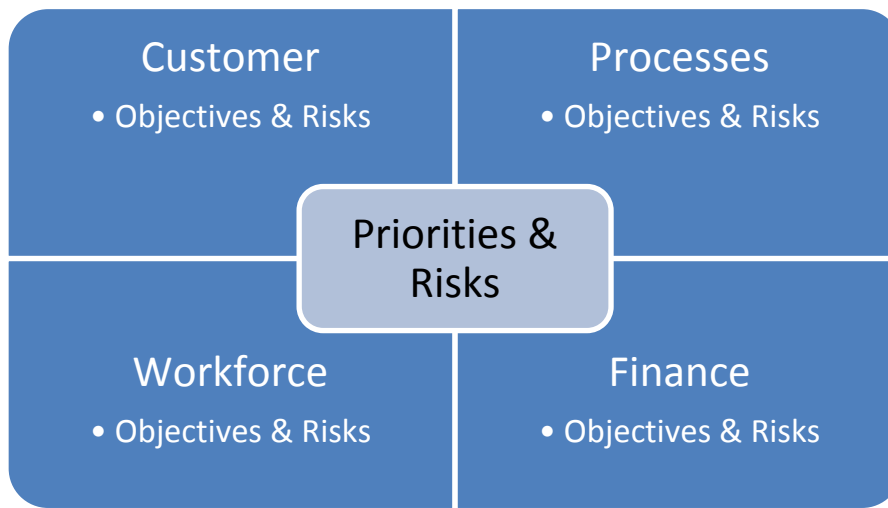
Fig 2 – Identifying risks to achieving our priorities and objectives during corporate and service planning.

The SWOT (Strengths, Weaknesses, Opportunities and Threats) tool and the PESTLE tool are useful to help scan the **current** and **future (long-term) organisational** and **external environment** in order to help **identify potential risks**:

- **P**olitical forces
- **E**conomic factors (including financial)
- **S**ocial factors (including demographic / well-being)
- **T**echnological factors (including systems, information and data)
- **L**egal factors (including legislative)
- **E**nvironmental factors

Note that any **Health & Safety threats or hazards** should be reviewed and identified during corporate and service planning as part of the risk identification process. More information on Health & Safety Risk Assessments can be found at
http://www.swansea.gov.uk/staffnet/riskassessments

Risks are described using the **"If and then"** statement. The **"If"** being the risk and the **"then"** being the impact if it's not dealt with.

The risk description must be clear and precise and appropriate to the public domain. Here is an example of wording a risk:

> **"*If* the Council does not meet WAG targets to achieve diversions from landfill *then* the Council will be subject to penalties and payments"**

Note that new and emerging risks will also need to be identified, recorded, evaluated and controlled as they become known.

8.1.1 Risk Categorisation
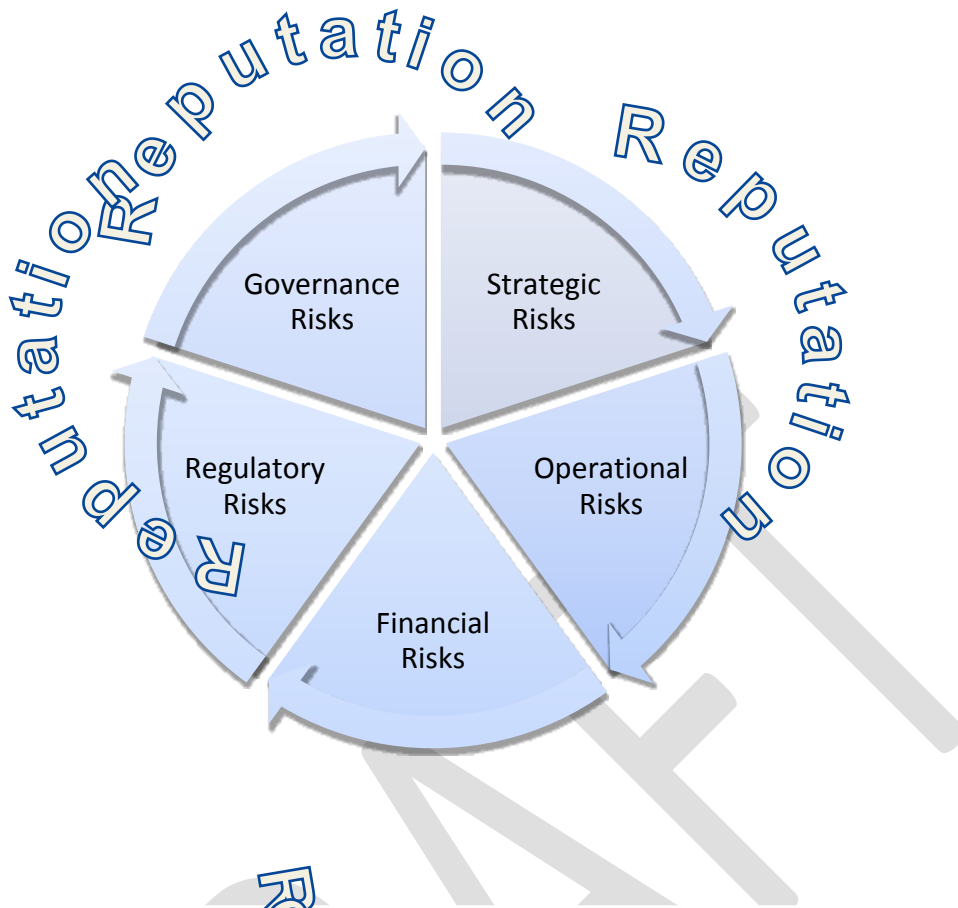
Risk Categories
Strategic Risks are long-term or external threats or events that adversely affect the Council's ability to achieve its priorities and objectives.
Operational Risks are threats or events that arise from the services the Council delivers or the activities that it carries out.
Financial Risks are threats or events that may have an adverse impact on or result from the Council's financial budgeting, planning, control and resilience.
Regulatory Risks are threats or events resulting from the legislative framework within which the Council operates.
Governance Risks are threats or events that result from the leadership, management, decision making and control of the Council.

All risks have the potential to damage the reputation of the Council.

Risk categorisation helps clarify the nature of risks, although in reality risks may be put into more than one category; attempts should be made to identify the main category that any risk should fall into.

The different categories of risk should help identify whether a particular risk is a corporate, directorate or service level risk. For example, a care provider going out of business may be an operational risk but it may also lead to a reputational risk to the whole Council. For this reason, because there is a potential impact on the whole Council, it may be deemed that the risk is a Corporate level risk instead of a Service level risk.

8.2 Step 2 - Risk Evaluation

There are two factors that determine how important a risk is. These are:
- The chances of it happening (**likelihood**);
- The cost or consequences if it does (**impact**).

- **Risk Matrix**
  - When evaluating the likelihood and impact of risks, the risk matrix (as shown in figure 3 below) can be used to help plot the risks. This is a simple mechanism to increase visibility of risks and assist management decision making.

Risk Matrix Fig 3

D.52
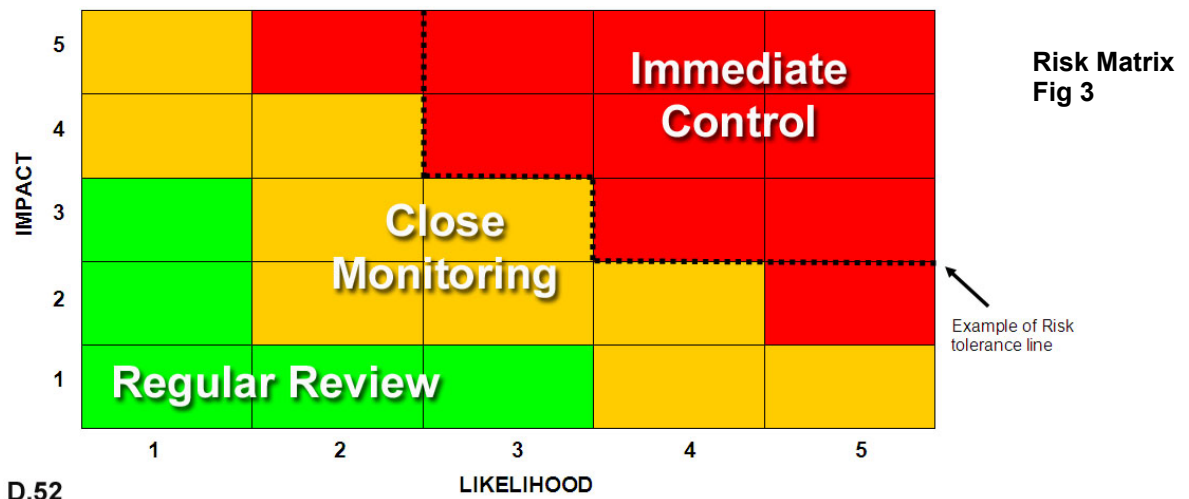
Within the Council, a RAG (Red, Amber, and Green) status will be used to evaluate these factors and it's important to recognise that each RAG colour represents a particular meaning as follows:

Red – Immediate Control - There are significant problems which will have a significant impact on the Council if it is not managed;

Amber – Close Monitoring - will affect the Council if it is not properly monitored and controlled;

Green – Regular Review - Going to plan but needs to be monitored on a regular basis.

- **Assessing Likelihood and Impact**
  - Once the risks have been identified the **likelihood** of risk occurring and the **impact** they will have if they occur must be assessed. It is important to note that the likelihood and impact of the risks identified need to be considered and ranked using the risk matrix according to the worst case scenario that could happen with the existing controls in place.

- **Risk Proximity**
  - When considering a risk's likelihood, another aspect is when the risk might occur. Some risk will be predicted to be further away than others and so attention should be focused on the more immediate ones first. This prediction is called the risk's **proximity**. Under the Sustainable Development Principle, the Council should look to identify **longer-term risks** – See Section 8.3 Risk Response.

- **Control Measures/Countermeasures**

- When evaluating risk, there is a need to identify existing control measures that are currently in place to manage the risks and any new countermeasures that need to be put in place to manage the risk. See Section 8.3 Risk Response.
- **Risk Tolerance**
  - When identifying risk tolerance, a **risk tolerance line** could be plotted on the matrix to show that any risks above this line needs to be referred upwards for decisions. An example is plotted on fig 3 above. See Section 9 Risk Escalation.

8.3 Step 3 Risk Response

Once risks have been identified and adequate control measure assessed, decide how to respond to specific risks by taking action to improve the outcome. Possible responses to risk should include the four T's as follows:

- **Treat -** Treating the risk – take action to control it in some way by applying containment or contingent actions. Within this categorisation:
  - **Containment** actions are those which lessen the likelihood of the risk or the consequences, and are applied **before** the risk materialises.
  - **Contingent** actions are those which are put into place **after** the outcome from the risk has happened. Here the focus is on reducing the impact of the risk. These actions can be pre-planned so that people know what to do in advance.
- **Transfer -** Transferring some aspects of risk is a recognised method either by getting a third party to take it on or, if available, an insurance policy.
- **Tolerate -** Perhaps nothing can be done at a reasonable cost to mitigate the risk, although the risk should be monitored to ensure it remains acceptable.
- **Terminate -** By doing things differently and thus removing the risk, where it is either feasible or practical to do so.

When considering how to respond to risks, the Sustainable Development principle should be applied as outlined below:

- **Long-term**…looking at longer-term and emerging risks and looking to see how they may be prevented or their impact reduced, e.g. climate change.
- **Prevention…**looking to see how risks may be prevented from happening or their impact reduced should they occur.
- **Integration…**reviewing how risks, controls or responses may have a detrimental impact on the goals and objectives of other public bodies.
- **Collaboration…**reviewing working in partnership with others to help prevent, control or remove risks.
- **Involvement…**considering how involving stakeholders may help prevent, control or remove risks.

8.4 Step 4 Risk Monitoring and Control

Risks must be **monitored** and **controlled**. Risks should be **monitored on a monthly basis** and more frequently if necessary.

Corporate Risks will also be reported and reviewed in-depth **each quarter** in line with corporate performance monitoring. In addition, RED Risks at the different levels, including

Directorate and Service Risks, should also have visibility and be reviewed **each month** at CMT.

Risks are monitored and controlled at the appropriate forum as follows. Risk must be a standard item on the agenda for each of these meetings.

Risks	Forum
Corporate Risks	Corporate Management Team
Directorate Risks	Performance & Financial Monitoring (PFM) meetings
Service Risks	Directorate Management Team (DMT) / Senior Management Team (SMT) & PFMs.
Information Risks	Information Governance Board
Programme / Project Risks	Programme / Project Board

Risk Control Checklist

The following checks can be useful to help monitor and control the risk:

- ✓ Is the proximity of the risk still correct?

- ✓ Is the likelihood and impact of the risk occurring still correct?

- ✓ Are the controls in place accurate and up-to-date?

- ✓ Are the planned responses (actions) in place the right ones?

- ✓ Have the planned responses (actions) to the risk been implemented?

- ✓ Are the controls and / or planned responses (actions) having the desired effect in controlling and / or mitigating the risk?

- ✓ Do additional risk responses (actions) need to be put in place to help control or mitigate the risk?

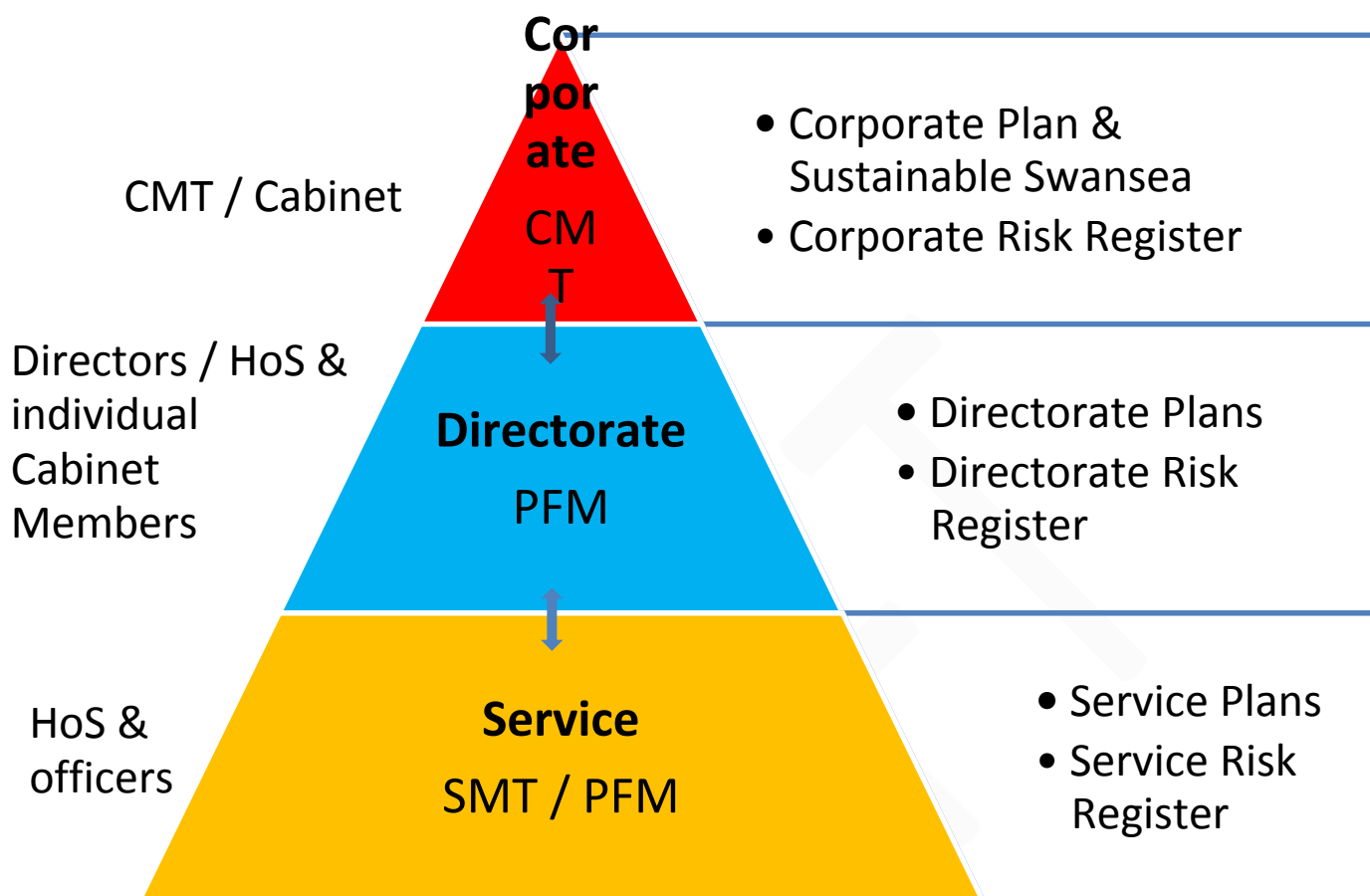- ✓ Does the risk need to be escalated?

9. Risk Escalation

Risks would be escalated from Service level to Directorate level to Corporate level when:

- A decision is required or actions need to be taken to mitigate risk that are beyond the authority or capacity of the Service or Directorate;

- When a broader view is required or the collective knowledge of the Service or Directorate is not enough to mitigate the risk.

- When the impact of a risk coming into effect is broader and goes beyond a single Service or Directorate.

- When the 'tolerance line' plotted onto the risk matrix has been crossed.

- 'Information only escalation', i.e. when it is important that a higher body is aware of issues or risks that they may be required to take action on in the future.

Note – these guidelines must be exercised with some discretion and judgment from Heads of Service and Directors. There may be political, reputational issues etc. that although may not be of the greatest corporate importance might still need to be escalated anyway. There may be occasions when risks are escalated from service level straight to corporate level at Corporate Management Team. See Point 7 Roles and Responsibilities.

Performance Improvement and Risk Management Framework

CMT / Cabinet

Corporate
CMT

- Corporate Plan & Sustainable Swansea
- Corporate Risk Register

Directors / HoS & individual Cabinet Members

Directorate
PFM

- Directorate Plans
- Directorate Risk Register

HoS & officers

Service
SMT / PFM

- Service Plans
- Service Risk Register

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: Strategic Delivery Unit
Directorate: Financial Services

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

Service/ Function	Policy/ Procedure	Project	Strategy	Plan	Proposal
☐	**x**	☐	☐	☐	☐

(b)   Please name and describe below

Risk Management Policy and Framework setting out principle and guidelines to ensure the effective management of risk across the Council

Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery	Indirect front line service delivery	Indirect back room service delivery
☐ (H)	☐ (M)	x (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
☐ (H)	☐ (M)	☐ (M)	x (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)	☐	☐	x	☐
Any other age group (18+)	☐	☐	x	☐
Disability	☐	☐	x	☐
Gender reassignment	☐	☐	x	☐
Marriage & civil partnership	☐	☐	x	☐
Pregnancy and maternity	☐	☐	x	☐
Race	☐	☐	x	☐
Religion or (non-)belief	☐	☐	x	☐
Sex	☐	☐	x	☐
Sexual Orientation	☐	☐	x	☐
Welsh Language	☐	☐	x	☐
Poverty/social exclusion	☐	☐	x	☐
Carers (inc. young carers)	☐	☐	x	☐
Community cohesion	☐	☐	x	☐

Q4   HAVE YOU / WILL YOU UNDERTAKE ANY PUBLIC CONSULTATION AND ENGAGEMENT RELATING TO THE INITIATIVE?

☐ YES   x NO   **(If NO, you need to consider whether you should be undertaking**
(see below)   **consultation and engagement – please see the guidance)**

Equality Impact Assessment Screening Form

If yes, please provide details below
CMT, Cabinet and Audit Committee have been consulted.

Q5(a) HOW VISIBLE IS THIS INITIATIVE TO THE GENERAL PUBLIC?

High visibility	Medium visibility	Low visibility
☐ (H)	☐ (M)	x (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	Medium risk	Low risk
x (H)	☐ (M)	☐ (L)

Q6 Will this initiative have an impact (however minor) on any other Council service?

x Yes   ☐ No   **If yes, please provide details below**
Governs risk management across the Council

Q7 HOW DID YOU SCORE?
Please tick the relevant box

MOSTLY H and/or M ⟶ **HIGH PRIORITY** ⟶ ☐ **EIA to be completed Please go to Section 2**

MOSTLY L ⟶ **LOW PRIORITY / NOT RELEVANT** ⟶ x **Do not complete EIA Please go to Q8 followed by Section 2**

Q8 If you determine that this initiative is not relevant for a full EIA report, you must provide adequate explanation below. In relation to the Council's commitment to the UNCRC, your explanation must demonstrate that the initiative is designed / planned in the best interests of children (0-18 years). For Welsh language, we must maximise positive and minimise adverse effects on the language and its use. Your explanation must also show this where appropriate.

The screening of this policy and framework has not identified any direct impacts from the policy on groups with protected characteristics, children and young people or the Welsh language and so has not been deemed relevant for an EIA.

However, the individual risks that are identified, evaluated and controlled by services with reference to this policy and framework could have a significant impact. In light of this, the implementation plan for this policy and framework includes a plan for communications and staff / Member training. This is to ensure that all staff and elected members receive training relevant to them so that they are able to implement the policy effectively and

Equality Impact Assessment Screening Form

control risk to mitigate any effects on citizens, including any impacts on groups with protected characteristics. Elected representatives (Cabinet) will also jointly own risks with CMT, Directors and Heads of Service where they can help control the risk.

Audit Committee, as part of its statutory role to assure the effectiveness of the risk management policy and framework and its operation within the Council, will receive a quarterly report on the overall status of risk management within the Council to ensure that it is working effectively.

Finally, there is scope within the policy through the incorporation into the policy of the 'involvement' principle of the Well-Being of Future Generations Act, for responsible officers / risk owners to involve citizens in identifying, evaluating and controlling risks where that is deemed relevant and appropriate by them.

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: Richard Rowlands
Job title: Strategic Delivery Unit manager
Date: 22nd June 17
Approval by Head of Service:
Name:
Position:
Date:

Please return the completed form to <u>accesstoservices@swansea.gov.uk</u>

Report of the Cabinet Member for Children, Education & Lifelong Learning

Cabinet – 17 August 2017

LOCAL AUTHORITY GOVERNOR APPOINTMENTS

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

1. 0   The nominations referred for approval

1.1   At the meeting of the L.A. Governor Appointment Panel held on 27 July 2017, nominations were recommended for approval as follows:

1. Danygraig Primary School	Cllr Joseph Hale

2. Gendros Primary School	Cllr Michael Durke

3. Penclawdd Primary School	Mrs Susan Phillips

4. Pen Y Fro Primary School	Cllr Louise Gibbard
5. Plasmarl Primary School	Cllr David Hopkins
6. St Davids RC Primary School	Mr Chris Law
7. Terrace Road Primary School	Cllr Erika Kirchner
8. Trallwn Primary School	Mrs Susan Bowen Cllr Yvonne Jardine
9. Waunarlwydd Primary School	Cllr Wendy Lewis
10. Gowerton Comprehensive School	Miss Kelly Small
11. Olchfa Comprehensive School	Cllr Michael Day
12. Ysgol Gyfun Bryntawe	Mr Adrian Laurence

2.0 Financial Implications

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

3.0 Legal Implications

3.1 There are no legal implications associated with this report.

4.0 Equality and Engagement implications

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

Background papers: None

Appendices: None