

COUNCIL SUMMONS

You are hereby summoned to attend a Meeting of the COUNCIL OF THE CITY AND COUNTY OF SWANSEA to be held in the Council Chamber, Guildhall, Swansea on Thursday, 24 August 2017 at 5.00 pm.

The following business is proposed to be transacted:

1. **Apologies for Absence.**
2. **Disclosures of Personal and Prejudicial Interests.**
www.swansea.gov.uk/disclosuresofinterests
3. **Minutes.** **1 - 19**
To approve & sign the Minutes of the previous meeting(s) as a correct record.
4. **Written Responses to Questions asked at the Last Ordinary Meeting of Council.** **20 - 33**
5. **Announcements of the Presiding Member.**
6. **Announcements of the Leader of the Council.**
7. **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.
8. **Public Presentation - None.**
9. **Corporate Plan 2017/22.** **34 - 82**
10. **Code of Corporate Governance.** **83 - 100**
11. **Annual Governance Statement 2016/17.** **101 - 161**
12. **Democratic Services Annual Report 19 May 2016 – 24 May 2017.** **162 - 170**
13. **Membership of Committees.** **171 - 172**
14. **Councillors' Questions.** **173 - 180**

Huw Evans
Head of Democratic Services
Guildhall,
Swansea.
Tuesday, 15 August 2017
To: All Members of the Council

CITY AND COUNTY OF SWANSEA

MINUTES OF EXTRAORDINARY COUNCIL

HELD AT COUNCIL CHAMBER, GUILDHALL, SWANSEA ON
THURSDAY, 27 JULY 2017 AT 2.30 PM

PRESENT: Councillor D W W Thomas (Chair) Presided

Councillor(s)	Councillor(s)	Councillor(s)
C Anderson	P M Black	J E Burtonshaw
M C Child	J P Curtice	A M Day
P Downing	M Durke	V M Evans
W Evans	E W Fitzgerald	R Francis-Davies
S J Gallagher	L S Gibbard	K M Griffiths
J A Hale	D W Helliwell	C A Holley
P R Hood-Williams	D H Hopkins	O G James
L James	S M Jones	P Jones
L R Jones	J W Jones	E J King
M A Langstone	M B Lewis	W G Lewis
A S Lewis	C E Lloyd	P Lloyd
P M Matthews	P N May	D Phillips
S Pritchard	J A Raynor	B J Rowlands
M Sherwood	R V Smith	A H Stevens
R C Stewart	M Sykes	W G Thomas
M Thomas	L J Tyler-Lloyd	L V Walton
T M White		

Apologies for Absence

Councillor(s): S E Crouch, N J Davies, C R Doyle, F M Gordon, B Hopkins, Y V Jardine, M H Jones, E T Kirchner, I E Mann, H M Morris, C L Philpott, A Pugh, K M Roberts, P B Smith, D G Sullivan, G J Tanner and L G Thomas

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

The Head of Legal, Democratic Services and Business Intelligence gave advice regarding the potential personal and prejudicial interests that Councillors and / Officers may have on the agenda.

The Head of Legal, Democratic Services and Business Intelligence reminded Councillors and Officers that the "Disclosures of Personal and Prejudicial Interests" sheet should only be completed if the Councillor / Officer actually had an interest to declare. Nil returns were not required. Councillors and Officers were also informed that any declarable interest must be made orally and in writing on the sheet.

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

- 1) Councillors C Anderson, P M Black, J E Burtonshaw, M C Child, J P Curtice, A M Day, P Downing, V M Evans, M Durke, E W Fitzgerald, R Francis-Davies, W

Evans, S J Gallagher, L S Gibbard, K M Griffiths, J A Hale, D W Helliwell, C A Holley, P R Hood-Williams, D H Hopkins, L James, O G James, J W Jones, L R Jones, S M Jones, E J King, M A Langstone, A S Lewis, M B Lewis, W G Lewis, C E Lloyd, P Lloyd, P M Matthews, P N May, S Pritchard, J A Raynor, B J Rowlands, M Sherwood, A H Stevens, R C Stewart, M Sykes, D W W Thomas, M Thomas, W G Thomas, L J Tyler-Lloyd, L V Walton and T M White declared a Personal Interest in Minute 35 "Appointment of Chief Executive";

- 2) Officers G Borsden, H Evans, A Lowe, T Meredith, B Smith and S Rees declared a Personal Interest in Minute 35 "Appointment of Chief Executive";

33. **EXCLUSION OF THE PUBLIC.**

The Committee was requested to exclude the public from the meeting during the consideration of the item(s) of business identified in the recommendation to the report on the grounds that it involved the likely disclosure of exempt information as set out in the exemption 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 item(s) of business set out in the report.

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

RESOLVED that the public be excluded for the following items of business.

(CLOSED SESSION)

34. **RECRUITMENT AND SELECTION TRAINING.**

The Head of Human Resources provided a brief overview of the Recruitment and Selection process.

RESOLVED that the training be noted.

35. **APPOINTMENT OF CHIEF EXECUTIVE.**

The Head of Human Resources stated that the Appointments Committee at its meeting earlier that day had interviewed two candidates for the role of Chief Executive. The Appointments Committee recommended that only one candidate be interviewed by Council.

The candidate provided a 10 minute presentation and answered a number of prepared questions.

RESOLVED that Phil Roberts be appointed Chief Executive.

The meeting ended at 3.07 pm

CITY AND COUNTY OF SWANSEA

MINUTES OF THE COUNCIL

HELD AT COUNCIL CHAMBER, GUILDHALL, SWANSEA ON
THURSDAY, 27 JULY 2017 AT 5.00 PM

PRESENT: Councillor D W W Thomas (Chair) Presided

Councillor(s)	Councillor(s)	Councillor(s)
C Anderson	P M Black	J E Burtonshaw
M C Child	S E Crouch	J P Curtice
N J Davies	A M Day	P Downing
C R Doyle	M Durke	V M Evans
W Evans	E W Fitzgerald	R Francis-Davies
S J Gallagher	L S Gibbard	K M Griffiths
D W Helliwell	T J Hennegan	C A Holley
P R Hood-Williams	B Hopkins	D H Hopkins
O G James	L James	Y V Jardine
M H Jones	S M Jones	P Jones
L R Jones	J W Jones	E J King
E T Kirchner	M A Langstone	M B Lewis
R D Lewis	W G Lewis	A S Lewis
C E Lloyd	P Lloyd	I E Mann
P M Matthews	P N May	D Phillips
S Pritchard	A Pugh	J A Raynor
M Sherwood	R V Smith	A H Stevens
R C Stewart	M Sykes	M Thomas
L J Tyler-Lloyd	G D Walker	L V Walton
T M White		

Apologies for Absence

Councillor(s): C R Evans, F M Gordon, J A Hale, H M Morris, C L Philpott, C Richards, K M Roberts, P B Smith, G J Tanner and L G Thomas

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

The Head of Legal, Democratic Services and Business Intelligence gave advice regarding the potential personal and prejudicial interests that Councillors and / Officers may have on the agenda.

The Head of Democratic Services reminded Councillors and Officers that the "Disclosures of Personal and Prejudicial Interests" sheet should only be completed if the Councillor / Officer actually had an interest to declare. Nil returns were not required. Councillors and Officers were also informed that any declarable interest must be made orally and in writing on the sheet.

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

Councillors

- 1) Councillors C Anderson, P M Black, J E Burtonshaw, J P Curtice, A M Day, P Downing, W Evans, R Francis-Davies, E W Fitzgerald, K M Griffiths, T J Hennegan, L James, M H Jones, Y V Jardine, L R Jones, S M Jones, E T Kirchner, M A Langstone, A S Lewis, R D Lewis, P Lloyd, P M Matthews, I E Mann, P N May, R V Smith, A H Stevens, R C Stewart, D W W Thomas, M Thomas, W Thomas, G D Walker, L V Walton and T M White declared a Personal Interest in Minute 42 "Swansea Local Development Plan (LDP) - Update on Deposit LDP Public Consultation, Evidence Base Review and Next Stages."

Officer

- 1) H Evans declared a Personal Interest in Minute 42 "Swansea Local Development Plan (LDP) - Update on Deposit LDP Public Consultation, Evidence Base Review and Next Stages."

36. MINUTES.

RESOLVED that the following Minutes be approved and signed as a correct record:

- 1) Ordinary Meeting of Council held on 22 June 2017;
- 2) Extraordinary Meeting of Council held on 27 June 2017.

37. WRITTEN RESPONSES TO QUESTIONS ASKED AT THE LAST ORDINARY MEETING OF COUNCIL.

The Head of Legal, Democratic Services and Business Intelligence submitted an information report setting out the written responses to questions asked at the last Ordinary Meeting of Council.

38. ANNOUNCEMENTS OF THE PRESIDING MEMBER.

1) Condolences

a) Honorary Alderman & Former Councillor Mair E Gibbs

The Presiding Member referred with sadness to the recent death of Honorary Alderman Mair Gibbs. Honorary Alderman Gibbs served the Bonymaen community. She was Lord Mayor of the City and County of Swansea 2005-2006.

Her periods of service are shown below.

Authority	From	To
Swansea City Council	11.09.1986	31.03.1996
City and County of Swansea	04.05.1995	03.05.2012

These periods amount to a collective total of over 25 years' service representing the residents of the City and County of Swansea.

b) Former Councillor June Gates

The Presiding Member referred with sadness to the recent death of former Councillor June Gates. Former Councillor Gates served the Mynyddbach community during the early 1980's.

All present stood as a mark of sympathy and respect.

2) Association for Public Service Excellence (APSE) Service Awards 2017

The Presiding Member announced that the Authority has been shortlisted for four National APSE Awards in the following categories:

- Highways;
- Waste Management;
- Building Services and Construction;
- Best Workforce Initiative, which includes our Apprentice Scheme.

Additionally, the Authority had been shortlisted for Council of the year.

The awards take place on the 7 September 2017 in Oxford.

c) Amendments to Council Summons

- i) Item 12 "Asset Management Plan 2017/2021" Should be in the name of the Cabinet Member for Service Transformation & Business Operations
- ii) Item 13 "Membership of Committees". An updated version had been circulated.
- iii) **Urgent Item.** Urgent Notice of Motion relating to Rail Electrification of the Railway Line to Swansea and beyond.

The Presiding Member stated that pursuant to paragraph 100B (4)(b) of the Local Government Act 1972, he considered that the Urgent Notice of Motion "Rail Electrification" should be considered as a matter of urgency.

39. ANNOUNCEMENTS OF THE LEADER OF THE COUNCIL.

1) Appointment of Chief Executive

The Leader of the Council referred to the appointment of Phil Roberts as the Chief Executive of the City and County of Swansea. He was delighted with the appointment as Phil Roberts was an effective and excellent Officer.

2) Swansea Bay City Region – City Deal Update

The Leader of the Council stated that the Board had met informally on a number of occasions. The governance arrangements were in the process of being drafted. He also provided an update on the City Deal.

3) Liberty Stadium Update

The Leader of the Council stated that meetings with the owners of Swansea City Football Club were ongoing in relation to a new stadium deal option.

4) Visit by the Chinese Ambassador

The Leader of the Council referred to the meeting earlier in the week with the Chinese Ambassador. He said that it had been a positive meeting relating to potential Chinese investment in Swansea and the City Bay Region.

5) City of Culture Update

The Leader of the Council was delighted to announce that Swansea had been shortlisted as the City of Culture. He thanked everybody involved in the bid.

6) Cancellation of the promise of Rail Electrification between Cardiff and Swansea

The Leader of the Council deplored the recent unplanned and sudden announcement by the UK Government in relation to the cancellation of rail electrification between Cardiff and Swansea.

7) Future Generations Cabinet Member

The Leader of the Council stated that Councillors J E Burtonshaw and M Sherwood share the Future Generations Cabinet Member role on a quarterly basis. Councillor J E Burtonshaw is the Cabinet Member until and including 31 August 2017 and Councillor M Sherwood will assume the role for 3 months commencing on 1 September 2017. Their terms of office is set out below:

Councillor	From	To
June Burtonshaw	8 May 2017	31 August 2017
Mary Sherwood	1 September 2017	30 November 2017
June Burtonshaw	1 December 2017	28 February 2018
Mary Sherwood	1 March 2018	31 May 2018

40. PUBLIC QUESTIONS.

A number of questions were asked by members of the public. The relevant Cabinet Member responded accordingly. Those questions requiring a written response are listed below:

- 1) Mrs Mayberry asked the Commercial Opportunities and Innovation Cabinet Member questions in relation to Minute 42 "Swansea Local Development Plan (LDP) – Update on Deposit LDP Public Consultation, Evidence Base Review and Next Stages".

i) *"Is the Council ignoring the Welsh Assembly's guidelines on the preservation of green field sites, and UK Government's White Paper that brown field sites should be used before any green field sites be adopted?"*

The Commercial Opportunities and Innovation Cabinet Member stated that a written response would be provided.

- 2) Sue Elward asked the Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member questions in relation to Minute 50 "Councillors' Questions – Question 8".

i) *"The 'Licence holder' has multiple responsibilities all and any of which could be covered by the offence of 'failing to properly manage a house in multiple occupation'. Other councils successfully prosecute under this broad simplification and Swansea Council's own licencing conditions state that 'The Council may apply 'other' licencing conditions with discretion'. In view of this, can you explain what the offence is that other councils have been using to successfully prosecute landlords who fail to manage their Houses in Multiple Occupation (HMO)?"*

A transgression of any licencing condition amounts to a failure to manage a house in multiple occupation and there is no need for any other reason in order to prosecute."

The Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member stated that a written response would be provided.

- 3) Bill Trimby asked the Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member questions in relation to Minute 50 "Councillors' Questions – Question 8".

"City and County of Swansea have advised in a written response to Cllrs Irene Mann and Peter May that:

- *No licence holder has been re-charged per the Housing Act 2004;*
- *There has been no cost to the taxpayer directly attributable to the licence holder for refuse collection;*
- *No legal sanctions have been undertaken by the Council for breaches of Sections 30 and 32 in the last year;*

- *The last time the Council took prosecutions against landlords for failing to comply with HMO licence conditions was May 2013 some 4 years ago.*
- i) *City and Council of Swansea also state they have a "robust approach" to enforcement. How can the Council state that it has a "robust approach" to enforcement when it is not using the provisions available to it in law to protect the interests of the residents of the area?*
- ii) *Can the Council give details of its "robust approach " as there is no visible evidence that this approach is working?"*

The Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member stated that a written response would be provided.

- 4) John Row asked the Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member questions in relation to Minute 50 "Councillors' Questions – Question 8".
- i) *"Page 52, Paragraph 2.1. Why are they refusing to put room sizes and bicycle standards in the new Supplementary Policy Guidance (SPG) document, which they have included in the adopted Cardiff SPG on HMO? Being that room sizes and bicycle standards are material considerations that can protect our areas and promote higher quality accommodation for students.*
 - ii) *Page 72, Paragraph 5.12 states 'unless there are material considerations that demonstrably outweigh regarding harmful concentration'. Can you explain please?*
 - iii) *Page 73, Paragraph 5.20. Can you please clarify?*
 - iv) *Page 77, Paragraph 5.27. Can you explain these points (maybe, material considerations, and or exceptional circumstances outweighs 50 metre radius) (but not on every occasion be the final determining factor) in plain English?*
 - v) *Page 77, Paragraph 5.28. Can you explain these statements (even the proposal what not give rise to threshold limits exceeding 50 metres whether or not it is a material consideration)?*
 - vi) *Page 78, Paragraph 5.31. Don't understand. Explain what % you would have with more than 34 houses in a small street? Can you please provide the % for larger streets with 40, 50 and 60 houses in the street?*
 - vii) *Page 78, Paragraph 5.32 states 'In management areas 1 HMO property will be permitted within the street of 10. In the case of streets*

of 10 or fewer properties outside the management area a maximum of 2 properties will be permitted. One has 10% the other has 20% Why?"

The Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member stated that a written response would be provided.

- 5) Jayne Keeley asked the Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member questions in relation to Minute 50 "Councillors' Questions – Question 8".

i) *"It is apparent that the HMO negative issues have continued to cause misery and concern to Uplands and Brynmill. This is a direct result of a lack of enforcement from licensing conditions. Why have you failed to enforce such conditions, which would have gone some way to protecting the welfare of Uplands and Brynmill residents?"*

The Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member stated that a written response would be provided.

- 6) John Williams asked the Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member questions in relation to Minute 50 "Councillors' Questions – Question 8".

i) *"Earlier this month the council tried to pass Supplementary Planning Guidance to allow a limit of 25% in some part of Uplands Ward. This would have allowed about another 300 HMOs to be created. The Council is plainly having difficulty in enforcing the conditions on existing HMOs. How can they reassure us that they could cope with regulating even more?"*

The Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member stated that a written response would be provided.

- 7) John Thomas asked the Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member questions in relation to Minute 50 "Councillors' Questions – Question 8".

i) *"Since 2012 apart from Landlords actually prosecuted, how many have been approached by the council following complaints? When/How many of those were repeat calls?"*

The Environment Services Cabinet Member and the Housing, Energy & Building Services Cabinet Member stated that a written response would be provided.

41. **PUBLIC PRESENTATION - NONE.**

No Public Presentations were received.

42. **SWANSEA LOCAL DEVELOPMENT PLAN (LDP) - UPDATE ON DEPOSIT LDP PUBLIC CONSULTATION, EVIDENCE BASE REVIEW AND NEXT STAGES.**

The Commercial Opportunities and Innovation Cabinet Member submitted a report, which sought to confirm the findings of the Deposit Local Development Plan (LDP) consultation and subsequent review of the evidence base that underpins the LDP Strategy, and to approve the next stages of the LDP process.

RESOLVED that:

- 1) The content of Appendix C of the report be noted and the Deposit LDP Consultation Report be approved;
- 2) The submission of the Swansea Deposit LDP, and accompanying documentation listed in Appendix D of the report, to the Welsh Government and Planning Inspectorate for independent examination be approved;
- 3) Delegated authority for the Head of Planning and City Regeneration (or appropriate delegated officer) to agree any necessary minor changes to the LDP during, and leading up to, independent examination, in order to facilitate the efficient operation of the examination process be approved;
- 4) The amended LDP Delivery Agreement and timetable set out in Appendix F of the report be approved.

Note: Councillor E W Fitzgerald asked the following questions:

- i) *“Can I have assurances that, following the approval by Council of the Deposit Plan on 16 June 2016, for consultation, no changes have been subsequently made to any boundaries of strategic sites?”*
- ii) *The Preferred Strategy identified a need for 3,210 new homes in the Central Zone so that people could live and work within the same area. How many permanent homes are being delivered via the Deposit Plan and what changes in processes have to led to any increase/reduction in the original figure?*
- iii) *The report indicates that there is a lack of capacity in sewage infrastructure with developers being expected to pay for any upgrades. Welsh Water has requested clarification in regard to these contributions and it’s acknowledged that there is a potential for disparity in the time frames. Do you agree that sewage infrastructure issues could cause delays in site viability? Do you also agree and that this is an issue that Welsh Government has concerns about (Page 76) pointing out that infrastructure improvements need to be costed and may have a detrimental impact on the viability / timing of sites and ultimately their*

delivery which is why it held a conference for planners on this matter in January this year?

- iv) *It's stated in the Green Belt and Green Wedge Designation report (June 2016) that land, which included site SD C, needed some form of anti-coalescence protection. However, applying this approach to GBGWD the only question then was whether this should be Green Wedge or Green Belt. Do you agree that you didn't resolve this question but simply proceeded in the GBGWD to reduce substantially the land that would be given **any** form of anti-coalescence protection. Do you also agree that this was not consistent with the staged approach and processes described in GBGWD, and neither was it justified on exceptional ground, and that this undermines the credibility of the planning judgment made on this critical issue?"*

The Commercial Opportunities and Innovation Cabinet Member stated that a written response would be provided.

43. **CITY AND COUNTY OF SWANSEA - POLICY COMMITMENTS STATEMENT.**

The Leader of the Council (Economy & Strategy Cabinet Member) submitted a report, which sought to adopt an outline of Council Policy Commitments for the City and County of Swansea for the next 5 years.

RESOLVED that:

- 1) The City and County of Swansea Policy Commitments be adopted.

Note:

- a) Councillor P M Black asked the following question:

- i) *"Page 108, Paragraph 2.3. Can the Leader of the Council confirm the £1bn over five years is an increase on current budgets? What percentage increase and how will it impact on per pupil funding?"*

The Leader of the Council stated that a written response would be provided.

- b) Councillor P N May asked the following question:

- i) *"How many Fixed Penalty Notices (FPN's) have been issued due to breaches of the Houses in Multiple Occupation (HMO) licence conditions?"*

The Leader of the Council stated that a written response would be provided.

44. **ESTYN INSPECTION OF LOCAL AUTHORITY EDUCATION SERVICES FOR CHILDREN AND YOUNG PEOPLE 2013 – UPDATE ON PROGRESS IN ADDRESSING THE FIVE RECOMMENDATIONS.**

The Children, Education and Lifelong Learning Cabinet Member submitted a report, which provided an update on the progress in meeting the five recommendations in the Estyn Inspection Report.

RESOLVED that:

- 1) The progress update on the five recommendations in the Estyn Inspection Report be noted.

Note: Councillor A M Day asked the following question:

- i) *“How many Fixed Penalty Notices (FPN’s) have been issued in relation to school absences and the value of those notices?”*

The Children, Education & Lifelong Learning Cabinet Member stated that a written response would be provided.

45. **ASSET MANAGEMENT PLAN 2017/2021.**

The Service Transformation and Business Operations Cabinet Member submitted a report, which proposed an updated Asset Management Plan for the next 4 years.

RESOLVED that:

- 1) The Asset Management Plan for 2017-2021 as presented in Appendix 1 of the report be adopted.

Note: Councillor C A Holley asked the following questions:

- i) *“Can an update be provided in relation to the Review of Depots?”*
- ii) *Can a copy of the feasibility study referred to on Page 140 ‘Disposals’ be shared with all Councillors?*
- iii) *Can a copy of the JLL report referred to on Page 141 ‘Property Investments’ be shared with all Councillors?*
- iv) *Can an update be provided in relation to the Felindre site?”*

The Service Transformation & Business Operations Cabinet Member stated that a written response would be provided.

46. **MEMBERSHIP OF COMMITTEES.**

The Service Transformation and Business Operations Cabinet Member stated that an amended report had been circulated.

He referred to the report stating that the Leader of the Council had also made changes to the Authority's Outside Bodies as outlined below:

- 1) **Gower College Swansea**
Remove Councillor R V Smith.
Add Councillor O G James.
- 2) **Swansea Council for Voluntary Services**
Remove Councillor L V Walton.
Add Councillor P Jones.

RESOLVED that the membership of the Council Bodies listed below be amended as follows:

- 1) **Audit Committee**
Remove Councillor R V Smith.
Add Councillor S Pritchard.
- 2) **Poverty Reduction Policy Development & Delivery Committee**
Remove Councillor O G James.
Add Councillor T M White.
- 3) **Safeguarding Policy Development & Delivery Committee**
Remove Councillor L V Walton.
Add Councillor E T Kirchner.
- 4) **Scrutiny Programme Committee**
Remove Councillor N J Davies.
Add Councillor P Jones.

47. **SCRUTINY ANNUAL REPORT 2016-17.**

The Chair of the Scrutiny Programme Committee submitted for information the Scrutiny Annual Report 2016-2017. The report outlined the work of scrutiny during that period.

48. **URGENT ITEM**

The Presiding Member stated that pursuant to Paragraph 100B (4) (b) of the Local Government Act 1972 he considered that the "Urgent Notice of Motion submitted by Councillors R C Stewart, C E Lloyd, J A Raynor, D H Hopkins, R Francis-Davies, M Thomas, J E Burtonshaw, M Sherwood, M C Child, A S Lewis, W Evans and C A Holley" in relation to Rail Electrification should be considered at the meeting for the reasons given.

49. **URGENT NOTICE OF MOTION SUBMITTED BY COUNCILLORS R C STEWART, C E LLOYD, J A RAYNOR, D H HOPKINS, R FRANCIS-DAVIES, M THOMAS, J E BURTONSHAW, M SHERWOOD, M C CHILD, A S LEWIS, W EVANS AND C A HOLLEY**

Reason for Urgency:

To enable the City and County of Swansea to make an urgent response to the unplanned and sudden announcement by the UK Government in relation to the cancellation of rail electrification between Cardiff and Swansea .

The following motion was proposed by Councillor R C Stewart and seconded by Councillor C A Holley.

“This Council strongly condemns the decision made by the UK Government not to proceed with full electrification of the South West Wales line between Cardiff and Swansea.

This Council deplores the fact that the announcement was made by the Transport Secretary and Secretary of State for Wales without any consultation either locally or with Welsh Government, on the day that the UK Parliament went into Summer recess, thereby denying local MPs the chance to question and scrutinise the decision.

The reasons given by the Transport Minister and the Secretary of State for Wales for the cancellation of electrification, namely disruption, are absurd, insulting and condescending to the people and businesses of Swansea and South West Wales.

We remind the Minister that the investment was promised on numerous occasions by the former Prime Minister David Cameron, previous Transport Ministers and the Secretary of State for Wales, Alun Cairns. The investment was agreed on the basis of strong economic, regeneration and environmental evidence. This evidence has not changed.

We must conclude therefore that UK Ministers have deliberately misled local politicians, business leaders and the people of Swansea and South West Wales and this is completely unacceptable.

We note with dismay that since the announcement not to proceed with electrification to Swansea, that the UK Government has stated its support for a £30bn Cross Rail 2 project. This demonstrates an arrogance and disregard for the people of South Wales and other parts of the UK and underlines the London centric thinking of the UK Tory Government.

This Council restates that it believes that this Region and Regional capital requires and deserves a modern transport infrastructure investment to ensure the future prosperity of the Region. Furthermore, this Council and the people of the Region are hugely concerned about the long term environmental and economic impact of continuing with diesel trains instead of the environmentally friendly, efficient sustainable form of power supply offered by electrification.

We are perplexed that while supporting the UK Government announcement that it is to ban petrol and diesel vehicles in the UK from 2040, we believe that this ban should be extended to the rail network and that diesel trains should also be phased out completely by 2040. We implore the UK Government to immediately endorse renewable energy schemes such as the Swansea Bay Tidal Lagoon as a matter of urgency, so that the electric vehicles of the future are powered by clean renewable energy and their aspirations are met.

Therefore this council:

- 1. Calls on the UK Transport Minister, to immediately reverse this decision and proceed with electrification to Swansea, while exploring the feasibility of the extension of electrification west of Swansea.*
- 2. Requests that the Leader write to the Secretaries of State and the relevant Welsh Government Cabinet Secretary outlining our concerns as stated in this motion.*
- 3. Requests that the Leader write to the Secretaries of State seeking an urgent meeting with South Wales Local Authority Leaders in Swansea as soon as possible.*
- 4. Calls upon the Welsh Government to seek an urgent meeting with the UK Government to pursue additional capital funding to complete the electrification to Swansea and beyond.*
- 5. Calls upon the Secretaries of State to explain how the UK Government found £1.3bn to fund a deal with the DUP while £430m could not be found for electrification.*
- 6. Calls on the UK Government to extend the proposed petrol and diesel car ban to trains.*
- 7. Reiterates its strong support for the Swansea Bay Tidal Lagoon and calls upon the UK Government to confirm the funding for the Tidal Lagoon at the earliest opportunity, while accepting all the recommendations made in the Hendry Report.*

In conclusion, this Council unequivocally condemns the announcement not to proceed with rail electrification to Swansea. It is a complete betrayal of the people of Swansea and the Region which demonstrates an arrogance by UK Government Ministers and, unless reversed, will have significant long term economic and environmental consequences for Swansea and the South West Wales region."

Councillor P M Black proposed an amendment which deleted the word Leader in 2) and 3) above and replaced it with "Political Group Leader". Councillor R C Stewart and C A Holley indicated that they accepted the amendment.

The substantive Notice of Motion was therefore as follows:

“This Council strongly condemns the decision made by the UK Government not to proceed with full electrification of the South West Wales line between Cardiff and Swansea.

This Council deplors the fact that the announcement was made by the Transport Secretary and Secretary of State for Wales without any consultation either locally or with Welsh Government, on the day that the UK Parliament went into Summer recess, thereby denying local MPs the chance to question and scrutinise the decision.

The reasons given by the Transport Minister and the Secretary of State for Wales for the cancellation of electrification, namely disruption, are absurd, insulting and condescending to the people and businesses of Swansea and South West Wales.

We remind the Minister that the investment was promised on numerous occasions by the former Prime Minister David Cameron, previous Transport Ministers and the Secretary of State for Wales, Alun Cairns. The investment was agreed on the basis of strong economic, regeneration and environmental evidence. This evidence has not changed.

We must conclude therefore that UK Ministers have deliberately misled local politicians, business leaders and the people of Swansea and South West Wales and this is completely unacceptable.

We note with dismay that since the announcement not to proceed with electrification to Swansea, that the UK Government has stated its support for a £30bn Cross Rail 2 project. This demonstrates an arrogance and disregard for the people of South Wales and other parts of the UK and underlines the London centric thinking of the UK Tory Government.

This Council restates that it believes that this Region and Regional capital requires and deserves a modern transport infrastructure investment to ensure the future prosperity of the Region. Furthermore, this Council and the people of the Region are hugely concerned about the long term environmental and economic impact of continuing with diesel trains instead of the environmentally friendly, efficient sustainable form of power supply offered by electrification.

We are perplexed that while supporting the UK Government announcement that it is to ban petrol and diesel vehicles in the UK from 2040, we believe that this ban should be extended to the rail network and that diesel trains should also be phased out completely by 2040. We implore the UK Government to immediately endorse renewable energy schemes such as the Swansea Bay Tidal Lagoon as a matter of urgency, so that the electric vehicles of the future are powered by clean renewable energy and their aspirations are met.

Therefore this council:

- 1. Calls on the UK Transport Minister, to immediately reverse this decision and proceed with electrification to Swansea, while exploring the feasibility of the extension of electrification west of Swansea.*

2. *Requests that the Political Group Leaders write to the Secretaries of State and the relevant Welsh Government Cabinet Secretary outlining our concerns as stated in this motion.*
3. *Requests that the Political Group Leaders write to the Secretaries of State seeking an urgent meeting with South Wales Local Authority Leaders in Swansea as soon as possible.*
4. *Calls upon the Welsh Government to seek an urgent meeting with the UK Government to pursue additional capital funding to complete the electrification to Swansea and beyond.*
5. *Calls upon the Secretaries of State to explain how the UK Government found £1.3bn to fund a deal with the DUP while £430m could not be found for electrification.*
6. *Calls on the UK Government to extend the proposed petrol and diesel car ban to trains.*
7. *Reiterates its strong support for the Swansea Bay Tidal Lagoon and calls upon the UK Government to confirm the funding for the Tidal Lagoon at the earliest opportunity, while accepting all the recommendations made in the Hendry Report.*

In conclusion, this Council unequivocally condemns the announcement not to proceed with rail electrification to Swansea. It is a complete betrayal of the people of Swansea and the Region which demonstrates an arrogance by UK Government Ministers and, unless reversed, will have significant long term economic and environmental consequences for Swansea and the South West Wales region.”

In accordance with Council Procedure Rule 30 “Voting” a recorded vote was requested. The voting was recorded as follows:

For (44 Councillors)		
Councillor(s)	Councillor(s)	Councillor(s)
C Anderson	C A Holley	P M Matthews
P M Black	B Hopkins	P N May
M C Child	D H Hopkins	S Pritchard
S E Crouch	O G James	A Pugh
J P Curtice	L James	J A Raynor
N J Davies	Y V Jardine	M Sherwood
P Downing	J W Jones	R V Smith
C R Doyle	P Jones	A H Stevens
M Durke	S M Jones	R C Stewart
V M Evans	E T Kirchner	M Sykes
W Evans	A S Lewis	D W W Thomas
R Francis-Davies	M B Lewis	M Thomas
L S Gibbard	W G Lewis	L V Walton
K M Griffiths	C E Lloyd	T M White

T J Hennegan	-	-
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Against (8 Councillors)		
Councillor(s)	Councillor(s)	Councillor(s)
S J Gallagher	L R Jones	W G Thomas
D W Helliwell	M A Langstone	L J Tyler-Lloyd
P R Hood-Williams	B J Rowlands	-

Abstain (0 Councillors)		
Councillor(s)	Councillor(s)	Councillor(s)
-	-	-

Withdrawn from meeting due to declarable interest (0 Councillors)		
Councillor	Councillor	Councillor
-	-	-

RESOLVED that:

- 1) The Notice of Motion as amended be approved and adopted.

50. **COUNCILLORS' QUESTIONS.**

1) **Part A 'Supplementary Questions'**

Nine (9) Part A 'Supplementary Questions' were submitted. The relevant Cabinet Member(s) responded by way of written answers contained in the Council Summons.

The following supplementary question(s) required a written response.

Question 1

a) Councillor P M Black asked:

- i) *"Can the Cabinet Member provide an update and timeline relating to the installation of sprinklers in the Authority's high-rise blocks?"*

The Housing, Energy & Building Services Cabinet Member stated that a written response would be provided.

Question 8

b) Councillor P N May:

- ii) *"Can the Cabinet Member provide further information relating to the 'further cases pending' referred to in the written response? How many are there and when will the Authority see the outcome?"*

The Housing, Energy & Building Services Cabinet Member stated that a written response would be provided.

2) Part B 'Questions not requiring Supplementary Questions'

Two (2) Part B 'Questions not requiring Supplementary Questions' were submitted.

The meeting ended at 8.57 pm

CHAIR

Agenda Item 4.

Report of the Head of Legal, Democratic Services & Business Intelligence

Council – 24 August 2017

WRITTEN RESPONSES TO QUESTIONS ASKED AT THE LAST ORDINARY MEETING OF COUNCIL

The report provides an update on the responses to Questions asked during the last Ordinary Meeting of Council on 27 July 2017.

FOR INFORMATION

1. INTRODUCTION

- 1.1 It was agreed at Council on 8 April 2010 that a standing item be added to the Council Summons entitled “Written Responses to Questions Asked at the Last Ordinary Meeting of Council”.
- 1.2 A “For Information” report will be compiled by the Democratic Services Team collating all written responses from the last Ordinary Meeting of Council and placed in the Agenda Pack;
- 1.3 Any consequential amendments be made to the Council Constitution.

2. RESPONSES

- 2.1 Responses to questions asked during the last ordinary meeting of Council are included as Appendix A.

Background Papers: None

Appendices: Appendix A (Questions & Responses)

**Providing Council with Written Responses to Questions at Council
27 July 2017**

1.	<p>Mrs Mayberry In relation to Minute 42 “Swansea Local Development Plan (LDP) – Update on Deposit LDP Public Consultation, Evidence Base Review and Next Stages” Is the Council ignoring the Welsh Assembly’s guidelines on the preservation of green field sites, and UK Government’s White Paper that brown field sites should be used before any green field sites be adopted.</p> <p>Response of the Cabinet Member for Commercial Opportunities and Innovation Cabinet Member The Council is fully aware of national planning policy (Planning Policy Wales (PPW 2016)) which requires that previously developed (or brownfield) land should, wherever possible, be used in preference to greenfield sites. The Council has followed the PPW search sequence in identifying sites to be allocated in the Local Development Plan (LDP), starting with the re-use of previously developed land and buildings within settlements.</p> <p>The Housing Landbank and Previously Developed Land Capacity Study, which forms part of the LDP evidence base, explored the extent to which brownfield land and windfall opportunities could contribute to meeting the LDP’s housing requirement. Sources of windfall assessed included feasible and practical opportunities to utilise existing assets such as living above the shop, bringing empty properties back into use, and windfall arising from the Council’s Quality in Education programme. The findings of the Study clearly highlighted that there would be an insufficient amount of such opportunities to meet the identified housing requirement. It is therefore necessary for the Council to pursue a combination of greenfield and brownfield approaches to deliver the land use requirements over the Plan period</p>
2.	<p>Sue Elward In relation to Minute 50 “Councillors’ Questions – Question 8” The 'Licence holder' has multiple responsibilities all and any of which could be covered by the offence of 'failing to properly manage a house in multiple occupation'. Other councils successfully prosecute under this broad simplification and Swansea Council's own licencing conditions state that 'The Council may apply 'other' licencing conditions with discretion'. In view of this, can you explain what the offence is that other councils have been using to successfully prosecute landlords who fail to manage their Houses in Multiple Occupation (HMO)?</p> <p>A transgression of any licencing condition amounts to a failure to manage a house in multiple occupation and there is no need for any other reason in order to prosecute.”</p> <p>Response of the Cabinet Member for Housing, Energy & Building Services The offence under Section 72(3), Housing Act 2004 relates to the failure of a licence holder to comply with any condition of the licence.</p>

The offence under Section 234(3), Housing Act 2004 relates to failure of a person managing a house to comply with management regulations. In Wales these regulations are The Management of Houses in Multiple Occupation (Wales) Regulations 2006 and The Licensing and Management of Houses in Multiple Occupation (Additional Provisions) (Wales) Regulations 2007.

'Failing to properly manage a house in multiple occupation' is a general term, but in order for any local authority to prosecute a landlord under the legislation they must have relevant evidence that can withstand legal tests in the Magistrates Court. The offence must be proved beyond all reasonable doubt. Any defendant will have the opportunity to mount a defence.

3.

Bill Trimby

In relation to Minute 50 "Councillors' Questions – Question 8"
City and County of Swansea have advised in a written response to Cllrs Irene Mann and Peter May that:

- No licence holder has been re-charged per the Housing Act 2004;
- There has been no cost to the taxpayer directly attributable to the licence holder for refuse collection;
- No legal sanctions have been undertaken by the Council for breaches of Sections 30 and 32 in the last year;
- The last time the Council took prosecutions against landlords for failing to comply with HMO licence conditions was May 2013 some 4 years ago.

i) City and Council of Swansea also state they have a "robust approach" to enforcement. How can the Council state that it has a "robust approach" to enforcement when it is not using the provisions available to it in law to protect the interests of the residents of the area.

ii) Can the Council give details of its "robust approach" as there is no visible evidence that this approach is working?"

Response of the Cabinet Member for Housing, Energy & Building Services

Specifically in relation to issues of waste, officers from Public Protection, Waste and Cleansing are currently looking at these issues to determine what more can be done to improve matters and reassure residents.

The reference to 'visible evidence' is important. It must be stressed that officers do a large volume of work in relation to HMOs that is not visible to the public. The legislation around HMOs and HMO licensing is primarily about protecting and ensuring occupant and property safety. Officers are inspecting properties, issuing licences with schedules of work and responding to complaints on a daily basis. There are also many many HMOs that are well managed and never cause any problem to tenants or local residents.

The Council has always taken an approach of working with landlords and agents and helping to educate them and providing an opportunity for networking and sharing good practice via the local landlords' forum whilst always taking enforcement action in appropriate cases based upon risk and regulatory requirements.

4.

John Row

In relation to Minute 50 “Councillors’ Questions – Question 8”

- i) “Page 52, Paragraph 2.1. Why are they refusing to put room sizes and bicycle standards in the new Supplementary Policy Guidance (SPG) document, which they have included in the adopted Cardiff SPG on HMO? Being that room sizes and bicycle standards are material considerations that can protect our areas and promote higher quality accommodation for students.
- ii) Page 72, Paragraph 5.12 states ‘unless there are material considerations that demonstrably outweigh regarding harmful concentration’. Can you explain please?
- iii) Page 73, Paragraph 5.20. Can you please clarify?
- iv) Page 77, Paragraph 5.27. Can you explain these points (maybe, material considerations, and or exceptional circumstances outweighs 50 metre radius) (but not on every occasion be the final determining factor) in plain English?
- v) Page 77, Paragraph 5.28. Can you explain these statements (even the proposal what not give rise to threshold limits exceeding 50 metres whether or not it is a material consideration)?
- vi) Page 78, Paragraph 5.31. Don’t understand. Explain what % you would have with more than 34 houses in a small street? Can you please provide the % for larger streets with 40, 50 and 60 houses in the street?
- vii) Page 78, Paragraph 5.32 states ‘In management areas 1 HMO property will be permitted within the street of 10. In the case of streets of 10 or fewer properties outside the management area a maximum of 2 properties will be permitted. One has 10% the other has 20% Why?’

Response of the Cabinet Member for Housing, Energy & Building Services

i) Bicycle storage standards are proposed in paragraphs 5.43 and 5.44 of the Draft Houses in Multiple Occupation (HMO) and Purpose Built Student Accommodation Supplementary Planning Guidance (SPG).

In terms of room sizes, the Council has adopted guidance for minimum floor areas for certain types of bedrooms in licensed HMOs. It is not legally possible to introduce minimum room sizes in other circumstances under Housing legislation although assessments are made for space and overcrowding purposes using the Housing Health and Safety Rating System. This matter is considered to be covered by Housing Legislation and it is not therefore considered necessary or possible to specify minimum room sizes within the SPG.

It is recognised that small-scale properties in Swansea may not be suitable for conversion. It is not reasonable to automatically preclude the conversion of all small-scale properties from being permitted as HMO. Residential amenity is a material planning consideration and each planning application will be considered on its own individual merits in terms of its suitability for a HMO.

ii) The Draft SPG sets out the following text in Chapter 2 to help define and provide examples of ‘Material Considerations’. This was inserted following the consultation process to bring greater clarity, as requested by consultees:

Material Planning Considerations

2.1 Material considerations refer to matters to be taken into account when making a decision on an application for planning permission, including the determination of an appeal. Such considerations must be relevant planning matters, having regard to national guidance^[1], and may for example include issues relating to:

- Highway safety
- Loss of privacy
- Loss of light or overshadowing
- Parking
- Noise
- Effect on listed building and conservation areas
- Visual appearance, design and layout
- Government policy
- Previous planning decisions (including appeal decisions)
- A community's need for affordable housing is also a material planning consideration.

2.1 Common matters that are not relevant to the planning decision making process (i.e. non-material planning considerations) include, for example, matters controlled under building regulations and loss of property value. The identity of future occupiers of a HMO property is also not a material planning consideration.

2.2 Material considerations are varied and the relevance of the issue will depend on the individual circumstances of each application.

Planning Policy Wales, Welsh Government

<http://gov.wales/topics/planning/policy/ppw/?lang=en>

Paragraph 5.12 of the SPG states that “The LPA will seek to resist planning applications for HMOs that breach the identified threshold for that area, unless there are material considerations that demonstrably outweigh the identified concerns regarding harmful concentration or intensification”.

It is noted above that material considerations are varied and the relevance of the issue will depend on the individual circumstances of each planning application. There may be occasions where the concentration threshold is breached, but the applicant has provided sufficient robust evidence to prove that the proposed development will mitigate any potential harmful impacts (material planning considerations) associated with high concentrations of HMOs, such as noise nuisance, to the extent that the benefits of the development in providing affordable housing for the community outweigh any concerns associated with the concentration of HMOs in the vicinity.

iii) Paragraph 5.20 means that it is considered that the 50m radius around the planning application should contain a minimum of 10 properties for the purpose of calculating the threshold. In such cases where there are

fewer than 10 properties within the 50m radius, the Council will select the nearest properties from the same side of the street as the proposed HMO so that at least 10 properties are included in the threshold calculation.

iv) & v) These queries have been answered together as the two paragraphs referred to are related. They reflect that the consideration of harmful concentration is one policy criteria in the UDP and material planning considerations relating to other policies and criteria in the Plan also have to be considered in the balance of determining the planning application.

It is considered that the information that has been added to the draft SPG, which is reproduced above to answer question ii, provides sufficient information as to what the reference to 'material planning considerations' means in practice.

Paragraph 5.28 means that there may be instances where the proposed development passes the concentration threshold test but other material planning considerations fail to comply with other UDP policy criteria making the development unacceptable. In some instances, a planning application might pass the threshold concentration test but, for example, not satisfy highway safety or general design policy relating to residential amenity or visual appearance, design and layout.

vi) The SPG sets out that it is considered that there are certain street patterns and layouts that are characteristic of areas of Swansea where applying the threshold on a radius basis could fail to protect against an unacceptable concentration of HMO uses where the proposal is located on a small street. Sampling has shown that there could be occasions where there is a disproportionate concentration of HMOs in a single small street, but few or no other HMOs on other streets within the 50m radius area, resulting in the proposal passing the radius threshold test. Paragraph 5.31 defines a small street as containing between 11 and 34 properties inclusive. Where the proposal is on such a small street, in addition to passing the radius test, the proposal must also not exceed the threshold in terms of the numbers of HMOs in the small street (25% inside the HMO Management Area and 10% outside it). For streets containing more than 34 properties, these would not be classified as a small street and only the 50m radius test will be used. Sampling has shown that the small streets issue would not arise in these cases where there are more than 34 properties.

vii) The SPG should read that in the case of streets of 10 or fewer properties within the HMO Management Area, a maximum of two HMO properties will be permitted within the street. In the case of streets of 10 or fewer properties outside the HMO Management Area, a maximum of one HMO property will be permitted within the street. This would reflect the radius thresholds proposed for locations within and outside the HMO Management Area respectively and will be reviewed.

5.

Jayne Keeley

In relation to Minute 50 "Councillors' Questions – Question 8"

It is apparent that the HMO negative issues have continued to cause misery and concern to Uplands and Brynmill. This is a direct result of a lack of enforcement from licensing conditions. Why have you failed to enforce such conditions, which would have gone some way to protecting the welfare of Uplands and Brynmill residents?

Response of the Cabinet Member for Housing, Energy & Building Services

See above response to Mr Trimby which is equally applicable to Mrs Keeley's question.

Conditions are enforced using a variety of informal and formal methods as described.

Also as indicated and specifically in relation to issues of waste, Officers from Public Protection, Waste and Cleansing are currently looking at these issues to determine what more can be done to improve matters and reassure residents.

6.

John Williams

In relation to Minute 50 "Councillors' Questions – Question 8"

Earlier this month the council tried to pass Supplementary Planning Guidance to allow a limit of 25% in some part of Uplands Ward. This would have allowed about another 300 HMOs to be created. The Council is plainly having difficulty in enforcing the conditions on existing HMOs. How can they reassure us that they could cope with regulating even more?"

Response of the Cabinet Member for Housing, Energy & Building Services

The successful introduction of the Supplementary Planning Guidance (SPG) for HMOs, which would have set the maximum limit of HMOs in the Wards of Castle and Uplands at 25%, would have given much greater control of HMO limits and protected against streets and areas within those Wards exceeding the saturation limit of 25%. This would have resulted in the majority of new HMO planning applications being recommended for refusal as opposed to approval, as evidenced in the two most recent Planning Committee meetings.

The Council has not produced a definitive figure regarding the absolute number of HMO change of use applications that could theoretically be approved if the SPG thresholds were put into place. Such a number is not practically possible to calculate. There are too many potential scenarios that could arise since every new HMO planning permission, depending where it is, would affect the next calculation and so on.

Significant analysis has been undertaken to inform the production of the draft SPG, including testing of the radius methodology. This has clearly demonstrated that the opportunity for new HMOs within the draft SPG HMO Management Area (where the 25% threshold is proposed) would be very limited given the evidence regarding existing HMO concentration levels, and every new HMO granted permission in the future would increase these levels. The Council is aware that the public have carried out an exercise to arrive at what they consider to be a robust figure for the future numbers of HMOs with the proposed SPG threshold in place, but the methodology used has not been independently reviewed and the figures are questioned given the reasons outlined above. Fundamentally, the thresholds proposed in the SPG would have imposed more of a restriction on the future number of HMOs within Uplands and Castle Wards than is currently the case.

	<p>Until such SPG is in place, should there be a large increase in the number of licensable HMOs in the City & County of Swansea, the Council would review its staffing arrangements accordingly.</p>
7.	<p>John Thomas In relation to Minute 50 “Councillors’ Questions – Question 8” Since 2012 apart from Landlords actually prosecuted, how many have been approached by the council following complaints? When/How many of those were repeat calls?</p> <p>Response of the Cabinet Member for Housing, Energy & Building Services I have assumed Mr. Thomas’s query relates to HMOs, licensing conditions and matters regarding waste. Officers will contact him to confirm that is correct, seek clarification on his request and to advise what information can be provided.</p>
8.	<p>Councillor E W Fitzgerald In relation to Minute 42 “Swansea Local Development Plan (LDP) – Update on Deposit LDP Public Consultation, Evidence Base Review and Next Stages”</p> <p>i) Can I have assurances that, following the approval by Council of the Deposit Plan on 16 June 2016, for consultation, no changes have been subsequently made to any boundaries of strategic sites?</p> <p>ii) The Preferred Strategy identified a need for 3,210 new homes in the Central Zone so that people could live and work within the same area. How many permanent homes are being delivered via the Deposit Plan and what changes in processes have to led to any increase/reduction in the original figure?</p> <p>iii) The report indicates that there is a lack of capacity in sewage infrastructure with developers being expected to pay for any upgrades. Welsh Water has requested clarification in regard to these contributions and it’s acknowledged that there is a potential for disparity in the time frames. Do you agree that sewage infrastructure issues could cause delays in site viability? Do you also agree and that this is an issue that Welsh Government has concerns about (Page 76) pointing out that infrastructure improvements need to be costed and may have a detrimental impact on the viability / timing of site and ultimately their delivery which is why it held a conference for planners on this matter in January this year?</p> <p>iv) It’s stated in the Green Belt and Green Wedge Designation report (June 2016) that land, which included site SD C, needed some form of anti coalescence protection. However, applying this approach to GBGWD the only question then was whether this should be Green Wedge or Green Belt. Do you agree that you didn’t resolve this question but simply proceeded in the GBGWD to reduce substantially the land that would be given any form of anti-coalescence protection. Do you also agree that this was not consistent with the staged approach and processes described in GBGWD, and neither was it justified on exceptional ground, and that this undermines the credibility of the planning judgment made on this critical issue.</p>

Response of the Cabinet Member for Commercial Opportunities and Innovation Cabinet Member

i) No changes have been made to the boundaries of strategic sites since the Deposit Plan was approved for consultation by Council in 2016.

ii) The consultation draft LDP Preferred Strategy was based upon the latest evidence at that time which was the 2013 Local Housing Market Assessment (LHMA). The final LDP Preferred Strategy identified an updated requirement for 2,100 homes in the Central Strategic Housing Policy Zone (SHPZ) over the Plan period. This was based on the latest analysis apportioning the overall housing requirement by SHPZ and the land supply potential of areas to deliver new housing contained in the Local Housing Market Assessment (LHMA) Update.

The final Preferred Strategy identified that the Central SHPZ is largely built out and that the future residential strategy for this area would be focussed on the delivery of new homes associated with City Centre regeneration projects in the central and waterfront areas, windfall Brownfield sites and conversion of vacant accommodation above shops.

The Deposit Plan allocates land for a total of 1,760 homes in the Central SHPZ, which are expected to deliver the following numbers of housing units over the remainder of the Plan period up to 2025:

- SD J Central Area and City Waterfront = 1,000
- SD L Tawe Riverside Corridor and Hafod Morfa Copper Works = 370
- H1.1 Former Vetch Field = 40
- H1.2 Llwyn Y Bryn Campus = 200
- H1.3 Townhill Campus = 150

The remainder of the housing requirement is delivered by sites already built or granted planning permission during the Plan period since 2010. These sites provide a further 939 dwellings in the Central SHPZ as of July 2017 and are listed in the Revised July 2017 Housing LDP Topic Paper Addendum.

Therefore, a total of 2,699 homes are being delivered in the Central SHPZ over the Plan period, more than the identified housing requirement, but providing an important flexibility allowance for the delivery of future schemes and with potential for some further windfall development over the remaining years of the Plan up to 2025.

iii) Surface water compensatory removal will be required to enable foul connections to be made as part of an agreed scheme to be submitted as part of the Planning application, in accordance with the requirements of the Burry Inlet Memorandum of Understanding (MOU) relating to the treatment of waste and foul water. A new MOU is currently being drafted relating to the long term strategic development needs as identified in the respective partner Councils' LDPs. This process will help ensure that the Plan allocations can be efficiently implemented without damage to the water quality.

The Council has been and will continue to engage with Welsh Water on the site allocations. Welsh Water's investment in water and sewerage infrastructure is managed in rolling 5 year Asset Management Plans (AMPs) which seek to ensure appropriate scale investment is undertaken to

provide capacity for growth. Due to the regulatory, financial and legislative framework that they have to work within there is the potential for disparity in the timeframes of the AMP and LDPs. Development that requires infrastructure improvements in advance of delivery through Welsh Water's investment programme will be required to provide an appropriate contribution to secure the provision of the infrastructure. Developers are fully aware of this requirement.

iv) The Green Belt and Green Wedge Designation Assessment only identifies land that is genuinely needed for anti-coalescence purposes and therefore warrants either a Green Belt or Green Wedge designation. This is in-line with National Planning Policy as explained in Section 2.1 of the assessment.

The Green Belt and Green Wedge Designation assessment followed a 3 stage process.

Stage 1 established potential Green Belt or Green Wedge areas by identifying countryside that acts as a buffer between settlements and therefore acts to prevent settlement coalescence.

Stage 2 examined the potential Green Belt or Green Wedge areas in detail and established whether such areas should be Green Belt or Green Wedge designations.

Stage 3 defined precise boundaries for the Green Belt.

The proposed Green Belt adjacent to SD C was considered in Stage 1 part 1 under:

- The review of existing UDP Green Wedges (section 4.1.2 and Table 1 refer). Part of the proposed Green Belt forms the existing Llan Valley Green Wedge. The assessment determined that because this land lies between settlements it warranted further consideration for a Green Belt or Green Wedge designation.
- Consideration of the LDP proposed Strategic Development Area Allocations (section 4.1.4 and Table 3 refer). This assessment looked at existing and proposed new settlements and determined that there was potential for coalescence with Kingsbridge to the west and Fforestfach to the south and further consideration for a Green Belt or Green Wedge was required, whilst acknowledging that considerable new development of strategic scale was to be accommodated within this area

And Stage 1 part 2 under:

- Distances between Settlements (Sections 4.1.7 – 4.1.8 and Table 6 refer). The assessment determined that the distance between proposed SD C and SD H meant that the settlements were vulnerable to coalescence and more detailed assessment for a Green Belt or Green Wedge was required.

Other factors taken into consideration at this stage that affected the need for a green wedge/belt designation at SD C included existing development and landform. The majority of the proposed development at SD C represents rounding off that extends no further south than existing development abutting the A483, whilst that part of the site which projects further south is constrained by landform and other features which act as a barrier to further development.

The proposed Green Belt adjacent to SD C was given detailed consideration in Stage 2 under:

- UDP Green Wedge Areas (assessment 1 LLan Valley refers). This assessment looked to identify factors that removed the risk of coalescence and indicators for an increased risk for coalescence. The assessment determined the risk of coalescence could not be eliminated between the settlements of Waunarwydd, Gowerton, Gorseinon, Kingsbridge, Penllergaer and Fforestfach and that these settlements remained at risk of coalescence. It also determined that a Green Belt designation would be most appropriate.

It is clear that the assessment established that anti-coalescence protection was needed on land between Waunarwydd, Gowerton, Gorseinon, Kingsbridge, Penllergaer, Fforestfach and that the assessment considered more than simply should this land be a Green Belt or Green Wedge. The decision to only propose Green Belt or Green Wedge designations on land where it is needed to prevent coalescence and in particular the proposed designation of a Green Belt adjacent to SD C is based on sound planning judgement.

9. **Councillor P M Black**

In relation to Minute No. 43 City and County of Swansea – Policy Commitments Statement.

Page 108, Paragraph 2.3. Can the Leader of the Council confirm the £1bn over five years is an increase on current budgets? What percentage increase and how will it impact on per pupil funding?

Response of the Leader

The figure of a total £1bn was predominantly based on:

- The current 2017-18 approved Education Portfolio revenue budget of £164.7m which over 5 years would total £823.5m at just today's prices.
- The likely scale, and now subsequently confirmed, 21st Century Schools Programme Band B capital bid of £149.7m.

Taking total spending to around £973.2m in 2017-18 prices and equating to the 'nearly £1bn' commitment within the election manifesto.

This assumes that the capital bid is approved in full, which is of course subject to Welsh Government consideration, but our capital assumptions and plans to fund this Council's share of the costs anticipate full approval. It should be noted that technically the Band B bid covers a slightly different and later 5 years (April 19 onwards) but the manifesto commitment and delivery intention remains clear.

	<p>Of course education and training and development opportunities extend beyond schools and the education portfolio and once lifelong learning, wider training and development and vocational opportunities, and the benefits flowing from the City Deal are factored in then we will potentially exceed our £1billion manifesto commitment.</p> <p>The Policy Commitment continues the consistent prioritisation of the delegated schools budget and other areas of pupil specific support across Education services in Swansea. This has seen the largest percentage increase in budgeted net revenue expenditure on education for Swansea in 2017-18 of 4.4% by comparison with an average of 1% across Wales according to the latest published statistics from the Welsh Government and at a time when 8 authorities approved cash reductions in education spending.</p> <p>In 2017-18 the delegated schools budget in Swansea saw a 3.1% increase - the third highest in Wales and this is in turn reflected in the per pupil funding levels.</p> <p>Future budget allocations to education will of course be a decision for Council in each February's culmination of the budget setting round and will to some extent depend upon the decisions taken by Council but more so on the overall funding settlement we receive from Welsh Government. That in turn will determine the amount available for education as a whole, schools in particular and per pupil funding.</p>
10.	<p>Councillor P N May In relation to Minute No. 43 City and County of Swansea – Policy Commitments Statement. How many Fixed Penalty Notices (FPN's) have been issued due to breaches of the Houses in Multiple Occupation (HMO) licence conditions?</p> <p>Response of the Leader There is no provision in the Housing Act 2004, the legislation dealing with HMO licensing, which allows local authorities to issue Fixed Penalty Notices (FPNs) for offences relating to HMO licences. The Housing (Wales) Act 2014 does contain provision for FPNs <u>but</u> these relate to failure to register/license with Rent Smart Wales. They are not, as indicated, a tool to deal with HMO conditions.</p>
11.	<p>Councillor A M Day In relation to Minute No. 43 Estyn Inspection of Local Authority Education Services for Children and Young People 2013 – Update on Progress in Addressing the Five Recommendations. How many Fixed Penalty Notices (FPN's) have been issued in relation to school absences and the value of those notices?</p> <p>Response of the Cabinet Member for Children, Education & Lifelong Learning</p> <p>The total number of Fixed Penalty Notices issued since the system was introduced in in January 2015 is 1,162.</p> <p>The amount of payments collected into the PN account from start to date is £36,360.00</p>

	<p>The funding/income is used to fund the salary and on-costs for the administrator who undertakes all the administrative work to process these notices – which includes extensive record keeping to ensure tracked attendance meets the criteria for a penalty notice and invoices etc. This is in accordance with Welsh Government agreement that the fines are used to support the costs to administer the system.</p>
<p>12.</p>	<p>Councillor C A Holley In relation to Minute No. 43 Asset Management Plan 2017/2021.</p> <ul style="list-style-type: none"> <i>i) Can an update be provided in relation to the Review of Depots?</i> <i>ii) Can a copy of the feasibility study referred to on Page 140 ‘Disposals’ be shared with all Councillors?</i> <i>iii) Can a copy of the JLL report referred to on Page 141 ‘Property Investments’ be shared with all Councillors?</i> <i>iv) Can an update be provided in relation to the Felindre site?”</i> <p>Response of the Cabinet Member Service Transformation & Business Operations</p> <p>i) Following a report to Cabinet on the 21st April 2016 (Minute Number 231) with regards to Depot rationalisation there were a number of summary recommendations with regards to the Depot Review. Officers continue to investigate a number of options based on those recommendations however at this stage these investigations are commercially sensitive.</p> <p>ii) Feasibility study referred to Page 140 is still to be concluded, however, it is unlikely this would be shared more widely as this would relate to commercially confidential proposals. Any further individual sites that may be brought forward will be dealt with in the normal manner.</p> <p>iii) The report referred to was reported to Cabinet on the 21st July 2016 (Minute Number 41). On legal advice Cabinet excluded the public when considering the matter due to confidential information within the report. However all councillors would have received a copy of that report including the JLL attachment at that time. Councillors are still entitled to see that report (which can be circulated on request) but on a confidential basis.</p> <p>iv) Agents have been appointed to undertake marketing which is due to commence. In addition, the Welsh Government are undertaking a feasibility study on the greenfield site for housing. The housing use in the LDP which has been approved by Council to go out for consultation.</p>
<p>13.</p>	<p>Councillor P M Black In relation to Minute 50 “Councillors’ Questions – Question 1” Can the Cabinet Member provide an update and timeline relating to the installation of sprinklers in the Authority’s high-rise blocks?</p>

	<p>Response of the Cabinet Member for Housing, Energy & Building Services</p> <p>I can confirm all high-rise blocks have been reviewed in terms of feasibility and the initial design work has commenced. It is expected that we will be in a position to commence procurement of the first schemes by October, with a start on site on a phased basis by November.</p> <p>The Council is looking to prioritise those blocks where cladding works have been carried out and will need to agree a programme of works around the completion of the contractor's works around the last block at Clyne Court. In addition it is intended to carry out installation to those blocks where cladding works have not yet been carried out as part of an overall scheme.</p> <p>As such it is difficult to give estimated completion dates as this will also depend on industry capacity but I would be happy to update you and Council when tenders have been received and firm dates for each scheme are known.</p>
14.	<p>Councillor P N May</p> <p>In relation to Minute 50 "Councillors' Questions – Question 8" Can the Cabinet Member provide further information relating to the 'further cases pending' referred to in the written response? How many are there and when will the Authority see the outcome?</p> <p>Response of the Cabinet Member for Housing, Energy & Building Services</p> <p>On 8th August 2017, Paul Williams, Director of Shotblue Limited, pleaded guilty in Swansea Magistrates Court to 25 offences of failure to comply with HMO licence conditions and failure to comply with Management Regulations relating to a licensed HMO at 40 Carlton Terrace.</p> <p>There had been a fire at the property on 26th December 2016 which was attended by Mid and West Fire and Rescue Service. Subsequent visits by Senior Environmental Health Officers in January 2017 revealed a series of failings and property in very poor condition. Magistrates described conditions as "quite deplorable" and fined Mr. Williams a total of £18,600. The Council was also awarded full costs of £1,692.</p> <p>This case shows the length of time that can be taken from the offence being committed to having a successful outcome in court.</p> <p>As the other cases have not yet been heard in the Magistrates Court, I am not able to provide any further information. However, when the cases have been heard the results will be published on the Council's website.</p>

Agenda Item 9.

Report of the Cabinet Member for Service Transformation & Business Operations

Council – 24 August 2017

CORPORATE PLAN 2017/22

Purpose:	To publish a Corporate Plan containing the Council's Well-Being Objectives in line with the requirements set out within the Well-Being of Future Generations (Wales) Act 2015 and statutory guidance relating to Public Bodies
Policy Framework:	<i>Sustainable Swansea – Fit for the Future</i>
Consultation:	Cabinet Member, Legal, Finance and Access to Services
Recommendation(s):	It is recommended that: 1) That the Corporate Plan 2017/22 is adopted.
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 outlines proposals for meeting the requirements set out in the Well-Being of Future Generations (Wales) Act 2015 (WFG Act) for public bodies to set and review our Well-being Objectives and publish them in a Corporate Plan.

1.2 In summary, the WFG Act sets out a 'Well-Being Duty'. The Well-Being Duty requires public bodies to carry out sustainable development and encompasses two main obligations:

- a. Deciding priorities – the duty to set 'Well-Being Objectives'.
- b. Meeting priorities – the duty to take 'reasonable steps'.

2.0 Requirements for setting Well-Being Objectives

2.1 The Council must set and publish '*Well-Being Objectives*' no later than **31 March 2017**.

2.2 When setting its Well-Being Objectives, the Council must have regard to **all seven** of the national Well-Being Goals prescribed under the Act. These goals are attached at Appendix B.

2.3 The Council's Well-Being Objectives must be designed to 'maximise its contribution' to achieving each of the seven national Well-Being Goals; and the Council must take 'all reasonable steps' (in exercising its functions) to meet them. The Goals are not to be considered a hierarchy (i.e. they are all of equal importance), but as an integrated set.

2.4 The Council must also have regard to **evidence** when setting its Well-Being Objectives. This evidence includes:

- *National Indicators* (when published) – *population* indicators comprising of data as it affects a community area (in this case a regional area, i.e. Wales); they are not performance indicators measuring the performance of the Council or any single organisation.
- *A Future Trends Report* – published by the Welsh Government outlining **predictions** of likely future trends in social, economic, environmental and cultural well-being of Wales.
- *The Assessment of Local Well-Being* – undertaken by (on behalf of) the Public Service Board (PSB).

2.5 The Council's Well-Being Objectives must be reviewed on an annual basis.

2.6 The WFG Act also puts in place a '*Sustainable Development Principle*', which tells organisations how to go about meeting their duty under the Act.

2.7 The Sustainable Development Principle is based upon 5 key ways of working that the Council will need to apply (and demonstrate that it has applied) when setting its Well-being Objectives and setting out the steps it will take to meet them within the Corporate Plan, as follows:

- *Long-Term* – the Council balancing short-term needs with the need to safeguard the ability to also meet long-term needs.
- *Prevention* – the Council when setting and taking steps to meet its Well-Being Objectives acting to prevent problems from occurring or getting worse.

- *Integration* – the Council considering how its Well-Being Objectives may impact upon each of the seven national Well-Being Goals, on its other objectives and on the objectives of other public bodies; action should be taken to minimise any detrimental impacts.
 - *Collaboration* – the Council considering how it can work with other public bodies, or with other parts of the Council, to meet its Well-Being Objectives.
 - *Involvement* – the Council involving people with an interest in achieving its Well-Being Objectives and ensuring that those people reflect the diversity of the area that the Council serves.
- 2.8 The Council is required to publish a *Well-Being Statement* in its Corporate Plan along with its Well-Being Objectives.
- 2.9 The Well-Being Statement must outline why the Council feels that each Well-Being Objective will see it maximise its contribution to the seven national Well-Being Goals.
- 2.10 The Well-Being Statement will also need to set out how the Council has applied the Sustainable Development Principle (the 5 ways of working) in setting and taking steps to meet its Well-Being Objectives.
- 3.0 Meeting the requirements by 31st March 2017**
- 3.1 The Local Government elections in May 2017 made it difficult to review and revise the corporate priorities and publish a new Corporate Plan before the end of March 2017.
- 3.2 A report at Cabinet on 16th March approved the following course of action.
- That the Council's 5 key priorities (Well-Being and Improvement Objectives) expressed in the Corporate Plan 2016/17 were carried forward into 2017/18 until the local government elections in May 2017.
 - That the 'Well-Being Statement' for 2017/18 would be published outlining the work already undertaken and underway to review our priorities (Well-Being and Improvement Objectives).
 - That the work that was then underway to review the Council's priorities (Well-Being and Improvement Objectives) would continue with the newly elected Administration into 2017/18 with a new Corporate Plan published as soon as practicably possible.
- 3.3 The Council's Well-Being Statement containing the Council's interim Well-being Objectives for 2017/18 was subsequently approved at

Cabinet on 16th March 2017 and published before the end of March 2017.

- 3.4 In its Well-Being Statement, the Council undertook to review its Well-being Objectives and publish this Corporate Plan following the local government elections in May 2017.

4.0 Well-being objectives and Corporate Plan 2017/22

- 4.1 The review of the Corporate Plan and Well-being Objectives was undertaken by consulting with local people and by assessing the evidence outlined in para 2.4. The Council's equality objectives, including Welsh language, and Policy Commitments were also considered.

- 4.2 The Council's Corporate Plan and Well-being Objectives (and Improvement Objectives) were revised for 2017/22 following this review as follows:

- Safeguarding People from Harm.
- Improving Education & Skills.
- Transforming our Economy & Infrastructure.
- Tackling Poverty.
- Transformation & Future Council development.

- 4.3 The Corporate Plan describes the steps being undertaken to meet the Well-being Objectives and contribute to the seven national well-being goals outlined in the Act.

- 4.4 The Plan also sets out how the Council is maximising its contribution to the Well-being Objectives and national goals through the way in which the Council works, which is in line with sustainable principles outlined in para 2.7.

- 4.5 A copy of the Corporate Plan 2017/22 is attached at Appendix A.

5.0 Equality & Engagement Implications

- 5.1 The Corporate Plan was screened for relevance for an EIA. The screening determined that a full EIA was necessary. The draft EIA determined that the Plan would have a positive impact on people with protected characteristics, as well as other positive impacts on equality, and that there were no concerns identified. A copy of the EIA is attached at Appendix C.

6.0 Financial Implications

- 6.1 This report has no direct financial implications.

7.0 Legal Implications

- 7.1 Under the Local Government (Wales) Measure 2009 for each financial year the Council must set itself objectives for improving the exercise of its functions during that year (“improvement objectives”) and further must have regard to guidance issued by the Welsh Ministers. By 1st April 2017, the Council must set itself “Well-Being Objectives” as required by the Well-Being of Future Generations (Wales) Act 2015 and have regard to guidance issued by the Welsh Ministers; para 3.0 and 4.0 outlines how the Council has worked to meet this requirement in light of the issues described in para 3.1. There is the possibility that Welsh Government may not be satisfied with the measures taken by the Council to comply with its statutory obligations under the WFG Act. However, all local authorities in Wales are likely to be encountering the same constraints.

Background Papers: None.

Appendices:

Appendix A – Corporate Plan 2017/22.

Appendix B – The 7 National Well-Being Goals prescribed by the Well-Being of Future Generations (Wales) Act.

Appendix C – Equality Impact Assessment.

Delivering a Successful & Sustainable Swansea

The City & County of Swansea's Corporate Plan 2017/22

Foreword

There are a number of major challenges facing the world, the UK, Wales and Swansea. Many of these challenges require us to work in a different way to how we have worked before.

The population of Swansea just like the rest of the UK and Wales is going through some major changes. We are getting older, our communities are more diverse and the population is set to continue to grow. The ageing population also means that we are seeing increases in certain illnesses and conditions, such as dementia. A growing population and an increase in the number of households mean that providing additional and affordable housing is a priority. Levels of poverty and health inequality continue to prove to be stubbornly high. All of this is putting additional pressure on public services at a time when budgets and finance is being squeezed.

Globalisation, changes to global economic growth and shifts away from manufacturing to service and technological based economies and BREXIT creates challenges for the UK, Wales and Swansea economies but also opportunities that need to be captured and pursued if we are to fulfil our potential

Climate change is one of the greatest dangers and challenges facing us all and we need to think how we can adapt, reduce our carbon and greenhouse emissions and reduce our risk to flooding and other significant impacts. This also involves making better use of our land and natural resources whilst seeking to protect our natural environment and improve biodiversity.

To tackle these challenges we need to work together. To give current and future generations a good quality of life we need to think about the long-term impact of the decisions we make. We have to do things differently to make things change. If we are to beat these challenges we need to think more about the long-term, work better with people and communities and each other, look to prevent problems and take a more joined-up approach. This will help us to create a Wales that we all want to live in, now and in the future.

None of this will be easy and will take time to fulfil. The City & County of Swansea has made a good start but there is a lot more to do. Swansea continues to push the boundaries of sustainable practice. Our values and principles together with our well-being objectives that are described in this Corporate Plan already make a significant contribution to improving the economic, environmental and cultural well-being of Wales and Swansea; but the Council needs to do more to show that it is doing all it can do contribute to the Wales and Swansea that we want and is working in a way that shows that sustainable practice is fully embedded in its business. The City & County of Swansea is fully committed to embedding sustainability as its central organising principle. It will build upon the good practice that already exists and will continue its maturing commitment to sustainable development, learning together along the way so that it shapes all that we do both now and in the future.

Cllr Rob Stewart
Leader of the Council

Phil Roberts
Chief Executive

1. Introduction – Review of the Corporate Plan and Well-Being Objectives

The City & County of Swansea published its well-being statement before 31st March 2017 as required by the Well-Being of Future Generations (Wales) Act 2015.

The well-being statement sets out our key priorities for 2017/18. These priorities, known as our 'well-being objectives', are our objectives for improving the environmental, cultural and social well-being of Swansea and Wales.

The full well-being statement can be found along with a copy of this Corporate Plan by clicking on this link –

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

We undertook to review and publish this Corporate Plan following the local government elections in May 2017.

The review of the Corporate Plan and our well-being objectives was undertaken by consulting with local people and by assessing the following evidence:

- Future trends and challenges.
- An assessment of local well-being.
- Our equality objectives, including Welsh language.
- Reference to national indicators.
- Our policy commitments.

Our Corporate Plan and our well-being objectives were revised for 2017/22 following this review.

The Corporate Plan describes the steps being undertaken to meet our well-being objectives and contribute to the seven national well-being goals¹ outlined in the Act.

The Plan also sets out how we are maximising our contribution to our well-being objectives and national goals through the way in which we work, which is in line with sustainable principles as follows:

- Looking ahead to the medium and long-term challenges.
- Preventing problems from occurring or from getting worse.
- Ensuring our objectives do not contradict each other and complement those of other public bodies.
- Working in partnership with others.
- Involving local people.

¹ The National Goals are: A Prosperous Wales; A Resilient Wales; A Healthier Wales; A More Equal Wales; A Wales of More Cohesive Communities; A Wales of Vibrant Culture and Thriving Welsh Language; A Globally Responsible Wales.

A summary of our published well-being statement for 2017/18 follows. It incorporates changes to the well-being statement that have been made following the review of our well-being objectives and Corporate Plan.

2. Summary of Well-Being Statement

Our Corporate Plan – vision, values, principles and well-being objectives

Our Corporate Plan *Delivering a Successful & Sustainable Swansea* and our well-being objectives outline how we will work to meet present and future challenges.

The challenges ahead

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

- Population changes – a growing, ageing and more diverse Swansea.
- Economic changes – attracting investment, high quality jobs and new technology into Swansea while addressing the skills gap.
- Climate change – risks from flooding, air and water quality, dangers to ecosystems and biodiversity and energy security.
- Social and cultural changes – addressing inequalities in health, education, employment and life chances.

We have sought to address these current and future challenges through our Corporate Plan and our well-being objectives.

Our ambitions and commitments to residents – our well-being objectives

In order to meet these challenges, we have prioritised five well-being objectives. These are:

- **Safeguarding people from harm** – so that our citizens are free from harm and exploitation.
- **Improving Education & Skills** – so that every child and young person in Swansea gains the skills and qualifications they need to succeed in life.
- **Transforming our Economy & Infrastructure** – so that Swansea has a thriving mixed use City Centre and a local economy that will support the prosperity of our citizens.
- **Tackling Poverty** – so that every person in Swansea can achieve his or her potential.
- **Transformation & Future Council development** – so that we and the services that we provide are sustainable and fit for the future.

The review of our Corporate Plan and well-being objectives saw the removal of the former *Building Sustainable Communities* well-being objective and its replacement with a new *Transformation & Future Council* objective.

The aim of the previous *Building Sustainable Communities* objective was to ensure that the places where people live and work meet the diverse needs of existing and

future residents. This is now being addressed through our *Transformation & Future Council* objective and through our other four well-being objectives.

The remaining well-being objectives for 2017/22 expressed in this Corporate Plan are worded differently but are substantially the same as the well-being objectives expressed in the last Corporate Plan. The scope of each well-being objective has however been broadened following the review of our Corporate Plan as we have sought to maximise our contribution to the national goals through our well-being objectives.

How we will work – our values and principles

Our values and principles expressed in our Corporate Plan underpin the delivery of our well-being objectives and reflect sustainable ways of working:

Our Values

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

- ***People Focus***

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

- ***Working Together***

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

- ***Innovation***

We will promote and support a culture of innovation. We will think and work differently to improve our ability to deliver and to meet the financial, demographic and societal challenges we face. We will share learning across the Council, as part of our Innovation Programme.

Our Principles

Our Plans and priorities will be underpinned by three key principles. These principles are essential to deliver our well-being objectives and will be woven into the way that we work.

- ***Sustainability***

We will work to improve the economic, social and environmental well-being of Swansea. This means making sure that the needs of the present are met without compromising the ability of future generations to meet their needs.

It is a key principle at the heart of the *Transformation & Future Council* priority and our *Sustainable Swansea – Fit for the Future* strategy, which is about transforming Council services, ensuring the financial viability of the Council and improving outcomes for residents.

As part of this, we will continue to engage with and seek the views of residents and service users. The principle of sustainability has prevention and integration at its heart and we will develop long-term plans for addressing our well-being objectives, working with others. We will also ensure that, through this approach, we meet the requirements of the *Well Being of Future Generations (Wales) Act 2015*.

- **Prevention**

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

- **Partnerships**

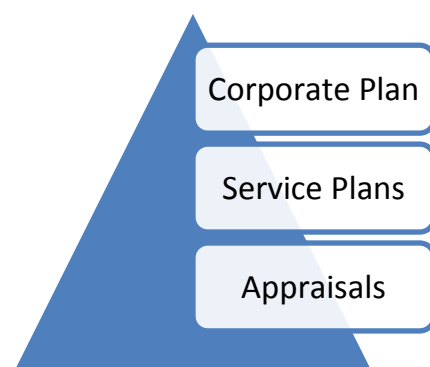
We will work together with our partners across the public, business and voluntary sectors through the Public Service Board and through other collaborative means in order to meet the shared challenges that face Swansea and its communities.

We will take a ‘Team Swansea’ approach, working as a whole-Council to ensure that every service can play a part in contributing to our well-being objectives and that we share resources and expertise. The needs of our residents and the major challenges facing Swansea can only be tackled through productive partnerships, greater integration of our services and pooling of resources.

Our Delivery – the steps

Our Corporate Plan demonstrates that all of our well-being objectives taken together and the steps that we are undertaking to deliver them shows our contribution to all seven national goals and to the social, economic, cultural and environmental well-being of Swansea and Wales.

Our contribution to the national goals and well-being of Swansea and Wales is not just expressed in our Corporate Plan. The Corporate Plan describes our key well-being objectives and contribution but it forms part of our wider Performance Improvement Framework, which includes departmental Service Plans; the Corporate Plan taken together with Service Plans describes our full contribution. This arrangement is outlined in the diagram below:



Our Delivery – sustainable ways of working

We will further maximise our contribution to the social, economic, cultural and environmental well-being of Swansea and Wales through embedding sustainable ways of working.

These ways of working are reflected in our values and principles but also in the steps we are taking and plan to take in order to maximise our contribution.

- **Looking ahead to the long-term challenges**

Our Corporate Plan and well-being objectives seek to address current and longer-term challenges.

We have started to further develop our capability and capacity for a longer-term strategic outlook, looking at future trends and scenarios in order to build a strategic picture looking ahead to between 10 and 25+ years. We have been working on building up a picture of what future trends might mean for the Council and for Swansea's communities in the future.

We recently commenced a series of workshops with staff, elected Members, our partners and the public to add to the work that we have undertaken previously, which includes how future trends might have an impact at a community level.

These workshops seek to identify a common view on future challenges and to sketch out 'what good looks like' to inform future policy development and service design and delivery.

- **Preventing problems from occurring or getting worse**

Through our well-being objectives we are working to prevent problems or to stop them from getting worse.

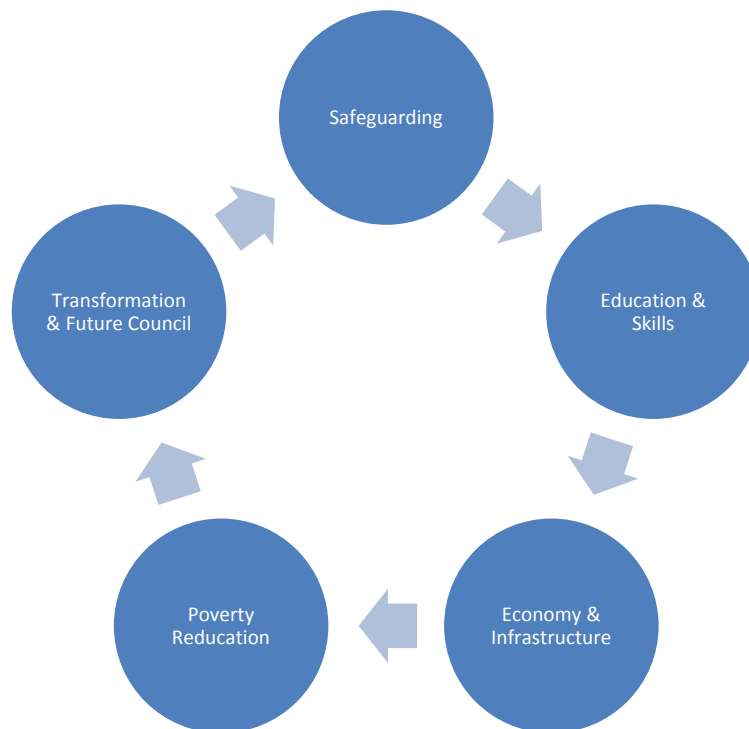
The Council needs to continue to develop its preventative approach and has to that end developed a *Prevention Strategy*. This strategy will further embed early intervention and prevention into the Council's business and place an even greater focus on improving well-being.

- **How our well-being objectives relate to each other and to those of other public bodies.**

It is important to point out though that each of our well-being objectives cannot be seen in isolation from each other. Each well-being objective both affects and is affected by the others.

For example, improving education and skills is both important to our efforts to reduce poverty and to improve the city and economy, which means transforming our education system to ensure children and young people have the necessary skills for the new economy.

This interdependency is illustrated in the diagram below:



We are working to identify the connections and potential impacts of diverse policies and programmes and highlight where such policies / programmes can reinforce or undermine each other.

We have developed an integration tool that is used to identify and strengthen interdependencies.

We have used this tool to assess and review our Corporate Plan and well-being objectives, which has helped map our contribution to the national goals and identify further options for maximising the contribution to the social, economic, cultural and environmental well-being of Swansea and Wales.

During the review of the Council's well-being objectives and the Corporate Plan, Public Service Board (PSB) representatives attended one of the public consultation events to inform the development of the Plan.

Further engagement with our public service board partners on our well-being objectives will be undertaken in 2017/18 and 2018/19 during the production of the PSB well-being plan.

- **Working in collaboration with others**

We are collaborating with partners from the public, private and third sector in order to take steps to deliver our well-being objectives, showing our contribution and options to maximise our contribution to the social, cultural, environmental and economic well-being of Swansea and Wales.

Our full well-being statement describes examples where partnership working is key to delivering our well-being objectives. These include:

- Working with six other local authorities to deliver school improvement services.
 - Working in partnership on safeguarding with representatives of each of the main agencies and professionals who are responsible for helping to protect children and adults from abuse and neglect through the Western Bay Adult and Children's Safeguarding Boards.
 - Working with three other local authorities, the Welsh Government, Universities and the private sector through the Swansea Bay City Deal to transform the economic landscape of the area, boost the local economy by £1.8 billion, and generate almost 10,000 new jobs over the next 15 years.
- **Involving all of our citizens in what we are doing**

The Council is committed to consulting with, and involving, residents, other stakeholders and employees in the Council's decision-making process. We have a *Consultation and Engagement Strategy* in place, underpinned by a set of principles and supported by a *Consultation Toolkit* for practitioners to help them engage with residents and service users.

Swansea Voices Online Panel consists of database of residents who are regularly consulted by the Council about its services and local issues. Its membership is continually refreshed to give as many people as possible the opportunity to take part. Recent areas of consultation have included the City Centre redevelopment and priorities for the Council's budget.

The Council tracks the views of Swansea residents using an ongoing telephone survey. Every other month 180 people are asked their opinion about the Council, the services it provides, Council staff and satisfaction with their local area. The information gathered each year provides us a representative account of public opinion and is used to inform our service plans and is submitted as part of our performance monitoring processes.

In addition, the Council engages with the diversity of the population through diversity groups and forums, such as the 50+ Network, BME Forum and LGBT Forum. Schools pupils are involved in their education through School Councils and through *Pupil Voice*, which is directly aimed at increasing pupil participation as set out in Article 12 of the United Nations Convention of the Rights of the Child (UNCRC); Swansea was the first UK Council to adopt and embed UNCRC. The Council's *Big Conversation* events give children and young people an opportunity to discuss issues that matter to them and to influence Council policy.

Community action and involvement is central to how the Council is looking to plan and deliver services. The formation of 'Friends' groups are being supported to regenerate local parks, beaches and allotments. In social care, strengths based approaches to professional practice is also involving people and their families in helping to deal with their own problems by focussing on their strengths and assets and what they can bring to the table.

We have plans to involve more local people in the Council's decisions that affect them, their families and communities. We will look to establish a forum for community volunteers to involve them in the decision-making process and give them an opportunity to express their views and opinions.

Involving people in our well-being objectives

The review of our Corporate Plan and well-being objectives for 2017/22 consisted of three different approaches to involving people: (i) focus groups with young people (from 9 different secondary schools), (ii) two focus groups with members of the public and representatives from other organisations centred on identifying current and future challenges, what should be done and 'what does good look like' and (iii) two on-line surveys of members of the public and the Council's citizens panel respectively. The results from this involvement helped shape our revised Corporate Plan and well-being objectives.

The consultation and engagement on our well-being objectives identified a number of common themes and challenges. These are summarised below and are addressed through our well-being objectives:

Economic prosperity and regenerating the city centre

- Working with partners to deliver the City Deal across the region.
- Creating more apprenticeships and addressing the age gap and employment opportunities for those people further away from the labour market.
- Taking advantage of opportunities arising from the growth of new technology, science and creative industries.
- Improving the leisure, tourism and cultural offer and infrastructure of Swansea.
- Improving transport and infrastructure.
- The need for a sustainable rural economy.

Environmental challenges

- Encouraging the growth of local carbon, affordable and accessible transportation.
- Building more energy efficient homes.
- Caring for and raising awareness about the environment and promoting recycling.
- Protecting parks, providing more open spaces and promoting biodiversity.
- Investing in green technology and renewable energy.

Health, social care and well-being

- Enabling older people to live independently and to age well.
- Preventing homelessness and providing affordable housing.
- Supporting carers.
- Working with children in the early years before school.
- Tackling obesity and poor nutrition.

Cultural, social and community cohesion

- Tackle the abuse and bullying of children.
- Encourage volunteering and participation in the community.
- Staging more cultural and community events.
- Deal with hate crime and promote diversity and cohesion.

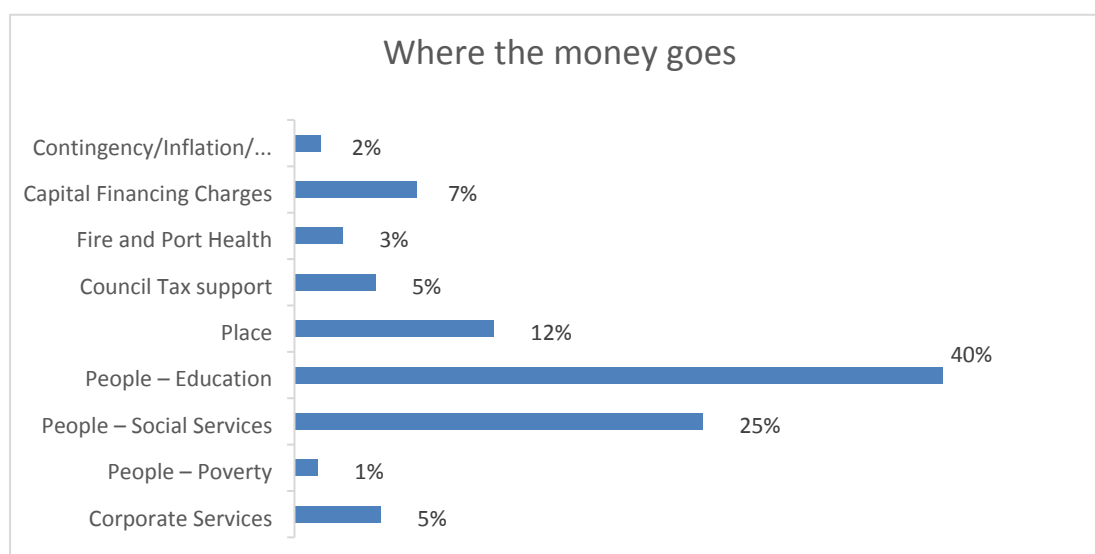
Public services and involvement in decision-making

- The need to focus on early intervention and prevention and reduce demand on public services.
- Providing more information and support on how to access services and support.
- Working more in partnership with others, including the third sector.
- Involving service users more in the planning and design of services and in decision-making.

Our Budget – resourcing our well-being objectives

Following consultation with staff, the public and other stakeholders, a report on the budget goes to Cabinet and is then discussed at a meeting of full Council. The Council has over £400 million to spend. The vast majority of this money comes from the Government and grants, and we raise further money from council tax and income. This is how it is currently allocated (2017/18 budget):

	£	
Corporate Services	22063	5%
People – Poverty	6068	1%
People – Social Services	103814	25%
People – Education	164716	40%
Place	50763	12%
Council Tax support	20645	5%
Fire and Port Health	12359	3%
Capital Financing Charges	31209	7%
Contingency/Inflation/Reserve	6760	2%
Total	418, 397	



Public consultation on 2018/19 budget will be underway by the Autumn. Although the amount of money we receive from Welsh Government could well reduce in cash next year, there will need to be much larger savings to offset our forecast of £16million of additional expenditure, which is outside our control such as rising inflation and demographics.

We also think that our funding from Welsh Government will reduce significantly in the coming years, which means we will have £60m less to spend in real terms at a time when demand for services like social care is rising.

The public have already told us their priorities are schools and social services. Yet they also tell us some specific events, street cleaning and highways maintenance are very important to them too. Our budget includes a list of budget priorities in line with our well-being objectives set out in our Corporate Plan. But with less money we'll have to reduce spending on these priorities whilst making bigger cuts in other areas to balance the books.

We raise over £100million in council tax each year, but this is barely enough to cover the cost of our social services, let alone all the other services we provide. The overall cost of Council services means simply raising Council Tax is not an option. So we have to take other steps.

3. Our well-being objectives

The next part of the Plan sets out our well-being objectives for 2017/22. Each objective is described in detail under the following headings:

- **Why this priority is a well-being objective.**
- **The longer-term challenges each well-being objective will help address.**
- **The steps we will take to meet each well-being objective.**
- **How we will maximise our contribution to the national goals through the way in which we work.**
- **How we will measure progress.**
- **The contribution each well-being objective makes to the Public Service Board objectives.**

Safeguarding people from harm

Why this priority is a well-being objective.

- We are committed to ensuring that citizens live their lives free from harm and exploitation.
- Safeguarding vulnerable people needs to be seen as everybody's business within every service within the Council, by all elected Members and by those who do work on behalf of the Council.
- We want children to be safe from harm and to stay with their families or be supported in family settings where it is safe for them to do so.
- We want to tackle domestic abuse and ensure that victims are fully supported.
- We want people to age well and be able to live as independently and as safely as possible in their own homes.

The longer-term challenges this well-being objective will help address.

- An ageing population representing a significant increase in the demand for health and social care services
- An increase in diseases and conditions associated with an ageing population, such as dementia.
- Reducing the incidents of domestic abuse, including its impact on children.
- Identifying and supporting people who provide unpaid care in Swansea.
- Placing greater emphasis on prevention rather than detection and correction to help deal with increasing demand for statutory services.

The steps we will take to meet this well-being objective.

- Continue to improve understanding and awareness of safeguarding and how to identify and report concerns amongst Council staff, elected Members, partners, the public and those working on behalf of the Council.
- Continue to ensure that effective safeguarding arrangements are in place to protect those at risk from significant harm and exploitation.
- Continue to strengthen collaboration and partnerships on safeguarding through the Western Bay Adult and Children's Safeguarding Boards.
- Continue to involve looked after children in getting their voice heard about the services that they receive through engagement with children and young people

and through strengths based practice that focusses on their strengths and assets and what they and their families can do to help themselves.

- Work with partners to raise awareness around domestic abuse and put in place effective and timely interventions and support.
- Work with partners to address safeguarding in its wider sense; for example, hate crime and bullying in schools.
- Provide people with equal access to services in order to promote independence and improve quality of life.
- Continue to maximise peoples’ independence and the ability to live in their own homes for longer.
- Through the *Prevention Strategy*, ensure that citizens have access to all preventative services, such as Local Area Coordination, which allow them to promote their wellbeing and live healthy and active lives.
- Work with partners to provide information, advice and assistance to all, including carers and young carers.
- Work with partners through the *Ageing Well Strategy* to help people to stay healthy and age well.
- Develop Swansea’s status as the first *Dementia Friendly City* in Wales.
- Work with the Older People’s Commissioner for Wales to establish a *Charter for Older People* to ensure the voices of older people are heard.

The contribution this well-being objective makes to the national goals.

A prosperous Wales	A Resilient Wales	A more equal Wales	A Wales of more cohesive communities	A Wales of vibrant culture and thriving Welsh language	A healthier Wales	A globally responsible Wales
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	

How we will maximise our contribution to the national goals through the way in which we work.

- *Preventing problems from occurring or from getting worse* – developing preventative services to avoid the need for people to access statutory services.
- *Addressing long-term challenges* – doing preventative work to reduce demand on social care services from an ageing population and tackling associated conditions, such as dementia.

- *Working in partnership with others* – tackling domestic abuse and helping people to age well with partners through the Public Service Board.
- *Avoiding conflicts between public body objectives* – working with partners through Western Bay regional safeguarding arrangements and through the Public Service Board.
- *Involving people* – involving carers and victims of domestic abuse in their care and looked after children and their families by focussing on their strengths and assets and what they can bring to the table involving parents, families and communities.

How we will measure progress.

- Elected Members and Council staff completing mandatory safeguarding training.
- Timeliness dealing with children and adult safeguarding referrals, enquiries and assessments.
- Children in need, children looked after and children on the child protection register.
- Adults and children receiving care and support to meet their well-being needs.
- Rate of carer’s receiving an assessment of their needs.
- People who have completed reablement receiving no care or less care six months later.
- Timeliness completing Deprivation of Liberty Safeguarding Assessments.
- Rate of delayed transfers of care from hospital to social care.
- Number of requests for Local Area Co-ordination.

The contribution this well-being objective makes to the Public Service Board objectives.

Children have a good start in life	People Learn Successfully	Young People and Adults Have Good Jobs	People Have a Decent Standard of Living	People are Healthy, Safe and Independent	People have Good Places to Live, Work and Visit
<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	

Improving **Education & Skills**

Why this priority is a well-being objective.

- We want every child and young person in Swansea to gain the skills and qualifications they need to succeed in life.
- Children and young people who attend school regularly are more likely to achieve the skills and qualifications that they need to go on into further education, higher education, employment or training.
- The Swansea Bay City Deal will deliver world-class facilities in the fields of energy, smart manufacturing, innovation and life science, with major investment in the region's digital infrastructure and workforce skills and talent underpinning each.
- Children and young people need qualifications and skills that are suited to the economic needs of the future.
- We want children to be prevented from becoming disengaged from learning.
- When a child is looked after by a local authority, the Council becomes a corporate parent with legal and moral responsibility for that child. We want looked after children to succeed in school and to have opportunities for further education, higher education, employment or training.
- We want our children and young people to be aware of their global rights and responsibilities so that they can be active and responsible citizens, fulfil their potential and make a difference to their communities.
- We want our children and young people to have appropriate Welsh language skills.

The longer term challenges this well-being objective will help address.

- We want to respond to the shift away from large-scale manufacturing to the service economy and the growth of smart technology and the high tech industries sustaining the City Deal.
- We will respond to the City Deal ensuring our children and young people have success in the STEM subjects (science, technology, engineering and mathematics) and digital skills such as computer coding.

The steps we will take to meet this well-being objective.

- Align our education system and work with partners to ensure we create the right people with the right skills to supply the new economy and meet the challenge of the Swansea Bay City Deal.

- Continue to support and challenge schools to improve attendance and pupil performance and encourage schools to support each other.
- Keep focusing on improving literacy (in English and Welsh) and numeracy at all ages.
- Transform the schools' estate to meet demand and respond to the developments set out within the *Local Development Plan*.
- Raise skill levels in the workplace and construction and vocational aspirations, contributing to the development of ambitious, skilled young people and adults by providing apprenticeships.
- Promote lifelong learning to reflect the changing nature of work and to support well-being and reduce social isolation.
- Teach young citizens to respect rights, understand responsibilities and be globally aware and responsible citizens by continuing to support schools to become *UNICEF Rights Respecting Schools* as part of our commitment to the UNCRC and also *Eco Schools* increasing understanding, respect and appreciation of our environment.
- Continue to involve children and young people in their education through *Pupil Voice* and *Schools Councils* and *Big Conversation* engagement events.
- Meet demand for Welsh medium education and promote the use of Welsh in schools through the *Welsh in Education* strategic plan.
- Using our school building and maintenance programme to reduce our carbon footprint.
- Ensure that children are not disadvantaged by poverty when achieving and attaining standards and wellbeing in education.

The contribution this well-being objective makes to the national goals.

A prosperous Wales	A Resilient Wales	A more equal Wales	A Wales of more cohesive communities	A Wales of vibrant culture and thriving Welsh language	A healthier Wales	A globally responsible Wales
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>

How we will maximise our contribution to the national goals through the way in which we work.

- *Preventing problems from occurring or from getting worse* – improving school attendance and attainment so that pupils improve their skills and qualifications that they need to go on into further and higher education, training or employment.
- *Addressing long-term challenges* – ensuring the school curriculum in Swansea provides pupils have the skills and qualifications for the future and contributes to the success of the Swansea Bay City Deal.
- *Working in partnership with others* – work with local authorities through the regional arrangements to support school improvement services.
- *Working in partnership with others* – work with a range of providers to provide a range of learning opportunities.
- *Avoiding conflicts between public body objectives* – creating synergy between Council objectives and economic development.
- *Involving people* – involving pupils in their education through *Pupil Voice* and *Schools Councils* and *Big Conversation* events in order to demonstrate we value these key stakeholders.

How we will measure progress.

- Pupil attendance at school.
- Literacy in English and Welsh and numeracy at different ages.
- Pupils and pupils receiving free school meals achieving five or more GCSEs at A* to C, including English and Welsh.
- Pupil take up and attainment in STEM subjects at different ages.
- Young people known to be NEET at 16 years of age.
- Apprenticeships in the Council.
- Training weeks secured for the economically inactive or unemployed through community benefit clauses in contracts.

The contribution this well-being objective makes to the Public Service Board objectives.

Children have a good start in life	People Learn Successfully	Young People and Adults Have Good Jobs	People Have a Decent Standard of Living	People are Healthy, Safe and Independent	People have Good Places to Live, Work and Visit
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>

Transforming our **Economy & Infrastructure**

Why this priority is a well-being objective.

- We want to raise economic performance and create wealth and employment opportunities to improve the economic wellbeing of Swansea's citizens
- The biggest ever investment for south west Wales has been secured following the approval of the ground-breaking Swansea Bay City Deal on 20th March 2017.
- The City Deal is worth £1.3 billion deal and will transform the economic landscape of the area, boost the local economy by £1.8 billion, and generate almost 10,000 new jobs over the next 15 years.
- In Swansea, 100,000 square feet of flexible and affordable new office space will be constructed on Kingsway in the city centre for tech businesses as part of a digital village that will benefit from world-class digital infrastructure.
- The City Deal will lead to a 215,000 square foot box village development on the University of Wales Trinity Saint David's under-construction Waterfront Innovation Quarter in SA1 providing affordable space for start-up firms.
- The City Deal will also support the digitalisation of the 3,500 indoor arena planned for the city centre's Swansea Central development site, as well as the development of a digital square to include digital screens and digital artworks..
- The City Deal will further drive the physical regeneration of the city centre in line with our revised City Centre Strategic Framework – in particular, property development and enhancement and associated transport improvements, delivering enabling infrastructure to support regeneration.
- We want to take advantage of the opportunities presented by the City Deal and regeneration of the city centre by creating employment and training opportunities for unemployed and economically inactive people through community benefit clauses in contracts and delivering employability support services in partnership with other council services and external partners.
- We want a planning policy framework that supports growth and regeneration and ensures that communities have sufficient good quality housing at sustainable locations to meet community needs and support sustainable economic growth.
- We want to take advantage of untapped growth potential to generate sustainable energy, protect the environment and boost the economy, including continuing to lobby the government to approve the Tidal Lagoon.
- We want to take advantage of Swansea's natural, cultural and built assets and infrastructure to develop the economy while protecting the environment and improving well-being.

The longer-term challenges this well-being objective will help address.

- The growth of smart and mobile technology and high tech industry is set to continue.
- In Wales, digital skills needed for the new economy lag behind the rest of the UK and these will be needed in Swansea through the Swansea Bay City Deal.
- Swansea still has large numbers of working age people not in work.
- There is evidence that Swansea's productivity gap (GVA) is narrowing, but the gap is still significant. There are also currently a relatively small number of businesses in Swansea generating economic activity compared with the UK average and workplace earnings are significantly lower by the same comparison.
- There is a large potential in Wales and in Swansea to generate sustainable energy through the Tidal Lagoon and other community level projects, boosting the local economy and helping to protect the environment.
- Climate change and associated risks such as flooding threatens our economic growth, productivity, well-being, infrastructure and our environment.
- The private vehicle is likely to remain as the dominant form of transport into the future but sustainable and affordable transport and a strategy for an integrated system for transport to serve our rural and urban areas is essential to access employment and training and protect the environment.
- Swansea is still falling well short of its potential as a regional centre and there remain significant deficiencies in the level and quality of housing and supportive infrastructure at a time when housing need and the number of households is growing.

The steps we will take to meet this well-being objective.

- Work with partners to implement the City Deal to invest in digital infrastructure and support investment, innovation, growth, jobs, skills and productivity.
- Take advantage of the opportunities presented by the City Deal and continue the regeneration of the city centre.
- Adopt the *Local Development Plan* that supports the regeneration of Swansea and promotes sustainable communities.
- Promote and enhance a diverse and sustainable rural economy.
- Create employment & training opportunities for the long-term unemployed and economically inactive through community benefit clauses in contracts.

- Improve, expand and diversify leisure, cultural and heritage facilities and infrastructure to help boost the economy, promote tourism and improve well-being.
- Explore establishing a new hotel and leisure development near the Liberty Stadium to complement cultural developments and encourage river taxis to take visitors to the Marina.
- Bid for Swansea to be UK City of Culture in 2021.
- Promote public leisure and cultural events to help improve well-being, promote community cohesion and provide economic benefits.
- Work with partners to secure an international sport village and centre of sporting excellence.
- Support expansion of the Liberty Stadium and the Swans and Ospreys to be successful.
- Promote the Green Economy, including renewable energy (such as SCEES, Tidal Lagoon) providing energy security, climate change mitigation and economic and employment benefits.
- Work with others to provide sustainable and low carbon transport and infrastructure providing improved and cheaper connectivity and mobility and associated economic benefits at reduced environmental cost and improved air quality.
- Promote biodiversity and protect Swansea's green spaces, including parks for recreation and play, to promote health and well-being.
- Manage Swansea's coastline, promote improved bathing water quality and maintain Blue Flag status at Swansea's beaches to encourage tourism, protect the environment and support well-being.
- Progress strategic housing and mixed development sites to meet housing need and provide employment.
- Give priority to providing an affordable housing solution in rural areas.
- Support recycling and ensure we continue to be the leading urban authority in Wales for reusing waste.

The contribution this well-being objective makes to the national goals.

A prosperous Wales	A Resilient Wales	A more equal Wales	A Wales of more cohesive communities	A Wales of vibrant culture and thriving Welsh language	A healthier Wales	A globally responsible Wales
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

How we will maximise our contribution to the national goals through the way in which we work.

- *Preventing problems from occurring or from getting worse* – promoting renewable energy and sustainable transport to build the economy and help tackle climate change.
- *Addressing long-term challenges* – reshaping Swansea and the region’s economy to meet the economic challenges of the future and technological change through the City Deal.
- *Working in partnership with others* – working with three other local authorities, the Welsh Government, Universities, Health Boards and the private sector to deliver the City Deal.
- *Avoiding conflicts between public body objectives* – adopting the *Local Development Plan* to support the regeneration of Swansea and provide a blueprint for good and consistent land use planning decisions for current and future generations.
- *Involving people* – extensive consultation and engagement process during each stage of the development of our *Local Development Plan* looking to identify opportunities to meet housing need and provide employment.

How we will measure progress.

- Timeliness assessing planning applications.
- Approvals of major planning applications.
- Housing units created in the city centre.
- Value of inward investment into Swansea.
- Tourism spend.
- Projects containing community benefit clauses in contracts and number of training weeks created.

- Carbon reduction in Council buildings.
- Recycling rates.

The contribution this well-being objective makes to the Public Service Board objectives.

Children have a good start in life	People Learn Successfully	Young People and Adults Have Good Jobs	People Have a Decent Standard of Living	People are Healthy, Safe and Independent	People have Good Places to Live, Work and Visit
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>

Tackling Poverty.

Why this priority is a well-being objective.

- We want a Swansea where having poverty of income is not a barrier to doing well at school, having a healthy and vibrant life, developing skills and qualifications and having a fulfilling occupation.
- We want to challenge inadequate access to necessary services of good quality by targeting resources where they have the most effect, with decisions about that made in conjunction with service users.
- We want all of our residents to have the opportunity and resources to join in with social, cultural and leisure activities and decision-making.
- We want people to maximise their income and get the most out of the money that they have.
- We want people to avoid paying the 'poverty premium', the extra costs people on low incomes must pay for essentials such as fuel and transport.
- We want to ensure that barriers to employment such as transport and childcare are removed.
- We want to ensure people from Swansea's most disadvantaged communities are not excluded and that we reduce inequalities between and within communities.

The longer-term challenges this well-being objective will help address.

- Poverty levels in Wales remain persistent, particularly for working age people and those under 18 years of age.
- Relative child poverty in the UK is projected to rise significantly from 29% in 2014/15 to 36% in 2020/21.
- Most people in Swansea are not in income poverty; but for those who are in poverty, well-being is low.
- Some pernicious aspects of the poverty premium, such as transport, fuel and food, remain very high in Swansea.
- In Swansea, people only get the most for their money if they are already quite well resourced with knowledge and information, well connected digitally and able to get around easily to take advantage of deals. The people least likely to be in this situation are those already suffering the impacts of poverty.
- The detrimental impact of deprivation begins at a very young age and builds up throughout a person's lifetime. Action proportional to need to support families and

children during the very early years can help mitigate this effect and break these links.

- Swansea still has large numbers of working age people not in work and barriers to work, such as experience, childcare and transport, needs to be tackled.

The steps we will take to meet this well-being objective.

- Implement the revised *Poverty Strategy* to empower local people, change cultures to emphasise tackling poverty is everyone's business and target resources to maximise access to opportunity and prosperity.
- Work with our Health partners to ensure that, through our *Early Years Strategy*, children in their early years and at Foundation Phase achieve their expected language, emotional, social and cognitive development and are ready for learning and for school.
- Through our *Youth Progression Framework*, ensuring that young people are able to access employment, education or training after reaching 16 years of age.
- Help to address the impacts of Welfare reform, such as supporting people to claim the full benefits they are entitled to so that they are able to maximise their income.
- Invest to improve housing and build more energy efficient Council homes and affordable housing to help meet housing need, reduce fuel bills, regenerate estates and bring wider economic and employment benefits.
- Prevent homelessness and support people to maintain their tenancies to help maintain stability and security for families, safeguard health and well-being and prevent social exclusion.
- Explore creating our own energy venture to provide low-cost energy to homes helping to tackle high domestic fuel bills and fuel poverty.
- Support tackling climate change and help eradicate fuel poverty and boost economic development through the ARBED scheme and energy efficiency measures in social housing.
- Explore tax relief and support for food bank locations and encourage businesses to reduce food waste by supplying goods to local food banks, whilst exploring sustainable options for reducing food poverty.
- Pilot 30 hours of free childcare in conjunction with the Welsh Government, evaluate the impact on poverty and also work to ensure every community has a reliable, affordable and quality bus service to help reduce barriers to employment.

- Support individuals to overcome their barriers to employment through person-centred employability projects such as *LIFT* and *Communities for Work*. Launch a new pilot Employability programme with a social recruitment model.
- Help Swansea's poorest communities tackle poverty by accessing arts, culture and heritage in order to boost skills, confidence, self-esteem and aspiration.
- Provide free or low cost environmental events, including guided walks and cycle rides; a wide range of talks, workshops and training courses about wildlife and environmental issues and children's events promoting environmental literacy and improving health and wellbeing.
- Implement the *Community Cohesion Delivery Plan* to promote cohesive and inclusive communities in Swansea.

The contribution this well-being objective makes to the national goals.

A prosperous Wales	A Resilient Wales	A more equal Wales	A Wales of more cohesive communities	A Wales of vibrant culture and thriving Welsh language	A healthier Wales	A globally responsible Wales
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	

How we will maximise our contribution to the national goals through the way in which we work.

- *Preventing problems from occurring or from getting worse* – helping to prevent high fuel bills and the 'poverty premium' by building energy efficient Council homes and exploring the creation of our own energy venture to provide households with free energy.
- *Addressing long-term challenges* – helping to overcome barriers to employment and get people into work through person-centred employment schemes, affordable childcare and transport.
- *Working in partnership with others* – working with our health partners through the *Flying Start* scheme to ensure that children in their early years are ready for school and for learning.
- *Avoiding conflicts between public body objectives* – recognising that reducing poverty is everyone's business and the Public Service Board has a key role in making this happen across all sectors.
- *Involving people* – delivering community engagement services and community enterprise activities that empower local people to be involved and to participate.

How we will measure progress ².

- Children in the *Flying Start* scheme reaching their developmental milestones.
- Welfare benefits secured by the Welfare Rights service.
- Timeliness processing housing and council tax benefit applications and changes of circumstances.
- Days homeless families with children spend in Bed & Breakfast accommodation.
- Residents satisfied with their local area as a place to live.
- Residents who agree that their local area is a place where people from different backgrounds get on well together.
- Deliver the Tackling Poverty Strategy and show demonstrable achievement in the measures in the Tackling Poverty Strategy.
- Deliver our Corporate Energy Strategy.
- Deliver our More Homes Strategy.

The contribution this well-being objective makes to the Public Service Board objectives.

Children have a good start in life	People Learn Successfully	Young People and Adults Have Good Jobs	People Have a Decent Standard of Living	People are Healthy, Safe and Independent	People have Good Places to Live, Work and Visit
<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>

² Note that performance indicators measuring Poverty Reduction will be reviewed following the production of the Tackling Poverty Strategy Performance Improvement Framework in Autumn 2017/18.

Transformation & Future Council development

Why this priority is a well-being objective.

- We want to modernise and transform the council through our *Sustainable Swansea: Fit for the Future* programme to help tackle rising demand and reducing revenue budgets.
- We want to modernise services by using the internet, reducing administration and back-office services. We want to generate additional income to pay for services and help families earlier so that we can reduce costs later on.
- We want to improve efficiency and further reduce management and business support costs. We also want to continue reviewing all of our services to ensure they are delivered in the best way and saving money by working with partners such as the police and health, or preventing the need for people to access costly statutory services where need can be met elsewhere.
- We want the public to play their part by co-producing and helping to run services, such as the successful scheme where bowlers are maintaining their greens, or by increasing recycling at home.
- We want more people involved in the Council's business and in making decisions on things that affect them and their families and communities.
- We want to invest in our priorities like the city centre, improving classrooms, improving and extending our energy efficient housing stock, and delivering the City Deal with the potential to create 10,000 jobs.

The longer-term challenges this well-being objective will help address.

- Demands and expectation of public services continues to increase but with less money to deliver them.
- Residents expect services to be delivered outside of normal office hours and to be joined-up and personal to their needs.
- People expect to be able to contact and deal with public organisations in different ways and are increasingly seeking to contact the Council through the internet and through social media.
- Advances in the use of Big Data and artificial intelligence could transform the way that public services work, including automation and better targeted services.
- More services are likely to be delivered in partnership with others, including other public bodies and the third sector in line with Local Government reform.

The steps we will take to meet this well-being objective.

- Continue with *Sustainable Swansea – Fit for the Future* Council modernisation programme in order to transform services, deliver better outcomes for residents and achieve financial sustainability.
- Support and train the Council’s workforce to deliver transformed services so that we have the right people with the right skills, with the appropriate development pathway and rewards, and that we work in ways that provide the most sustainable outcomes for residents.
- Work with others to build capacity and promote community action to enable communities to run services and manage assets.
- Work to ensure there is more targeted and effective engagement with the third sector to achieve both the Council’s and shared priorities and outcomes.
- Encourage greater community ownership of parks and work with ‘friends of parks’ organisations to ensure the long-term sustainability and control of parks and public spaces.
- Continue to modernise public engagement in Council decision making through accessible meeting times, web broadcasting, electronic voting and e-petitions.
- Continue to strengthen the Welsh language service and language services generally offered by the Council by providing basic language training for front-line staff.
- Make community budgets available so that local people can decide together with their representatives what their local priorities are.
- Provide the opportunity for local citizens to influence how policies are written and services are developed through the development of a co-production strategy.

The contribution this well-being objective makes to the national goals.

A prosperous Wales	A Resilient Wales	A more equal Wales	A Wales of more cohesive communities	A Wales of vibrant culture and thriving Welsh language	A healthier Wales	A globally responsible Wales
<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		

How we will maximise our contribution to the national goals through the way in which we work.

- *Preventing problems from occurring or from getting worse* – helping to prevent people from needing immediate recourse to statutory services through the ‘prevention’ stream of the *Sustainable Swansea – Fit for the Future* programme.
- *Addressing long-term challenges* – changing the way the Council works including more digital services to reflect the move towards people wanting to access services through digital, mobile internet and social media.
- *Working in partnership with others* – working in collaboration with other public bodies and the third sector to deliver services.
- *Avoiding conflicts between public body objectives* – improving engagement with partners, including the third sector, through the Public Service Board to help support the transformation of Council services.
- *Involving people* – involving service users in commissioning reviews of Council services and in community action and ownership.

How we will measure progress.

- Customer satisfaction.
- Forecast savings and income and variance from agreed budgets as part of a 3-year financial plan aligned to transformation activity.
- Any data breaches.
- Workforce supported to develop skills and learn new things as part of an organisational development strategy, targeted towards a more agile workforce and 21st century public servant.
- Staff sickness.
- Residents who agree they can influence decisions affecting their neighbourhood.

The contribution this well-being objective makes to the Public Service Board objectives.

Children have a good start in life	People Learn Successfully	Young People and Adults Have Good Jobs	People Have a Decent Standard of Living	People are Healthy, Safe and Independent	People have Good Places to Live, Work and Visit
		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>

4. Monitoring Delivery – keeping performance under review

We will monitor delivery and keep our progress meeting our well-being objectives under review as follows:

How we will monitor progress

- Through the quarterly and annual performance monitoring reports to Cabinet.

How we will report achievements

- Quarterly and annually through Cabinet.
- Annual Report.

When and how this plan will be updated

- Annual review and update.

5. Next Stages – what we plan to do next

Further work will need to be undertaken with the Public Service Board during 2017/18 and 2018/19 during the production of the Board's well-being objectives to ensure there are no conflicts with the objectives of the Council and other public bodies.

At the same time, while we have made some good progress embedding sustainable ways of working into how we do business as illustrated in this Plan, we want to continue to build on this.

In order to fully meet our obligations under the Well-Being of Future Generations Act and through our review of business support, we want to:

- ensure sufficient and joined-up capability and capacity in strategic planning;
- continue to look for ways to increase citizens' involvement;
- look to create a longer-term strategic outlook, looking ahead up to 25+ years;
- ensure strategic integration and coherence between plans and strategies;
- work to ensure that the sustainable development principle shapes strategy, and;
- Continue to further embed the sustainable ways of working.

6. Where to find additional information

Corporate Plan 2017/22 *Delivering a Successful and Sustainable Swansea*

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

One Swansea Plan

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

Sustainable Development

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

Corporate Health Standard Award

<http://www.healthyworkingwales.wales.nhs.uk/corporate-health-standard>

Safeguarding

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

Schools and learning

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

Children and Young People's Rights – UNCRC

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

Flying Start

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

Local Development Plan (LDP)

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

Swansea Bay City Deal

<http://www.swanseabaycityregion.com/en/cd.htm>

Community Action

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

Western Bay Safeguarding Boards

<http://www.wbsb.co.uk/default.aspx?page=10651>

Education Through Regional Working (ERW)

<http://erw.wales/>

Have Your Say – consultations

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

Strategic Equality Plan

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

Welsh Language

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

Goal	Description of the goal
A prosperous Wales	An innovative, productive and low carbon society which recognises the limits of the global environment and therefore uses resources efficiently and proportionately (including acting on climate change); and which develops a skilled and well-educated population in an economy which generates wealth and provides employment opportunities, allowing people to take advantage of the wealth generated through securing decent work.
A resilient Wales	A nation which maintains and enhances a biodiverse natural environment with healthy functioning ecosystems that support social, economic and ecological resilience and the capacity to adapt to change (for example climate change).
A healthier Wales	A society in which people's physical and mental well-being is maximised and in which choices and behaviours that benefit future health are understood.
A more equal Wales	A society that enables people to fulfil their potential no matter what their background or circumstances (including their socio economic background and circumstances).
A Wales of cohesive communities	Attractive, viable, safe and well-connected communities.
A Wales of vibrant culture and thriving Welsh language	A society that promotes and protects culture, heritage and the Welsh language, and which encourages people to participate in the arts, and sports and recreation.
A globally responsible Wales	A nation which, when doing anything to improve the economic, social, environmental and cultural well-being of Wales, takes account of whether doing such a thing may make a positive contribution to global well-being.

DRAFT Equality Impact Assessment (EIA) Report – Appendix C

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

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

Where do you work?
Service Area: Strategic Delivery Unit
Directorate: Financial Services

(a) This EIA is being completed for a...

Service/ Function <input type="checkbox"/>	Policy/ Procedure <input type="checkbox"/>	Project <input type="checkbox"/>	Strategy <input type="checkbox"/>	Plan x	Proposal <input type="checkbox"/>
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(b) Please name and describe below...

Corporate Plan 2017/22 setting out the Council’s well-being objectives and the steps to achieve them as required by the well-being of future generations act.

(c) It was initially screened for relevance to Equality and Diversity on 21/06/2017

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

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

(e) Lead Officer

Name: Richard Rowlands
Job title: Strategic Delivery Unit Manager
Date (dd/mm/yyyy): 29/06/17

(f) Approved by Head of Service

Name: Ben Smith
Date (dd/mm/yyyy): 07/08/2017

Section 1 – Aims (See guidance):

Briefly describe the aims of the initiative:

<p>What are the aims? To set the Council’s well-being objectives and key priorities for 2017/22; to outline the steps we will take to meet our well-being objectives; to describe how our well-being objectives, the steps we will take to meet them and the way in which we will meet them will maximise the Council’s contribution to national goals.</p>
<p>Who has responsibility? City & County of Swansea – the plan will be adopted at Council.</p>

Who are the stakeholders?

Public, staff, elected Members, Welsh Government, Wales Audit Office, Office of the Future Generations Commissioner.

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

Please tick what information you know about your service users and provide details/evidence of how this information is collected.

Children/young people (0-18)	x	Carers (inc. young carers)	x
Any other age group (18+).....	x	Race.....	x
Disability	x	Religion or (non-)belief.....	x
Gender reassignment	x	Sex.....	x
Marriage & civil partnership	x	Sexual orientation	x
Pregnancy and maternity.....	x	Welsh language	x

What information do you know about your service users and how is this information collected?

The Corporate Plan does not have a group of service users as such – it is a plan that will be available to all citizens. The steps that the Council will take to meet its well-being objectives will however have, to a greater or lesser extent, a direct or indirect impact on all citizens. All information regarding service users has been derived from the Census equality data and the information incorporated into the Assessment of Local well-Being, which has been used as evidence when setting the well-being objectives.

Any Actions Required?

- None identified.

Section 3 - Impact on Protected Characteristics (See guidance):

Please consider the possible impact on the different protected characteristics. This could be based on service user information, data, consultation and research or professional experience (e.g. comments and complaints).

	Positive	Negative	Neutral	Needs further investigation
Children/young people (0-18)	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group (18+)	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual orientation	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh language	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	➔ x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

The well-being objectives in the corporate plan collectively support and are also supported by the Council's equality objectives. The Equality Objectives were cross-referenced against other evidence when determining our well-being objectives.

Our objective *Safeguarding People from Harm* seeks to protect all citizens, including children and young people and other vulnerable adults from harm and exploitation. Among other things, this objective seeks to ensure we:

- involve looked after children in their care through strengths based practice and getting their voice heard about the services they receive (age - children & young people)
- work with partners to tackle domestic abuse and support victims (sex - mainly women).
- work with others to tackle hate crime and deal with bullying in schools (all groups with protected characteristics).
- provide information, advice and assistance to carers, including young carers (carers).
- develop our status as a dementia friendly city and help people to stay healthy and to age well (age - adults, disability).
- promote equitable access to services to promote independence and quality of life (age – adults, disability).

Our objective *Improving Skills & Education* seeks to ensure that every child, young person and adult gains the skills and qualifications they need to succeed in life. Among other things, this objective seeks to ensure we:

- Improving pupil attendance, literacy (in English and Welsh) / numeracy and attainment (age – children and young people, Welsh language).
- Providing apprenticeships (age – adults and young people)
- Supporting looked after children and those disengaged from education to be in school and in employment, education and training (age – children and young people, race, sex)
- Involving children and young people in their education, e.g. Pupil Voice (age – children and young people)
- Meet demand for Welsh medium education and promote the use of Welsh in schools (Welsh language).
- Children not being disadvantaged by poverty when achieving and attaining standards in education (social exclusion)
- Supporting schools to become UNICEF Rights Respecting Schools (age – children & young people).

Our objective *Transforming our Economy & Infrastructure* seeks to ensure that all citizens benefit from plans to regenerate the economy and city. Among other things, this objective seeks to ensure we:

- Create employment and training opportunities for the long-term unemployed and economically inactive through community benefit clauses in contracts (social exclusion).
- Promote public leisure and cultural events to help improve well-being, promote community cohesion and provide economic benefits (race, religion, sexual orientation, gender re-assignment)
- Provide sustainable and low carbon transport and infrastructure providing improved and cheaper connectivity and mobility (disability, social exclusion, age).

Our objective *Tackling poverty* seeks to ensure that poverty is not a barrier stopping citizens from reaching their potential. Among other things, this objective seeks to ensure we:

- Empower local people through the Poverty Strategy to target resources to maximise access to opportunity and prosperity (all groups, social exclusion).
- Work with Health to ensure that children in their early years and at Foundation Phase achieve their expected developmental milestones and are ready for school and learning (age – children & young people, social exclusion, pregnancy & maternity).
- Ensure that young people are not NEET after reaching 16 years of age (age-children & young people).
- Help address the impacts of welfare reform (disability, social exclusion).
- Invest in Council housing and build more energy efficient Council homes (social exclusion).
- Prevent homelessness and support people to maintain their tenancies (race, age, sex, disability, social exclusion).
- Create our own energy venture and provide free energy to homes to tackle fuel poverty (social exclusion, age – older people)
- Help tackle fuel poverty through the ARBED scheme and energy efficiency measures in social housing (social exclusion, age – older people).
- Explore tax relief and support food bank locations (all groups, social exclusion)
- Pilot 30 hours of free childcare and ensure every community has a reliable and affordable bus service to reduce barriers to employment (age – children & young people, sex, marriage & civil partnership, carers, social exclusion).
- Implement the community cohesion delivery plan to promote cohesive and inclusive communities in Swansea (race, religious belief, community cohesion, gender reassignment, sexual orientation)

Our objective *Transformation & future Council development* seeks to modernise and transform the Council, including getting the public to co-produce and helping to run services and getting more people involved in the decision-making in the Council. Among other things, this objective seeks to ensure we:

- Work to ensure there is better engagement with the third sector to achieve both the Council's and shared priorities and outcomes (all groups)
- Continue to modernise public engagement in Council decision making through accessible meeting times, web broadcasting, electronic voting and e-petitions (all groups).
- Continue to strengthen the Welsh language service and language services generally offered by the Council by providing basic language training for front-line staff (Welsh language, race, community cohesion).
- Make community budgets available so that local people can decide together with their representatives what their local priorities are (all groups).
- Provide the opportunity for local citizens to influence how policies are written and services are developed through the development of a co-production strategy (all groups).

What consultation and engagement has been undertaken (e.g. with the public and/or members of protected groups) to support your view? Please provide details below.

The review of our Corporate Plan and well-being objectives for 2017/22 consisted of three different approaches to involving people: (i) focus groups with young people (from 9 different secondary schools), (ii) two focus groups with members of the public (representatives from groups representing people with protected characteristics were invited) and representatives from other organisations centred on identifying current and future challenges, what should be done and 'what does good look like' and (iii) two on-line surveys of members of the public and the Council's citizens panel respectively. The results from this involvement helped shape our revised Corporate Plan and well-being objectives. A summary of the outcome from this consultation is included within the Corporate Plan.

Any actions required (to mitigate adverse impact or to address identified gaps in knowledge).

- None identified.

Section 4 - Other Impacts:

Please consider how the initiative might address the following issues.

You could base this on service user information, data, consultation and research or professional experience (e.g. comments and complaints).

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

(Please see the specific Section 4 Guidance for definitions on the above)

Please explain any possible impact on each of the above.

Foster good relations between different groups

The Corporate Plan will have a positive impact on fostering good relations between different groups. Our *Safeguarding people from harm* objective seeks, for example, to ensure that all citizens live their lives free from harm and exploitation. This involves, among other things, working with partners to address safeguarding issues in their widest sense, which includes hate crime but also incorporates other issues such as dealing with modern slavery, FGM and domestic abuse, including Black and Ethnic Minority women and children at risk of or suffering domestic abuse.

Our *Improving Education & Skills* objective seeks to ensure that every child and young person in Swansea gains the skills and qualifications they need to succeed in life. This includes among other things a commitment to support looked after children and children disengaged from learning to achieve and experience success in school, employment or training. Through this objective, the Council also want to support schools to become UNICEF Rights Respecting Schools. This aims to support young citizens to respect rights, understand responsibilities and be globally aware and responsible citizens as part of the Council's commitment to the UNCRC. This includes demonstrating that every child has rights, whatever their ethnicity, gender, religion, language, abilities or any other status.

Through our *Transforming our economy & infrastructure* objective outlines how we will promote public leisure and cultural events to help improve well-being and promote community cohesion. Our *Tackling Poverty* objective describes implementing the community cohesion delivery plan to promote community cohesion and inclusive communities within Swansea. Finally, our *Transformation & future Council* objective seeks to involve all citizens from all groups in engaging in Council decision-making, deciding local priorities with their representatives and influencing how policies are written and services developed through co-production. There is also a commitment to strengthen the Welsh language service and language services generally offered by the Council by providing basic language training for front-line staff.

Advance equality of opportunity

The Corporate Plan seeks to ensure that all citizens are treated fairly. Equality considerations were factored into the early development of the Corporate Plan. The

Council's Equality Objectives were cross-referenced against other evidence in order to identify opportunities for the Council's well-being objectives to support and be supported by the Council's Equality Objectives and including Welsh language. Our well-being objectives seek to ensure that all people are treated fairly. Some examples from each well-being objective follow:

Our *Safeguarding people from harm* objective makes a commitment to provide people with equal access to preventative services in order to promote independence and improve quality of life. Our *Improving skills and education* objective aims to meet demand for Welsh medium education and promote the use of Welsh language in schools. Our *Transforming our economy & infrastructure* objective seeks to create employment and training opportunities for the economically inactive and long-term unemployed through community benefit clauses in Council contracts. Our *Tackling poverty* objective seeks to pilot 30 hours of free childcare and ensure that every community has a reliable and affordable bus service to help reduce barriers to employment. Our *Transformation & future Council* objective seeks to provide the opportunity for all citizens to influence how policies are written and services are developed through the development of a co-production strategy.

Elimination of discrimination, harassment and victimisation

The Council through its well-being objectives seeks to reduce or eradicate unfairness and discrimination. Some examples from each well-being objective follows:

Our *Safeguarding people from harm* objective outlines a commitment to work with partners to address safeguarding issues in their widest sense, which includes hate crime but also incorporates other issues such as dealing with modern slavery, FGM and domestic abuse, including Black and Ethnic Minority women and children at risk of or experiencing domestic abuse.

Our *Improving education & skills* objective seeks to meet demand for Welsh medium education and promote the use of Welsh in schools through the Welsh in Education strategic plan. There is also a commitment to teach young citizens to respect rights, understand responsibilities and be globally aware and responsible citizens by continuing to support schools to become UNICEF Rights Respecting Schools as part of our commitment to the UNCRC.

Our *Transforming our economy & infrastructure* objective contains a commitment to promote leisure and cultural events to help improve well-being, provide economic benefits and promote community cohesion. Our *Tackling poverty* objective commits to implementing the Community Cohesion Delivery Plan to promote cohesive and inclusive communities in Swansea. Our *Transformation & future Council* objective seeks to continue to modernise public engagement in Council decision making through accessible meeting times, web broadcasting, electronic voting and e-petitions. It also contains a commitment to continue to strengthen the Welsh language service and language services generally offered by the Council by providing basic language training for front-line staff.

Reduction of social exclusion and poverty

All of our well-being objectives are developed to have a positive impact on social exclusion and poverty. In particular, the *Tackling Poverty* objective aims to address issues with service, participation and income poverty and social exclusion. Some examples from our well-being objectives follow:

Our *Safeguarding people from harm* and *Improving education & skills* objectives help to address participation poverty by involving looked after children and school pupils in their

care and education respectively through engagement mechanisms, such as the Fe Fi Forum, Schools Councils and the Big Conversation events.

Our *Transforming our economy & infrastructure*, *Tackling Poverty* and *Transformation & future Council* objectives help deal with service poverty by improving access to services, such as affordable housing, arts and culture and Welsh language and other language services. Our *Tackling Poverty* objective contributes towards dealing with income poverty by helping to address the impacts of welfare reform, helping to reduce fuel bills and providing affordable transport.

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

Using the examples outlined earlier in Section 4:

- The Council co-ordinates a multi-agency response to address domestic abuse in Swansea. Domestic abuse is a key priority for action for the Public Service Board. Swansea is a white ribbon city for its work in tackling violence against women, domestic abuse and sexual violence. A Domestic Abuse One Stop Shop providing access to information and advice regarding domestic abuse is open in Swansea.
- Swansea was the first UK Council to adopt and embed the United Nations Convention on the Rights of the Child (UNCRC). Schools in Swansea participate in the *Rights Respecting Schools Award*. More than 100 schools have been supported by the Council to become Rights Respecting Schools. More than 15 of our schools have now achieved Level 2 – the highest level of the award granted by UNICEF UK to schools that have fully embedded children’s rights in their policies, practice and ethos. YGG Llwynderw has become the first Welsh medium school in Wales to achieve the award.
- Community events are held to increase well-being, contribute to the local economy and promote community cohesion. For example, Eid in the Park is a family event open to all to celebrate the passing of Ramadan. The Council supports other annual events such as Swansea Sparkle, International Day Against Homophobia and Transphobia (IDAHOT), LGBT History Month, Swansea Pride and Bi Visibility Day.
- The Council initiated 3 Mynediad (basic level) 30 week training programmes for staff identified as requiring Welsh Language skills in the workplace. These were provided in work time and funded by the council. A second stage 30 week course (follow on from Mynediad) started on the same basis. In addition, face-to-face Welsh language awareness courses were run. Lunchtime drop-in sessions for learners (and others) to practise their Welsh language skills are held weekly.

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

There is likely to be a positive impact on community cohesion from our well-being objectives. For example, our *Safeguarding people from harm* objective contains a commitment to work with partners to address safeguarding in its widest sense, including hate crime. Our *Improving Education & Skills* objective contains a commitment to teach young citizens to respect rights, understand responsibilities and be globally aware and responsible citizens by continuing to support schools to become UNICEF Rights Respecting Schools as part of our commitment to the UNCRC. Our *Transforming our economy & infrastructure* objective contains a commitment to promote leisure and cultural events to help improve well-being, provide economic benefits and promote community cohesion and also to provide affordable housing and transport, including in rural areas. Our *Tackling poverty* objective commits to implementing the Community Cohesion Delivery Plan to promote cohesive and inclusive communities in Swansea. Our *Transformation & future Council* objective contains a commitment to make community budgets available so that local people can decide together with their representatives what their local priorities are.

How will the initiative meet the needs of Welsh speakers and learners?

There are specific commitments within our well-being objectives to meet the needs of

Welsh speakers and learners. The Council aims to meet the demand for Welsh medium education and promote the use of the Welsh language in schools through the *Welsh in Education* strategic plan. The Council also commits to strengthening the Welsh language and other language services offered by the Council and provide basic language training for front line staff.

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

- None identified.

Section 5 - United Nations Convention on the Rights of the Child (UNCRC):

In this section, we need to consider whether the initiative has any direct or indirect impact on children. Many initiatives have an indirect impact on children and you will need to consider whether the impact is positive or negative in relation to both children's rights and their best interests

Please visit <http://staffnet/eia> to read the UNCRC guidance before completing this section.

Will the initiative have any impact (direct or indirect) on children and young people? If not, please briefly explain your answer and proceed to Section 6.
Yes

Is the initiative designed / planned in the best interests of children and young people? Please explain your answer.

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

The Council's well-being objectives have been planned to be in the best interests of children and young people. Our *Safeguarding people from harm* objective seeks to take steps to ensure that children are safe from harm and stay with their families or be supported in family settings where it is safe for them to do so. Our *Improving education & skills* objective seeks to ensure that every child and young person in Swansea gains the skills and qualifications they need to succeed in life. Our *Transforming our economy & infrastructure* objective seeks to promote biodiversity and protect Swansea's green spaces, including parks, for recreation, play and to promote health & well-being. Our *Tackling Poverty* objective, among other steps in children's best interests, contains a commitment to ensure that young people are able to access employment, education or training after reaching 16 years of age.

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

- None identified.

Section 6 - Monitoring arrangements:

Please explain the arrangements in place (or those which will be put in place) to monitor this initiative:

Monitoring arrangements: Performance Monitoring Report and Annual Review of Performance to Cabinet

Actions: None identified

Section 7 – Outcomes:

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

- | | |
|---|-------------------------------------|
| Outcome 1: Continue the initiative – no concern | <input checked="" type="checkbox"/> |
| Outcome 2: Adjust the initiative – low level of concern | <input type="checkbox"/> |
| Outcome 3: Justify the initiative – moderate level of concern | <input type="checkbox"/> |
| Outcome 4: Stop and refer the initiative – high level of concern. | <input type="checkbox"/> |

For outcome 3, please provide the justification below:

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

Section 8 - Publication arrangements:

On completion, please follow this 3-step procedure:

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

Action Plan:

Objective - What are we going to do and why?	Who will be responsible for seeing it is done?	When will it be done by?	Outcome - How will we know we have achieved our objective?	Progress

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

Report of the Section 151 Officer

Council – 24 August 2017

CODE OF CORPORATE GOVERNANCE

Purpose:	This report provides the revised Code of Corporate Governance and allows Council to approve the revised Code based on the CIPFA/SOLACE Framework issued for 2016/17 onwards.
Policy Framework:	None
Consultation:	Corporate Management Team, Legal, Finance and Access to Services
Recommendation(s):	It is recommended that Council approves the revised Code of Corporate Governance.
Report Author:	Simon Cockings
Finance Officer:	Simon Cockings
Legal Officer:	Tracey Meredith
Access to Services Officer:	Sherill Hopkins

1. Introduction

1.1 The Delivering Good Governance in Local Government Framework 2016 Edition produced by CIPFA and SOLACE (the Framework) defines governance as

'Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.'

The Framework also states that

'To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times,

Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

1.2 In local government, the governing body is the full council

2. Code of Corporate Governance

2.1 The *Delivering Good Governance in Local Government Framework* published by CIPFA and SOLACE in 2007 set the standard for local authority governance in the UK. CIPFA and SOLACE reviewed the Framework in 2015 to ensure it remained fit for purpose and published a revised Framework in spring 2016.

2.2 The new *Delivering Good Governance in Local Government Framework* 2016 edition applies to annual governance statements prepared for the financial year 2016/17 onwards.

2.3 The concept underpinning the Framework is that it is helping local government in taking responsibility for developing and shaping an informed approach to governance, aimed at achieving the highest standards in a measured and proportionate way. The Framework is intended to assist authorities individually in reviewing and accounting for their own unique approach. The overall aim is to ensure:

- Resources are directed in accordance with agreed policies and according to priorities
- There is sound and inclusive decision making
- There is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities

2.4 The term local Code of Corporate Governance essentially refers to the approved governance structure in place, as there is an expectation that a formally set out local structure should exist, although in practice it may consist of a number of local codes or documents.

2.5 To achieve good governance, each local authority should be able to demonstrate that its governance structures comply with the core and sub-principles contained in the Framework. It should therefore develop and maintain a local Code of Corporate Governance reflecting the principles set out in the Framework.

2.6 It is also crucial that the Framework is applied in a way that demonstrates the spirit and ethos of good governance which cannot be achieved by rules and procedures alone. Shared values that are integrated into the culture of an organisation and are reflected in behaviour and policy are hallmarks of good governance.

2.7 The Accounts and Audit (Wales) Regulations 2014 require that a review of the effectiveness of the governance arrangements must be undertaken at least annually and reported on within the authority e.g. to the Audit Committee or other appropriate member body and externally with the published accounts of the authority. In doing this, the authority is looking to provide assurance that:

- Its governance arrangements are adequate and working effectively in practice.
- Where the reviews of the governance arrangements have revealed significant gaps which will impact on the authority achieving its objectives, what action is to be taken to ensure effective governance in future.

2.8 The Code of Corporate Governance for the City and County of Swansea based on the principles of the 2016 edition of the CIPFA/SOLACE Framework is shown in Appendix 1.

3. Equality and Engagement Implications

3.1 There are no equality and engagement implications associated with this report

4. Financial Implications

4.1 There are no financial implications associated with this report.

5. Legal Implications

5.1 There are no legal implications associated with this report.

Background Papers: None

Appendices: Appendix 1 - Code of Corporate Governance

CODE OF CORPORATE GOVERNANCE

1. Definition of Governance

- 1.1 The Delivering Good Governance in Local Government Framework 2016 Edition produced by CIPFA and SOLACE (the Framework) defines governance as

‘Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.’

The Framework also states that

‘To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity’s objectives while acting in the public interest at all times,

Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

- 1.2 In local government, the governing body is the full council.

2. Background

- 2.1 The *Delivering Good Governance in Local Government Framework* published by CIPFA and SOLACE in 2007 set the standard for local authority governance in the UK. CIPFA and SOLACE reviewed the Framework in 2015 to ensure it remained fit for purpose and published a revised Framework in spring 2016.

- 2.2 The new *Delivering Good Governance in Local Government Framework* 2016 edition applies to annual governance statements prepared for the financial year 2016/17 onwards.

- 2.3 The concept underpinning the Framework is that it is helping local government in taking responsibility for developing and shaping an informed approach to governance, aimed at achieving the highest standards in a measured and proportionate way. The Framework is intended to assist authorities individually in reviewing and accounting for their own unique approach. The overall aim is to ensure:

- Resources are directed in accordance with agreed policies and according to priorities.

- There is sound and inclusive decision making.
 - There is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.
- 2.4 The term local Code of Corporate Governance essentially refers to the approved governance structure in place, as there is an expectation that a formally set out local structure should exist, although in practice it may consist of a number of local codes or documents.
- 2.5 To achieve good governance, each local authority should be able to demonstrate that its governance structures comply with the core and sub-principles contained in the Framework. It should therefore develop and maintain a local Code of Corporate Governance reflecting the principles set out in the Framework.
- 2.6 It is also crucial that the Framework is applied in a way that demonstrates the spirit and ethos of good governance which cannot be achieved by rules and procedures alone. Shared values that are integrated into the culture of an organisation and are reflected in behaviour and policy are hallmarks of good governance.
- 2.7 The Accounts and Audit (Wales) Regulations 2014 require that a review of the effectiveness of the governance arrangements must be undertaken at least annually and reported on within the authority e.g. to the Audit Committee or other appropriate member body and externally with the published accounts of the authority. In doing this, the authority is looking to provide assurance that:
- Its governance arrangements are adequate and working effectively in practice.
 - Where the reviews of the governance arrangements have revealed significant gaps which will impact on the authority achieving its objectives, what action is to be taken to ensure effective governance in future.
- 2.8 The Code of Corporate Governance for the City and County of Swansea based on the principles of the 2016 edition of the CIPFA/SOLACE Framework is shown below.

Principle A - Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	
Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.	
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Behaving with integrity	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation
	Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Principles of Public Life (the Nolan Principles)
	Leading by example and using these standard operating principles or values as a framework for decision making and other actions
	Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively
Demonstrating strong commitment to ethical values	Seeking to establish, monitor and maintain the organisation's ethical standards and performance
	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation
	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values
	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Respecting the rule of law	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations
	Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements
	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders
	Dealing with breaches of legal and regulatory provisions effectively
	Ensuring corruption and misuse of power are dealt with effectively

Principle B – Ensuring openness and comprehensive stakeholder engagement	
Local government is run for the public good; organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.	
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Openness	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness
	Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided
	Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear
	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action
Engaging comprehensively with institutional stakeholders	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably
	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively
	Ensuring that partnerships are based on: <ul style="list-style-type: none"> • trust • a shared commitment to change • a culture that promotes and accepts challenge among partners
	and that the added value of partnership working is explicit

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Engaging stakeholders effectively, including individual citizens and service users	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes
	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement
	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs
	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account
	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity
	Taking account of the interests of future generations of tax payers and service users

Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits	
The long-term nature and impact of many of local government’s responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority’s purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available	
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Defining outcomes	Having a clear vision which is an agreed formal statement of the organisation’s purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation’s overall strategy, planning and other decisions
	Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer
	Delivering defined outcomes on a sustainable basis within the resources that will be available
	Identifying and managing risks to the achievement of outcomes
	Managing service users’ expectations effectively with regard to determining priorities and making the best use of the resources available
Sustainable economic, social and environmental benefits	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision
	Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation’s intended outcomes and short-term factors such as the political cycle or financial constraints
	Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs
	Ensuring fair access to services

Principle D – Determining the interventions necessary to optimise the achievement of the intended outcomes	
Local government achieves its intended outcomes by providing a mixture of legal, regulatory and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource input while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised	
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Determining interventions	Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided
	Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts
Planning interventions	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets
	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered
	Considering and monitoring risks facing each partner when working collaboratively including shared risks
	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances
	Establishing appropriate local performance indicators (as well as relevant statutory or other national performance indicators) as part of the planning process in order to identify how the performance of services and projects is to be measured
	Ensuring capacity exists to generate the information required to review service quality regularly
	Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan
	Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Optimising achievement of intended outcomes	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints
	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term
	Ensuring the medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage
	Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes"

Principle E – Developing the entity’s capacity , including the capability of its leadership and the individuals within it.	
Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities	
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Developing the entity’s capacity	Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness
	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority’s resources are allocated so that outcomes are achieved effectively and efficiently
	Recognising the benefits of partnerships and collaborative working where added value can be achieved
	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources
Developing the capability of the entity’s leadership and other individuals	Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained
	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body
	Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure, whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other’s authority

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
	<p>Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <ul style="list-style-type: none"> • ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged • ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis • ensuring personal, organisation and system-wide development through shared learning, including lessons learnt from both internal and external governance weaknesses
	Ensuring that there are structures in place to encourage public participation
	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections
	Holding staff to account through regular performance reviews which take account of training or development needs
	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing

Principle F – Managing risks and performance through robust internal control and string public financial management	
<p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will ensure financial discipline, strategic allocation of resources, efficient service delivery and accountability. It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>	
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Managing risk	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making
	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively
	Ensuring that responsibilities for managing individual risks are clearly allocated
Managing performance	Monitoring service delivery effectively including planning, specification, execution and independent post-implementation review
	Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook
	Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made, thereby enhancing the organisation's performance and that of any organisation for which it is responsible
	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement
	Ensuring there is consistency between specification stages (such as budgets) and post-implementation reporting (eg financial statements)

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Robust internal control	Aligning the risk management strategy and policies on internal control with achieving objectives
	Evaluating and monitoring risk management and internal control on a regular basis
	Ensuring effective counter fraud and anti-corruption arrangements are in place
	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor
	Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> • provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment • that its recommendations are listened to and acted upon
Managing data	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data
	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies
	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring
Strong public financial management	Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance
	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls

Principle G – Implementing good practices in transparency, reporting and audit to deliver effective accountability	
Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.	
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
Implementing good practice in transparency	Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate
	Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand
Implementing good practices in reporting	Reporting at least annually on performance, value for money and the stewardship of its resources
	Ensuring members and senior management own the results
	Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)
	Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate
	Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations
Assurance and effective accountability	Ensuring that recommendations for corrective action made by external audit are acted upon
	Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon
	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice
	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement
	Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met

Report of the Section 151 Officer

Council – 24 August 2017

ANNUAL GOVERNANCE STATEMENT 2016/17

Purpose:	To present the annual review of governance arrangements for 2016/17 for approval and to provide Council with copies of two letters of representation returned to the Wales Audit Office completed by those charged with governance and management for the City & County of Swansea and the City & County of Swansea Pension Fund for information.
Policy Framework:	None
Consultation:	Audit Committee, Legal, Finance and Access to Services.
Recommendation(s):	It is recommended that Council approve the Annual Governance Statement 2016/17 and note the Letters of Representation.
Report Author:	Simon Cockings
Finance Officer:	Simon Cockings
Legal Officer:	Tracey Meredith
Access to Services Officer:	Sherill Hopkins

1. Introduction

- 1.1 The Council is required by the Accounts and Audit (Wales) Regulations 2014 to undertake a review of its governance arrangements, at least annually. The review is intended to show how the Council has complied with its Code of Corporate Governance.
- 1.2 The review of governance is brought together in the Annual Governance Statement (AGS) which is to accompany the Council's Annual Statement of Accounts. The AGS is an important document in providing assurance to the Council, stakeholders and public regarding the corporate governance arrangements.

- 1.3 The Regulations accept that the Annual Governance Statement represents proper practice in relation to the provision of a statement on internal control. Therefore this report presents the Annual Governance Statement to Council for approval.

2. Annual Governance Statement

- 2.1 The Annual Governance Statement 2016/17 is attached in Appendix 1. The Statement has been prepared by the Chief Auditor and has been subject to consultation with Audit Committee and Wales Audit Office as the Council's external auditors.
- 2.2 Following approval by Council, the Annual Governance Statement will be signed by the Leader and Chief Executive and will be published to accompany the Annual Statement of Accounts 2016/17.

3 Letters of Representation

- 3.1 Audit enquiry letters were received from the Wales Audit Office formally seeking documented consideration and understanding on a number of governance areas that impact on the audit of the financial statements for both the City and County of Swansea and the City and County of Swansea Pension Fund.
- 3.2 The considerations were relevant to both the management and those charged with governance of the City and County of Swansea and the City and County of Swansea Pension Fund.
- 3.3 The responses have been compiled by the Head of Financial Services & Service Centre (City and County of Swansea) and the Chief Treasury & Technical Officer (City and County of Swansea Pension Fund) with specific review and comment from the Chief Internal Auditor.
- 3.4 Both responses have also been formally considered by officers charged with governance and the Corporate Management Team including both the Chief Executive and the Monitoring Officer.
- 3.5 Copies of the responses provided to the Wales Audit Office may be found in Appendix 2 (City and County of Swansea) and Appendix 3 (City and County of Swansea Pension Fund) attached for information.

4. Equality and Engagement Implications

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

5. Financial Implications

5.1 There are no financial implications associated with this report.

6. Legal Implications

6.1 Production of the Annual Governance Statement is required under the Accounts and Audit (Wales) Regulations 2014 and supports the Annual Statement of Accounts.

Background Papers: None

Appendices: Appendix 1 - Annual Governance Statement 2016/17
Appendix 2 - Letter of Representation for the City and County of Swansea.
Appendix 3 – Letter of Representation for the City and County of Swansea Pension Fund.

City and County of Swansea
Annual Governance Statement
2016/17

July 2017

ANNUAL GOVERNANCE STATEMENT 2016/17

1. Scope of Responsibility

- 1.1 The City and County of Swansea is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Authority also has a duty under the Local Government (Wales) Measure 2009 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
- 1.2 In discharging this overall responsibility, the City and County of Swansea is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.
- 1.3 The City and County of Swansea has approved and adopted a Code of Corporate Governance, which is consistent with the principles of the new CIPFA/SOLACE Framework '*Delivering Good Governance in Local Government 2016*'. The revised framework applies to all annual governance statements prepared for the financial year 2016/17 onwards. A copy of the Code can be obtained by contacting the Chief Auditor on 01792 636463 or e-mailing simon.cockings@swansea.gov.uk. This statement explains how the Authority has complied with the Code and also meets the requirements of the Accounts and Audit (Wales) Regulations 2014 to review the effectiveness of its internal control systems at least once a year.

2. The Purpose of the Governance Framework

- 2.1 The governance framework comprises the systems and processes, culture and values, by which the Authority is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the Authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.
- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Authority's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised and to manage them efficiently, effectively and economically.

- 2.3 The governance framework has been in place at the City and County of Swansea throughout the year ended 31 March 2017 and up to the date of approval of the Statement of Accounts.

3. The Governance Framework

- 3.1 The Delivering Good Governance in Local Government Framework 2016 Edition produced by CIPFA and SOLACE (the Framework) defines governance as

‘Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.’

The Framework also states that

‘To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity’s objectives while acting in the public interest at all times,

Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

- 3.2 In local government, the governing body is the full council.

4. Background

- 4.1 The *Delivering Good Governance in Local Government Framework* published by CIPFA and SOLACE in 2007 set the standard for local authority governance in the UK. CIPFA and SOLACE reviewed the Framework in 2015 to ensure it remained fit for purpose and published a revised Framework in spring 2016.

- 4.2 The new *Delivering Good Governance in Local Government Framework* 2016 edition applies to annual governance statements prepared for the financial year 2016/17 onwards.

- 4.3 The new Framework introduces 7 new principles as follows:

- A) Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
- B) Ensuring openness and comprehensive stakeholder engagement.
- C) Defining outcomes in terms of sustainable economic, social and environmental benefits.
- D) Determining the interventions necessary to optimise the achievement of the intended outcomes.
- E) Developing the entity’s capacity, including the capability of its leadership and the individuals within it.

- F) Managing risks and performance through robust internal control and string public financial management.
 - G) Implementing good practices in transparency, reporting and audit to deliver effective accountability.
- 4.4 The concept underpinning the Framework is that it is helping local government in taking responsibility for developing and shaping an informed approach to governance, aimed at achieving the highest standards in a measured and proportionate way. The Framework is intended to assist authorities individually in reviewing and accounting for their own unique approach. The overall aim is to ensure
- Resources are directed in accordance with agreed policies and according to priorities
 - There is sound and inclusive decision making
 - There is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities
- 4.5 The term local Code of Corporate Governance essentially refers to the approved governance structure in place, as there is an expectation that a formally set out local structure should exist, although in practice it may consist of a number of local codes or documents.
- 4.6 To achieve good governance, each local authority should be able to demonstrate that its governance structures comply with the core and sub-principles contained in the Framework. It should therefore develop and maintain a local Code of Corporate Governance reflecting the principles set out in the Framework.
- 4.7 It is also crucial that the Framework is applied in a way that demonstrates the spirit and ethos of good governance which cannot be achieved by rules and procedures alone. Shared values that are integrated into the culture of an organisation and are reflected in behaviour and policy are hallmarks of good governance.
- 4.8 The Accounts and Audit (Wales) Regulations 2014 require that a review of the effectiveness of the governance arrangements must be undertaken at least annually and reported on within the authority e.g. to the Audit Committee or other appropriate member body and externally with the published accounts of the authority. In doing this, the authority is looking to provide assurance that
- Its governance arrangements are adequate and working effectively in practice
 - Where the reviews of the governance arrangements have revealed significant gaps which will impact on the authority achieving its

objectives, what action is to be taken to ensure effective governance in future.

- 4.9 In 2016/17 a new Annual Governance Statement Group was established, tasked with the compilation of a revised Code of Corporate Governance, as well as a revised Annual Governance Statement. The Group is comprised of the Head of Financial Services & Service Centre, the Head of Legal, Democratic Services & Business Intelligence, the Chief Internal Auditor and the Business Performance Manager. The Group meets periodically to discuss the governance arrangements of the Council and provides updates to the Audit Committee, the Corporate Management Team and Cabinet when necessary.
- 4.10 The key elements of the policies, systems and procedures that comprise the governance framework in the Council are shown on the pages that follow, linked to the 7 fundamental principles.

Principle A - Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law		
<p>Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.</p>		
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Behaving with integrity	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation	<ul style="list-style-type: none"> • Members Code of Conduct in Constitution which reflects Local Authorities (Model Code of Conduct) (Wales) Order 2016 • Officers Code of Conduct in Constitution • Member/Officer Protocol in Constitution • Member led authority principles/document • Council Values – people focused, working together and innovation • Whistleblowing Policy • Anti-Fraud and Corruption Policy • Standards Committee • Standards Committee Annual Report presented to Council • Member Dispute Resolution
	Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Principles of Public Life (the Nolan Principles)	
	Leading by example and using these standard operating principles or values as a framework for decision making and other actions	
	Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Demonstrating strong commitment to ethical values	Seeking to establish, monitor and maintain the organisation's ethical standards and performance	<ul style="list-style-type: none"> • Council Values – people focused, working together and innovation • Contract Procedure Rules
	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	
	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	
	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation	
Respecting the rule of law	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	<ul style="list-style-type: none"> • Member and Officer code of Conduct in Constitution • Role of Head of Paid Service, Section 151 Officer and Monitoring Officer established in Constitution • CIPFA statement on the Role of the Chief Financial Officer • Anti-Fraud and Corruption Policy • Audit Committee • Internal Audit Section • Corporate Fraud Team • Internal Audit and Corporate Fraud Annual Reports presented to Audit Committee • External Auditors • Annual Audit Letter • Standards Committee • Whistleblowing Policy
	Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements	
	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	
	Dealing with breaches of legal and regulatory provisions effectively	
	Ensuring corruption and misuse of power are dealt with effectively	

Principle B – Ensuring openness and comprehensive stakeholder engagement

Local government is run for the public good; organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
<p>Openness</p>	<p>Ensuring an open culture through demonstrating, documenting and communicating the organisation’s commitment to openness</p>	<ul style="list-style-type: none"> • Agendas published in advance of meetings • Minutes published following meetings • Decision making process described in Constitution • Forward Plan published on Internet showing key decisions to be made by Council and Cabinet • Consultation and Engagement Strategy & Consultation Toolkit • Annual budget consultation • Publication Scheme • Freedom of Information Scheme • Challenge Panel and call-in procedure • Public questions at Council and Cabinet • Engagement with hard to reach groups such as BME, Disability and LGBT communities. As well as engagement with children and young people to meet the requirement of the UNCRC
	<p>Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided</p>	
	<p>Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear</p>	
	<p>Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action</p>	

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Engaging comprehensively with institutional stakeholders	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably	<ul style="list-style-type: none"> • Public Service Board and One Swansea Plan/Well-Being Plan • Western Bay • ERW • Community Safety Partnership • Partnership agreements.
	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	
	Ensuring that partnerships are based on: <ul style="list-style-type: none"> • trust • a shared commitment to change • a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit	

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Engaging stakeholders effectively, including individual citizens and service users	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes	<ul style="list-style-type: none"> • Ward role of Councillors • Consultation and Engagement Strategy • 'Have Your Say' consultations on Internet • Residents telephone surveys • Consultation principles and toolkit available on Intranet • Role of Consultation Co-Ordinator • Annual Staff Survey • Complaints Policy and Annual Report
	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	
	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs	
	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	
	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	
	Taking account of the interests of future generations of tax payers and service users	

Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits

The long-term nature and impact of many of local government’s responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority’s purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
<p>Defining outcomes</p>	<p>Having a clear vision which is an agreed formal statement of the organisation’s purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation’s overall strategy, planning and other decisions</p>	<ul style="list-style-type: none"> • Corporate Plan produced annually in accordance with Local Government (Wales) Measure 2009 and ‘Wellbeing Objectives’ in Wellbeing of Future Generations (Wales) Act 2015 • Quarterly & annual Performance Monitoring Reports • Annual Performance Review • Single Integrated Plan produced by Public Service Board • Service Plan produced annually by each Head of Service • Monthly Performance and Financial Monitoring meetings held for each Directorate • Corporate Risk Policy and Framework • Corporate, Directorate and Service Risk Registers • Capital Review Programme and workshops with senior staff managing large scale capital projects to ensure an efficient, coordinated and structured approach to capital projects and the City Deal.
	<p>Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer</p>	
	<p>Delivering defined outcomes on a sustainable basis within the resources that will be available</p>	
	<p>Identifying and managing risks to the achievement of outcomes</p>	
	<p>Managing service users’ expectations effectively with regard to determining priorities and making the best use of the resources available</p>	

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Sustainable economic, social and environmental benefits	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision	<ul style="list-style-type: none"> • Medium Term Financial Plan covering 3 financial years approved annually by Council
	Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	
	Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs	
	Ensuring fair access to services	

Principle D – Determining the interventions necessary to optimise the achievement of the intended outcomes

Local government achieves its intended outcomes by providing a mixture of legal, regulatory and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource input while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Determining interventions	<p>Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided</p> <p>Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts</p>	<ul style="list-style-type: none"> • Policy development by Policy Development and Delivery Committees • Scrutiny function • Finance, Legal and Access to Services implications in all Council, Cabinet and Committee reports • Results of consultation exercises • Annual Internal Audit consultation exercise

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Planning interventions	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	<ul style="list-style-type: none"> • Timetable exists for producing or reviewing plans, priorities etc. on an annual basis • Consultation and Engagement Strategy • Monthly Performance and Financial Monitoring meetings for each Directorate reviews progress and authorises corrective action where necessary • Quarterly and Annual Performance Monitoring reports to Cabinet including achievement of national and local performance indicators • Medium Term Financial Plan • Annual budget setting process in place including consultation exercise
	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	
	Considering and monitoring risks facing each partner when working collaboratively including shared risks	
	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances	
	Establishing appropriate local performance indicators (as well as relevant statutory or other national performance indicators) as part of the planning process in order to identify how the performance of services and projects is to be measured	
	Ensuring capacity exists to generate the information required to review service quality regularly	
	Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan	
	Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Optimising achievement of intended outcomes	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	<ul style="list-style-type: none"> • Quarterly Financial Monitoring reports to Cabinet • Mid-Year Budget Statement to Cabinet • Medium Term Financial Plan • Sustainable Swansea – Fit for the Future
	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	
	Ensuring the medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage	
	Ensuring the achievement of ‘social value’ through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is “the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes”	

Principle E – Developing the entity’s capacity, including the capability of its leadership and the individuals within it.

Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Developing the entity’s capacity	Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness	<ul style="list-style-type: none"> • Commissioning Review as part of Sustainable Swansea – Fit for the Future strategy • Annual performance review for all staff under the Employee Performance Management Policy. Training and development needs included in review • Service planning process includes workforce planning and this is included in the overarching Workforce Plan • Quarterly financial and performance reports to Cabinet
	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority’s resources are allocated so that outcomes are achieved effectively and efficiently	
	Recognising the benefits of partnerships and collaborative working where added value can be achieved	
	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Developing the capability of the entity's leadership and other individuals	Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained	<ul style="list-style-type: none"> • Member/Officer Protocol in Constitution • Scheme of Delegation published in Constitution • Monthly One to One meetings are held involving the Leader. Cabinet Members, Chief Executive, Corporate Directors, Chief Officers, Heads of Service and 3rd tier staff • Councillor Training Programme developed based on a Training Needs Assessment • Annual performance review for all staff under the Employee Performance Management Policy. Training and development needs included in review. • Occupational Health and Wellbeing Policy exists with aim of promoting the health and wellbeing of all employees to enable them to achieve their full potential at work
	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body	
	Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure, whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority	

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
	<p>Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <ul style="list-style-type: none"> • ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged • ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis • ensuring personal, organisation and system-wide development through shared learning, including lessons learnt from both internal and external governance weaknesses <p>Ensuring that there are structures in place to encourage public participation</p>	<ul style="list-style-type: none"> • Mandatory corporate induction course for a new staff • Mandatory courses required for staff • Corporate learning and development courses • Stress and health advice available online • Helping Hands support, information and guidance service.

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	
	Holding staff to account through regular performance reviews which take account of training or development needs	
	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	

Principle F – Managing risks and performance through robust internal control and string public financial management		
<p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will ensure financial discipline, strategic allocation of resources, efficient service delivery and accountability. It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>		
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Managing risk	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	<ul style="list-style-type: none"> • Risk Management Policy and Framework • Corporate, Directorate and Service risk registers • Monthly review of Corporate Risks by Corporate Management Team • Monthly review of Directorate Risks at PFM meetings
	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	
	Ensuring that responsibilities for managing individual risks are clearly allocated	
Managing performance	Monitoring service delivery effectively including planning, specification, execution and independent post-implementation review	<ul style="list-style-type: none"> • Corporate Plan produced annually • Annual Performance Report produced • Quarterly performance monitoring report to Cabinet • Annual Service Plan produced by each Head of Service • Scrutiny function • Monthly Directorate Performance and Financial Monitoring meetings
	Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
	<p>Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made, thereby enhancing the organisation's performance and that of any organisation for which it is responsible</p> <p>Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement</p> <p>Ensuring there is consistency between specification stages (such as budgets) and post-implementation reporting (e.g. financial statements)</p>	
Robust internal control	<p>Aligning the risk management strategy and policies on internal control with achieving objectives</p> <p>Evaluating and monitoring risk management and internal control on a regular basis</p> <p>Ensuring effective counter fraud and anti-corruption arrangements are in place</p> <p>Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor</p>	<ul style="list-style-type: none"> • Audit Committee provides assurance on effectiveness on internal control, risk management and governance • Audit Committee Annual Performance Review • Audit Committee Annual Report to Council • Anti-Fraud and Corruption Policy • Role of Internal Audit Section and Corporate Fraud Team • Internal Audit and Corporate Fraud Annual Plans approved by Audit Committee • Internal Audit and Corporate Fraud Annual Reports to Audit Committee • Annual Governance Statement

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
	<p>Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body:</p> <ul style="list-style-type: none"> • provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment • that its recommendations are listened to and acted upon 	
Managing data	<p>Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data</p> <p>Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies</p> <p>Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring</p>	<ul style="list-style-type: none"> • Data Protection Policy • Information management governance arrangements • Senior Information Risk Officer (SIRO) in place • Information Asset Register • Information sharing guidance published
Strong public financial management	<p>Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance</p> <p>Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls</p>	<ul style="list-style-type: none"> • Financial Procedure Rules in Constitution • Contract Procedure Rules in Constitution • Accounting Instructions on Intranet • Spending Restrictions document on Intranet

Principle G – Implementing good practices in transparency, reporting and audit to deliver effective accountability		
<p>Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out it's a Activities in a transparent manner. Both external and internal audit contribute to effective accountability.</p>		
Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
Implementing good practice in transparency	Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	<ul style="list-style-type: none"> • Reports Authors Protocol exists to ensure consistency in reports • Clear Writing guide published on Intranet
	Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	
Implementing good practices in reporting	Reporting at least annually on performance, value for money and the stewardship of its resources	<ul style="list-style-type: none"> • Annual Statement of Accounts audited by external auditor and approved by Council • Code of Corporate Governance based on CIPFA/SOLACE Framework 2016 • Annual Governance Statement • Annual Review of Performance
	Ensuring members and senior management own the results	
	Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)	

Sub-Principles	Behaviours and Actions that Demonstrate Good Governance in Practice	City and County of Swansea - Evidence
	<p>Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate</p> <p>Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations</p>	
<p>Assurance and effective accountability</p>	<p>Ensuring that recommendations for corrective action made by external audit are acted upon</p> <p>Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon</p> <p>Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations</p> <p>Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement</p> <p>Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met</p>	<ul style="list-style-type: none"> • External Audit provided by Wales Audit Office • Performance of Internal Audit Section monitored by Audit Committee • Implementation of WAO and Internal Audit recommendations monitored by Audit Committee • Peer Review, Corporate Assessment and Corporate Governance Review action plan monitored by Corporate Management Team • Annual Governance Statement

5. Review of Effectiveness

- 5.1 The City and County of Swansea has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the executive managers within the Authority who have responsibility for the development and maintenance of the governance environment, the Chief Auditor's annual report and also by comments made by the external auditors and other review agencies and inspectorates. The newly formed Annual Governance Statement Group also discuss the governance arrangements in place across the Authority on a regular basis and provide updates to the Audit Committee, the Corporate Management Team and Cabinet when necessary.
- 5.2 The processes for maintaining and reviewing the effectiveness of the governance framework within the Council include the following broad headings.

6 Internal Control Self-Assessment

- Each Head of Service has provided a signed **Senior Management Assurance Statement** for 2016/17 which provides assurance over the internal control, risk management and governance framework for their area of responsibility.
- The **Senior Management Assurance Statement** contains 10 questions covering governance issues and requires a 'Yes', 'No' or 'Partly' answer. The vast majority of answers provided by Heads of Service were 'Yes' with a small number of 'Partly' responses. There were no 'No' assurance responses. The main areas where 'Partly' answers were given related to monitoring the implementation of recommendations within Adult Services, limitations of central control given the delegated budgets within Education and the possible impact of interim management structures on controls. However, in each case assurance was provided that sufficient monitoring was in place so as not to pose a risk to governance.

6.1 Internal Sources of Assurance

The following provide assurance based on reports covering 2015/16 as the reports for 2015/16 are not yet available. The 2016/17 reports will be reflected in the next Annual Governance Statement.

- The **Annual Performance Review 2015/16** was approved by Cabinet on 20/10/16 in accordance with the publishing requirements of the Local Government (Wales) Measure 2009. The report showed the results of each performance measure for the 5 Key Priorities ('Improvement Objectives') set out in the Corporate Plan 2015/17 '*Delivering for Swansea*'. The results showed that the Council was 'mainly successful' in achieving the performance measures for 5 of the Key Priorities and 'partially successful' in achieving 1 of the Key Priorities.

- The **Standards Committee** met on 4 occasions during 2016/17 and the **Standards Committee Annual Report 2015/16** was presented to Council on 28/07/16. The report described the work of the Committee during 2015/16 including investigations into breaches of the Member's Code of Conduct, annual discussions with Political Group Leaders, Committee Chairs and the Chief Executive, meetings with Community/Town Councils and letters sent by the Committee to the Public Services Ombudsman for Wales.
- The **Corporate Complaints Policy** was in place throughout 2016/17 and the **Corporate Complaints Annual Report 2015/16** was presented to Cabinet on 20/10/16. The Annual Report noted that 2015/16 was the busiest ever recorded for the Complaints Team with a 28% increase in the number of complaints and requests for service handled by the team. Requests for information also increasing by 9.5% in the year. The report also highlighted a number of service improvements which had been introduced as a result of compliant investigations.
- The **Internal Audit Annual Report 2015/16** was reported to the Audit Committee on 30/08/16 and included the Chief Auditor's opinion that based on the audit reviews undertaken in 2015/16, Internal Audit can give reasonable assurance that the systems of internal control were operating adequately and effectively and that no significant weaknesses were identified.
- The **Audit Committee Annual Report 2015/16** was presented to Council on 22/09/16 and outlined the assurance the Committee had gained over control, risk management and governance from various sources over the course of 2015/16.
- The **Scrutiny Programme Committee and Panels** met throughout 2016/17 and were supported by the Scrutiny Support Unit. The **Scrutiny Annual Report 2015/16** was presented to Council on 28/07/16. The report highlighted the work carried out by Scrutiny, showed how Scrutiny had made a difference and supported continuous improvement for the Scrutiny function. The report also provided a summary of some of the things that had been done in year to address the 6 improvement outcomes identified in the 2014/15 report. Two further areas for improvement were also identified to be addressed in 2016/17.
- The **Annual Performance Monitoring Report 2015/16** was approved by Cabinet on 21/07/16 which presented the detailed performance results for 2015/16. In summary, 51 (59%) indicators that had targets set met their targets. 41 (68%) comparable indicators also showed improvement compared to 2014/15. The results of the review are used to inform executive decisions on resource allocation and to take corrective action to improve performance and efficiency.
- The **One Swansea Plan** and Delivery Framework 2015 '*Place, People, Challenges and Change*' were endorsed by the Local Service Board on 15/09/15 as the **Single Integrated Plan**. The purpose of the Plan is to improve the wellbeing of people in Swansea by ensuring that professionals and the public work together. The Plan is developed by the Local Service Board which includes the main public service agencies for the area and representatives of the voluntary and business sector.

The following provides assurance based on reports covering 2016/17

- The **Corporate Plan 2016-17** '*Delivering for Swansea 2016/17*' produced in accordance with the Local Government (Wales) Measure 2009 and the 'Wellbeing Objectives' under the Wellbeing of Future Generations (Wales) Act 2015 was approved by Cabinet on 17/03/16. The Plan describes the Council's vision for Swansea, the 5 key Council priorities and the organisation values and principles that will underpin the delivery of the priorities and the overall strategy.
- The **Well-Being Statement for 2017/18** setting out the well-being objectives for the Council as required by the Well-Being of Future Generations (Wales) Act 2015 was approved by Cabinet on 16/03/17. The Council's 5 key priorities as set out in the Corporate Plan 2016/17 have been carried forward into 2017/18 as the Council's Well-Being Objectives.
- The adoption of the **Council Constitution** was reaffirmed at the Annual Meeting of the Council on 19/05/16. Various reports have been approved by Council throughout 2016/17 making changes to the Constitution.
- The **Audit Committee** met on 12 occasions during 2016/17 and followed a structured workplan which covered all areas of the Committee's responsibilities with the aim of obtaining assurance over the areas included in its terms of reference. The Committee includes a lay member as required by the Local Government (Wales) Measure 2011. The lay member is also the Chair of the Committee.
- The **Scrutiny Programme Committee** met on 14 occasions in 2016/17 and had overall responsibility for the scrutiny function.
- The annual **Scrutiny Work Planning Conference 2016/17** was held on 12/05/16 and a report on the **Scrutiny Work Programme 2015/16** was agreed by the Scrutiny Programme Committee on 13/06/15.
- The **Constitution Working Group** met twice during 2016/17 to consider issues relating to school reorganisation requiring a change to the Council Constitution and nominations to the office of Lord Mayor and Deputy Lord Mayor including changes to protocol.
- The **Medium Term Financial Plan 2018/19 – 2020/21** was approved by Council on 23/02/17. The Plan outlined the significant shortfall in funding faced by the Council over the period and the strategy to be adopted to address the shortfall as well as the inherent risks to the success of the adopted strategy.
- The **Corporate Risk Management Policy and Framework** operated throughout 2016/17. In addition, both the Policy and Framework were in the process of being reviewed and updated during 2016/17. Audit Committee are due to be consulted on the updated documents on the 20/06/17.
- Each Corporate Director held monthly **Performance and Financial Monitoring** meetings where Chief Officers and Heads of Service reported on progress in terms of continuous improvement and budgets.
- Quarterly **Performance Monitoring Reports** were presented to Cabinet during 2016/17 which provided detailed performance tables and identified the Council's performance outturn for the indicators which had been selected for their suitability to measure performance against the Council's 5 key priorities.

- Quarterly **Financial Monitoring Reports** were presented to Cabinet throughout 2016/17. The reports identified a potential revenue budget overspend at year end based on available information and stressed the need for expenditure to be contained within the budget set by Council.
- A **Mid Term Budget Statement 2016/17** was presented to Council on 01/11/16 which provided a strategic and focussed assessment of the current year's financial performance and an update on strategic planning assumptions over the next 3 financial years. The conclusion of the Statement was that the Council would struggle to deliver within the overall resources identified to support the budget in 2016/17. The likely projected outturn was dependent upon the willingness and ability of the Council to reduce and restrict ongoing expenditure across all areas.
- All reports presented to Cabinet and Council during 2016/17 had been reviewed by Finance, Legal and Access to Services staff and included the appropriate paragraphs detailing the **Financial, Legal and Equality and Engagement Implications** of the report.
- The **Pension Fund Committee** met on 6 occasions during 2016/17 and dealt with all issues relating to the governance of the Pension Fund.

6.2 External Sources of Assurance

- The Wales Audit Office undertook a **Corporate Assessment** of the Council in November 2014. The assessment sought to answer the question *'is the Council capable of delivering its priorities and improved outcome for citizens?'* The **Annual Improvement Report 2014/15** which incorporated the Corporate Assessment report was presented to Council on 23/07/15 and concluded that *'the Council can demonstrate improvement across a range of key services and has developed a clear framework for managing future challenges'*. The report made the following proposals for improvement.
- The Wales Audit Office undertook a **Corporate Assessment follow up** exercise in 2016/17 to review progress against the proposals for improvement noted above. The report issued in July 2016 focused on performance management arrangements and concluded that the Council is making clear progress in developing its performance management arrangements and understands what needs to be done to improve its prospects for further improvement. The **Annual Improvement Report 2015/16** incorporated the findings from the review of performance management arrangements and was presented to Council on 24/11/16. The Wales Audit Office is due to look at governance arrangements during 2017/18.
- The **Wales Audit Office Annual Improvement Report 2015/16** was presented to Council on 24/11/16. The report concluded that *'the Council has continued to improve in its priority areas and its arrangements are likely to support future improvement'*. During the course of the year, the Auditor General did not make any formal recommendations. However, a total of 6 proposals for improvement were made which will be addressed by the Council.
- The Council invited the WLGA to facilitate a **Peer Review** in September 2014. The Peer Review had 3 key areas of focus i.e. Delivery, Change and Governance which were felt to be critical to organisational development and

delivery in challenging times. The Peer Review identified both areas of strength and areas for improvement and made 20 recommendations in its report. The Council prepared an action plan to address the recommendations which was approved by Cabinet on 14/04/15. The Director of Corporate Services provided a **Peer Review Progress Update** to the Audit Committee on 19/04/16 which, for each of the 3 key areas of focus, identified what had been achieved and what was still to do. It was recognised that substantial progress had been made although there was still work to do and that going forward it was important to evaluate the impact of the actions taken.

- One of the results of the Corporate Assessment and Peer Review was that the Head of Legal, Democratic Services and Business Intelligence was tasked with undertaking a review of the Council's governance arrangements. To provide external assurance, the WLGA were asked to complete a **Corporate Governance Review**. The final report was presented to the Audit Committee on 28/06/16 with the overall conclusion that there were no significant flaws in the governance arrangements but there were improvements that could be made.
- The findings from the WLGA report were added to the Peer Review/Corporate Assessment Action Plan. A number of the actions were completed during 2016/17 and work will continue in 2017/18 to ensure all findings are addressed.
- The Wales Audit Office undertook a **Financial Resilience Assessment** of all Local Authorities across Wales including the City and County of Swansea. The review concluded that the Council has improved medium-term financial planning, but the pace at which planned savings are being made is too slow and accountability for delivering all savings proposals had yet to be resolved when the report was presented to Audit Committee on 20/09/16. Overall, the review concluded that the financial planning, control and governance arrangements were at medium risk.
- A **Savings Planning Review** was also undertaken by the Wales Audit Office during 2016/17 which was issued in March 2017. The review concluded that whilst the Council has a sound financial planning framework it recognises the delay in delivering savings plans to required timescales presents risks to its financial resilience. The review made one proposal for improvement which will be addressed in 2017/18.
- The Appointed Auditor's **Annual Audit Letter 2015/16** was issued in November 2016 and presented to the Audit Committee on 03/01/17. The letter stated that *'The Council complied with its responsibilities relating to financial reporting and use of resources'*. The letter also stated that an unqualified audit opinion had been issued on the accounting statements confirming that they present a true and fair view of the Authority's and the Pension Fund's financial position and transactions. The letter also stated that *'The Auditor General for Wales is satisfied that the Authority has appropriate arrangements in place to secure economy, efficiency and effectiveness in its use of resources'*.
- The Wales Audit Office on behalf of the Auditor General for Wales presented the **Audit of Financial Statements Report 2015/16** to Audit Committee on 20/09/16 and to Council on 22/09/16. The report highlighted any significant issues to those charged with governance that needed to be considered prior

to the approval of the financial statements. The report concluded that the Auditor General intended to issue an unqualified audit report on the financial statements for both the City & County of Swansea and the City and County of Swansea Pension Fund.

- The Wales Audit Office has delayed the issue of the **Certificate of Compliance** in relation to the audit of the Corporate Plan 2017/18 as the Council plans to act to comply with Local Government Measure 2009 arrangements by September 2017. The assessment is therefore scheduled to take place in August 2017.
- The Council is subject to **Statutory External Inspections** by various bodies including Wales Audit Office, ESTYN and CSSIW. ESTYN inspected 17 educational establishments during 2016/17 with inspection reports being provided to the Governing Body in each case. Work continued in 2016/17 to implement the 5 recommendations arising from ESTYN's Education Services for Children and Young People Inspection Report 2013/14. Progress reports were made to Cabinet throughout the year with the most recent report on 15/12/16 reporting that 1 recommendation had an Amber status (limited progress) and 4 had a Yellow status (good progress).

- 6.3 The Annual General Meeting of the Council held on 19/05/16 appointed the required number of Councillors to sit on the Boards of the companies included in the Council's Statement of Accounts. A change was made to the representatives on the Inter Authority Agreement for Food Waste board on 01/11/16.
- 6.4 The Council has partnership arrangements in place with the Wales National Pool Swansea, National Waterfront Museum Swansea, Liberty Stadium and the LC. In addition, partnership arrangements are also in place with the 360 Beach and Watersports Centre, Swansea Indoor Bowls Centre and Swansea Tennis 365 but there is no Council representation on the Board and the Council's financial contribution is nil or limited. The performance of these bodies is regularly monitored.
- 6.5 The review of the governance arrangements which operated for 2016/17 in the City and County of Swansea has shown that in general they provide a sound system and there are no suggestions that major issues exist.
- 6.6 The evidence gathered as part of the governance review for 2016/17 i.e. the Internal Control Self-Assessment and the review of internal and external sources of assurance supports the view that the governance arrangements continue to be fit for purpose although a small number of issues were identified where improvements can be made which are highlighted in Section 7.
- 6.7 We have been advised on the implications of the result of the review of the effectiveness of the governance framework and that the arrangements continue to be regarded as fit for purpose in accordance with the governance framework. The areas already addressed and those to be specifically addressed with new actions planned are outlined below.

7 Significant Governance Issues

7.1 The following table shows the significant governance issues which were identified during the review of effectiveness undertaken when preparing the Annual Governance Statement 2015/16 and the action taken during the year to address the issues.

Issue	Proposed Action	Action Taken
<p>1. The Council's Code of Corporate Governance should be updated to ensure compliance with the core and sub principles contained in the revised CIPFA/SOLACE Delivering Good Governance in Local Government Framework</p>	<p>The Code of Corporate Governance is to be reviewed in line with the CIPFA/SOLACE Guidance Notes for Welsh Authorities due to be published in September 2016.</p>	<p>The Code of Corporate Governance was updated in line with the CIPFA/SOLACE Guidance. The Annual Governance Statement for 2016/17 is based on the new Code of Corporate Governance.</p>
<p>2. There are potential governance issues as a result of the proposals for the new Business Support model across the Council arising from the Corporate Services Commissioning Review.</p>	<p>The transition to the new Business Support model will be carefully managed to ensure it is managed effectively and any changes will have due regard to governance, corporate grip and control.</p>	<p>Full Council agreed a new structure in March 2017 for implementing the new model of business support.</p> <p>The WAO undertook a Governance themed review of all Councils in Wales and in Swansea during Nov 16. The purpose of the review was to provide assurance that Councils' governance arrangements are well-placed to respond to future</p>

		<p>challenges and to identify opportunities to strengthen them. The focus of the review was on Councils' governance arrangements for determining service changes. The main question the review sought to answer was:</p> <ul style="list-style-type: none"> • Does the Council have effective arrangements in place to ensure good governance when determining service changes? <p>In Swansea, WAO focussed their study on the Council's commissioning process as the main means of implementing service change. The Council is waiting for the report to be published.</p>
<p>3. A system should be developed to record relevant delegated decisions made by officers.</p>	<p>An appropriate system will be developed to record delegated officer decisions which could include the use of financial thresholds to ensure consistency across the Council and agreement between Cabinet Members and relevant officers on which delegated decisions should be recorded.</p> <p>The agreed system will be implemented by publishing relevant decisions on the</p>	<p>The Head of Legal, Democratic Services and Business Intelligence commenced a review of this in 2016/17 which is due to be concluded in 2017/18.</p>

	Council website.	
4. The process for producing the Annual Governance Statement should be reviewed to broaden the officer contribution to the process and to ensure that it is a live process throughout the year rather than a retrospective year-end process	<p>A representative group from across the Council will be set up to meet regularly to review the Annual Governance Statement.</p> <p>The group will review the current Annual Governance Statement to identify where the format can be improved to promote a wider understanding and ownership of the Statement.</p>	<p>The Annual Governance Statement Group was set up in 2016/17, tasked with the compilation of a revised Corporate Code of Governance and Annual Governance Statement. The Group meet regularly to discuss governance issues provides updated to the Audit Committee, the Corporate Management Team and Cabinet when necessary.</p>

7.2 The following table identifies issues which have been identified during the review of effectiveness and also highlights any other significant governance issues that need to be considered, together with the proposed actions to be taken during 2017/18 to address the issues.

Issue	Proposed Action
Regionalisation and associated governance issues	Senior Officers time will continue to be devoted to developing regional working and joint committee structures, particularly in relation to the City Deal and any other emerging work. Work in this area is ongoing and will continue into 2017/18.
Major Projects (including Capital Schemes)	Significant Officer time will continue to be committed to relevant projects in 2017/18. Wider issues in relation to support to schemes from a Legal, Finance, Procurement and Governance view point will be reviewed and address during 2017/18 in line with the ongoing

	Capital Commissioning Review.
Ongoing Council restructures and consideration of remaining Officer Capacity	Senior Officers are aware of the governance risks resulting from continued and ongoing reductions in resources. This will be monitored throughout 2017/18. The retention of the Director of Resources position will ensure overall corporate governance and control issues are identified and addressed where necessary. The roles of the Section 151 Officer and the Director will continue to be split to ensure adequate segregation is in place and to allow for arrangements to be effectively challenged throughout 2017/18.
Risk Management	A new risk policy and framework will be reported to Council for adoption, which will then be implemented during 2017/18.
Public Service Board management and co-ordination	Current post-holders are leaving / going to different job. A temporary co-ordinator will be appointed for 1 year after which there will be a review.
Wales Audit Office Improvement Plan 2015/16 – proposals for improvement	The proposals made by the Wales Audit Office will continue to be addressed during 2017/18.
Wales Audit Office Savings Planning Review 2016/17 – proposal for improvement	The proposal made by the Wales Audit Office will continue to be addressed during 2017/18.

7.3 We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Signed Chief Executive

Date

Signed..... Leader

Date



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Reference: JH17/NG

Date issued: 17 March 2017

Dear Mike

City & County of Swansea – 2016-17 - Audit enquiries to those charged with governance and management

In my 2017 Audit Plan I noted that International Standards on Auditing (UK&I) state that I am responsible for obtaining reasonable assurance that the financial statements taken as a whole are free from material misstatement, whether caused by fraud or error. I set out the respective responsibilities of auditors, management and those charged with governance. I also advised that I would be writing to both management and those charged with governance to explain these responsibilities further and make enquiries of how the responsibilities have been discharged.

This letter formally seeks documented consideration and understanding on a number of governance areas that impact on my audit of your financial statements. These considerations are relevant to both the management and 'those charged with governance' of the City & County of Swansea (the Council).

I have set out below the areas of governance on which I am seeking views.

1. Management processes in relation to:
 - undertaking an assessment of the risk that the financial statements may be materially misstated due to fraud;
 - identifying and responding to risks of fraud in the organisation;
 - communication to employees of views on business practice and ethical behaviour; and
 - communication to those charged with governance the processes for identifying and responding to fraud.
2. Management's awareness of any actual or alleged instances of fraud.
3. How management gain assurance that all relevant laws and regulations have been complied with.

4. Whether there is any potential litigation or claims that would affect the financial statements.
5. Management processes to identify, authorise, approve, account for and disclose related party transactions and relationships.

The information you provide will inform our understanding of the Council and its business processes and support our work in providing an audit opinion on your 2016-17 financial statements.

I would be grateful if you could complete the attached table in [Appendix 1](#), which should be formally considered and communicated to us on behalf of both management and those charged with governance (the Council) by 28 July 2017. In the meantime, if you have queries, please contact Geraint Norman on 07810 056 683 or by e-mail at geraint.norman@audit.wales.

Yours sincerely



John Herniman
Engagement Director

cc Mr Phil Roberts, Chief Executive

Appendix 1

International Standard for Auditing (UK and Ireland) 240 – The auditor’s responsibilities relating to fraud in an audit of financial statements

Background

Under the ISA, the primary responsibility for preventing and detecting fraud rests with both management and ‘those charged with governance’, which for the City & County of Swansea (the Council) is the ‘full Council’. This includes fraud that could impact on the accuracy of the annual accounts. The ISA requires us, as external auditors, to obtain an understanding of how the Council exercises oversight of management’s processes for identifying and responding to the risks of fraud and the internal controls established to mitigate them.

What is ‘fraud’ in the context of the ISA? The ISA views fraud as either:

- the intentional misappropriation of the UHB’s assets (cash, property, etc); or
- the intentional manipulation or misstatement of the financial statements.

What are we required to do?

We have to obtain evidence of how management and those charged with governance are discharging their responsibilities if we are to properly discharge our responsibilities under ISA240. We are therefore making requests from both management and the Council:

Enquiries of management	
Question	Response
1. What is management’s assessment of the risk that the financial statements may be materially misstated due to fraud and what are the principal reasons?	Low/Minimal but remain constantly vigilant to the risk. Same staff worked on this year as last. But with sufficient segregation of duties in each role. Internal audit reviews in year. Personal review by S151 officer
2. How can management assure the Council that it has not been inappropriately influenced by external pressures?	Independence of Monitoring Officer and S151 officer Both have right of reporting direct to Cabinet/council

	<p>Both have professional right of reporting to CX (since strengthened in March 2017 management restructure).</p> <p>Statutory Chief Officers are equal members of CMT.</p>
<p>3. Are management aware of any organisational pressure to meet revenue and capital budgets or other financial constraints?</p>	<p>Yes – the entire public sector in Wales is subject to significant constraint in terms of likely future real terms resource availability. The Council has published three year medium term financial plan looking for savings in the region of £60m.</p> <p>This is considered a statement of projected fact/expectation.</p> <p>There is no pressure to achieve a certain outcome beyond that which would be reasonably expected , that is, appropriate management and Executive action to contain spending to within a balanced budget position .</p>

Enquiries of management	
Question	Response
4. What processes are employed to identify and respond to the risks of fraud more generally and specific risks of misstatement in the financial statements?	<p>Online reporting tool for staff to report suspected fraud cases directly to the Fraud Team inbox.</p> <p>Dedicated fraud reporting phone number published online (internal and external referrals).</p> <p>Participate in NFI data matching exercises.</p> <p>Management review of all accounting statements. Internal audit function. Review by audit Committee Consistency/experience of staff working on financial statements both in terms of central consolidation but also individually as professionals so sufficient segregation of duties and professional oversight/check.</p> <p>Personal review by S151 officer</p>
5. How has management communicated expectations of ethical governance and standards of conduct and behaviour to all relevant parties, and when?	<p>Published and well publicised on the intranet, separate but complementary Staff and Member Codes of Conduct.</p> <p>In addition, Public Sector Internal Audit Standards require audit team to declare adherence to a code of ethics. The team have all signed and returned these.</p>
6. What arrangements are in place to report about fraud to those charged with governance?	<p>Disciplinary/fraud cases highlighted and reported both via PFM process and through to CMT monthly as part of HR dashboard reporting.</p>

	<p>Established Audit Committee.</p> <p>Annual fraud report goes to Audit Committee plus annual fraud plan.</p> <p>Right of Chief Internal Auditor and/or S151 to report to Audit Committee.</p> <p>Right of Chief Internal Auditor and S151 officer to report directly to CX on any material concern.</p> <p>Material individual concerns communicated by S151 to relevant member of CMT.</p>
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Enquiries of the Council	
Question	Response
1. How does the Council, in its role as those charged with governance, exercise oversight of management's processes for identifying and responding to the risks of fraud within the Council and the internal control that management has established to mitigate those risks?	<p>Provision of a well-resourced Internal Audit section.</p> <p>Dedicated, experienced Fraud Team (in addition to the core Audit Function).</p> <p>Audit Committee.as well as responding to audit reviews is taking an increasingly active role in looking at wider risk management/risk register.</p> <p>Independent Audit Committee Chair.</p>
2. Has the Council knowledge of any actual, suspected or alleged fraud since 1 April 2015?	No material items - ongoing fraud investigation of a range of cases is "normal business" and shared with internal/external audit as necessary
3. Has the Council any suspicion that fraud may be occurring within the	No material cases – again "normal business" is such

organisation?	that there are risks in an organisation of this scale and there is a resourced corporate fraud team under the Chief Internal Auditor to review and report on individual cases
4. Is the Council satisfied that internal controls, including segregation of duties, exist and work effectively? If 'yes', please provide details. If 'no' what are the risk areas?	<p>Yes.</p> <p>Financial Procedure Rules.</p> <p>Oracle Workflow rules requiring separate sign off of transactions above threshold levels.</p> <p>Internal audit specifically review segregation of duties as part of all audits undertaken.</p>
5. How do you encourage staff to report their concerns about fraud and what concerns about fraud are staff expected to report?	<p>Published Anti-Fraud and Corruption policy.</p> <p>Published Disciplinary Policy</p> <p>Published Whistleblowing Policy</p> <p>Fraud/Whistleblowing telephone hotline – intranet coverage/news stories/online reporting forms available.</p>

Enquiries of the Council	
Question	Response
6. From a fraud and corruption perspective, what are considered by the Council to be high risk posts within the organisation and how are the risks relating to these posts identified, assessed and managed?	Chief Officer and Head of Service Posts A range of other senior posts Finance posts above Grade 10 Full DBS checks on high risk posts
7. Is the Council aware of any related party relationships or transactions that could give rise to instances of fraud and how does the Audit Committee mitigate the risks associated with fraud related to related party relationships and transactions?	No
8. Is the Council aware of any entries made in the accounting records of the organisation that it believes or suspects are false or intentionally misleading?	No
9. Is the Council aware of any organisational, or management pressure to meet revenue and capital budgets or other financial constraints?	Yes – the entire public sector in Wales is subject to significant constraint in terms of likely future real terms resource availability. The Council has published three year medium term financial plan looking for savings in the region of £60m. This is considered a statement of projected fact/expectation. There is no pressure to achieve a certain outcome beyond that which would be reasonably expected, that is, appropriate management and Executive action to contain spending to within a balanced budget position.

International Standard for Auditing (UK and Ireland) 250 – Consideration of laws and regulations in an audit of financial statements

Background

Under the ISA, in the UK and Ireland, the primary responsibility for ensuring that the entity's operations are conducted in accordance with laws and regulations and the responsibility for the prevention and detection of non-compliance rests with management and the Council (as 'those charged with governance'). The ISA requires us, as external auditors, to obtain an understanding of how the Council gains assurance that all relevant laws and regulations have been complied with.

What are we required to do?

We have to obtain evidence of how management and those charged with governance are discharging their responsibilities, if we are to properly discharge our responsibilities under ISA 250. We are therefore making requests from both management and the Council:

Enquiries of management	
Question	Response
1. How have you gained assurance that all relevant laws and regulations have been complied with?	Constitution specifies officer delegation and proper officer arrangements for procurement, contracting, entering into legal agreements etc. Legal and finance sign off required in each case.
2. Are there any potential litigations or claims that would affect the financial statements?	Potentially yes - given the size of the authority there are always outstanding potential litigations and obligations, both general and very specific in nature. Items of material nature are as fully disclosed in the statement of accounts as is possible under contingent liabilities and provisions having due regard to confidentiality, commercial terms and data protection laws.

Enquiries of the Council	
Question	Response
1. How does the Council, in its role as those charged with governance, exercise oversight of management's processes to ensure that all relevant laws and regulations have been complied with?	All formal reports to Cabinet/Council require legal, access to services and finance sign off
2. Is the Council aware of any non-compliance with relevant laws and regulations?	No
3. If there have been instances of non-compliance what are they, and what oversight has the Council had to ensure that action taken by management to address and gaps in control?	Not applicable

International Standard for Auditing (UK and Ireland) 550 – Related parties

Background

The nature of related party relationships and transactions may, in some circumstances, give rise to higher risks of material misstatement of the financial statements than transactions with unrelated parties. For example:

- Related parties may operate through an extensive and complex range of relationships and structures, with a corresponding increase in the complexity of related party transactions.
- Information systems may be ineffective at identifying or summarising transactions and outstanding balances between an entity and its related parties.
- Related party transactions may not be conducted under normal market terms and conditions; for example, some related party transactions may be conducted with no exchange of consideration.

Because related parties are not independent of each other, many financial reporting frameworks establish specific accounting and disclosure requirements for related party relationships, transactions and balances to enable users of the financial statements to understand their nature and actual or potential effects on the financial statements. An understanding of the entity's related party relationships and transactions is relevant to the auditor's evaluation of whether one or more fraud risk factors are present as required by ISA (UK and Ireland) 240, because fraud may be more easily committed through related parties.

What are we required to do?

Where the applicable financial reporting framework establishes requirements for related parties, the auditor has a responsibility to perform audit procedures to identify, assess and respond to the risks of material misstatement arising from the entity's failure to appropriately account for or disclose related party relationships, transactions or balances in accordance with the requirements of the framework. We are therefore making requests from both management and the Council:

Enquiries of management	
Question	Response
1. What controls are in place to identify, authorise, approve, account for and disclose related party transactions and relationships?	As part of our closure processes we test and review transactions with third parties. Where there appear to be related parties these are escalated through management and decision made by the S151 officer as to materiality/relevance for disclosure in the statement of accounts.
2. Confirm that you have: <ul style="list-style-type: none"> disclosed to the auditor the identity of the entity's related parties and all the related party relationships and transactions of which you are aware; and appropriately accounted for and disclosed such relationships and transactions in accordance with the requirements of the framework. 	Yes Yes

Enquiries of the Council	
Question	Response
1. How does the Council, in its role as those charged with governance, exercise oversight of management's processes to identify, authorise, approve, account for and disclose related party transaction sand relationships?	This is delegated to the S151 officer through control processes. Necessary and appropriate disclosures are made in the statement of accounts which is reviewed by Audit Committee and approved by Council.



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Reference: JH18/NG

Date issued: 17 March 2017

Dear Mike

City & County of Swansea Pension Fund – 2016-17 - Audit enquiries to those charged with governance and management

In my 2017 Audit Plan I noted that International Standards on Auditing (UK&I) state that I am responsible for obtaining reasonable assurance that the financial statements taken as a whole are free from material misstatement, whether caused by fraud or error. I set out the respective responsibilities of auditors, management and those charged with governance. I also advised that I would be writing to both management and those charged with governance to explain these responsibilities further and make enquiries of how the responsibilities have been discharged.

This letter formally seeks documented consideration and understanding on a number of governance areas that impact on my audit of your financial statements. These considerations are relevant to both the management and 'those charged with governance' of the City & County of Swansea Pension Fund (the Fund).

I have set out below the areas of governance on which I am seeking views.

1. Management processes in relation to:
 - undertaking an assessment of the risk that the financial statements may be materially misstated due to fraud;
 - identifying and responding to risks of fraud in the organisation;
 - communication to employees of views on business practice and ethical behaviour; and
 - communication to those charged with governance the processes for identifying and responding to fraud.
2. Management's awareness of any actual or alleged instances of fraud.
3. How management gain assurance that all relevant laws and regulations have been complied with.
4. Whether there is any potential litigation or claims that would affect the financial statements.

5. Management processes to identify, authorise, approve, account for and disclose related party transactions and relationships.

The information you provide will inform our understanding of the Fund and its business processes and support our work in providing an audit opinion on your 2016-17 financial statements.

I would be grateful if you could complete the attached table in [Appendix 1](#), which should be formally considered and communicated to us on behalf of both management and those charged with governance (the Council) by 28 July 2017. In the meantime, if you have queries, please contact Geraint Norman on 07810 056 683 or by e-mail at geraint.norman@audit.wales.

Yours sincerely



John Herniman
Engagement Director

cc Mr Phil Roberts, Chief Executive

Appendix 1

International Standard for Auditing (UK and Ireland) 240 – The auditor’s responsibilities relating to fraud in an audit of financial statements

Background

Under the ISA, the primary responsibility for preventing and detecting fraud rests with both management and ‘those charged with governance’, which for the City & County of Swansea Pension Fund (the Fund) is the ‘full Council’. This includes fraud that could impact on the accuracy of the annual accounts. The ISA requires us, as external auditors, to obtain an understanding of how the Council exercises oversight of management’s processes for identifying and responding to the risks of fraud and the internal controls established to mitigate them.

What is ‘fraud’ in the context of the ISA? The ISA views fraud as either:

- the intentional misappropriation of the UHB’s assets (cash, property, etc); or
- the intentional manipulation or misstatement of the financial statements.

What are we required to do?

We have to obtain evidence of how management and those charged with governance are discharging their responsibilities if we are to properly discharge our responsibilities under ISA240. We are therefore making requests from both management and the Council:

Enquiries of management	
Question	Response
1. What is management’s assessment of the risk that the financial statements may be materially misstated due to fraud and what are the principal reasons?	Low/Minimal Same staff worked on this year as last. But with sufficient segregation of duties in each role. Internal audit reviews in year. Personal review by S151 officer
2. How can management assure the Council that it has not been inappropriately influenced by external pressures?	Independence of Monitoring Officer and S151 officer Both have right of reporting direct to Cabinet/council Both have professional right of reporting to CX (since strengthened in March 2017 management

	restructure) Statutory Chief Officers are equal members of CMT.
3. Are management aware of any organisational pressure to meet revenue and capital budgets or other financial constraints?	<p>Yes – the entire public sector in Wales is subject to significant constraint in terms of likely future real terms resource availability. The Council has published three year medium term financial plan looking for savings in the region of £60m.</p> <p>This is considered a statement of projected fact/expectation.</p> <p>There is no pressure to achieve a certain outcome beyond that which would be reasonably expected , that is appropriate management and Executive action to contain spending to within a balanced budget position .</p> <p>The Pension Fund is part of the Wales Pension Partnership project, a projected outcome of which shall be reduced fund management fees</p>

Enquiries of management	
Question	Response
4. What processes are employed to identify and respond to the risks of fraud more generally and specific risks of misstatement in the financial statements?	<p>Management review of all accounting statements.</p> <p>Internal audit function.</p> <p>NFI screening and Atmos mortality screening</p> <p>Review by audit Committee</p> <p>Consistency/experience of staff working on financial statements both in terms of central consolidation but also individually as professionals so sufficient segregation of duties and professional oversight/check.</p> <p>Personal review by S151 officer</p>
5. How has management communicated expectations of ethical governance and standards of conduct and behaviour to all relevant parties, and when?	<p>Published and well publicised on the intranet, separate but complementary Staff and Member Codes of Conduct.</p>
6. What arrangements are in place to report about fraud to those charged with governance?	<p>Audit Committee.</p> <p>Right of Chief Internal Auditor and/or S151 to report to Audit Committee.</p> <p>Right of Chief Internal Auditor and S151 officer to report directly to CX on any material concern.</p> <p>Material individual concerns communicated by S151 to relevant member of CMT.</p> <p>Escalation to Local Pension Board and Pension Regulator</p>

Enquiries of the Council	
Question	Response
1. How does the Council, in its role as those charged with governance, exercise oversight of management's processes for identifying and responding to the risks of fraud within the Council and the internal	<p>Provision of a well resourced Internal Audit section.</p> <p>Audit Committee.</p>

control that management has established to mitigate those risks?	Independent Audit Committee Chair. Pension Fund Committee Local Pension Board Pension Regulator
2. Has the Council knowledge of any actual, suspected or alleged fraud since 1 April 2015?	No material items - ongoing fraud investigation of a range of cases is "normal business" and shared with internal/external audit as necessary
3. Has the Council any suspicion that fraud may be occurring within the Fund?	No material cases – again "normal business" is such that there are risks in an organisation of this scale and there is a resourced corporate fraud team under the Chief Internal Auditor to review and report on individual cases
4. Is the Council satisfied that internal controls, including segregation of duties, exist and work effectively? If 'yes', please provide details. If 'no' what are the risk areas?	Yes. Financial Procedure Rules. Oracle Workflow rules requiring separate sign off of transactions above threshold levels.
5. How do you encourage staff to report their concerns about fraud and what concerns about fraud are staff expected to report?	Anti fraud and corruption policy Disciplinary Policy Whistleblowing Policy Fraud/Whistleblowing hotline/intranet/online forms Pensions Regulator hotline

Enquiries of the Council	
Question	Response
6. From a fraud and corruption perspective, what are considered by the Council to be high risk posts within the organisation and how are the risks relating to these posts identified, assessed and managed?	Chief Officer and Head of Service Posts A range of other senior posts Finance posts above Grade 10 Full DBS checks on high risk posts
7. Is the Council aware of any related party relationships or transactions that could give rise to instances of fraud and how does the Audit Committee mitigate the risks associated with fraud related to related party relationships and transactions?	No
8. Is the Council aware of any entries made in the accounting records of the Fund that it believes or suspects are false or intentionally misleading?	No
9. Is the Council aware of any organisational, or management pressure to meet revenue and capital budgets or other financial constraints?	Yes – the entire public sector in Wales is subject to significant constraint in terms of likely future real terms resource availability. The Council has published three year medium term financial plan looking for savings in the region of £60m. This is considered a statement of projected fact/expectation. There is no pressure to achieve a certain outcome beyond that which would be reasonably expected , that is appropriate management and Executive action to contain spending to within a balanced budget position .

International Standard for Auditing (UK and Ireland) 250 – Consideration of laws and regulations in an audit of financial statements

Background

Under the ISA, in the UK and Ireland, the primary responsibility for ensuring that the entity's operations are conducted in accordance with laws and regulations and the responsibility for the prevention and detection of non-compliance rests with management and the Council (as 'those charged with governance'). The ISA requires us, as external auditors, to obtain an understanding of how the Council gains assurance that all relevant laws and regulations have been complied with.

What are we required to do?

We have to obtain evidence of how management and those charged with governance are discharging their responsibilities, if we are to properly discharge our responsibilities under ISA 250. We are therefore making requests from both management and the Council:

Enquiries of management	
Question	Response
1. How have you gained assurance that all relevant laws and regulations have been complied with?	Constitution specifies officer delegation and proper officer arrangements for procurement, contracting, entering into legal agreements etc. Legal and finance sign off required in each case.
2. Are there any potential litigations or claims that would affect the financial statements?	Potentially yes - given the extent of the investment portfolio, there may be an ongoing corporate action in which we could be affected but not directly involved in the litigation.

Enquiries of the Council

Question	Response
1. How does the Council, in its role as those charged with governance, exercise oversight of management's processes to ensure that all relevant laws and regulations have been complied with?	All formal reports to Pension Fund Committee/Council require legal, access to services and finance sign off
2. Is the Council aware of any non-compliance with relevant laws and regulations?	No
3. If there have been instances of non-compliance what are they, and what oversight has the Council had to ensure that action taken by management to address and gaps in control?	Not applicable

International Standard for Auditing (UK and Ireland) 550 – Related parties

Background

The nature of related party relationships and transactions may, in some circumstances, give rise to higher risks of material misstatement of the financial statements than transactions with unrelated parties. For example:

- Related parties may operate through an extensive and complex range of relationships and structures, with a corresponding increase in the complexity of related party transactions.
- Information systems may be ineffective at identifying or summarising transactions and outstanding balances between an entity and its related parties.
- Related party transactions may not be conducted under normal market terms and conditions; for example, some related party transactions may be conducted with no exchange of consideration.

Because related parties are not independent of each other, many financial reporting frameworks establish specific accounting and disclosure requirements for related party relationships, transactions and balances to enable users of the financial statements to understand their nature and actual or potential effects on the financial statements. An understanding of the entity's related party relationships and transactions is relevant to the auditor's evaluation of whether one or more fraud risk factors are present as required by ISA (UK and Ireland) 240, because fraud may be more easily committed through related parties.

What are we required to do?

Where the applicable financial reporting framework establishes requirements for related parties, the auditor has a responsibility to perform audit procedures to identify, assess and respond to the risks of material misstatement arising from the entity's failure to appropriately account for or disclose related party relationships, transactions or balances in accordance with the requirements of the framework. We are therefore making requests from both management and the Council:

Enquiries of management	
Question	Response
1. What controls are in place to identify, authorise, approve, account for and disclose related party transactions and relationships?	Material transaction parties are regular and known and appropriate disclosures are made in the financial statements. Contracted relationships are subject to the Council's CPRs and OJEU regulation where applicable
2. Confirm that you have: <ul style="list-style-type: none"> disclosed to the auditor the identity of the entity's related parties and all the related party relationships and transactions of which you are aware; and appropriately accounted for and disclosed such relationships and transactions in accordance with the requirements of the framework. 	Yes Yes

Enquiries of the Council	
Question	Response
1. How does the Council, in its role as those charged with governance, exercise oversight of management's processes to identify, authorise, approve, account for and disclose related party transaction sand relationships?	This is delegated to the S151 officer through control processes. Necessary and appropriate disclosures are made in the statement of accounts which is reviewed by Audit Committee and approved by Council.

Agenda Item 12.

Report of the Head of Democratic Services

Council – 24 August 2017

DEMOCRATIC SERVICES ANNUAL REPORT 19 MAY 2016 – 24 MAY 2017

Purpose:	To provide the Democratic Services Annual Report for the period 19 May 2016 to 24 May 2017. The report outlines the work of the Committee during that period.
Policy Framework:	None.
Consultation:	Access to Services, Finance, Legal.
FOR INFORMATION ONLY	
Report Author:	Huw Evans - Head of Democratic Services
Finance Officer:	Carl Billingsley
Legal Officer:	Tracey Meredith
Access to Services Officer:	Phil Couch

1. Introduction

- 1.1 The Local Government (Wales) Measure 2011 required each Principal Council to establish a Democratic Services Committee. The Annual Meeting of Council held on 24 May 2012 originally established the Democratic Services Committee.
- 1.2 Councillor P M Black was appointed Chair of the Democratic Services Committee by Council on 19 May 2016.
- 1.3 The Democratic Services Committee is serviced by the Head of Democratic Services, Huw Evans.
- 1.4 The Democratic Services Annual Report is attached as **Appendix A**.

2. Format of Annual Report

- 2.1 Councillors are asked to comment on the style and format of the Annual Report informally to the Head of Democratic Services as he is keen to ensure that it becomes an informative, easy to read report.

3. Equality and Engagement Implications

- 3.1 An Equality Impact Assessment (EIA) screening process took place prior to the consultation period. The outcome indicated that it was low priority and a full report was not required.

4. Financial Implications

4.1 There are no financial implications associated with this report.

5. Legal Implications

5.1 There are no legal implications other than those set out in the body of the report.

Background Papers: None.

Appendices:

Appendix A	Democratic Services Annual Report 19 May 2016 – 24 May 2017
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**Democratic Services Annual Report
19 May 2016 – 24 May 2017**

Table of Contents	
1	Foreword by the Chair of the Democratic Services Committee
2	Membership of the Democratic Services Committee
3	Dates of the Democratic Services Committee Meetings
4	Attendance Figures by the Members of the Democratic Services Committee
5	Democratic Services Committee - Terms of Reference
6	Activities of the Democratic Services Committee
7	Work Programme 2017-2018
8	Democratic Services Team 19 May 2016-24 May 2017
9	General Information

1. Foreword by the Chair of the Democratic Services Committee

- 1.1 During 2016-2017, the Democratic Services Committee focussed its work on technology and its potential to assist Councillors. It also reviewed the allowances in order to assist Councillors in carrying out their duties.
- 1.2 The “Councillor ICT - May 2017 and Beyond” report led to a wider discussion at Council prior to it being adopted by Cabinet. This report set out the allowances for Councillors in relation to ICT together with the other allowances available to Councillors.
- 1.3 The big innovative lead from the Democratic Services Committee during the period was the drive for Councillors to take up the mantle of the Sustainable Swansea – Fit for the Future programme for Councillors to embrace the Self Service model. Following a recommendation from the Committee, Council adopted this policy meaning that Councillors now submit their allowance and expenses claims via the Oracle system.
- 1.4 Councillor Annual Reports are another area on which the Committee has focussed its attention. It is pleasing to note the steady progress in the number of Councillors making use of the facility.
- 1.5 During the year, we examined how to make greater use of digital technology with an aim to assisting Councillors in their roles. This meant the standardisation of the use of Modern.gov software for all agendas and minutes including those of scrutiny.
- 1.6 This has been a busy period for the Democratic Services Committee. I would like to extend my thanks and appreciation to the Committee for their time, dedication and support.
- 1.7 A number of officers have helped considerably with the work of the Committee. In particular, I would mention Huw Evans, Head of Democratic Services, Allison Lowe, Democratic Services Officer and the Democratic Services Team.

Councillor P Black
Chair of Democratic Services Committee

2. Membership of the Democratic Services Committee

- 2.1 The membership of the Democratic Services Committee for the period 19 May 2016 – 24 May 2017:

Councillor	Councillor
Peter Black (Chair)	Jeff W Jones
Bob Clay	Erika T Kirchner
Anthony C S Colburn	David J Lewis
Jan Curtice	Keith E Marsh
Nick J Davies (Vice Chair)	Geraint Owens
Joe Hale	Lesley V Walton

3. Dates of the Democratic Services Committee Meetings

- 3.1 The Democratic Services Committee met 3 times during this period.

28 June 2016	20 December 2016
18 October 2016	

4. Attendance Figures by the Members of the Democratic Services Committee

- 4.1 The attendance figures for each member of the Democratic Services Committee are set out below.

Councillor	Possible	Actual	Attendance by Percentage
P Black	3	3	100%
B Clay	3	0	0%
A C S Colburn	3	3	100%
J P Curtice	3	0	0%
N J Davies	3	3	100%
J Hale	3	2	66%
J W Jones	3	2	66%
E T Kirchner	3	2	66%
D J Lewis	3	1	33%
K E Marsh	3	3	100%
G Owens	3	1	33%
L V Walton	3	3	100%

5. Democratic Services Committee - Terms of Reference

The remit of the Democratic Services Committee is set out in **Section 11 of the Local Government (Wales) Measure 2011** and is to:

- 5.1 Exercise the function of the local authority under section 8(1)(a) Local Government (Wales) Measure 2011 (designation of Head of Democratic Services).
- 5.2 Review the adequacy of provision by the authority of staff, accommodation and other resources to discharge Democratic Services functions, including:
 - a) Achievement of the Welsh Local Government Association's (WLGA) Member Support and Development Charter;
 - b) Councillor Training;
 - c) Improvements and innovations such as electronic voting, web casting etc.
- 5.3 Make reports and recommendations to the authority in relation to such provision.
- 5.4 It is for a Democratic Services Committee to determine how to exercise those functions.
- 5.5 To determine whether or not the Councillors period of family absence should be cancelled in accordance with Regulation 34 of the Local Government (Wales) Measure 2011.
- 5.6 To determine whether or not to withhold a Councillor's Remuneration should they fail to return following a period of family absence on the date specified in the notice provided.

6. Activities of the Democratic Services Committee

- 6.1 During the municipal year 2016-2017 the Democratic Services Committee has undertaken a range of activities. The activities are listed below together with a brief synopsis of the work.

6.2 Councillor ICT – May 2017 & Beyond

The Committee received a presentation from the Interim Chief Transformation Officer and ICT Strategic Performance Manager outlining the Future provision of ICT for Councillors from May 2017 onwards.

They outlined the current arrangements, the Digital Strategy for Councillors, what currently works well, together with the known issues that had been identified.

Meetings with the Political Groups were arranged and further updates provided.

6.3 Councillors – Self Service

The Head of Democratic Services reported on the Authority's intention to move Councillors to the ISIS (now Oracle) Self Service package, which would include:

- Payslips, P60's and P11d's;
- Changes to personal details (address, bank, etc);
- Car Parking Permits;
- Mileage and Expenses claims.

6.4 Modern.gov

The Committee received information in relation to the Modern.gov app that was available in order to view agenda packs electronically. This was deemed excellent progress in assisting the modern Councillor to carry out their duties.

6.5 Councillors Broadband and Telephone, ICT and Mobile Phone Allowances – May 2017 & Beyond

(Further to 6.2 above) The Head of Democratic Services, Chief Transformation Officer and ICT Strategic Performance Manager presented a report which sought to review the "Councillors ICT May 2012 and Beyond" policy thereby ensuring that Councillors are provided with an ICT provision suited to their needs and is compliant with the determination of the Independent Remuneration Panel for Wales (IRPW).

The recommendations were then forwarded to both Council prior to Cabinet in order to obtain additional comments from other Councillors.

6.6 Independent Remuneration Panel for Wales – Draft Annual Report 2017-2018 - Consultation

The Committee considered the draft Annual Report published by the Independent Remuneration Panel for Wales and provided a draft response, which was considered by Council prior to submission.

6.7 Use of Modern.gov Software by Scrutiny Team.

The Head of Democratic Services provided a report outlining when the Scrutiny Team would commence using the Modern.gov software.

Training was provided to the Scrutiny Team in the New Year to ensure they were proficient in use of the Modern.gov software system prior to May 2017.

6.8 Democratic Services Annual Report 2015-2016.

The Head of Democratic Services presented the Democratic Services Annual Report 2015-2016 which outlined the work of the Committee during the period 19 May 2015 – 18 May 2016.

7. Work Programme 2017-2018

7.1 The Committee will consider its work programme at its first meeting.

8. Democratic Services Team 19 May 2016-24 May 2017

8.1 The Team Structure for Democratic Services and Scrutiny for the period 2016-2017 are set out below. The Posts are all 1 Full Time Equivalent (fte) unless otherwise stated.

8.2 Democratic Services Team

Job Title	Officer Name	Notes
Head of Democratic Services	Huw Evans	-
Democratic Services Officer (0.5 fte)	Samantha Woon	Part time from 21.11.2016
Democratic Services Officer (0.5 fte)	Kate Jones	Part time from 21.11.2016
Democratic Services Officer	Gareth Borsden	-
Democratic Services Officer	Jeremy Parkhouse	-
Democratic Services Officer	Allison Lowe	-
Democratic Services Support Officer	Caroline Davies	-
Democratic Services Administrative Assistant	Karen Thomas	-
Democratic Services Support Assistant	Diane Clatworthy	-
Democratic Services CCMS Support Assistant	Suzanne Mort	From 24.03.2016 Up to 24.05.2017

8.3 Scrutiny Team

Job Title	Officer Name	Notes
Scrutiny Manager	Dave Mckenna	-
Scrutiny Coordinator	Brij Madahar	Post changed to Scrutiny Team Leader (effective 1 May 2017) due to Scrutiny Manager's planned departure (30 June 2017) and deletion of post.
Scrutiny Officer	Delyth Davies	Up to 13.01.2017
Scrutiny Officer (0.8 fte)	Rosie Jackson	Up to 10.02.2017

Scrutiny Officer	Michelle Roberts	-
Scrutiny Research Officer (0.6 fte)	Jenna Tucker	-
Scrutiny Officer	Liz Jordan	From 01.05.2017
Scrutiny Officer	Bethan Hopkins	From 18.04.2017 (12 months temporary)

9. General Information

- 9.1 The Democratic Services Committee is keen to see members of the public attending its Meetings. With the exception of confidential items, all business is held in public. All of the public papers are published online www.swansea.gov.uk

Further information can be provided by Democratic Services: Democratic.Services@swansea.gov.uk or on 01792 63 6923

Report of the Cabinet Member for Service Transformation and Business Operations

Council – 24 August 2017

MEMBERSHIP OF COMMITTEES

Purpose:	Council approves the nominations/amendments to the Council Bodies.
Policy Framework:	None.
Consultation:	Political Groups.
Recommendation:	It is recommended that: 1) the amendments to the Council Bodies listed in paragraph 2 be approved.
Report Author:	Gareth Borsden
Legal Officer:	Tracey Meredith
Finance Officer:	Carl Billingsley
Access to Services Officer:	N/A

1. Introduction

- 1.1 Meetings of Council regularly agree and amend the membership of the various Committees/Council Bodies as reflected in the lists submitted by the Political Groups.

2. Changes to Council Body Membership

- 2.1 The political groups have indicated that they have changes to the following Council Bodies:

Corporate Parenting Board

Remove Councillor E T Kirchner

Add Councillor A Pugh

Economy & Infrastructure Policy Development & Delivery Committee

Add Councillor T M White

3. Outside Bodies

- 3.1 The Leader has made the following amendments to the bodies listed below:

ABMU Community Health Council – Remove Councillor M C Child &

Add Councillor M Sykes

4. Financial Implications

4.1 There are no financial implications associated with this report.

5. Legal Implications

5.1 There are no legal implications associated with this report.

Background Papers: Local Government & Housing Act 1989, the Local Government (Committees & Political Groups) Regulations 1990.

Appendices: None

Council – 24 August 2017

COUNCILLORS' QUESTIONS

PART A – SUPPLEMENTARIES

1	<p>Cllrs M H Jones, A M Day & C A Holley</p> <p>Will the Cabinet Member tell Council when are we going to have full functionality when working from home on Office 365.</p> <p>Response of the Cabinet Member for Service Transformation & Business Operations</p> <p>Full functionality of Office 365 for Councillors includes the following, the status of each is detailed:</p> <ul style="list-style-type: none"> • Office Applications (Word, Excel and PowerPoint) - available to all. Functionality does vary dependent on the device used to access the applications. This is out of the Council's control and relates to Apple preferring users to make use of their own brand applications, limiting the functionality of Microsoft Office. • Councillor Casework Manager – Available to all Cllrs • Modern.gov – Available to all Cllrs • OneDrive – Available to store email attachments and documents created in Office 365. Documents currently stored on the Councillors personal H: drive are available as soon as they move the items into OneDrive. Staff contact details have been made available to support Cllrs to undertake the actions required. • Email – One year of email is currently available to all. With regards to accessing archived/vault email, a third party solution has been procured via tender within the last 2 weeks and pilot user testing will start end August 2017. If all goes well Cllrs archived email will start migration in September 2017. • Contacts – Email contacts are available to all, see new staff directory below regarding staff telephone contact details • Calendar – Available to all • Skype for Business (instant messaging, voice and video calling) – Available to all once the Skype for Business app has been downloaded to your device. Functionality is dependent on the device used to connect. A camera is required to make video calls, although video can be received without a camera; Voice calls will require sound and microphone. • New Staff Directory – Estimated availability week beginning 7th August. This currently has 1,600 staff details recorded, ongoing communications will be going out to staff to ensure that all staff details are updated. Functionality will therefore improve as time goes on. • Yammer (Organisation wide Social Network app, similar to What's App and Facebook) – is available to all to add content but third party support is required to clean up the previous 800 accounts and bring them onto the new platform. Estimated go live March 2018 • StaffNet – Is in the final phase of testing, estimated go live end of August 2017, Oracle is unlikely to be available within the first roll out. • Oracle – Third party support is continuing, no estimated timescale available at this time.
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	<ul style="list-style-type: none"> • Newsfeed – This functionality is currently not available. This will be service driven and co-ordinated by the Corporate Communications Team. This part of the functionality has not been prioritised above the other features being deployed. • SharePoint (team document area, will eventually replace shared network drives and team folders) – Councillors can view documents populated by colleagues within Democratic Services. SharePoint itself is part of the Enterprise Content Management (ECM) project covering document management throughout the Council, due to complete July 2018. • Planner (a place for team members to create plans, organise and assign tasks to different users and check updates on progress. It also provides a place where files can be shared and gives visibility to the whole team) – available to all, support available from the Get Swansea Online Project Co-ordinator • Tasks (create and manage your to-do list) – available to all, support available from the Get Swansea Online Project Co-ordinator • Delve (manage your O365 profile and discover/organise the information that is available and likely to be of interest to you) – available to all, support available from the Get Swansea Online Project Co-ordinator • Video (store and share video content) – available to all, support available from the Get Swansea Online Project Co-ordinator • Sway (Create and share interactive reports and presentations) – available to all, support available from the Get Swansea Online Project Co-ordinator
2	<p>Cllrs C A Holley, M H Jones & J W Jones</p> <p>Will the Leader/Cabinet Member tell Council if they are in position to let us know what is expected to replace the Community First budgets.</p> <p>Response of the Cabinet Member for Stronger Communities</p> <p>Communities First Funding 2017/18 Funding of £1,991,368 has been awarded to Swansea for this Transition Year. This represents 70% of the funding that was made available for 2016/17.</p> <p>We are phasing out the Communities First Programme mid-year in line with three other local authorities across Wales selected to become Early Adopters of an Employability Grant. The early adoption will be within this year's Communities First funding allocation.</p> <p>Employability Grant The Welsh Government's Employability Grant will provide £12m per year across Wales from April 2018 to organisations receiving Communities for Work funding. At this time the amount of funding that will be available to Swansea has not been confirmed, but we are estimating that £1.2m of funding will be awarded to Swansea. Employability Grant funding has been confirmed until 31st March 2020.</p> <p>The Employability Grant is principally to secure the infrastructure required to support the Communities for Work Programme and take forward the learning from the LIFT Programme. It will have the flexibility to provide employment</p>

	<p>support to individuals not eligible for Communities for Work and will also work beyond traditional Communities First boundaries where this is agreed locally and approved by Welsh Government. The grant will support intensive employability mentoring through a provision of Employability Mentors, Participation Engagement and Support Officers and an Employer Engagement Officer.</p> <p>Detailed guidance and performance framework have not yet been issued.</p> <p>Legacy Fund An indicative figure of £537,067 has been provided for 2018/19. This funding will primarily support the delivery of the Employability Grant and the priorities of the Public Service Board. Ongoing discussions are taking place with Welsh Government as they develop their guidance for this funding.</p>
3	<p>Cllrs C A Holley, P M Black & L G Thomas</p> <p>Will the Leader/Cabinet Member tell Council what actions are being taken to help with the high cost of transport for our young people during the school holidays.</p> <p>Response of the Leader/Cabinet Member for Environment Services</p> <p>The majority of bus services in Swansea are provided on a commercial basis by bus operators who determine the fares to be charged. Most operators offer reduced fares for children and young people usually 1/3 off the adult fare up to age 16.</p> <p>The Council does not have any bespoke travel schemes for young people but works with other Councils and bus operators to promote and administer the My Travel Pass Scheme which is funded by the Welsh Government for 16-18 year olds. This allows pass holders to travel on local bus services and the Traws Cymru long distance bus services at 2/3 of the normal adult fare. In the first 2 years of the Scheme, Swansea had the highest take up of these passes in Wales.</p> <p>Details of the My Travel Pass Scheme can be found at: https://mytravelpass.gov.wales/en/</p> <p>A Swansea Resident's Discount Card is also being developed which will give all children and adults living in the City discounts on lots of services not just bus travel.</p>
4	<p>Cllrs E W Fitzgerald, D G Sullivan, S M Jones, L James, K M Griffiths & G D Walker.</p> <p>An independent inspector recently overturned a decision of Planning Committee to give the go-ahead for the construction of a 500 bed student block on a designated employment site in SA1. The Inspector's comment was that there had been no takers for this site despite years of 'active marketing'. Isn't it time that other identified employment sites that have had huge investment put into them and have likewise been actively marketed, without success, were also made available for housing.</p>

	<p>Response of the Cabinet Member for Commercial Opportunities & Innovation</p> <p>No representations were received in response to the consultation on the Deposit LDP proposing alternative uses at existing employment sites.</p> <p>The LDP policies relating to employment sites and the plan's economic development strategy are underpinned by detailed analysis undertaken by independent consultants Peter Brett Associates (Economic Assessment and Employment Land Provision Study, 2012) which was formulated on a cross boundary basis and has already been 'tested' at the Neath Port Talbot BC LDP examination. The allocations made in the Swansea LDP are in alignment with this evidence. Following the LDP Deposit consultation period, further analysis of these matters has been undertaken by independent consultants Turley (2017 Review of Swansea LDP Growth Strategy and Evidence Base), the results of which further support the Swansea LDP Strategy.</p> <p>This evidence will now be independently considered at the Swansea LDP examination when the Inspector will consider the robustness and viability of our plan and that will provide an up to date view on the deliverability of our employment sites and their role in supporting growth.</p>
5	<p>Cllrs L J Tyler-Lloyd, W G Thomas & L R Jones</p> <p>Friends of the Botanical Gardens would like to use their skills to support the bid for Swansea to be the City of Culture. Is any financial support available to aide their efforts to provide History Boards and innovative digital technology for the trails they want to produce for enhancement of our parks.</p> <p>Response of the Cabinet Member for Culture, Tourism & Mayor Projects</p> <p>Unfortunately funding will not be available through the UK City of Culture for this type of project. However the Authority has a very positive relationship with the Friends of the Botanical Gardens and this partnership has delivered a number of excellent projects in recent years.</p> <p>Therefore, although direct Council financial support may be limited, officers will work with the Friends to develop this idea further and to identify appropriate sources of external match funding.</p>
6	<p>Cllrs B J Rowlands & M A Langstone</p> <p>How many diesel vehicles do the Council operate. When was the last diesel vehicle purchased. What percentage of the fleet does this represent & what other forms of fuel is used to power the remainder of the Councils fleet of vehicles across all services.</p> <p>Response of the Cabinet Member for Environment Services</p> <p>The Council operates 769 diesel powered vehicles.</p> <p>The latest purchase was a VW Caddy wheelchair adapted vehicle for Social Services in July 2017. Diesel represents 98.6% of the whole fleet profile. 11 Full electric cars make up the remainder of the fleet. There are no petrol vehicles.</p>

	<p>However, the council has recently completed a tendering exercise to procure up to 40 electrical vehicles which it intends to begin ordering in the next few weeks in line with the required charge point infrastructure works. This would increase the amount of electric vehicles to in the region of 5% and the council is committed to increasing the percentage further over coming years.</p>
7	<p>Cllr P M Black & J W Jones</p> <p>What is the projected deficit for Adult Social Services in the first quarter of 2017-18.</p> <p>Response of the Cabinet Member for Health & Wellbeing</p> <p>The forecast deficit for adult services at quarter 1 is £4310k.</p> <p>In broad terms the pressures relate to 3 key areas of high spend</p> <ol style="list-style-type: none"> 1) Domiciliary care: £1000k pressure. 2) Residential care: £500k pressure. 3) Complex mental health and learning disability care packages: £2000k pressure. <p>These pressures are a combination of two main factors: Care packages are subject to significant inflationary pressures that increase the like for like costs of care year on year. Demographic pressure and the changing expectations of citizens increase demand year on year.</p> <p>This highlights the importance of implementing the Council's optimal model for adult social care which emphasises new models of service delivery with a focus on prevention and promoting safe independence.</p> <p>A 3 year plan to deliver financially sustainable adult services is in place and subject to quarterly monitoring.</p> <p>As in previous years further management action will continue to be taken to mitigate the in year forecast overspend.</p>
8	<p>Cllr Peter May & Irene Mann</p> <p>When will the HMO Licensing policy next be reviewed.</p> <p>Response of the Cabinet Member for Commercial Opportunities & Innovation</p> <p>The HMO Licensing Policy 2016 was adopted by Council in November 2015 and the renewal of the Additional HMO Licensing Scheme for Castle and Uplands took effect in March 2016. The Policy will be reviewed prior to the expiry of the Additional Licensing Scheme for Castle and Uplands Wards in November 2020. This is expected to commence in late 2019.</p>

	PART B – NO SUPPLEMENTARIES		
9	<p>Cllrs C A Holley, L G Thomas & C L Philpott</p> <p>The Council currently run the majority of Leisure Centres are there any plans to change this.</p> <p>Response of the Cabinet Member for Culture, Tourism & Major Projects</p> <p>Following the Cultural Services Commissioning Review and in a drive to sustain our leisure and cultural attractions, a series of key steps were undertaken to assess the most appropriate and effective model of delivery in order to sustain the outcomes. There was a strong evidence base that other organisations in the marketplace could be interested in partnering with Swansea to operate our Leisure Centres at less cost and improved outcomes. However, it was agreed that any partnership model needs to be compared to the other options available, including transformed in-house.</p> <p>Partnership arrangements with third parties are not a new concept within Swansea, with a number of key facilities already being operated successfully in this way, including the LC, Wales National Pool and The Tennis Centre. The lease and management agreement of The LC to the current operator Bay Leisure Ltd is due to expire in 2018, therefore the need to re-procure a service here has been incorporated into the wider strategy to assess options within the community and dual use leisure centres including; Penlan, Bishopston, Penyrheol, Cefn Hengoed, Pentrehafod, Morryston and Elba .</p> <p>Following an initial Pre-qualification stage in late 2016, interest was invited as part of a formal competitive dialogue procurement process from selected shortlist of third parties, including not-for-profit organisations. This process commenced in April 2017 and submissions are due with the Council mid-August. Following the procurement evaluation phase, a report will be considered by Members in the autumn to determine the recommended next steps and other options available.</p>		
10	<p>Cllrs Mike Day, Jeff Jones, Mary Jones</p> <p>Will the Cabinet Member tell Council how many headteachers left the employ of the council at the end of the 2016/7 academic year, giving the reasons for each, how many have already been replaced by permanent appointments and how many vacancies there are yet to be filled as at 31 July 2017.</p> <p>Response of the Cabinet Member for Children, Education & Lifelong Learning/ Service Transformation & Business Operations</p>		
REASON	NUMBER WHO HAVE LEFT	POSTS THAT HAVE BEEN FILLED	POSTS NOT YET FILLED
RESIGNATION	13	11 and 2 Acting Heads	2 to be filled on a permanent basis (currently covered by Acting Heads in 'Posts filled' column)

EARLY RETIREMENT	2	2 Acting Heads	2 to be filled on a permanent basis (currently covered by Acting Heads in 'Posts filled' column)
TOTAL	15	15	4

11 **Cllrs A M Day, C A Holley & M H Jones**

Will the Cabinet Member tell Council the following:

- The number of teaching staff who left employment with Swansea Council due to voluntary early retirement
- The cost of agreeing to those staff leaving on VER.
- The number of school support staff who left employment due to voluntary early retirement
- The cost of agreeing to those support staff leaving on VER
- The number of teaching staff who left employment due to compulsory redundancy
- The cost of redundancy and other payments to those staff made redundant
- The number of support staff who left employment due to compulsory redundancy
- The cost of redundancy and other payments to those staff made redundant
- The number of teaching and support staff whose contractual working arrangements have been reduced.
- Any known impact of these staffing reductions on things like class sizes, subject choices and extra- curricular activities

Response of the Cabinet Members for Children, Education & Lifelong Learning & Service Transformation & Business Operations

NO.	QUESTIONS	RESPONSE
a.	The number of teaching staff who left employment with Swansea Council due to voluntary early retirement	18 on VR 18 on ER/VR 9 on ER
b.	The cost of agreeing to those staff leaving on;	
	i) Early Retirement/Voluntary Redundancy (ER/VR)	£1,098,128.40
	ii) Early Retirement(ER)	£366,709
	ii) Voluntary Redundancy (VR)	£534,453.98
c.	The number of school support staff who left employment due to voluntary early retirement	13 on VR 16 on ER/VR 2 on ER
d.	The cost of agreeing to those support staff leaving on ER, ER/VR and VR	VR cost - £158,344.09 ER/VR cost - £225,415.52 ER cost - £16,595.34
e.	The number of teaching staff who left employment due to compulsory redundancy	1
f.	The cost of redundancy and other payments to those	£22,006.85

	teaching staff made compulsory redundant	
g.	The number of support staff who left employment due to compulsory redundancy	3
h.	The cost of redundancy and other payments to those support staff made redundant	£25,378.76
i.	The number of teaching and support staff whose contractual working arrangements have been reduced.	This information is kept by each School; not by the Council.
j.	Any known impact of these staffing reductions on things like class sizes, subject choices and extra-curricular activities	It terms of impact, it is worth noting that potential negative impact in each individual business case is examined by headteachers (in the case of teachers). Business cases for ER/VR are signed by challenge advisers on the understanding that detrimental impact has been mitigated against. In addition, all redundancies have been considered in light of delivery of the curriculum management of which lies with each school and governing body.