



## City and County of Swansea

### Notice of Meeting

You are invited to attend a Meeting of the

## Cabinet

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

**On:** Thursday, 19 October 2017

**Time:** 2.00 pm

**Chair:** Councillor Rob Stewart

**Membership:**

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

---

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

### Agenda

### Page No.

1. **Apologies for Absence.**
2. **Disclosures of Personal and Prejudicial Interests.**  
[www.swansea.gov.uk/disclosuresofinterests](http://www.swansea.gov.uk/disclosuresofinterests)
3. **Minutes.** 1 - 3  
To approve & sign the Minutes of the previous meeting(s) as a correct record.
4. **Leader of the Council's Report(s).**
5. **Public Question Time.**  
Questions must relate to matters on the open part of the Agenda of the meeting and will be dealt within a 10 minute period.
6. **Councillors' Question Time.**
7. **Pre Decision Scrutiny Feedback - Castle Square Regeneration.**
8. **Castle Square Regeneration.** 4 - 25
9. **Annual Review of Performance 2016/17.** 26 - 99
10. **Local Authority Governor Appointments.** 100 - 101

- |  |           |
|--|-----------|
| 11. Complaints Annual Report 2016-17.  | 102 - 143 |
| 12. Digital Strategy Implementation Update.  | 144 - 152 |
| 13. 21st Century Schools Programme - New Build for Gorseinon Primary School at Parc Y Werin, Gorseinon, Swansea. | 153 - 203 |
| 14. Member's Community Budget - Updated Guidance.  | 204 - 223 |
| 15. FPR7 Report - Capital Investment in Energy Efficiency Measures Within Council Assets.                        | 224 - 233 |
| 16. FPR7 Report - The Kingsway Infrastructure Project.   | 234 - 238 |
| 17. Public Protection Commissioning Review Option Appraisal Report.  | 239 - 264 |

**Next Meeting:** Thursday, 16 November 2017 at 10.00 am

*Huw Evans*

**Huw Evans**  
**Head of Democratic Services**  
**Tuesday, 10 October 2017**

---

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



City and County of Swansea

## Minutes of the **Cabinet**

Council Chamber, Guildhall, Swansea

Thursday, 21 September 2017 at 10.00 am

**Present:** Councillor R C Stewart (Chair) Presided

**Councillor(s)**

M C Child  
C E Lloyd  
M Thomas

**Councillor(s)**

W Evans  
J A Raynor

**Councillor(s)**

R Francis-Davies  
M Sherwood

**Apologies for Absence**

Councillor(s): D H Hopkins and A S Lewis

---

### 49. Disclosures of Personal and Prejudicial Interests.

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

### 50. Minutes.

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

- 1) Cabinet held on 17 August 2017;
- 2) Special Cabinet held on 5 September 2017.

### 51. Leader of the Council's Report(s).

The Leader of Council made no announcements.

### 52. Public Question Time.

No public questions were asked.

### 53. Councillors' Question Time.

No Councillors questions were asked.

### 54. Quarter 1 2017/18 Performance Monitoring Report.

The Cabinet Member for Service Transformation & Business Operations submitted a report which detailed the corporate performance for Quarter 1 2017-2018.

**Resolved that:**

- 1) The performance results be noted and reviewed to help inform executive decisions on resource allocation and, where relevant, corrective actions to manage and improve performance and efficiency in delivering national and local priorities.

**55. Equality Review Report 2016-17.**

The Cabinet Member for Future Generations submitted a report which presented the Annual Equality Review Report for 2016-2017 as required by the Public Sector Equality Duty for Wales.

**Resolved that:**

- 1) The report content be approved for publication and submission to the regulator (Equality & Human Rights Commission) subject to the following amendment being made to Page 75, Finance & Delivery, Column 3, Second Paragraph:

Delete the words "...or failed to attend..." and replace with "...or did not attend...".

**56. Financial Procedure Rule 7 Local Transport Network Fund Grant 2017/18.**

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

**Resolved that:**

- 1) The project, together with its financial implications, be approved and included in the 2017-2018 Capital Programme.

**57. Western Bay Youth Justice and Early Intervention Service Annual Youth Justice Plan 2017/2018.**

The Cabinet Members for Health & Wellbeing submitted an information report which presented the background and summary content of the Western Bay Youth Justice and Early Intervention draft annual Youth Justice Plan 2017-2018.

**58. Exclusion of the Public.**

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

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

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

**(Closed Session)**

**59. Disposal of Pipehouse Wharf Depot, Morfa Road, Swansea.**

The Cabinet Member for Service Transformation & Business Operations submitted a report which considered options for the disposal of the Pipehouse Wharf Depot, Morfa Road, Swansea.

**Resolved** that the recommendation(s) as set out in the report be approved subject to recommendation 2 being amended as stated at the meeting.

The meeting ended at 10.27 am

**Chair**

# Agenda Item 8.



## Report of the Cabinet Member for Culture Tourism & Major Projects

Cabinet – 19 October 2017

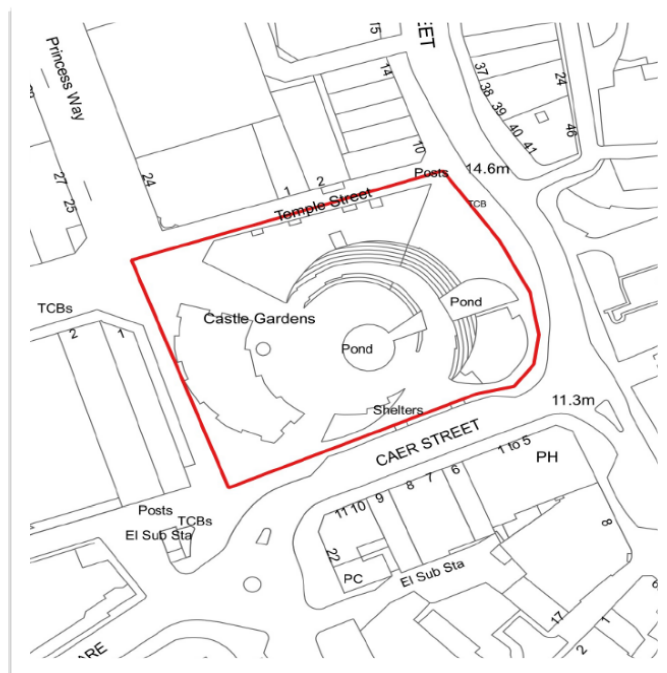
### Castle Square Regeneration

<b>Purpose:</b>	To present an appraisal of options for the siting of a partial development opportunity, options in terms of delivery mechanisms and key principles for a preliminary Development, Public Realm and Marketing brief to support the enhancement and partial development opportunity within part of Castle Square.
<b>Policy Framework:</b>	Swansea Local Development Plan: Deposit Plan (2016), Swansea Unitary Development Plan (2008), Swansea Central Area Regeneration Framework (2016)
<b>Consultation:</b>	Access to Services, Finance, Legal, Highways and Transportation, Culture and Tourism, City Centre Management, Planning.
<b>Recommendation(s):</b>	It is recommended that: -  <ol style="list-style-type: none"><li>1) From the available delivery options the preferred approach is that Swansea Council act as developer with an external development manager procured for the enhancement and partial development opportunity within Castle Square;</li><li>2) Authority is delegated to the Director of Place to proceed with the preparation of a Development, Public Realm and Marketing Brief, which identifies a development opportunity preferably at Location Options 1 and 3, but does not preclude innovative and justified design solutions which align with the key objectives and principles identified in the Preliminary Brief.</li></ol>
<b>Report Author:</b>	<b>Gail Evans</b>
<b>Finance Officer:</b>	<b>Ben Smith</b>
<b>Legal Officer:</b>	<b>Debbie Smith</b>
<b>Access to Services Officer:</b>	<b>Phil Couch</b>

## 1. Introduction

- 1.1 A report was presented to Cabinet on 16th June 2016 which initially highlighted the opportunity for the partial development and enhancement of public realm within Castle Square. This was responding directly to a speculative approach by a developer, and to facilitate future proposals a formal public open space notice was published in during July 2016.
- 1.2 A further Cabinet report to members in March 2017 set out the main themes emerging from the representations received to the publication of the formal Public Open Space notice. The process highlighted concerns about its tired and dated appearance and more fundamentally the positives of the opportunities provided by the space, and importance of the Square as part of the fabric of the City centre. The responses provided a clear view that the Square should remain in public control and for use and enjoyment for a range of uses and events. The report and accompanying appraisal also highlighted how there is an opportunity to introduce an element of commercial activity within a significantly enhanced public realm which should be complementary to the City Centre Regeneration Strategy, designated heritage and emerging new proposals for priority areas such as Swansea Central.
- 1.3 In line with the recommendations of the March Cabinet report, this report considers further the viability of a range of development options for Castle Square and clarifies the role of the Council and/or any development partner in delivering a development opportunity and enhancement. It also incorporates key themes and principles for inclusion within a draft Development and Marketing brief.

Plan 1 Castle Square: Location and Extent of Square



## **2.0 Scope and Options for Partial Development and Enhancement**

**2.1** In the light of the key themes raised through the previous Appraisal study and having regard to the scope of issues and comments raised through the consultation exercise, a range of key objectives for a future Development Brief are set out below:

- There is an opportunity to introduce an element of commercial activity into the Square in the form of restaurant / food kiosks with external seating. The type and quantum of uses should complement the Central Area and not compete with the new Swansea Central development.
- Any new building/s and public realm enhancements must be of a high quality design and sustainable, and should complement Swansea's Central Area and its heritage. It should also create well designed linkages and integrate the surrounding area including in particular the Castle and St. Marys Square and church, and proposals should align with the Swansea Central Area Regeneration Framework (2016).
- The Castle Square space needs to work as a destination throughout the year, and be practical for events, commercial, seasonal, cultural opportunities and play and activity. This could include the removal/reconfiguration of the water pool/fountain to create a more flexible and inviting space potentially including water jets that encourage play and can be switched off for events.
- An overall principle of retaining and enhancing public access and contributing to a "greener City centre", and any proposal should not result in the net loss of useable public open space.
- The development and public realm proposals must be designed and implemented comprehensively. It is essential that this project achieves a balance of public realm enhancement and commercial development. Commercial development without public realm enhancement will not be acceptable.

### **Options Appraisal and Development Viability**

**2.2** In the light of the development appraisal exercise and the objectives set out above a number of potential options were identified for potential partial commercial development. These vary in the intensiveness of the reconfiguration from insertion of pavilions within the existing public realm design, to partial development on one side of the Square, right through to complete redevelopment and re configuration. Initial assessments in the context of the appraisal of the Square and space available suggests that it could accommodate 1 or 2 restaurant café units (maximum) with a footprint of 200 sq m (300sqm over 2 floors). This size of unit would be available to attract national restaurant chains, and would allow the subdivision if there are smaller occupiers that would offer attractive terms. The development should provide an outdoor seating area, and ideally tis should have a south facing



aspect. There may also be further future opportunities to additionally consider the development of 1 or 2 more limited scale (2.5x 6m) kiosk locations.

### 2.3 Location Options for New Development- are summarised briefly below.

- **Option 1- Temple Street** –Option 1 explores the potential to adapt the existing space to incorporate potential commercial units on underused areas of grass and trees between Temple Street and the amphitheatre steps with a split level access.
- **Option 2- Princess Way**– Option 2 explores the potential to adapt the existing space to incorporate potential commercial units on underused areas of grass and trees with a frontage to Princess Way. This option may be difficult to market due to its aspect to Princess Way.
- **Option 3- Castle Street** – This option explores the potential to redevelop part of Castle Square in the area of the current amphitheatre steps and could extend partially into the area of the existing Square. A unit in this location could include an appropriately design first floor (split level arrangement) to integrate with the fall in levels across the site. This option still retains a generous area of public space directly linked at grade with Princess Way and Oxford Street. The existing elevated grassed areas on the western side of the Square adjacent to Princess Way could also be levelled and enhanced to improve accessibility and usability.
- **Option 4 –Castle Square full decked concept-** This option explores the complete re configuration of the Square including the creation of a new decked public space level and continuous with the Castle and Castle Bailey Street. A number of commercial units would be developed under the deck with ground floor access directly to Princess Way. This has the disadvantage of creating a separation of the public space from the Princess Way and Oxford Street main shopping area, there may also be issues with the configuration and marketability of some of these units. More fundamentally such a development could compete with the Swansea Central development.

2.4 To establish the viability of the development options the Council's consultants Cushman Wakefield have undertaken a high level development appraisal exercise. Appendix 1 sets out plans and further details on the options and the broad outputs from the development appraisal exercise.

2.5 The analysis would suggest that location Options 1 and 3 are viable from a market perspective and a preferred location/design approach. These options do not result in a net loss of available public space, and although a small number of trees would need to be removed this could be mitigated with new appropriate planting. Some integrated seating currently accommodated on the steps would be lost in Option 3, but this loss could be mitigated within a newly designed public realm. New units in either of these locations would also enable the incorporation of south facing frontage which would maximise the opportunity for external seating. Accordingly a preliminary Development, Public Realm and Marketing Brief has been prepared (attached as Appendix 2) which incorporates the key principles for the development and enhancement of Castle Square with particular relevance to these options. This document will be refined as a high quality publication in due course, but will not preclude

innovative and justified designs and solutions which align with the key objectives and principles of the Brief.

### **3.0 Delivery Mechanisms/ Way Forward**

3.1 Given the significant profile and importance of the Castle Square public space in terms of its role and function, including the need for continued management of events and activity, it is important that the Council retains ownership and appropriate control over the space and any commercial development. This requires careful consideration of appropriate delivery mechanisms and the role of the Council and/or delivery partners, and the scope of any long lease provisions.

**Delivery Options:** The options available can be summarised as outlined below:

- 1) **Swansea Council as the developer of the unit(s) and Development Manager** - CCS delivery would mean CCS appointing a professional team including agents to undertake lettings. CCS retains full control over the quality of design, letting, and management of the public realm but also takes the risk and funds the project. A funding partner could be brought in. Potential timescale 22 months.
  - 2) **Swansea Council with an external Development Manager-** The Council could seek to fund a development and enhancement scheme. As Swansea Council do not have the required internal staff resources to act as both developer and development manager, an external Development Manager and professional team would be appointed to support the delivery of the scheme. The Council would retain full control over design, letting and management of the public realm. Fees of 5% would be applicable. Timescale 24 months
  - 3) **Swansea Council Joint venture with a developer-** The Council could procure a development partner through the OJEU process to invest capital and develop out the site. An appropriate proportion of ownership would be transferred post completion. Timescale 30 months.
  - 4) **Swansea Council appoints a developer-** The Council would dispose of a long leasehold interest in the development opportunity under a development agreement. This route would be the subject of a procurement process, and could add 25% to the cost (developer's profit). Timescale 33 months.
- 3.2 Delivery Options (3) and (4) above would take longer, (30-33 months) as they would require an OJEU process which alone could take 9-12 months within the overall delivery timescale. Options (1) and (2) allow Swansea Council more control over the design of the scheme and future management of the public space, and also would take less time to implement and deliver. The Council does not currently have sufficient resources to act as both the developer and development manager as indicated in Option (1). Consequently Delivery Option (2) with the Council as Developer with the appointment of an external Development Manager is the recommended approach for delivering the regeneration of Castle Square.
- 3.3 It is anticipated that any residual value of the land arising from the development opportunity in the Square will need to finance part of the public realm element of the scheme. There are potentially public sector funding sources that may

also be able to assist with the delivery of the wider public realm element of the development which needs to be explored further. To support the delivery of the wider scheme of public realm enhancement part of the rental income will need to be ring fenced for management maintenance and events.

#### **4.0 Equality and Engagement Implications**

- 4.1 Should Cabinet decide to proceed with redevelopment or refurbishment of Castle Square a full Equality Impact Assessment will be required. The EIA will be carried out with guidance from the Access to Services Team and will include, and be informed by, feedback from a wide public consultation on any proposal.

#### **5.0 Financial Implications**

- 5.1 Broad estimates of the costs of construction of the unit/s and comprehensive enhancement of the public realm could be in the order of £7- 8M. The options for Castle Square are part of the wider City Centre regeneration proposals. Whilst there are potential income streams from aspects of the site development options, there are also clear capital costs relating to the public and amenity space which will have to be fully met by the Council. The starting assumption is that the whole development cost is met from additional unsupported borrowing. The revenue consequences of financing that capital borrowing along with the wider plans for capital investment are being taken into account as part of the budget preparation for 2018-19 and medium term financial plan 2019-22. Both will come before Cabinet in due course and Council in February 2018.

#### **6.0 Legal Implications**

- 6.1 Separate legal advice will be required regarding the future disposal of any land at Castle Square in line with any proposals to develop commercial activity at the site through for example the granting of leases to occupiers to operate restaurants on the site, and as public open space, procedures for partial disposal have been followed under the provisions of Section 123(2A) of the Local Government Act 1972.
- 6.2 The Council has a legal obligation under Section 123 of the Local Government Act 1972 and under its own constitution that it shall not dispose of land for a consideration less than the best that can be reasonably obtained. Also before the land is considered for disposal that consideration be given as to any contractual obligations the Council may have in respect of the space and its facilities.
- 6.3 This development opportunity will need to be an open market opportunity rather than dealing with any single developer which could be subject to legal challenge.

#### **Background Papers:**

Castle Square Appraisal (January 2017)

#### **Appendices**

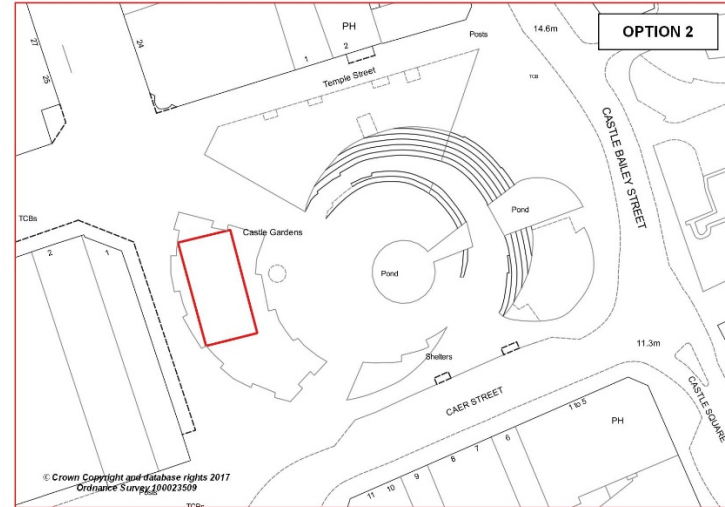
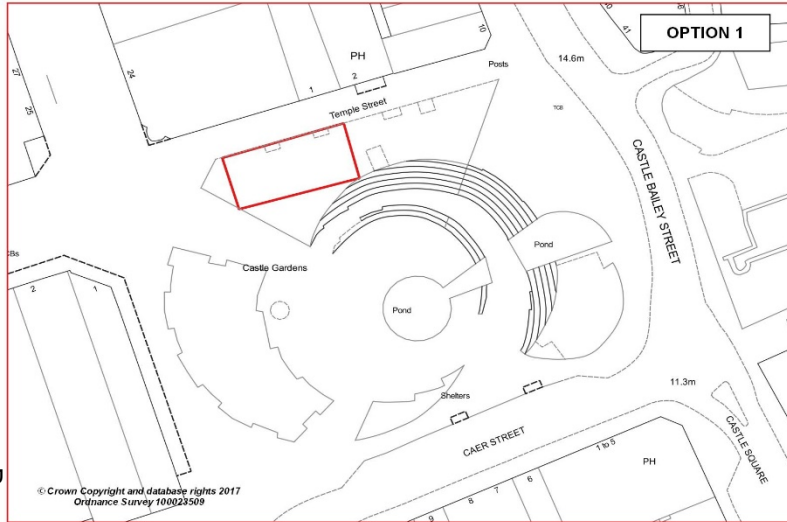
Appendix 1 Appraisal of Options.

Appendix 2 Preliminary Development, Public Realm and Marketing Brief.

# APPENDIX 1 OPTIONS APPRAISAL

## Option 1 Temple Street

## Option 2 Princess Way



Page 10

Option 1 explores the potential to adapt the existing space to incorporate potential commercial units on underused areas of grass and trees between Temple Street and the amphitheatre steps with a split level access.

The location will require the removal of a small number of trees, but the sites would engage with Oxford Street and Castle Square and draw people into the space more effectively.

This development opportunity would need to have fronts on all sides to address the public realm, and orientation /glazing and opportunities for external seating will need further consideration at the design stage.

Option 2 explores the potential to adapt the existing space to incorporate potential commercial units on underused areas of grass and trees with a frontage to Princess Way.

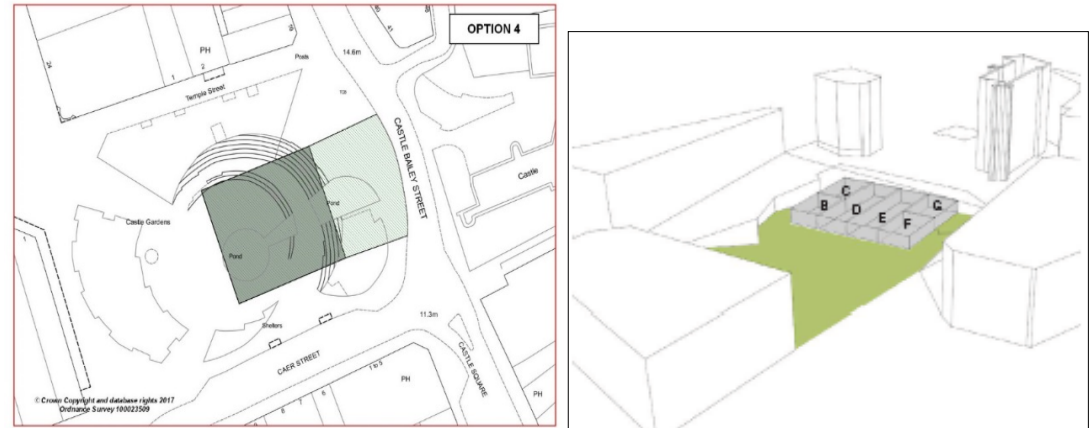
This option would result in the loss of some trees, and underused areas of grass, elevated above the existing ground

This option may be difficult to market due to its aspect to Princess Way facing an existing fast food operator and not likely to be attractive to restaurant operators.

### Option 3 Castle Street



### Option 4 Castle Square



This option explores the potential to redevelop part of Castle Square in the area of the current amphitheatre steps and could extend partially into the area of the existing Square. A unit in this location could include an appropriately design first floor (split level arrangement) to integrate with the fall in levels across the site. This option still retains a generous area of public space directly linked at grade with Princess Way and Oxford Street.

The existing elevated grassed areas on the western side of the Square adjacent to Princess Way could also be levelled and enhanced to improve accessibility and usability. This will have a first floor frontage to Castle Street and Temple Street, a direct south west orientation and partial decking over the Square to provide shade/shelter.

It will require the removal of some of the trees fronting Temple street, but appropriate new planting can be accommodated. Some integrated seating currently on the steps would be lost, but this could be mitigated within a newly designed public realm.

This option has been presented by an interested party which suggests the development of commercial units.

This option explores the complete re configuration of the Square including the creation of a new decked public space level and continuous with the Castle and Castle Bailey Street. A number of commercial units would be developed under the deck with ground floor access directly to Princess Way.

This has the disadvantage of creating a separation of the public space from the Princess Way and Oxford Street main shopping area, there may also be issues with the configuration and marketability of some of these units.

The quantum of development and retail use could potentially have a negative impact on the plans for a retail-led scheme as part of Swansea Central and also the demand for stalls within the nearby market. Units within this scheme may also be difficult to let due to size and configuration.

**Castle Square  
Preliminary Development, Public Realm and  
Marketing Brief**

**Swansea Council  
October 2017**

## **2.0 Background**

Swansea is the regional capital of South West Wales. The city itself is uniquely located on the coastline of the eastern end of the 5 mile sweep of Swansea Bay and at the mouth of the River Tawe. Swansea, along with Neath Port Talbot, Carmarthenshire and Pembrokeshire, is part of the Swansea Bay City Region. The vision for the region is for South West Wales as a confident, ambitious and connected European City Region, by 2030. To achieve this, the Swansea Bay City Region Board will focus on delivering their Economic Regeneration Strategy and continue to engage with business and other interested parties.

The City and County of Swansea has a population of approximately 240,300 people but a total of approximately 550,000 living within a 30 minute drive time of the city. An estimated 1.5 million people live within an hour's drive.

The natural environment in the area includes the highly attractive and distinctive character of the Gower Peninsula ( the UK's First Area of Outstanding Natural Beauty), and the wider catchment area of the city comprises rural areas of Carmarthenshire and Pembrokeshire, with a number of important local towns, such as Neath, Port Talbot, Llanelli and Carmarthen.

Swansea has recently benefitted from a number of key redevelopment projects in and around the city, which have significantly changed the urban environment and perceptions. These include High Street Urban Village, Castle Street Coastal development, significant growth in student accommodation projects and a number of grant funded refurbishment projects that bring vacant urban space back into use. There are a further series of landmark transformational projects underway including the Swansea Central development granted outline permission in 2017, along with a proposed Arena project and City Waterfront development. The Council is leading the regeneration of the Kingsway area, with a focus on creation of a Digital Village with good quality office space and housing. A transformational public realm scheme will simplify and rebalance the Central area's highway network, providing safer spaces for pedestrians set within a new greener environment presenting a high quality environment for living and working.

Castle Square lies at the heart of the Central Area being a stepping stone between the Kingsway, Swansea Central and the City's Waterfront. It is the focal point within the City centre, an important 'place' in the City, overlooked by the landmark Swansea castle. There is an important opportunity to enhance the Square, to raise its quality and to make it a contemporary new public space, in line with other investment taking place in the City. This will happen in partnership with the private sector to deliver a modern, functional and well maintained public space.



### **3.0 Site Description and Context**

Castle Square is owned and maintained by the City and County of Swansea. It is a nodal space located between the City's historic Castle and Oxford Street, the City's main shopping street. It is located to the North of Wind Street, and has a pivotal position in the City centre linking High Street and the Castle to the Quadrant Shopping Centre, St Marys Square and the location of the proposed new Swansea Central development (Plan 1). However whilst there are positive levels of pedestrian flows around the edges of Castle Square, the public space itself is lightly used due to a lack of events, and the perceived hard and dated public realm.

The Square is built into a 4m slope between the Castle and Princess Way and dates from post war clearance when it was originally laid out as a floral garden. It was enhanced in the 1990's and the fall in gradient from NE to SW is accommodated by three levels of terraces linked by two banks of steps. Elevated grassed areas, and semi mature trees surround the space to the south and south west.

The 1990's scheme incorporates seating, a water feature with standing water pool, cascade and fountain, interpretation panels, a large TV screen and is often a focus for events. The Square is the largest public space in the City centre, and has a central location and a significant role as a place where the city comes together to demonstrate or celebrate is important. However, Castle Square has become tired and dated in its appearance and is not used always used positively or to its full potential.

Wind Street and Castle Street immediately to the East and South East of the Square have a vibrant night time economy. Local and national chains food and drink companies have outlets in these areas, and promote high levels of evening footfall. Outlets such as Turtle Bay, Pizza Express, Las Iguanas, Mc. Donald's face the Square and further investment proposals for café bar restaurants are being implemented in the area.



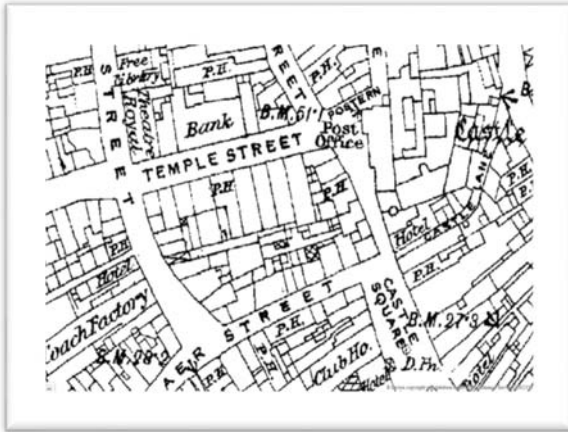


Plan 1: Location of Castle Square



## Heritage Context

Castle Square falls predominantly within the historic Wind Street Conservation Area. The Square also forms the setting for Swansea Castle which is a grade I Listed Building and Scheduled Ancient Monument. Wind Street itself is also one of the City's best preserved historic streets where there are a number of buildings date from pre 1900.



This area was historically part of the Swansea Castle courtyard and was partially enclosed by defensive walls of which no trace remains in the space itself. Prior to the Second World War the Square was an urban block of Victorian buildings bounded by streets. In the post war period the buildings were cleared and a green space created known as Castle Gardens, a traditional urban landscaped park. This park was then remodelled and enhanced as a largely hard landscaped modern space with a large water feature to form Castle Square in 1994/5.

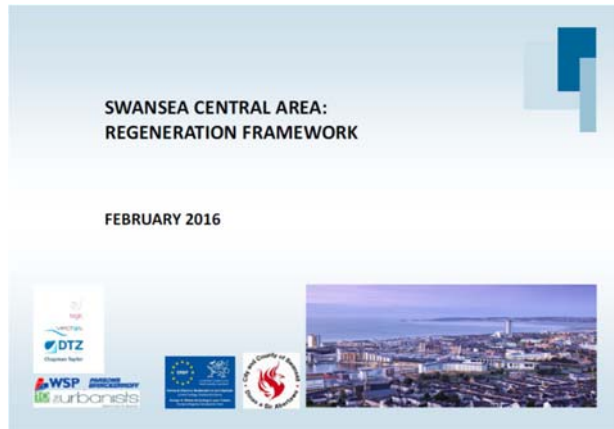


## 4.0 Planning Policy Context

### Swansea Central Area Regeneration Framework (2016)

The Swansea Central Area Regeneration Framework (SCARF) was adopted by City and County of Swansea in February 2016. This indicates how consideration should be given to enhancing and refreshing Castle Square, and reconfiguring it to allow it to better integrate adjacent areas such as the space around the Castle and Princess Way.

It recognises that there is an opportunity to fundamentally change the environment of the Square to one which is more useable, supports activity and interest and responds positively to the setting of the Castle. As part of the Vision for the Central Area the creation of a 'Green Artery' and Green Infrastructure are key themes. The Framework highlights the importance of creating a network of high quality spaces forming 'stepping stones' that link together existing and proposed areas of activity.



### **Swansea Unitary Development Plan (2008)**

**Policies EV1 Design**, indicates that new development shall accord with a range of specified objectives of good design

**Policy EV3 Accessibility** sets out requirements for meeting criteria relating to access for all, high quality public realm for a range of users

**Policy EV4 Public Realm** where development impacts on the public realm designs should ensure that schemes integrate with areas to produce spaces and sequences that result in quality townscape and building frontages that actively engage with the public, are of a human scale and provide effective surveillance resulting in spaces that are 'people friendly', and provide attractive detail through the use of high quality durable materials

**Policy EV5 Art** requires the provision of public works of art or other features to enhance the identity and interest of major new development or refurbishment schemes will be supported

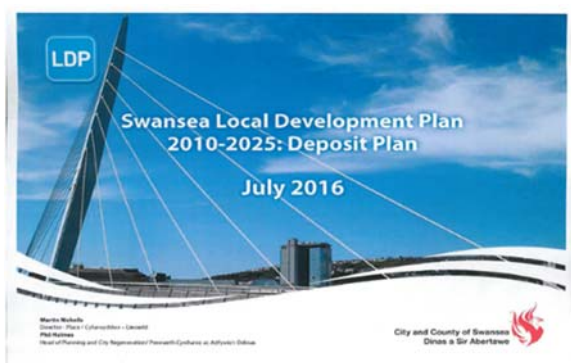
**Policy EV6** seeks to protect, preserve and enhance Scheduled Ancient Monuments and their settings

**Policy CC5** The design of all new development schemes will be required to make a positive contribution to enhancing the City centre's environment. A programme of improvements will be implemented and where appropriate developer contributions will be sought.

### **Swansea Local Development Plan: Deposit Plan (2016)**

The Swansea Local Development Deposit Plan (LDP) Policy SD J: Swansea Central Area makes specific reference also to the enhancement and reconfiguration of the Square. The LDP also highlights how Place Making is a cornerstone of the national planning agenda and sustainable development objectives.

**Policy PS2-** Placemaking and Place Management is of relevance to the consideration of future options for the Square and states that development must enhance the quality of places, and respond positively to aspects of local context and character that contribute towards a sense of place. The policy also highlights how the design, layout and orientation of spaces, must provide for an attractive, legible and safe environment and ensure no significant adverse impacts would be caused to people's amenity.



The City and County of Swansea Open Space Assessment Report was presented to Cabinet in January 2017 and provides a framework for well-located sport, recreation and leisure facilities. The outputs from this Assessment has directly informed the preparation of the Swansea Local Development Deposit Plan policies by identifying specific surpluses or deficiencies in open space provision. The study concludes that in areas of limited open space, the creation of new open space is encouraged and that existing spaces are retained and improved where possible. As an area of public realm, the Square fulfils an important role in the City Centre for incidental amenity and potentially activity, events, recreation and play.

#### **5.0 KEY OBJECTIVES FOR DEVELOPMENT AND ENHANCMENT**

A preliminary public consultation exercise has been undertaken to publicise the potential disposal of public open space at Castle Square during 2016. A subsequent appraisal and an analysis of key themes led to the identification of a number of key objectives for a new development within part of Castle Square and the enhancement of its public realm.

- **There is an opportunity to introduce an element of commercial activity into the Square in the form of restaurant units/ food kiosks with external seating. The type, quantum and location of uses should complement the Central Area and the new Swansea Central development, and must not compromise the functionality of Castle Square as the focal public space for the City.**
- **Any new building/s and public realm enhancements must be of a high quality design and sustainable, and should complement Swansea's Central Area, and its heritage and create well designed linkages to the surrounding area including in particular the Castle. The scheme should also secure improvement of the connection and integration of St. Marys Square and Church areas.**
- **The Castle Square space needs to work as a destination throughout the year, and be practical for events, commercial, seasonal, cultural opportunities and play and activity. There should be no net loss of useable public space.**
- **The design of the scheme should adopt an overall principle of retaining and enhancing public access and contributing to a "greener Central Area", and any proposal should not result in the net loss of useable public open space.**
- **The development and public realm proposals must be designed and implemented comprehensively. Commercial development without public realm enhancement will not be acceptable.**

## Development Principles

### 5. 1 Location and Form of the Development Opportunity

The Castle Square space presents a significant opportunity for the introduction of an element of commercial activity linked to public realm enhancements with the aim of increasing the feeling of vitality, create a destination and increase City centre dwell time. This should take the form of an appropriately designed and located commercial restaurant unit of approximately 200sqm footprint. with external seating.

There are a number of fundamental principles in terms of location of any new commercial units and their relationship with public space:

- It is important the proposed use and quantum of development at this location complements and does not compete with the Central area and proposed new developments at Swansea Central.
- The northern and eastern side of the Square are considered to be the most attractive locations for the restaurant as this location will benefit from the best south facing aspect. However, the current terrace arrangement requires substantial ground works to make best possible use of the space and in order to create units which have an aspect overlooking the Square. Given the historical setting of the site, archaeological investigations will be required to confirm the feasibility.
- Castle Square is the most important public space in Swansea City Centre, and any new units should complement the civic use of the space in terms of events, and not result in the net loss of public space. The development of new commercial units within Castle Square must ensure its continued role as an important public space in Swansea, and commercial activity should not dominate the public realm. Ideally a minimum area in the order of 1800 sqm should be retained for open useable space for events and activity.
- The units should benefit from external seating in the Square, but this should not detract from useable public space or free movement of pedestrians following desire lines through the space.
- Any new units should have 'active frontages' on all public elevations. The challenge is to avoid 'back' elevations to pavilion buildings that are public on all sides.
- Unit location and orientation should respect important views and vistas- There are key views to the Square along the approach streets especially Oxford Street and view from the square that give the location a distinct sense of place. These contextual views include the dramatic juxtaposition between the medieval Swansea Castle and the modern BT tower, plus the view to St Marys Square.



*Development Opportunity: Indicative location.*

The space could also accommodate a limited number of smaller kiosk units. Currently there is a significant growth in street food as an event within the public realm and further creates activity and interest which can be rotated to provide regular variety in food experiences and a seasonal dimension. The proposed tenant mix should complement rather than directly compete with the existing and emerging provision. The street food kiosks could be a temporary or public art feature, but standard units should be resisted.

## **5.2 Building Design and Materials**

The overall design for the new buildings /pavilion structure (s) must be high quality and contemporary in design whilst being sensitive to the Square's historic setting and links with the surrounding area. The design and materials should be sustainable, easily managed, effectively maintained and adaptable.

The proximity to the Wind Street Conservation area will mean that there are significant quality tests for any new development in terms of the 'preserve or enhance test'. However this does not mean that there is a requirement for traditional building designs. Castle Square is a modern public space next to modern shopping streets and any new building within the space should be contemporary yet sensitive to the areas' heritage aspects.

## **5.3 Public Space: Function and Role**

Castle Square is Swansea's Civic Space; it is the focal point for events, celebrations and gatherings. It should remain as publically accessible open space, that is open to all, and be enhanced and adapted so that it remains flexible enough for a multitude of uses.

Castle Square needs to be practical for play, seating and informal activities throughout the year and supplemented by a programme of commercial, seasonal and cultural events.

The public realm must encourage people to use the space in a positive way, aim to increase dwell time and be inclusive and welcoming. The space must be of high quality, multigenerational and accessible for all.



*Informal integrated public seating*

There is potential for the current space to be far more user friendly, to have a wider appeal for families and young children work as a destination alongside the retail function and to be far more practical for

events. The enhancement of the space, increased footfall and usage in turn makes it more appealing to commercial and cultural opportunities.

Opportunities for play, activity, and public art can activate the space and provide animation. The space needs to work as a destination year round not just for events. Many cities are designing multi functioning civic spaces, with water features that can be switched on and off, where the space can be left dry and level allowing for play and events use in the space. A more intensive day to day management of the space such as an events programme and street performance pitches may also be required to support an enhanced range of activity and facilities.

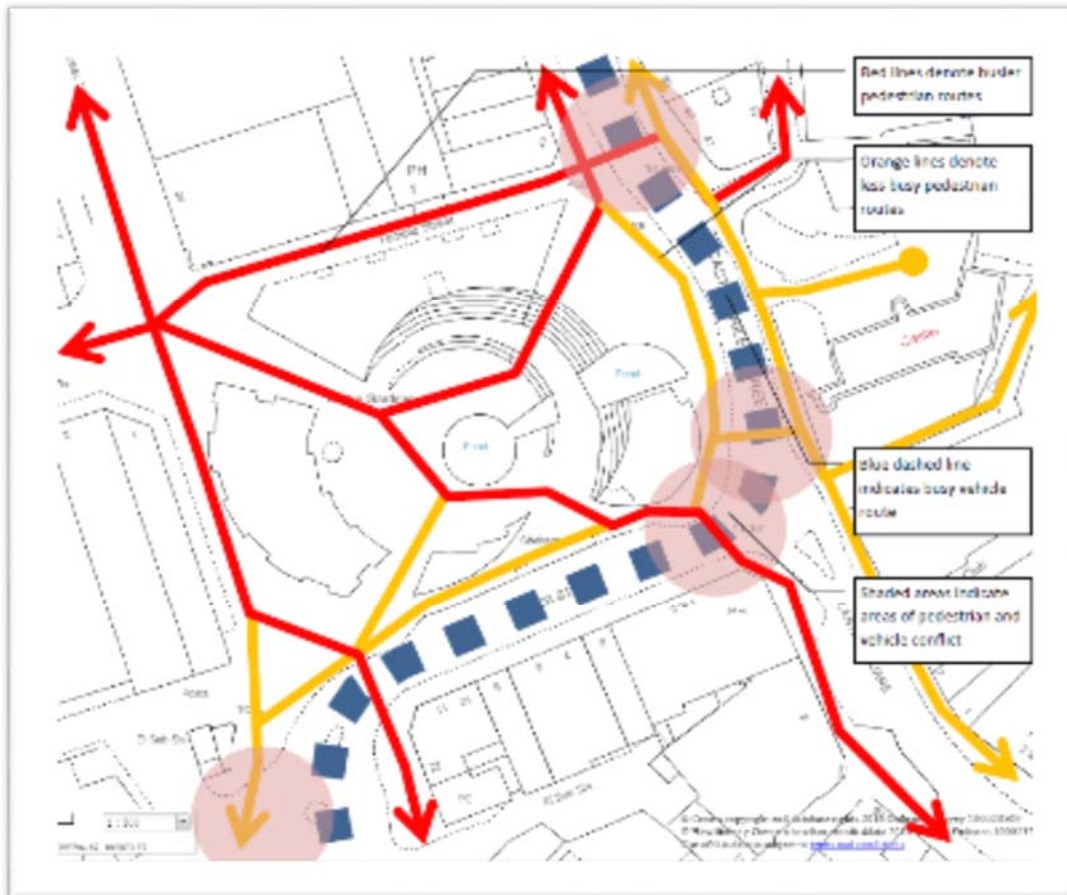
**Specific requirements for the Public Realm:**

- Minimum space requirements for events (1,800 sqm)
- Minimum capacity for public informal seating (3,000). Informal seating should be designed in a format which is integrated within the new public realm is preferred to free standing street furniture.
- Playful/interactive water feature.
- Provision of access for all between all levels.
- Greening no net loss of trees or useable greenspace.
- Power sockets.

**5.4 Public Space: Design, Movement and Accessibility**

Castle Square is a nodal space within the Central Area that performs an important linking function for pedestrians. The public realm enhancement of the Square needs to be designed in a way it is better integrated with its surroundings and the rest of the Central area, and must encourage people to use the space in a positive way and increase dwell time. Any re configuration of the Square should also retain the pattern of key perimeter streets which separate the Square from the surrounding buildings.

The Square is physically and functionally separated from adjacent areas and commercial frontages by busy vehicular traffic routes to the South (Caer Street) and East (Castle Bailey Street). The changes in level across the Square (from east to west) in some parts exceeds more than 4 metres, which means that accessibility for some is limited. Recent public realm improvements directly around the frontage of the Castle and adjacent courtyard have considerably enhanced its appearance and use as public space in recent years, and the improvement of the linkage between the Castle and Castle Square will be a particular challenge for an enhanced Castle Square.



*Plan 2: Key Movement routes within and around the Square.*

Castle Square is relatively close to St Marys Square and together they are two of the most significant areas of public space in the City Centre. They are also stepping stones on the route from the City Centre to the waterfront via the emerging Swansea central development. At present the link between Castle Square and St Marys Square are severely compromised by highway infrastructure, bus turning areas, taxis, Blue badge parking and a lack of active building frontage (the corner site of the electricity sub-station). With new proposed developments at Swansea Central, and the Arena the centre of gravity for footfall in Swansea changing, and the environment between Castle Square and St. Mary's Square will become important link to these key shopping and leisure destinations.

To facilitate the better integration of Castle Square and St Marys Square some significant changes need to be made to the infrastructure in this area by considering a more compact bus turning/roundabout, reducing street furniture clutter and more sensitively integrating or relocating some of the transport functions to other appropriate Central area locations. In the context of improving the integration between the respective public spaces, any new proposals in Castle Square should have regard to the emerging proposals for Swansea Central and its direct interface with St



Marys (see Public Realm Strategy outline planning application ref 2017/0648).



Plan 3: Indicative plan showing linkages between Castle Square and St. Marys Church

### 5.5 Public Space: Design and Materials/specification

The insertion of commercial units into Castle Square must form part of a comprehensive project that enhances the public space to provide an attractive and high quality destination that enhances the overall environment.

As the Square sits at the heart of the medieval city and part of the space lies within the historic former Castle courtyard, the design could reflect this strong historic association. The design and materials should be sustainable, easily managed, effectively maintained and adaptable.

The specification for the public realm will need to include the infrastructure to enable events, such as power sockets, water supply and potentially a big screen. The big screen is currently situated in the south west corner of the square but could potentially be relocated within the square or elsewhere in the city centre if required.

The current water feature incorporating pools, cascade and fountain cannot be used interactively, and its current format precludes the use of much of the space for events. Therefore the insertion of

commercial units should ensure that the water feature is re configured potentially in a similar manner to the Bradford Mirror pool where water jets can be used for play and switched off for use as an events space.

There is a lack of play provision within Swansea's Central Area for both visitors and residents. Whilst an equipped play area may not be appropriate in Castle Square, the public realm design must encourage playful /interactive use of the space whilst discouraging inappropriate anti-social behaviour.

Street furniture should be of a contemporary design, stainless steel and consistent with existing street furniture design and formats in accordance with current guidance and best practice. Informal seating in particular should be incorporated and integrated within the design of the public realm where possible, though there will also be opportunities for freestanding seating within the public space.

**Public Art-** Proposals should allow for the integration of appropriate permanent and temporary display of public art. These might include feature lighting, sculptural shelters, signage and way finding. Further consideration will need to be given to the best mechanism for implementing public art.

**5.6 Contributing towards a Greener City Centre-** Proposals for new development and public realm enhancement should not result in the net loss of useable greenspace and any proposals for the Square should contribute to a greener City centre.

The Swansea Central Area Regeneration Framework (SCARF, 2016) promotes the theme of a connecting green artery through the Central Area. A network of spaces within the Central Area improves the amenity value and quality of life for residents and contribute positively to creating an attractive destination space for visitors. This will be achieved through proposals to provide new space, but also for enhancing existing areas of public space such as Castle Square.

Castle Square contains a number of mature and semi mature trees which make a significant contribution to the visual softening of the hard landscaped Square, and provide a sense of enclosure to the large space. Trees add shade shelter, colour character and distinctiveness to the public space as well as providing air quality mitigation benefits in urban areas. There is scope for some selective removal, thinning and crown raising for existing trees around the Temple Street and Princess Way frontages to the Square. Appropriate new planting should be undertaken to ensure that there is no net loss of trees and appropriate species should be used and should accord with relevant guidance (CIRIA).



#### *Plan 4: Existing trees and greenspace*

Large areas of Castle Square currently comprise of lawned grass but the grass areas are very rarely used because they are slightly elevated above street level, enclosed by low walls, and not very visible nor accessible. These areas have considerable potential to increase the usable space and change perceptions of the Square, especially if they can be lowered to ground level and be made accessible for all.

Lawned level grass can provide opportunities for informal seating and activity. Areas of informal planting wildflowers can also provide opportunity for biodiversity and visual interest. The use of native species can add to biodiversity value and reduce maintenance.

### **6.0 Servicing, Infrastructure and Maintenance Considerations**

**6.1 Service Utilities.**-The developer will need to obtain information from the appropriate statutory undertakers in respect of existing service routes and to establish that the appropriate service levels can be made available to meet the requirements of any particular development scheme. It is also important to ensure that there are no existing service arrangements which could cause an impediment to the development or enhancement scheme.

**6.2 Servicing-** The units will need to receive deliveries and also accommodate maintenance visits. Deliveries should take place overnight or early morning, and daytime and evening deliveries should be avoided as they will be disruptive to users of the square and the restaurants' customers. These conditions will need to be inserted into the leases with the operators.

Vehicular access to the square should be limited by a controlled barrier, either be powered or manual but the intention would be to only have it lowered to permit deliveries. Hostile vehicle mitigation measures will need to be appropriately sited, designed and integrated.

The choice of paving materials and the square layout needs to take account of heavy delivery vehicles. Alternatively the units could be located close to a road side servicing bay, at side of the square, with no vehicular access permitted except in emergencies.

Within the actual units, tenants will want a service entrance separate to the customer entrance so that supplies and waste are not transported through the front of house. This dictates that one façade of the units should be either non-trading or have limited customer frontage.

### **7.0 Additional Information**

#### **7.1 Design submissions and Supporting Information**

- Draft Design and Access Statement
- Archaeological Assessment
- Drawings and Sections

#### **7.2 Relevant guidance and best practice**

- Planning for Community Safety
- Manual for Streets (2007) (2010)
- Active Travel Plan (2009)
- Pavements are for People

# Agenda Item 9.



## Report of the Cabinet Member for Service Transformation & Business Operations

Cabinet – 19 October 2017

### Annual Review of Performance 2016/17

<b>Purpose:</b>	The report is a review of progress made by the Council in meeting the priorities, actions and targets set out in <i>Delivering for Swansea</i> the Corporate Plan for 2015/17 as required by Part 1 of the Local Government (Wales) Measure 2009
<b>Policy Framework:</b>	<i>Delivering for Swansea</i> Corporate Plan 2015/17
<b>Consultation:</b>	Legal, Finance and Cabinet Member.
<b>Recommendation(s):</b>	It is recommended that:  1) The Annual Review of Performance 2016/17 is approved.
<b>Report Author:</b>	Richard Rowlands
<b>Finance Officer:</b>	Carl Billingsley
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Sherill Hopkins

#### 1.0 Introduction

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

1.3 Stage two reporting arises when the Council is in a position to be able to account for success of the previous year’s improvement activity and must be published before 31<sup>st</sup> October in the financial year after the year to which the information relates.

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

**2.0 Content**

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

- Evidence of the processes that the Authority has gone through to discharge its general duty to improve.
- A summary assessment of the Authority’s view of its success in achieving its ‘Improvement Objectives’ (priorities) as set out in the previous year’s Improvement (Corporate) Plan;
- Assessment of performance in comparison with itself in previous years and to other comparable bodies (including other Authorities).

2.1.1 These requirements are addressed in the Review through *Parts 1 and 2 – Executive / Summary of evaluations delivering the Council’s priorities for 2016/17*. These parts represent a summary of the Council’s own evaluation of its performance delivering its priorities during 2016/17.

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

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

- 2.2 The Review must detail the ways in which the Authority has exercised its powers of collaboration during the reporting year, including details of whether a collaborative activity has achieved its intended outcomes.
- 2.2.1 Information on collaboration is provided in *Part 3 – Working in partnership with others in 2016/17*. This part summarises how the Council is collaborating with others across a wide range of services in some key areas.
- 2.3 The Review must also include details of:
- other performance information and its use;
  - any statements of activity that the authority has issued as a result of any Section 19 reports issued by the Auditor General for Wales, and;
  - performance as measured by all statutory performance indicators, whether or not these relate directly to improvement objectives.
- 2.3.1 Details on performance information and a summary of the Council's performance against national indicators in 2016/17 are provided in *Part 4 – Performance Information and its use*. This part summarises how the Council plans for and puts arrangements in place to secure improvement.
- 2.3.2 The Council is not subject to Section 19 reports but Part 4 of the Review includes details on how the Council responds to audit recommendations.
- 2.3.3 More detailed comparative performance information for all national performance indicators will be published on the Council's website before the statutory publication date of 31<sup>st</sup> October 2017.

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

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

### **4.0 Financial Implications**

- 4.1 The financial resources required to implement all the actions and achieve the specified performance targets in 2016/17 were provided in the approved budget. Any additional financial implications that arose from the pursuance of the priorities in the Corporate Plan would have been dealt with as virement within the normal financial procedures.

### **5.0 Legal Implications**

- 5.1 The Annual Review of Performance 2016/17 must be published at or before the statutory date of 31<sup>st</sup> October 2017.

**Background Papers:** None

**Appendices:** Appendix A – Annual Review of Performance 2016/17.

# **Annual Review of Performance 2016/17**

## Contents

Introduction	Page 3
Part 1 – Executive Summary	Page 9
Part 2 – Summary of evaluations delivering the Council's priorities for 2016/17	Page 10
<b>Safeguarding Vulnerable People</b>	<b>Page 11</b>
<b>Improving Pupil Attainment</b>	<b>Page 17</b>
<b>Creating a Vibrant and Viable City &amp; Economy</b>	<b>Page 25</b>
<b>Tackling Poverty</b>	<b>Page 34</b>
<b>Building Sustainable Communities</b>	<b>Page 42</b>
Part 3 – Working in partnership with others in 2016/17	Page 51
Part 4 – Performance Information and its use	Page 59
Where to find additional information	Page 70



## Introduction - The Annual Review of Performance 2016/17

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

The Plan showed how the Council's priorities contributed towards: improving the wellbeing of people in Swansea; the objectives set out within the Public Service Board *One Swansea Plan*, and; the Council's policy commitments.

This Annual Review of Performance 2016/17 is the Council's own self-assessment on its performance delivering its priorities as outlined in the Corporate Plan.

### How is the Annual Review of Performance 2016/17 structured?

- **Part 1 – Executive Summary**
- **Part 2 – Summary of evaluations delivering the Council's priorities in 2016/17** – represents a summary where the Council presents a précised conclusion of its own evaluation of its performance delivering its priorities during 2016/17.
- **Part 3 – Working in partnership with others in 2016/17** – The Council will always seek to collaborate with other Welsh Councils to improve service efficiency and effectiveness. This part illustrates how the Council is collaborating with others across a wide range of services in some key areas.
- **Part 4 – Performance Information and its use** – The Council has to plan what services it will deliver within the available resources. The Council has to ensure that its services meet the needs and aspirations of the people of Swansea and that they are effective and provide value for money. This part shows how the Council plans for and puts arrangements in place to secure improvement.

### How can you get involved and propose new priorities during the year?

You can get involved and have your say.

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

You can also get involved through the Council's Scrutiny Boards and panels, which are open to the public (see link below)

<http://www.swansea.gov.uk/index.cfm?articleid=36785>

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

## What we have achieved in recent years

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

- Becoming the first local authority in the UK to adopt the United Nations Convention on the Rights of the Child (UNCRC) reflecting our commitment to children and young people.
- Achieving the Platinum Corporate Health Standard. To gain Platinum, the Council had to demonstrate it excels in wider corporate social responsibility and innovation.
- Being named as the UK's UNESCO Learning City. Swansea has adopted entrepreneurial skills as its key focus and has signed the Beijing Declaration on Learning City.
- Securing the biggest ever investment for southwest Wales following the approval of the groundbreaking Swansea Bay City Deal on 20<sup>th</sup> 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.
- Becoming an award winning Council recognised as excellent in many of the services it delivers. The Council won the APSE 2017 Best Service Team of the Year awards for Highways, Winter Maintenance, Street Lighting, Waste Management and Recycling and was shortlisted for Council of the year.
- Being one of only three cities asked to present at the UK Government's pavilion to some of the world's most influential property developers and investors at MIPIM 2017 in Cannes, France.
- Being successfully shortlisted to bid to become the UK's City of Culture in 2021.

## Our ambitions and commitments to residents

Our priorities for 2015/17 were to:

- **Safeguard Vulnerable People** – so that our citizens are free from harm and exploitation.
- **Improve Pupil Attainment** – so that every child and young person in Swansea gains the skills and qualifications they need to succeed in life.
- **Create a Viable and Vibrant City and Economy** – so that Swansea has a thriving mixed use City Centre that will support the prosperity of our citizens.

- **Tackle Poverty** – so that every person in Swansea can achieve their potential.
- **Build Sustainable Communities** – so that the places where people live and work meet the diverse needs of existing and future residents.

We wanted to do this by:

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

Our Corporate Plan for 2015/17 set out these priorities to fulfil our statutory obligations to set ‘**Improvement Objectives**’ under the Local Government (Wales) 2009 Measure and ‘**Wellbeing Objectives**’ under the Well-Being of Future Generations (Wales) Act 2015.

Our priorities represented the overriding objectives for the Council but not everything that we do. The Council provides many other services that are important and valued by residents, but not everything can be a priority. **Our priorities are what is most important for Swansea.**

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



Interdependencies between priorities in the Corporate Plan

Our Corporate Plan and our priorities were reviewed following the local government elections in May 2017 and in response to the Well-Being of Future Generations Act (Wales) 2015. Our priorities for 2017/22 are available at the following link:

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

## Our Values

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

### People Focus

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

### Working Together

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

## **Innovation**

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

# **Our Principles**

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

## **Sustainability**

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

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

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

## **Prevention**

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

## **Partnerships**

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

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

## **Our Delivery**

We will maximise our contribution to the social, cultural, economic and environmental well-being of Swansea and Wales through our priorities and through the way in which we will work by:

- **Looking ahead to the long-term challenges.**
- **Preventing problems from occurring or getting worse.**
- **Making sure our plans do not upset the plans of other public bodies.**
- **Working in collaboration with others.**
- **Involving all of our citizens in what we are doing.**

## Part 1 – Executive Summary

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

Our Performance data for 2016/17 to support the self-evaluations can be found on our webpage:

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

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

### Self-Assessment

This is our judgement or ‘self-assessment’ of progress meeting the priorities in 2016/17 as set out in that year’s Corporate Plan. Success is determined using a consistent self-evaluation framework. Success is measured by rating performance delivering each priority as described in the Corporate Plan and rating the prospects for improvement using a four-point scale as follows:

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

Firstly, the following questions are addressed:

1. Why this is a priority.
2. What needed improving?
3. What were we going to do?
4. What worked?
5. Areas for development.
6. What are we going to do during 2017/22?

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

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

**Prospects for Improvement**

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



## Safeguarding Vulnerable People

We have rated our progress meeting our *Safeguarding Vulnerable People* priority during 2016/17 and our prospects for improvement as follows:

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

How successful have you been?  
(Performance)

Grade 1				
Grade 2			<b>X</b>	
Grade 3				
Grade 4				
	Grade 4	Grade 3	Grade 2	Grade 1

*Prospects for Improvement*

### Why is this a priority?

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

- Physical, emotional and mental well-being
- Protection from harm and neglect;

- Education, training and leisure;
- Contribution to society and the economy

Swansea Council is committed to ensuring that its citizens are free from harm and exploitation, including bullying, domestic abuse, child exploitation and human trafficking. We want people to be able to live as independently and as safely as possible in their own homes. We also want children to stay with their families or to be supported in family settings where it is safe for them to do so.

Many of our services are focused on supporting people and we will ensure that arrangements are in place to make sure that all of our schools, care homes, family centres, leisure centres, libraries and other local services are delivered safely. We will also endeavour to ensure that “Safeguarding” is a key consideration in our transformation of Council’s services and the development of digital services and new models of service provision.

### **What needed improving?**

Safeguarding vulnerable people needs to be seen as everybody’s business within every service within the Council and by all elected Members. We also need to improve awareness of safeguarding within our communities, with volunteers and contractors and with our partner organisations through the work of the Regional Children Safeguarding Board; people need to know how to raise any concerns that they may have. Safeguarding is a key consideration in the transformation of key Council services and new models of delivery.

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

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

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

Work towards ensuring that contractors who provide services commissioned and/or used by the Council comply with the Corporate Safeguarding Policy and have appropriate standards, practices, guidelines and training in place around safeguarding.

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

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

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

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

Co-ordinate a multi-agency response to address domestic abuse in Swansea through the work of the PSB (Public Service Board) and a strategy to reduce domestic abuse in Swansea.

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

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

### **What has worked?**

A communications plan was established to improve awareness of safeguarding amongst staff, Members, volunteers, partners and the public during the year. Initiatives included team briefings, posters, internet / intranet articles and signposting information on who should be contacted to report any concerns.

Western Bay Safeguarding Board collaborated with Swansea, Neath Port Talbot and Bridgend Councils and ABMU health board to put on a Safeguarding conference at the Liberty Stadium as part of the efforts to improve awareness of safeguarding and how to identify and report concerns.

The Council organised a couple of sessions that targeted Council staff, schools, ABMU and external professionals in understanding and dealing with Child Sexual Exploitation (CSE) as part of National Safeguarding Week. Council staff identified as 'Safeguarding Leads' increased their understanding and awareness of CSE with several employees undertaking the necessary 'train the trainer' course.

Safeguarding training was provided to relevant external groups, such as taxi drivers, so they know what to do if they are worried about the safety of a child or a vulnerable adult. These free training sessions were delivered to 202 drivers run by specialist social services staff. The aim is to eventually provide the course to all 1100 drivers operating in the city.

Guidelines on safeguarding have been produced for contractors engaged by the Council for construction work, maintenance or emergency repairs in schools and Council premises used by vulnerable persons.

The Council adopts a zero tolerance approach to bullying and harassment in the workplace. A new 'Bully Buddy' support scheme for Council staff was launched during April 2017. Guidance and advice has been produced for a number of years by schools as they continue to work with partners to address bullying and hate crime in schools having due regard to United Nations Convention on the Rights of the Child (UNCRC).

The Council produced a Domestic Abuse policy in 2014. We continue to work with partners to raise awareness of domestic abuse and ensure that we protect those at risk. Cabinet backed plans to create a new Domestic Abuse Hub to provide effective support for families experiencing domestic violence. This is the first service of its kind to be set-up in Wales done in conjunction with Council staff, service providers, partner agencies, charities and survivors.

The Council has issued a *Prevention Strategy* for consultation during September / October 2017. Public feedback will help inform recommendations to be considered by the Council's Cabinet. The Strategy builds on previous work aimed at delivering more sustainable services that meet people's needs and deliver better outcomes for people. It is hoped that the Strategy will help support people to remain independent and living within their own homes for longer without the need for them to be supported by more expensive statutory services.

A young carer is a child or young person who looks after someone with a disability or a long-term illness. This often means taking on practical and/or emotional caring responsibilities that would normally be expected of an adult. Support groups, such as the Young Adult Carers Group, provide a forum for young carers to meet, socialise, obtain relevant advice and get mutual support from each other.

Work was undertaken throughout the year as part of the *Ageing Well Strategy* to help people stay healthy and to age well. This included working with partners and piloting an 'age friendly' audit in communities. There was also an Annual Review of the plan and its outcomes with feedback from engagement with older people.

Swansea became the first city in Wales to be recognised as 'dementia friendly' under the Alzheimer's Society's Dementia Friendly Community Programme. The *Swansea Dementia Supportive Community* encourages local community groups and businesses to submit an action plan for becoming dementia friendly, promotes local Dementia Friends workshops and other events for people with dementia and their carers helping to bring the community together.

The Council worked with the Older People's Commissioner for Wales to ensure that the voices of older people are heard. Work undertaken so far included:

- a visit to Swansea PSB on advice to meet the challenges of the Well-being of Future Generations (Wales) Act 2015
- an International Day of Older Persons event in Swansea and other towns and cities in Wales
- attendance at seminars aimed at safeguarding older people from domestic abuse and attended by front-line staff, such as those working in health and social care, emergency services, GPs, home care workers and advocates.

### **Areas for development**

Staff and Members undertake mandatory training to improve their awareness and understanding of safeguarding and how to identify and report concerns – making it everybody's business. Although the take up of training is still improving, it has not been at the desired pace. The Council continues to encourage safeguarding training for all concerned.

A task and finish group was established to review the Council's Safeguarding Policy. The Policy will be finalised during 2017/18. The new Policy will be communicated to all staff, elected Members and to external partners and the public.

### **What are we going to do during 2017/22?**

- 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.

We plan to:

- 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.

## Improving Pupil Attainment

We have rated our progress meeting our *Improving Pupil Attainment* priority during 2016/17 and our prospects for improvement as follows:

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

How successful have you been?  
(Performance)

Grade 1				
Grade 2			<b>X</b>	
Grade 3				
Grade 4				
	Grade 4	Grade 3	Grade 2	Grade 1

*Prospects for Improvement*

### Why is this a priority?

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

## What needed improving?

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

## What were we going to do?

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

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

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

## What has worked?

### *Pupil Success*

- Overall performance is strong for the 2015-2016 academic year, with the majority of indicators reaching their targets.
- Results for teacher assessment in Welsh have improved across all key stages. The Siarter Iaith has been promoted in schools to encourage the informal use of Welsh to further develop language skills.
- There was an expected drop in Foundation Phase<sup>1</sup> and at Key Stage 2<sup>2</sup>, although there is an improving trend over the last five years across all key stages. Results for teacher assessment In English improved at Key Stage 3<sup>3</sup>.

<b>2015-2016</b>	<b>Foundation Phase</b>	<b>Key Stage 2</b>	<b>Key Stage 3</b>
English (LCE)	85.6% Down 1.4%	90.0% Down 0.9%	89.8% Up 2.2%
Welsh (LCW)	92.0% Down 0.2%	93.2% Up 0.3%	95.6% Up 2.4%

<sup>1</sup> Foundation Phase - educational provision for 3 – 7 year old learners (Infants).

<sup>2</sup> Key Stage 2 - educational provision for 8 – 11 year old learners (Juniors).

<sup>3</sup> Key Stage 3 - educational provision for 12 – 14 year old learners.



- Schools follow the national literacy and numeracy framework, ensuring there is a clear strategy in place for schools. This is reflected in the results across all ages, which exceeded the targets set and are above the Wales average.
- Examination results at Key Stage 4<sup>4</sup> have continued with their year-on-year improvement. The Level 2 Inclusive Threshold<sup>5</sup> result was up 0.7% on the previous year and remain above the Wales average.
- Results for free school meals (FSM) pupils achieving the Level 2 inclusive have improved by 0.7% to 40.2%.
- There are no school leavers who leave without a qualification, including those who are LAC (looked after by the Local Authority).
- Young people known to be NEET (Not in Employment, Education or Training) at 16 years of age continues to reduce each year.

#### *Attendance and Exclusions*

- For primary schools, pupil attendance remained at 94.9% for the 2015-2016 academic year, the same result as the previous year. Swansea primary school attendance is joint most improved in Wales over five years.
- For secondary schools, attendance rose to 94.3% for the 2015-2016 academic year, an increase of 0.3% from the previous year. Swansea secondary school attendance has moved from just below the Wales average to just above Wales average over the last five years.
- A scheme to incentivise school attendance was implemented as planned. Attendance awards and celebratory events are having a positive impact in raising the profile of good attendance in schools.
- Every school has produced an attendance action plan. This has been done in partnership with Challenge Advisers and the Education Welfare Service.
- Measures of pupils in Swansea receiving fixed-term exclusions from school have fallen at a rate faster than the all-Wales average and are now the third lowest in Wales.

#### *Schools with low performance*

- There has been further improvement to the number of schools in yellow and green categories according to the national categorisation system.
- The baseline figure for green schools using the national categorisation was 22 green schools in 2014-2015. In 2015-2016, this increased to 37 green schools, alongside a reduction in amber/red schools. The 2016-2017 academic year categorisation shows a further increase in green/yellow schools and a further reduction in red/amber schools.

---

<sup>4</sup> Key Stage 4 - educational provision for 15 – 16 year old learners.

<sup>5</sup> Level 2 Inclusive Threshold - A volume of qualifications at Level 2 equivalent to the volume of 5 GCSEs at grade A\*-C, including English or Welsh first language and mathematics.

- Effective and standardised processes have been put in place to allow robust and consistent support and challenge to schools. Local authority support plans are now in place to ensure that the schools most in need of support have a clear picture of how improvement will be accelerated in partnership with a range of stakeholders.
- A leadership development programme for both primary and secondary sectors is meeting the needs of the senior leadership teams in the secondary sector and new or acting headteachers in the primary sector.
- Schools causing concern receive additional and ongoing support.

#### *Future Sustainability of Schools Provision*

- Responding effectively to the continuing increase in demand for Welsh-medium primary and secondary places with enhanced accommodation and facilities at, for example, YGG Pontybrenin, YGG Y Login Fach and YG Gwyr and a new build for YGG Lon-las.
- Responding to the challenges and opportunities presented by the Local Development Plan and demographic trends and ensuring the appropriate nature and scale of educational provision across Swansea, with a focus on condition, suitability, sustainability and sufficiency issues.
- Continuing to develop the wider use of school assets and facilities to maximise the benefits of capital investment. New build accommodation and facilities (for example Burlais Primary School) incorporate community rooms and wider facilities for the community where there is a sustainable business case and need. Other examples include Flying Start settings, wrap around care and sports and leisure facilities such as all-weather pitches.
- Encouraging alternative modes of transport and providing facilities such as adequate bike stores, information on safe walking routes etc. as in the case of Gowerton Comprehensive School for bikes and scooters.
- New build school projects achieve BREEAM (Building Research Environmental Assessment Method) Excellent ratings and remodelling / extension projects aspire to achieve an Energy Performance Certificate rating of A.

#### *Respecting the rights of a child*

- The Pupil Voice Forum has been used alongside other methods to gather pupils' views on a number of topics, including school priorities, Welsh in education and anti-bullying. Feedback is given to pupils on their views and schools are encouraged to share this within their clusters.
- Since entering into a five-year agreement with UNICEF UK in 2013 to embed a rights based approach within the school ethos of all schools in Swansea through the UNICEF Rights Respecting Schools Award (RRSA), the following has been achieved:
  - 97% of schools engaged in the Rights Respecting Schools Award process
  - 68% of schools achieving Level 1 Rights Respecting Schools status or above

### *Lifelong learning and apprenticeships*

- Lifelong learning has been encouraged through the provision of the adult community learning programme. There was a 16% increase in enrolments at the end of the autumn term 2016 in comparison to the same period the previous year.
- Development of ambitious, skilled children and young people and adults.
- An Apprentice Strategy was launched in March 2017. A number of apprentices and trainee opportunities have been created and filled (as detailed in the economy city centre corporate priority).

### **Areas for development**

- Secure improvement for teacher assessment outcomes in all key stages. Signpost schools to effective practice and resources and hold cluster networks to support moderation and assessment. Deploy lead practitioners efficiently and strategically to ensure specific needs of targeted schools are met.
- Continue the improving trend in literacy and numeracy national test results.
- Sustain progress in Key Stage 4 outcomes, despite changes in the curriculum and performance measures.
- Although there has been an improving trend, a gap remains between FSM and non-FSM pupils who achieve the Level 2 Inclusive Threshold. We continue to support and share good practice with schools to address this gap.
- Results for LAC pupils are much lower than for pupils who are non-LAC. Support improvement in attendance and attainment for LAC pupils.
- Monitor attendance at schools. Where a need is identified, provide schools with additional support and challenge on their attendance for the 2016-2017 academic year.
- Keep the number of fixed term and permanent exclusions low.
- The Pupil Referral Unit (PRU) is working closely to deliver good educational outcomes for learners by ensuring that numbers are reduced through an identified programme to develop the capacity to manage challenging behaviour. Make further progress towards the reorganisation of the Education Otherwise Than at School (EOTAS) provision to ensure that the needs of our most vulnerable and challenged children are central to this approach.

- Facilitate school-to-school collaboration by providing support to continue to develop subject and leadership networks.
- Continue to further develop the leadership and management programme to build capacity at all levels of management within schools.
- Continue to promote the use of the Welsh language, with delivery of the objectives outlined in the Welsh in Education Strategic Plan. Support Welsh-medium schools to achieve the first bronze award for the Swansea initiative: Welsh Siarter Iaith – Tafod Tawe.
- Improve provision for and outcomes in information and communication technology (ICT). Familiarise digital leaders with the Digital Competency Framework and improve digital skills of the school workforce.
- Improve provision for and outcomes in additional learning needs. Provide support for schools for additional learning needs development. Prepare for the new ALN (Additional Learning Needs) reform legislation. Undertake a review of ALN services with key stakeholders.
- Enhance the quality of governance in schools. Assess governing bodies and work closely with Challenge Advisers to provide support to schools.
- Review the Lifelong Learning Unit to move the service forward. Embed essential employability and digital literacy skills across the whole lifelong learning programme.
- Use a variety of methods to gather pupils' views including Pupil Voice Forum, Big Conversation and Super Survey on a number of areas including attendance, wellbeing, local authority self-evaluation and priorities and school priorities.
- Relaunch the Swansea Learning Partnership to provide a strategic overview of both long and short-term education objectives across all sectors in Swansea.
- Engage all schools in the Rights Respecting Schools Award process by 31 October 2017.
- Undertake an audit of all school councils to understand their functions+

## **What are we going to do during 2017/22?**

Following a review of our priorities, we plan to help maximise the economic, social, cultural and environmental well-being of Swansea through improving education and skills:

- 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.

We plan to:

- 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*. Carefully monitor and evaluate of impact and adjustment of requirements due to change of any timing and extent of future developments in the Local Development Plan.
- Raise skill levels in the workplace and contribute 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.

## Creating a Vibrant and Viable City & Economy

We have rated our progress meeting our *Creating a Vibrant and Viable City & Economy* priority during 2016/17 and our prospects for improvement as follows:

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

How successful have you been?  
(Performance)

Grade 1				
Grade 2			<b>X</b>	
Grade 3				
Grade 4				
	<b>Grade 4</b>	<b>Grade 3</b>	<b>Grade 2</b>	<b>Grade 1</b>

*Prospects for Improvement*

### Why is this a priority?

Swansea is the key economic driver for the City Region. However, the opportunity and potential of the people and place is not being fully realised. We want the City & Region to thrive and prosper for the benefit of all its residents, businesses and visitors.

## **What needed improving?**

- Attractiveness and vibrancy of the City Centre.
- Better quality retail, office, leisure, & residential floor space to support economic growth.
- More and better quality employment and skills development opportunities.
- Reducing the numbers of long-term unemployed and economically inactive.
- Transport and digital infrastructure to enhance connectivity & accessibility.
- The profile and reputation of Swansea as a destination to build confidence amongst residents, businesses and visitors.
- Further investment along the Fabian Way innovation corridor and new leisure, tourism and heritage-led development to complement City Centre regeneration.
- Means of sustaining the rural economy.

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

Reinforce and improve the City Centre as a vibrant regional destination for shopping, culture, leisure, learning and business.

Work to deliver the physical regeneration of the City Centre in line with our revised City Centre Strategic Framework – in particular, property development and enhancement and delivering enabling infrastructure to support regeneration.

Secure funding sources to support the regeneration of the City Centre and associated transport improvements.

Continue to prepare design guidance, development briefs, market sites and appoint developers.

Ensure Swansea represents a strong commercial opportunity for new indigenous and inward investment development to deliver the Council's priority regeneration schemes.

Create employment and training opportunities through the application of the *Beyond Bricks and Mortar* programme.

Work with partners to continue the delivery of a competitive digital infrastructure to support the city's economic growth, investment and productivity gains.

Progress towards the adoption of the Local Development Plan (LDP) and supporting supplementary planning guidance, such as the Fabian Way Innovation Corridor Strategy, and the Area of Outstanding Natural Beauty (AONB) Management Plan. Support development that positions Swansea as an economically competitive place and an economic driver for the City Region.



Facilitate growth and diversification of the local economy and an increase in high value, skilled employment.

Ensure that communities have a sufficient range and choice of good quality housing at sustainable locations to meet community needs and support sustainable economic growth.

Promote and enhance a diverse and sustainable rural economy i.e. Gower Landscape Project

Improve, expand and diversify appropriate leisure, tourism and heritage facilities and infrastructure.

Develop Swansea as a City of innovation and grow higher value economic activities.

### **What has worked?**

The major City Centre redevelopment scheme, now known as Swansea Central, has undertaken extensive consultation and engagement as part of the pre-planning application process. Outline planning consent has been secured for a comprehensive mixed-use redevelopment of the site, with flexibility to offer a range of uses.

The Prime Minister in Swansea signed the City Deal during March 2017. This represented a massive commitment from both the UK and Welsh Governments and an opportunity for a long-term plan to invest in the regions infrastructure, both physical and digital, with a value totaling £1.3bn for the wider Swansea Bay City Region area.

The Council exchanged contracts to sell the former Penllergaer Civic Centre site to a developer. This will lead to 80 new homes being built subject to planning permission.

The sale of Council land and property has continued during 2016/17. This included the exchange of contracts for the former Dan-y-Coed outdoor education centre. Capital receipts from these types of sales are reinvested back into Council services.

Demolition work on the former Oceana nightclub building on the Kingsway was successfully completed. The redevelopment plans to create a Digital Village include a Tech-industries led employment district with new office development. This will help to create jobs for local people and boost city centre footfall.

Council successfully published and consulted upon the deposit Local Development Plan (LDP). This has been submitted to Welsh Government for independent examination by the Planning Inspectorate for Wales.

The management plan for the Gower Area of Outstanding Natural Beauty (AONB) was reviewed and published during 2016/17.

European Social Fund (ESF) funded regional projects, Workways + & Cynnydd, are underway. These projects deliver help to address economic inactivity and provide opportunities for people in Swansea who are NEET (Not in Education, Employment or Training).

The City Centre retained its Purple Flag status for meeting or surpassing standards of excellence in managing the evening and night-time economy – the only area in Wales to have achieved such an accolade.

The Swansea Community Energy & Enterprise Scheme (SCEES) established by the Council developed 10 community-owned solar energy projects in Townhill and Penderry. This followed a successful community share offer, which raised £467,000.

Heritage Lottery Funding (HLF) totalling £1.51m was committed towards the Gower Landscape Partnership programme. The partnership aims to inspire and help local people learn more about and look after Gower's special and distinctive features.

The Council's Apprenticeship Strategy was launched in March 2017. Five apprentices and trainee opportunities have been created and filled.

The Council's Beyond Bricks and Mortar (BB&M) programme aims to create employment and training opportunities through social benefit clauses in Council contracts. BB&M has delivered 2170 person weeks of targeted recruitment and training; 65 new starters on site; 42 participants continuing in post from the previous financial year, and; included social benefit clauses into 13 projects.

Vibrant and Viable Places is the Welsh Government's regeneration programme. This has entailed an investment of £11.76m across a range of projects in Swansea, leveraging an additional £50m of public and private investment, including 11 Housing above shops and 27 property enhancement grants to local property owners.

Work is being undertaken on restoring the former Hafod Morfa Copperworks site. HLF Stage 1 grant approval was achieved to complete architectural design. A Stage 2 application to release a £3.9m capital contribution to this £9m project has been submitted.

The Rural Development Plan has supported 10 projects amounting to £250,000. These include the popular Gower Sunday Bus service as well as a range of feasibility work around tourism and transport.

Swansea signed up to the United Cities and Local Government European Pilot for Culture in Sustainable Cities. The pilot aims to explore the role of culture in sustainable cities. This has complemented our work on a new Cultural Development Framework to embed culture in our regeneration, planning, learning, health and wellbeing partnerships. It also paved the way for Swansea to bid for UK City of Culture 2021 in February 2017. It was announced during July 2017 that Swansea's bid to be shortlisted was successful.

The redeveloped Glynn Vivian Art Gallery opened during October 2016. The gallery has new learning, research and conservation spaces alongside a contemporary collection store, shop and café bar area.

The Council is currently tendering for up to 40 electric vans for fleet use and is looking to implement the necessary vehicle-charging infrastructure. Work is also underway to investigate other forms of fuel, different types of vehicles, driver behaviour systems and is developing a fuel strategy for renewal options in the future. The aim is to help improve air quality and reduce the environmental impacts of the Council's vehicle fleet.

The Council continues to implement improvements to cycling and walking networks as part of the Local Transport Plan (LTP) and in line with the requirements of the Active Travel Act. This is aimed at encouraging active modes of travel for commuting and employment purposes. Funding has been secured to examine the potential of a cycle hire scheme for the City.

The Council is continuing to invest in telematics and signal technologies. The aim is to minimise vehicle congestion and provide a means of prioritising public transport flows through junctions.

The Council has signed a Quality Partnership Agreement with First Cymru to encourage closer working in the provision of public transport across the City and County. This is to encourage people to use buses and to help reduce the growth in private vehicle journeys.

### **Areas for development**

Transformation plans have been prepared for Swansea's Castle Square. The aim is to provide a greener, more vibrant destination with more public space for residents and visitors to enjoy. This follows feedback that residents provided to a Public Open Space notice published last year. The Council has made interim improvements, including lighting and greening measures.

The development of a major student accommodation development in Mariner Street continues to make progress. This will commence during 2017/18 subject to market conditions.

Supplementary Planning Guidance was prepared and consulted upon with a view to adoption in 2017/18. This included guidance in relation to the Fabian Way Corridor, Houses in Multiple Occupation (HMOs) and Purpose Built Student Accommodation.

A manager's guide and apprentice remuneration policy will be launched as part of the development of the Council's Apprenticeship Strategy. There will also be increased communication to raise awareness.

The HLF Development phase for Hafod-Morfa Copperworks will be completed to enable the submission of Stage 2 application. This will release a £3.9m capital contribution to this £9m project.

Cam Nesa is an Objective 1 funded project to reduce the number of young people who are NEET. The Cam Nesa Project, once approved, will add to the support available via Workways + and Cynnydd to make a significant reduction in the number of 16-24 year old young people who are NEET.

The Rural Development Plan will see a number of feasibility studies completed. This has the potential to see projects developed across a range of activities, including sustainable transport and carbon offset.

The Council has written to the Welsh Government to encourage their support to develop a strategic network of charging/refuelling stations/points for low carbon vehicles. It is hoped that the Welsh Government will recognise the importance of investing in networks to support low carbon transport.

Following a review of our priorities, we plan through to maximise the economic, social, cultural and environmental well-being of Swansea by:

- Raising economic performance and creating wealth and employment opportunities to improve the economic wellbeing of Swansea's citizens
- Progressing the City Deal, which will transform the economic landscape of the area, boost the local economy and generate significant new jobs over the next 15 years.
- Designing 100,000 square feet of flexible and affordable new office space on Kingsway in the city centre for tech businesses as part of a digital village that will benefit from world-class digital infrastructure.

- Progressing a 215,000 square foot box village development on the University of Wales Trinity Saint David's Waterfront Innovation Quarter in SA1 providing affordable space for start-up firms.
- Progressing 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..
- Taking 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.
- Adopting 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.
- Taking 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.
- Taking advantage of Swansea's natural, cultural and built assets and infrastructure to develop the economy while protecting the environment and improving well-being.

### **What are we going to do during 2017/22?**

We plan to:

- Complete the 5-case business plan for the Swansea City & Waterfront Digital District Project as part of the Swansea Bay City Deal.
- Finalise the Night Time and Evening Economy Strategy to support the management and development of the sector.
- 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.
- Commence marketing for the development of new hotel and leisure development near the Liberty Stadium to complement cultural developments and encourage river taxis to take visitors to the Marina.
- Aim to be successful in our 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 CREES, 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.
- Seek to promote biodiversity and protect Swansea's green spaces, including parks for recreation, play and to promote health and well-being.
- Seek to 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.

## Tackling Poverty

We have rated our progress meeting our *Tackling Poverty* priority during 2016/17 and our prospects for improvement as follows:

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

How successful have you been?  
(Performance)

<b>Grade 1</b>				
<b>Grade 2</b>			<b>X</b>	
<b>Grade 3</b>				
<b>Grade 4</b>				
	<b>Grade 4</b>	<b>Grade 3</b>	<b>Grade 2</b>	<b>Grade 1</b>

*Prospects for Improvement*

### Why is this a priority?

Poverty is a priority for Swansea because we continue to have residents experiencing poverty due to:

- A lack of resources.
- Their family circumstances.
- Poor life chances.



Which can result in:

- Worklessness.
- Poor educational attainment.
- Health inequalities.
- Dysfunctional families.
- Absence of aspiration/ low expectations.
- Poor housing conditions.

Swansea is a City and County of inequality with some of Wales's poorest and richest areas only miles apart.

There are a number of key areas, which we as a Council are working to address, such as:

- Children having the best start in life and being able to achieve in their early years enabling them to learn and thrive.
- Families being supported to live healthy lives.
- Young People having choices and opportunities when they are in school and when they leave school to enter learning, training and employment.
- Families and individuals to be able to have a good standard of living, which means having well-paid employment and claiming the right benefits they are entitled to.
- For people to live in good quality affordable homes, which support sustainable communities.

### **What needed improving?**

- To have more accessible high quality services for all children aged between 0 – 7 years of age.
- All children are able to be ready for school and therefore able to play, communicate, move and problem solve.
- Children of all ages maximise their learning potential.
- All young people are encouraged and given the opportunity to enter education, employment and training post 16 years of age.
- To maximise people's benefits and assist people into employment that pays.
- Continue to improve the quality of homes generally and housing supply in Swansea.

- Support the reduction in health inequalities in life expectancy and chronic ill health conditions.
- Increase the number of adults with qualifications and with opportunities for employment.
- Encourage people to be more involved in decision-making and running services in their areas.

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

We planned to:

- Implement Swansea's *Early Years Strategy*, which is working with Health to ensure all children that live in Swansea are supported to develop and be the best they can be. This was by:
  - Raising standards in child development within all childcare settings.
  - Using the Swansea statement to raise awareness of child development.
  - Running *Flying Start Plus* and our Early Years language pathway.
- Implement the *Youth Progression and Engagement Framework* by:
  - Identifying vulnerable young people early and supporting them in the right way.
  - Knowing where every young person is on his or her education, employment and training journey.
  - Ensuring the right provision is available.
- Address the impacts of Welfare Reform changes, including the introduction of Universal Credit by:
  - Maximising the benefits that people are entitled to and improving the speed of processing.
  - Supporting people with appeals.
  - Challenging sanctions.
  - Supporting the most vulnerable.
  - Analysing and raising awareness of the impact of welfare reform.
- Tackle poverty by empowering communities, targeting resources and changing cultures through:
  - Community involvement and action.
  - Swansea's *Tackling Poverty Strategy* and action plan.
- Improve housing quality and supply by:

- Improving the Council Housing stock up to the Welsh Housing Quality Standard.
- Providing new and additional affordable housing units.
- Preventing homelessness.
- Leading and promoting the improvement of housing conditions in the private sector.

### **What has worked?**

In this review, we are assessing the way that our performance supports the delivery of our corporate plan priorities. The reason for this is that poverty impacts upon all areas of service delivery and consequently the ways that people access our services as well as affecting demand for services.

We continue to see improvements in expected language, emotional, social and cognitive development with children through *Flying Start* support. 61.96% of two year olds and 60.3% of three years olds were assessed as performing at or above the developmental norm.

Our *Youth Engagement and Progression Framework* continues to provide effective and robust tracking to know where every young person is on his or her education, employment and training journey. The employment, training and educational status of all young people in Swansea was known at the snapshot point in October 2016. This information supports young people to access the appropriate provision.

We have continued successfully to support people to maximise the benefits they are entitled to, raising an additional £1,084,383. This has been achieved in a timely way, ensuring that we minimise processing time, giving people access to funds as soon as we can.

We continue to work with partners such as Citizens Advice Bureau and My Community Bank (formerly LASA Credit Union) to mitigate the impact of Welfare Reform, offering advice, assistance and access to affordable loans.

We were also keen to analyse and raise awareness of the impact of Welfare Reform and so commissioned *Policy into Practice* to conduct a household level survey of the impact of Welfare Reform upon household incomes.

We worked throughout the year with partners and alongside the Council's Scrutiny Board to revise our *Tackling Poverty Strategy* and action plan, producing a corporate consultation draft in which 'poverty is everyone's business' with actions for all services in the Council.

Through our *Communities First*, *Communities for Work* and *LIFT* Programmes, 4,638 people were engaged in activity and 263 people gained employment

We have improved housing quality and supply by working to improve the Council housing stock up to the Welsh Housing Quality Standard (WHQS). A 4-year Capital programme of works was developed, which will deliver around £207m investment to improve the housing stock up to the WHQS by 2020/21. In 2016/17, we undertook £51.9m of work to improve the Council housing stock.

We have developed our long-term strategy to provide new build Council housing and increase the supply of affordable housing. In 2016/17, the Housing service worked in partnership with Registered Social Landlords to deliver 157 new affordable units.

In preventing homelessness, we accepted 1143 households as being at risk of homelessness. Of these households, 73% were prevented from becoming homeless. When dealing with homeless families, the average number of days all homeless families with children spent in B&B accommodation was minimised, i.e. 3.8 days spent in B&B accommodation against a target of 7 days.

We continued to lead and promote the improvement of housing conditions in the private sector. For example, work to properties in the Sandfields Renewal Area programme continued resulting in 248 properties having external wall insulation installed and 62 properties had external repairs completed.

In 2016/17, we worked proactively with owners to bring 358 empty homes across the City back into use and we took enforcement action to reduce or remove hazards in 126 dwellings in the private sector in 2016/17.

### **Areas for development**

We must continue to work with our Health partners, through our *Early Years Strategy*, to ensure that children in their early years and at Foundation Phase achieve their expected language, emotional, social and cognitive development and are ready for school.

We need to continue to improve our approach to identifying vulnerable young people, challenging the integrity of our processes and their effectiveness in targeting appropriate provision at the earliest possible stage, minimising escalation to more complex services.

In 2016/17 Welsh Government announced their plans to phase out the *Communities First* programme by the end of 2017/18, replacing it with an approach focused upon engagement and employability. This has raised potential risks within vulnerable communities in terms of access to support. We must work to minimise risk and seek

to maximise the support to local people through the replacement 'Employability Grant' programme.

We will publish and begin to implement our revised *Tackling Poverty Strategy*, following consultation.

We will publish research by *Policy into Practice* into the household level impacts of Welfare Reforms, looking to target our services towards vulnerable families and help them improve their levels of income through employment focused support and benefits advice.

We will continue to invest in the Council Housing stock and deliver improvements up to the Welsh Housing Quality Standard, increase the supply of new affordable housing units, reduce homelessness and work to address housing conditions in the private sector.

We will undertake a £59m programme of work to deliver improvements to the Council housing stock.

We will build 18 new Council homes, designed to Passivhaus energy performance standards, on Milford Way and we will continue to prioritise work to increase the supply of affordable housing

We will develop a *Homelessness Strategy* ready for implementation in 2018 and continue to tackle rough sleeping and look at ways to provide long-term housing with support.

We will continue to work with landlords and agents to ensure their compliance with the new licensing and registration regime for private landlords and agents in Wales.

We will continue to work in partnership with Utility companies and Welsh Government to secure funding for energy efficiency measures.

We will complete works to properties in the Sandfields Renewal area and a bid has been made to the Welsh Government Warm Homes ARBED scheme for additional monies.

We will continue to inspect the private rented housing sector and take enforcement action where appropriate to reduce or remove hazards to health and safety.

### **What are we going to do during 2017/22?**

Following a review of our priorities and the work undertaken to develop a revised *Tackling Poverty Strategy*:

- 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.

We plan to:

- 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 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.

**Building Sustainable Communities**

We have rated our progress meeting our *Building Sustainable Communities* priority during 2016/17 and our prospects for improvement as follows:

<b>Rate Performance</b>	<b>Rate Prospects for Improvement</b>
Grade 1 – Fully Successful Grade 2 – Mainly Successful Grade 3 – Partially Successful Grade 4 – Unsuccessful	Grade 1 – improvement prospects are good, with significant improvements already in place Grade 2 – improvement prospects are good, with no major barriers Grade 3 – some good prospects, but barriers in important areas Grade 4 – many important barriers to improvement

**How successful have you been?  
(Performance)**

<b>Grade 1</b>				
<b>Grade 2</b>			<b>X</b>	
<b>Grade 3</b>				
<b>Grade 4</b>				
	<b>Grade 4</b>	<b>Grade 3</b>	<b>Grade 2</b>	<b>Grade 1</b>

***Prospects for Improvement***

**Why is this a priority?**

The Council and its partners needed to work together to build and support sustainable and thriving communities because this will result in the best possible outcomes for people, reduce the need for public services, and consequently reduce the cost of services.



Sustainable communities are ones people want to live, work and bring up their families within. These are communities in which the vulnerable find support; people run businesses; and families work well and stay together.

Our models of service delivery are unsustainable and do not always provide the best outcomes for people. Swansea is changing and residents' needs are changing too and the transformation of services is vital to meet these future challenges.

We also need a new relationship between residents and public services. Residents, families and communities want more say and control over how their own needs, wants and expectations will be met; communities need the right resources, assets and facilities in place to support them to help to achieve the outcomes they want to achieve.

### **What needed improving?**

There are some key areas where sustained and long-term change is needed. Overall, we want to ensure that communities achieve the best possible outcomes for themselves. We set out to:

- Work with residents, communities and families to develop their skills to allow them to have more say and control over how their own needs, wants and expectations will be met.
- Create a new relationship between residents and public services, which involves reviewing the future role of the Council and what we will and will not do.
- Transform Council services to meet changing needs and expectations, future challenges and reduced Council budgets.
- Develop the skills needed by Council employees in order to help support people to be more self-reliant and resilient and to do more things for themselves.
- Introduce a need for more early intervention and prevention and a greater focus on improving well-being so that there is less need for people to resort to statutory services.
- Improve the cohesiveness of communities where people believe they live in a good place, can take part in decisions affecting their community and where people get on well together.
- For Community facilities, technology, resources and assets to play their part in helping communities to become more sustainable, cohesive and self-sufficient.

- Improve our partnerships with other organisations so that they are fit for purpose and allow us to plan for the longer term. As part of this we needed to define our relationship with the third sector and how we planned to work with and communicate with each other in the future.
- Ensure our planning processes are better informed with an improved understanding of local needs.

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

- Review schemes associated with the 'prevention budget' aimed at reducing the need for services over the longer term.
- Ensure that communities have access to a full range of preventative services, which allow them to promote their wellbeing, live healthy and active lives and prevent them requiring access to statutory services wherever possible. In doing this, we plan to develop local area coordination further.
- Promote independence to keep people living at home or within the community for longer and reduce admissions to residential care. In doing this, promote housing options such as sheltered housing and supported living.
- Give people more choice and control over their own care through initiatives such as direct payments.
- Work with the voluntary, community, public and private sector in Swansea and the wider region to promote community action, build capacity and develop projects for communities to run services, manage assets.
- Develop a third sector strategy and a compact outlining how we plan to work and communicate with the third sector.
- Improve the cohesiveness of communities so that people like where they live and who they live with.
- Undertake further widespread community engagement about the future role of the council and how we can support residents, families and communities to support themselves.
- Engage with communities further to increase community involvement in local services.

- Provide community information, advice and signposting to enable people to take advantage of community based resources and help them meet their own needs.
- Promote better working with our partners and clarify our roles so our relationships are effective and enable us to plan better to meet the needs of our residents.
- Improve council planning with improved intelligence so that we have a more informed view of community needs.

## **What has worked?**

### *Prevention*

In 2016/17, the Council approved a draft *Prevention Strategy* for consultation. This Strategy will provide the framework for preventative work for people of all ages. Continuing the work and areas needing development from 2015/16, the Council has progressed some of the projects funded under the 'Prevention Budget' into 2016/17. For example, the Adult Family Group Conferencing scheme aims to mediate between families and was reshaped to focus more on those people who are vulnerable but have not yet reached the point where they need long-term support from Social Services. Work is still underway, however further results will emerge in 2017/18.

### *Independent living at home and in the community*

The ethos in Adult Services is to provide people with the lowest level of support possible to help maintain their independence. Work has been undertaken in Adult Services to refocus the home-based and residential short-term Reablement service. The service supports individuals to regain skills and independence so they are able to remain at home for longer. This work has led to more people leaving the service either with no care or with reduced support at home. In line with this approach, support at home and other accommodation options are considered first with residential care always considered as the last resort. This is supported by the following key management information:

- the numbers of people being financially supported in residential care has remained fairly static (1,319 in 2016/17 compared to 1,312 in 2015/16);
- the number of people receiving support at home has increased which is viewed as a positive (4,379 people were supported in 2016/17 compared to 3,826 in 2015/16);
- there has been a steady increase in those receiving direct payments in Swansea, which demonstrates that more people are opting to have more choice and control over their care (522 people received a direct payment in 2016/17, compared to 358 in 2015/16).

The Commissioning Review of domiciliary care concluded in 2016/17. This set out the approach that the Council plans to take to ensure people are able to remain at home for longer and be as independent as possible. The public were consulted on the outcome of this review and the service will now be reshaped in 2017/18.

#### *Supporting independence – Local Area Co-ordination*

The Local Area Coordination initiative seeks to embed Local Area Co-ordinators in communities to support vulnerable people. This continued in 2016/17 and expanded into 3 new areas: Uplands, Pontarddulais & Penllergaer and the City Centre. 254 new introductions to Local Area Coordinators were made. In those areas supported, the Coordinators provide a valuable community resource to signpost people to appropriate information, advice and assistance, and connect people in communities. Additional funding was also secured to expand into 4 more areas and recruitment for the Coordinators for these areas will commence in 2017/18.

#### *Information, advice and assistance*

In line with the Social Services and Wellbeing (Wales) Act 2015, all Local Authorities are required to ensure that they have arrangements in place to provide information, advice and assistance to all those who might need it from a social care point of view. To this effect, the Local Authority has signed up to the DEWIS information platform and in 2016/17 plans commenced to develop this approach at key contact points across the Council. In Social Services, both Adult Services and Child and Family Services are already ensuring that they provide appropriate information, advice and assistance. This initiative needs to spread further to all front facing parts of the Council. This will allow the Authority to work closer with community groups and partners to showcase a directory of local services, support networks, agencies and partners. By accessing services that matter to them, this transformation project will enhance the wellbeing of individuals across regions throughout Wales.

#### *Transformation*

Transformation work has taken place to ensure that those services that are vital preventative services in the community are sustainable. For example, transformation staff have supported Social Services to review the joint equipment store and community alarm service. The service was in need of review to ensure it used modern systems and processes, as well as an appraisal of commissioning options.

Work is also progressing at a regional level with other partners, such as health, to explore the role of assistive technology and monitoring centres in supporting vulnerable people to live independently, giving them peace of mind that they can remain safe at home and get assistance when needed.

#### *Community action and involvement*

The Council believes that in many situations community based groups can be essential partners in the delivery of services. Assets such as land and buildings can,

where appropriate, be transferred from Council ownership to community groups at nil premium. This change in ownership or management offers opportunities to extend the use of buildings or land, help secure resources, and encourage use by local people and communities.

To date the Council has successfully transferred land and buildings to Bowls Clubs, Football Clubs and Community Councils. We will continue to work with community groups where new opportunities arise if it is believed that improved and sustainable service provision can be achieved for both parties.

The Council continued to work with residents to increase recycling, with a particular focus on residents visiting our Household Waste Recycling Centres. Through converting 3 sites into Recycling Centres only, and increased engagement with visitors at the other 2 sites, waste sent to landfill from these sites has reduced by 80%. This has increased the combined recycling rate for the sites from 65% to over 85% and the Council's overall recycling performance from 59.5% to 63.7%.

## **Areas for development**

### *Prevention*

The full approach to preventative services has not yet been developed. Once the Prevention Strategy is agreed, following public consultation, work will need to be undertaken to firm up the offer of preventative services. This will see a positive impact on demand for long-term services. Further work needs to be undertaken to minimise the entry of people into long-term residential care, to keep people more independent and to remain at home for longer in line with their wishes.

### *Choice and control through Direct Payments*

Direct Payments enables individuals to purchase assistance or services that the local authority would otherwise have provided. Whilst there has been a steady increase in those receiving Direct Payments, the Social Services and Wellbeing (Wales) Act indicates that Direct Payments should be the default option. In Swansea, the strategy needs to be developed whereby direct payments are promoted and at the same time the recourse to more traditional forms of care is reduced.

In addition, work needs to be undertaken to strengthen the support service for direct payments to ensure that direct payments can be accessed more quickly. Work also needs to be undertaken to source suitable Personal Assistants for those that want to use a direct payment to recruit a suitable individual. Careful consideration also needs to be given as to whether direct payments are the best option for people; whilst they do offer more choice and control, they also present people with a degree of risk if arrangements fail. People need to be aware of and happy to accept the risk before agreeing to a Direct Payment.

### *Local Area Co-ordination and development of Information, Advice and Assistance*

Local Area Coordination has developed considerably over 2016/17, with funding secured for 11 out of the 22 intended areas. However, further funding will need to be secured to expand to all the intended areas. The use of technology to explore how people can be signposted to services using search engines, such as google maps and DEWIS needs further research. This development will lead to a directory of services in communities by utilising a common platform familiar to all.

### *Commissioning Reviews – service transformation and change*

The Council is reviewing its service delivery through the use of Commissioning Reviews to deliver improved outcomes for citizens and to ensure services are fit for the future. It was recognised that the initial approach to Commissioning Reviews could be improved to be more cross-cutting and outcome focussed. The Council's *Sustainable Swansea –Fit for the Future* programme has since been re-shaped to reflect cross-departmental themes, to pick up joint and integrated working where possible and to deliver stronger outcomes going forward.

### *Community action and involvement*

The Council will continue to refine the Community Asset Transfer Policy. Although the numbers of requested asset transfers has reduced, due to the smaller more straightforward areas having already been dealt with, the expressions of interest received have been for larger and more complex projects. It has been recognised however that sometimes a shared approach rather than a complete transfer of property and responsibility will be the optimum solution. It is also evident that the speed in which an asset is transferred is not necessarily a sign of a successful strategy. Sometimes it can take some time to ensure the community group understands and is prepared for the responsibility they are about to take on. The Council has recognised that the focus should be to empower communities with the skills and competencies they need to sustain the management of assets and services.

Going forward, the Council is increasing its commitment to its nappy recycling, and the range of products for sale at its re-use shop based in Llansamlet.

The Council will continue to support existing and any new Friends Groups to maximise biodiversity and ensure the long-term sustainability of our parks, green spaces, and assets; an example typified by exploring collaboration options to increase tree planting within the City and County of Swansea.

### *Transformation & future Council*

A new Future Council programme commenced in 2016-/7 to support the delivery of services. The initial focus has been to develop an Organisational Development Strategy and undertake a review on the service outcomes needed for the future. The aim is to develop our workforce and embed a "One Council" way of working. The Future Council programme will seek to build upon good practice already happening in

social services and other parts of the public sector to develop co-production between the Council and citizens to develop and deliver services.

### **What are we going to do during 2017/22?**

We have undertaken a review of our priorities and our Corporate Plan. The *Building Sustainable Communities* priority is replaced for 2017/22 with a new *Transformation & Future Council* objective.

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

This is now addressed in our new Corporate Plan 2017/22 through our *Transformation & Future Council* priority and four other priorities (Well-being Objectives) that are broader in scope, more cohesive and interlink with each other more meaningfully to better show our contribution to the social, cultural, environmental and economic well-being of Swansea and Wales.

We plan to:

- 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.



### **Part 3 – Working in partnership with others in 2016/17**

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

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

#### **Waste Management**

##### **How has the Council exercised its powers and what are the intended outcomes?**

We are working with Bridgend Council on a regional Food Waste solution. An interim regional contract is in operation while a long-term regional contract is well advanced and due to be in place by August 2017. This will result in a cost efficient, environmentally beneficial solution and provide the region's food waste disposal needs for the next 15 years.

We are collaborating with Welsh Government, Pembrokeshire, Carmarthenshire, Neath Port Talbot and Bridgend to explore the viability of a regional residual waste treatment solution utilising Energy from Waste technology.

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

##### **What progress have we made towards the intended outcomes?**

The latest position is as follows:

###### *Anaerobic Digestion (Food Waste) Procurement*

An interim 2-year contract started in August 2015, with the well-advanced and long-term solution starting in August 2017.

###### *Residual Waste Procurement*

Discussions have been held with Welsh Government and other regional authorities to confirm intention to participate in feasibility studies. A soft marketing exercise to inform the scope of the procurement is due to be completed by the end of 2017.

## **Education – School Improvement Services**

### **How has the Council exercised its powers and what are the intended outcomes?**

The collaboration to deliver a regional school improvement service through ‘ERW’, the regional consortium covering south-west and mid-Wales, continues to be developed and refined.

The six authorities in the region are split into three operational hubs, Swansea and Neath Port Talbot, Carmarthenshire and Pembrokeshire, Ceredigion and Powys. A jointly employed Head of Education Improvement directs the school improvement service for Swansea and Neath Port Talbot.

### **What progress have we made towards the intended outcomes?**

The national system for categorising schools has been applied across the region by teams of Challenge Advisers. This is bringing about increasing consistency in challenge and support to schools to help them improve.

In the autumn term 2016, 43 out of 93 primary and secondary schools in Swansea were ‘green’, which is the category for highly effective schools where the least amount of support is required. There was a target to increase this so that at least 75% of schools are in the ‘green’ or ‘yellow’ category by 2017. This was achieved in autumn term 2016 year where 79 of the 93 primary and secondary schools achieved ‘green’ or ‘yellow’ categorisation.

## **Economic Regeneration & Planning – City Region**

### **How has the Council exercised its powers and what are the intended outcomes?**

The Swansea Bay City Region is comprised of four local authorities: Pembrokeshire County Council, the City and County of Swansea, Neath Port Talbot Council and Carmarthenshire County Council. It is a major driver of the Welsh economy and has a resident population of 688,000 supporting some 302,000 jobs and containing around 22,000 businesses.

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

## **What progress have we made towards the intended outcomes?**

The Swansea Bay City Region partnership, through the 'Internet Coast' publication and subsequent approval by the Welsh and UK Governments, has developed a clear strategy, which has been underpinned with identified interventions to deliver widespread and sustainable economic growth across the region. These interventions, subject to the submission and approval of detailed business cases for the eleven identified projects by the Welsh and UK Governments, and the agreement of necessary governance agreements and a delivery model, form this City Deal and will represent a 15 year, £1.3 billion commitment for the region.

A future proofed digital infrastructure will provide the transformative foundations for interventions in the Deal which, when combined, create a paradigm shift in the design, development and the application of technology within key sectors across the region. These interventions will centre on:

- The Internet of Economic Acceleration. To deliver a coherent and integrated economic development strategy for the region that incorporates the identification of demand for and potential delivery of a next generation digital infrastructure and the creation of a digital district in Swansea and its hinterland. In addition, supporting the growth in the creative industries within the region through optimising the benefits of S4C's relocation, providing a recognised, world leading supportive environment for technology businesses and start-ups; and the development of the skills required to support growth.
- The Internet of Life Science & Well-Being. To build on the existing regional assets through the expansion of research and innovation infrastructure and the piloting of a digitally integrated healthcare environment.
- The Internet of Energy. To place the region at the forefront of energy innovation in the areas of sustainable house building to address fuel poverty and in the creation of a centre of excellence to develop and exploit aspects of marine and other energy.
- Smart Manufacturing. To support the critically important regional manufacturing economy through aligning digital assets and research and development provision under Industry 4.0 principles to improve products, services and processes. In addition, developing a leading-edge innovation capability to support R&D within the steel industry in Wales and the wider UK.

Governance arrangements are being developed to deliver the City Deal. At the heart of these arrangements is an agreement that local partners will create two new bodies to oversee the implementation of this deal:

- an Economic Strategy Board, chaired by a private sector business person and with membership drawn from across the public and private sectors;
- a Joint Committee of the local authorities and chaired by a local authority Leader.

The Economic Strategy Board will set the strategic direction for the City Deal and will provide strategic advice to the Joint Committee on matters relating to the City Deal. The Board will oversee the production of the final business cases for City Deal projects before referring them to the Joint Committee and receive regular monitoring reports to assure and if necessary challenge delivery of the deal.

The Joint Committee, comprising the 4 local authority Leaders, will be responsible and accountable for all financial, staffing and legal decisions in the delivery of the deal. The Joint Committee and in partnership with the Welsh Government, will commit to deliver service reforms that will see a number of strategic functions delivered at the Regional level.

## **Transportation**

### **How has the Council exercised its powers and what are the intended outcomes?**

From 1st April 2014 Welsh Government funding for bus services changed and a new Grant, the Bus Service Support Grant, was introduced. The four South West Wales Councils worked together to prepare and publish a Regional Network Strategy in 2014 which sets out the priorities for supporting public transport across the region and how the Bus Services Support Grant will be used.

This grant is paid to Swansea on behalf of the four South West Wales Councils with administrative support from Carmarthenshire Council. The Council has collaborated closely with Swansea University, Neath Port Talbot County Borough Council and First Cymru over the past two years to ensure that high quality, high frequency public transport services were planned and put in place in order to support the large movements of staff and students between the Singleton and Bay Campuses.

These services have been very successful with the vast majority of students travelling to Bay Campus, arriving by bus. A similar joint working approach is beginning in order to support the separate new campus development being prepared by University of Wales, Trinity St. David.

The City & County of Swansea has also collaborated with Neath Port Talbot County Borough Council in the production of a 'Cycle Map for Swansea Bay'. The joint development of the map has produced a resource which seamlessly shows the available walking and cycling routes across both Local Authority areas and serves to promote the health and wellbeing of the local population as well as supporting the further promotion of sustainable transport measures.

A feasibility study on a possible Regional Wheels to Work scooter hire scheme covering Swansea, Neath Port Talbot and Carmarthenshire has been carried out which will assist those who are unable to access employment, education or training due to transport difficulties. A *Wheels to Work* Scheme started in Swansea in 2016 and its expansion is being considered.

### **What progress have we made towards the intended outcomes?**

A Regional Network Strategy for public transport was submitted to the Welsh Government in January 2014 and this was used (in conjunction with the other three regional strategies across Wales) to inform the work of the Bus Policy Advisory Group set up by the Minister for the Economy, Science and Transport.

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

## **Deliver Welsh Government Houses to Homes Empty property loan Fund**

### **How has the Council exercised its powers and what are the intended outcomes?**

Swansea Council has worked with Neath Port Talbot and Bridgend Councils to establish a loan fund for applicants wanting to repair or convert empty properties into homes.

The intended outcomes are to:

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

## **What progress have we made towards the intended outcomes?**

Continuing to act as lead authority for Western Bay region for the Houses to Homes empty homes loans scheme and new National Home Improvement Loan scheme. 41 loans have been issued to date to secure the reuse of 71 units of accommodation in Swansea.

## **Western Bay Regional Partnership Board**

### **How has the Council exercised its powers and what are the intended outcomes?**

The Western Bay Regional Partnership Board comprises representative leaders from The City and County of Swansea, Bridgend County Borough Council, Neath Port

Talbot County Borough Council and Abertawe Bro Morgannwg University Health Board (ABMUHB) together with partners in the third and independent sectors.

The regional partnership was established primarily as a health and social care programme in response to the continuing demand on social care and health services and a recognition that working jointly across the footprint of the Health Board would realise consistency of delivery for service users and also sharing of good practice.

It was also in response to the policy drive concerning collaborative working across public services in 2012 with the purpose of integrating and sharing services, and to become more effective in achieving the best possible outcomes for service users and carers across the region.

Initially, the programme covered several work streams of common interest to the core partners but after a governance review in 2013, it was recognised that the programme should be split into two tiers.

'Tier one' focuses on the key transformational projects which report directly to the WB Leadership Group Board and the WB Partnership Forum; 'Tier two' are those work streams that deliver 'business as usual' collaborative action.

### **What progress have we made towards the intended outcomes?**

A regional Population Assessment has been completed for the Western Bay region and is due to be published on 1st April 2017 on [www.westernbay.org.uk](http://www.westernbay.org.uk) The purpose of the Population Assessment is to ensure that Local Authorities and Local Health Boards jointly produce a clear and specific evidence base in relation to care and support needs and carers' needs to underpin the delivery of their statutory functions and inform planning and operational decisions. This will ensure services are planned

and developed in an efficient and effective way by public sector partners to promote the well-being of people with care and support needs.

The Population Assessment will drive change by enabling both Local Authorities and Local Health Boards to focus on preventative approaches to care and support needs. It will provide the information required to support resource and budgetary decisions; ensuring services and outcomes are targeted, sustainable, effective and efficient. It will underpin the integration of services and particularly support the duties set out in Part 9 of the Act.

A joint programme office continues to support the Board's work programme, with resources identified by partners and work is progressing towards a pooled budget to support this infrastructure for the next 3 years.

There are a number of regional services and pooled fund arrangements which have developed within the Western Bay area over the last few years. A partnership agreement (Section 33) was agreed for Intermediate Care Services for each locality in Western Bay and is managed through Joint Partnership Boards in Bridgend, Neath Port Talbot and Swansea.

Partnership agreements (Inter-Authority agreements) have also been developed and agreed for the regional Integrated Family Support Services, the regional Adoption Service, the Joint Equipment Store and the regional Youth Offending Service. Work is currently underway to develop a partnership agreement (Section 33) for the Area Planning Board, which oversees a regional Substance Misuse Service.

A regional Care Homes Strategy has been completed and the next stage of implementation will be the development of a pooled fund for care homes accommodation.

Western Bay partners are committed to the implementation of the national Welsh Community Care Information Solution (WCCIS), with Bridgend County Borough Council already live. This system will further enable the integration of health and social care through the sharing of information, which will underpin the whole work programme within Western Bay.

Western Bay partners are continually working towards ensuring services and resources are used in the most effective and efficient way to improve outcomes for people in their region, examples of which are included in this report.

### **Other important developments:**

**Integrated Autism Service** - work has begun to develop a regional Integrated Autism Service, which will be consistent with the national model currently being rolled out across Wales. The integrated autism service will be all age, integrated and outcome focussed and the service aim is to address the gaps highlighted in the recent national consultation, for example, diagnosis and assessment services for adults, support for emotional and behavioural issues, support for ASD specific issues and life skills and access to social and leisure opportunities within communities

**Advocacy for Children** – by reviewing the current advocacy offer to children to ensure an independent advocacy service is available to eligible children. The Board expects to take forward a commissioning programme for a new regional advocacy service based on a national approach.



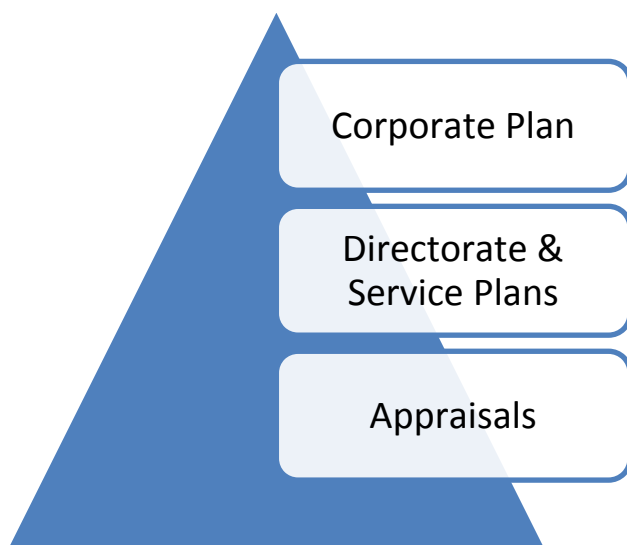
## Part 4 – Performance Information and its use

### Introduction

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

### Plans and Improvement

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



The **Corporate Plan 2015/17 *Delivering for Swansea*** identified 5 key priorities:

- 1) Safeguarding Vulnerable People
- 2) Improving Pupil Attainment
- 3) A Vibrant and Viable City and Economy
- 4) Tackling Poverty
- 5) Building Sustainable Communities

This Annual Review of Performance 2016/17 sets out our own evaluation of our performance meeting these priorities.

The Well-Being of Future Generations (Wales) Act 2015 means that public bodies in Wales must deliver Sustainable Development. The Act required the Council to develop 'Well-Being Objectives' published in its Corporate Plan by 1<sup>st</sup> April 2017. These will show how the Council is maximising its contribution to the seven national goals using 'Sustainable Development Principle', known as the 5 ways of working, set out in the Act.

The Council's 5 key priorities were initially carried forward into 2017/18 and were set out within a 'Well-being Statement', which had to be published as required by the Act before 31 March 2017 and prior to the local government elections in May 2017.

Following the local government elections, the Council reviewed and revised its priorities and adopted a new Corporate Plan 2017/22 "*Delivering a Successful Swansea*". A summary of the Council's Well-being Statement was incorporated into the new Corporate Plan.

Our priorities for 2017/22 that are set out within our new Corporate Plan for 2017/22 are:

- **Safeguarding people from harm** - so that our citizens are free from harm and exploitation.
- **Improving Education and Skills** - so that every child and young person in Swansea gains the skills and qualifications they need to succeed in life.
- **Transforming our Economy and 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 and Future Council development**- so that we and the services that we provide are sustainable and fit for the future.

Our Well-Being Statement and new Corporate Plan 2017/22 can be found here:

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

This discharges our duties under the Well-Being of Future Generations (Wales) Act 2015 and Local Government Measure (Wales) 2009 to set Well-being Objectives and Improvement Objectives.

Our priorities show the Council's contribution to Wales' seven national goals described within the Well-Being of Future Generations Act and describes how we will maximise this contribution to the national goals and to the social, cultural, environmental and economic well-being of Swansea by working in line with the sustainability principles set out within the Act.

More of the Future Generations Act can be found here:

<http://gov.wales/topics/people-and-communities/people/future-generations-act/future-generations-act-video/?lang=en>

<http://gov.wales/topics/people-and-communities/people/future-generations-act/?lang=en>

The Council works with its partners through the Public Service Board as required by the Future Generations Act to determine what the collective priorities for the whole of the people of Swansea are. These joint priorities are published in the **One Swansea Plan**, which is then delivered, monitored and updated together with partners. This will be replaced in April 2018 by a Well-Being Plan, as required by the Act.

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

### **Managing risks**

Delivering such a wide range of diverse services often within regulatory frameworks at a time when finances and resources are under considerable strain means that Councils are increasingly dealing with uncertainty and managing change. At the same time, Councils are under increasing pressure to deliver better services in new and innovative ways. All of this attracts **risk** (and opportunities) which need to be effectively managed and controlled.

Risk is managed at different levels within the Council. Service, departmental and corporate risks are managed through service, departmental and corporate risk registers. Specific project risk is managed within individual projects, such as risks that affect the community as a whole, for example flood risks, are identified and managed collectively by the Council and its partners through their resilience arrangements.

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

The Council agreed a new Risk Policy in 2017/18, which can be found here:

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

### **Monitoring and scrutinising performance**

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

The Council monitors and reports performance of services against agreed targets on a quarterly and annual basis at Cabinet and Scrutiny. This provides opportunities to look at any problems and to put them right and also to inform decisions on spending and how other resources are allocated.

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

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

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

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

- Inquiry Panels: These undertake in depth investigations into policy or service areas. Inquiries in 2016/17 included; child and adolescent mental health services, building sustainable communities, tackling poverty, and school readiness. Each of these topics relates closely to one of the council's five corporate priorities.
- Performance Panels: These provide ongoing monitoring and challenge of performance. In 2016/17 there were five of this type of panel; schools; adult services, child and family services; service improvement and finance; and Public Services Board.
- Working Groups: These are one off, short pieces of work usually requiring no more than one or two meetings. Recent topics include; planning, houses in multiple occupation, local flood risk management and digital inclusion.

Scrutiny has contributed to the Council meeting its key priorities in a number of ways:

- A number of recommendations were made to improve the Council's tackling poverty strategy, on how the Council can best support residents to run services in their own communities, and on working with partners to better manage demand for child & adolescent mental health services.
- Recommendations from previous inquiries were implemented to improve and develop the Council's corporate culture, social care at home, and education inclusion.
- The work of scrutiny over the past year has also focussed on the Sustainable Swansea Programme, with all Commissioning Reviews undergoing pre-decision scrutiny, ensuring there is 'critical friend' challenge to proposed decisions.
- There is a regular 'conversation' between scrutiny and cabinet members through Chairs letters. These allow the committee and panels/working groups to

communicate quickly with relevant cabinet members following meetings. They use these letters to raise concerns, highlight good practice, and make recommendations.

- The Corporate Safeguarding Annual Report is a regular item discussed by the Scrutiny Programme Committee.
- The Schools Scrutiny Performance Panel continues to contribute to pupil attainment through its work with individual schools, and school improvement generally.
- A new inquiry into Regional Working will be getting underway during 2017.

Scrutiny meetings are accessible to the public. Agendas, reports and letters relating to all scrutiny activities are published on the Council's modern.gov online platform:

<https://democracy.swansea.gov.uk/ieDocHome.aspx?bcr=1&LLL=0>.

There is also a scrutiny blog on the work of scrutiny and impact:

[www.swanseascrutiny.co.uk/](http://www.swanseascrutiny.co.uk/).

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

<http://www.swansea.gov.uk/article/35863/Scrutiny-Reports-Library>

### **Equality and Diversity**

The Council is committed to treating people fairly and according to their needs in all its services. Legislation (e.g. Equality Act 2010, Welsh Regulations 2011 and Welsh Language Measure 2011) continues to provide a focus on achieving improvements and outcomes. 2016/17 has seen the following work undertaken:

- The first annual review of our Strategic Equality Plan (2016/20), which sets out the progress made against each of our equality objectives.
- We continue to use our expanded Equality Impact Assessment (EIA) process, which includes the UNCRC, carers, community cohesion, poverty, social exclusion and Welsh language. The process is also used to assess the equality impacts of the Council's budget and is a valuable resource to highlight potential issues regarding regulatory compliance.
- Development of procedures and processes to facilitate the adoption of local implementation of the Welsh Language Standards. Implementing and reporting on the first year of Phase II of Mwy na Geiriau / More Than Just Words (the Welsh

Government's Strategic Framework for Welsh Language Services In Health, Social Services and Social Care).

- In partnership with South Wales Police, we continue to co-ordinate and further develop the Council's engagement with Swansea's Black and Minority Ethnic (BME) and Lesbian, Gay, Bi-sexual and Transgender (LGBT) communities via our BME and LGBT Forum. We also facilitate a Disability Liaison Group, which has met with several council departments to discuss issues of joint interest.
- Since September 2013, when we became the first local authority to adopt a 'due regard' duty in relation to embedding children's rights into policy and practice, we have developed a Children & Young People's Rights Scheme. An annual report and action plan is produced to ensure we are meeting the objectives of the scheme, identifies priorities for the year, and encompasses a whole-Council approach to Children's Rights.
- Hate crime has now been included in the Draft Community Cohesion National Delivery Plan 2017-20. We will continue with the delivery of the local action plan like previous years
- The Domestic Abuse One Stop Shop (OSS) continued to develop its range of services to ensure access for all across the continuum of need. The numbers of partners involved in its delivery increased during the year with a range of new surgeries and activities on offer. Visits to the OSS continued to increase at a positive rate.
- Strategic work around the Violence Against Women, Domestic Abuse & Sexual Violence (Wales) Act 2015 began with earnest this year, with the support of the VAWDASV Partnership. This included looking at the requirements for the National Training Framework and the Welsh Government VAWDASV Strategy. The VAWDASV Partnership Framework ensured that the requirements, alongside Swansea's vision for its work were discussed and planned in a coordinated joint approach to ensure success.
- Work on the local delivery of the Welsh Government's Strategy for Older People and Ageing Well in Wales Programme was included as an interim priority for 2016/17 newly formed Public Service Board and the Healthy City Board. Key priorities were extracted from the longer-term plan to be actioned as partnership priorities for the year. An event to mark UK Day of Older People and an Ageing Well Engagement Event both attracted more than 600 people overall and the Network 50+ also held an annual meeting.

## **Sustainable Development**

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

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

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

In April 2015, the *Well-being for Future Generations (Wales) Act* was enacted by the National Assembly for Wales. The City and County of Swansea was an ‘Early Adopter’ of the act, which means that it voluntarily undertook work to further integrate and report on how sustainable governance principles are embedded into its operation. From April 2016, the Council has been subject to the Well-being Duty to deliver sustainable development. A Well-being of Future Generations Board has been formed to co-ordinate and integrate the Act and other key governance legislation throughout the organisation

To date 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.

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.

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 and 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.

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.

Areas for 2016/17 where improvement actions were planned and made include a focus on recycling at Council offices, increased efforts to tackle employee sickness absence and the wider provision of bio-diversity training.

For reference, previous reports and further information can be found at:

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

### **A focused and corporate approach to Improvement work**

The Council has developed a bespoke and corporate approach to improving performance in areas where significant improvements are required. The approach was developed as part of the Council's successful response to improvements that were required to Child & Family Services.

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

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

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

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

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

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



### *WAO Annual Improvement Report*

Every council in Wales receives an Annual Improvement Report, which is the Wales Audit Offices assessment of the state of specified themes contained within their work programme.

In 2016/17, the three main themes were governance, use of resources and thirdly improvement planning and reporting.

The Annual Improvement Report outlines the Auditor General's views on whether or not the Council is likely to comply with the requirements of the Local Government Measure (2009).

Based on the work carried out by the Wales Audit Office the Auditor General concludes in the Annual Improvement Report that ***“The Council is meeting its statutory requirements in relation to continuous improvement”***.

### *CSSIW Annual Review and Evaluation of Performance*

The latest CSSIW Annual review of Social Services in Swansea concluded in its Annual Review and Evaluation of Performance 2014/15 in October 2015 that the **Council has made strong progress in modernising its services and to be in a strong position based on its progress against areas for improvement.**

### *Estyn's evaluation of Performance*

The latest available Estyn evaluation of performance states that performance in the **Foundation Phase has improved strongly. Performance in the core subject indicator at Key Stage 3 has improved rapidly. At Key Stage 4, performance at the Level 2 threshold including English or Welsh and mathematics has improved strongly.** Performance in the **capped score indicator has improved well.** In 2015, the proportion of **pupils achieving five A\* or A grades at GCSE or equivalent qualification is higher than the average for Wales.** Performance by **pupils eligible for free school meals has improved across all main indicators. Attendance has improved well** and is now **broadly in line with the Welsh average for both primary and secondary schools.**

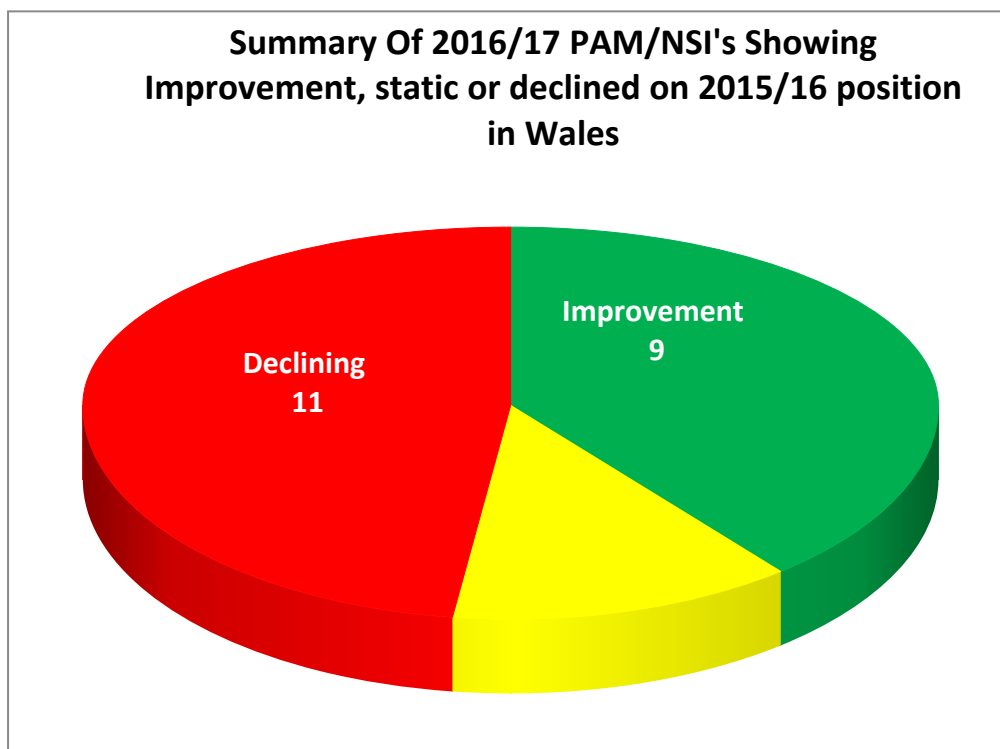
## Summary of our performance against National Indicators 2016/17

Each year, the Welsh Government and the Local Government Data Unit publish local authority performance information on a range of services, highlighting areas where there have been notable changes in the overall level of performance. This makes it possible to compare the performance of the 22 Welsh local authorities across those services. This section summarises how we performed in 2016/17 in comparison with the previous year.

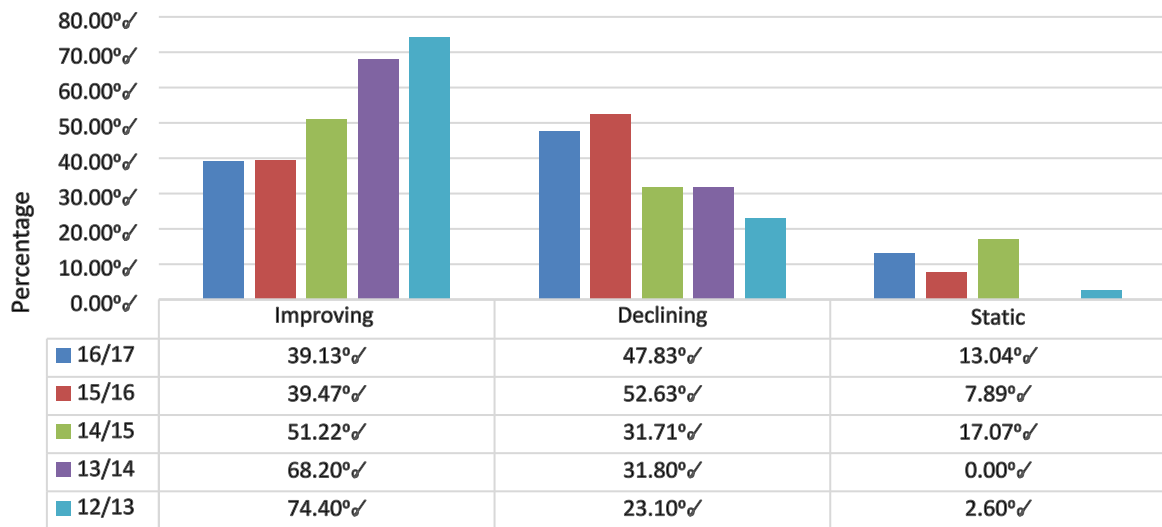
### **Local Performance Compared with the Previous Year**

In 2016/17, 25 performance indicators were collected and published nationally. Of the 25 indicators, 23 have data that can be compared against 2015/16 performance in terms of quartile position, of which:

- 9 showed an improvement, or stayed at 100%;
- 3 remained the same; and
- 11 showed a decline.



### End of Year Report Measures 16/17 (PAM and National Data Compared with previous years)



Below is a summary of the national 2016/17 results when compared to the other 21 local authorities in Wales for 2016/17. They have been split into where Swansea has appeared in each of the four quartiles.

Table A

Directorate	Top	Second	Third	Bottom	Total
People	4	2	4	1	11
Place	3	3	4	3	13
Corporate	1	0	0	0	1
<b>Totals</b>	<b>8</b>	<b>5</b>	<b>8</b>	<b>4</b>	<b>25</b>

Table B

Directorate	Improvement	Static	Declining	Total
People	3	2	4	9
Place	5	1	7	13
Corporate	1	0	0	1
<b>Totals*</b>	<b>9</b>	<b>3</b>	<b>11</b>	<b>23</b>

\* 2 Measures not analysed, as data is not comparable

Note: A Full List of Comparable National Measures can be found at <http://www.mylowalcouncil.info/>. The Council's local performance results for 2016/17 can be found at <http://www.swansea.gov.uk/annualperformancereview>

## Where to find additional information

The Performance & Delivery Service has prepared this document on behalf of the Council. If you have any questions or comments on the content of this plan, you can contact by: Email to [improvement@swansea.gov.uk](mailto:improvement@swansea.gov.uk) Telephone 01792 636852. The Corporate Plan 2016/17 can be found by clicking on the following web link: <http://www.swansea.gov.uk/corporateimprovementplan> archive

### *One Swansea Plan*

If you are interested in finding out more about the *One Swansea Plan*, then you can do so via the Council's web-site by clicking on the following web link: <http://www.swansea.gov.uk/oneswansea>. More information in the Public Service Board can be found here : <http://www.swansea.gov.uk/psb>

### *Scrutiny Board Reports*

<http://www.swansea.gov.uk/index.cfm?articleid=36785>

### *Equality & Diversity*

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

### *Sustainable Development*

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

### *Well-Being of Future Generations (Wales) Act 2015*

<http://gov.wales/topics/people-and-communities/people/future-generations-act/?lang=en>

### *Wales Audit Office inspection reports*

[http://www.audit.wales/publications?combine=&field\\_topics\\_tid\\_i18n=All&field\\_sectors\\_tid\\_i18n=55&created\\_1=All&field\\_area\\_tid\\_i18n\\_1=All&field\\_reports\\_tid\\_i18n=All&=Update+Results](http://www.audit.wales/publications?combine=&field_topics_tid_i18n=All&field_sectors_tid_i18n=55&created_1=All&field_area_tid_i18n_1=All&field_reports_tid_i18n=All&=Update+Results)

### *Estyn Inspection Reports*

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

### *Care and Social Services Inspectorate Wales (CSSIW) Inspection Reports*

<http://cssiw.org.uk/our-reports/?lang=en>

### *My Local Council*

<http://www.mylowalcouncil.info/>



# Agenda Item 10.



## Report of the Cabinet Member for Children, Education & Lifelong Learning

Cabinet - 19 October 2017

### Local Authority Governor Appointments

<b>Purpose:</b>	To approve the nominations submitted to fill L. A. Governor vacancies in School Governing Bodies
<b>Policy Framework:</b>	Policy and Procedure for Appointment of L. A. Governors as amended by Council on 23 October 2008.
<b>Consultation:</b>	Policy and Procedure for Appointment of L. A. Governors as amended by Council on 23 October 2008.
<b>Recommendation(s):</b>	It is recommended that:  1) The nominations be approved, as recommended by the LA Governor Appointments Panel.
<b>Report Author:</b>	Gemma Chapman
<b>Finance Officer:</b>	Chris Davies
<b>Legal Officer:</b>	Stephen Holland
<b>Access to Services Officer:</b>	Sherill Hopkins

#### 1.0 The nominations referred for approval

1.1 At the meeting of the L.A. Governor Appointment Panel held on 28 September 2017, nominations were recommended for approval as follows:

1. Blaenymaes Primary School	Mr Herbert Paddinson
2. Clwyd Primary School	Mr Douglas Thomas

3. Crwys Primary School	Mr Phillip Place
4. Penyrheol Primary School	Cllr Andrew Stevens
5. Pontarddulais Primary School	Mrs Jane Harris
6. Talcopa Primary School	Mrs Rebecca O'Brien
7. Waun Wen Primary School	Mrs Lynwen Barnsley
8. YGG Y Login Fach	Cllr Wendy Lewis
9. Morryston Comprehensive School	Mrs Lisa Pike

## **2.0 Financial Implications**

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

## **3.0 Legal Implications**

3.1 There are no legal implications associated with this report.

## **4.0 Equality and Engagement implications**

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

**Background papers:** None

**Appendices:** None

# Agenda Item 11.



## Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

### Corporate Complaints Annual Report 2016-2017

**Purpose:** To report on the operation of the Corporate Complaints Team, highlighting the number, nature and outcome of complaints made against the Authority, together with details of lessons learned and service improvements.

The following reports have been prepared separately in conjunction with this report, and are appended for information purposes:

- Adult Social Services Complaints;
- Child and Family Services Complaints;
- Freedom of Information Act (FOI);
- Regulation of Investigatory Powers Act (RIPA).

**Policy Framework:** None.

**Consultation:** Access to Services, Legal and Finance

**Report Author:** Andrew Taylor

**Finance Officer:** Carl Billingsley

**Legal Officer:** Tracey Meredith

**Access to Services Officer:** Sherill Hopkins

#### FOR INFORMATION

#### 1. Introduction

1.1 The City and County of Swansea is a large organisation providing a variety of services and whilst every effort is made to carry out these services accurately and professionally, complaints are made for a number of reasons.

1.2 Members of the public complain for various reasons, such as lack of action/consultation, delay, staff attitude etc. Customers wishing to voice their



dissatisfaction or concerns are dealt with open-mindedly and impartially by the Complaints Team.

- 1.3 The Council recognises that in order to meet the needs and concerns of members of the public, the monitoring of complaints is a valuable resource in its requirement to continually improve services. All complaints are taken very seriously and the Corporate Management Team receives monthly updates on complaints received, providing valuable customer insight. **Appendix 1** contains all statistical tables referred to in this report.

## **2. Requests for Service (RFS)**

- 2.1 A request for service is not a complaint (e.g. a request for service could be a request to repair an unlit lamp post). A complaint would only arise should the request for service not be properly dealt with. The Complaints Team take calls of this nature and liaise with the service department to ensure they are processed, to avoid a public perception of being “pushed from pillar to post”. A total of 1,146 service requests have been dealt with by the complaints team during 2016-2017, representing a 17% increase on the previous year’s figures.

## **3. The Corporate Complaints Process**

- 3.1 The current Corporate Complaints Policy was adopted on 01/04/2013 in line with the Welsh Government Model Complaints Policy issued in 2011.

- 3.2 It is understood that the Welsh Government Model has now been adopted by all Welsh Authorities, providing greater consistency to the way complaints are handled nationally.

### **3.3 Stage 1 Complaints**

- 3.3.1 The majority of Stage 1 complaints are dealt with by the relevant service area. When a complaint spans several different service areas, the complaints team will coordinate the handling of the complaints and provide a single, substantive response. Additionally, where a member of the public will not accept the information given to them by departmental staff, the complaints team will often work as the intermediary to try and resolve issues.

- 3.3.2 Stage 1 complaints should be responded to or actioned within 10 working days. 86% of complaints were responded to within this timescale.

- 3.3.3 Initial complaints may be made to the Complaints Team or to the Service Department. The figures shown in this report reflect Stage 1 complaints that have been received by the Complaints Team directly and those that went directly to the service departments.

- 3.3.4 Of the 1099 Stage 1 complaints received, 43% were found to be either fully or partly justified. When service delivery is below the level we would normally expect, steps are taken wherever possible to learn from mistakes in order to improve future service delivery.

3.3.5 0.7% of the complaints received were made through the medium of Welsh, or related to Welsh Language issues. In accordance with legislative requirements this information is reported to the Welsh Language Commissioner.

### 3.4 **Stage 2 Complaints**

3.4.1 If a complainant is dissatisfied with the outcome of a Stage 1 complaint, they may request that the matter be investigated by the Complaints Team, which is independent of the service department.

3.4.2 The Complaints Team will carry out an investigation, re-examining those issues with which the complainant remains aggrieved. This investigation will include a review of all relevant correspondence, and often incorporates separate discussions with both the complainant and with relevant officers from the service department(s) concerned. Stage 2 complaints should be responded to within 20 working days.

3.4.3 Complainants who remain unhappy with the outcome of the Stage 2 investigation by a Complaints Officer can refer their complaint to the Public Services Ombudsman for Wales (the Ombudsman).

## 4. **Social Services Complaints**

4.1 The handling of the majority of Social Services complaints is carried out under specific legislation and the Authority has a separate policy for such complaints. Full details of Social Services Complaints for Adult and Directorate Services dealt with under this process have therefore been reported separately in **Appendix 2**. Complaints for Child and Family Services are shown in **Appendix 3**.

4.2 In some cases, complainants are not eligible to make complaints under the Social Services complaints procedure. In these cases their complaints are handled under the corporate procedure and as such they are included in this report.

## 5. **Corporate Complaints Received**

5.1 Appendix 1 (Table 1) shows details of complaints received at stages 1 & 2 during 2016-2017. This table also shows the number of enquiries received by the complaints team which were referred to service departments as service requests.

5.2 The "Comments" section relates to cases where an individual has made a comment regarding a service as opposed to a complaint, which is then passed on to the relevant service unit for information. These comments may be negative or positive.

5.4 Appendix 1 (Table 2) provides the total enquiries received by the Complaints Team, which includes both complaints, requests for service and comments.

## **6. Cases reported to the Ombudsman**

- 6.1 Should a complainant remain dissatisfied following completion of the two internal complaint stages, they can take their complaint to the Ombudsman's office for independent investigation.
- 6.2 The Ombudsman will usually check with the Authority whether or not the complaint has been through Stages 1 & 2 of the Authority's complaints procedure. Where this has not been done, the Ombudsman will usually refer the complaint back to the Authority, to give an opportunity to attempt to resolve the complainant's concerns through our internal complaints processes first.
- 6.3 The Ombudsman publishes an Annual Report every year and full details of his report for 2016/17 can be viewed online at: <https://www.ombudsman-wales.org.uk/en/publications/Annual-reports.aspx>
- 6.4 In summary, there have been a total of 54 complaints to the Ombudsman up 22% on last year (44 cases in 2015/16). Of the 54 complaints received by the Ombudsman this year, 4 complaints were resolved by quick fix/voluntary settlement and the Ombudsman did not consider that any complaints needed to be taken to full investigation.

## **7. Service improvements introduced following complaint investigations**

- 7.1 Lessons can usually be learned from complaints received where complaints are upheld (and in many cases where the complaint was not upheld but the Authority recognises that improvements to services can be made).
- 7.2 Occasionally during the course of an investigation issues will be identified that need to be addressed over and above the original complaint. The Complaints Team will always try to look at the "bigger picture" to ensure that residents receive the best possible service from the Council.
- 7.3 Redress measures have included the issuing of apologies, small compensation payments, additional training for staff and the introduction of new procedures (e.g. the development of a new protocol for dog wardens).
- 7.4 Where Service Departments agree to take follow up action as an outcome from a complaint investigation, the Complaints Team may inform Internal Auditors (when deemed appropriate) in order to ensure that changes have been implemented. In these circumstances, compliance checks can be made as part of the next internal audit of that section.
- 7.5 Regular reminders are given to departments to follow corporate guidelines with regards to the importance of acknowledgement letters and responses.

## **8. Compliments**

- 8.1 When compliments are received they are acknowledged and forwarded to the Head of Service for the relevant service area. This has a positive impact on

staff morale and allows departments to recognise good practices. Examples of the many compliments received are shown in Appendix 1 (Table 3).

## **9. Other Functions carried out by the Complaints Team**

### **9.1 Implementing & Providing Advice on Use of the CCS Unreasonable Customer Behaviour Policy.**

9.1.1 A revised Unreasonable Customer Behaviour Policy was adopted by the Authority with effect from 1 May 2013. There are occasions when customers act in an unacceptable or unreasonable manner. In some cases the frequency and nature of their contact with the Authority can hinder the consideration of their own or other people's enquiries. In some instances the sheer number or nature of their inquiries lead them to be considered as 'persistent' or 'vexatious' in their dealings with staff. The revised policy provides a robust mechanism for dealing with situations whenever such circumstances arise.

9.1.2 The Team have issued several letters asking members of the public to moderate their behaviour and on occasion to restrict contact to a single point of contact within the Authority. Another example of restriction is where a member of the public is restricted to contacting the Council in writing only.

9.1.3 The Complaints Team collaborates with departmental staff in a consultative capacity and ensure that a consistent and corporate approach is followed in relation to the way in which they are treated by members of the public. Staff are reminded to complete HS3 forms when incidents of abusive behaviour have occurred. These forms, which are collated and recorded by the Health & Safety Unit, can be used in the decision process when consideration is given to implementing the behaviour policy.

9.1.4 The Authority has a duty of care to its staff; in line with this, a revised policy was launched with effect from May 2013, providing more comprehensive guidance on appropriate measures that may be implemented where customers' actions are deemed to be unreasonable or unacceptable.

9.1.5 More information on the Authority's Unreasonable Customer Behaviour Policy can be found at [www.swansea.gov.uk/behaviour](http://www.swansea.gov.uk/behaviour) .

### **9.2 Freedom of Information Requests**

9.2.1 Requests for information continue to be an area of high demand, with year on year increases since the inception of the Freedom of Information Act in 2000 and the right to request information which came into force on 1 January 2005. A total of 1225 FOI requests were received for the year 2016-2017. This is slightly lower than the previous year (1270 requests).

### **9.3 Subject Access Requests**

9.3.1 A Subject Access Request is a request made by an individual under the Data Protection Act for personal data held on them. Co-ordinating subject access requests is a role that the Complaints Team have undertaken since January 2010. At present the requests are in much smaller numbers than the Freedom

of Information requests, however this is also an area that is increasing as individuals become more aware of their right to have sight of their personal information. A total of 62 Subject Access requests were received this year, which is slightly higher than the previous year (59 requests).

9.3.2 Detailed analysis of both FOI & Subject Access requests can be found in the Freedom of Information Annual Report 2016-2017 at **Appendix 4**.

#### **9.4 Regulation of Investigatory Powers Act**

9.4.1 The Regulation of Investigatory Powers Act (RIPA) 2000 allows local authorities to conduct covert surveillance activity where it is required for the purpose of preventing or detecting crime or of preventing disorder. This is now subject to Magistrates Court approval.

9.4.2 Analysis of RIPA activity this year can be obtained in the Regulation of Investigatory Powers (RIPA) Annual Report 2016-2017 at **Appendix 5**.

### **10. Conclusion**

10.1 This has been the busiest year ever recorded for the Complaints Team. The total number of complaints & Requests for Service handled by the team has risen by 16% on last year, and the number of requests for information continues to be very high.

10.2 The highest standards of service are expected from all service departments irrespective of the increasing budgetary challenges faced by Local Authorities. It is therefore vital that customer expectations are carefully managed to keep complaints to manageable levels. On occasion, customer behaviour toward staff members has been unreasonable, and this has been addressed by use of warning letters asking individuals to moderate future behaviour.

10.3 In order to obtain a clearer picture of Stage 1 complaints made across the Authority and their outcomes, the central logging system for all Stage 1 Complaints has undergone further improvements and as a result is now providing better customer insight than has ever previously been available.

### **11. Equality and Engagement Implications**

11.1 The Authority reports to the Welsh Language Commissioner on the number of complaints received concerning compliance with Welsh language legislation and those made through the medium of Welsh. This year, just under 1% of all complaints fell into this category.

### **12. Financial Implications**

12.1 All costs incurred in dealing with complaints have to be covered from within existing budgets.

### **13. Legal Implications**

13.1 None.

**Background Papers:** None.

**Appendices:** Appendix 1 - Corporate Complaints 2016/17 - statistical data  
Appendix 2 - Adult Social Services Complaints Annual Report 2016/17;  
Appendix 3 - Child and Family Services Complaints Annual Report 2016/17;  
Appendix 4 - Freedom of Information Act (FOI) Annual Report 2016/17;  
Appendix 5 - Regulation of Investigatory Powers Act (RIPA) Annual Report 2016/17.

**Corporate Complaints Annual Report - Statistical data**

<b>TABLE 1: Complaints recorded from 1 April 2016 to 31 March 2017 by Service Department</b>					
<b>Service Area</b>	<b>Stage 1 Complaints</b>	<b>Stage 2 Complaints</b>	<b>Requests for Service</b>	<b>Comments</b>	<b>TOTALS</b>
Commercial Services	0	1	0	0	1
Communications and Customer Engagement	26	1	7	0	34
Corporate Building and Property services	102	9	56	11	178
Cultural Services	47	4	67	35	153
Economic Regeneration and Planning	56	16	15	8	95
Education	17	4	12	3	36
Financial Services	62	7	128	15	212
Highways and Transportation	269	27	314	63	673
Housing and Public Protection	151	28	226	32	437
HR and OD	13	8	10	1	32
Information and Business Change	1	0	3	0	4
Legal and Democratic Services	13	2	9	1	25
Poverty, Wellbeing and Communities	4	0	0	0	4
Social Services (Corporate)	48	2	43	5	98
Waste Management and Parks	338	6	256	52	652
<b>Totals</b>	<b>1147</b>	<b>115</b>	<b>1146</b>	<b>236</b>	<b>2644</b>

<b>TABLE 2: Comparison of total enquiries received with the Previous Year</b>			
	<b>1 April 2015 to 31 March 2016</b>	<b>1 April 2016 to 31 March 2017</b>	<b>% Difference (+ or -)</b>
<b>Stage 1</b>	999	1147	+15%
<b>Stage 2</b>	84	115	+37%
<b>Requests for Service</b>	975	1146	+18%
<b>Comments</b>	262	236	-10%
<b>Total</b>	<b>2320</b>	<b>2639</b>	<b>+14%</b>

<b>TABLE 3: Examples of compliments received across different service areas</b>	
<b>Service Area</b>	<b>Compliment</b>
Contact Centre	<p>I have dropped into your Civic Centre a number of times in the last over two years. There has never ever been a single time when I did not receive a warm, considerate, compassionate, caring and respectful welcome.</p> <p>Your reception, due to the people working there, is even better than a five start hotel. In fact, I would strongly suggest others to use your reception as a model of learning and training.</p> <p>Thank you very much for setting up such a high-class, professional and compassionate reception, where people come all the time with their worries and problems. I believe the whole council is like the way it is at the reception.</p>
Dylan Thomas Centre	<p>Amazing, friendly staff who interacted with children's group, nothing was too much trouble for them. Excellent info. Highly recommended.</p>
Passport to Leisure / Penlan Leisure Centre	<p>I only recently found out about the discounts available to me to access the Passport to Leisure. I would like to thank you for this benefit, given the economic climate. It is invaluable not only in helping to maintain some level of fitness and wellbeing but the social aspect of being in a peer group once again, as one would be in a working environment, is also of benefit.</p>



	My local centre is Penlan where the staff are always pleasant and helpful.
<b>Service Area</b>	<b>Compliment</b>
Park Lives	Thank you to all involved in the Celebrating Cultural Diversity Day at Blaenymaes Community Centre. 120 people engaging with the partners throughout the day.
Highways	I phoned yesterday to report blocked gullies o/s his house and they turned up today to do the work. Wanted to say thank you and what a fantastic service.
Complaints Team – compliment re Complaints Officer	I would like to now make specific reference to the customer service i received from a complaints officer yesterday. I suffer from anxiety and have difficulty expressing myself verbally but she was extremely patient with me. She listened intently and demonstrated this when she went through what I'd said. She clearly explained the complaints process, making sure i understood in a non patronising manner and when i got flustered about sending an email to your complaints mailbox she offered to email me so i could just reply. The officer went above and beyond when dealing with me. She showed patience and understanding which in this difficult time for my family was exactly what was needed. She was a pleasure to deal with and must be a great asset to your department.
Parks (Teifion)	I was a member of a group who visited Clyne Gardens on Thursday 4th May (a.m.). We had a guided tour led by Teifion, the head gardener, and I just want to say how wonderful it all was. He was exceptionally knowledgeable, and really explained everything clearly, answering our questions with excellent information. The gardens are very special, but made even more so under Teifion's care and supervision. Please pass on my compliments.
Refuse Collections	Email received from resident: I would like to say a massive thank you to the 'bin men' working within swansea city council. I lost my purse in the Winchwen area 26.03.17 and the kind worker who found my purse delivered it back to my house for me in Llansamlet. I was not home when the gentleman brought it back, Im so happy and relieved thank you so much.
Public Protection Public Health  Compliment to AM (Pest & Animal Control officer)	Good morning, I'm just writing to acknowledge the excellent service provided by your pest control department. The pest control employee visited my mother's home in Mysydd Terrace and carried out his work in a professional and efficient manner always arriving on time, polite, courteous and pleasant man. People are quick to complain but not to offer praise! We never did get his name. He is an asset to your organisation. Kind regards

## Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

### ADULT SERVICES COMPLAINTS ANNUAL REPORT 2016-2017

<b>Purpose:</b>	To report on the operation of the Complaints Team in relation to Adult Services for the period 1 April 2016 to 31 March 2017.
<b>Report Author:</b>	Andrew Taylor
<b>Finance Officer:</b>	Julie Davies
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Sherill Hopkins
<b>FOR INFORMATION</b>	

#### 1.0 Introduction

- 1.1 The City and County of Swansea (CCS) Social Services Complaints Procedure seeks to empower service users or those eligible to speak on their behalf to voice their concerns in relation to the exercise of Social Services functions.
- 1.2 With effect from 1 August 2014 revised legislation came into effect, bringing the Social Services complaints procedure into line with other complaints procedures across public services, in particular the process for NHS '*Putting Things Right*'. The Social Services Complaints Policy reflects the requirements of the new legislation and full details of the new policy can be viewed online at: [www.swansea.gov.uk/complaints](http://www.swansea.gov.uk/complaints) . The legislation requires the reporting of additional information which has been incorporated into this report.
- 1.3 CCS Adult Services are committed to ensuring that concerns raised are listened to and resolved quickly and efficiently. Lessons learned from this process are fed back to relevant teams and used wherever possible to improve future service delivery.
- 1.4 Our aim is to resolve complaints at the earliest opportunity and teams are encouraged to be proactive in achieving this goal.

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

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

## **2. Total Complaints received during the reporting period**

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

2.2 The total number of Stage 1 complaints received this year has increased by 14% in comparison with figures for the previous two years.

2.3 One anonymous complaint was received this year, which raised a safeguarding concern. The matter was therefore referred to the safeguarding team.

2.4 Under the Social Services complaints policy, both the old and new legislative framework allow complainants to immediately request a stage 2 investigation. Through efforts to resolve complaints internally wherever possible, the number of stage 2 complaints this year remains relatively low.

## **3. Analysis of Stage 1 Complaints**

3.1. A detailed breakdown of the Stage 1 Complaints received by Service Area is shown in **Table 2**. Complaints need to be acknowledged within 2 working days, and in 94% of cases where complaints proceeded to conclusion, discussions took place within 10 working days.

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

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

#### **4. Stage 2 Complaints**

- 4.1 Complaints are considered at Stage 2 of the complaints procedure either where we have not been able to resolve the issues to the complainant's satisfaction at stage 1, or the complainant has requested that the matter be immediately considered at Stage 2.
- 4.2 Both the old and new social services complaint regulations give an eligible complainant a statutory right to request Stage 2 of the process. Complainants are able to request that their complaint is dealt with directly at Stage 2 should they wish, and is not dependent on having been investigated at stage 1 or the outcome at stage 1.
- 4.3 An independent person is commissioned for a Stage 2 investigation. A formal report is produced which presents the facts and considers the feelings around the difficulties to suggest ways to move forward. Resolution and applying lessons learned is the prime objective of the complaints procedure.
- 4.4 **Table 3** provides a summary of the complaints handled at Stage 2 of the complaints process.
- 4.5 The Social Services Complaints Procedure has set criteria as to who can raise a complaint under that policy. Where an individual is not eligible to make a complaint under the Social Services complaints policy, their concerns will be handled through the Authority's Corporate Complaints Procedure.
- 4.6 The timeframe for dealing with Stage 2 complaints is 25 working days under the Social Services complaints policy, or within a reasonable time agreed with the complainant due to the complexity of a case or where enquiries could be extensive to provide a comprehensive review. For complaints made after the implementation of the new regulations, where an extension of time is sought this will normally only be granted with the permission of the Chief Social Services Officer or other delegated officer on their behalf. All investigations this year were subject to extended periods of time.
- 4.7 Whether the complaint is upheld or not, staff need to reinstate confidence in a good working relationship with the service user or their representatives, to move forward following the formal Stage 2 Process. There have been 4 complaints taken to Stage 2 in this reporting period.
- 4.8 **Summary of Stage 2 complaints**
- 4.9 **Case 1: Care Home Quality Team – 0 out of 5 complaints upheld**
- 4.9.1 This complaint had a two distinct elements. Firstly, concerns were raised relating to a safeguarding referral, which is considered under a different procedure (Protection of Vulnerable Adults). Secondly, the family were concerned about a lack of support from social services identifying a way

forward to meet their parents' needs jointly. The investigator did not uphold any of the complaints and made no recommendations.

#### **4.10 Case 2: Community Support Team - 3 out of 7 complaints upheld**

4.10.1 This complaint concerned a family complaining that their son's needs were not properly assessed prior to reducing support needs. The family didn't feel that the local authority gave a satisfactory explanation as to how the decision was made.

4.10.2 Recommendations were made in the investigator's report for a new, holistic assessment involving an OT and Speech and Language Therapist to be carried out as a matter of urgency to ensure that the care package would enable the service user to live independently at home. The Head of Service apologised for failings identified in the report and accepted the recommendations of the Independent Investigator. Officers were instructed to involve the parents in the reassessment process and that their needs were considered before coming to any conclusions.

#### **4.11 Case 3: North Hub - 1 out of 6 complaints upheld**

4.11.1 The complainant had concerns that the Local Authority did not properly explain the funding requirements of her husband's respite care and also expressed concerns that the family were not given copies of assessments / support plans at the outset of their involvement with social services.

4.11.2 Apologies were provided for the failure in providing the complainant and her husband with copies of the assessment or support plan at the time of assessments and reviews.

#### **4.12 Case 4: Community Alarms - 5 out of 7 complaints upheld**

4.12.1 A lifeline user was in receipt of an additional service whereby automated daily telephone reminders were made to the service user to take regular medication. Despite raising concerns regarding the effectiveness of the system, the family felt that the matter was not dealt with via the complaints procedure as quickly as it should have been.

4.12.2 The investigation made recommendations that included:

- a review of equipment testing processes to ensure that all equipment is fully operational upon installation and at subsequent review periods thereafter;
- a review of the stock control system relating to lifeline equipment;
- a review of the contractual arrangements between the Authority and the equipment supplier;
- an apology to be provided for a lack of clarity in the stage 1 complaint response letter;
- an apology for the failure of the service department to notify the complainant of the complaints procedure at the outset.

## **5.0 Complaints made to the Public Services Ombudsman for Wales (PSOW)**

5.1 The remit of the Public Services Ombudsman for Wales is to identify whether a member of the public has suffered hardship or injustice through maladministration, or identify where services have fallen below a reasonable standard. There is an obligation for a report to be produced on any investigation the office accepts. The reports produced are defined under two separate headings. Section 16 (Public Interest) Reports, for which there is a requirement for the Authority to publish details and Section 21 Investigation Reports which do not need to be published. Further details of the role of the PSOW can be found at <http://www.ombudsman-wales.org.uk>

5.2 The PSOW has produced his Annual Report for 2016/17, containing details of cases where the Ombudsman has identified failures in service delivery by public bodies across Wales. There have been no findings of maladministration by the Ombudsman in relation to Swansea Adult Services this year. The Ombudsman's report can be seen online at <http://www.ombudsman-wales.org.uk/en/publications/Annual-reports.aspx>

## **6. Reasons for complaints and their outcome**

6.1 Further analysis of the reasons for complaints is shown in **Table 4**. Whilst service users have unique and complex individual circumstances, complaints have been grouped under 'best fit' generic headings for reporting purposes.

6.2 Wherever possible, lessons are learned and improvements are made to service delivery when a complaint is upheld. 32% of complaints were justified/partly justified this year, consistent with the equivalent figures for 2015/16 (also 32%).

## **7. Advocacy**

7.1 Advocacy services exist to represent service recipient's views and feelings when dealing with organisations. Social Services engage in statutory arrangements to ensure the welfare of clients with mental health and learning disability needs where capacity is compromised and provide signposting to other organisations providing such services for all clients.

7.2 The Complaints Officer will work with groups and organisations providing advocacy services, to address issues and promote the provision of assistance to service-users through the complaints process. Effective engagement with advocacy services empowers more individuals and groups to make use of the complaints process at the earliest opportunity.

## **8.0 Compliments**

- 8.1 Adult Services have received in excess of 100 compliments over the course of the year. Set out in **Table 5** are examples of some of the compliments which have been passed to the complaints team in relation to Adult Services. The individual staff members have been made aware of the compliments concerning them as has the Head of Service.
- 8.2 As well as substantial acknowledgements of thanks from service users that are given to staff at the point of service delivery, service users, relatives or friends can convey their appreciation more formally through the Comment or Compliment process.
- 8.3 Many complaints are often accompanied by compliments for other elements of service provision.
- 8.4 Compliments received are an equal reflection of individual and team efforts and Adult Services teams should be encouraged by their successes having regard to compliments received.

## **9. Equality and Engagement Implications**

- 9.1 There are no direct equality and engagement implications arising from this report.

## **10. Financial Implications**

- 10.1 All costs incurred in dealing with complaints have to be covered within existing Budgets in Corporate Services.
- 10.2 External Independent Investigators and Independent Persons may be appointed to deal with some complaints in accordance with legislation. The cost to the Authority of providing this service in 2016/17 for Adult & Directorate Services was £18,540

## **11. Legal Implications**

- 11.1 Complaints should be administered in accordance with the regulations outlined in paragraph 1.2 above.

**Background papers:** None

**Appendices:** Appendix 1 – Statistical Data Tables

## **Appendix 1 – Statistical data in Tables**

<b>Table 1 - Total number of complaints received by Complaint Team</b>			
<b>Year</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
Service Requests	5	6	29
Corporate	15	18	19
Stage 1	88	89	100
Stage 2	12	4	4
Stage 3	1	-	-
Ombudsman	3	4	5
<b>Totals</b>	<b>124</b>	<b>121</b>	<b>157</b>

<b>Table 2 – Stage 1 Social Services complaints by Service Area</b>	<b>Total</b>
Bonymaen Residential Home	1
Care Home & Quality Team	2
Central Hub	8
Commissioning	1
CMHT1	3
CMHT2	1
Community Services Hub	8
Community Support Team	3
Contracting	3
DCAS Central Hub	4
DCAS North Hub	8
DCAS West Hub	3
Financial Assessments	11
Gorseinon Community Service	1
Intake Team	2
Integrated Support / Care Planning	1
Mental Health & Adult Protection	7
Morrison Hospital SW Team	1
North Hub	11
Occupational Therapy Service	4
Safeguarding	4
Singleton Hospital SW Team	1
Townhill Team	1
Transition Team	2
The Hollies Residential Home	1
West Hub	6
Adult Services General	2
<b>Total number of Stage 1 SS complaints</b>	<b>100</b>

<b>Table 3 – Stage 2 Social Services complaints by Service Area</b>		<b>Total</b>
<b>Service</b>	<b>Outcome</b>	<b>ID</b>
Care Home Quality Team	0 out of 5 complaints upheld	Case 1
Community Support Team	3 out of 7 complaints upheld	Case 2
North Hub	1 out of 6 complaints upheld	Case 3
Community Alarms	5 out of 7 complaints upheld	Case 4



<b>Table 4</b> <b>Reason for Complaints and their outcome</b>	No. of Complaints	Justified	Not Justified	Partially Justified	Not Pursued	Withdrawn	Not Eligible	Referred to NHS	Impasse	Local Resolution	Directed to another Forum	Referred to another Agency	For Information Only	Referred to POVA	Referred for New Assessment	Policy Matter	Department to action / monitor
Delay in assessment	1				1												
Delay in service after assessment	1											1					
Delayed hospital discharge	1				1												
Financial Errors	4	1		2	1												
Historical Matters	2						1							1			
Issues with direct payments	2		1	1													
Lack of carers	1												1				
Lack of resources	1		1														
Lack of support	4	1	2										1				
Not following procedure/policy	2							1	1								
Poor standard of care	1													1			
Request for information	3						1						2				
Safeguarding concerns	5													5			
Staff attitude	7	2	1	1						1				2			
Unhappy with action taken	21	4	4	4	1						1			6		1	
Unhappy with charges levied	9	2	3		2		1									1	
Unhappy with decision	6		5									1					
Unhappy with level of service	27	10	6	3	3			1		2			1	1			
Unhappy with response	1				1												
Withdrawal of service	1				1												
<b>TOTALS</b>	<b>100</b>	<b>20</b>	<b>23</b>	<b>11</b>	<b>11</b>	<b>0</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>3</b>	<b>1</b>	<b>2</b>	<b>5</b>	<b>16</b>	<b>0</b>	<b>2</b>	<b>0</b>

**Table 5 – Examples of Compliments Received**

Teams	Compliments Received
Central Integrated Hub	<p>Email from relative</p> <p>'I would like to express my thanks and gratitude to both social workers for their speedy response to my request for assistance and for the professional way they both dealt with the situation. This has meant that Mr &amp; Mrs X are now able to remain at home with the support arranged by the SW from the DCAS assessment team (who also provide an excellent service) from your department's Occupational Therapy service who has also provided an equally professional response, please extend my thanks to them also. One sometimes hears of negative stories about your Department, it's a pity that the public do not hear more about the tremendous work you all do in supporting Older People in Swansea to remain in their homes.</p>
Hospital Social Work Team	<p>Thank you email from a relative:</p> <p>'You have been such an amazing support. Thank you. You have gone above and beyond to help him, and I'm so grateful. It has given him a huge amount of confidence knowing that you believe him too. Thanks again for all your help. '</p>
Occupational Therapy	<p>Thank you, thank you, thank you. By suggesting the changes in my home you have given me my life back. Here's to you helping many more people who feel trapped in their homes. There was definitely someone looking down on you when you chose your career!</p>
DCAS West Hub	<p>A letter from a service user and his wife who initially completed 10 days care and support from the Dom care team. They were deeply impressed with the quality of support, the care received and the staff showed real understating of their situation. The staff were skilled, helpful and courteous at all times, which made a huge difference to their lives allowing them to get back on their feet.</p>
Bonymaen House	<p>A very big thank you to all the staff at Bonymaen House for the care and attention received during my stay. A relaxing and friendly atmosphere and encouragement from everyone who helped me recover.</p>
Intake Team	<p>Call to Intake to thank them for their assistance with family member</p>
Senior Management Team	<p>Thank you letter to Head of Adult Services in response to a complaint. My wife and I are completely satisfied with your commendable, thorough investigation into this matter and wish to thank you for the compassionate manner with which you have worded your response to my initial enquiry.</p>

Hospital Social Work team	Email from relative: I am writing now just to thank you for all the help you gave to us (and especially to me) during my mother's last weeks. I am immensely grateful to you for keeping me so well informed about what was going on in Swansea, and also for your great kindness, concern, and assistance in arranging practical matters. You really did help to make a very difficult time easier, and I am deeply grateful to you. Thank you very much indeed.
Ty Waunarlwydd	Thank you for your care and consideration given to our mother over the years she has lived at Ty Waunarlywdd. She was always happy and content.
North Hub	Thank you card from family members to the team thanking the team for their help, understanding and management of care of their mother.

Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

**CHILDRENS SERVICES COMPLAINTS  
ANNUAL REPORT 2016-2017**

<b>Purpose:</b>	To report on the operation of the Complaints Team in relation to Childrens Services for the period 1 April 2016 to 31 March 2017.
<b>Report Author:</b>	Andrew Taylor
<b>Finance Officer:</b>	Julie Davies
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Sherill Hopkins
<b>FOR INFORMATION</b>	

**1.0 Introduction**

- 1.1 The City and County of Swansea (CCS) Social Services Complaints Procedure seeks to empower service users or those eligible to speak on their behalf to voice their concerns in relation to the exercise of Social Services functions.
- 1.2 With effect from 1 August 2014 revised legislation came into effect, bringing the Social Services complaints procedure into line with other complaints procedures across public services, in particular the process for NHS '*Putting Things Right*'. The Social Services Complaints Policy has been revised to accommodate the requirements of the new legislation and full details of the new policy can be viewed online at: [www.swansea.gov.uk/complaints](http://www.swansea.gov.uk/complaints) . The legislation requires the reporting of additional information which has been incorporated into this report.
- 1.2.1 CCS Childrens Services are committed to ensuring that concerns raised are listened to and resolved quickly and efficiently. Lessons learned from this process are fed back to relevant teams and used wherever possible to improve future service delivery.
- 1.4 Our aim is to resolve complaints at the earliest opportunity and teams are encouraged to be proactive in achieving this goal.

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

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

## **2. Total Complaints received during the reporting period**

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

2.2 The number of Stage 1 complaints received this year remains broadly in line in with last years' figure.

2.3 Under the Social Services complaints policy, both the old and new legislative framework allow complainants to immediately request a stage 2 investigation. Through efforts to resolve complaints internally wherever possible, the number of stage 2 complaints this year remains relatively low.

## **3. Analysis of Stage 1 Complaints**

3.1. A detailed breakdown of the Stage 1 Complaints received by Service Area is shown in **Table 2**. Complaints need to be acknowledged within 2 working days, and in 95% of cases where complaints proceeded to conclusion, discussions took place within 10 working days.

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

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

## **4. Stage 2 Complaints**

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

- 4.2 Both the old and new social services complaint regulations give an eligible complainant a statutory right to request Stage 2 of the process. Complainants are able to request that their complaint is dealt with directly at Stage 2 should they wish, and is not dependent on having been investigated at stage 1 or the outcome at stage 1.
- 4.3 An independent investigator person is commissioned for a Stage 2 investigation, with the work of the investigator overseen by an independent person to ensure the investigation is carried out in a fair and proper way. A formal report is produced which presents the facts and considers the feelings around the difficulties to suggest ways to move forward. Resolution and applying lessons learned is the prime objective of the complaints procedure.
- 4.4 **Table 3** provides a summary of the complaints handled at Stage 2 of the complaints process.
- 4.5 The Social Services Complaints Procedure has set criteria as to who can raise a complaint under that policy. Where an individual is not eligible to make a complaint under the Social Services complaints policy, their concerns will be handled through the Authority's Corporate Complaints Procedure.
- 4.6 The timeframe for dealing with Stage 2 complaints is 25 working days under the Social Services complaints policy, or within a reasonable time agreed with the complainant due to the complexity of a case or where enquiries could be extensive to provide a comprehensive review. For complaints made after the implementation of the new regulations, where an extension of time is sought this will normally only be granted with the permission of the Chief Social Services Officer or other delegated officer on their behalf. All investigations this year were subject to extended periods of time.
- 4.7 Whether the complaint is upheld or not, staff need to reinstate confidence in a good working relationship with the service user or their representatives, to move forward following the formal Stage 2 Process.
- 4.8 There were 3 complaints received in this reporting period that went to investigation at Stage 2.
- 4.9 **Summary of Stage 2 complaints**
- 4.15 **Case 1: Looked After Children (LAC) Team: 8 out of 18 investigated complaints upheld / upheld in part**
- 4.15.1 A number of complaints were received from a couple who felt they were not receiving sufficient support from Social Services, including poor communication from social workers and failures to respond to enquiries.
- 4.15.2 The investigation found that the support provided had not met the standard that would normally be expected and that communication should have been better. Apologies were provided for the shortcomings that were identified and

additional training provided to staff to ensure better support and communication would be provided in future.

#### **4.16 Case 2: Swansea Valley Team: 0 out of 6 complaints upheld / upheld in part**

4.16.1 The complainant was unhappy with the lack of communication from Social Services, including not being invited to meetings, failure to provide updates and not returning calls.

4.16.2 There was evidence to show that the complainant had been invited to some meetings but not others. A full explanation was provided as to why attendance at those meetings to which he was not invited would not be appropriate.

#### **4.17 Case 3: Swansea Valley Team: 7 out of 10 complaints upheld / upheld in part**

4.17.1 A complaint was received concerning poor communication from a social worker, including failure to attending meetings as arranged and making last minute changes to contact arrangements on a number of occasions. It was also alleged that insufficient research had been carried out when determining suitable temporary accommodation for a child following a safeguarding referral.

4.17.2 Officers have been reminded of the importance of keeping clients updated at the earliest opportunity when meeting arrangements need to be changed. The team has been asked to reflect on all areas where failings have been identified to ensure lessons are learned and operational procedures are improved.

### **5.0 Complaints made to the Public Services Ombudsman for Wales (PSOW)**

5.1 The remit of the Public Services Ombudsman for Wales is to identify whether a member of the public has suffered hardship or injustice through maladministration, or identify where services have fallen below a reasonable standard. There is an obligation for a report to be produced on any investigation the office accepts. The reports produced are defined under two separate headings. Section 16 (Public Interest) Reports, for which there is a requirement for the Authority to publish details and Section 21 Investigation Reports which do not need to be published. Further details of the role of the PSOW can be found at <http://www.ombudsman-wales.org.uk>

5.2 The PSOW has produced his Annual Report for 2016/17, containing details of cases where the Ombudsman has identified failures in service delivery by public bodies across Wales. There have been no findings of maladministration by the Ombudsman in relation to Swansea Children's Services this year.

The Ombudsman's report can be seen online at <http://www.ombudsman-wales.org.uk/en/publications/Annual-reports.aspx>

## **6. Reasons for complaints and their outcome**

- 6.1 Further analysis of the reasons for complaints is shown in **Table 4**. Whilst service users have unique and complex individual circumstances, complaints have been grouped under 'best fit' generic headings for reporting purposes.
- 6.2 Wherever possible, lessons are learned and improvements are made to service delivery when a complaint is upheld. 19% of complaints were found to be justified/partly justified this year, which is slightly lower than the equivalent figure for 2015/16 (25%).

## **7. Advocacy**

- 7.1 Advocacy services exist to represent children's views and feelings when dealing with organisations. Social Services engage in statutory arrangements to ensure the welfare of clients with mental health and learning disability needs where capacity is compromised and provide signposting to other organisations providing such services.
- 7.2 The Complaints Officer will work with groups and organisations providing advocacy services, to address issues and promote the provision of assistance to service-users through the complaints process. Effective engagement with advocacy services empowers more individuals and groups to make use of the complaints process at the earliest opportunity.

## **8.0 Compliments**

- 8.1 Adult Services have received in excess of 50 compliments over the course of the year. Set out in **Table 5** are some examples of the compliments which have been passed to the complaints team this year in relation to Childrens Services. The individual staff members have been made aware of the compliments concerning them as has the Head of Service.
- 8.2 As well as substantial acknowledgements of thanks from service users that are given to staff at the point of service delivery, service users, relatives or friends can convey their appreciation more formally through the Comment or Compliment process.
- 8.3 Many complaints are often accompanied by compliments for other elements of service provision.
- 8.4 Compliments received are an equal reflection of individual and team efforts and Childrens Services teams should be encouraged by their successes having regard to compliments received.



## **9. Equality and Engagement Implications**

- 9.1 There are no direct equality and engagement implications arising from this report.

## **10. Financial Implications**

- 10.1 All costs incurred in dealing with complaints have to be covered within existing Budgets in Corporate Services.
- 10.2 External Independent Investigators and Independent Persons may be appointed to deal with some complaints in accordance with legislation. The cost to the Authority of providing this service in 2016/17 for Childrens Services was £3,165

## **11. Legal Implications**

- 11.1 Complaints have be administered in accordance with the regulations outlined in paragraph 1.2 above.

**Background papers:** None

**Appendices:** Appendix 1 – Statistical Data Tables

## Appendix 1 – Statistical data in Tables

<b>Table 1 - Total number of complaints received by Complaint Team</b>				
	<b>Year</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
<b>Service Requests</b>		14	18	16
<b>Corporate</b>		19	21	28
<b>Social Services Stage 1</b>		150	115	118
<b>Social Services Stage 2</b>		12	3	3
<b>Ombudsman</b>		6	5	4
<b>Totals</b>		<b>204</b>	<b>162</b>	<b>169</b>

<b>Table 2 – Total Stage 1 complaints by Service Area</b>	
CCARAT	8
Child Care Legal	1
Child Disability Team	3
Conference Chairing	2
Contracting	1
Domiciliary Care (DCAS)	1
Foster Swansea	1
Friends & Family	2
Independent Reviewing Officers	2
Looked After Children	4
Looked After Children (14+)	1
Penderry Team	13
Swansea East Team	21
Swansea Valley Team	23
Swansea West Team	19
Townhill Team	15
SS General	1
<b>Totals</b>	<b>118</b>

<b>Table 3 – Total Stage 2 complaints by Service Area</b>		
<b>Service</b>	<b>Outcome</b>	<b>ID</b>
<b>Looked After Children (LAC) Team</b>	8 / 18 complaints justified	<b>Case 1</b> (see paragraph 4.15 above)
<b>Swansea Valley Team</b>	0 / 7 complaints justified	<b>Case 2</b> (see paragraph 4.16 above)
<b>Swansea Valley Team</b>	7 / 10 complaints justified	<b>Case 3</b> (see paragraph 4.17 above)

<b>Table 4</b> <b>Reason for Complaints and their outcome</b>	No. of Complaints	Justified	Not Justified	Partially Justified	Not Pursued	Not Eligible	Withdrawn	Refer to Safeguarding	Local Resolution	Impasse	Concurrent Investigation	Directed to another forum	For Information Only	Matter in court	Department to action / monitor	Not taken up	Out of remit	Escalated to Stage 2
Breach of confidentiality	2	1								1								
Child protection concerns	2											1			1			
Disagree with rules set	1					1												
Dissatisfaction with contact	5		3			1								1				
Dissatisfaction with assessment	3				1									1		1		
Excessive waiting time	1	1																
Failure to action information	1		1															
Financial issues / Direct Payments	1	1																
Inadequate home support	1							1										
Lack of consultation																		
Lack of support	2				1													1
Poor Communication	11	3	1	2	3									2				
Request for information	1												1					
Request for placement move	1					1												
Staff Attitude / Misconduct	1						1											
Unhappy with action taken	64	2	21	8	9	5	2	2	1		2		2	6		2	1	1
Unhappy with assessment																		
Unhappy with decision	7		3		2			1					1					
Unhappy with level of service	13	3	5	1			1		1				1		1			
Unhappy with response	1								1									
<b>TOTALS</b>	<b>118</b>	<b>11</b>	<b>34</b>	<b>11</b>	<b>16</b>	<b>8</b>	<b>4</b>	<b>4</b>	<b>3</b>	<b>1</b>	<b>2</b>	<b>1</b>	<b>5</b>	<b>10</b>	<b>2</b>	<b>3</b>	<b>1</b>	<b>2</b>

**Table 5 – Examples of Compliments Received**

<b>Teams</b>	<b>Nature of Compliment</b>
--------------	-----------------------------

CCARAT	Social workers and Team Leaders praised by Home Office/Oasis UK regarding the management of an Asylum seeker to Swansea.
CCARAT Team (Safeguarding)	Could I compliment your service on such a swift response. Please send this to whichever department deals with compliments as I am very impressed by the service I have received.
Child & Family	Praise from Swansea Asylum Seeker and Refugee agency, the key Welsh Refugee Council Move On Officer in Swansea (who has worked with other local authorities) praised Social Services and Housing in CCS for their rapid response, support, help and approachable manner that she has experienced whilst working with the services.
Family Group Conference unit	The judge was very complimentary of officers work in respect of the analysis, and evidence given (which took 6 hours!) and about the focus on the child's needs.
Flexible Home Support	1. Thank you card from family 2. Thank you card from family thanking for all the fun times the child had spent with them and he enjoyed this very much 3. Thank you card from family for all the support that they had provided them with.
Friends and Family	Carer was very appreciative of, and wanted to pass on thanks to worker for providing the 'most professional...structured' contact recording that she has received to date. Carer felt reassured that child's emotional safety was being considered and protected and that she as legal guardian was given a detailed and full context recording of the session.
Independent Reviewing Officers	Feedback from a Childrens Psychiatric Nurse who attended a Looked After Child review. The CPN had been involved in this case for some time, said she was very impressed with how the IRO chaired the meeting, ensuring mother's involvement in the process and innovative ideas about contact arrangements. She said the focus was very much on ensuring needs were met, which I know are complex, Clearly she was exercising your role as IRO to a very high standard to really drive the care plan.
Option 2	Compliment from a foster carer to worker: "Just to say that I really enjoyed working with you and I would HIGHLY recommend you because you are really effective and willing to go above & beyond to stand out and go the extra mile. I'm sure many families in similar situations as ours would benefit in the future from your help.

RAY Project – InfoNation	Positive feedback from school regarding the successful delivery of the Ray project, the children engaged brilliantly and another session was requested.
Supervised contact Team	From a child. Thank you, you're simply amazing. Thank you for all your guidance and support over the last six months we are going to miss you.
Transportation Unit	Compliment from a school : "I am just letting you know what a wonderful day 'A' had in Harry Potter yesterday, only made possible by you and your staff . I just want to thank you from everybody, including A's Mum for pulling out all the stops to make this happen, and on his birthday as well. We weren't quite sure how Jack would be as it is a long day, but we needn't have worried as the drivers were brilliant and made it possible for the staff and pupils just to sit back and enjoy a day that we will all never forget "
Valley Team	Email from Head Teacher thanking for the excellent communication from Social Worker to school. it has made a very difficult set of circumstances go as smoothly as could be hoped.
Valley Team	Following the granting of a Supervision Order, A Social Worker's efforts were recognised and praised by all the parties in Court and the guardian commented in his report: <i>'Likewise, the social worker has been an important catalyst in the process and her caring, professional approach has made an important contribution to the outcome for M.'</i>
West Team	Thank you text from mum to social worker who had closed the case. Mum thanked social worker for helping the family a lot and wouldn't hesitate to contact her again should she have any further difficulties.
Western Bay Adoption	Compliments from Adopters:- <ul style="list-style-type: none"> <li>• Thank you from the bottom of our hearts for helping us to become a family and also for all of your support and Guidance.</li> <li>• We would like to thank you so much for all your help our little boy has brought so much joy to our lives</li> </ul>

## APPENDIX 4

### Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

#### **FREEDOM OF INFORMATION (FOI) ANNUAL REPORT 2016-2017**

<b>Purpose:</b>	To report on requests for information made under the provisions of The Freedom of Information Act 2000 for the period 1 April 2016 to 31 March 2017
<b>Policy Framework:</b>	None.
<b>Consultation:</b>	Access to Services, Legal, Finance.
<b>Report Author:</b>	Andrew Taylor
<b>Finance Officer:</b>	Carl Billingsley
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Sherill Hopkins

#### **FOR INFORMATION**

### **1. Introduction**

- 1.1 The Freedom of Information (FOI) Act 2000 places a duty on all Public Authorities to comply with the general right of access to all types of “recorded” information held by the Authority (unless an exemption applies under the Act). This right of access to information came into force on 1 January 2005.
- 1.2 FOI Requests must be dealt with within 20 working days. Failure to comply may result in a complaint against the Council being investigated by the Information Commissioner.
- 1.3 The FOI Act is fully retrospective and applies to all information held by the Council. The Council adopted a Corporate Policy on Freedom of Information and on Records Management in December 2004.
- 1.4 The FOI policy sets out the Council’s commitment to making information publicly available unless there are sound operational or public interest reasons for not doing so or there are legal reasons preventing it.

1.5 FOI covers all recorded information held by the Authority. Recorded information may be in any format e.g. paper, floppy disk, video and includes both electronic and paper versions of records such as email messages, correspondence, reports, minutes of meetings and telephone attendance notes.

## **2. The FOI Process**

2.1 The Complaints Team logs and monitors requests for information under the Act. All FOI Requests must be in writing, however a request need not state that it is made under the FOI legislation. The information requested must be adequately described. Authorities are under a duty to provide advice and assistance to applicants. It is a criminal offence both personal and corporate to destroy information to prevent its disclosure under FOI.

2.2 Once logged, FOI's are allocated a unique number and passed to the appropriate Departmental FOI Officer. The FOI Officer decides whether to call a FOI Panel in order to consider if there is a need to apply an exemption or to release the information requested.

2.3 The Complaints Team monitor progress of the request to try and ensure that the 20 working day timescale is adhered to.

2.4 The Complaints Manager is ultimately responsible for all FOI Reviews required under the Act, which arise if the requester is unhappy with the response. The FOI decision is reviewed in conjunction with a Legal Officer and where appropriate a representative from the relevant Department.

2.5 Requesters also have a further right of appeal to the Information Commissioner's Office (ICO).

### 3. Information Request Statistics

3.1 Table 1 below shows information requests received this year, broken down by Service Area:

<b>TABLE 1 – Information Requests By Service Area</b>					
<b>Service Area</b>	<b>FOI Requests</b>	<b>Subject Access Requests</b>	<b>FOI /SAR Reviews</b>	<b>Appeals to Information Commissioner</b>	<b>Totals</b>
Information/Communication Technologies	58		1		59
Social Services (Children Services)	58	10	1	2	71
Social Services (Adult Services)	83	11	1	1	96
Communications	28		1		29
Corporate Building Services	2				2
Corporate Property Services	29				29
Culture & Tourism	56		3		59
Environment	112	1	3	1	117
Waste Management	40	1	1		42
Financial Services	193		3		196
Human Resources	74	4	3		81
Housing	66	8	3		77
Legal & Democratic Services	82	1	5		88
Planning	54	2	5		61
Education	116	9	1		126
Commercial Services & Procurement	7				7
Transportation & Engineering	167	15	6		188
<b>Totals</b>	<b>1225</b>	<b>62</b>	<b>36</b>	<b>4</b>	<b>1327</b>

3.2 Table 2 below shows the rise in information requests since 2009.

<b>Financial Year</b>	<b>Requests Received (FOI, EIR &amp; SAR)</b>	<b>Year on Year Difference</b>
2009/10	607	
2010/11	726	+119
2011/12	838	+112
2012/13	932	+94
2013/14	1154	+222
2014/15	1185	+31
2015/16	1354	+169
2016/17	1327	-27

### 4. Timeliness of Responses to FOI & EIR Requests



- 4.1 **1225** requests were received during 2016 / 2017 representing a **2.1 %** decrease on last year's figures. Of the requests received this year, (**74.9%**) were responded to within the FOI time limit of 20 working days. The response rate within timescale is an improvement on that of last year (**70.4%** for 2015/16), as a result of recent improvements in administrative processes.

## 5. Type of Applicant

- 5.1 FOI requests are received from a variety of sources. The table below gives a breakdown of the type of applicant that made the FOI Request.

<b>Table 2 - FOI Request by Type of Applicant</b>	
<b>Type of Applicant</b>	<b>No.</b>
Commercial Organisation	184
Freelance Journalist	10
Individual	752
Media	165
Not for Profit	34
Politician	75
Solicitors	5
<b>Total</b>	<b>1225</b>

## 6. Responses to FOI Requests

- 6.1 Table 3 below shows a breakdown of the type of response that the Council gave to the FOI Requestor. It is pleasing to note that **991** of the **1270** (78%) were either fully disclosed or mainly granted. This statistic clearly shows the Council's commitment to openness and transparency.

<b>Table 3 - Type of Response given to FOI Requestor</b>	
<b>Type of Response</b>	<b>No.</b>
Full Disclosure	832
Completely Refused	63
Data not held	75
Mainly Granted	128
Mainly Refused	61
Not Pursued / Withdrawn	47
Timed Out *	8
Ongoing / Incomplete	11
<b>Total</b>	<b>1225</b>

\* The "Timed Out" category is used where an applicant did not respond to a request for clarification, therefore the request could not be processed.

## 8. Responses where Exemptions were necessary to withhold Information

8.1 Table 4 below shows a breakdown of the exemptions used under the FOI Act to withhold information.

<b>Table 4 - Number of and List of FOI Exemption Used</b>		
<b>Section</b>	<b>Exemption</b>	<b>No.</b>
<b>12</b>	Cost of Redacting & Extracting Information	71
<b>14</b>	Vexatious & Repeated Requests	1
<b>21</b>	Information accessible to applicant by other means	1
<b>22</b>	Information intended for future publication	3
<b>30</b>	Investigations & Proceedings	5
<b>31</b>	Law Enforcement	7
<b>32</b>	Court Records	0
<b>36</b>	Effective Conduct of Public Affairs	0
<b>38</b>	Health & Safety	3
<b>40</b>	Data Protection	30
<b>41</b>	Information provided in confidence	2
<b>42</b>	Legal professional privilege	3
<b>43</b>	Commercial Interest	48
<b>Totals</b>		<b>174</b>

*Note: In some cases more than one exemption was used to withhold data requested.*

## 9. Reviews and Appeals

9.1 There were **36** FOI Reviews carried out during 2016/17. Of the reviews conducted, the original decision was upheld in 17 of those cases.

9.2 The Requester appealed to the Information Commissioner's Office (ICO) in **3** of those cases. Details of the ICO appeals and their outcome is summarised in Table 5 below.

<b>Table 5 - Appeals to the Information Commissioner's Office (ICO)</b>		
	<b>Information Requested</b>	<b>Outcome of Appeal</b>
Case 1	Information request relating to Public Health Funerals	The information requested was deemed to be in the public interest and the Authority was instructed to release it the requester
Case 2	Request for information about lifeline equipment	Ongoing
Case 3	Appeal against decision not to release personal information	The Authority breached requirements of the Data Protection Act because it failed to provide a complete response within the prescribed period.

## **10. Looking Forward**

- 10.1 New legislation is being introduced in May 2018 called the General Data Protection Regulation (GDPR). In order to ensure that the Authority is fully prepared for these changes, an Information Governance Unit (IGU) has been created which will focus on the introduction of this legislation and oversee all matters relating to information management across the Authority. The IGU will also be reviewing the processes used in the handling of information requests with a view to further improving both the quality of responses and the percentage of cases replied to within 20 working days.

## **11. Equality and Engagement Implications**

- 11.1 This report provides a breakdown of information concerning requests for information for the prescribed period as such reflects current practice and involves no changes to service delivery. Consequently there is no requirement for an Equality Impact Assessment.

## **12. Financial Implications**

- 12.1 All costs incurred through dealing with FOI have to be covered within existing budgets.

## **13. Legal Implications**

- 13.1 None

**Background Papers:** None

**Appendices:** None

## APPENDIX 5

### Report of the Cabinet Member for Service Transformation and Business Operations

Cabinet – 19 October 2017

#### REGULATION OF INVESTIGATORY POWERS (RIPA) ANNUAL REPORT 2016-2017

<b>Purpose:</b>	To report on the operation of the Authority's use of covert surveillance, conducted under the provisions of The Regulation of Investigatory Powers Act (RIPA) 2000 for the period 1 April 2016 to 31 March 2017
<b>Policy Framework:</b>	None.
<b>Consultation:</b>	Access to Services, Legal, Finance.
<b>Report Author:</b>	Andrew Taylor
<b>Finance Officer:</b>	Carl Billingsley
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Sherill Hopkins
<b>FOR INFORMATION</b>	

#### 1. Introduction

- 1.1 The Regulation of Investigatory Powers Act (RIPA) 2000 allows local authorities to conduct covert surveillance activity in circumstances where it is for the purpose of preventing or detecting crime or of preventing disorder. It also allows local authorities to acquire communication data from Communication Providers.
- 1.2 The process must be in accordance with the Home Office's Code of Practice for Covert Surveillance and Code of Practice on Acquisition of Communication data and this report has been prepared in line with best practice.
- 1.3 This report will provide an overview to the Cabinet of the Authority's practices and activity regulated by RIPA.

#### 1.4 Glossary of Terms

RIPA	Regulation of Investigatory Powers Act (RIPA) 2000
OSC	Office of Surveillance Commissioners – Central Government
IOCCO	Interception of Communications Commissioner’s Office
Inspection	Biennial event to monitor compliance in surveillance matters
RIPA Application	A request for a surveillance exercise
Applicant	Officer requesting surveillance
Countersigning Officer	An officer who brings further experience to the Application
Authorised Officer	Officer responsible for surveillance compliance and monitoring
CHIS [defined in Section 26(8) of the Act]	Covert Human Intelligence Source. A person is a covert human intelligence source if— (a)he establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating the doing of anything falling within paragraph (b) or (c); (b)he covertly uses such a relationship to obtain information or to provide access to any information to another person; or (c)he covertly discloses information obtained by the use of such a relationship, or as a consequence of the existence of such a relationship.
Gatekeeper	Officer responsible for administration of surveillance practice
FOI	Requests under the Freedom of Information Act 2000
Communications Data [defined in Section 21(4) of the Act]	(a) any traffic data comprised in or attached to a communication for the purposes of any postal service or telecommunication system by means of which it is being or may be transmitted; (b) any information which includes none of the contents of a communication (apart from any information falling within paragraph (a)) and is about the use made by any person— (i) of any postal service or telecommunications service; or (ii) in connection with the provision to or use by any person of any telecommunications service, of any part of a telecommunication system; (c) any information not falling within paragraph (a) or (b) that is held or obtained, in relation to persons to whom he provides the service, by a person providing a postal service or telecommunications service.

## 2. Service Delivery

- 2.1 A list of authorised officers is shown in Appendix 1.
- 2.2 Table 1 below shows the types of surveillance permitted under RIPA for Local Authority use, comparing annual usage over the last 5 years.

<b>TABLE 1 - Surveillance Permitted Under RIPA</b>					
	<b>2012-13</b>	<b>2013-14</b>	<b>2014-15</b>	<b>2015-16</b>	<b>2016-17</b>
Directed	9	4	1	1	0
Interception of Communications	0	0	0	0	0
Acquisition / Disclosure of Communications Data	44	0	0	0	0
Covert Human Intelligence Source	0	0	0	0	0

### **2.3 Directed Surveillance**

2.3.1 Directed surveillance is covert surveillance which is carried out in relation to a specific investigation which is likely to result in the obtaining of private information about a person. Since 1 November 2012, pursuant to the Protection of Freedoms Act 2012 and amendments made to RIPA legislation, such techniques may only be used where the offence under investigation either:

- (a) attracts a maximum penalty of at least 6 months imprisonment; or
- (b) is contrary to either Section 146 or 147 or 147A Licensing Act 2003; or
- (c) is contrary to Section 7 Children and Young Person Act 1993.

No authorisations were granted during 2016-17 as shown in Table 2 below. This reflects officer's commitment to explore the least intrusive method of gaining information to carry out the Local Authority's responsibilities.

### **2.4 Acquisition and Disclosure of Communications Data**

2.4.1 Since 8 February 2012, the City & County of Swansea (CCS) has subscribed to the National Anti-Fraud Network (NAFN)'s Single Point of Contact Services to acquire this information. Annual Returns are provided to the Interception of Communications Commissioner's Office on a calendar year basis.

### **2.5 Covert Human Intelligence Source (CHIS)**

2.5.1 No CHIS activity took place during this year.

### **2.6 Surveillance Activity**

2.6.1 Table 2 below shows the use of RIPA by services and its purpose within the City and County of Swansea

<b>TABLE 2 - Use of RIPA</b>		
<b>Directed Surveillance</b>		
	0	
<b>Covert Human Intelligence Source</b>		
	0	
<b>Acquisition and Disclosure of Communications Data</b>		
	0	

2.6.2 CCS operates an extensive Closed Circuit Television (CCTV) system to provide a safer environment for the community. The system is managed and developed in partnership with the South Wales Police. The use of CCTV is not covered by the same regulations as the surveillance reported on above as it is an overt not covert method of observation. A separate code of practice and annual report apply to the CCTV system and are public documents.

2.6.3 If requested the system can also be used for directed surveillance by the police for law enforcement purposes or for a specific exercise. If this does occur, the use changes from overt to covert surveillance and will be regulated by RIPA. The Police have responsibility to comply with the legislation in these cases. As a matter of transparency and good practice we will include in this report the use of our equipment for this purpose. Any specific use for local authority purposes would be reported under service usage.

2.6.4 During 2016-17, no directed surveillance requests were made by the police to utilise the authority's CCTV equipment which were conducted under Police RIPA authorisations.

### **3. Progress & Development**

3.1 Since 1st November 2012, all local authority surveillance and access to communication data authorised under the Regulation of Investigatory Powers Act 2000 (RIPA) have required the approval of a Magistrate.

3.4 The list of Authorised Officers reflects those services most likely to conduct criminal investigations which satisfy the serious crime test set out in the legislation above. This would include Trading Standards and Housing Benefit officers.

3.5 It should be noted that from 1 June 2015 Housing Benefit fraud investigations have been conducted solely by the Department for Works and Pensions.

### **4. Freedom of Information (FOI)**

- 4.1 Media coverage of incidents in other parts of the country brought to the public attention local authorities ability to use surveillance under RIPA. This was reflected in the receipt of related media enquiries.
- 4.2 There have been 2 FOI requests related to RIPA activities during the year. In both cases the requester was provided with details of past annual reports which provided the information requested.

**5. Equality and Engagement Implications**

- 5.1 There are no equality and engagement implications

**6. Financial Implications**

- 6.1 All costs incurred in dealing with RIPA have to be covered within existing budgets.

**7. Legal Implications**

- 8.1 As set out in the Report

**Background Papers:** None

**Appendices:** Appendix 1 – Authorised Officers



<b>TABLE 3 – RIPA Authorised Officers.</b>	
<b>Name</b>	<b>Department / Section</b>
Phil Thomas	Housing Benefit
Lynda Anthony Huw Morgan David Picken	Environmental Health Environmental Health Environment Health (Trading Standards)

# Agenda Item 12.



## Cabinet Member for Service Transformation & Business Operations

Cabinet – 19 October 2017

### Digital Strategy Implementation Update

<b>Purpose:</b>	To provide Members with an update on the implementation of the Digital Strategy and associated projects.
<b>Policy Framework:</b>	Transformation & Future Council
<b>Consultation:</b>	Access to Services, Finance and Legal.
<b>Recommendation(s):</b>	It is recommended that:  1) Cabinet note the progress being made and endorse the continued implementation of the digital strategy
<b>Report Author:</b>	Sarah Topliss
<b>Finance Officers:</b>	Paul Cridland and Elizabeth Rees
<b>Legal Officer:</b>	Tracey Meredith
<b>Access to Services Officer:</b>	Sherill Hopkins

#### 1. Introduction

- 1.1 In November 2015, the Council's new Digital Strategy '**Aspiring to a Digital Business 2020**' was approved. It set out the vision and aspirations towards becoming a digital business
- 1.2 This report highlights the great efforts that have been made to deliver better outcomes for local residents, businesses and communities. It details the work undertaken to move towards building a digital workforce and workplace. It shows how digital services have built and improved the Council's core architecture and the improvements that have been made to the Council's infrastructure and technology in order to support this vision.
- 1.3 The Digital Business vision is:  
***"To transform ourselves into a leaner digital business by 2020, ensuring the right Council services are Digital First while being universally accessible, especially for the most vulnerable"***



## **2 Progress Overview**

- 2.1 The vision for becoming a digital business is taking shape and becoming a reality as a number of projects have already started delivering benefits.
- 2.2 Over the past 18 months, there has been a strong focus on delivering the high priority projects on the ICT roadmap, which align to the four layers of the digital strategy.

## **3. People Communities and Business Layer**

- 3.1 *The ambition is for Swansea residents and businesses to be able to do more online, quicker and with less effort*
- 3.2 Digital services gives customers' access to the Council 24 hours a day from anywhere and more of our residents are turning to the Council's website to do business with us at a time and place that suits them.
- 3.3 Over 200 visitors to the contact centre each month are helped to get online and self-serve in the e-zone.
- 3.4 Get Swansea Online free computer and tablet courses have helped hundreds of residents to use the internet safely in libraries and other venues across Swansea – 415 residents attended courses last year. Swansea has now achieved a low likelihood of digital exclusion rating on the Get Digital Heat map (down from medium in 2015). This is a good achievement for the council and our Digital Strategic Forum partners. The heat map indicator is made up of metrics that indicate digital exclusion. Swansea scores well for infrastructure and digital skills but has a low score for social indicators, especially average income and health.

- 3.5 Improvements to the Council's website include:
- A more user-friendly site, task focused and mobile / tablet responsive.
  - Ability to report, request, apply and pay for a huge number of services online e.g. apply for a virtual residents parking permit (no need to visit contact centre to collect it) and apply and pay for bulky waste collection. Online bulky waste payments have been available from November 2016, and over 22% of customers now choose to book online. More services can be seen on [www.swansea.gov.uk/doitonline](http://www.swansea.gov.uk/doitonline)
- 3.6 We are giving customers a choice so they can decide how they communicate and interact with the Council. On Swansea.gov.uk, there have been 13.6 million page views in the past 12 months (1/8/16 to 31/7/17). This is an increase of 26% from the same period in the previous year, while more expensive face-to-face contact in the Civic Centre steadily decreases – down 17% from April to August 2017 compared with the same period in 2016.
- 3.7 A new Customer Relationship Management (CRM) system is now live in the Contact Centre giving our customers a single contact centre record. This has reduced Contact Centre software costs by 90%. It provides:
- Streamlined customer service function, simplifying the customer experience
  - Ability to survey customers via email using the 'Voice of the Customer' survey and providing CCS with important customer insight
  - Better Data quality and less duplication.
- 3.8 The Council is using social media to inform, consult and feed back to residents, with residents using the channels as a customer services contact point. Twitter (42k followers) and Facebook (regular reach of over 25k users) are among the most followed of any local authority in Wales. Instagram is used as part of promotional campaigns and to highlight promote the council in a positive light.
- 3.9 Digital services are currently working on developing a single digital identity for citizens, visitors and businesses. In the future, this means a single login for the customer to many council services, saving time and allowing for the dynamic provision of services and support. For the council this will allow customer data to be joined up where appropriate so that we can analyse the demand from customers and try to provide better services and perform more pro-active interventions that reduce demand.
- 3.10 Digital Services are also in the process of developing a new Information Request Management System which will replace the existing processes for Freedom of Information (FOI), Subject Access (SAR), Continuing Health Care (CHC) and Environmental Information Regulation (EIR) requests. The new system will streamline the existing process by introducing a managed workflow, status notifications and predefined

responses. This will go some way to improve the turnaround of a request from submission to response and will provide the requestor with a means to view the status of their request throughout the process. The solution also includes the development of a Disclosure Log which will enable public access and interrogation of all FOI responses which have been approved for the public domain...

3.11 Digital services is also supporting and delivering service based improvement projects and change proposals where technology is the enabler such as:

- All Wales Community Care Information System (WCCIS)
- HWB rollout to schools which is a platform that hosts a national collection of digital tools and resources to support education in Wales
- 21st Century Schools which is a Welsh Government programme from which Swansea has its own QED2020 (Quality in Education) running alongside. Digital Services addresses all the ICT requirements associated with those new builds and refurbishments

#### 4. Organisation and Delivery Layer

4.1 *The objective is to build a digital workplace and utilise a digital workforce to enable Swansea Council services to increase the pace of change and transformation and realise savings*

4.2 Using technology, Digital Services have enabled smarter working. This is essential to support the transformation of the council and contributes to overall performance. Agile working is being rolled out across the Council and the appropriate technology to support this is allowing staff to work from any location. It supports the delivery of savings for the Council, promotes flexible working for staff supporting health and wellbeing and more efficient ways of working.

4.3 New technology includes:

- **Skype for Business (SFB)**. This allows instant messaging, internet voice calls, video conferencing and virtual meetings. This new technology allows the Council to improve efficiency and effectiveness, reduce travel time and costs and contribute to less traffic and pollution.
- **Office 365**. This allows staff and members to access their mailbox and documents from any location and enables collaboration between teams and the secure sharing of documents, whilst improving efficiency and complying with data security.
- **Office 2016** – staff and members having the latest version of the Microsoft software is an important step in moving towards a digital workforce. It is an enabler for the roll out of O365 and ensures that Swansea Council are at the forefront of latest technology when dealing with businesses, Councils and other agencies.
- Staff and Members can now do **more online** such as:

- apply for an eye test, leave and parking permit
- online appraisals
- Submitting expenses

4.4 Increased self-service capability supports managers and staff by providing them better accessibility to important data. This in turn provides better **management information** and supports the move to paperless, which leads to savings and is a key move to becoming a digital business. By providing our workforce and elected members with access to these innovative technology solutions, the Council will transform the delivery of its services to support increased productivity and improved service to our customers.

## 5. **Platforms and Interfaces Layer**

5.1 *A key element of the strategy is to introduce digital platforms that enable a consistent approach to delivering digital transformation across the business.*

5.2 The digital architecture is built around four core platforms.

### 5.3 **Customer Relationship Management (CRM)**

When the CRM project was delivered in March 2017, it not only reduced the software cost of contact management by 90%, but also provided a platform that can be used to support the rationalisation of other case management tools over time, building towards a single customer record and reduced software costs.

### 5.4 **Enterprise Content Management (ECM)**

We are currently in the procurement phase of the ECM project. ECM provides a total digital document and knowledge management solution that is key to delivering the Council's vision of a truly agile workforce. Not only will the ECM platform make all knowledge and documentation available anywhere but also help shrink our carbon footprint by reducing paper and energy consumption, and enabling more effective remote working. It will provide a structured, secure and standardised approach for records management within the Council that reduces the need for paper storage, and exploits the digitisation of existing paper assets that will further enable access to information in the field. Having documentation held electronically will allow the Council to manage and retrieve data on demand which is crucial for General Data Protection Regulations (GDPR) compliance.

### 5.5 **Business Intelligence (BI)**

One of the tools available as part of the Office 365 suite is a platform called Power BI. Power BI enables the organisation to take multiple sets of data and combine them easily to gain new insights and improve decision-making. Power BI has a good pedigree within public sector of helping to reduce benefit fraud as well as a range of other excellent case studies. As the rollout of Office 365 progresses, departments will be able to self-serve around reporting and intelligence in a way that simply was not possible before.

## 5.6 Unified Comms

Modernising the Council's telephony infrastructure by implementing a unified communications platform. This will also support our customers and agile working. By collaborating with ABMU to implement a new modern telephony system, we have been able to introduce cutting-edge telecoms that will future proof the organisation without adding vast amounts of new infrastructure into the civic centre. Integrating with other solutions such as skype and exchange, the eventual outcome will be a system that seamlessly links voice, chat, email and calendars into a truly intelligent communication platform while also achieving savings.

## 6. Infrastructure and technology Layer

- 6.1 *Identifies the new infrastructure that is needed that will maximise resilience and lower running costs and introducing a cloud solution.*
- 6.2 We need a first class, sustainable digital infrastructure. It needs to be flexible and adaptable so we can better respond to the changing needs of our residents, businesses, learners, workers and visitors. Building a digital infrastructure that is fit for purpose means making technology a key enabler and a key component of our delivery.
- 6.3 Technology can fundamentally change the way we work. It enables us to be mobile rather than fixed to locations or offices allowing more time serving our community.
- 6.4 A significant amount of work has been undertaken in relation to our infrastructure. This work is not always visible to Members, Officers and Staff but is particularly important as it is an enabler for all the other elements of the strategy.
- 6.5 We have improved the Council's underlying core ICT infrastructure to provide a robust and resilient platform to enable business operations and our digital improvements by:
  - Refreshing and upgrading internet broadband connections via Public Sector Broadband Aggregation (**PSBA**) at Council's sites. PSBA is a Wales-wide private and secure network which connects public sector organisations. Over 20 sites have already been migrated and rollout will continue across the Council.
  - A **new internet circuit** has been installed which will support an increase in digital working. In order to ensure that the Council can support the increased digital business agenda a review of the entire network is being undertaken. This includes the schools, corporate, library and public access network.
  - **Installing public accessible Wi-Fi to Council buildings** throughout the authority. Accessing Wi-Fi on the go is now part of daily life for many residents and businesses, therefore installing public access Wi-Fi across a range of council buildings is part of our commitment to help residents and service users get online on the go and support digital Inclusion.

- The expansion of **corporate Wi-Fi** throughout the Civic Centre and the Guildhall has been completed which is enabling users to work anywhere in the buildings. This is part of a digital drive for customers and staff in delivering Council business and promoting a digital vision.
- A new **Unified Treat Management (UTM)** system is being implemented which is a **state of the art security product**. This will transform the way Digital is delivered, away from many traditional separate solutions including anti-virus, anti-spam and filtering. This will provide a greater level of efficiency in the delivery of Digital Services and enable savings whilst providing high-level security for the Council's network.
- All Council services that were running on ageing equipment have been moved to a **state-of-the-art storage solution**. It increases resilience and performance while reducing running costs and administrative support.
- A new **cloud data centre** has been built. This allows the council to securely, efficiently store, and access more data and systems via the internet rather than through our own data centre. This provides the Council with more flexibility, agility and resilience. The cloud centre will grow as we investigate further systems as part of the rationalisation work, determining those that can be hosted effectively in the cloud. This work will enable the move from Civic centre.
- Digital Services are working on **increasing automation within ICT** so that changes can be implemented quicker and on a larger scale – due diligence has been completed on the current set up. Training for Digital Services staff in this new technology has been completed. These have been important steps to automation. Progress on mapping current processes to automate is being evaluated.
- The **first Internet of Things** project has gone live with the Glynn Vivian Art Gallery's new environmental system, hosted in the cloud.

6.6 The rationalisation project has seen the development of an information asset register that captures information on all ICT systems. A contract register is also in development to support this and the next step is to review and agree the process for managing rationalisation going forward. Key systems have been prioritised with a view to producing a detailed plan by March 2018. This will reduce third party spend and improve business intelligence and refresh major systems to ensure the council is utilising the best products for its services as part of the cross cutting and regional agenda.

6.7 Current Enterprise Resource Planning (ERP) solution (Oracle) will need upgrading, an options paper is being produced to consider options including cloud and will be brought to Cabinet in the coming months.

## 7. Digital City

7.1 Digital Services are supporting the City of Culture bid and the vision to provide an integrated, inclusive and accessible cultural experience



through digital technology. This will be underpinned by the work already in progress in delivering the strategy.

- 7.2 The Department for Digital, Culture, Media and Sport (DCMS), are inviting bids from local authorities and other public bodies (local bodies) for funding to help build full fibre networks. Swansea Council has also put in an Expression of Interest for funding to procure the full fibre network, with an implementation partner for the installation and maintenance of the Fibre through a Joint Venture. The aim is to increase access for residents, visitors and SMEs, as well as leveraging additional investment from the implementation partner and stimulate more competition around telecoms providers. This infrastructure enables carriers to put up more and faster cellular masts, improving connectivity to both business, resident and visitor use.
- 7.3 Digital services are also supporting the City Deal implementation, which will transform our digital infrastructure and revolutionise the way sectors like energy, technology, health and social care are delivered. Key projects within the Swansea City Centre include the Digital Village, Digital Square and Innovation Precinct. These projects will rely on a high-speed fibre network that will provide a backbone to allow a collaborative environment for both organisations and locations – linking The Digital Village to The Digital Square and universities and is essential to create the environment for Tech businesses to flourish.

## **8. Equality and Engagement Implications**

- 8.1 Due to the large number of projects involved within the Strategy, it has been agreed that Equality Impact Assessment (EIA) screenings will be carried out for any project that has the potential to impact on staff and/or members of the public.

## **9. Financial Implications**

- 9.1 As detailed earlier in the report, the roll out of the digital strategy is well underway. The main areas of spend have been on: the new telephone system as part of Unified Communications (UC) project; state of the art storage; the rollout out of equipment as part of the Agile working programme; and license costs to rollout skype and O365.

<b>Project</b>	<b>Cost (000)</b>
Unified Communications	360
Equipment to support agile working	116
Licenses for new digital systems	400
State of the art storage	460

- 9.2 New infrastructure and system changes highlighted earlier in this report have resulted in licence savings for some systems, e.g. the CRM has saved £75k. However, there has been an increase in licence costs in other areas as the market reacts to Brexit. This picture is constantly changing.
- 9.3 The Unified Communications project is still in progress however benefits are already starting to be realised including: The ability for both staff and

Councillors to work from anywhere, secure access to email, larger mailbox capacity, and greater resilience and security. In addition, this has been a significant enabler for the agile working project and ultimately the selling / renting of Council buildings and space as occupancy has reduced.

- 9.4 The new state of the art storage has already reduced downtime. Several power outages have impacted the Council since the installation and there has been no downtime, compared to November 2015 where systems, staff and Councillors' productivity were impacted for almost two weeks. Therefore, the investment has already demonstrated significant value.
- 9.5 Initial phases of delivery require the investment in technology and new solutions and it may take time for the full benefits to be fully realised. However, benefits are being tracked across the programme and will continue to be reported, including savings held across Directorates as a result of new digital ways of working.

## **10. Legal Implications**

- 10.1 There are no specific legal implications arising from this report.

**Background Papers:** None

**Appendices:** None



## Report of the Cabinet Member for Children, Education & Lifelong Learning

Cabinet – 19 October 2017

### **21<sup>ST</sup> Century Schools Programme New Build for Gorseinon Primary School at Parc Y Werin**

**Purpose:**

- To decide whether the land at Parc y Werin, Gorseinon, Swansea should be appropriated for the purposes of Education..
- To confirm the commitment to the Capital Programme the scheme for the new build for Gorseinon Primary School subject to entering into a contract with Welsh Government.

**Policy Framework:**

- The Revenue and Capital Budget as reported to and approved by Council on the 9 February 2017
- QEd 2020 programme
- Corporate Priority 1 - Safeguarding people from harm
- Corporate Priority 2 - Improving Education and Skills
- Corporate Priority 3 – Transforming our Economy and Infrastructure
- Corporate Priority 4 – Tackling Poverty
- Corporate Priority 5 - Transformation and Future Council development
- One Swansea Plan
- Asset Management Plan 2014-17

**Consultation:**

Education, Finance, Legal, Democratic Services and Business Intelligence, Corporate Building and Property Services, Cultural Services, Housing and Public Protection, Planning and City Regeneration.

<b>Recommendation(s):</b>	It is recommended that:
1)	Cabinet resolve that the land currently held by the Council as housing and leisure land identified at Appendix A is no longer required for the purpose for which it is currently appropriated.
2)	The land at Parc y Werin, Gorseinon, Swansea, identified on the plan at Appendix A is appropriated for the purposes of education under section 122 Local Government Act 1972, namely the construction of a new primary school building.
3)	The capital scheme as detailed together with the financial implications set out in Appendix C is approved, subject to entering into a contract with the Welsh Government.
4)	The area of land being approximately 3.212 acres, which is proposed to incorporate an all-weather pitch and Multi Use Games Area (MUGA) and is shown on the plan attached at Appendix B, will form part of the new school grounds and as such will remain under the control of the school, but the (all-weather pitch and MUGA shall be made available for community use when they are not required to be used by the school, the details of which shall be set out in a community use agreement.
5)	The Head of Legal, Democratic Services and Business Intelligence is authorised to enter into any necessary documentation required to achieve the scheme.
<b>Report Author:</b>	Louise Herbert-Evans
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Sherill Hopkins

## 1. Introduction and background

- 1.1 The Strategic Outline Programme (SOP) detailing the re-organisation and investment needs for schools across Swansea was submitted to the Welsh Government (WG) in 2010.
- 1.2 In December 2011 further approval in principle was granted by WG to proceed with the schemes outlined within “Band A” of the programme subject to contract and local authority contribution of 50% towards overall costs.
- 1.3 The Capital Budget and Programme capital budget for 2017/18– 2020/21 provides an outline spending profile for the Phase 2 Schemes totalling £25.409 million, which includes £6.080million for a new build for Gorseinon Primary School.

- 1.4 The scheme has been subject to the successful approval of a Business Case by WG and obtained planning approval in December 2015, application number 2015/2074.
- 1.5 The site on which it is proposed to construct the new school build is contained within Parc y Werin in Gorseinon, which was the subject of a Village Green application (VGA) in November 2015.
- 1.6 Consequently, the scheme was put on hold pending the outcome of that application. The VGA inquiry was held on the 14-16 February 2017.
- 1.7 The application to register Parc y Werin, Gorseinon as a Village Green was recommended for refusal by the Independent Inspector. The Inspector's report was considered by Swansea Council's Planning Committee on the 6 June 2017, when in accordance with the Inspector's recommendation, the application to register the land known as Parc y Werin as a Village Green was refused. The Planning Committee resolved that; the application for Village Green status at Parc y Werin be refused, and 'that no part of the land of the application site be added to the Register of Town or Village Greens under section 15 of the Commons Act 2006.'
- 1.8 The Council also has to make a decision as to whether the land on which it is proposed to build the school should be appropriated for that purpose and is no longer required for the purpose for which it was held immediately before such appropriation in order to satisfy the provisions contained within Section 122 (1) of the Local Government Act 1972 (as amended).
- 1.9 To enable this, the Council published a notice of the intended appropriation of the said land at Parc y Werin in The South Wales Evening Post on the 23 and 30 May 2015, and again on 30 June 2017 with an extended deadline for objections until 4 August 2017, and then on 16 August and 23 August for 2 consecutive weeks with a deadline for objections of the 7 September 2017.
- 1.10 Cabinet originally considered this matter on the 16 July 2015, however, in view of the decision to consider the appropriation process again, and the fact that the delay to the commencement of the scheme has resulted in a delay to the overall programme and an increase in costs, this is now being brought back to Cabinet for further consideration.
- 1.11 The delay and increase in costs of the scheme has also required a change request to the Council's Strategic Outline Programme (SOP). This has been submitted to WG, and we are awaiting confirmation.

## **2. Description of Scheme**

- 2.1 Gorseinon Infant School and Gorseinon Junior School were amalgamated in September 2012. The new school is now called Gorseinon Primary School but still operates out of three sites, with the aspiration to move the new primary school from its existing three school sites.

- 2.2 The nursery school is located 0.5 miles from the junior school with the junior school a further 0.3 miles from the Infant school. The distance between the nursery and infant school is 0.6 miles. The route between the infant and junior, and the Infant and Nursery schools involves the crossing of the B4296.
- 2.3 The only 'green' areas within the primary school are to be found at the junior site, which has drainage issues due to the geography and geology of the site and so can only be used during the driest months. In addition, even though the green area is within the curtilage of the school grounds, this area has a public right of way crossing through it. As it is accessible to the public it has to be risk assessed prior to every use by the school.
- 2.4 Whilst the school are making use of the resources available to them as reported by Estyn in 2014, there is no appropriate transition from indoor to outdoor learning environments, or immediate access to suitable habitat and grassed areas.
- 2.5 The Business Case included appraisals of the shortlisted options;
- Option 5 - Extension and remodelling/refurbishment on Junior site
  - Option 8 - New build at Junior site for single new build
  - Option 9 - New Build at Parc y Werin which was the preferred way forward based on the outcome of the economic appraisals.
- 2.6 The Full Business Case, which included actual tender costs for Option 9, was approved by WG in January 2016.
- 2.7 The proposed capacity of the new build is 1.5 form entry (315 pupils) plus nursery, with hall, corridor and ancillary spaces designed to accommodate a 2 form (420 pupils) plus nursery entry school. It has been designed and set out in such a way that further classrooms can be added within the curtilage of the proposed school grounds to accommodate 2 form entry. This future proofed building would then be able to meet future demand arising from possible new developments in the locality.
- 2.8 The proposed new build for Gorseinon Primary School represents a land take of 3.212 acres from Parc y Werin currently incorporating two mini pitches, car park and a modestly equipped playground.
- 2.9 The proposals include for the relocation and upgrade of the playground, a modest allowance for the enhancement of the remaining facilities and/or other facilities in the locality and the provision for the school of an all-weather mini pitch and Multi-Use Games Area (MUGA). It is proposed to work with the school and community to design and establish a means by which these facilities can be shared between the school and the community, and establish a community use agreement.
- 2.10 Furthermore, the proposed site can accommodate the guidelines for external areas contained in Building Bulletin (BB) 99 with the exception of

the full pitch requirement, however this can be fulfilled by the school utilising free of charge the retained facilities at Parc y Werin.

2.11 The other facilities, which would still be accessible to the community include:

- Full size grass sports pitch.
- Upgraded and re-sited playground.
- Two bowling greens and pavilion.
- Outdoor fitness equipment

2.12 Delivery of a purpose built primary school on the proposed site will offer opportunities to engage the community in a range of activities by enhancing amenities and facilities in the area. The proposal seeks to develop community engagement within the new school building and its school community, where this is demonstrated to be sustainable.

2.13 The proposals include for a 'zoned' area within the school building which incorporates the hall and a community room; these will be capable of being available for community use subject to booking with the school. It will also provide opportunities to provide family learning and after school clubs.

### **3. Objectives of the Scheme**

3.1 The construction of a new Gorseinon Primary School will provide:

- Pupils and staff with a safe, sound and fit for purpose school environment
- An appropriate environment that facilitates an improvement in attainment levels across the whole age range of Gorseinon Primary School
- Greater operational efficiencies
- Community usage of school facilities

### **4. Proposed Appropriation**

4.1 The proposed new build for Gorseinon Primary School represents a land take of 3.212 acres from Parc y Werin currently incorporating two mini pitches, car park and a modestly equipped playground as indicated on the plans attached at Appendix A and B.

4.2 That land consists of two land acquisitions as indicated on the plan at Appendix B. The land to the west was originally acquired under the Housing Act in 1924 to provide housing for the working class. Part of the site was developed for Housing as originally intended and the other part now forms part of Parc y Werin. The land has been used as part of Parc y Werin since 1970's and has always been maintained by Parks but its statutory function was originally for Housing purposes. The Head of Housing & Public Protection has formally confirmed that the land is surplus to requirements and the proposed scheme will not impact on service

delivery. The Council will compensate the Housing Revenue Account for the value of this part of the land in the event of an appropriation and the valuation figure of £25,200 will be contained within the financial implications of the scheme.

- 4.3 The western part of the park is held corporately but managed by Culture/Parks and was acquired under the Public Health Act. The Head of Cultural Services has also confirmed that the land is surplus to requirements and the proposed scheme will not impact on service delivery.

## **5. Consultation**

- 5.1 The Council published a notice of the intended appropriation of the said land at Parc y Werin in The South Wales Evening Post on the 23 and 30 May 2015. No objections were received in response to this notice.

- 5.2 In consideration of the Inspector's report it was decided that this process should be undertaken again and a further Notice was published on 30 June 2017 with a deadline for receipt of objections by 28 July 2017. Due the number of Freedom of Information (FOI) requests received prior to and during that period and the significant amount of correspondence and documentation referred to within the responses to the FOI requests, a decision was made to extend the deadline for objections until 4 August 2017.

- 5.3 However, the objections highlighted the fact that the notice was only published on one week and not two consecutive weeks as required.

- 5.4 The notice was therefore republished on Wednesday 16 August and Wednesday the 23 August for 2 consecutive weeks with a deadline for objections of the 7 September 2017.

- 5.5 A total of 228 pieces of correspondence (Emails and letters) were received as a result of the notice of the 30 June 2017. A further 510 (Emails and letters) were received as a result of the notice of the 16 August and 23 August 2017.

POS closing date 4 August

- 5.6 A total of 154 letters of objection were received from 92 different addresses. Of the 154 letters received 111 were in the form of a signed copy of one of 2 standard letters having identical content.

- 5.7 In total, 74 emailed items of correspondence were received one of which was in three parts. 17 emails were in the form of two standard pieces of correspondence having identical content.

- 5.8 There were 5 people who submitted more than one emailed objection.



- 5.9 A total of 8 people sent in both an email and a written letter of objection and of those 3 were the same letter submitted through both mediums.

POS closing date 7 September

- 5.10 Of the 510 pieces of correspondence received (Email and letters), a total of 500 letters of objection were received from 371 different addresses. Of the 500 letters received 495 were in the form of a signed copy of one of 2 standard letters having identical content.
- 5.11 Of the 10 emails received two were from people who had also sent an email in answer to the 4 August POS deadline.

<b>POS closing date 20 June 2015</b>				
	<b>emails</b>	<b>letters</b>	<b>total</b>	<b>narrative</b>
	0	0	0	pieces of correspondence

<b>POS closing date 4 August 2017 summary</b>				
	<b>emails</b>	<b>letters</b>	<b>total</b>	<b>narrative</b>
	74	154	228	pieces of correspondence
	3			same correspondence from same person
	5			number of people that submitted more than one email
		92		number of addresses from which received
Of which the following standard items of correspondence were received				
L33		20		
L63/E22	13	91		
E21	4			
	17	111		

<b>POS closing date 7 September summary</b>				
	<b>emails</b>	<b>letters</b>	<b>total</b>	<b>narrative</b>
	10	500	510	pieces of correspondence
				same correspondence from same person
	2			number of people that submitted more than one email
		371		number of addresses from which received

Of which the following standard items of correspondence were received				
L63/E22		472		
L318		23		
	0	495		

5.12 The responses fall into the eleven main categories which are set out below together with the Council's response thereto:-

### Item one

*'The notice claims that the land to be appropriated is 'considered to be surplus to requirements'. There is a shortage of open space for recreation, outdoor sport and childrens' playgrounds in the area. The removal of 0.6ha of accessible land at Parc y Werin will result in a 28% reduction space available for public use and a lack of open spaces for sports and leisure in the ward.'*

*Some objections gave the impression that the whole of the park would be lost.*

*'The annual carnival will not be able to be held there if 38% of the park will be used to build a new school.'*

*'Right Now Parc y Werin services all:*

- *The Exercise Stations are used, people cycling, walk, have picnics and enjoy this open space.*
- *People walk their dogs here and bring their children here,*
- *Children play here in the play area and the grass area alike.*
- *Rugby, Football, Cricket are all played here.*
- *Children cycling, run, climb trees, make dens and learn about nature here, all the time developing their imagination, confidence and social skills.'*

*'Whilst children need decent schools, they also need green spaces to play and run around when they are not in school! Once this area is built up it can never be recovered as a green open space.'*

*'This area is used for 2 grass mini football pitches for from September to April for organised mini football games by the Swansea Junior League for under 8's to under 11's. It was used for off pitch training from May until August for those teams who wished to continue their training but this service was removed by the Parks Department which left only the Elba to train off pitch in early summer. The alleged alternative MUGA pitches are not suitable for organized mini football games, and are much more expensive than grass pitches for us to use as a training facility.'*

### Council's Response

The current facilities at Parc y Werin comprise of;

1. Full size grass sports pitch.
2. Two bowling greens and pavilion.
3. Outdoor fitness equipment
4. Children's playground
5. Two mini-football pitches
6. Car park

The school is proposed to be sited on the location of the children's playground, two mini-pitches and the car park.

The proposal would provide for the retention of the full size pitch, two bowling greens and pavilion and outdoor fitness equipment.

The children's playground would be relocated and upgraded.

A new car park would be available for community use in the evenings, weekends, and during the school holidays.

The two grass mini pitches would be lost, but it is proposed that the new MUGA would be available for community use free of charge and an all-weather pitch would also be available for letting by the community, at cost and not for profit for a range of training opportunities in a range of sports.

In considering whether the area of land which is proposed to be appropriated is surplus to the requirements of Culture/Parks, the existing use and future needs have been considered alongside current and proposed provision.

The existing mini pitches at Parc y Werin are booked through Cultural Services at a cost of £14 per pitch. Currently their main use is on a Saturday and occasionally on a Sunday.

During the week, the pitches are occasionally booked by local schools which do not incur a charge and the same schools could use the proposed all-weather pitch in agreement with the School.

As these are mini pitches they are only suitable for use for under 10's and 11's and are only available for organised games for which booking is required. During 2013/2014, the mini pitches were booked out on 53 occasions, decreasing to 46 for 2014/2015.

All Under 11s football in Swansea is played on a round-robin basis and pitches are not allocated to local teams so there are no 'home and away' fixtures. Therefore, teams from anywhere in Swansea can be allocated any pitch. Alternative provision for the current Under 10 and Under 11 fixtures at Parc y Werin will be accommodated elsewhere in Swansea.

The proposals also involve the provision of an all-weather pitch which would be made available for letting by community groups and sports clubs during evenings, weekends and holidays, as is the current case.

A contribution will also be made from the project to further compensate for the loss of the pitches which it is intended will support the new full size 3G pitch at the Penyrheol Comprehensive School site.

The proposed MUGA will provide a further enhancement and it is proposed that that will be available to the community out of hours free of charge.

The existing playground is of 'reasonable' quality but would benefit from improvement; the proposals also allow for the relocation and enhancement of the playground which will improve the quality of equipped play provision for the ward.

The new car park, will provide for continued off street parking by the community out of school hours.

### **Sports Council Wales**

As part of the planning application process, Sports Council Wales initially objected to the proposals raising a number of concerns. The questions and the Council's answers thereto are detailed below;

#### **Question 1 Sports Council Wales**

*In terms of the grassed playing field area and its use for formal sport - particularly under 11s football - concerns remain about whether the proposed 3G football pitch is an adequate replacement for the existing use. The existing pitches which both measure 50m x 37m fall just short of the dimensions recommended for under 11s by the Football Association of Wales (FAW) (55m x 37m) but the proposed 3G is smaller again (45m x 27m). Sport Wales therefore questions its suitability for existing matches to continue. Since it's not seen as an equivalent facility, could you please provide evidence that matches can be accommodated elsewhere within the community to demonstrate that there is sufficient provision?*

#### **Answer 1 Council's response**

All Under 11s football in Swansea is played on a round-robin basis and pitches are not allocated to local teams so there are no 'home and away' fixtures. Therefore, teams from anywhere in Swansea can be allocated any pitch. Based on the proposed size of the 3G pitch it is intended that the site be allocated for Under 8 fixtures who play on pitches of approximately 30mx20m.

Alternative provision for the current Under 10 and Under 11 fixtures will be accommodated elsewhere in Swansea. It is proposed that additional provision is allocated at King George V playing fields in Sketty where the current pitches are not fully utilised.

#### **Question 2 Sports Council Wales**

*Sport Wales accepts that the 3G pitch will be a useful facility for football matches involving younger children and for other activities and that the MUGA will provide new opportunities for court sports. Is it possible that floodlighting can be installed to maximise their usage?*

Answer 2 Council's response

Floodlighting is not installed at the site now and due to the proximity of residential dwellings it is not proposed to install it in this area, furthermore the ongoing running and maintenance costs mean that this is not a viable option for this site.

Question 3 Sports Council Wales

*Sport Wales would like a guarantee that the community will be able to use these facilities out of school hours through evidence of a community use agreement.*

Answer 3 Council's response

The Authority has made a commitment to facilitate community use of the 3G and MUGA facilities together the car park, community facilities within the school buildings and of course the upgraded and relocated play area outside of the school site.

There is also an allowance for investment in other facilities in the locality identified as a contribution towards the provision of a full size 3G pitch at Penyrheol.

Question 4 Sports Council Wales

*Aside from the formal sport aspect, Sport Wales is also concerned about the impact of the proposal on informal sporting activities. Is it possible for the 3G and MUGA to remain open when not used formally?*

Answer 4 Council's response

It is not expected that the 3G will be available for free access but will be available 'at cost' and 'not for profit' for a range of training opportunities in a range of sports in addition to formal matches. It is not considered practical for a 3G facility to be made available for free access in any case as in other venues, as it would make the maintenance regime unmanageable.

However, it is proposed that there will be no charge for the use of the MUGA which will be available for informal community use, outside of school hours.

Question 5 Sports Council Wales

*Also, could you please confirm if the area including the senior football pitch will be publicly accessible and if there are other similar spaces in the community?*

Answer 5 Council's response

Yes the area including the senior football pitch will be publicly accessible. Similar spaces in the community include playing fields at Penyrheol Comprehensive School/Community Leisure Centre, which is approximately 400m away.

With regard to comments that the bowling facilities are not open to the public the bowling green is currently under self-management licence to the Parc y Werin Bowls Association. As part of this arrangement, members of the public are able to access the green when the facility is open.

Sports Council Wales review of the planning application following consideration of the further information;

*'Having considered the information, Sport Wales is satisfied that the proposal will not have a detrimental effect on formal sport. This is because its main use, the under 10 and under 11 fixtures, can be accommodated elsewhere and that the new 3G pitch and MUGA will provide new and varied sporting opportunities. In particular, the 3G pitch and the intensity of use it can afford will be able to host several matches a week (albeit for a younger age group) plus training and other activities. It is also noted that the proposal will make a financial contribution to a new 3G pitch at Penyrheol Comprehensive School which will be able to play a major role in serving sporting needs in the area.*

*With formal sport being addressed and a replacement play facility being provided, Sport Wales only remains concerned about the effect on informal sporting activities. On balance however, with the MUGA to be open for informal use outside of school hours with no charge, the area including the senior football pitch remaining publicly accessible along with other playing fields being available nearby, plus the important fact that the school and its pupils will get access to new and improved facilities for sport and PE, Sport Wales is removing its objection.*

*Please note this is conditional on evidence of a community use agreement for the 3G pitch and MUGA being signed and the area including the senior football pitch remaining publicly accessible.'*

The requirement for a community use agreement for the 3G pitch and MUGA is contained within the planning conditions – condition 14 to ensure that the 3G pitch and the Multi Use Games Area are available for wider community use outside of school hours.

### **Planning Committee**

*The views above are further endorsed in the final report to Planning Committee approved on 9<sup>th</sup> December 2015;*

*"Whilst there is some loss of open space as a result of the proposals, it is considered that sufficient mitigation is being provided to ensure that alternative provision of at least equal community benefit is being made available."*

*The existing full size football pitch is being retained along with adjacent amenity open space. The bowling green and associated pavilion are unaffected by the development and whilst the existing playground is being lost it is being replaced elsewhere on Parc y Werin with new, upgraded and enhanced facilities. With regard to comments that the bowling facilities are not open to the public the bowling green is currently under self-management licence to the Parc y Werin Bowls Association. As part of this arrangement members of the public are able to access the green when the facility is open.*

*Unlike the mini pitches these facilities, including the MUGA, would be suitable for all age groups within the community and would be available for a wide range of sports including hockey, soccer, rugby, basketball, tennis and netball.*

*Given that school use of the MUGA and 3G pitch would be during school hours and term time there would be minimal impact on potential users as the 3G and MUGA would be available for evening and weekend use, which is consistent with the current pattern of usage. In addition the 3G pitch would also provide an all year round all-weather facility compared to the existing mini pitches which are subject to cancellation due to adverse weather conditions.*

The Planning committee report concludes;

*“Having regard to the above, whilst the proposed development would result in the loss of a section of community recreation land within Parc y Werin, when assessed against the criteria of Policy HC23, and Planning Policy Wales, it is considered that the proposed development would satisfy these policies. To comply with these policies it is only necessary to meet one of the criteria set out and Sport Wales and the Council’s Parks department do not object to the proposal given the information submitted. It is concluded therefore that the development of the application site in the manner proposed would be in accordance with the provisions of UDP Policy HC23 (ii and iv) and PPW 11.1.2 (criterion 2) and the loss of the area of open space is considered to be outweighed by the wider education, community and recreation benefits that it is intended to provide and the mitigation measures proposed are considered to be at least of equivalent community benefit.”*

## **Item 2**

*The Council has given many reasons over the last two years as to why it wants to build a new Gorseinon Primary School at Parc y Werin. There is plenty of fault with all of those reasons. The school is much needed. But to claim in this context, that the Parc y Werin land is ‘surplus to [recreational] requirements’ means there can be only one objective consideration to arrive at that conclusion. Namely a study of the Open Spaces Assessment (OSA). Details obtained from a recent freedom of information request have been circulated in the community. Likewise some correspondence with Fields In Trust Cymru whose prescribed standards are used to compile an OSA.*

*At first sight, the OSA appears to put the Fields In Trust Standard (FIT) as applied to the wider Gorseinon area, just over the 2.4 hectares per 1000 head of population target (based on the 2011 Census as quoted on the assessment sheets). However, on a closer look, the FIT provision figures are all inflated by a collection of non permissible entries. Parks and Gardens (P&G) is the most obvious, and largest. Fields In Trust Cymru have confirmed that P&G areas are non permissible. Additionally, they said that this inclusion is a commonly made mistake by local authorities. After all, FIT is all about the provision of outdoor sport, and childrens and teenagers play areas. Inclusion of P&G has an enormous effect on the figures for both Upper and Lower Loughor, reducing the FIT totals by one half! Which takes them well under the FIT Standard of 2.4 ha. Likewise Penyrheol, where a park is shown on the map that doesn’t even exist (off Gower View Road)! Argyll Gardens with no sporting connection at all, is also included!*

*The land is not surplus in consideration of the Open Spaces Assessment; When all the non-permissible areas and errors are taken into account, the final FIT Standard provision in the Gorseinon area\* is a total of 21 hectares. Not the 59.8 hectares quoted on the OSA. The hectares equates to, based on the 2011 Census, but not allowing for any of the increased housing and therefore new people in the area since the compilation of the 2014 OSA, an actual FIT Standard of 1.11 hectares per 1000 head of population. That's 46% of the target, or, a deficiency of 54%! So, how can the Council argue under scrutiny, that the land at Parc y Werin is 'surplus'?*

*City & County of Swansea – Open Space Assessment ANGS: There is over fifteen thousand hectares of ANGS which equates to over 66.7ha per 1000 head of population, some 64ha above the recommended target set by CCW. The distribution of ANGS is very uneven with the majority found in rural areas and the urban fringe. Most of the wards within the County have over 80% ANGS provision with Newton, Oystermouth and Mayals having 100% coverage. There are only two wards with less than 50% coverage, Kingsbridge with 36% and Upper Loughor with 26%. Accessibility FIT: In order to enable more precise outputs, access points have been plotted for each open space site that falls under the FIT category. 300 metre buffers were then applied to each access point and all urban areas outside this catchment were identified as having insufficient access to FIT provision.*

*\*Please note that the Gorseinon area referenced in the extract from the objection above covers the wards of Gorseinon, Penyrheol, Lower Loughor, Upper Loughor and Kingsbridge.*

### **Council's Response**

In assessing the proposal for a new build development at this location or any other area of open space/community recreation land the policy basis on which a decision must be made is the Council's adopted Unitary Development Plan (UDP). The Open Space Assessment (OSA), is not the basis for determining whether or not the land proposed to be appropriated for Education purposes may be treated as being surplus to requirements.

The OSA is background information that has been gathered to help inform the Council's emerging Local Development Plan which will replace the UDP in due course. It has not been formally adopted and therefore carries no weight in decision making. Moreover if/when it is adopted as supplementary planning guidance it would only inform, but not outweigh, the policies in the Council's adopted Development Plan.

The OSA provides an assessment of both the quantitative and qualitative provision of open/play space within a locality. Current policy allows for loss of open space/community recreational land where existing facilities can be retained and enhanced or alternative provision of equivalent community benefit is made available. It is fully acknowledged that the new build school will result in the loss of some quantity of open space, however that is more than compensated for by the quality of the new facilities that are being provided which will enable year



round use and for a wider range of sports and opportunities for use of other school facilities by the wider community.

The Planning committee report notes;

*'In terms of the existing provision within the area, the Council have prepared an Open Space Assessment to inform the Local Development Plan. This assessment has been based on the "Fields in Trust" (FIT) benchmark standards for outdoor sport and play. In terms of provision for children's outdoor playing space FIT recommends a standard of 1.6ha per 1,000 population for Outdoor Sport with a standard of 0.8ha per 1,000 population for Children's Playing Space with 0.25ha of the total relating to equipped playgrounds.'*

*The assessment for Gorseinon identifies that it has an over provision of Outdoor Sport facilities (2ha) but a deficiency in Children's Playing Space (0.3ha) and Equipped Playgrounds (0.03ha). The relocation and upgrading of the equipped playground means that this standard is largely unaffected although the quality of provision is far enhanced.*

*Whilst some Outdoor Sports space is being lost (noting that the space is only really suitable for under 11's and currently only used for soccer/rugby) the fact that there is already excess provision in the ward and that facilities are being enhanced by virtue of the all-weather 3G provision and being made available for users of all ages and a wide range of sports including hockey, soccer, rugby, basketball, tennis and netball, mitigates this impact. The provision of a MUGA within the park which would be available for use as a children's playing space during school time (by the school), evenings, weekends and holidays and suitable for use during all-weather conditions would, it is considered enhance children's playing space.*

*The assessment also identifies that Gorseinon has 11.5 ha per 1000 head of population of Accessible Natural Green Space which is 9.5ha above the recommended target, and it is recognised that this makes an important contribution to the quality of the environment and the quality of life in urban areas.'*

*Whilst the proposed development would result in the loss of a section of community recreation land within Parc Y Werin, when assessed against the criteria of Policy HC23, and Planning Policy Wales, it is considered that the proposed development would satisfy these policies. To comply with these policies it is only necessary to meet one of the criteria set out and Sport Wales and the Council's Parks department do not object to the proposal given the information submitted. It is concluded therefore that the development of the application site in the manner proposed would be in accordance with the provisions of UDP Policy HC23 (ii and iv) and PPW 11.1.2 (criterion 2) and the loss of the area of open space is considered to be outweighed by the wider education, community and recreation benefits that it is intended to provide and the mitigation measures proposed are considered to be at least of equivalent community benefit."*

The objections attempt to discredit the information in the OSA, in order to reduce the quantity of classifiable open space within the locality. However as stated above the OSA has no standing in decision-making. Moreover the OSA is the Council's interpretation of open space at the local level and seeks to reflect local circumstances. For example, it excludes areas Fields in Trust Cymru would include such as golf courses, as they would skew results and includes areas such as parks and gardens as the view is taken that parks can provide the opportunity for various casual/informal outdoor sports even if the areas are not formally defined.

The OSA is a working document that is constantly changing as open/play space areas are improved, added, removed or made more accessible. An Open Space Strategy for the Council is currently being prepared and once adopted one of the actions arising will be to review the levels of useable outdoor playing space within each ward.

### **Item 3**

*The new build primary school should be constructed on the junior school site. Just under 20% more space, central to catchment, easy walking distance for the vast majority, close to local shops for traders to benefit. If the projected facilities are built there, the school would still have access to all the publically accessible sports facilities at Parc y Werin, and so would the whole community.*

*Swansea Council have also released plan to build a new primary school on Pontarddulais Road this is the ideal location for the school, the documents also states it would cost £5m to build therefore creating a stronger case than Parc y Werin.*

### **Council's Response**

The Council's Asset Management Plan 2013-2017, states that;

Due to the current significant financial constraints that exist across all areas of the Public Sector, it is critical that this active management is demonstrated through the reduction of a number of assets that the City and County of Swansea hold. The financial benefits of reducing the portfolio are significant in that in most cases capital receipts can be generated, revenue running costs are saved and the potential impact on the Council's capital programme, due to the removal of the need to undertake capital maintenance works, is no longer necessary. The Authority need to embrace this challenge and continually assess whether the retention of assets is necessary in all areas and fundamentally that there is no expansion of the current asset base unless it leads to a wider rationalisation of cost saving.

This is reinforced further by Sustainable Swansea - fit for the future.

In 2016, Cabinet agreed to go out to consultation on draft budget proposals which aimed to help save at least £90m over the following three years.

During the consultation with the public, there was strong agreement that the Council should be making sure we dispose of property we don't need and generate income by selling land or buildings. Other ideas included a suggestion to transfer assets to community groups so they could develop the facilities for themselves.

The Council was already looking at its assets and the assets of other public sector and third sector organisations in a geographical area-by-area way to see what council-owned buildings can be used, shared with others or potentially sold.

By adopting this approach to our assets it is anticipated that they will be more effectively and efficiently used in the years ahead. This should help produce savings on maintenance and running costs as well as produce income from sales.

This approach is also consistent with the strategic aims of the Welsh Government's (WG) national 21<sup>st</sup> Century Schools Programme; Investment Objective Two of the WG's strategic case for Band B of the programme is to 'optimise the use of infrastructure and resources, to deliver public services for our communities by 2024. This will include flexibility of our assets so that space and facilities available for our stakeholders are maximised. Our aspiration is for all facilities that receive investment commit to making assets available for community use if local demand exists.'

In considering options for a new build for Gorseinon Primary School, a number of alternative potential sites were identified following an area review of local authority owned assets in the Gorseinon area.

The Department for Education and Skills Building Bulletin (BB) 99 sets out a briefing framework for primary school schemes. This document outlines area guidelines for all types of space in primary schools and sets out recommended space standards.

The nursery and infant sites, Argyle Gardens and the Canolfan Gorseinon site are not large enough to satisfy the standards contained in Building Bulletin (BB) 99.

Melin Mynach is very close to Penyrheol Primary School, at the edge of the catchment area and is remote from where the majority of Gorseinon Primary pupils live.

The former Somerfield site, the land opposite Asda and the Valeo site are not in the local authority's ownership, and they were not therefore considered as if it were feasible to purchase any of these options it would be at considerable cost.

Two of the possible options considered included the use of the existing junior school site, to provide primary provision on one site, either through a new build or extension and curriculum led remodelling and refurbishment of the existing junior school building. The key benefits of this option being that the provision of all through primary on one site delivering greater operational efficiencies through a reduction in the running cost across the three existing buildings. Avoiding

impact on learning time of travel between sites to access facilities, as well as address safety concerns.

The junior site is 5.54 acres with tarmac area and an open grassed area; however, the site excluding the youth service, scouts and car park is 3.8 acres. This is larger than the site at Parc y Werin and could potentially satisfy 21st century school teaching and learning standards and the guidelines contained in Building Bulletin (BB)99.

However, the shape and topography of the site is challenging in terms of both layout and construction, and the highway and access issues to the site would compromise the developable site area and it is likely therefore that access to the playing pitch at Parc y Werin, would be necessary to fully satisfy the external area requirements. This is accessed via the A4240.

The sloping site also provides some accessibility challenges.

There would be disruption to the existing school (years 3-6) during the construction period, and this could be further exacerbated by the management of construction traffic.

There would also be the loss of the playing field during construction.

The challenges faced with highway and access improvements would result in concerns in respect of traffic, highway and child safety issues as well as the inadequate highway infrastructure; where there are no controlled or uncontrolled crossing facilities along Alexandra Road.

The following were cited significant highways issues;

- The school is primarily accessed off a classified road (Pontarddulais Road, B4296) and is shared with a busy rear car parking facility for a Sainsbury super market. This potentially will give rise to many highway safety concerns especially in view of increasing pupil/staff numbers from the locality.
- The existing highway infrastructure at the 'School Gate' and peripheral is not ideal, and may be inadequate given the current lack of highway infrastructure; however, this may be challenging given the existing highway foot print.
- There are limited controlled or uncontrolled crossing facilities for pedestrians who wish to head towards Alexandra Road (A4240) and in general there is little provision for pedestrians and especially potential foot fall of children.
- Significant logistical/access issues for construction works; the Construction Management Plan brings many challenges;
- There is a lane from Llanerch Crescent to Pontarddulais Road that may need to be closed during the construction phase.
- The geometry of the highway network peripheral does not particularly lend itself in terms of suitability to traditional construction traffic

movements and may take some considerable consideration and consultation.

- Temporary alterations to the highway geometry may be required at considerable cost to facilitate the movements of construction traffic.
- In addition the streets are predominated by housing frontages which may give rise to considerable opposition.

The figure of £5m quoted was an indicative figure included in the Strategic Outline Programme submission to WG in November 2011, before any detailed feasibility work had been undertaken, and this figure does not take into account increase in construction costs and inflation over this period.

The site at Parc y Werin meets the 21st Century Schools standard and satisfies the space standards set out in Building Bulletin (BB)99, including enabling the School to have immediate access to the existing playing field at Parc y Werin.

The Parc y Werin site will provide access to an appropriate outdoor teaching and learning environment to meet the requirements of the foundation phase and for sport. It will also provide pupils with direct access to existing facilities to support them in accessing outdoor green spaces for play and learning and presents the lowest risk to delivery compared to the junior school site.

In addition, this option retains and improves the community facilities at Parc y Werin with the existing playground being re-sited and regenerated, along with further opportunities of flexible co-located facilities that could be utilised by adults and young people within the community for the benefit of the school and the community. This site would reinforce links between the new school and its community to help promote the fact that all education relates to the life and well-being of the wider community, as well as the social and economic benefits to the individual.

#### **Item 4**

*Traffic and parking concerns; there has been no assurance that the car park will be available to the public during or after school hours. It is currently well used by the Welsh Nursery/Cylch, Bowling club, local football/rugby teams while they train and general public. These cars would be forced to park on the road, adding to an already busy area for traffic.*

#### **Council's Response**

The Highway consultation undertaken as part of the planning application process concluded that the combining and relocation of the three schools onto one site at Parc y Werin will result in some traffic reassignment. Not all of the traffic impact identified at the new site will be as a result of new traffic movements as some movements are likely to already be taking place on this route to the existing sites located nearby.

Congestion at the school start and finish times occurs at all school sites and will likely be the case here. Improvements have been identified that will help to

minimise this and accommodate as much of the demand as possible with safety enhancements being of general benefit to all and any additional parking facilities being available for wider community use outside of school operating hours.

Users of the remaining community facilities at the site will be able to make use of any additional parking facilities and any community use of the school facilities will have access to the school car park outside of school hours.

The following Planning conditions were applied;

Condition 4

Prior to the commencement of development, full details of the off-site local highway improvement works to address school parking demand, reduce vehicle speeds and improve highway safety shall be submitted to and approved in writing by the Local Planning Authority. The approved off-site works shall be provided in accordance with the approved details prior to the first beneficial use of the school hereby permitted.

Reason: In the interests of highway safety.

Condition 5

Prior to the commencement of development, full details of cycle parking provision for a minimum of 32 spaces within the application site shall be submitted to and approved in writing by the Local Planning Authority. The approved cycle parking shall be provided prior to the first beneficial use of the school hereby permitted and shall be retained as such thereafter at all times.

Reason: To ensure adequate cycle parking provision is made available for the school to promote sustainable means of transport.

Condition 7

Prior to the first beneficial occupation of the new school hereby approved, 38 car parking spaces each measuring a minimum of 2.6m by 4.8m and 2 disabled spaces measuring a minimum of 3.6m by 6m shall be clearly laid out on the ground within the proposed car park and retained as such thereafter for the parking of vehicles.

Reason: To ensure that adequate parking provision is provided on site for staff and visitors of the school.

Condition 15

The car parking area hereby permitted shall be made available for members of the public when the School hereby permitted is not open and the barrier shall remain up outside of School opening hours.

Reason: To ensure that the car parking area is available for members of the community outside of school opening hours.

Condition 19

Prior to the first beneficial use of the school hereby permitted, full details of a School Travel Plan to include measures to reduce reliance on private vehicles shall be submitted to and approved in writing by the Local Planning Authority. The approved travel plan shall be monitored and updated as required by the School Travel Co-Ordinator responsible for the plan.

Reason: To promote sustainable means of transport to the school during the development.

## **Item 5**

*The cost of 'pay to play' on the new facilities would be prohibitive and the park is too small and not in appropriate place; what's now open available land will become chargeable, this deprives the less wealthy and deprived families of this area access to what is now freely available to them at Parc y Werin.*

## **Council's Response**

The proposals would not deprive families of access to facilities at Parc y Werin.

The existing facilities, which would still be accessible to the community include:

- Full size grass sports pitch.
- Upgraded and re-sited playground.
- Two bowling greens and pavilion.
- Outdoor fitness equipment

In addition, it is proposed that the new MUGA would be available for community use free of charge and an all-weather pitch would also be available for letting by the community, at cost and not for profit for a range of training opportunities in a range of sports.

It is not considered practical for an all-weather facility to be made available free of charge as is the case for other venues, it would make the maintenance regime unmanageable.

## **Issue 6**

*The much trailed 'relocated and upgraded' playground for Parc y Werin, is not going to be all its beefed up to be; not on the plans with the 2015 planning application/consent..... relocated in an unsatisfactory location under/near trees and a hedge on the Princess Street side, away from the families along and in the Brynawel Road area. Just one traditional swing with two seats, five other more older child-friendly rides/apparatus; and one small three seater bench for adults. No wonder in the planning documentation, this new playground was referred to as 'a modest investment'.*

*Another commented; concerned about the proposed new play area for the children. 'The play equipment chosen for the playground seems to be more appropriate for very young children, slides; see-saws; infant swings. There is nothing that would appeal to children aged 10 and over. This will not help levels of boredom and antisocial behaviour among the youth locally. Yet again no thought has been given to older children'.*

*'No consultation has taken place regarding the play area / relocation'. The whole project at Parc y Werin is a 'modest investment' in the local community.*

## Council's Response

The current playground is approx. 750sq/m there are only 6 pieces of play equipment situated there, which would safely fit into an area measuring 200sq/m. The proposed new location of the playground offers 420sq m of fenced equipped playground as stated but will be sited on a grassed area which can be accessed far more easily than its current location offering further opportunities for informal children's play. It is proposed the new playground will have 9 play items; they will be installed in accordance with the manufacturer instructions and to the relevant Standard EN1176 which will includes free space between items.

The existing playground is proposed to be relocated within Parc y Werin with new, upgraded and enhanced facilities. The proposed new site is flat, open with small trees towards the two bowling greens and larger specimens towards the football pitch side and fringed with hedging on Princess Street and the rear of the two bowling greens.

The site is not screened by the existing landscaping and parents and carers would be able to easily view their children at play in the knowledge that the periphery hedgerows would protect their children from the road, noise and atmospheric pollution. The trees would provide shade and shelter and add interest.

It is proposed that the playground will include the relocation of the following existing equipment which is in good condition and suitable for reuse;

- Multi play unit – target junior age range
- Basket swing
- Accessible roundabout

The following new equipment is proposed to be installed;

- Multi play unit - target range 2-6 years
- Two seat cradle swings
- Net or pyramid climber
- Seasaw
- Two spring mobiles
- 30 metre one direction cable runway (zip wire) outside of the fence adjacent to the two bowling greens hedge, with safety surfacing and wearing course.

The proposals also include the provision of litter bins, seating and signage.

The proposed equipment will target children between the ages of 2-14 years of age.

If the proposals proceed, the design of the playground will be finalised in continued consultation with the Council's Parks Department and also with the Council's Play Team.



As stated the MUGA can also be used for children's play and will be available to the community outside of school hours.

The 'modest investment' referred to is not in relation to the playground. This is an additional allowance in the cost plan for investment in other facilities in the locality, which was identified as a contribution towards the provision of a full size 3G pitch at Penyrheol.

### **Item 7**

*The loss of green space would be detrimental to health; please don't take our park away from us, research shows that parks and green spaces in urban areas can improve the wellbeing and quality of life for those living in the area.*

### **Council's Response**

It is not proposed to take the park away.

The facilities which would still be accessible to the community include:

- Full size grass sports pitch.
- Upgraded and re-sited playground.
- Two bowling greens and pavilion.
- Outdoor fitness equipment

The proposed new build for Gorseinon Primary School represents a land take of 3.212 acres from Parc y Werin incorporating two mini pitches, car park and a modestly equipped playground.

The remaining area of the park will be 5.56 acres, whilst of the 3.212 acres that it is proposed is appropriated for Education purposes, 0.749 acres incorporating the all-weather pitch and MUGA as well as the car park will still be available for community use.

The proposed school building will occupy 0.562 acres of the 3.212.

A key element of the proposal relates to the replacement of the existing playground with a new modern purpose built playground nearby on Parc y Werin, to the south of the two bowling greens.

The new playground will be constructed as part of the first phase of works (this is also now a Planning condition), and will include re-use of some of the equipment as well as new equipment in an area of approximately 420 square metres.

Condition 17 of the Planning Decision Notice states;

The proposed playground as indicated on Drawing No. L(91)003 shall be implemented in accordance with the approved details prior to the closure of the existing playground.

Reason: To ensure the replacement playground is provided prior to the existing playground being removed to ensure adequate play provision is maintained.

The report to Planning Committee states; "It is concluded therefore that the development of the application site in the manner proposed would be in accordance with the provisions of UDP Policy HC23 (ii and iv) and PPW 11.1.2 (criterion 2), and the loss of the area of open space is considered to be outweighed by the wider education, community and recreation benefits that it is intended to provide and the mitigation measures proposed are considered to be at least of equivalent community benefit".

If Gorseinon Primary School is situated adjacent to the park, it will provide an increased opportunity for the families of the children attending the school to enjoy the park and its facilities.

### **Item 8**

*The proposal would have a negative impact on local trees and habitats. There is also the threat of losing the line of poplar trees, which have been in the middle of the park for over 30 years.*

### **Council's Response**

The black poplar tree is out of the proposed site range and would not be affected by the construction of a new school.

As the report to Planning Committee explains, in terms of its Arboricultural Impact Assessment, the survey acknowledges that the proposed development would result in the removal of 2 x moderate quality Sessile Oak Trees (Ref: T991 & T992) which are small in size and of a very early mature age, planted adjacent to the parking area. Nonetheless, the survey concludes that the removal of these trees would have a minor visual impact on the amenity of the area which can be readily mitigated for with additional tree planting post construction phase.

The Council's Landscape Officer commented on the application and raised no objections to the proposals on the basis that the proposed planting would mitigate the loss of these trees and a condition to this effect would be attached to any grant of consent.

With regards to ecology, an Extended Phase 1 Habitat Survey was prepared which summarises that a small number of habitats are present on site including neutral grassland and amenity grassland. Accordingly the survey provides recommendations relating to any protected species encountered during the construction phase; any necessary vegetation clearance; and a site specific strategy to prevent harm to reptiles and amphibians. A follow up bat survey was also undertaken which identifies that the proposed development is unlikely to have considerable impact on the local bat population.

Natural Resources Wales (NRW) welcomed the submission of the reports and raised no objections to the application, however they have recommended the proposals are discussed with the Council's Ecologist.

The Ecologist advised that ecological surveys carried out on the site demonstrate that the majority of the site is of low ecological value. The grassland strip to the south of the site is considered suitable for reptiles and therefore a reptile mitigation scheme should be provided.

Neither NRW nor the Council's Ecologist raised any issues in terms of the adequacy of the bat survey.

Condition 16 of the Planning Decision Notice states;

The works hereby approved shall be undertaken in accordance with the recommendations contained within sections 5 and 6 of the Arboricultural Report dated 28th September, prepared by ArbTS.

Reason: To secure the protection of trees growing on the site whilst the development is being carried out.

Condition 19 of the Planning Decision Notice states;

Prior to the commencement of development, full details of a reptile mitigation method statement shall be submitted to and approved in writing by the Local Planning Authority. The approved method statement shall thereafter be undertaken in accordance with the approved details.

Reason: To protect the reptile population during development

As there is the possibility of nesting birds in the shrubs and trees on the site, care will be taken when working on buildings particularly during the bird nesting season March-August.

The submitted Ecological Survey recommends a bat box is attached to the proposed school building to improve biodiversity and this approach is welcomed by the Council's Ecologist, and will be implemented.

## **Item 9**

*The location of the school at Parc y Werin would create additional noise.*

## **Council's Response**

Policy EV40 was applied during the Planning process which states that development proposals will not be permitted that would cause or result in significant harm to health, local amenity, natural heritage, the historic environment or landscape character because of significant levels of air, noise or light pollution. (City & County of Swansea Unitary Development Plan 2008).

As part of the Planning consultation process, the Council's Pollution Control Officer raised no concerns with regards to the proposals following the

assessment of an acoustic report with regards to the plant/ machinery proposed for the school building but requested a condition to control future noise from the site. The Officer raised no other concerns with regards to noise and pollution as a result of the proposals.

Given the proximity of neighbouring properties, it was also considered appropriate to attach a condition to the Planning Approval requiring the submission of a Construction Site Management Plan.

Condition 13 of the Planning Decision Notice states;

Prior to the commencement of development a Construction Pollution Management Plan (CPMP) shall be submitted to and approved in writing by the Local Planning Authority. The CPMP shall be implemented in accordance with the approved details and is to include the following as a minimum:

- a) Construction programme and timetable;
- b) Detailed site plans to include details of temporary site offices/ compounds, materials storage areas, proposed compounds, delivery and parking areas for site operatives and visitors etc;
- c) Proposed working hours;
- d) Principal Contractor details, which will include a nominated contact for complaints;
- e) Details of all on site lighting (including mitigation measures) having regards to best practicable means (BPM) and avoidance of statutory nuisance impacts;
- f) Details of on-site dust mitigation measures having regard to BPM;
- g) Details of on-site noise mitigation measures having regard to BPM;
- h) Details of waste management arrangements (including any crushing/ screening operations);
- i) Notification of whether a Control of Pollution Act 1974 (Section 61) Notice is to be served by Principle Contractor on the Local Authority.

Reason: To protect residential amenity and the environment during the construction phase.

With regard to the proposals, the report to Planning Committee notes that the existing site currently has two mini football pitches on it and a children's playground and as such, there is considered to be some noise and disturbance associated with uses such as these, albeit that they are predominantly used on the weekend and in evenings. The proposed use would generate noise throughout the day on a consistent basis but the MUGA and 3G pitch would be located in a similar location to the existing sports pitches and the school playground would be located 35 metres away from the nearest residential property, which is further away than the existing playground. Similarly, the new relocated children's playground would be located 35 metres away from the nearest dwelling. These distances exceed the Fields in Trust "Planning and Design for Outdoor Sport and Play"

recommended distance of 20 metres between the activity zone and the habitable room façade of the nearest dwelling. No floodlighting is proposed for the 3G pitch or the MUGA.

#### **Item 10**

*The notice was only published for one week and not two consecutive weeks as required.*

#### **Council's Response**

This was an oversight in the instruction to the Evening Post and the notice was then republished on Wednesday 16/08/17 for 2 consecutive weeks with a deadline for objections at 5pm on 07/09/17.

*There is a discrepancy in the formal notice published in the local paper. It should read Section 122 (1) (2a).*

#### **Council's Response**

The wording of the original notice and further notice was correct.

*The plan at the Civic Centre does not show the land in which to be appropriated but merely a picture of a school and not the extent of the devastating consequence by taking away such a large area that it would have on Park Y Werin.*

#### **Council's Response**

The plan displayed at the Civic Centre accurately shows edged red the extent of the land that it is proposed is appropriated.

#### **Item 11**

*Construction work will have an adverse effect on the area and houses will be de-valued.*

#### **Council's Response**

As for issue 9 above, Condition 13 of the Planning Decision Notice is intended to protect residential amenity and the environment during the construction phase.

### **6. Officers' appraisal**

- 6.1 Some of the discounted options included curriculum led remodelling and refurbishment programmes, which were considered insufficient to meet the needs of most of the investment objectives and critical success factors, whilst the option to 'do minimum' was not viewed as being a viable choice to meet the needs of Gorseinon Primary School.

- 6.2 Two of the possible options considered included the use of the existing junior school site, to provide primary provision on one site, either through a new build or extension and curriculum led remodelling and refurbishment of the existing junior school building. The key benefits of this option being that the provision of all through primary on one site delivering greater operational efficiencies through a reduction in the running cost across the three existing buildings, and avoiding impact on learning time of travel between sites to access facilities, as well as address safety concerns.
- 6.3 However, this option raised concerns particularly given that the construction management plan would disrupt the existing school (years 3-6). The challenges faced with highway and access improvements would result in concerns in respect of traffic, highway and child safety issues as well as the inadequate highway infrastructure; where there are no controlled or uncontrolled crossing facilities along Alexandra Road.
- 6.4 The improvements to access and parking arrangements that may be required at the junior site are likely to further impact on the available site, the shape and topography of the site is challenging in terms of both layout and construction.
- 6.5 A number of alternative potential sites were identified following an area review of local authority owned assets in the Gorseinon area; however, the review determined that any new site for the school would already have to have been in the Council's ownership. The options to establish a new build primary school on a site within private ownership or within a remodelled public owned non-educational facility were thus discounted. The review also identified that the site would need to be capable of meeting the needs of a 21st century school, including on-site green space, and within the Gorseinon Primary School catchment areas.
- 6.6 The site at Parc y Werin represents an optimum solution given its location, which ensures convenience and ease of access for pupils and parents and remains in the heart of the community. Achieving the catchment area plan and reinforcing the fact that education relates to the life and well-being of the wider community, as well as the social and economic benefits to the individual.
- 6.7 In addition, this site provides ample green space for children to learn and play and as a result pupils of Gorseinon Primary School would have the same degree of access to green space as pupils of Pontybrenin and Penyrheol Primary Schools. Moreover the construction management plan would bring fewer challenges compared to the existing junior site insofar as there would be no disruption to pupils while construction is underway and therefore is considered a more cost-effective solution that would provide better value for money.
- 6.8 The scheme is for the construction of a new primary school, including car park, MUGA, all weather pitch and associated hard and soft landscaping

works at Parc y Werin, Gorseinon, as well as the relocation of the existing playground onto adjacent land.

- 6.9 The proposed development will comprise of a new purpose built 1.5 form entry school (315 pupils), including nurture room, nursery and reception, 'shared/communal, external' and administrative areas. There is also a community room that would be available for letting by arrangement with the school. The development is future proofed to enable future extension to a 2 form entry school (420 pupils); such there would be no need for extra land take in the years ahead.
- 6.10 The proposed school building will be sited in the north eastern portion and will comprise of an "L" shaped layout, which measures approximately 2275 square metres and thus occupies approximately 17% of the main site area. The proposed building would be single storey with a higher central area above the hall area and will comprise of a modern design finished in an assortment of high quality materials.
- 6.11 Access into the site and car park will be achieved from Brynawel Road with separate pedestrian and bike access points, and a separate service yard access point in the northernmost corner of the site. In addition a bus and car drop off layby will be formed along the frontage to Brynawel Road and the existing footpath will be retained along the north-eastern boundary.
- 6.12 The development will include a new hard surface 40 space car park, including 2 no. disabled spaces. The car park is proposed for on-site staff and visitors and will be made available for community use when the school is closed at evenings, weekends and holidays, 32 cycle spaces are also proposed.
- 6.13 The development also incorporates the provision of an all-weather sports pitch and MUGA in the south-western portion of the site. These facilities will be enclosed by a 3 metre expanded ball stop fence and will be made available for letting by community groups and sports clubs during daylight hours when not in school use and will be accessible via an access path from the car park area.
- 6.14 The remaining areas of land will comprise an appropriate mix of soft and hard landscaping, along with storage sheds and shelters. The main school grounds will be enclosed by a 2.4 metre expanded metal perimeter fence, albeit the car park will remain open apart from perimeter landscaping to help soften its impact.
- 6.15 A key element of the proposal relates to the replacement of the existing playground with a new modern purpose built playground nearby on Parc y Werin, to the south of the bowling greens. The new playground will be constructed as part of the first phase of works (this is also now a Planning condition), and will include re-use of some of the equipment as well as new equipment in an area of approximately 420 square metres.

- 6.16 The site is currently part of Parc y Werin and is designated as Community Recreation Land. The Unitary Development Plan Policy HC23 requires that proposals that involve the loss of land for community recreation purposes, whether in public or private ownership, will only be favourably considered subject to a series of criteria.
- 6.17 Only part of Parc y Werin would be developed as a result of the proposals. The existing full size football pitch is being retained along with the bowling greens and pavilion which are unaffected by the development and there is therefore an opportunity to enhance and improve the community facilities here.
- 6.18 The proposed development will bring about substantial community benefits. Not only would there be a relocated and upgraded playground with new equipment designed to meet the needs of local children but the proposals include a new community room within the school building which would be available for hire to community groups. Furthermore, the provision of a MUGA which would be made available to the community at weekends and holidays free of charge and an all-weather pitch would be made available for letting by community groups and sports clubs at weekends and holidays and the new car park will remain open during evenings and weekends so that it can be used by the community.
- 6.19 The proposals are also considered to help develop Parc y Werin as a community park, discourage antisocial behaviour and increase perceptions of the park as a place in the heart of its community available for people to relax and enjoy.
- 6.20 Furthermore, all pupils at the new school would have easy, direct and safe access to green space for lessons and for play, encouraging children to follow their sporting dreams. For the first time ever, pupils at Gorseinon Primary School would have the same degree of access to green space as pupils of nearby primary schools.

## **7. Community impact**

- 7.1 Delivery of a purpose built primary school on a new site will offer opportunities to engage the community in a range of activities by enhancing amenities and facilities in the area. Through community consultation the proposal seeks to develop community engagement within the new school building and its school community, where this is demonstrated to be sustainable.
- 7.2 The proposals include for a 'zoned' area within the school building which incorporates the hall and a community room; these will be capable of being available for community use subject to booking with the school. It will also provide opportunities to provide family learning and after school clubs.



- 7.3 The available development area is 3.212 acres incorporating two mini pitches, car park and a modestly equipped playground from a total of 8.77 acres at Parc y Werin. The proposals include for the relocation of the playground, and also the provision for the school of an all-weather pitch and MUGA. However, it is proposed to work with the school and community to design and establish a means by which the facilities can be shared between the School and the community.
- 7.4 A community use agreement has not yet been finalised, but this will be in place before the school take occupation of the new buildings. This is also now a Planning condition.
- 7.5 Work has been ongoing towards a community use agreement, as can be seen from the proposed site plan submitted as part of the planning application, the design of the external layout has been developed in conjunction with the School and the Authority's Community Sport and Leisure Team, to ensure that community use can be easily facilitated;
- 7.6 The all-weather pitch and MUGA sit outside the School's Secure by Design boundary fence and are only protected by ball stop fencing.
- 7.7 Access to the facilities is via gates from within the school's grounds, and also via gates outside the School's Secure by Design boundary fence.
- 7.8 They are sited in proximity to the car park and are served by a footpath outside the School's Secure by Design boundary fence.
- 7.9 Like many local authorities Swansea is undertaking commissioning reviews talking to external groups, and not-for-profit organisations and communities to see how facilities can be run in future. The running of the proposed facility at Gorseinon that will be made available to the community by the school also fits with this sustainable model for the future.

## **8. Concluding comments in relation to the proposed appropriation**

- 8.1 The purpose for the proposal is that the Council will be able to provide a fit for purpose school building for the local primary school accommodating 315 pupils plus nursery.
- 8.2 The legal considerations above demonstrate that it is for the Council to decide when it is appropriate to decide an area should change its use from Leisure use to Education purposes under the appropriation procedure, and attempts by some members of the local community to demonstrate that the general park is well used is not the sole consideration.
- 8.3 The size of Parc y Werin is 8.77 acres.
- 8.4 The overall proposed school site is 3.212 acres, which is 37% of the total park area.

- 8.5 Within that 3.212 acres the school building footprint is 2275 m sq. which is approximately 0.562 acres, and 6.4% of the total park area.
- 8.6 Within that 3.212 acres, the remaining external area is 2.65 acres, of which the car park, MUGA and all-weather pitch will be made available for community use.
- 8.7 As a consequence only 2.463 acres will be taken away from community use.
- 8.8 The community facilities within the park will be upgraded; whilst the junior pitches will be lost, the park will benefit from a new all-weather pitch, and MUGA.
- 8.9 The existing playground will be relocated and upgraded with new equipment.
- 8.10 A contribution will be made from the project to further compensate for the loss of the pitches which it is intended will support the new full size 3G pitch at the Penyrheol Comprehensive School site.
- 8.11 In consideration of all of the above, and the proposed enhancements and community benefits, it is therefore concluded that the land to be appropriated is no longer required for the purpose for which it was held immediately before the appropriation.

## **9. Equality and Engagement Implications**

- 9.1 A full Equality Impact Assessment has been drafted (appendix D) (and will be progressed throughout the life of the scheme) and shows that this scheme will have a positive impact on.
- 9.2 *Age* – Gorseinon Primary School is a school for pupils aged 3-11 years. This scheme will have a very positive impact on the Education of all 3-11 year olds who attend the school in the future.
- 9.3 *Disability* – The design, delivery and implementation of this scheme has taken full consideration of the social model of disability, which recognises that people are disabled by the barriers of society (e.g. physical, environmental, organisational, and attitudinal, communication, etc.) rather than by any physical condition. The design of the new buildings and the running of the school in the future will ensure that ALL the pupils and staff can make the most of their new environment.
- 9.4 *Welsh* – All public signage within the school will be bilingual.

## 10. Financial Implications

### Capital

- 10.1 The WG announced its support in principle for an agreed programme of school building improvements in December 2011. This programme – termed Band A of the 21<sup>st</sup> Century Schools Programme - entails the Welsh Government providing a 50% contribution in relation to schemes costing £51.31 million. The Council is expected to provide the remaining 50% contribution.
- 10.2 The schemes included in both phases of the programme were summarised in the Capital Budget and Programme report presented to Council on the 9 February 2017 with the budget for Gorseinon being £6.080million.
- 10.3 Tenders were received on 30 April 2015 for the above scheme, with Andrew Scott Ltd. emerging as the successful contractor with a tender figure of £4,676,094.00.
- 10.4 It is now anticipated that subject to Cabinet agreeing to the proposed appropriation, that the contractor will start on site in January 2018, and officers have therefore been in discussions with Andrew Scott Ltd. to agree the increase applicable to the delayed start should the scheme proceed.
- 10.5 Andrew Scott Ltd have subsequently revised their costs due to the two year delay in start date and have now presented a revised cost submission for the sum of £5,170,116, which represents an increase of £413,355.
- 10.6 Based on the information provided, current forecasts and the proposed site start date, officers consider the requested increase to be reasonable and justifiable.
- 10.7 During the design development of the scheme, a number of client changes were requested on technical items and a planning condition relating to drainage was submitted, which made information contained within the tender document incorrect, therefore leading to additional costs of £80,666.87.

The changes are shown in the breakdown below.

Andrew Scott Ltd. Tender Sum	£4,676,094.00
Client led changes	£80,666.87
<b>Sub-total</b>	<b>£4,756,760.87</b>
Delayed start costs	£413,355
<b>Total</b>	<b>£5,170,116</b>

It has also been possible to reduce some of the provisional sums in the cost plan, so that the net cost increase overall is £370,424. The revised cost plan is summarised as follows;

	<b>Expenditure</b>	<b>£</b>
1	Construction	£5,170,116
2	Community facilities & playground relocations	£50,000
3	Surveys and external fees	£350,000
4	Additional Traffic Measures	£300,000
5	CBPS Fees	£217,000
6	Education Fees	£90,000
8	Digital Learning	£40,000
9	Decant	£120,000
	<b>Total</b>	<b>£6,337,116</b>
11	Optimism bias @ 1.788%	£113,308
	<b>Total</b>	<b>£6,450,424</b>

10.8 Any sum to compensate the Housing Revenue Account in the event of the appropriation of land currently held for housing purposes and presently valued at £25,200 will be contained within the overall cost of the scheme.

10.9 The £370,424 less the retention of £77,567 which will slip to Band B 2019/20 can be accommodated within the overall programme funding envelope utilising uncommitted sums remaining within the programme, arising in part from savings achieved in other schemes.

10.10 A change request to the Strategic Outline Programme has been submitted to WG and we are awaiting confirmation. Until the Council receives the revised offer of the grant from WG the successful contractor will not receive confirmation to proceed with the project. Details of the revised estimated cost and funding are set out in Appendix C.

#### Revenue

10.11 The school's operational revenue costs will continue to be appropriately funded by way of budget share of the total schools delegated budget provided in 2017-18 budget and future years as set out in the medium term financial plan.

10.12 All schools are funded on a consistent and transparent basis and the new build on a single site will mean that the school no longer requires split site funding (which is provided to reflect the additional costs incurred when a school operates across more than one site).

10.13 Furthermore, there are currently two kitchens operating, at each of the infant and junior sites. The new build will have a single kitchen which will result in a direct revenue saving.

## **11. Legal Property Implications**

- 11.1 The advice of the Head of Legal, Democratic Services and Business Intelligence is as follows: Section 122 (1) of the Local Government Act 1972 provides that 'a principal council may appropriate for any purpose for which the council are authorised by this or any other enactment to acquire land by agreement any land which belongs to the council and is no longer required for the purpose for which it is held immediately before the appropriation'.
- 11.2 The key procedural points are;
- The land must already belong to the Council;  
The land must be no longer required for the purpose for which it is currently appropriated; and  
The purpose for which the Council is appropriating must be authorised by statute.
- 11.3 The case of *Dowty Boulton Paul v Wolverhampton Corporation* (1973) established that the local authority is the sole judge of whether or not the land in question is not required for the purpose for which it is held immediately before the appropriation and its decision cannot be challenged in the absence of bad faith.
- 11.4 As with most administrative decisions made by public authorities, the decision to appropriate land is subject to challenge by judicial review. If private rights or alleged town and village green rights are to be overridden the Council must be especially careful. The Council must be able to demonstrate the purpose for the appropriation and that it has taken all the relevant considerations into account and not taken any irrelevant considerations into account. In particular, the Council must consider, having regard to the proposed new facilities for park users, and in the light of the representations made following the consultation exercise, whether that part of Parc y Werin to which the proposed appropriation relates, is no longer required for the purposes for which it is presently held.
- 11.5 The Council's decision must be based on the available evidence and be rational in the sense that it cannot be said that no reasonable local authority could, on the evidence before it, have arrived at that decision: *Associated Provincial Picture Houses Ltd v Wednesbury Corporation* (1948) 1 KB 223).
- 11.6 The proposal to appropriate must be the subject of a comprehensive report and decision record or minute, which should evidence that the Council intends to formally appropriate the land under s.122 of the Local Government Act 1972.

- 11.7 Cabinet must be of the view that the land is no longer required for the purpose for which it is currently appropriated.
- 11.8 In addition, s.122 (2A) of the Local Government Act 1972 provides that 'A principal council may not appropriate under subsection 122(1) above any land consisting or forming part of an open space unless before appropriating the land they cause notice of their intention to do so, specifying the land in question, to be advertised in two consecutive weeks in a newspaper circulating in the area in which the land is situated, and consider any objections to the proposed appropriation which may be made to them'.
- 11.9 The Council has now published notices and complied with the provisions of s.122(2A).
- 11.10 It is essential when coming to their decision that Cabinet consider all objections received and make their decision on all the evidence before them.
- 11.11 The Head of Legal, Democratic Services and Business Intelligence has carried out a report on title on the land and has confirmed that there are no constraints that would affect the proposals.

## **12. Legal and contract procurement implications**

- 12.1 The original contract award to Andrew Scott was approved by Cabinet on 16 July 2015 and Andrew Scott has subsequently undertaken pre construction works in order to develop the scheme. The contractual position between the Council and Andrew Scott has been regulated to date through Letters of Intent to protect the Council's position.
- 12.2 Future contractual liabilities/obligations will be covered by appropriate contract documentation to be prepared and approved by the Head of Legal, Democratic Services and Business Intelligence. The increase in the contract sum is permissible as a contract modification pursuant to Regulation 72 Public Contracts Regulations 2015. The Council's Contract Procedure Rules also require increases in the original contract value to be reported and monitored.

## **13. Property Implications**

- 13.1 It is proposed that a further report is brought to Cabinet to consider the future of the three sites following vacation by the school.

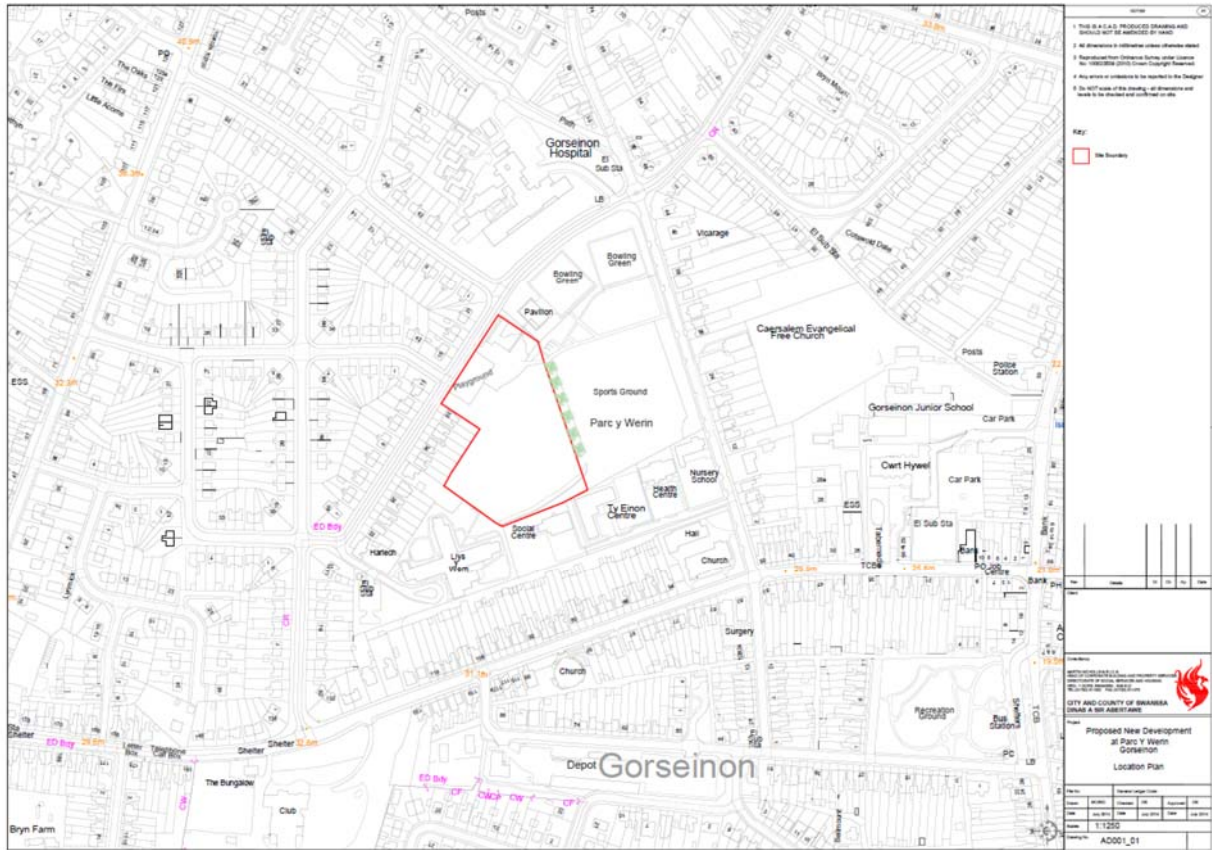
### **Background Papers:**

- Report to Cabinet 16 July 2015 Cabinet - 21st Century Schools Programme – Gorseinon Primary School
- 2015/2074 Land at Parc y Werin, Gorseinon, Swansea SA4 4UX - Report to Planning Committee 8 December 2015

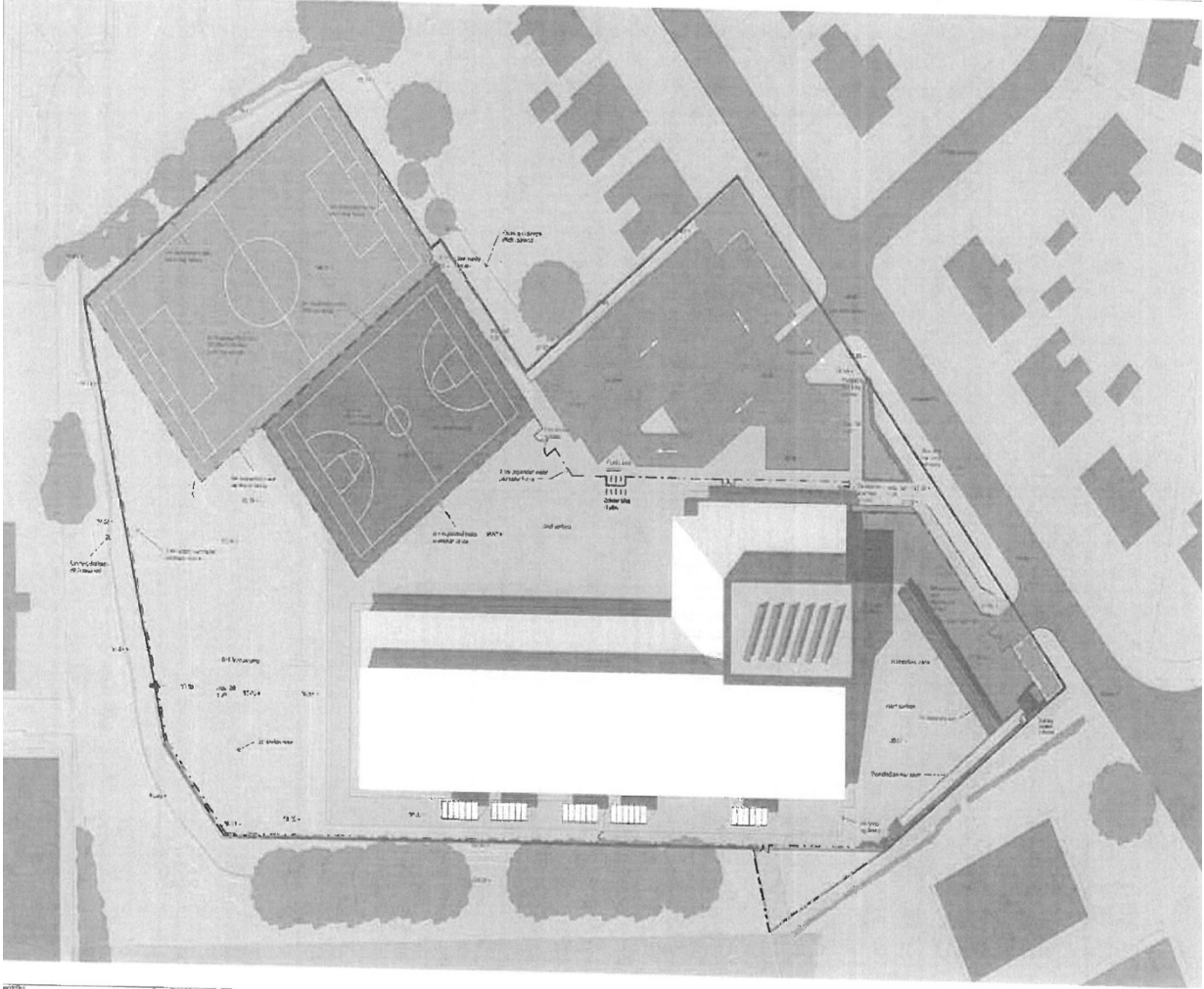
- 2015/2074 Planning Statement
- 2015/2074 Planning Design and Access Statement
- 2015/2074 Planning Play Space Provision letter
- 2015/2074 Planning Decision Notice
- Capital Budget and Programme 2016/17 - 2020/2021 approved by Council 23 February 2017

**Appendices:**

<b>Appendix A</b>	Site plan
<b>Appendix B</b>	Proposed site layout plan
<b>Appendix C</b>	Financial Implications: Summary
<b>Appendix D</b>	Equality Impact Assessment







**FINANCIAL IMPLICATIONS : SUMMARY**

**Portfolio:** EDUCATION  
**Service :** PRIMARY SCHOOLS  
**Scheme :** Gorseinon Primary  
 2014 / 2015 & 2019/2020

<b>1.1. CAPITAL COSTS</b>	<b>2014/15 £'000</b>	<b>2015/16 £'000</b>	<b>2016/17 £'000</b>	<b>2017/18 £'000</b>	<b>2018/19 £'000</b>	<b>2019/20 £'000</b>	<b>TOTAL £'000</b>
<u>Expenditure</u>							
construction		277,562		1,140,534	3,674,453	77,567	5,170,116
facilities relocation				50,000			50,000
external fees and surveys	8,255			146,281	195,464		350,000
additional traffic management	16,000			144,000	140,000		300,000
CBPS fees	25,875	33,485	10,713	39,463	107,464		217,000
Education fees	1,176	40,000		15,921	32,903		90,000
digital Learning					40,000		40,000
decant					120,000		120,000
<b>sub total</b>	<b>51,306</b>	<b>351,047</b>	<b>10,713</b>	<b>1,536,199</b>	<b>4,310,284</b>	<b>77,567</b>	<b>6,337,116</b>
optimism bias				35,000	78,308		113,308
<b>EXPENDITURE</b>	<b>51,306</b>	<b>351,047</b>	<b>10,713</b>	<b>1,571,199</b>	<b>4,388,592</b>	<b>77,567</b>	<b>6,450,424</b>
<u>Financing</u>							
WG grant		351,047	10,000		2,864,165		3,225,212
Own resources	51,306		713	1,571,199	1,524,427	77,567	3,225,212
<b>FINANCING</b>	<b>51,306</b>	<b>351,047</b>	<b>10,713</b>	<b>1,571,199</b>	<b>4,388,592</b>	<b>77,567</b>	<b>6,450,424</b>

<b>1.2. REVENUE COSTS</b>	<b>2014/15 £'000</b>	<b>2015/16 £'000</b>	<b>2016/17 £'000</b>	<b>2017/18 £'000</b>	<b>2018/19 £'000</b>	<b>2019/20 £'000</b>	<b>TOTAL £'000</b>
<u>Service Controlled - Expenditur</u>							
Employees )	N/A	N/A	N/A	N/A	-3,500	-14,000	-17,500
Maintenance )	N/A	N/A	N/A	N/A	-3,844	-13,833	-17,677
Vehicle running costs )	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<b>NET EXPENDITURE</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>-7,344</b>	<b>-27,833</b>	<b>-35,177</b>
<u>Financing</u>							
					N/A	N/A	
<b>FINANCING</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

## Equality Impact Assessment (EIA) Report

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

**Please refer to the 'EIA Report Form Guidance' while completing this form. If you need further support please contact [acesstoservices@swansea.gov.uk](mailto:acesstoservices@swansea.gov.uk).**

<b>Where do you work?</b>
Service Area: Education
Directorate: People

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

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

**(b) Please name and describe below...**

### **New build for Gorseinon Primary School (updated in July 2017)**

Gorseinon Infant and Junior Schools amalgamated in September 2012 as one single primary school now called Gorseinon Primary.

Some of the comments received during the Statutory Consultation for the amalgamation included:

- Funding needs to be sufficient in order to allow a leadership structure which provides effective management for a multiple split site whilst not being detrimental to current TLR holders. The school would be different from others as it would be on three sites.
- The proposed Admission Number reduction from 60 to 50 for the Infant School will mean that children could be turned away in future and increase the risk of future redundancy and the likelihood of split age group classes. Flexibility on the Junior site or a new demountable to replace that removed previously could increase the Admission Number back up to 60. Nearby schools are either full or near capacity and new houses are being built in the area.
- Both the Infant and Junior Schools are due inspections in the next year and the new Primary would be inspected within 2 years. This proposal will lead to increased stress/workload for staff. The proposal could lead to disruption for children and affect the high standards at the schools.
- A new single site build is crucial to the long term development of the new primary school and governors would expect the Authority to demonstrate that plans for a single site are part of a long term plan, even if a date is unclear. The infant building is categorised as D and the nursery as C and this needs addressing now.
- Teacher workload should not be affected in any detrimental way due to there not being adequate leadership/leadership time in any of the school bases.
- Not opposed to the amalgamation. Uniting the schools would enable the already good transition links to further develop. Staff, other than possibly leadership or TLRs, should not be subjected to applying for their own jobs or being interviewed unless unavoidable - staff should be slotted in wherever possible.

The Consultation Paper for the amalgamation said that if the two schools were to be amalgamated, there would be a single school with an age range of 3 - 11 years. Therefore, a child entering the nursery would continue in the school until they were 11 years old (year 6) and ready to move on to a secondary school, with one head-teacher, one group of staff and one

budget. There would also be a single governing body, and the existing buildings would be used to form the Primary School.

Gorseinon Primary school is located across three school sites including a separate Nursery site.

The School currently provides full time education for pupils between the ages of 3 and 11 and has 10% surplus places as at January 2014. The school also has a Nursery has 30 nursery children with rising threes totalling 36 by July 2015.

The proposed scheme aims to fulfil that aim to co-locate pupils on one site, providing a 1.5 Form entry 315 pupil plus nursery School future proofed to 2 form entry.

The proposed site is on an area of Parc Y Werin; the land take will be 3.24 acres, and will take up an area currently used as a training pitch and a playground.

Gorseinon has a shortage of formal play areas according to the open space audit. However the existing playground is of poor quality, so its relocation and new equipment would enhance existing provision and help to mitigate at least the poor quality of provision.

The development will result in the main sports pitch at Parc Y Werin being retained.

Consideration is being given to a number of sites within the Gorseinon area that may have potential for enhanced sports facilities to ensure that the needs of local sports clubs within the area continue to be met.

Consideration is also being given to the possibility of facilitating shared use of the School's mini pitch and MUGA so as to maximise community usage.

The new school will be situated in an area with a number of existing community facilities, which will still be accessible to the community:

- The grass sports pitch.
- Upgraded and re-sited playground.
- Bowling green and pavilion.
- Health care.

The new school will also include a community room that the school will be able to let out for community use.

**(c) It was initially screened for relevance to Equality and Diversity on 17/11/2014.**

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

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

**(e) Lead Officer**

**Name:** Louise Herbert-Evans

**Job title:** Programme Manager  
**Date (dd/mm/yyyy):** 06/07/2017

**(f) Approved by Head of Service**

**Name:** Brian Roles

**Date (dd/mm/yyyy):** 06/07/2017

## Section 1 – Aims (See guidance):

### Briefly describe the aims of the initiative:

#### What are the aims?

The project aims to satisfy the aspirations of the Quality in Education (QEd) 2020 programme to;

- Raise standards of achievement and attainment for all children and young people.
- Improve the quality of the learning environment.
- Make the best use of human, physical and financial resources.

With the specific aims;

- To deliver the local authorities policy for an all through primary school.
- To provide an appropriate environment that facilitates an improvement in attainment levels across the whole age range at Gorseinon Primary School
- Achieve greater operational efficiencies.
- To more appropriately meet the needs of pupils, staff and parents with specific accessibility or disability issues.

The project aims are to build a 1.5 form entry primary school within the Gorseinon Primary School catchment area, that will provide 315 full time KS1 and KS 2 pupil places, plus Nursery, but also future proofed to 2 form entry.

#### Who has responsibility?

The project is being developed by the City and County of Swansea. If it proceeds it will be funded by a 50% grant from Welsh Government and 50% from City and County of Swansea. The 50% grant funding is subject to Welsh Government approval of the Business Case, and formal contract with Welsh Government. It is proposed to tender the scheme on the basis of a design and build contract.

City and County of Swansea has overall responsibility.

#### Who are the stakeholders?

Each stakeholder group requires a specific method of communication to promote key messages during the project. A broad approach for communications methods is outlined below. It draws on corporate methods of communicating to staff in general as well as some established meeting structures within the project.

Audience	Methods
Parents	Letter, local media, twitter, Facebook, CCS website
Governors	Face to face briefing, letter
Head and Management Team	Face to face briefing
Pupils	Face to face school visits, letter, twitter, Facebook, other social networking
CMT	Face to face briefing, newsletter, email
Cabinet	Face to face briefing, newsletter, email
Group Leaders	Face to face briefing, newsletter, email
Ward Members	Email, phone call, Face to Face
Trade Unions	Face to face briefing, email
Evening Post	Face to face briefing, press release
WG	Letter, local media, email
AMs	letter, email
MPs	letter, email
School staff	Face to face, letter, Newsletter, local media, twitter, Facebook, CCS website
Swansea Bay Radio, Wave/Swansea Sound, BBC,	Press release

ITV, Western Mail, TES,	
Education SMT/DMT	email, newsletter, face to face
Catering and cleaning staff	letter, face to face
Community groups and Elba Users	Letter and liaison with Regeneration, CCS website
All Council staff	Staffnet
Swansea residents	Local media, CCS website, twitter, facebook
Local businesses	Local media, CCS website
Bus operators	Email from Education/Transport
Taxi operators	Email from Education/Transport

## 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) .....	<input checked="" type="checkbox"/>	Carers (inc. young carers) .....	<input type="checkbox"/>
Any other age group (18+).....	<input checked="" type="checkbox"/>	Race.....	<input checked="" type="checkbox"/>
Disability .....	<input checked="" type="checkbox"/>	Religion or (non-)belief.....	<input checked="" type="checkbox"/>
Gender reassignment .....	<input type="checkbox"/>	Sex.....	<input checked="" type="checkbox"/>
Marriage & civil partnership .....	<input type="checkbox"/>	Sexual orientation .....	<input type="checkbox"/>
Pregnancy and maternity.....	<input type="checkbox"/>	Welsh language .....	<input checked="" type="checkbox"/>

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

Research & Information Unit, City and County of Swansea, reported in April 2013

Gorseinon has;

- 20th largest ward population in Swansea, and 13th highest population density.
- Low proportions of 16-24 and 45-64 year olds, but higher percentage of people aged 0-15 and 25-44 than the Swansea average.
- 2nd highest birth rate and 5th highest death rate in Swansea (2012).
- Higher proportions of one-pensioner households
- Higher proportion of people able to speak Welsh.
- Higher proportion of 16+ without qualifications than Swansea average.
- Higher proportion (25%) with long term illnesses or disabilities than Swansea average.

In 2011 Census (population estimates) the:-

- Population of Gorseinon as 4301 spread over 226 hectares.
- The gender split of Gorseinon was 50.5% Female (2179 people) and 49.5% Male (2122 people).
- Children and young people aged 0-24 years represent 30.53% of the population, (1334 people).
- 2.6% of the total population of Gorseinon ward (110 people) came from an ethnic minority background.
- 12.8% (529 people) of the ward population were Welsh speakers

A school survey is carried out annually and the following data are headlines from January 2017  
PLASC:

- 30 of pupils at the school are Non-White British
- 69 statutory age pupils are claiming Free School Meals
- 80 of pupils have a Special Educational Need

The Authority's Leisure Department manages the bookings of the pitches at Parc Y Werin

**Any Actions Required?**

- 
- 

**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)	➔ <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group (18+)	➔ <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	➔ <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	➔ <input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	➔ <input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	➔ <input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race	➔ <input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	➔ <input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex	➔ <input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual orientation	➔ <input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh language	➔ <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	➔ <input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Age – Gorseinon Primary School is a 3-11 school. This project will have a very positive impact on the Education of all 3-11 year olds who attend the school in the future. In addition the project will have a very positive impact on all staff at the school, providing them with a modern school to carry out their work. The loss of part of Parc Y Werin and reduced pitch area but enhanced play area, investment in other provision within the locality and on school site MUGA and all weather proposed could be made available for community letting or use subject to approval by the school will mitigate this loss.

Disability – The design, delivery and implementation of this project has taken full consideration of the social model of disability, which recognises that people are disabled by the barriers of society (e.g. physical, environmental, organisational, and attitudinal, communication, etc.) rather than by any physical condition. The design of the new buildings and the running of the school in the future will ensure that ALL the pupils and staff can make the most of their new environment.

Welsh – All public signage within the school will be bilingual.

**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 school community and the local community were provided with information leaflets to share information about the proposal. Community engagement sessions were held at Canolfan Gorseinon and pupils will be surveyed with regard to their travel to and from School to inform a Travel Plan.

Press Releases, a leaflet drop, Community Engagement Sessions, displays at the School sites and at Gorseinon Library informing the community and stakeholders about the proposals and inviting questions have been undertaken.

Information is available on the website:

<http://www.swansea.gov.uk/article/16512/Gorseinon-primary-school-community-engagement>

Answers to the FAQs, feedback and mythbusters have been published on the website.

Presentations were given to the staff and Governors in February 2015.  
A public meeting was held in September 2015.

Formal consultation occurred in relation to the Notice of the Intention to use an area of Open Space for the proposed development, and also through the Planning Application process. Consultation Period was the 23 May 2015 to 20 June 2015 for the Public Open Space notice. No objections were received and the application was approved by Cabinet.

Planning permission for the school on Parc y Werin in the heart of the community was granted in December, 2015. Now Swansea Council's Cabinet is set to be asked for permission to change the use of a section of the park from leisure and housing to education use. The move comes after the council's planning committee agreed to back an independent inspector's recommendation not to give the park Village Green status.

Ongoing stakeholder engagement will occur throughout the lifecycle of the project, and will include the stakeholder groups detailed above.

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

- Continue to involve key stakeholders as the project develops



- Continue to consider the impact of placing the school on its new site on the surrounding area and the traffic/transport issues

## 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).

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

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

Please explain any possible impact on each of the above.

Impact on...
<b>Foster good relations between different groups</b>
<p>Press Releases, leaflet drop, Community Information Sessions, displays at the School sites, and at Gorseinon Library, informing the community and stakeholders about the proposals, inviting people to comment on the proposals. The feedback received is now being considered and it may be possible to incorporate some of the points made in the proposals.</p> <p>The development will result in the loss of a grassed training area. However, the existing play ground will be relocated and upgraded, and the new equipment will be chosen to cater for existing demand based on local surveys.</p> <p>It is also planned to design the site in such a way so as to facilitate shared use of the School's mini pitch and MUGA so as to maximise community usage.</p> <p>On completion of the new build, the community may (subject to booking arrangements with the School and fees) have access to the following:</p> <ul style="list-style-type: none"> <li>• A community meeting room</li> <li>• Hall</li> <li>• Improved outdoor Leisure facilities</li> </ul> <p>Traffic is always a major concern for new developments. However, it is not expected that the proposals will increase traffic only move it, and possibly reduce it as parents will only need to travel to one site rather than up to three sites using the current provision. The catchment map suggests that more pupils are clustered around the proposed site, and also travel between the infants and juniors will be negated, so this may even reduce traffic. This will be studied in more detail in the Traffic Assessment. The School Travel Plan will also focus on actions to encourage walking to school, car sharing etc.</p>
<b>Advance equality of opportunity between different groups</b>
<p>Access for all pupils/teachers to a high quality learning environment.</p> <p>Increased opportunities for community use</p> <p>High end improvements in ICT devices and infrastructure that will enable mobile learning and thereby create extensive potential for equality of use for all site users</p>

### **Elimination of discrimination, harassment and victimisation**

Secure by design – reducing the number of secluded settings within the school site that would allow opportunities for bullying etc.

Inclusion of an internal and external CCTV system that will allow for “real time” monitoring of potential trouble hotspots

### **Reduction of social exclusion and poverty**

- Modern learning environment encourages attendance and this leads to better outcomes for individual pupils and gives every child/young person a better start in life.
- Improve attainment and pupil wellbeing;
- Raising Standards and pupil wellbeing
- Increased community engagement
- Improved “all round” learner experience

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

1. Proposed upgrade resiting and upgrade of playground.
2. Provisional sum allowed for in the cost estimate to improve pitch facilities elsewhere in the locality to ensure that the needs of local sports clubs continue to be met.
3. Design to include Community Room and Hall, which will provide potential for community usage.
4. Design to include an on school site MUGA and all weather proposed which will provide potential for community usage.
5. Ongoing stakeholder and community engagement.

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

Yes. The school already has a positive impact on its community via community facilities. The improvements proposed will provide an opportunity for the school to build on this through greater use of its facilities by the community.

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

Although the school is an English Medium school all public signage will be bilingual and the school will continue to promote the national curriculum inc. the teaching of Welsh.

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

- Ongoing stakeholder and community engagement.
- 

## **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.**

The initiative will have a direct impact on children and young people.

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

The initiative is designed in the best interest of children as stated in guiding principal Article 3. *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 initiative is planned to improve pupils' school environment thus giving them the best opportunity of achieving to their full potential. The proposal relates to the following articles:

**Article 3** - All organisations concerned with children should work towards what is best for each child.

**Article 12** - Respect for the views of the child

**Article 18** - Both parents share responsibility for bringing up their children. We should help parents by providing services to support them.

**Article 28** - Children have a right to an education. Discipline in schools should respect children's human dignity.

**Article 29** - Education should develop each child's personality and talents to the full.

**Article 30** - Children have a right to learn and use the language and customs of their families.

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

- 
- 

## **Section 6 - Monitoring arrangements:**

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

**Monitoring arrangements:** All projects within the Quality in Education (QEd) 2020 Programme have a clear monitoring process in place. Regular progress meetings will be held with the school and the contractors, a formal Project Board will be held monthly to discuss key issues and make key decisions, any issues can then be escalated to the QEd Programme Board with the Strategic Programme Board (Corporate) having an overarching view of all City & County of Swansea projects.

**Actions:** Monitor EIA monthly at the Project Board and Programme Board by exception as required

## **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



Outcome 2: Adjust the initiative – low level of concern



Outcome 3: Justify the initiative – moderate level of concern



Outcome 4: Stop and refer the initiative – high level of concern.



**For outcome 3**, please provide the justification below:

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

## **Section 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](mailto: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
Ongoing stakeholder and community engagement.	Project Manager	Commenced	Stakeholders up to date with proposals and progress.	
Identify community users of the Parc y Werin site and add them to the stakeholder list	Project Manager	January/February 2015	Users identified and communicated with	Completed
Submission of Planning Application	Technical Project Manager	October 2015	Determination of planning application.	Completed
Notice and consideration of responses of appropriation and of an area of open space under Sub-section 122(2A) of the Local Government Act 1972	Project Manager	May/June 2015	Consideration of any objections received by Cabinet.	Completed, no objections received and approved by Cabinet.
Monitor EIA monthly at the Project Board and Programme Board by exception as required.	Project Manager	Monthly	Updates reported and signed off.	
Consider the impact of placing the school on its new site on the surrounding area and the traffic/transport issues	Project Manager	Ongoing	Impact assessed and mitigation put in place	Traffic assessment carried out and was submitted as part of the planning application

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

# Agenda Item 14.



## Report of the Cabinet Member for Future Generations

Cabinet - 19 October 2017

### Members Community Budget - Updated Guidance

<b>Purpose:</b>	To amend the criteria for delivery of the Community Budget scheme and provide additional guidance
<b>Policy Framework:</b>	Council Budget
<b>Consultation:</b>	Finance, Legal, Access to Services, Education
<b>Recommendation:</b>	It is recommended that Cabinet: -  1) Approve the revised guidance relating to community budgets.
<b>Report Author:</b>	Geoff Bacon
<b>Finance Officer:</b>	Paul Roach
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Sherill Hopkins

#### 1.0 Introduction

1.1 The current scheme was adopted by Cabinet on 28th May 2013 and subsequently amended by Cabinet on 19th November 2015. This scheme is intended to support delivery of small local measures that are a priority for individual Councillors and their local community but are not funded by other Council budgets. Furthermore, it is intended to help deliver the Council's strategic objectives.

As part of the scheme, a sum of money has been divided equally between all 72 elected Councillors to use on supporting initiatives within their Ward.

The Community budget provides each Councillor with a budget currently set at £10,000 per annum. (as at 17/18 financial year). There is no minimum amount a Councillor may spend on funding.

## 1.2 What is included within Community Budgets?

Councillors can allocate funding to any scheme (providing it is legal, complies with the Council's constitution and the Council's policies and procedures) and can be used to:

- a) Initiate or support community projects
- b) Improve health and wellbeing
- c) Improve Council owned land and/or public rights of way
- d) Improve community services or facilities in a local area
- e) Address safety issues in the local community
- f) Contribute towards the Council's costs in facilitating local events or markets
- g) produce leaflets and information promoting the local area (but not promoting individual businesses and/or organisations)
- h) Provide grants of £3,000 per year, per Ward Councillor (maximum £15,000 over the five-year term) to community groups supporting wider community engagement or services. Any one-off capital spends exceeding this amount will be considered on their own merit e.g. £25,000 contributed to a community group to fix the roof of the community centre
- i) Contribute towards the Minor Works Budget; (details are outlined below in 1.3)
- j) Create or enhance an asset and
- k) Provision of match funding to support or extend projects of the types outlined above that are part funded from other sources.

Please note the above list is not exhaustive.

## 1.3 What is the Minor Works Budget?

Councillors with Council housing in their Ward can identify and/or approve schemes proposed by Area Housing Managers, including work carried out on Housing Land only, such as:

- a) Fencing
- b) Gulley clearance
- c) Repairs to paths
- d) Provision of barriers and/or security works
- e) Additional lightening
- f) Additional car parking

- g) Improving open spaces
- h) Installing community facilities and/or areas; seating
- i) Garden areas
- j) Allotments

#### 1.4 **What is not included within Community Budgets?**

Councillors are not able to allocate funding for:

- a) A scheme that is not legal and does not adhere to the Council's constitution, policies and procedures;
- b) Providing grants/monies to any commercial organisation or any individual or organisation whose principles conflict with those of the Council;
- c) Supporting any kind of political activity.

In addition, support to community groups to fund ongoing day to day running expenses is not recommended except in exceptional circumstances and to assist in short term challenges

#### 1.5 **How are requests made?**

Any request or queries should be directly to the nominated officer Jayne Hunt. E mail [Jayne.Hunt@swansea.gov.uk](mailto:Jayne.Hunt@swansea.gov.uk) Tel: 07814107623 or alternatively, the Council has set up a simple process to log requests from Councillors which automatically logs the request and detail and provides a reference number. Details are available at <https://www.swansea.gov.uk/staffnet/councillorconsent>

#### 1.6 **How will work be carried out?**

It is proposed that all “works” will still be issued via the Council in-house teams. These services must continue to demonstrate that it can deliver the scheme cost effectively and ensure communication is improved.

A catalogue of schemes has been made available to members and will continue to be updated. (**Appendix A**). This will include, where possible, a minimum to maximum cost per scheme. A range of cost per scheme is presented due to the fact site specific issues may have an implication on final costs. The schedule will also indicate what schemes works will be procured from a 3rd party.

All costs of delivery of a scheme including any costs for design and e.g. TRO's must be included thus providing visibility for members. A breakdown of costs and a completion date must also be included in quotes. Options will also be shown if required and how they affect cost and timeline for delivery. E.g. batching up schemes to reduce costs for road markings or grouping TRO's



When payment for a scheme is made then members will be advised as soon as possible.

The administrator of the scheme will inform members of their up-to-date spend and amount of remaining budget on a quarterly basis. This information will also be included on the Council's website.

A simplistic approval process is in place to ensure members and the Council are protected.

### **1.7 Future revenue costs**

Care must be taken not to allow schemes to generate a significant amount of future revenue burden without making appropriate budget adjustment.

"Grants or works" should not normally result in a disproportionate increased ongoing revenue burden for the Council. As such a simplistic, cumulative, threshold of £100 per year is for all the "works" undertaken by a Ward Member in their term and if annual costs exceed that, a discussion will be held with members before scheme commences, e.g. an equivalent contribution would be made by the ward member to cover an agreed period by way of a commuted sum for a period of 5 years e.g. £500.

Where this has not previously been adopted or where a replacement is required after the expiry of the "commuted sum" period, then any "replacement" items would be counted as a new application under these revised arrangements.

Officers will ensure compliance with all the Council's financial and contract procedure rules and therefore approval must be secured prior to making any commitment of funding to any organisation.

### **1.8 How will grants be paid to third party Organisation's?**

Where grants are made in line with this guidance to third parties, bank details must be provided for an electronic transfer, or a cheque to be generated. The bank details needed would be the name of the group or organisation, address, bank account number and sort code. The bank account must be in the name of the group or organisation applying for funding.

A brief description of what the money is for would also be required. Cash will not be provided.

### **1.9 The nominated officer's role in Community Budgets**

The nominated officer will be the Councillors' direct link into the scheme and the approval process.

Council officers will confirm that any application complies with the terms and conditions of the scheme. Officers will ensure that proposed schemes are linked into the wider community engagement and existing work programmes to avoid duplication.

In addition, the nominated officer will regularly inform members of their up-to-date position on outstanding schemes, spend and amount of remaining budget on a quarterly basis.

#### **1.10 Will a Councillor need to provide reasons to allocate funds?**

To ensure a successful application, each Councillor should (if requested) provide reasons as to why any allocation of funds will help a local scheme, activity or project. Any scheme, activity or project will need to show it specifically benefits the well-being of the local community or its own environment or economy.

Details of Councillor spending will be published on the City and County of Swansea internet site on a quarterly basis.

#### **1.11 What rules apply to spending Community Budgets?**

As the monies within Community Budgets are public money then the same rules apply as would apply to any other Council spending. This means that any scheme will still need to comply with the Council's Constitution, financial rules, and contract procedure rules.

Councillors must adhere to the Councillor's Code of Conduct when making decisions on how to allocate their Community Budget.

Councillors must consider and identify any potential conflicts of interest in relation to any proposals, which they wish to support.

Any queries on potential conflicts of interest or Code of Conduct should be referred to the Monitoring Officer.

#### **1.12 Work undertaken by private groups/organisations**

Where a scheme is being assisted by a contribution / donation from the community budget and this is being procured outside of the authority then ward members must insist that (depending on the value of the works/services) the organisation obtain either four detailed quotes or appropriately advertise the requirement. A timescale for completion of the work should be included in the quote. The Council should also be invited to give one of these quotes. If you are in any doubt about the competition requirements specified within the Council's Contract Procedure Rules then please seek advice from the Council's procurement team.

Councillors must ensure that the company/ organisation/school must comply with the council's procurement process and follow Council's policies on Health and safety, pay policy, etc. although they can commission the council to carry out this on their behalf. Quotes for works to be undertaken must include all costs, e.g. Quotes for highways work including TROs. Payment will be paid on completion of the work providing it is up to a satisfactory standard.

**1.13 If an asset is created or enhanced can its ownership be transferred from the Council?**

Assets created or enhanced under the Community Budget must remain under Council ownership unless it has been agreed as a specific decision in relation to an agreed community transfer in line with the appropriate policy.

**1.14 Can a Councillor pool their funds?**

Yes, Councillors can elect to pool their funds where there is more than one Councillor in a ward. If there are sufficient funds, it benefits the community and is not illegal, then the funds can be allocated to any individual project or group within each financial period (April to March) each year.

A Councillor does not have to pool their funds if they do not want to.

Councillors cannot pool funds across different wards unless the scheme/work is in fact being delivered across both wards, e.g. Joint funding of highway works which bridge ward boundaries; a community event which crosses ward boundaries or joint use of community facilities.

**1.15 Can a Councillor carry forward any unspent Community Budget?**

Any unspent monies from a Councillors Community Budget will automatically be carried forward to the next financial period if it is within the Councillor's term. Work scheduled for the 5<sup>th</sup> year of a term of office must be confirmed in the 4<sup>th</sup> year (i.e. before the 5<sup>th</sup> financial year). This will enable the appropriate department to include schemes in their schedules for the following year.

If money is committed to a scheme during the financial year but the scheme has not commenced, then the commitment will be honoured and a completion date be given to the Councillor. However, please note that any money not spent by the end of the Councillor's term of office will be lost and there are no exceptions to this rule.

Donations to groups can still be made provided they are made by the end of the financial year immediately preceding the next council election. If an election takes place outside of the normal cycle the cut-off date will be 6 weeks before the date of the election.

**1.16 What happens to the Community Budget upon a Councillor leaving the Authority during the financial period?**

The budget is based on 5-year term and is £50k in total and current Councillors can spend it as and when required. If a change in a Councillor takes place, the remaining balance would be made available to the new Councillor. If the Community Budget has been committed, no further monies will be advanced to the new Councillor until the next term of office.

**1.17 Can members of the public find out how much each Councillor has spent and on what?**

Yes. The Council will publish information regarding each Councillor's Community Budget on a quarterly basis. This will include declarations of interest from Councillors in relation to any applications. The Council's internet site will include a section on Community Budgets.

**1.18 Can a Councillor spend his/her Community Budget during Pre-election period?**

During the pre-election period, the normal behaviours around a Council and Councillors' activities become more restricted. The Council is not able to show or give any impression of showing any support, bias or favouritism to any candidate for election of Councillor or any political party. The Council must remain neutral and impartial.

Councillors will need to exercise caution in the use of their Community Budgets leading up to an election. Councillors will be able to identify any appropriate scheme up to and including the end of the financial year prior to the election i.e. 31<sup>st</sup> March prior to a May election.

**1.19 What happens if there is a dispute about the scheme?**

Hopefully, most situations will be clear as to what is permitted and what isn't assisted by this guidance. If there is a disagreement between a Ward Councillor and the nominated officer, and a solution cannot be found the matter would be escalated for determination by the Cabinet Member and the Director of Place. If the matter cannot be resolved, then the final decision will be made by the Monitoring Officer on the grounds of compliance with appropriate legislation.

## **2.0 Financial Implications**

The financial implications are in line with the previous community budget report dated 19<sup>th</sup> November 2015 with the exception of the revised allocation of £10,000 per annum/per councillor as outlined in the Council budget dated 23<sup>rd</sup> February 2017.

## **3.0 Legal Implications**

There are no additional legal implications over and above those set out in this report.

## **4.0 Equality and Engagement Implications**

An Equality and Impact Assessment screening form was completed and included in the previous Cabinet report on 19<sup>th</sup> November 2015. Changes included in this guidance do not affect the outcome of the initial screening process, which concluded that while a full EIA report is not required for the Community Budget itself, individual schemes will be screened in their own right as per the corporate process.

### **Background Papers:**

Cabinet Report: Members Community Budget, 28 May 2013

Cabinet Report: Members Community Budget, 19 November 2015

### **Appendix A: Catalogue of Schemes**

## **A guide to the cost of highway works**

Below is a guide to the cost of the more common requests for the provision of highway works (as of April 2016). It is intended to help members when considering such issues in their area.

Costs quoted are approximate and do not include fees involved with the design and implementation of the scheme or the cost of any legal procedures involved unless stated.

It should also be noted that all costs will be site specific and that this listing should only be used to give an outline to the costs which can be expected. In particular the impact of traffic management and location of statutory undertakers apparatus may significantly impact on the pricing of any scheme.

### **Pedestrian facilities**

Zebra crossing (including high friction surfacing on approaches if required) typically costs between £18,000-£28,000 with electrical supply and lighting changes accounting for a significant element in the variance in the cost.



Divided zebra crossing (including high friction surfacing on approaches if required) typically costs between £25,000-£35,000.



Puffin crossing (including high friction surfacing on approaches if required) typically costs between £25,000-£35,000.



Toucan crossing (including high friction surfacing on approaches) typically costs between £25,000 - £35,000.



A typical pedestrian refuge, including electrical works and all other associated works, costs between £5,000-£7,000. Refuges allow pedestrians to cross one stream of traffic at a time. They are useful where the concentration and number of pedestrians is fairly low. By narrowing the road, they reduce speeds, but the road needs to be wide enough to allow for a suitable refuge and the safe passage of vehicles and cycles.



## Footways

Pedestrian safety and comfort can be enhanced by providing or improving footways on the pedestrian network. The introduction of a missing footway link may encourage more people to walk. The highway needs to be wide enough to allow for a suitable footway and safe passage of traffic. The provision of dropped kerbs and tactile surfacing may also be appropriate.



To construct a new footway using standard bituminous materials typically costs approximately £150 per metre, with kerbing/edgings costing approximately £70 per metre.



A shared use cycleway/footway will be similar to a standard footway. However, it will be of greater width and will require additional signing and possibly changes to the street lighting.



## Parking controls

### Parking restrictions

Parking restrictions, the cost of formulating the proposals, the consultation and the progression of the associated legal traffic orders is the larger proportion of the total cost of introducing parking controls. Typically this can cost around £3,000 per site. The cost of the yellow lines and associated road signs account for a much smaller proportion of the total scheme.



### Residents Parking and Disabled Bays

The costs of developing the proposals, the surveys of the site to ensure it meets Council policies and the formal consultation and the progression of the associated legal traffic orders again is the larger proportion of the total cost of introducing such schemes. Again the markings and signing required do not form the substantive element of the cost which can be up to £5,000 per site.

### White lining



White lining costs up to £1 per metre. Hatching as shown above costs approximately £10 per metre squared. Removal of white lines costs between £12 and £36 per metre depending on the method required. Road studs cost around £15 each.

## Signs



To erect a warning or regulatory sign on a new sign post costs between £200 and £350, dependant on size.

To erect a directional sign on new posts typically cost between £400 and £700, dependant on size. If any sign requires external illumination then an approximate further £1,000 can be added to the cost for ducting, connection to the electricity supply and lighting unit.

A village nameplate on two new posts costs up to £350 plus traffic management costs to allow for installation..

## Traffic Calming and 20 mph limits and zones

Lowering speed limits alone may not have the desired effect. Currently, the Government advises that 20mph speed limits should be self-enforcing. Thus in many locations it is often necessary to install traffic calming measures to ensure that speeds are no greater than 24mph. Listed below are a number of components and their associated costs which need to be considered when designing schemes such as these.



Full gateway or entry treatment, including signs, lines and coloured high friction surfacing. This is often used to signify the start of any restriction and is particularly important where traffic speeds are not naturally reduced, such as at a junction. Additionally it may be advantageous to include rumble strips or dragon's teeth at these locations which alert the driver to a change in the driving environment. Dragons teeth provide a visual change and narrowing of the road. Rumble strips change the sound and feel of the car, however the noise generated often make these unsuitable in proximity to housing. This type of feature typically costs around £4,500. This cost will rise if any electrical work to the signs is required.



## Road Humps (sleeping policemen)



Road humps are used to stop people speeding up rather than slow them down. They need to be accompanied by slowing features at each end of a run of humps. They are suitable for residential areas but are not acceptable on bus routes. Effectiveness

decreases as spacing increases. Typically these will be placed at 100m to 120m centres as excessive distances both reduce their effectiveness and also lead to patterns of acceleration and breaking. Cost per hump about £2100.

## Speed Cushions



Raised rectangular areas. There can be one, two or three, depending on the width of the road. Like humps they are most suitable for built up areas where there is an established need to slow traffic. They do not slow speeds to the same extent as humps but do give emergency vehicles and buses a smoother ride and consequently can be used on bus routes. Typically they are located at 50m to 70m centres. Each cushion costs approximately £1200.

## Speed Tables



Similar to road humps but longer and with a flattened top, sometimes used to give pedestrians a level crossing between footways. They can also be used throughout a junction. This is especially useful where there are a lot of pedestrians. If they are long enough, they provide a smoother ride for buses than humps and consequently can be used on public transport routes. These measures are often used in conjunction with humps or cushions to create a traffic calmed area. At a cost of around £6,000 each they are quite expensive.

## Interactive Signs



These detect the speed of oncoming traffic using a radar device. If a set threshold is exceeded, a sign indicating a specific hazard or speed limit is triggered. The approximate cost is £5,000, however this is dependent on the location of an electrical supply.



### Mini roundabouts

Equal priority in all directions can slow traffic. Ideally, there needs to be a reasonably large flow on all arms for this to be effective. However roundabouts can make some turns easier which can lead to rat-running. They can be expensive and may also need works to slow traffic down on the approach to the roundabout. A typical mini-roundabout (without re-surfacing of the carriageway) with signing, lining, street lighting costs between £4,000 and £7,000 with an additional £5000 per splitter island, if required.



Localised widening or construction of footway can narrow the road and slow traffic. They reduce crossing distance and improve visibility for pedestrians crossing the road. Placed alternately they provide chicanes which can be effective in slowing traffic. Roads can be narrowed to such an extent that only single file traffic is allowed. They can also be used to provide sheltered parking. These measures are suitable for use in urban or rural locations, as initial slowing features and as part of gateway features. Single lane build outs are not suitable for roads with high traffic flows. The cost of a set of chicanes will be approximately £4,000 to £6000 but will be dependent on both electrical and drainage work requirements. \* see note below

## Other highways works



Pedestrian guard rail typically costs around £3,000 which would cover a 10m length.



Standard dropped kerbs (1 side only) typically costs £600-£800.

Bollards cost between £150 and £350 each. The £150 would typically be the cost of a wooden verge bollard with the higher cost covering a more substantive protective bollard.



Carriageway roundel costs up to £35 dependant on size and speed limit.

## One Way Roads



These can be used to control the circulation of traffic but often lead to faster speeds as there is no opposing flow. Traffic can increase on other roads so there needs to be a suitable route for traffic travelling in the other direction. One way streets can attract new traffic so overall traffic may not decrease. The cost of these systems is entirely site specific but is unlikely to be less than £10,000 and may be considerably more.

### **Litter bins and Grit bins**

Supply and installation of litter bin including 3 years maintenance costs:

- Duo bin - £1,620
- Quad bin - £2,050

Supply and installation of dog waste bin including 3 years maintenance costs:

- 40 litre capacity - £1,260
- 60 litre capacity - £1,350

Supply and installation of 0.5 tonne capacity grit bin including 3 years maintenance costs:

- £335

### **Public Lighting**

Supply and install 1No. lighting column linked to City and County of Swansea public lighting network and including 25 year energy costs:

- £1460

Supply and install 1No. lighting column linked to Western Power Distribution supply network and including 25 year energy costs:

- £2,050

## **Bus shelters**

Supply and installation of 2 bay cantilever bus shelter with Polycarbonate upper and lower panels:

- £2,700 - £3,200

Supply and installation of 2 bay cantilever bus shelter with Polycarbonate upper and solid lower panels:

- £2,800 - £3,400

Supply and installation of 2 bay enclosed bus shelter with Polycarbonate upper and solid lower panels:

- £4,300

In addition to the above purchase and installation costs, all shelters shall be subject to a maintenance charge for a 5 year period costing a further £1,135

The above maintenance charge covers the following:

- 3 No. Replacement Polycarbonate panels - £495 total
- 1 No. power wash cleaning per annum - £280 total
- Final year power wash and paint - £360 total

It should also be noted that any repairs due to vandalism over and above 3 No. polycarbonate panels shall be charged to individual Ward's Community Charge allocation.





# Agenda Item 15.



## Report of the Cabinet Member for Housing, Energy and Building Services

Cabinet - 19 October 2017

### **FPR7 Report – Capital Investment in Energy Efficiency Measures within Council Assets**

<b>Purpose:</b>	<p>To confirm approval of using the Welsh Government's Re:fit Cymru Programme and funding from the Welsh Government's Wales Funding Programme (managed by Salix Finance) and the benefits of such an approach.</p> <p>To comply with Financial Procedure Rule No. 7 (Capital Programming and Appraisals) to commit and authorise schemes to the Capital programme.</p>
<b>Policy Framework:</b>	Corporate Energy Strategy
<b>Consultation:</b>	Finance, Legal, Access to Services, Education
<b>Recommendation:</b>	that Cabinet
1)	Approve to proceed with further detailed feasibility into the proposed capital investment.
2)	Approve to carry out schemes that meet the criteria for investment from the Wales Funding Programme (WFP) provided they meet the appropriate business cases and at no cost to the council
<b>Report Author:</b>	Andrew Shaw
<b>Finance Officers:</b>	Paul Roach (Revenue) Jayne James (Capital)
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Phil Couch

## **1.0 Introduction**

The City and County of Swansea has been working with Welsh Government, via their Re:fit Cymru Programme Implementation Unit (PIU), to consider a range of energy efficiency investment opportunities within Swansea owned building assets. The Welsh Government's Green Growth Wales programme, managed by Local Partnerships, has provided parallel support during this process.

The Re:fit Framework was initially developed by the Mayor of London in 2008 to overcome three key barriers that were preventing the retrofit of non-domestic public sector buildings from happening at the required rate/scale:

- A lack of capacity and expertise within public sector organisations to identify and implement projects, and access finance;
- Long and complex procurement processes;
- Risks associated with investing money with long-term paybacks and no savings guarantees

In January 2016, the Welsh Government received funding from Intelligent Energy Europe Programme of the European Union's ELENA to set up a Programme Implementation Unit to provide support to Welsh public sector organisations to identify, develop and implement Re:fit projects, using Re:fit's Energy Performance Contracting model.

In 2016, Local Partnerships (backed by Department for Business, Energy & Industrial Strategy) and the GLA, supported by Crown Commercial Service, procured a new, 3<sup>rd</sup> Re:fit Framework, valued at £1.5bn and comprising 16 providers.

## **2.0 Why undertake a Re:fit or energy generation project?**

Organisations are under increasing pressure to reduce their carbon emissions, due to rising costs and growing concerns over environmental impact. Public sector organisations throughout the UK can achieve financial, risk-management and reputational benefit from reducing their carbon emissions.

Public buildings are a significant contributor to the UK's carbon emissions and therefore, improving their performance is key to reducing the UK's CO<sub>2</sub> emissions and operating costs.

The current economic and austerity environment has led to pressure to make existing buildings work harder by retrofitting energy-saving measures, rather than simply rebuilding. In addition, the cost of complying with the Carbon Reduction Commitment (CRC) Energy Efficiency Scheme will continue to rise unless steps are taken to reduce emissions.

Renewable energy generation has many benefits. As well as reducing energy consumption and carbon emissions, it protects the owner against fluctuating energy costs, and can generate income through feed-in tariff (FIT) and Renewable Heat Incentive (RHI) schemes.

The specific investment within the assets will be determined following the development of the feasibility.

The following energy conservations measures (ECMs) can all be considered\*:

- Lighting and lighting controls
- Heating/zone controls,
- Building Management Systems [BMS],
- Optimisation strategies,
- Replacement boilers or burners (if the existing are over 15 years old)
- Renewable Energy systems
- Building Fabric insulation improvements

*\* Re:fit is unrestricted in the types of energy conservation measures or services that can be delivered through the Framework but can't fund items which do not directly impact on energy reduction, such as builders work.*

### **3.0 How to fund your Re:fit project?**

The Re:fit savings guarantee creates a strong basis for a 'spend-to-save project', where the savings generated are used to cover the initial investment.

The framework is flexible enough to cover various funding approaches and the approach chosen will depend on the circumstances within each organisation.

Projects range from service-oriented building efficiency measures to capital-intensive CHP (combined heat and power). Schemes such as PV (solar photovoltaic power generation) have two-fold financial benefits; they generate income from the sale of energy, and from incentive regimes such as feed-in tariffs (FIT) and Renewable Heat Incentive (RHI) schemes.

Financing options could include:

- Contracting authority's own budget
- Service provider finance
- Third-party finance\*
- Income sources (such as income from energy sales)
- Structured finance (i.e: Domestic/European loans or private investment)

*\* From initial consideration and discussions with Local Partnerships, the preferred funding option will be via a Salix interest free loan for the term of the payback period.*

#### **3.1 Salix Finance Ltd**

Salix enables Public Sector organisations across England, Scotland, Wales and Northern Ireland to take a lead in tackling climate change by increasing their energy efficiency. Salix provides 100% interest-free capital for the public sector to reduce their energy costs by enabling the installation of modern, energy efficient technologies and replacing dated, inefficient technologies. Energy efficient technology cuts carbon emissions and reduces energy bills. However, upfront capital is a common barrier for public sector organisations seeking solutions that cut their energy consumption.

The Council borrows from the Welsh Funding Programme (Welsh Government Repayable Invest-to-Save Green Growth grant and where eligible 0% Loan Funding, managed by Salix Finance). Salix Finance Ltd is an independent, not for profit company funded by The Department for Business, Energy and Industrial Strategy, Welsh Government and The Scottish Government, removes this barrier by making this capital accessible to the public sector.

The WFP and Salix are aligned and work in partnership with the Re:fit Cymru Programme and the Re:fit process makes the application for the funds. The funding programme supports Re:fit project capital investment and can also support associated programme fees along with any additional internal resource requirements which Welsh public sector organisations may require to facilitate and execute a Re:fit programme.

#### **4.0 Benefits of such an approach**

There are a number of compelling reasons for retrofitting energy-saving and generation measures using the Re:fit Programme. The Department for Business, Energy & Industrial Strategy and Cabinet Office backing and support promote confidence in the programme.

#### **4.1 Financial Benefits**

- Reducing energy use and energy bills
- Using guaranteed energy savings to fund capital investment in equipment e.g. replacing failing boilers or poor-quality lighting while achieving a positive business case
- Protecting against fluctuating energy costs
- Generating income from renewable electricity through feed-in tariff (FIT) and Renewable Heat Incentive (RHI) schemes
- Reducing CRC energy efficiency scheme liabilities
- Reducing maintenance backlog and lifecycle costs by upgrading plant and machinery
- Reducing the cost of energy supply through on-site generation

#### **4.2 Secondary Financial Benefits**

- Realise specific targets/objectives within the CCoS Energy Strategy and associated action plan
- Reducing absenteeism by improving the working environment and air quality
- Improving asset values through better energy-efficiency ratings
- Minimising the need for urgent and unplanned repair costs as a result of upgrading equipment and improving building controls
- Potential to capture economies of scale through collaborative procurement
- Guaranteed return on investment
- Improved BREEAM ratings/Display Energy Certificates across estates
- Demonstrating commitment to environmental leadership and fulfilment of CSR goals

- Creating a safer environment with improved lighting, fewer equipment failures and improved building management systems that can quickly identify issues.

It should be noted that the Service Provider, via the Re:fit Framework Terms and Conditions, provides a guaranteed 100% of the energy saving or generation (kWh) via a contractual agreement for the payback period of the project, this key feature is helping to remove risk of failure with new developments, plus protecting the client and their investment.

## 5.0 How and when will benefits be realised?

Energy savings guaranteed by the Re:fit scheme will begin once installation of the energy conservation measures (ECM) is complete, will be measured and verified (M&V) throughout the payback period by the service provider.

Measured & Verified reports detail the energy and carbon savings being realised. If savings fall below the guaranteed levels, the service provider can install additional Energy Conservation Measures or provide financial compensation. Either way, the predicted savings are guaranteed.

Table 1 below represents the feasibility carried out to date and what the payback would be for the £1.34 Million investment, with a payback under 8 years.

**Table 1**

Estimated capital investment (£)	Estimated annual cost saving (£)	Maximum payback (yrs)	Total annual energy savings (kWh)	Total annual energy savings (%)	Estimated annual CO2 saving (tCO2e)
£1,270,758	£173,432	7.3	2,684,267	15.3%	820
<b>5% Contingency *</b>					
£1,334,296	£173,432	7.7	2,684,267	15.3%	820

\* 5% contingency is for client contingency/unforeseen costs and as such would only affect the Estimated Capital Investment figure which, in turn would increase the payback period. The estimated level of savings would remain the same.

A list of premises included in Phase 1 of the spend can be found in **Appendix A**. Schools have not been included in Phase 1 as further discussions are required with Education on how to best finance the process via devolved budgets. However, they will be included in the second phase of the process.

## **6.0 Financial Implications**

### **6.1 Capital**

The total capital cost of the schemes in Phase 1 amounts to circa £1.34 million capital investment funded against a Wales Funding Programme (managed by Salix Finance) interest free loan. The loan would be repaid from the guaranteed savings on capital investment with the Council commitment being to pay the loan back over the payback period with the option to extend the pay pack period by x 1.25 (to a maximum of 10 years' loan payback term).

This means that Swansea Council could essentially extend the period of their loan from 7.7 years (7.7 x 1.25) to 9.6 years to allow some of the revenue savings to be invested into other energy efficiency projects at no additional cost to the authority and without affecting the loan conditions.

### **6.2 Revenue**

The Capital investment would be serviced from guaranteed savings against the corporate revenue budgets [utility budgets].

The savings are underwritten by the Re:fit Service Provider and not the Council, so any underachievement of savings is reimbursed financially by the Service Provider, in the year of underachievement. The Council WILL NOT have to make up any difference.

The Council will have energy conservation measures fitted (or energy services/maintenance if required) across the estate by the Re:fit Service Provider, who will Measure & Verify the savings (using an internationally recognised standard, which can also be independently verified) and they commercially guarantee the kWh energy savings. The Service Provider is under contract to reimburse any annual shortfall of guaranteed savings (payable within 10 working days from the relevant Annual Reconciliation Report) with any excess savings kept entirely by the Council.

The Council will avoid cost, programme and mitigate savings risk, as long as the obligations under the contract are met. Operational and building change can be considered through a documented Change Management Process.

## **7.0 Staffing Implications**

A project manager would be assigned to the project, with funding supported from the Capital Maintenance Energy Budget.

## **8.0 Equality and Engagement Implications**

The Capital investment within building assets in Swansea will help to realise a more sustainable asset portfolio for the City and County of Swansea. An Equality and Impact Assessment screening form was completed (**Appendix B**) which indicated there was no need to complete a full Equality Impact Assessment. Where relevant, each specific project for which funding is agreed will be screened for an Equality Impact Assessment.

## **9.0 Procurement**

The National Re:fit Framework is fully OJEU compliant and accessible to all Welsh local public body organisations. The framework allows access to 16 pre-qualified specialist framework service providers. All future call-offs will be via suitable mini-competition. The Council will facilitate where permissible, engagement with local supply chains.

## **9.0 Legal Implications**

As indicated in the Report, the Council must comply with various statutory requirements as well as general obligations under the Occupiers Liability Acts in respect of its public buildings.

In relation to the use of the Re:fit Framework the Council will need to ensure that it complies with the framework's terms and conditions and enters into call-off contracts as appropriate to protect the Council's interests.

**Background Papers:** None

**Appendices:**

Appendix A: List of Premises

Appendix B: EIA Screening Form



**PREMISES LIST**

Building Services Division (Heol-y-Gors Depot)
Guildhall
Environment & Engineering (Clydach Depot)
Quadrant Bus Interchange
Car Park High Street/ Strand Multi Storey
Car Park Quadrant Multi Storey
Grand Theatre
Swansea Museum Collections (YIM)
Swansea Museum
Swansea Market
Cwmbwrla Day Centre
Fforestfach Day Service
Residential Bonymaen HFA
Residential Parkway HFA
Residential Rose Cross HFA
Residential The Hollies HFA
Residential Ty Cila HFA
Residential Ty Waunarwydd HFA
St Johns HFA & Day Centre
Suresprung
Morrison Baling Plant
Llwyncelyn - Ty Cwm / Ty Gwaun / Office Block
Llwyncelyn Cockett House
Morrison Crematorium
Glynn Vivian

## E2 - Equality Impact Assessment Screening Form

Please ensure that you refer to the Screening Form Guidance while completing this form. If you would like further guidance please contact your directorate support officer or the Access to Services team (see guidance for details).

### Section 1

Which service area and directorate are you from?

Service Area: Corporate Building & Property Services

Directorate: Place

**Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE? Capital Investment in Energy Efficiency measures within council Assets.**

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

**(b) Please name and describe below**  
Capital Investment in Energy Efficiency measures within Council Assets.

**Q2(a) WHAT DOES Q1a RELATE TO?**

Direct front line  
service delivery

(H)

Indirect front line  
service delivery

(M)

Indirect back room  
service delivery

(L)

**(b) DO YOUR CUSTOMERS/CLIENTS ACCESS THIS...?**

Because they  
need to

(H)

Because they  
want to

(M)

Because it is  
automatically provided to  
everyone in Swansea

(M)

On an internal  
basis  
i.e. Staff

(L)

**Q3 WHAT IS THE POTENTIAL IMPACT ON THE FOLLOWING...**

	High Impact (H)	Medium Impact (M)	Low Impact (L)	Don't know (H)
Children/young people (0-18) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Any other age group (18+) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Q4 HAVE YOU / WILL YOU UNDERTAKE ANY PUBLIC CONSULTATION AND ENGAGEMENT RELATING TO THE INITIATIVE?**

YES

NO

(If NO, you need to consider whether you should be undertaking consultation and engagement – please see the guidance)

If yes, please provide details below Page 232

## E2 - Equality Impact Assessment Screening Form

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

High visibility <input type="checkbox"/> (H)	Medium visibility <input type="checkbox"/> (M)	Low visibility <input checked="" type="checkbox"/> (L)
---	---	---

**(b) WHAT IS THE POTENTIAL RISK TO THE COUNCIL'S REPUTATION?**  
*(Consider the following impacts – legal, financial, political, media, public perception etc...)*

High risk <input type="checkbox"/> (H)	Medium risk <input type="checkbox"/> (M)	Low risk <input checked="" type="checkbox"/> (L)
---	---	---

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

Yes       No      **If yes, please provide details below**  
 Programme relates to Building Capital Maintenance works in Authority buildings

**Q7 HOW DID YOU SCORE?**  
*Please tick the relevant box*

**MOSTLY H and/or M → HIGH PRIORITY →**  EIA to be completed  
 Please go to Section 2

**MOSTLY L → LOW PRIORITY / NOT RELEVANT →**  Do not complete EIA  
 Please go to Q8 followed by Section 2

**Q8 If you determine that this initiative is not relevant for a full EIA report, you must provide adequate explanation below. In relation to the Council's commitment to the UNCRC, your explanation must demonstrate that the initiative is designed / planned in the best interests of children (0-18 years). For Welsh language, we must maximise positive and minimise adverse effects on the language and its use. Your explanation must also show this where appropriate.**

The report sets out Capital investment for the identified Council-Owned Building Assets and as such it does not directly impact on any frontline service delivery.

**Section 2**

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email – no electronic signatures or paper copies are needed.

<b>Screening completed by:</b>
Name: Andrew Shaw
Job title: Technical Services Manager
Date: 26 September 2017
<b>Approval by Head of Service:</b>
Name: Nigel Williams
Position: Interim Head of Corporate Building Services
Date: 26 <sup>th</sup> September 2017

# Agenda Item 16.



## Cabinet Member for Culture, Tourism and Major Projects

Cabinet – 19 October 2017

### **FPR7 Report - The Kingsway Infrastructure Project**

<b>Purpose:</b>	To comply with Financial Procedure Rule No.7 (Capital Programming and Appraisals) - to commit and authorise a variation to an existing capital scheme in the Capital Programme.
<b>Policy Framework:</b>	City Centre Strategic Framework.
<b>Consultation:</b>	Access to Services, Finance, Legal.
<b>Recommendation(s):</b>	It is recommended that:  1) Cabinet approve the revision to the proposed project and its Financial Implications and add the project to the capital programme.
<b>Report Author:</b>	Elliott Williams
<b>Finance Officer:</b>	Ben Smith
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Phil Couch

#### **1. Introduction**

- 1.1 This report provides an update to the 16th March 2017 Kingsway Infrastructure scheme Cabinet Report and outlines revisions to the proposal following the outcome of recent discussions with WEFO regarding the ERDF grant-funding element.

#### **2. Background**

- 2.1 The Kingsway Infrastructure and Employment Hub project is a key component within the Swansea Bay City Deal recently agreed with UK and Welsh Government. A transformational public realm scheme will simplify and rebalance the City's highway network, providing safer spaces for

pedestrians set within a new greener environment presenting a high quality environment for living and working.

- 2.2 The March 2017 cabinet report outlined the scale and scope of the scheme and highlighted amendments made to the proposal following public consultation. The recommendation to approve the proposed scheme and its Financial Implications was supported by Cabinet. At that time the estimated total scheme capital cost was £10m, with a Council contribution of between £6m and £10m, subject to the success of an ERDF funding bid to WEFO for £4m.
- 2.3 A Business Plan to propose the Kingsway project was submitted to WEFO earlier this year seeking grant investment of £4m as part of the funding package to deliver the scheme. As part of recent discussions with WEFO an additional £525k of ERDF grant has been made available and earmarked for the creation or refurbishment of office accommodation within the site area. Feedback from WEFO officers has been positive but stressed the need to utilise the additional grant funding and associated match funding to achieve office refurbishments, jobs created and SMEs accommodated output targets. This will further strengthen the business plan will greatly improve the likelihood of project approval by the end of October 2017.
- 2.4 Under Priority 4, Strategic Objective 4 of the ERDF Operational Programme the key outcomes of this funding stream is to achieve a reduction of benefit claimants through the implementation of projects that will create/refurbish office space that will accommodate businesses at key employment sites and create job opportunities. The revised proposal incorporating the creation or refurbishment of office space along with the original proposal to carry out demolition works, highway reconfiguration and public realm works will significantly strengthen the WEFO bid to justify the need for investment as the Council will be taking an additional step of piloting the creation of high quality office space within the city centre, demonstrating the potential to private sector investors.

### **3. Financial Implications**

- 3.1 Updated cost estimates have been sourced for the public realm, demolition, and highways works, which coupled with the additional office refurbishment works bring the total scheme costs to £12.7m, financed by an ERDF grant of £4.5m and CCS Capital match funding of £8.2m.

<b>Scheme Budget Headings</b>	<b>£000</b>
Project Management and Compliance	316
Project Delivery Staff	758
Administration Other	2
Advertising & promotion	5
Renovation / Office refurbishment	1,025
Site Works	730
Construction Costs	9,696
Evaluation, development & monitoring	30
Flat Rate (FR15Ge)	161
<b>Total Project Cost</b>	<b>12,723</b>
<i>Financed by:</i>	
<i>ERDF</i>	4,525
<i>CCS Match Funding</i>	8,198
<b>Total Project Cost</b>	<b>12,723</b>

- 3.2 CCS match funding of £6m as part of the capital programme is already committed to the project therefore an additional capital commitment of £2.2m is required. As part of the Business Plan appraisal process WEFO will require a letter confirming the total match funding commitment of £8.2m in order to approve the scheme and unlock the £4.5m ERDF grant.
- 3.3 There will be no future revenue implications arising from the schemes other than potential redundancy costs identified within the staff costs budget headings at the cessation and ultimate delivery of the scheme. Any ongoing maintenance costs would be absorbed within the highways budgets.

#### **4. Legal Implications**

- 4.1 The Council will need to comply with the terms and conditions attached to any grant funding utilised in conjunction with the regeneration match funding budget identified in this report.
- 4.2 All contracts for works, goods and services necessary to deliver the projects must be procured in accordance with the Council's Contract Procedure Rules and the relevant EU Regulations as appropriate. The contractual liabilities/obligations of the Council and any appointed contractors will be covered by the individual contracts entered into.
- 4.3 All statutory consents required in proposals to utilise the regeneration match funding budget will be the responsibility of the Planning and City Regeneration Division.

## **5. Equality and Engagement Implications**

- 5.1 An Equalities Impact Assessment Screening has been undertaken together with an Equalities Impact Assessment (EIA) outlining engagement/consultation. A further EIA will be undertaken in reference to the revised scheme.

**Background Papers:** None

**Appendices:**

**Appendix A** Draft Delivery Profile

ERDF 4.4 The Kinross Employment Hub Draft Delivery Financial Profile over 3 years (Start Date: 1st Oct 2017)

ERDF 4.4 The Kinross Employment Hub

Delivery Profile over 3 years (Start: 1st Oct 2017)	2017-18			2018-19			2019-20			2020-21			TOTAL
	1 Dec-17	2 Mar-18	3 Jun-18	4 Sep-18	5 Dec-18	6 Mar-19	7 Jun-19	8 Sep-19	9 Dec-19	10 Mar-20	11 Jun-20	12 Sep-20	
<b>TOTAL</b>	7,523	76,359	76,797	76,797	76,797	76,797	76,797	76,797	76,797	76,797	76,797	76,797	315,724
Project Managers & Compliance	0	0	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000
Project Delivery Staff	0	0	159,750	159,750	319,500	319,500	319,500	319,500	319,500	319,500	319,500	319,500	1,028,000
Administration & promotion	0	0	1,916	1,916	1,916	1,916	1,916	1,916	1,916	1,916	1,916	1,916	1,916
Renovation	0	0	730,009	730,009	730,009	730,009	730,009	730,009	730,009	730,009	730,009	730,009	730,009
Site Works	0	0	9,698,651	9,698,651	9,698,651	9,698,651	9,698,651	9,698,651	9,698,651	9,698,651	9,698,651	9,698,651	9,698,651
Construction Costs	0	0	30,000	30,000	30,000	30,000	30,000	30,000	30,000	30,000	30,000	30,000	30,000
Evaluation, development & monitoring	0	0	161,054	161,054	161,054	161,054	161,054	161,054	161,054	161,054	161,054	161,054	161,054
Flat Rate (FR15Gen)	0	0	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326
<b>Total Development costs</b>	0	0	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326	12,723,326

**Total Project Cost** 12,723,326

**Total Grant available** 4,828,000

Project Managers & Compliance	316,724
Project Delivery Staff	757,971
Administration & promotion	1,916
Renovation	5,000
Site Works	1,025,000
Construction Costs	730,009
Evaluation, development & monitoring	9,698,651
Flat Rate (FR15Gen)	30,000
<b>Total</b>	161,054

**Total** 12,723,326

<b>ERDF Table</b>	
Project Managers & Compliance	316,724
Project Delivery Staff	757,971
Administration & promotion	1,916
Renovation	5,000
Site Works	1,025,000
Construction Costs	730,009
Evaluation, development & monitoring	9,698,651
Flat Rate (FR15Gen)	30,000
<b>Total Project Cost</b>	12,723,326
Financed by	
ERDF	4,828,000
CCS Match Funding	8,196,326
<b>Total Project Cost</b>	12,723,326

<b>ERDF Table</b>	
Project Managers & Compliance	316,724
Project Delivery Staff	757,971
Administration & promotion	1,916
Renovation	5,000
Site Works	1,025,000
Construction Costs	730,009
Evaluation, development & monitoring	9,698,651
Flat Rate (FR15Gen)	30,000
<b>Total Project Cost</b>	12,723,326





## Report of the Cabinet Member for Environment Services

Cabinet - 19 October 2017

### Public Protection Commissioning Review Option Appraisal Report

<b>Purpose:</b>	This report outlines the background to the Public Protection Commissioning Review and sets out the key findings and recommendations.
<b>Policy Framework:</b>	Sustainable Swansea – Fit for the Future
<b>Consultation:</b>	Legal, Finance and Cabinet Member.
<b>Recommendation(s):</b>	It is recommended that:  1) The key findings of the review are accepted and proposals on the Commercial opportunities are approved for implementation subject to cabinet approval.
<b>Report Author:</b>	Lynda Grove
<b>Finance Officer:</b>	Paul Roach
<b>Legal Officer:</b>	Debbie Smith
<b>Access to Services Officer:</b>	Sherill Hopkins

#### 1 Summary

- 1.1 This report is to seek approval to proceed with the recommended proposals on the commercial opportunities identified and to provide evidence that the review has completed all relevant tasks as part of the commissioning process.
- 1.2 This report will also address an overview of the review findings to date.

## **2 Background**

- 2.1 This report has been produced following the approval by Budget Performance Review Group (BPRG) at Gateway 1 to proceed onto Stages 3&4 of the Commissioning Review process. Its purpose is to inform Cabinet of progress and to seek support on the approach and recommendations to deliver the service improvements.

## **3.0 The Review So Far**

### **3.1 Scope**

The scope of services to be included within the Public Protection Services Commissioning review was set out in Stage 2 of the process and consisted of:-

- Building Control
- Pollution and Pest Control
- Housing and Public Health
- Licensing/Food and Safety
- Trading Standards/Health Promotion
- Registration and Bereavement Services

### **3.2 Outcomes**

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

The overall priorities of the Public Protection service are '*To protect and promote the health, well-being, safety and consumer interests of people living in, working in or visiting the City and County of Swansea and to improve the condition of private sector housing*'.

The headline outcomes identified are as follows:

- To protect and safeguard the public especially vulnerable people.
- For people to feel safe and confident going about their business.
- To have good and successful businesses in an environment of fair trading which supports the local economy.
- To contribute to Swansea being a Healthy and Safe city.

In addition, a number of more general outcomes were identified which underpin the headline outcomes and are as follows:

- To meet legislative requirements.
- To provide reassurance to concerns from both internal and external customers.
- To maintain key partnerships by closely working with other services within the Council and external organisations.
- To generate income to support the aims of the service.
- To undertake an enabling role and help educate others.

### **3.3 Key Issues identified at Stage 2**

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

- The extensive range of services provided by Public Protection make a significant contribution to the Corporate priorities of safeguarding vulnerable people, creating a vibrant and viable city and economy, building sustainable communities and tackling poverty. (Recently updated to:- Safeguarding people from harm, Improving Education and Skills, Transforming our Economy and Infrastructure, Tackling Poverty and Transformation and Future Council Development.)
- They also contribute to the wider national and local agenda of health, well-being, public service improvement and play an important direct and indirect preventative role. For example priorities on improving housing quality and management standards in the private rented sector, helping to prevent and reduce public health issues such as smoking cessation, underage drinking, infectious disease outbreaks, reducing health inequalities; improving safety in communities and living within environmental limits and acting on climate change.
- Most of the services are frontline and getting things wrong could have an impact on the Council financially and on its reputation but most importantly on the residents of Swansea.
- 61.5% of the total expenditure of Public Protection is realised via income and there maybe scope to increase this further.
- In areas of Building Control and Licensing where legislation requires fees to be set to recover costs of providing the service, any reduction in costs e.g. loss of staff will impact on the level of future fees charged/income or could result in legal challenge.
- Whilst the majority of activities are statutory, there may be some options to stop delivering discretionary services and or reconfigure how the statutory ones are delivered.
- There are few examples of Public Protection services being fundamentally changed elsewhere and limited examples of alternative models/providers.
- There is a need to invest to save and provide greater service efficiencies. Improvements in IT need to be explored with the IT service.

### **3.4 Key Risks identified during review**

The key risks highlighted during the review are as follows:

- Ability to respond to pandemics/national disaster/local emergencies and getting things wrong could have an impact on the Council financially and on its reputation.
- Preventative and discretionary services are at risk, e.g. health promotion work.
- There are a distinct and significant number of specialisms across the services for which officers have to maintain their Continual Professional Development etc and any potential reduction of staff would have a significant impact on services/loss of expertise.

- Increased demands and reducing resources is impacting on workload management and customer response is becoming much more reactive than proactive.
- WAO report acknowledged concerns for how local authorities will be able to respond to any new environmental health statutory duties and national strategic priorities in light of budget reductions and on top of recent major legislative changes.
- Increasing expectations from the public and Welsh Government.

### **3.5 Feedback/Steer from Gateway Review Panel - Stage 2**

3.5.1 The Gateway Review Panel considered a number of issues requiring a steer prior to work commencing on Stages 3 and 4 including;

- Confirmation that the service outcomes are adequately defined.
- Opportunities to stop some services we are not obliged to provide at the current levels.
- Whether the service should seek further discussions with neighbouring authorities on opportunities for collaboration.
- Whether work on changing the overall organisational structure, with cost efficiencies, should be pursued.
- Opportunities to pursue commercial activities in particular around advice to new businesses, etc.

3.5.2 The Gateway Review Panel concluded that the outcomes were adequately defined and that in terms of the future direction and work to be undertaken for stages 3 and 4 of the review, it was recognised that the majority of services provided fulfil a statutory role and that there are limited opportunities to radically change the way they are provided.

3.5.3 However, the Panel further concluded that the service should;

- Continue to explore commercial opportunities to increase income.
- Approach neighbouring Councils about any future opportunities for collaboration.

3.5.4 In addition it was recognised that IT development would further assist service efficiencies and work should continue with colleagues from Corporate IT to identify what and how any improvements could be implemented.

## **4.0 Stage 3 - Service Review**

### **4.1 Service Review Scope**

4.1.1 The service is made up of many diverse functions which are summarised in the following table. The review examined:

- What functions are delivered and how they are resourced;
- Good practice and achievements;
- Customer demand, feedback and complaints information.

## 4.2 What functions are delivered and how they are resourced

<p><b>Building Control</b></p> <p>The <b>Building Control team</b> ensures that buildings are healthy, safe, sustainable and accessible for all users and tenants whether domestic, commercial or public service.</p> <p>The team are responsible for Building Regulation applications, inspections and enforcement, administration of the Approved Inspector regulations (Private Sector Building Control), inspection and certification of sports grounds, dealing with dangerous structures and buildings, securing open premises (unauthorised access) and dealing with dilapidated buildings and demolitions.</p> <p>There are 12 FTE's.</p>	<p><b>Pollution and Pest Control</b></p> <p>The <b>Pollution team</b> are responsible for a wide range of pollution issues including noise control, air pollution, industrial emissions and contaminated land. The team works closely with other agencies and enforcement bodies such as Natural Resources Wales. The team also operates a 24hr service that responds to various emergencies and registered noise nuisance problems.</p> <p>The <b>Pest and animal control team</b> functions are carried out by a team of pest control officers who routinely investigate and treat for a wide range of pests including rats, mice, wasps etc in order to safeguard public health. The animal wardens undertake the control and collection of stray dogs, collection of dead animals from highways/ beaches and impounding of stray horses.</p> <p>There are 17.9 FTE's.</p>
<p><b>Licensing/Food &amp; Safety</b> (This section is split into 2 teams)</p> <p>The <b>Licensing team</b> is responsible for administering and authorising licence and permit applications including licences for the sale and supply of alcohol, entertainment, gambling and sex establishments, hackney carriage, private hire vehicles and drivers and permits for charitable collections and fund raising.</p> <p>The <b>Food and Safety team</b> carry out statutory enforcement work to protect public health in 3 main areas, i.e. food safety, health and safety and infectious disease.</p> <p>There are 26.79 FTE's.</p>	<p><b>Housing and Public Health</b> (This section is split into 2 teams)</p> <p>The <b>Housing team</b> oversee the improvement and maintenance of standards in the private rented sector with a large proportion of the workload relating to HMOs. They also monitor private housing and residential caravan sites.</p> <p>The <b>Public Health Team</b> investigates complaints relating to defective private drainage matters through enforcement and statutory nuisance investigations including some waste issues, high hedges, dangerous trees.</p> <p>There are 15.58 FTE's.</p>
<p><b>Registration and bereavement</b> (This section is split into 2 teams)</p> <p>The <b>Registration team</b> are responsible for the establishment of a permanent, legal record of every birth, death, marriage and civil partnership in the City and County of Swansea, Citizenship ceremonies.</p> <p>The <b>Cemeteries and Crematorium team</b> provides a burial service for new and existing graves in the seven operational cemeteries and cremations at Swansea crematorium together with memorialisation and remembrance. Work also includes grounds maintenance and operation of cemetery and cremation buildings.</p>	<p><b>Trading Standards</b></p> <p>The <b>Trading standards team</b> provides assistance to consumers and businesses through the enforcement of consumer protection legislation. They are responsible for raising awareness of scams to protect consumers and older people to maintain an independent lifestyle, street trading functions, regulating the sale of age restricted products, taking action against cheap tobacco suppliers, working in partnership to reduce the impact of stray and abandoned horses, implementing disease control measures at agricultural premises consistent with Animal Health Act 1985 and investigating unfair competition</p>

There are 24.85 FTE's.	resulting from rogue trading practices and negligent call centres.
	There are 20.5 FTE's.

### 4.3 Good Practice and achievements

4.3.1 Over the years, improvements have been introduced in a number of the services which were recognised as good practice by the Wales Audit Office in March 2015. Full details of the services' achievements were cited in the Gateway 1 report in October 2016 and examples include the Council's approach to encouraging the re-use of empty homes, the woodland burial service and the SPICE IT system for capturing historical data.

### 4.4 Customer demand, feedback and complaints information

4.4.1 The Gateway 1 report highlighted the high volume of customer demands on the service during 2016 which included around 10,000 requests for pest and pollution control, 3,500 premises inspections by Trading Standards, 11,500 service requests to Building Control, 7,000 births and deaths registered and over 5,000 service requests made to Housing, and Public Health. Around 3,500 requests were received relating to food businesses and health and safety, and over 6,000 requests for Licensing services.

4.4.2 Whilst Public Protection services experience high volumes of customer demand, the overall number of complaints remain low with a total of 30 complaints in 2015/16 and of these, only 5 were identified as justified and 1 part justified. There were fewer complaints in 2016/17, i.e. total number 13, 9 not justified, 3 partly justified and 1 no response required.

4.4.3 In terms of specific customer feedback, the majority of services within the scope of this review do not routinely measure customer satisfaction and for some, it is difficult to capture meaningful data due to the nature of the service and who the customers are ( i.e. private sector landlords subject to enforcement work, businesses subject to prosecutions, rogue traders etc.) However where regular consultation does take place, the results are positive, as captured in the Gateway 1 report. Further work will be undertaken to routinely capture qualitative data utilising IT solutions to avoid diverting resources away from frontline service delivery.

### 4.5 Stakeholder consultation

4.5.1 Two workshops were held as part of this review which were attended by a cross section of Public Protection stakeholders including the Cabinet Members for Transformation / Performance and Wellbeing / Healthy City, trade union representatives and staff (both at manager and officer level). The Stage 1 workshop was held in July 2016 to capture and define the headline outcomes across the service in terms of why we do what we do and where the service supports corporate priorities. The workshop also carried out a SWOT analysis, identifying strengths, weaknesses, opportunities and threats for each

service area. The Stage 2 workshop in December considered opportunities for increasing income and IT/service delivery improvements.

- 4.5.2 Feedback from all staff was sought via the Monthly team briefings and the Head of Service met with the respective Cabinet Members to discuss the progress of the review.
- 4.5.3 In addition senior managers in the service have close working relationships with national/local authority network groups and have consulted colleagues from other local authorities on the outcomes of any initiatives that they have implemented in their services and any other commercial practices.
- 4.5.4 As already mentioned, direct stakeholder engagement with customers can be difficult due to the statutory and diverse nature of many of the services particularly those that involve regulation/enforcement activities etc. However, the services have a good track record and reputation for successful partnership working and regular engagement with other agencies such as the Police, Natural Resources Wales and the Fire Brigade, and with Funeral Directors and other local businesses.
- 4.5.5 Further stakeholder consultation will take place as part of taking forward the income generating proposals detailed in section 7.

## **5.0 Stage 3 – Service Comparison**

### **5.1 Benchmarking data**

- 5.1.1 As highlighted in the Gateway 1 report, any assessment of value for money and detailed comparisons of costs between authorities is difficult as the availability of benchmarking data is very limited. This is further compounded by the fact that each local authority provides the service in different ways, structures its service differently or splits up the various functions in different ways. Also, no two authorities are the same in terms of the costs to be recovered, therefore any budget comparisons can be open to misinterpretation.
- 5.1.2 However, where it is available, data to compare the current service and performance with others is detailed in the following sections 5.2 to 5.5.

### **5.2 How services are provided elsewhere**

- 5.2.1 The 14/15 WAO report highlighted that 19 out of 22 Welsh councils had made some changes to services but that nothing fundamental had been introduced. However, since then Bridgend, Cardiff and Vale of Glamorgan Councils have set up an integrated service operating under a single management structure for the Trading Standards, Environmental Health and Licensing functions. This was funded via the Welsh Government's Regional Collaboration Fund.
- 5.2.2 Research was also undertaken via the WLGA in 2015 to explore whether any other Public Protection services have been outsourced to the private sector or

provided via alternative service delivery options. However there are very few examples of where this has taken place. See Appendix A for further details.

- 5.2.3 Discussions took place with Neath & Port Talbot Council some years ago on opportunities for collaboration but this was not progressed. However, the Stage 2 Gateway panel suggested that further approaches are made to neighbouring Councils and as a result, the Director of Place has formally written to respective counterparts in both Authorities. However in the meantime, the Welsh Government White Paper 'Reforming Local Government: Resilient and Renewed' has been published and early contact has suggested that any discussions on collaboration at a service or functional level will need to take into account any formal arrangements between authorities that may emerge as a result. Therefore it is proposed that this is kept under review and further collaborative opportunities are followed up at the appropriate time.

### **5.3 Performance**

- 5.3.1 The findings of the Wales Audit Office report 2014/2015 'Delivering for less' identified that Swansea is delivering 47.5% of environmental health services to the highest best practice standards compared to an all Wales average of 37% as judged against the Chartered Institute of Environmental Health Wales Best Practice Standards (BPS). The Best Practice Standards cover the majority of services within this review but do not cover Building Control, Bereavement and Registrations.
- 5.3.2 Every year the Public Protection service is subject to inspection for the purpose of re-certification of the Quality Management Standard (ISO 9001:2008). The most recent audit was carried out in July 2017 when they reviewed a sample of services and Public Protection was assessed as compliant.
- 5.3.3 The Council delivers the Public Protection service in line with quality standards as detailed above, specific legislation, guidance and regulations. As well as annual audits and reports, business plan and internal reporting systems, Public Protection has two national indicators which it reports progress on to the Welsh Government for comparison with other local authorities on an annual basis. The indicators relate to the percentage of food establishments which are "broadly compliant" with food hygiene standards and the percentage of private sector dwellings that have been vacant for more than 6 months at 1<sup>st</sup> April that were returned to occupation during the year through direct action by the local authority. Performance for both was in the top quartile of all Welsh local authorities for 2015/16 (National comparative data for 16/17 is not published until Autumn 2017). See Appendix B for further detail on the results of national and local PIs for 16/17.

### **5.4 How services compare with other LA's**

- 5.4.1 It is clear from the comparison research undertaken for the commissioning review that no two councils are alike, most Public Protection sections have different portfolios and their functions are structured differently.



## 5.5 Review of comparator fees

5.5.1 The table below summarises the cost recovery in relation to each service and where possible, compares these fees with others. However the majority of fees are determined in accordance with legislation and the All Wales Expert Panel Fee toolkit and therefore not automatically subject to annual increases. The only fee increases already included in the 17/18 budget are for a 5% increase in burial/cremation fees and charges for the wedding venue facility at the Civic centre. This was a 3 year proposal and 17/18 is the final year of implementation.

<b>Registrations</b>	<p><b>Cost recovery</b> Full cost recovery is being achieved.</p> <p><b>Fee comparison</b> The fees for wedding ceremonies and associated services are more varied with authorities offering a range of services making it difficult to make an accurate comparison. The only reliable comparator currently available is for wedding ceremonies where Swansea's costs for a typical Saturday wedding at a licensed venue is £370 against a Welsh range of £280 to £499.</p>
<b>Bereavement</b>	<p><b>Cost recovery</b> Full cost recovery is being achieved.</p> <p><b>Fee comparison</b> The fee structure for new graves and cremations is variable across South Wales Authorities. Burial fees range from £1265 to £2344, with Swansea's fees at £1625. Cremation costs range from £421 to £671, with Swansea's fees at £610.</p>
<b>Building Control</b>	<p><b>Cost recovery</b> Full cost recovery is being achieved.</p> <p><b>Fee comparison</b> Since the introduction of the Building (local Authority Charges) regulations 2010 each authority legally has to set their own fees with a view to recover the costs involved in delivering their service. Therefore each authority's fees reflect their own costs. Swansea's costs are fully recovered and it currently commands 80% of the local market.</p>
<b>Housing &amp; Public Health</b>	<p><b>Cost recovery</b> HMO licence fees are set on a cost-recovery basis. (In addition the provision of the HMO advisory service for owners and prospective purchasers of potential HMOs is dependent on demand and in 2016/17 there were 38 requests = £12,450 income).</p> <p><b>Fee comparison</b> The fees were last reviewed for the start of 2016-2017 financial year and are charged in accordance with the All Wales Expert Panel Fee toolkit.</p>
<b>Licensing</b>	<p><b>Cost recovery</b> Full cost recovery is being achieved in accordance with legislation.</p> <p><b>Fee comparison</b> The locally set fees are charged on a cost recovery basis in accordance with the All Wales Expert Panel Fee toolkit.</p>

<b>Pollution</b>	<p><b>Cost recovery</b> Fees for pollution control are determined in accordance with legislation.</p> <p><b>Fee comparison</b> Fees charged for Environmental Permitting (England &amp; Wales) Regulations 2016 are consistent with other local authorities because they are set by the Welsh Government.</p>																		
<b>Pest Control</b>	<p><b>Cost recovery</b> Cost recovery for pest control is achieved for all those services where a full charge is levied.</p> <p><b>Fee comparison</b> Fees are comparable with other LAs and are either at or above the median level as follows;</p> <table border="1" data-bbox="467 651 1099 875"> <thead> <tr> <th>Treatment type</th> <th>Swansea's fees</th> <th>LA median value</th> </tr> </thead> <tbody> <tr> <td>Beetles</td> <td>£62</td> <td>£60</td> </tr> <tr> <td>Fleas</td> <td>£62</td> <td>£46</td> </tr> <tr> <td>Flies</td> <td>£62</td> <td>£60</td> </tr> <tr> <td>Mice</td> <td>£62</td> <td>£40</td> </tr> <tr> <td>Wasps</td> <td>£62</td> <td>£46</td> </tr> </tbody> </table>	Treatment type	Swansea's fees	LA median value	Beetles	£62	£60	Fleas	£62	£46	Flies	£62	£60	Mice	£62	£40	Wasps	£62	£46
Treatment type	Swansea's fees	LA median value																	
Beetles	£62	£60																	
Fleas	£62	£46																	
Flies	£62	£60																	
Mice	£62	£40																	
Wasps	£62	£46																	
<b>Trading Standards &amp; Health Promotion</b>	<p><b>Cost recovery</b> Fees are either set by regulations or are calculated on a cost recovery basis and are consistent with fees charged by other Councils for the same service.</p> <p><b>Fee comparison</b></p> <ul style="list-style-type: none"> <li>• Fees charged by Trading Standards for metrology services are consistent with other local authorities because they are set by a collaborative professional group.</li> <li>• Licence fees for issuing petroleum and explosives storage licences are set by national regulation.</li> <li>• Fees for scrap metal operators and street trading consents are calculated on a cost recovery model and are consistent with other local authorities in Wales because they are set by a collaborative professional group.</li> </ul>																		
<b>Food safety</b>	<p>No charge for majority of services however fees are recoverable for food businesses who request Food Hygiene rating scheme rescore and these are set on an All Wales basis.</p>																		

## 5.6 Financial

5.6.1 The last few years have been challenging for the service with reductions in budget and staffing. Service savings of £1.26M have been achieved between the base budget of 2014/15 and 2016/17. In addition, a further £208K of savings has been identified for 2017/18.

5.6.2 The breakdown of savings from 14/15 to 17/18 is as follows:

£550K	Increased income generation
£673K	Service savings
£245K	Senior management review
£1.468M	Total

**61.5% of the total expenditure by Public Protection services is realised via income.**

Total expenditure across Public Protection was £7m for 16/17.

A number of services generated income which totalled £4.3m.

Total net budget for 2016/17 was £2.7m

## **5.7 Conclusion**

5.7.1 The conclusion which can be derived from this data is that the Authority provides cost effective, high performing Public Protection Services.

## **6.0 Stage 4 – Service Delivery Improvements**

6.1 As part of the review process a workshop was held with staff, Members and trade union representatives on 7<sup>th</sup> December 2016 to consider the outcomes from the Gateway Review Panel and to identify further service delivery improvements. The Panel had suggested the service focus on exploring commercial opportunities to increase income and IT development to further assist service efficiencies.

## **7.0 Opportunities**

### **7.1 Commercial Opportunities**

7.1.1 During Stage 2 of the review, research and dialogue took place with the Corporate commercial team and a number of local authorities on opportunities around charging for advice and additional services. The emerging opportunities were then presented to the workshop which generally supported that the following income generating ideas should be explored further.

<b>Opportunity</b>	<b>Potential risk</b>	<b>Key findings so far/what next?</b>
Provision of E-learning training for taxi drivers <b>(Licensing)</b>	Impact on delivery of statutory services	Work ongoing to develop the System further to enable taxi drivers to complete the test electronically. Work is currently being undertaken with the commercial team to develop a more detailed business case to analyse potential demand, potential income, risks and resources, in particular IT requirements, required to effectively implement the proposal.

<p>Provision of advice for new and existing businesses. <b>(Food Safety)</b></p>	<p>Impact on delivery of statutory services</p>	<p>Work is currently ongoing to :</p> <ul style="list-style-type: none"> <li>• Identify current levels of demand / workload and methods of customer contact.</li> <li>• Map existing processes.</li> <li>• Explore opportunities/create efficiencies.</li> <li>• Detail business processes currently in use.</li> <li>• Explore processes and priorities in carrying out 100% of high risk inspections.</li> </ul> <p>A “systems thinking” approach is being used to ensure that the team are making the best use of resources, including the potential for increasing customer use of web based information, identifying the most appropriate officers to deal with service requests and to identify the level of new business advice that could be charged for.</p>
<p>Provision of training to raise business awareness related to new and existing regulations designed to assist compliance <b>(Trading Standards)</b></p>	<p>Impact on delivery of statutory services</p>	<p>Work is being undertaken to map processes in order to develop efficiencies and also identify demand for trade seminars/market test if businesses will attend the seminars for which they have to pay.</p> <p>A review of service requests related to new business advice is being undertaken using a “systems thinking approach” in order to ensure that we are;</p> <ul style="list-style-type: none"> <li>• Making the best use of technology to direct business operators to advice and information they can source for themselves.</li> <li>• Using an appropriate Officer to deal with service requests at this stage.</li> <li>• Providing information applicable to all free of charge to ensure that we are in a position to charge for more detailed bespoke advice for specific businesses.</li> </ul> <p>This work will help determine if this approach will achieve;</p>

		<ul style="list-style-type: none"> <li>• Improved regulatory compliance through better understanding of their responsibilities.</li> <li>• Assessment of whether the business community will attend and pay for sessions of this nature.</li> </ul> <p>If a business case identifies income is recoverable then implementation could proceed by the end of 2017.</p>
<p>Provide trading pitches at identified locations which can be rented and for which a street trading authorisation is required. <b>(Trading Standards)</b></p>	None	<p>Likely demand for these pitches has been identified via the number of requests being received from people who wish to start a business in this manner.</p> <p>Further work is being undertaken to;</p> <ul style="list-style-type: none"> <li>• Examine identified locations to determine if they are available by consultation with the appropriate council service.</li> <li>• Verify if planning permission is required.</li> <li>• Assess demand further by advertising the sites on Sell to Wales with a minimum tender bid.</li> </ul> <p>If a business case identifies income is recoverable from additional street trading pitches then this could be implemented.</p>
<p>Exploration of income generation by creating Primary Authority relationships/partnerships <b>(Trading Standards)</b></p> <p><i>(i.e setting up formal relationships with businesses which will include making a charge for regulatory advice, e.g. providing fair trading advice in relation to contract terms and conditions for a business supplying products or services across the UK.)</i></p>	Demand/ Competition	<p>Initial research to seek interest from business operators who supply goods and services across a wider area outside this region has resulted in limited interest. In addition, any additional income could only be accrued on a cost recovery basis. Therefore the proposal is not to pursue this opportunity further.</p>

Provide new homes warranty inspections in association with LABC New Home Warranty. <b>(Building Control)</b>	None	Currently awaiting an all Wales agreement which may proceed when all legislative issues of the LGA Act are resolved.
Undertake a review of pest control charges <b>(Pest Control)</b>	Reduced demand	Proceed with a review of pest control charges and comparative study with other Welsh LA's. <b>See detailed update at paragraph 7.1.4 to 7.1.13 below.</b>
Maintain current commercial contract work and continue to pursue new opportunities. <b>(Pest Control)</b>	None	Explore opportunities with the Commercial team to market the service to increase the amount of commercial contract.
Increase maintenance contract work within the Authority. <b>(Pest Control)</b>	None	Promote the benefits of utilising the inhouse pest control service across all Council services in conjunction with the Commercial team.
Generate more income by pollution control consultancy and hiring out specialist monitoring equipment. <b>(Pollution Control)</b>	None	Explore opportunities with the Commercial team to hire out specialist equipment to other local authorities or consultants. Promote the benefits of utilising the inhouse pollution control service across all Council services.

7.1.2 Further analysis is required to quantify the potential income generated from these new opportunities therefore additional income has not been identified for this year's 17/18 budget.

7.1.3 In addition a few commercial opportunities identified during the workshops detailed below have recently been implemented and some minimal income achieved which will be subject to review as part of the implementation action plan.

Opportunity	Progress on implementation
Passport checking services <b>(Registrars)</b>	Following liaison with the Home Office for direction and advice this is now offered as an additional service in conjunction with NCS (Nationality checking service). Individuals must have a foreign passport to do it. The authority cannot offer the passport checking service as a stand-alone, it must be in association with the NCS. It has generated an additional income to date in the region of £1.5K.
Provide boxes for cremated remains <b>(Burials and Cremations)</b>	A supplier has been sourced, the boxes manufactured and they are currently in use. This opportunity is generating income, however this is minimal as its only realised £566 to date.
Introduce 5 years leases on monumental kerbs <b>(Burials and Cremations)</b>	Work ongoing to establish new areas for kerb laying and applying the lease arrangement. New flower planters purchased which hold 96 plaques. These are being sold on a 5 year lease at £200 each. Income from flower planters to date £5,400.

7.1.4 In relation to the review of pest control charges and comparative study with other Welsh LA's, the following information looks at the issues in more detail and covers how services are provided elsewhere, fee comparison with others and implications on charging for those services that are currently free, i.e. bedbugs, cockroaches and rats.

7.1.5 The Council has a statutory duty to ensure infestations are dealt with and to enforce any relevant legislation but how they provide the service is not prescribed. Over recent years a number of local authorities have stopped providing the service and the remainder have introduced charging schemes.

7.1.6 In terms of the current position across Wales, of the 22 Local authorities;

- 7 do not provide any direct treatment services. However this is under review in 3 of those and is likely to be reinstated.
- The remaining 15 authorities including Swansea provide a pest control service and each has a different charging scheme.
- The majority like Swansea provide the service in house, only 1 outsources it.
- All of the 15 including Swansea make a charge for all pest control treatments in commercial premises including rats, cockroaches and bedbugs.
- In terms of fee comparison with others, Swansea fees are above the median value for treatments that it charges for.
- Swansea is comparable with 4 other authorities who offer a free service for bedbugs, cockroaches and rats in residential dwellings.
- Very few have a means test system in place for households in receipt of benefits. In Swansea such a system is in place where a reduced price of £21 is made against those treatments that there are charges for, i.e. beetles, fleas, flies, mice and wasps.

7.1.7 In relation to delivery of pest control services there are limited examples of local authorities using alternative providers and the majority of the 15 local authorities provide an in-house service. Only 1 authority outsources it, 1 uses a private company to take on excess work, 2 have developed a joint out of hours service. More detailed studies on alternative provision or stopping services was not pursued as the steer from the initial Gateway review panel concluded that the majority of services fulfil a statutory role and that there are limited opportunities to radically change the way they are provided.

7.1.8 In relation to fee comparison, all of the 15 local authorities operate different charging systems that makes straight comparison with others problematic. However, in terms of comparative data that is available the following table shows that Swansea is above the median value for all of the treatments it currently charges for.

Treatment type	Swansea's fees	LA median value
Beetles	£62	£60
Fleas	£62	£46
Flies	£62	£60
Mice	£62	£40
Wasps	£62	£46

7.1.9 In terms of whether we could introduce charges for those that are currently free, as mentioned previously Swansea is similar to 4 other authorities who offer a free service for bedbugs, cockroaches and rats in dwellings. An analysis has taken place to look at the implications if Swansea was to start charging for these treatments and the following issues identified;

- Only a small number of dwellings are infested with bedbugs or cockroaches so any income generated would be minimal (i.e. in 16/17 there were 55 requests for bedbug treatment and 10 for cockroaches). This could realise income of around £3k if charges at the median value were introduced however it is vital for public health reasons to eliminate these pests quickly as this often requires treating adjacent dwellings to ensure eradication. It is also likely that if charges were made take up of the service would reduce.
- The situation is similar for rats although the number of cases is higher particularly in areas of greater deprivation. It is vital for public health reasons to eliminate these pests quickly. In addition many visits are needed and the majority of visits include other dwellings, the surrounding land and the drainage system to ensure treatment and control can be effective.

7.1.10 For those authorities who do charge for rat treatment the current fees range from £12 to £85 with the median being around £40. Whilst demand in Swansea is currently around 3,000 rat enquiries per year, if a charge to the median value was introduced, it may realise income in the region of £36k per annum. This takes into account the likelihood of a significant drop in service take up by around 70% which other authorities have experienced. This is supported by anecdotal national and local evidence and work



undertaken with members of the Wales Heads of Environmental Health group and their expert panel of which Swansea is a member. In addition, Swansea experienced this when charging was introduced for mice in dwellings. This level of income would also not be achievable given the majority of rat calls are in areas of greater deprivation so any agreed 'discounts' would further reduce income.

7.1.11 For those authorities who have introduced charging for rat treatment or stopped service provision they have also experienced an increase in enforcement work. This has had an impact on costs and resources due to the extra inspections and notices needed to be served for disputes over rat infestations. In particular difficulties arise as no occupier likes to accept blame for infestations and will usually insist that it is some other area which requires treatment. This is particularly true for rat infestations, where it is usually someone else's garden, rubbish, food business, Welsh Waters sewers, etc.

7.1.12 If a charging scheme for bedbugs, cockroaches and rats was introduced in Swansea the likely impacts could include;

- A significant drop off in service take up as those families and individuals with constrained budgets are likely to ignore or self- treat pest problems.
- Charges will fall disproportionately on those less able to pay (who may live in areas more likely to be subject to infestations). This is an important factor in the context of the authority's priority to reduce poverty and improve the health and wellbeing of the community.
- Most pest control treatments do not lend themselves to DIY solutions as they can be ineffective, increase the amount of poison in the environment and are a risk to health.
- Eradication programs need an unknown number of visits to achieve success which will make the charging scheme more complex.
- Reliance on enforcement alone is less effective than a strategic approach which includes advice, guidance, partnership working with Welsh Water to control rat populations in the sewer system, etc.
- An increase in disputes for example individual occupiers are generally cooperative when offered a resolution to rat problems, however disputes could arise if one neighbour refuses to pay for treatment, etc.
- Rats can cause significant health problems for humans.
- Savings are likely to be minimal and short term as there are likely to be longer term enforcement costs.
- A recent article by British Pest Control Association recognises '*that whilst a high number of local authorities no longer offer a free service it's a trend which has the potential to create big problems, particularly in low-income areas*'.
- There is a risk to the Council's reputation as the media often runs stories on rat infestation which is likely to increase if there are disputes and delays to resolve enforcement issues.

7.1.13 In summary the majority of welsh local authorities provide an in-house service and there are few examples of alternative providers. In relation to fees,

Swansea is already above the median for all of its charges and any introduction of fees for those services that are currently free are likely to have a significant impact on enforcement costs and activities. Whilst short term savings maybe achieved there is likely to be longer term increased costs due to the need for more enforcement work, a significant drop off in service take up together with a risk to the Council's reputation as this service plays a significant contribution to protect the health and wellbeing of communities. However as referenced at 7.1 in the income generating proposals table, the service is looking to increase its pest control work within the authority and increase the amount of its commercial contracts with support from the Corporate Commercial team.

## **7.2 Risks**

7.2.1 The risks associated with pursuing the income generating proposals are varied, and for some the risks are not fully known at this stage. It is worth noting that for some there are no risks identified, however a possible diversion of resources away from core business activities which could include high risk activities/statutory functions e.g. enforcement and inspections would be an important consideration for some of the proposals.

7.2.2 All opportunities listed in the table 7.1. above are recommended to be approved in principle subject to more detailed work taking place including conclusive market testing/demand analysis, relevant stakeholder consultation, risks and resources which will determine the financial viability.

## **7.3. Improve services via IT efficiencies/cross cutting reviews**

7.3.1 At an early stage of the review it was identified that there is an opportunity to provide greater service efficiencies via IT improvements.

7.3.2 Senior managers have met with IT colleagues to discuss current corporate developments and what type of IT improvements Public Protection services need. The introduction of Office 365 and Microsoft Skype being currently rolled out across the authority will enable the implementation of agile working/mobile working (i.e. laptops, tablets, mobile devices) for Public Protection staff. Other initiatives, such as Oracle Field Services, will enable mobile access for those frontline officers out on site.

7.3.3 In addition feedback gathered from staff has highlighted what IT improvements are needed to improve service efficiency. Examples of these include channel shifting customer contact such as applying, paying and booking services on line. In addition, a new document management system will replace hard copy files and make them more widely available. Ongoing work will take place with corporate IT colleagues to deliver improvements. Digital Services and Transformation are to undertake a Business Process Analysis of the service in order to map the improvements and efficiencies which may be possible. A procurement exercise to replace some of the back office systems in Building Control has been undertaken. This will provide access for Building Control staff to UNI-form's Building Control module and

related Idox Mobile Apps to enable end-to-end field service working. Further work is ongoing to explore the replacement of the other existing systems with the Tascomi system which may provide a more modern and efficient solution.

- 7.3.4 Work is also being carried out to explore opportunities to improve efficiencies and reduce costs as part of the ongoing business support work and other cross cutting reviews. For example, officers in trading standards and food safety are undertaking a detailed systems thinking review approach by mapping customer access, business processes etc as part of the work being addressed to source additional commercial opportunities/income.

## **8.0 Conclusions and Recommendations**

- 8.1 The review of the service has illustrated that the vast majority of functions are statutory, (i.e. 95 activities are statutory out of a total of 98 activities provided) and of high value providing protection to the public, therefore opportunities for radical change are limited. However the Service is performing well in a very challenging financial climate.
- 8.2 Following recommendations from the Gateway Review Panel, opportunities to generate additional income have been considered, together with new ways of working and ways to improve efficiency, whilst continuing to protect communities and deliver high quality services in line with statutory obligations and the Council's Corporate priorities.
- 8.3 It is recommended that the commercial opportunities which have been identified are subject to further investigation including conclusive market testing/demand analysis, relevant stakeholder consultation and to quantify the likely income generation potential etc. ICT investment will also be required and this is currently being scoped with IT colleagues to determine the extent and the timescales.
- 8.4. It is recommended that the Council continues to provide a free service to residential properties for the treatment of rats, cockroaches and bedbugs.

## **9.0 Implementation**

- 9.1 An implementation plan will be developed subject to approval of this report. Each commercial opportunity will be developed as per the recommendations and will be screened for an EIA as and when required.

## **10.0 Financial Implications**

- 10.1 The total expenditure across Public Protection for 16/17 was £7m, however of this a number of services generated income to the total of £4.3m, so the net budget for 2016/17 was £2.7m. This equates to 61.5% of the total expenditure of Public Protection being realised via income and there maybe scope to increase this further via the income generating proposals put forward as part of the review recommendations.

10.2 However, until a detailed business case for each proposal is developed to analyse and provide a full analysis on benefits, demand, financial viability and likely estimate of projected income, it is difficult to predict the potential yield and therefore make any assumptions at this stage on any budget savings.

## **11.0 Legal Implications**

11.1 There is a requirement for the Council to comply with a range of statutory duties in services provided by Public Protection. Any future service delivery changes will need to ensure continued compliance with relevant legislation and standards.

11.2 As no alternative delivery model is proposed, there are no specific additional legal implications relating to the findings of this review.

## **12.0 Consultation**

12.1 The list below summarises the consultation and engagement the review has conducted.

- Two workshops were held as part of this review which were attended by a cross section of Public Protection stakeholders including the then Cabinet Members for Transformation / Performance and Wellbeing / Healthy City, trade union representatives and staff (both at manager and officer level).
- The Stage 1 workshop was held in July 2016 to capture and define the headline outcomes across the service.
- The Stage 2 workshop in December 2016 considered opportunities for increasing income and IT/service delivery improvements.
- Feedback from all staff was sought via the Monthly team briefings and the Head of Service met with the respective Cabinet Members to discuss the progress of the review.

12.2 Further stakeholder consultation will take place as part of taking forward the income generating proposals detailed in section 7.

## **13.0 Equality and Engagement Implications**

13.1 An EIA screening has been completed for the proposals arising as an outcome of the review but these are not relevant for a full EIA report at this stage.

13.2 However any potential changes to current services following more in depth analysis and market testing of the income generating proposals will be individually assessed and widely publicised particularly to those affected.

**Background Papers:** Gateway 1/ Stage 2 report & Scoping document.

**Appendices:**

Appendix A - Examples of service delivery elsewhere in other Welsh authorities

Appendix B - National & local performance indicator results for 16/17

Appendix C - Equality Impact Assessment Screening Form

**Appendix A Examples of service delivery elsewhere in other Welsh authorities**

<b>Outsourcing</b>	<b>Shared services</b>	<b>Other providers</b>
<ul style="list-style-type: none"> <li>• One LA outsources pest control.</li> <li>• One LA utilises a private pest control company to take on some excess pest control work.</li> </ul>	<ul style="list-style-type: none"> <li>• Two LA's have developed a joint out of hours service.</li> <li>• Two LA's jointly fund an Animal Health EVH officer post.</li> </ul>	<ul style="list-style-type: none"> <li>• Pest Control - there are external pest control contractors operating locally (but no animal warden service).</li> <li>• Building Control is in direct competition with the private sector for the building control side of the service only. The LA currently commands 80% of the service.</li> <li>• Registration and bereavement services are mainly provided by LA's, there is only one private crematoria in Llanelli.</li> </ul>

## **Appendix B - National & local performance indicator results for 16/17**

Public Protection has two national indicators it reports on as follows;

- The percentage of food establishments which are “broadly compliant” with food hygiene standards. Performance has improved year on year since 2010/11 when it stood at 69.22%. However the result for 17/18 was slightly below target, i.e.94% against a target of 96%.
- The percentage of private sector dwellings that have been vacant for more than 6 months at 1<sup>st</sup> April that were returned to occupation during the year through direct action by the local authority. Result was 16.14% against a target of 17%, which is a significant improvement since 2010/11 when it stood at 1.22%. (The definition of this indicator has changed nationally for 17/18).

Performance for both indicators were recorded as top quartile for the 2015/16 comparative data for all Welsh local authorities. (National comparative data for 16/17 is not published until Autumn 2017.

### Local Indicators

- The number of houses in multiple occupation that have been issued with a licence. Result was 1,660 against an annual target of 1,560.
- The percentage of high risk businesses that were liable to a programmed inspection that were inspected for Food Hygiene. Result was 100% against a target of 100%.
- Percentage of Building Control “full plan” applications checked within 15 working days. Result was 99.54% against a target of 100%.
- Respond to enquiries re dangerous structures the same working day. Result was 100% against a target of 100%.
- The percentage of high risk businesses that were liable to a programmed inspection that were inspected for Trading Standards. Result was 100% against a target of 100%.
- The percentage of significant breaches that were rectified by intervention during the year for Trading Standards. Result was 89% against a target of 90%.
- Percentage of general pest control and animal impounding service requests responded to within 3 working days. Result 93.8% against a target of 95%.
- The percentage of new businesses identified which were subject to a risk assessment visit by Trading Standards during the year. Result was 89% against a target of 95%.

Other key comparative data includes the following;

- Swansea is delivering 47.5% of environmental health services to the highest best practice standards compared to an all Wales average of 37%.

## Appendix C

### Equality Impact Assessment Screening Form

Please ensure that you refer to the Screening Form Guidance while completing this form. If you would like further guidance please contact your directorate support officer or the Access to Services team (see guidance for details).

<b>Section 1</b>
Which service area and directorate are you from?
Service Area: Public Protection
Directorate: Place

**Q1(a)**

#### WHAT ARE YOU SCREENING FOR RELEVANCE?

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

#### (b) Please name and describe below

The following services have been subject to a 4 stage commissioning review, i.e., Building Control, Licensing, Trading Standards, Health Promotion, Pollution, Pest Control, Food Safety, Registration & Bereavement and Housing & Public Health. The majority of these functions are statutory, frontline and critical to the health and wellbeing of individuals and communities.

Proposals on the outcome of the review will be considered by Cabinet on 19<sup>th</sup> October 2017. These proposals include opportunities to generate additional income and to improve services via IT efficiencies.

Numerous income generating proposals have been identified within the review. However subject to Cabinet approval, further work is required to develop more detailed business cases/market test the proposals to analyse potential demand, income, risks and resources etc, together with the relevant stakeholder consultation and completion of any EIA screenings / reports as required.

#### Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery	Indirect front line service delivery	Indirect back room service delivery
<input checked="" type="checkbox"/> (H)	<input checked="" type="checkbox"/> (M)	<input type="checkbox"/> (L)

#### (b) DO YOUR CUSTOMERS/CLIENTS ACCESS THIS...

Because they need to	Because they want to	Because it is automatically provided to everyone in Swansea	On an internal basis i.e. Staff
<input type="checkbox"/> (H)	<input checked="" type="checkbox"/> (M)	<input checked="" type="checkbox"/> (M)	<input type="checkbox"/> (L)

#### Q3 WHAT IS THE POTENTIAL IMPACT ON THE FOLLOWING...



	High Impact (H)	Medium Impact (M)	Low Impact (L)	Don't know (H)
Children/young people (0-18)	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Any other age group (18+)	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Disability	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Gender reassignment	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Marriage & civil partnership	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Pregnancy and maternity	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Race	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Religion or (non-)belief	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Sex	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Sexual Orientation	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Welsh Language	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Poverty/social exclusion	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Carers (inc. young carers)	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>
Community cohesion	→ <input type="checkbox"/>	<input type="checkbox"/>	X	<input type="checkbox"/>

**Q4 HAVE YOU / WILL YOU UNDERTAKE ANY PUBLIC CONSULTATION AND ENGAGEMENT RELATING TO THE INITIATIVE?**

YES      X NO      (If NO, you need to consider whether you should be undertaking consultation and engagement – please see the guidance)

However subject to Cabinet approval, further work is required to develop more detailed business cases/market test the proposals and any stakeholder consultation will be undertaken by the relevant service area.

**If yes, please provide details below**

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

High visibility <input type="checkbox"/> (H)	Medium visibility <input type="checkbox"/> (M)	Low visibility X (L)
---	---	-------------------------

**(b) WHAT IS THE POTENTIAL RISK TO THE COUNCIL'S REPUTATION?  
(Consider the following impacts – legal, financial, political, media, public perception etc...)**

High risk <input type="checkbox"/> (H)	Medium risk <input type="checkbox"/> (M)	Low risk X (L)
---	---	-------------------

**Q6 Will this initiative have an impact (however minor) on any other Council service?**  
 Yes      X No      If yes, please provide details below

**Q7 HOW DID YOU SCORE?**

**Please tick the relevant box**

**MOSTLY H and/or M → HIGH PRIORITY →  EIA to be completed  
Please go to Section 2**

**MOSTLY L → LOW PRIORITY / NOT RELEVANT →  Do not complete EIA  
Please go to Q8 followed by Section 2**

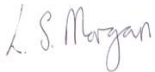
**Q8 If you determine that this initiative is not relevant for a full EIA report, you must provide adequate explanation below. In relation to the Council's commitment to the UNCRC, your explanation must demonstrate that the initiative is designed / planned in the best interests of children (0-18 years). For Welsh language, we must maximise positive and minimise adverse effects on the language and its use. Your explanation must also show this where appropriate.**

If the proposals are approved by Cabinet, work will be undertaken to develop them further as mentioned above and each will then be subject to individual EIA screenings as and when required.

## **Section 2**

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email – no electronic signatures or paper copies are needed.

<b>Screening completed by:</b>
Name: Lynda Grove
Job title: Service Improvement Manager
Date: 18 <sup>th</sup> August 2017

<b>Approval by Head of Service:</b>
Name:  LEE MORGAN
Position: Head of Housing & Public Protection
Date: 18 <sup>th</sup> August 2017

**Please return the completed form to [accesstoservices@swansea.gov.uk](mailto:accesstoservices@swansea.gov.uk)**