



City and County of Swansea

Notice of Meeting

You are invited to attend a Meeting of the

Cabinet

At: Council Chamber, Guildhall, Swansea

On: Thursday, 17 January 2019

Time: 10.00 am

Chair: Councillor Rob Stewart

Membership:

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

Also Invited: W Evans and M Sherwood

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

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1. **Apologies for Absence.**
2. **Disclosures of Personal and Prejudicial Interests.**
www.swansea.gov.uk/disclosuresofinterests
3. **Minutes.** 1 - 9
To approve & sign the Minutes of the previous meeting(s) as a correct record.
4. **Announcements of the Leader of the Council.**
5. **Public Question Time.**
Questions must relate to matters on the open part of the Agenda of the meeting and will be dealt with in a 10 minute period.
6. **Councillors' Question Time.**
7. **Report of the People Policy Development Committee - Adverse Childhood Experiences.** 10 - 39
8. **Co-operative Housing.** 40 - 57

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** Call In Procedure - Urgency: This decision is exempt from the Authority's Call In Procedure as "either the Head of Paid Service, the Section 151 Officer or the Monitoring Officer certifies that any delay likely to be caused by the Call In Procedure could seriously prejudice the Council or the Public Interest including failure to comply with Statutory requirements".*

*** Scrutiny Procedure Rules: This decision is not subject to call-in as the Chief Executive has certified it as urgent because any delay likely to be caused by the call-in process is not in the public interest under section 13 of the Scrutiny Procedure Rules. The Chair of the Scrutiny Programme Committee has been consulted in this matter and has agreed that this report should be certified as urgent.*

Next Meeting: Thursday, 14 February 2019 at 10.00 am



Huw Evans
Head of Democratic Services
Tuesday, 8 January 2019

Contact: Democratic Services - Tel: (01792) 636923

Agenda Item 3.



City and County of Swansea

Minutes of the **Cabinet**

Council Chamber, Guildhall, Swansea

Friday, 14 December 2018 at 10.00 am

Present: Councillor R C Stewart (Chair) Presided

Councillor(s)
J E Burtonshaw
D H Hopkins
C E Lloyd

Councillor(s)
M C Child
E J King

Councillor(s)
R Francis-Davies
A S Lewis

Apologies for Absence
Councillor(s): J A Raynor and M Thomas

103. Disclosures of Personal and Prejudicial Interests.

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

- 1) Councillor E J King declared a Personal & Prejudicial Interest in Minute 107 "Sustainable Swansea - Fit for the Future: Budget Proposals 2019/20 - 2022/23" and withdrew from the meeting prior to its consideration.

104. Announcements of the Leader of the Council.

The Leader of Council made no announcements.

105. Public Question Time.

A number of questions were asked relating to Minute 107 "Sustainable Swansea - Fit for the Future: Budget Proposals 2019/20 - 2022/23".

The Leader of the Council responded.

106. Councillors' Question Time.

No questions were asked.

107. Sustainable Swansea - Fit For The Future: Budget Proposals 2019/20 – 2022/23.*

Call In Procedure - Urgency: *This decision is exempt from the Authority's Call In Procedure as "either the Head of Paid Service, the Section 151 Officer or the Monitoring Officer certifies that any delay likely to be caused by the Call In*

Procedure could seriously prejudice the Council or the Public Interest including failure to comply with Statutory requirements”.

The Cabinet Member for Economy & Strategy submitted a report which sought consideration of the budget proposals 2019/20 to 2022/23 as part of the Council's Budget Strategy *Sustainable Swansea – fit for the future*.

Resolved that:

- 1) The Budget proposals summarised in the report and detailed in Appendix A and Appendix C be approved as the basis of consultation;
- 2) The updated budget future forecast be adopted as the starting planning premise for the new medium term financial plan, which will be considered by Council on 28 February 2019;
- 3) The approach to consultation and engagement with staff, trade unions, residents, partners and other interested parties set out in Section 7 of this report of the report be agreed;
- 4) A report on the outcome of the consultation and final budget proposals be received by Cabinet at its meeting on 14 February 2019.

The meeting ended at 10.25 am

Chair

Call In Procedure – Relevant Dates	
Minutes Published:	14 December 2018
Call In Period Expires (3 Clear Working Days after Publication):	-
Decision Comes into force:	14 December 2018



City and County of Swansea

Minutes of the **Cabinet**

Council Chamber, Guildhall, Swansea

Thursday, 20 December 2018 at 10.00 am

Present: Councillor R C Stewart (Chair) Presided

Councillor(s)
J E Burtonshaw
E J King
J A Raynor

Councillor(s)
M C Child
A S Lewis
M Thomas

Councillor(s)
D H Hopkins
C E Lloyd

Apologies for Absence

Councillor(s): R Francis-Davies

Also Present: Councillors W Evans, L S Gibbard, L R Jones, B J Rowlands & M Sherwood.

108. Disclosures of Personal and Prejudicial Interests.

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

- 1) Councillor E J King declared a Personal Interest in Minute 117 "Swansea Standing Advisory Council for Religious Education (SACRE) - Appointment of New Members";
- 2) Councillor M C Child declared a Personal & Prejudicial Interest in Minute 119 "Proposed Appropriation of 21 Acacia Road, West Cross, Swansea" and withdrew from the meeting prior to its consideration;
- 3) Councillor J E Burtonshaw declared a Personal Interest in Minute 124 "FPR7 - Broadway Interchange - Local Transport Fund Grant 2018/19";
- 4) Councillor C E Lloyd declared a Personal Interest in Minute 126 "FPR7 - Local Transport Fund Additional Bid 2018/19 - Baldwins Bridge".

109. Minutes.

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

- 1) Cabinet held on 15 November 2018.

110. Announcements of the Leader of the Council.

The Leader of the Council made no announcements.

111. Public Question Time.

A number of questions were asked relating to Minute 114 "Small School Review - Proposal to Close Craigcefnparc Primary School" and Minute 115 "School Organisation Linked to the Welsh Education Strategic Plan - Including Proposed Closure of YGG Felindre and Enhanced Size and Relocation of YGG Tan-y Lan and YGG Tirdeunaw".

The relevant Cabinet Member(s) responded.

112. Councillors' Question Time.

Councillors L R Jones and B J Rowlands asked a number of questions relating to Minute 114 "Small School Review - Proposal to Close Craigcefnparc Primary School" and Minute 115 "School Organisation Linked to the Welsh Education Strategic Plan - Including Proposed Closure of YGG Felindre and Enhanced Size and Relocation of YGG Tan-y Lan and YGG Tirdeunaw".

The relevant Cabinet Member(s) responded.

113. Pre Decision Scrutiny - Small School Review & School Organisation Linked to the Welsh Education Strategic Plan. (Verbal)

Councillor L S Gibbard presented the pre decision scrutiny feedback.

114. Small School Review - Proposal to Close Craigcefnparc Primary School.*

Call In Procedure: This decision is exempt from the Authority's Call In Procedure as "the decision has been subject to Pre-Decision Scrutiny and there is no material change in relevant information / evidence".

The Cabinet Member for Education Improvement, Learning & Skills presented a report, which presented feedback on the result of the consultation and sought approval for the publication of a statutory notice to close Craigcefnparc Primary School with effect from 31 August 2019.

Resolved that:

- 1) Approval is given to publish a statutory notice to close Craigcefnparc Primary School with effect from 31 August 2019;
- 2) Cabinet considers any objections received during the statutory notice periods and determines the outcome of the proposals at their meeting on 21 March 2019.

115. School Organisation Linked to the Welsh Education Strategic Plan - Including Proposed Closure of YGG Felindre and Enhanced Size and Relocation of YGG Tan-Y-Lan and YGG Tirdeunaw.*

Call In Procedure: *This decision is exempt from the Authority's Call In Procedure as "the decision has been subject to Pre-Decision Scrutiny and there is no material change in relevant information / evidence".*

The Cabinet Member for Education Improvement, Learning & Skills presented a report, which outlined the result of the recent consultations and sought a decision whether the land at Beacons View shown edged red on the plan annexed at Appendix G "The Land at Beacons View" should be appropriated from the Housing Revenue Account to Education.

Resolved that:

- 1) Approval is given to publish a statutory notice for the relocation and enhancement of capacity and facilities at YGG Tan-y-Lan;
- 2) Approval is given to publish a statutory notice for the relocation and enhancement of capacity and facilities at YGG Tirdeunaw;
- 3) Approval is given to publish a statutory notice to close YGG Felindre with effect from 31 August 2019;
- 4) Approval is given to the changes in primary and secondary Welsh-medium catchment areas necessary to reflect the above changes;
- 5) Cabinet considers any objections received during the statutory notice periods and determines the outcome of the proposals at their meeting on 21 March 2019;
- 6) Cabinet notes that the Land at Beacons View identified on the plan at Appendix G of the report is surplus to requirements and approves its appropriation for the purposes of Education under section 122 Local Government Act 1972, namely for the construction of a new primary school.

Note: Councillor R C Stewart (Chair) withdrew from the Meeting.

Councillor C E Lloyd (Vice Chair) Presiding

116. Increased Planned Places at Penybryn Special School.

The Cabinet Member for Education Improvement, Learning & Skills presented a report, which feedback the outcome of the statutory notice period and sought determination of the proposal to increase the planned places at Ysgol Penybryn Special School. No objections were received.

Resolved that:

- 1) The planned places at Ysgol Penybryn Special School be increased from 130 to 150;
- 2) The additional delegated revenue funding to support the establishment of these increased planned places with Ysgol Penybryn Special School and associated potential additional transport costs be accommodated within existing and future education overall revenue budgets.

117. Swansea Standing Advisory Council for Religious Education (SACRE) - Appointment of New Members.

The Cabinet Member for Education Improvement, Learning & Skills presented a report, which sought approval to increase the membership of the Swansea Advisory Council for Religious Education (SACRE).

Resolved that:

- 1) The membership of SACRE Committee A (Faith Groups) be increased by 2 to include one representative from the Baha'i Faith and one from the Humanist Association;
- 2) The membership of SACRE Committee B (Professional Associations) be increased by 1 to include a second representative from NASUWT.

118. Quarter 2 2018/19 Performance Monitoring Report.

The Cabinet Member for Business Transformation & Performance presented a report, outlining the Corporate Performance for Quarter 2, 2018-2019.

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.

119. Proposed Appropriation of 21 Acacia Road, West Cross, Swansea.

The Cabinet Member for Business Transformation & Performance presented a report, which sought a decision whether the property 21Acacia Road, West Cross, SA3 5LF should be appropriated for the purpose of housing. The land proposed to be appropriated is currently held by the Council as Social Services land and is considered to be surplus to requirements for those purposes.

He stated that an amended report had been circulated.

Resolved that:

- 1) The property identified on the plan at Appendix B of the report be appropriated for the purposes of Housing, namely the provision of two or possibly 3 units for Council Housing.

120. FPR7 Report - ICF Capital Scheme.

The Cabinet Member for Care, Health & Ageing Well presented a report, which sought approval for the Integrated Care Fund (ICF) Capital Funding for the City and County of Swansea and to add the scheme to the capital programme.

Resolved that:

- 1) Swansea's element of the ICT capital grant bid submission to the Welsh Government be approved.

121. FPR 7 Capital Development Proposals for Plantasia in Partnership with Parkwood Leisure

The Cabinet Member for Investment, Regeneration & Tourism presented a report, which sought to confirm the level of funding for the Plantasia capital development works in partnership with Parkwood Leisure.

Resolved that:

- 1) The overall Capital Development principles be approved together with their financial implications;
- 2) Authority is given to draw down the Capital borrowing and to authorise the schemes contained within the Capital Development principles;
- 3) A Project monitoring mechanism be developed to manage the individual schemes with appropriate officer representation and sign off process;
- 4) Grant funding opportunities be explored in partnership with Parkwood Leisure to reduce the amount of capital borrowed and repayment costs to the Council.

122. Green Fleet Policy.

The Chair of the Economy & Infrastructure Policy Development Committee presented a report, which sought approval to formally adopt the Green Fleet Policy to ensure that the acquisition, use and management of the corporate vehicle fleet consistently and continuously seeks to contribute to the Council's Corporate Plan commitments in respect of the Well-Being of Future Generations (Wales) Act 2015.

Resolved that:

- 1) The Green Fleet Policy be adopted.

123. Keeping Recyclables Out of Black Bags.

The Cabinet Member for Environment & Infrastructure Management presented a report, which detailed a proposal to keep recyclables out of black bags at the kerbside to encourage increased recycling to meet increasing statutory targets. The approach also sought to avoid the need to further restrict the number of black bags of their collection frequency.

He stated that the consultation results had been circulated.

Resolved that:

- 1) Residents be advised that the recyclables listed below are not permitted to be placed in their residual (black bag) waste:
 - Food;
 - Cans and Tins;
 - Glass Bottles & Jars;
 - Paper & Cardboard;
 - Plastic Bottles, Tubs and Trays (all film or “flimsy” plastic still to go in the black bags).
- 2) A Recycling Promotions process be started to check black bags for significant recyclables;
- 3) The process detailed in Paragraphs 4.3 to 5.1 of the report be followed to seek a step change in waste management and recycling in the home.

124. FPR7 – Broadway Interchange - Local Transport Fund Grant 2018/19.

The Cabinet Member for Environment & Infrastructure Management presented a report which confirmed the bid for additional Local Transport Fund (LTF) monies and sought approval for expenditure on the Broadway Interchange project 2018-2019. The report sought also to comply with Financial Procedure Rule 7 “Capital Programming and Appraisals”, to commit and authorise a variation to an existing capital scheme in the Capital Programme.

Resolved that the Broadway Interchange Project, together with its financial implications are approved.

125. 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)

126. FPR7 – Local Transport Fund Additional Bid 2018/19 – Baldwins Bridge.

The Cabinet Member for Environment & Infrastructure Management presented a report which confirmed the bid for additional Local Transport Fund (LTF) monies and sought approval for expenditure on the Baldwins Bridge and Dyfatty Junction projects 2018-2019. The report sought also to comply with Financial Procedure Rule 7 “Capital Programming and Appraisals”, to commit and authorise a variation to an existing capital scheme in the Capital Programme.

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

The meeting ended at 11.57 am

Chair

Call In Procedure – Relevant Dates	
Minutes Published:	20 December 2018
Call In Period Expires (3 Clear Working Days after Publication):	23.59 on 27 December 2018
Decision Comes into force:	28 December 2018

Agenda Item 7.



Report of the Chair of People Policy Development Committee

Cabinet – 17 January 2019

Adverse Childhood Experiences

Purpose:	This report is a summary of the work on Adverse Childhood Experiences (ACEs) as undertaken by the People Policy Development Committee, as part of the work programme agreed for 2018/19.
Policy Framework:	Well-being of Future Generations (Wales) Act 2015 Social Services & Well-being (Wales) Act 2014
Consultation:	This report was prepared after work undertaken by elected members and officers attending the People Policy Development Committee.
Recommendation(s):	It is recommended that: <ol style="list-style-type: none">1. The report is received by Cabinet;2. The way forward as set out in paragraphs 6.1 & 6.2 is agreed.
Report Authors:	Councillor Ceri Evans, Mark Sheridan & Simon Jones
Finance Officer:	Chris Davies
Legal Officer:	Lucy Moore
Access to Services Officer:	Rhian Millar

1. Introduction and background

- 1.1 Adverse Childhood Experiences (ACE's) is a new national framework aimed at helping all public services in Wales address the present and future well-being and safety needs of Children, Young People and Adults. Adverse Childhood Experiences (ACEs) are traumatic events occurring before the age of 18. In Wales, citizens who were abused (verbally, physically or sexually) as children or brought up in households where there was domestic violence, parental separation (with conflict), alcohol or drug abuse or parental

incarceration are more likely to adopt health-harming and anti-social behaviours in adult life.

- 1.2 ‘Adverse Childhood Experiences (ACEs) are traumatic events occurring before the age of 18. There are **ten types of ACEs**, five of which relate directly to the child and five of which relate to the parents / household. These are highly stressful experiences occurring during childhood that directly harm a child (e.g. sexual or physical abuse) or affect the environment in which they live (e.g. growing up in a house with domestic violence).

Ten Adverse Childhood Experiences (ACEs)	
Child	Parents / household
<ul style="list-style-type: none"> • Physical abuse • Sexual abuse • Emotional abuse • Physical neglect • Emotional neglect 	<ul style="list-style-type: none"> • Mother treated violently • Household substance misuse • Household mental illness • Parental separation or divorce • Incarcerated household member

Table 1 Types of ACEs (Bellis et al 2016.)

- 1.3 Adults in Wales who were abused (verbally, physically or sexually) as children or brought up in households where there was domestic violence, parental separation (with conflict), alcohol or drug abuse or parental incarceration are more likely to adopt health-harming and anti-social behaviours in adult life.
- 1.4 Whilst the Welsh ACEs Study focuses on household abuse (sexual, physical and verbal), domestic violence, parental conflict (parental separation), mental illness, alcohol abuse, drug abuse and incarceration, the Framework acknowledges other trauma and adversity including challenging/difficult life experiences that have long-lasting impact. Similarly, the language of ACEs will resonate less across some sectors. ACEs is interchangeable with other terms such as psychologically informed or trauma-informed.

2. ACEs Language

- 2.1 There is a distinct and common language used within the Adverse Childhood Experiences (ACEs) framework. Some examples include: ACEs, as shown in Table 1, these are traumatic events occurring in childhood including:

- domestic violence
- parental abandonment through separation or divorce
- a parent with a mental health condition
- being the victim of abuse (physical, sexual and/or emotional)
- being the victim of neglect (physical and emotional)
- a member of the household being in prison
- growing up in a household in which there are adults experiencing alcohol and drug use problems.

- 2.2 Adverse Childhood Experience (ACE) Questionnaire – this is a 10-item self-report measure developed for the ACE study to identify childhood experiences of abuse and neglect.
- 2.3 ACE score – number of ACEs you have assessed for yourself using questionnaire. This is a tally of different types of abuse, neglect, and other hallmarks of a difficult childhood. According to the Adverse Childhood Experiences study, so the more challenging your childhood, the higher your score is likely to be, and therefore the higher your risk for later health problems.
- 2.4 Toxic Stress - a toxic stress response can occur when a child experiences strong, frequent, and/or prolonged adversity—such as physical or emotional abuse, chronic neglect, caregiver substance abuse or mental illness, exposure to violence, and/or the accumulated burdens of family economic hardship—without adequate adult support.
- 2.5 Resilience – within the ACEs framework, this is seen as the person’s ability to return to being healthy and hopeful after bad things happen.
- 2.6 ACEs Informed Organisations- an ACEs informed framework has been developed by the ACES support Hub to build the skills, knowledge and awareness needed to help prevent the impact of ACEs, as well as showing ‘kindness’ towards mitigating their effects. An ‘ACEs Informed Approach’ would not necessarily require the development of new strategies or interventions, but rather consideration of how existing services can be fine-tuned, and how agencies can work together to utilise an improved understanding of the impact of adversity and how this can be prevented or ameliorated.

3. Policy Context

- 3.1 ACEs are highly relevant for a wide range of organisations working to improve the lives of people across Swansea. Two key pieces of legislation highlighting Welsh Government’s commitment to prioritising collaborative working and early action to improve the well-being of people who need care and support:
 - Well-being of Future Generations (Wales) 2015 Act
 - Social Services and Well-being (Wales) Act
- 3.2 ACEs is one of the Future Generation’s Commissioners six policy priorities, and Public Health Wales are linking with their office, through Cymru Well Wales, to support public services to embed the seven goals and five ways of working in this area. This has further implications for our criminal justice system, as over 80% of all criminal activity in Britain is attributed to people who had behavioural problems in childhood or adolescence. A previous study showed that late intervention services aimed at children and young people in Wales end up costing £16.6 billion. The push is for strong approach to promote well-being, prevention and resilience across all stages of life, throughout public services, the criminal justice system, and in all aspects of health and social care.

3.3 The ACEs framework links closely to the following local policy developments:

- Well-being Plan / Needs Assessment
- Swansea Public Services Board -work programme
- Cymru Well Wales: The First 1000 Days
- Draft Integrated Wellbeing strategy for Children and Young People
- Corporate Safeguarding policy
- Corporate Prevention strategy
- Sustainable Swansea programme

4. Current Research

4.1 Latest research quantifies that impact of ACEs on individuals and on society and demonstrates the significance of ACEs to every professional working with people and to the public universally. Within the public sector (including criminal justice, health, social services and education, local government and policy making) and wider, the research offers a real opportunity to build on the work that aims to reduce the impact that ACEs have on citizens.

4.2 Results from the first Welsh Adverse Childhood Experience (ACE) study (Public Health Wales, 2015) show that around one in every seven adults aged 18-69 years in Wales have experienced four or more ACEs during their childhood and just under half have experienced at least one. With regard to health-harming behaviours, in comparison to those who had not had these childhood experiences, those with four or more ACEs were:

- 4 times more likely to be high risk drinkers
- 6 times more likely to have had or have caused unintended teenage pregnancy
- 6 times more likely to smoke cigarettes or e-cigarettes
- 11 times more likely to smoke cannabis
- 14 times more likely to have been the victim of violence over the last 12 months
- 15 times more likely to have committed violence against others over the last 12 months
- 20 times more likely to have been incarcerated

There is an association between ACEs and mental health and wellbeing. In comparison to those who reported no ACEs, those with four or more ACEs were:

- 3 times more likely to have never or rarely felt relaxed
- 3 times more likely to have never or rarely felt close to other people
- 4 times more likely to have never or rarely been thinking clearly
- 5 times more likely to have never or rarely to have dealt with problems well
- 5 times more likely to have never or rarely been able to make up their own mind about things
- 6 times more likely to have never or rarely felt optimistic about the future
- 6 times more likely to have never or rarely felt useful

Living through traumatic events also increases the risk of a range of physical health conditions. Up to the age of 69 years, those with four or more ACEs were twice as likely as those with no ACEs to be diagnosed with a chronic disease, specifically:

- 4 times more likely to develop type 2 diabetes
- 3 times more likely to develop heart disease
- 3 times more likely to develop a respiratory disease

The Public Health Wales (2018) research report looks into sources of resilience and their moderating relationships with harms from ACEs demonstrates that building resilience across the life course can help avoid and overcome the harmful outcomes of ACEs. ACEs are everyone's business; everyone has a role to play in eliminating ACEs and improving the health, wellbeing and life outcomes for those who do experience ACEs.

4.3 Links to Public Health Wales / ACEs resources / research findings / ACEs Support Hub:

<http://www.wales.nhs.uk/cymruwellwales>
<http://www.wales.nhs.uk/sitesplus/888/page/88524>

4.4 There is a growing body of evidence that factors that affect a person's wellbeing can influence their behaviour and life chances. Research around adverse childhood experiences (ACEs) shows children who experience stressful and poor quality childhoods are more likely to develop health-harming and anti-social behaviours, more likely to perform poorly in school, more likely to be involved in crime and ultimately less likely to be a productive member of society (Bellis et al, 2015).

4.5 On the other hand, there is an extensive body of research around resilience that suggests the provision of appropriate support at a community level can mitigate the effects of ACEs (Hughes et al, 2018). Action to promote well-being across a population can have a range of positive outcomes including higher educational achievement, reduced unemployment, reduced reliance on welfare and disability benefits, higher productivity in the workplace, reduced crime and anti-social behaviour, better social relationships and community involvement and reduced costs to health and social services (Joint Commissioning Panel for Mental Health, 2015).

4.6 An ACE Public Services Board (PSB) support hub was established in 2017 by Cymru Well Wales to address ACE's and their impact in Wales through a whole system approach and to drive the achievement of the collective vision for Wales as a world leader in ACE-free childhoods.

5. Work undertaken by the People Policy Development Committee

Within the work programme 2018/19, the People Policy Development Committee (People PDC) looked at whether and how the Council could develop

a policy to become an ACE informed Council. In undertaking this work, People PDC considered ACEs within the following three policy questions:

- Understanding the implication of ACEs for citizens
- Benefits of being ACE informed Council and what this would entail doing.
- To what extent is the Council already ACE informed?

5.1 Understanding the implications of ACE's for citizens.

5.1.1 In addressing this question, Mark Sheridan, Head of Vulnerable Learner Services, Swansea Council gave a presentation to the People PDC on the Councils current approach to well-being, including the draft Integrated Well-being Strategy for children and young people, which includes addresses the impact of Adverse Childhood Experiences (ACEs).

Also Swansea Public Services Board has developed a draft Local Well-being Plan 2018 following their assessment of well-being in 2017. The plan has four main objectives:

- To ensure children have the best start in life to be the best they can be.
- To make Swansea a great place to live and age well.
- To improve health, enhance biodiversity and reduce our carbon footprint.
- To empower communities promoting pride and belonging

5.1.2 Supporting Wellbeing and Safety for Children Young People and Families in Swansea 2017 sets out Swansea's vision and models of service delivery for Family Support Services across the Continuum of Need.

Swansea's Family Support Services aim to provide the right support at the right time through early identification of need and early intervention, targeted services working with a whole family approach to empower families to problem solve, build resilience and sustain change.

Swansea Child & Family services are committed to using a Signs of Safety model. This is an innovative strengths based, safety-organised approach to child protection casework, which is grounded in partnership and collaboration. It explores strengths and risks in families in order to stabilise and strengthen a child's and family's situation.

5.1.3 The Family Support Continuum Steering Group was set up to manage the work streams related to the various reviews linked to Family Support Services. The Behaviour and Well-being subgroup was tasked with:

- Developing an Integrated Wellbeing Strategy that includes an agreed definition of Well-being.
- Developing a Well-being Framework for assessment and self-evaluation.
- Developing a graduated continuum of response to map and provide services that improve behaviour and well-being.

The Behaviour and Well-being subgroup has made progress in the development of a strategy including describing the multi-faceted nature of well-being, setting out a broad vision statement, and agreeing a well-being framework for assessment, self-evaluation and mapping services and provision.

- 5.1.4 Swansea Council's draft Integrated Well-being Strategy for children and young people 2018-22, sets out the following definition of well-being, which is user friendly whilst capturing the multi-faceted and developmental aspects of well-being:

Our well-being is made up of different factors at any one time and changes during our lifespan. It is affected by our experiences and background, how we think and feel, our ability to communicate and problem solve as well as our physical and mental health, relationships and sense of belonging in our communities.

The strategy sets out the following vision:

Swansea will promote, support and nurture every child and young person's wellbeing.

Among the key objectives set within the strategy are:

- *To establish a lead strategic group to deliver the strategy*
- *To promote Swansea's definition of well-being and raise awareness of the impact of adverse childhood experiences across all key stakeholders*
- *To promote strengths-based approaches that develop resilience to support and nurture children and young people's well-being*

See Appendix 1. A draft Integrated Well-being Strategy for children and young people 2018-22 v1.4.

- 5.1.5 Whilst there was concern that Swansea's approach to well-being could seem to be focusing solely on children and young people, and that traumatic experiences can affect children through into adulthood, it was also acknowledged that there has to be a starting point for taking ACEs framework forward.

5.2 How could ACEs framework improve services to citizens?

- 5.2a In considering this question, the People PDC looked further into the ACEs framework, and how it could support new ways of working. Making use of materials from a recent workshop arranged by the ACEs PSB Support Hub, Simon Jones, Social Services Strategy and Performance Improvement Officer presented on understanding the implications of Adverse Childhood Experiences (ACE's) for citizens.
- 5.2b This presentation outlined the background and definition of what constitutes an ACE. It detailed how many adults in Wales had been exposed to each ACE, the prevalence of how many citizens were affected, the risk to citizens,

its impact on citizen well-being and how we could consider dealing with this differently for our citizens via:

- Different way of looking at journey into services / needs / pathways / support roles;
- Supporting whole system thinking about public services – currently services are commissioned to deal with a single problem, e.g. tenancy support, pupil referral, family support;
- Potential for network of ACE informed / aware organisations in Swansea
- Potential for identifying safe places;
- Promoting 'kindness' / ACE awareness at all front door / public-facing access points;
- Just having the ACE's conversation can make a difference to citizens.

5.2c The People PDC discussed the new ways of thinking the ACEs framework can offer, and also recognised that:

- There is a strong case for raising awareness of ACEs to everyone, as everybody's business;
- Public Health Wales have already undertaking much research work on ACEs – and there is an ACEs framework for public organisations in existence, via PSBs;
- Swansea Public Services Board has recently signed up to First 1000 days collaborative;
- The extremely high cost to public services throughout the life of someone with ACE's, highlights the need for early intervention, building resilience and strengths based approaches.

5.3 To what extent is the Council Already ACES informed

5.3.1 In considering the third and final question, the People PDC had the opportunity to consider and discuss the Adverse Childhood Experiences (ACE) Informed Environments Framework for Service Delivery and Design, which outlined:

- I. Psychological Framework – ACE informed organisations have purpose and can adapt;
- II. Evidence Generating Practice – ACE Informed organisations are inclusive;
- III. Environment – ACE informed organisations are safe place to work or access;
- IV. Staff Training – Staff support;
- V. Relationships – ACE informed organisations recognise relationships as a key tool for wellbeing, support and change.

The Committee discussed the content of the ACEs framework and the aspects that could be utilised in order to accompany our current processes. They acknowledged that the Council already had certain plans and processes in place in order to be inclusive by having a wellbeing and safeguarding focus. However, there were concerns as to whether all staff had the correct level of ACEs awareness and whether the adequate level of support was provided to

our staff in order support citizens and to address the well-being needs of future generations.

- 5.3.2 The People PDC agreed that a resilience-based approach would be more productive than focusing solely on an ACE approach. We need to create the services and environment so that when service users experience ACEs, we can recognise these early and provide appropriate support to mitigate the risks to well-being as well as use evidence based interventions to improve resilience.
- 5.3.3 Through the Integrated Wellbeing Strategy for Children and Young People (2018-2021), Swansea Council has already recognised the effect of ACEs and importance of building resilience. Also by developing a Family Support Continuum via a Steering Group, the strategy could lead on an integrated approach to promoting and supporting children and young people's well-being. The Strategy (Appendix 1) offers a definition of wellbeing as well as setting out a framework for assessing a person's wellbeing at any time including potential risks to well-being. It also provided a model to promote and support well-being as well as guide interventions so they were preventative, timely and focused. This new strategy sits within the broader well-being priorities set out in the authority's Corporate Plan and Public Services Board's Local Well-being Plan.

6. Way Forward

- 6.1 In undertaking its work on ACES, the People PDC formed the view that Swansea Council was generally 'ACE informed' and working towards a shared strengths based, resilience building approach under an integrated strategic approach to well-being.

The Committee acknowledged that there may be need for further development of these approaches to support ACEs awareness in supports of Adults, and that there is a need for corporate staff ACE awareness as 'everybody's responsibility. This would require a more focused approach to future learning, training and development.

- 6.2 The following initial actions are proposed as a way forward:

- For the Council to develop and agree a 'Statement of Purpose' on ACEs, and to incorporate ACE awareness into future plans and policies.
- Taking forward awareness of impact of Adverse Childhood Experiences across all key stakeholders, through Swansea's **Integrated Wellbeing Strategy for children and young people 2018-22**.
- Strengthen links to ACEs framework within Council's Corporate Safeguarding policy and training, mandatory for all staff – as everyone's responsibility;
- Incorporate ACEs awareness when working with Adults and through Adult Services incorporating strengths based approaches
- Undertake a gap analysis based on the ACEs framework in order to map out current level of ACEs knowledge across Children & young people services

7. Equality and Engagement Implications

7.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

7.2 Adverse Childhood Experiences (ACEs) framework aims to improve social inclusion and to reduce impact that of adverse childhood experiences have when citizens engage with public organisations. Some citizens with protected characteristic may have had adverse childhood experiences. The intention is that Swansea's Integrated Wellbeing strategy for children and young people (Appendix 1) will incorporate work to promote ACEs awareness within Council's work in this area, and that a full Equalities Impact Assessment will be carried out before the strategy gets Council approval.

7.3 In order to comply with the relevant equality regulations, EIA Screening forms have been completed on both this report, and the Integrated Wellbeing strategy(see Appendices 3a & 3b), reaching a conclusion that a full Equalities Impact Assessment report is to be completed on the Integrated Wellbeing strategy for children and young people. The strategy is due to be discussed at the Getting It Right for Children steering group on 20 December 2018, and it is anticipated a full EIA would be produced at this time.

8. Financial Implications

8.1 There are no financial implications associated with this report at this stage.

9. Legal Implications

9.1 There are no legal implications in addition to those already set out in the body of the report.

Background Papers: None

Appendices:

Appendix 1 - Draft Integrated Wellbeing strategy for Children and Young People 2018-2021 v1.4

Appendix 2 - Framework for ACEs Informed Organisation

Appendix 3 - Equalities Impact Screening forms:
(a) this report; (b) draft strategy



Draft
Integrated Well-being Strategy
For Children and Young People
2018 – 2021

Content

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Background and context

Vision, Aims and Objectives

Defining Well-being

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Introduction

There is a growing body of evidence that factors that affect a person's well-being can influence their behaviour and life chances. Research around adverse childhood experiences (ACEs) shows children who experience stressful and poor quality childhoods are more likely to develop health-harming and anti-social behaviours, more likely to perform poorly in school, more likely to be involved in crime and ultimately less likely to be a productive member of society (Bellis et al, 2015).

On the other hand, there is an extensive body of research around resilience that suggests the provision of appropriate support at a community level can mitigate the effects of ACEs (Hughes et al, 2018). Action to promote well-being across a population can have a range of positive outcomes including higher educational achievement, reduced unemployment, reduced reliance on welfare and disability benefits, higher productivity in the workplace, reduced crime and anti-social behaviour, better social relationships and community involvement and reduced costs to health and social services (Joint Commissioning Panel for Mental Health, 2015).

In schools it has been shown that an integrated whole school approach to promoting social and emotional learning has positive impacts on attainments, social experiences and absence (Banerjee et al, 2016).

However, reviews also highlight difficulties in defining well-being and measuring the impact of any initiatives or interventions designed to improve children and young people's well-being.

This strategy sets out how Swansea Council will promote an integrated approach to promoting and supporting children and young people's well-being which is monitored through the 'Getting it Right for Every Child' steering group. It offers a definition of well-being as well as setting out a framework for assessing a person's well-being at any time including potential risks to well-being. It also provides a model to promote and support well-being as well as guide interventions so that they are preventative, timely and focused.

The strategy sits within the broader well-being priorities set out in the authority's Corporate Plan and Public Services Board's Local Well-being Plan. In particular, it relates to the Education Department's priorities and contributes to the authority's response to the Social Services and Well-being Act 2014.

The strategy includes children, young people and young adults from -9 months to 19 years and Social Services Child and Family teams including both statutory and non-statutory services, the Education department, commissioned services such as Exchange and other Families First funded projects as well as relevant Health teams such as Health Visitors, Community Paediatrics, Community Care and CAMHS. It is also relevant to parents / carers, children, young people, young adults and their families.

Background

National vision and legislation

United Nations Conventions on the Rights of the Child (UNCRC)

The Welsh Government formally adopted the UNCRC as the basis for policy making for children and young people in Wales in 2004. The Programme for children and Young People 2015 sets out the seven core aims which summarize the UNCRC and how they relate to the government's well-being goals:

We want all our children and young people to:

1. have a flying start in life (**the early years**)
2. have a comprehensive range of **education and learning opportunities**
3. enjoy the best possible **health and are free from abuse, victimisation and exploitation**
4. have access to **play, leisure, sporting and cultural activities**
5. be listened to, treated with respect, and have their race and cultural identity recognised (**participation in decision making**)
6. have a **safe home and a community** which supports physical and emotional wellbeing
7. **not be disadvantaged by poverty.**

Well-being and Future Generations Act 2015

The Well-being and Future Generations Act sets out a duty on all public bodies to promote the seven well-being goals that aim to improve social, economic, cultural and environmental well-being:

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of more cohesive communities
- A Wales of vibrant culture and thriving Welsh language
- A globally responsible Wales

Public bodies must publish a well-being statement which includes a set of well-being objectives and a coherent joined up (integrated) strategy for meeting them. Public bodies must apply the sustainable working principles when setting their objectives and ways of meeting them: Long-term, preventative, integrated, collaborative and engaging/involving.

Social Services and Well-being Act 2014

The Act imposes a duty on local authorities, health boards and Welsh Ministers to promote the well-being of those who need care and support or carers who need support.

The Act supports people who have care and support needs to achieve **well-being**. **People** are at the heart of the new system by giving them an equal say in the support they receive. **Partnership** and co-operation drives service delivery and services will promote the **prevention** of escalating need and the right help is available at the right time.

The Act states that well-being means a person is happy, healthy and is comfortable with their life and what they do.

It says well-being is made up of eight main parts:

- Making sure you have your rights
- Being physically, mentally and emotionally happy
- You are protected from abuse, harm and neglect
- Having education, training, sports and play
- Positive relationships with family and friends
- Being part of the community
- Having a social life and enough money to live a healthy life
- Having a good home

Education in Wales – Our National Mission 2017 - 2021

The aim of the national mission is ‘to raise standards, reduce the attainment gap and deliver an education system that is a source of national pride and confidence’.

The innovative curriculum design which will underpin this mission, is based upon four key enabling objectives:

- Developing a high-quality education profession.
- Inspirational leaders working collaboratively to raise standards.
- Strong and inclusive schools committed to excellence, equity and well-being.
- Robust assessment, evaluation and accountability arrangements supporting a self-improving system.

The aim is that all children will be well-educated, safe and happy, to be treated fairly and benefit from high levels of well-being. For many of our young people, achieving those ambitions will require a renewed, collaborative focus across all of our public services, and a bold commitment to effective collaboration along with integration of services where appropriate.

ALNET (Wales) Act 2018

The Additional Learning Needs and Education Tribunal (Wales) Act 2018 will replace the current Special Educational Needs (SEN) framework with a reformed system based on Additional Learning Needs (ALN).

The Act makes provision for universal, statutory Individual Development Plans for all children and young people with ALN. This will bring an end to the current distinction between school led interventions and local authority issued statements and integrate the separate legislative arrangements that exist for pupils in schools and post-16 students in colleges. The Act also seeks to improve collaboration between local authorities and health boards, as well as establishing a fairer and more transparent system with greater emphasis on disagreement avoidance and dispute resolution.

Swansea Context

Swansea published its well-being objectives in March 2017 and incorporated these into its Corporate Plan 2017 - 2022:

- **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.

This discharges the Council's 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.

The Education Department published its vision in 2018 that every child and young person will be able to develop to their potential and set out its five key priorities:

- **Curriculum** – We will deliver a curriculum fit for the 21st century which meets the needs in Swansea and those of our learners
- **Support for Learners** – We will support all learners to meet their varying need and remove barriers to allow them to reach their full potential
- **Leaders** – We will support leadership to ensure our current leaders and future leaders at all levels are developed to build resilience and sustainability into the Education system in Swansea
- **Workforce** – We will focus on quality teaching in every classroom every day to drive up outcomes and accelerate progress
- **Environments** – We will continue to support sustainable schools fit for the 21st century

Swansea Public Services Board has developed a draft Local Well-being Plan 2018 following their assessment of well-being in 2017. The plan has four main objectives:

- To ensure children have the best start in life to be the best they can be.
- To make Swansea a great place to live and age well.
- To improve health, enhance biodiversity and reduce our carbon footprint.
- To empower communities promoting pride and belonging

Supporting Wellbeing and Safety for Children Young People and Families in Swansea 2017 sets out Swansea's vision and models of service delivery for Family Support Services across the Continuum of Need.

Swansea's Family Support Services aim to provide the right support at the right time through early identification of need and early intervention, targeted services working with a whole family approach to empower families to problem solve, build resilience and sustain change.

Swansea Child & Family services are committed to using a Signs of Safety model. This is an innovative strengths based, safety-organised approach to child protection casework, which is grounded in partnership and collaboration. It explores strengths and risks in families in order to stabilise and strengthen a child's and family's situation.

In order to get this right for every child a steering group has been set up to manage the work streams related to the various reviews and commissioning reviews linked to Family Support Services. The Well-being subgroup is tasked with:

- Developing and implementing an Integrated Well-being Strategy for children and young people that includes an agreed definition of Well-being.
- Developing and implementing a Well-being Framework for assessment and self-evaluation.
- Developing and implementing a graduated continuum of response to map and provide services that improve behaviour and Well-being.

This strategy sets out the subgroup's response to the terms of reference above providing an agreed definition and framework for assessing well-being in line with policy and practice across Swansea and Welsh Government guidance.

Vision and Aims

Swansea will promote, support and nurture every child and young person's well-being.

This strategy aims to offer an integrated approach to promote, support and nurture the development of children and young people's well-being through building the skills and capabilities for resilience. It recognises that an integral part of this aim is the promotion and support of the wellbeing of parents and carers, wider family members and the well-being of practitioners who work with children, young people and their families.

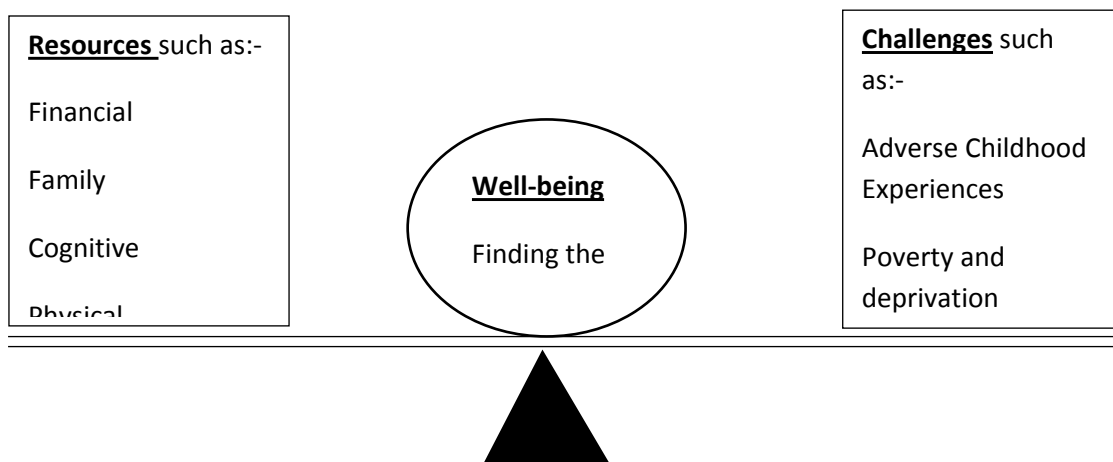
What is well-being?

Following a review of research, this strategy promotes the following description of well-being;

Our well-being is made up of different factors at any one time and changes during our lifespan. It is affected by our experiences and background, how we think and feel, our ability to communicate and problem solve as well as our physical and mental health, relationships and sense of belonging in our communities.

Particularly for children and young people, their well-being is affected by the key people involved in their lives as well as the physical and social conditions in which they live. Therefore, promoting, supporting and nurturing children and young people's well-being involves not only developing the skills and capabilities of the child but also the awareness, knowledge and skills of the people in a child's life. This means taking an integrated approach to well-being based on an assessment of an individual's well-being needs.

To help with an understanding of well-being, the strategy uses a balance model.



To best support the children, young people and young adults that we work with it is important to assess the challenges faced balanced against the resource available to support, promote and nurture their well-being. This can be done by reducing challenges where possible and improving resources.

This requires an integrated and holistic approach to promoting, supporting and nurturing children, young people and young adult's well-being that enables them to build resilience over their lifetime.

Principles

The definition above suggests the following key principles to guide the delivery of services aimed at promoting, nurturing and supporting children and young people's well-being.

- **Well-being is everybody's business and therefore there should be active promotion of well-being for all children, young people and their families.**
- **Services should provide early, timely and preventative interventions, based on a proportionate assessment of need.**
- **Interventions should be evidence-based and have specific outcomes.**
- **Assessment and intervention should include the voice of children, young people and their families and encourage genuine engagement and participation.**
- **Approaches should be person centred and should take a strength based/resiliency approach whilst recognising risks such as adverse experiences.**

Priorities

1. Awareness Raising

- a. To promote Swansea's description of well-being
- b. Raise awareness of the impact of adverse childhood experiences across all key stakeholders
- c. To raise awareness of Swansea's Continuum of Need and Signs of Well-being framework
- d. Develop training packages for schools to support the emotional and mental well-being of children, young people and young adults

2. Provision Mapping and Gap Analysis

- a. To map needs and provision across the authority using the Signs of Well-being approach and Continuum of Need
- b. To develop a self-evaluation of well-being tool using the Swansea definition and Signs of Well-being approach
- c. Map good practice and resource currently available that has an evidence based impact on children, young peoples and young adults well-being

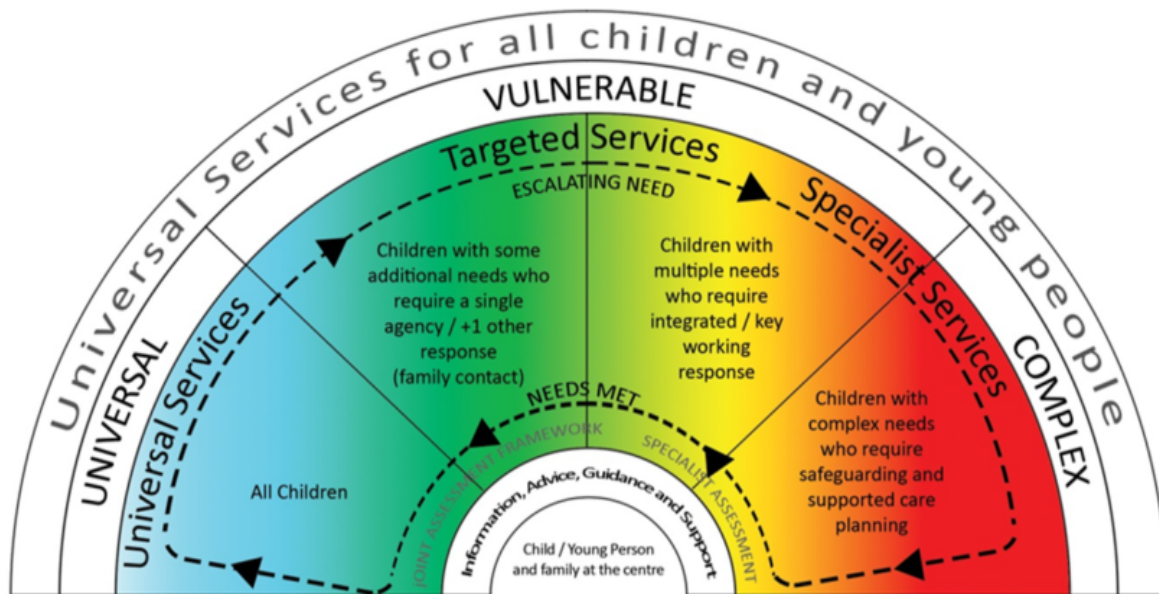
3. Implementation

- a. Embed the Signs of Well-being approach to assess well-being needs and co-ordinate integrated, proportionate responses to identified need
- b. Promote the Named Person/Worker and Team Around the Family approach across the continuum
- c.** Identify training gaps across the continuum to ensure intervention, particularly at the statutory and specialist levels, integrates with the Signs of Well-being and Signs of Safety frameworks

Graduated Model of Promotion, Nurture and Support

Many services across Swansea including Health, Education and Social Services use a tiered or window screen model of service delivery. The figure below shows the Continuum of Needs adopted by Family Support Services as set out in the Supporting the Wellbeing and Safety of children and Young People 2017.

Figure 1



This approach enables both mapping of current services as well as clarifying roles, responsibilities and expectations for service users and providers. It points to the universal promotion of well-being for all whilst recognising that children and young people with more complex needs and lives may require targeted and/or specialist support.

Well-being Framework

It is proposed that the authority adopts a Signs of Well-being approach to assessment and intervention aimed at supporting and promoting wellbeing. This is based on the Scottish model, Getting it Right for Children and Young People.

Swansea has operationalised this model as part of the Team Around the Family (TAF) approach to enable practitioners to assess the main factors that may be impacting on a child or young person's well-being. The Signs of Well-being Approach is set out in more detail in Annex 1. It enables different services to contribute to an assessment of well-being using their own unique approaches to assessing need within a broader framework. It links to the Continuum of Need above and supports integrated working and intervention, mapping of provision and self-evaluation.

Key Roles

The strategy is underpinned by the concept of a **Named Person/Worker**. The broad strategic objective is that every child and young person in Swansea has a named person or worker who is responsible for monitoring the well-being of all the children and young people in their care. It is envisaged that this role would be fulfilled by health visitors for pre-school children and by designated school staff for school age children.

The named worker would work within their own role to support the needs of the child and family without drawing in any intervention from additional services. A named person would carefully consider the situation by asking four questions:

- What is getting in the way of this child or young person's well-being?
- Do I have all the information I need to help this child /young person/family?
- What can I do now to help this child/young person/family?
- What can my agency do to help this child/young person/family?

A **Team Around the Family (TAF)** approach sits at level two and above of the continuum where support is required from more than one agency.

A "TAF approach" refers to cases that meet all of the following criteria:

- Family assessment.
 - *An assessment which addresses the needs of the whole family, not just the referred client.*
- Actions for more than one family member, or actions that impact upon more than one family member e.g. support with housing, debt etc.
- Involvement of two or more services.
 - *The element of 'virtual' co-ordination needs to be present, so the needs of the clients must be greater than what your service alone can deliver. The co-ordination element needs to be evidenced through referrals / conversations / liaison to other services outside of your own.*
- Evidence of an action plan.
 - *A plan that shows what goals the family hopes to achieve, and which agency or family member is taking responsibility for them.*
- A Distance Travelled Tool (e.g. Outcome Wheel/review of family progress).
 - *A tool that captures the movement of the family/client and reflects the assessment and actions within the plan.*

A **TAF lead worker** will be identified from the pool of practitioner's involved in the delivery of the plan. This role might be fulfilled by the previous named worker, but **not** exclusively so. The types of practitioners carrying out the TAF lead worker role could be staff from schools, health, housing etc and would be the person most relevant to the child or young person in terms of quality of relationship and the level of trust built up with the family.

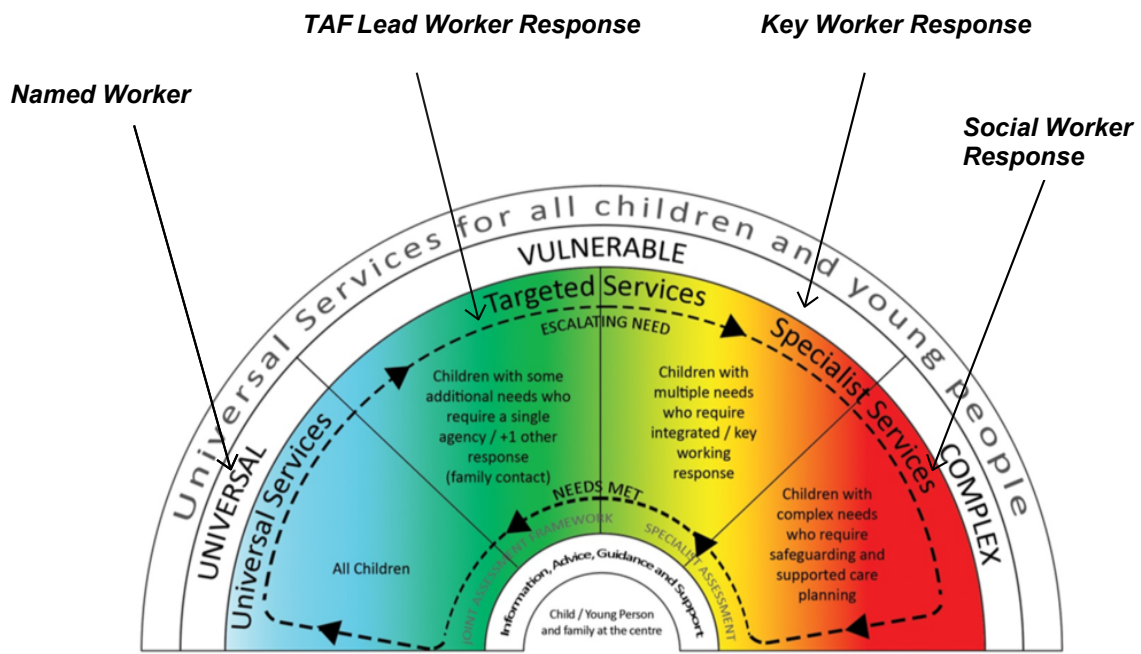
The TAF lead worker would support a light touch intervention to prevent child and family's needs from escalating. This would include co-ordination and delivery of the well-being plan.

The **key worker** role sits at level three of the continuum on the edge of statutory services. The teams performing the key worker role would carry out wellbeing assessments and develop the plan in partnership with other involved professionals, deliver the intervention and be responsible for reviewing the arrangements. They would provide an intervention across the full age range where there are complex needs and there is a risk that statutory intervention may be required if things don't improve.

The **Statutory/Specialist Response** sits at level four of the continuum and is provided to those children, young people and young adults with the most complex needs. This intervention would be delivered by the relevant statutory service or provision.

Key roles are set out in more detail in Annexe 2 and shown in figure 2.

Figure 2



Appendix 2. Framework for ACEs Informed Organisation

Note: This is a “live” document and will be reviewed and updated.

ACE-Informed People	
<p>ACE-Informed people understand what Adverse Childhood Experiences (ACEs) are and understand their impact throughout the life course. They understand how to communicate effectively and know when they need to seek advice and support.</p>	
Knowledge	Skills/behaviours
<p>Understand what Adverse Childhood Experiences (ACEs) are and what trauma and adversity is.</p> <p>Understand the impact of ACEs and other forms of trauma and adversity; understand the different ways in which ACEs can affect people throughout the life course.</p> <p>Knowledge of the trauma response to ACEs and the impact on brain development.</p> <p>Understand the collective role in mitigating the impact of, and responding to, ACEs and other forms of trauma and adversity.</p> <p>Understand own role in mitigating the impact of ACEs.</p> <p>Understand when and where to access advice and support if needed.</p>	<p>Observe and notice potential signs of ACEs / trauma / re-traumatisation and respond in compassionate and supportive manner.</p> <p>Connect with people through kindness and understanding.</p> <p>Describe own role in responding to ACEs / mitigating the impact of ACEs.</p> <p>Reflect on own role in responding to ACEs / mitigating the impact of ACEs.</p> <p>Identify own support mechanisms and access as necessary.</p>

ACE- Skilled People	
<p>ACE-Skilled people are ACE-Informed but also have detailed and comprehensive knowledge and skills around being ACE-Informed. They can critically appraise issues and use skills and knowledge to support people.</p>	
Knowledge	Skills/behaviours
<p>Understand the neurological impact of ACEs across the life course and how to respond to individuals demonstrating signs and symptoms of trauma and adversity, including ACEs</p> <p>Understand the types of situations that could be triggers of distressing memories of ACEs / trauma and/or associated feelings.</p>	<p>Demonstrate effective relational skills including compassion and understanding in every interaction.</p> <p>Recognise indicators of ACEs throughout the life course. Look beyond symptoms and behaviours and respond appropriately through consistency and conscious action.</p>

<p>Knowledge of what protects people affected by ACEs from the impact of trauma including:</p> <ul style="list-style-type: none"> • Safe, sustaining and supportive relationships • Supportive and understanding community and social networks • Practical problem-solving skills and ability to regulate emotions • Compassionate, consistent and supportive responses from professionals • Supportive, therapeutic or safeguarding services. <p>Knowledge of techniques / approaches that support people towards empowerment to build on own strengths, skills and resources to live a personally valued, connected life.</p> <p>Understand own role in preventing, mitigating the impact of, and responding to ACEs including own role working with people to build protective factors and resilience.</p> <p>Knowledge of secondary trauma, the importance of self-care and of the personal support mechanisms available to them within their setting (e.g. supervision within their organisation).</p> <p>Understand the importance of reflective practice to support self-care and continuous improvement in relation to own practice.</p>	<p>Effectively respond to individuals demonstrating signs and symptoms of ACEs / trauma to reduce the potential of re-traumatisation.</p> <p>Apply an appropriate approach / psychological framework to support empowerment (e.g. emotional coaching, ABC technique).</p> <p>Reflect on and demonstrate own role in preventing, mitigating the impact of and responding to ACEs.</p> <p>Identify own support mechanisms and access as necessary.</p> <p>Contribute to continuous improvement in relation to own practice.</p>
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Influencers	
<p>Influencers are people with a leadership and/or a strategic role. They are ACE-Informed, enable others to become ACE-Informed and ACE-Skilled and ensure appropriate workforce support is available and accessed. They ensure an ACE-informed approach to managing services and teams. Most importantly, they set a culture that acknowledges ACEs as a public service issue, requiring a quality response.</p>	
Knowledge	Skills/behaviours

<p>Understand what it means to be ACE-informed, as an individual, a manager, a leader, a team and an organisation.</p> <p>Understand the management and leadership qualities required of those who are ACE-informed.</p> <p>Understand the coordinated response required to mitigate the impact of ACEs and the importance of having ACE-informed organisational culture and systems.</p> <p>Understand how to have an ACE-informed approach underpinning the strategic direction of the service/team/organisation etc.</p> <p>Understand how to apply an ACE-informed approach to service design, development, monitoring and evaluation.</p> <p>Understand how to support the workforce.</p>	<p>Model ACE-informed principles of safety, trustworthiness, choice, collaboration and empowerment in the day-to-day work setting.</p> <p>Demonstrate open, transparent and collaborative leadership.</p> <p>Adopt an ACE-informed approach to setting the organisational culture that values safety, trustworthiness, choice, collaboration and empowerment.</p> <p>Apply an ACE-informed approach to developing and implementing policies and processes and in designing, developing, monitoring and evaluating services.</p> <p>Develop and implement ACE-informed policies and processes that lead and support staff in taking an ACE-informed approach.</p> <p>Demonstrate an ability to plan an ACE-informed strategic direction for the service/ team/ organisation.</p> <p>Prioritises an ACE-informed approach, recognising the needs of people who maybe have been affected by ACEs (trauma and adversity)</p> <p>Demonstrates a commitment to effective monitoring and evaluation; ensuring evidence generating practice and quality assurance of ACE-informed approach.</p> <p>Provides adequate resources and appropriate support for staff including access to coaching or supervision and protected reflective practice time.</p>
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Appendix 3a. EQUALITIES IMPACT SCREENING FORM v2017-18 (THIS REPORT)

Please ensure that you refer to the Screening Form Guidance while completing this form. If you would like further guidance please contact the Access to Services team (see guidance for details).

Section 1	
Which service area and directorate are you from?	
Service Area:	Social Services and Education
Directorate:	People

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

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

(b) Please name and describe here:

Report of the People Policy Development Committee to Cabinet - Adverse Childhood Experiences.

Adverse Childhood Experiences (ACE's) is a new national framework aimed at helping all public services in Wales address the present and future well-being and safety needs of Children, Young People and Adults. This report by the Chair of the People Policy Development Committee as product of the workplan - 2018/19, and as a summary of the work undertaken on Adverse Childhood Experiences (ACEs).

Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery	Indirect front line service delivery	Indirect back room service delivery
<input type="checkbox"/> (H)	<input 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 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input 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"/>
Gender reassignment	→	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language	→	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	→	<input type="checkbox"/>	<input checked="" 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"/>
Community cohesion	→	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input 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"/>

Q4 WHAT ENGAGEMENT / CONSULTATION / CO-PRODUCTIVE APPROACHES WILL YOU UNDERTAKE?

Please provide details below – either of your planned activities or your reasons for not undertaking engagement

Swansea Council was generally ‘ACE informed’ and working towards a shared strengths based, resilience building approach to be informed by an integrated well-being strategy for children and young people (in draft).

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

High visibility <input type="checkbox"/> (H)	Medium visibility <input checked="" type="checkbox"/> (M)	Low visibility <input type="checkbox"/> (L)
---	--	--

(b) WHAT IS THE POTENTIAL RISK TO THE COUNCIL’S REPUTATION?
(Consider the following impacts – legal, financial, political, media, public perception etc...)

High risk <input type="checkbox"/> (H)	Medium risk <input type="checkbox"/> (M)	Low risk <input checked="" type="checkbox"/> (L)
---	---	---

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

Yes No If yes, please provide details below

Q7 HOW DID YOU SCORE?
Please tick the relevant box

MOSTLY H and/or M → **HIGH PRIORITY** → EIA to be completed
Please go to Section 2

MOSTLY L → **LOW PRIORITY / NOT RELEVANT** → Do not complete EIA
Please go to Q8 followed by Section 2

Q8 If you determine that this initiative is not relevant for an EIA report, you must provide a full explanation here. Please ensure that you cover all of the relevant protected groups.

Adverse Childhood Experiences (ACEs) framework aims to improve social inclusion and to reduce impact that of adverse childhood experiences have when citizens engage with public organisations. Some citizens with protected characteristic may have had adverse childhood experiences. In order to incorporate ACE awareness, an Equalities Impact Assessment would have to be carried out on the Integrated Wellbeing strategy for children and young people (Appendix 1), when approved, and on any significant changes to current policy to incorporate ACEs awareness.

Section 2

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email – no electronic signatures or paper copies are needed.

Screening completed by:	
Name:	Simon Jones
Job title:	Social Services Strategy and Performance Improvement Officer
Date:	18/10/2018
Approval by Head of Service:	
Name:	Mark Sheridan
Position:	Head of Vulnerable Learner Service
Date:	October 2018

Please return the completed form to accesstoservices@swansea.gov.uk

3b) EQUALITIES IMPACT SCREENING FORM v2017-18 (DRAFT INTEGRATED WELLBEING STRATEGY FOR CHILDREN & YOUNG PEOPLE IN SWANSEA)

Please ensure that you refer to the Screening Form Guidance while completing this form. If you would like further guidance please contact the Access to Services team (see guidance for details).

Section 1
Which service area and directorate are you from?
Service Area: Vulnerable Learner Service
Directorate: Education

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

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

(b) Please name and describe here:
Integrated Well-being Strategy for Children and Young People

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 checked="" type="checkbox"/> (H)	<input type="checkbox"/> (M)	<input type="checkbox"/> (M)	<input type="checkbox"/> (L)

Q3 WHAT IS THE POTENTIAL IMPACT ON THE FOLLOWING...

	High Impact (H)	Medium Impact (M)	Low Impact (L)	Don't know (H)
Children/young people (0-18) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+) →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Any other age group →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment →	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language →	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers) →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion →	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q4 WHAT ENGAGEMENT / CONSULTATION / CO-PRODUCTIVE APPROACHES WILL YOU UNDERTAKE?

Please provide details below – either of your planned activities or your reasons for not undertaking engagement

The policy will be subject to consultation which will include the voice of learners, parents and carers and key partners such as Health and Social Services as well as the third sector.

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

High visibility <input type="checkbox"/> (H)	Medium visibility <input checked="" type="checkbox"/> (M)	Low visibility <input type="checkbox"/> (L)
---	--	--

**(b) WHAT IS THE POTENTIAL RISK TO THE COUNCIL'S REPUTATION?
(Consider the following impacts – legal, financial, political, media, public perception etc...)**

High risk <input type="checkbox"/> (H)	Medium risk <input checked="" type="checkbox"/> (M)	Low risk <input type="checkbox"/> (L)
---	--	--

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

Yes

No

If yes, please provide details below

The Strategy is underpinned by the concept of integrated working particularly between Education, Social Services Child and Family Services and early help and prevention services.

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 an EIA report, you must provide a full explanation here. Please ensure that you cover all of the relevant protected groups.

Section 2

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email – no electronic signatures or paper copies are needed.

Screening completed by:
Name: Mark Sheridan
Job title: Head of Vulnerable Learner Service
Date: 06 November 2018
Approval by Head of Service:
Name:
Position:
Date:

Please return the completed form to accesstoservices@swansea.gov.uk

Agenda Item 8.



Report of the Chair of the Economy and Infrastructure Policy Development Committee

Cabinet – 17 January 2019

Co-operative Housing

Purpose:	The report provides an update on the work undertaken to date by the Economy and Infrastructure Policy Development Committee supporting future Co-operative Housing initiatives and asks for approval of the policy.
Policy Framework:	Council Constitution.
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that: 1) Cabinet approves the Policy; 2) Cabinet approves any subsequent perusal of future expressions of interest resulting from its publication.
Report Author:	Geoff Bacon
Finance Officers:	Jayne James / Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Catherine Window

1. Introduction

- 1.1 The 2016 Welsh Government has made a commitment to build 20,000 homes during the lifetime of the Government. It has made a housing pact with Community Housing Cymru, the trade body for housing associations in Wales and the Welsh Local Government Association about how to do this.

The pact includes potential development of Co-Operative Housing. The Welsh Government provides some capital funding for the development of affordable rented housing and low cost home ownership products, and is further exploring its loan (as opposed to grant) funding programmes to enable available funding to go further.

What this means is that viable co-operative and community-led housing schemes of a variety of types and tenures are likely to receive Welsh Government support.

Swansea Council is committed to playing a role in supporting such developments within the county as per the current Corporate Plan and Manifesto commitments. See **Appendix A** - Summary paper submitted to PDC on 8th March 2018.

2. Activity to Date

- 2.1 Swansea Council has consulted with the Wales Cooperative Centre, and local social housing landlords on the introduction of such a policy. All parties have welcomed the idea and if approved would be the first in Wales which could be used as a best practice document.
- 2.2 There has been a recent approach from a small public group who have expressed an interest in setting up a 'Grass Roots' community led scheme on Council owned land. Discussions are continuing.

3. Draft Co-Operative Housing Policy

- 3.1 A policy has been drafted (**Appendix B**) to set the parameters around how Swansea Council will offer support to Co-Operative proposals.

4. Equality and Engagement Implications

- 4.1 The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:
 - Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

- 4.2 An EIA has been carried out for this project and is attached as **Appendix C**. The impact has been determined as low priority and as such, a full EIA is not required at this stage. If approved by Cabinet, we will seek advice

from the Access to Services Team as each public expression of interest is received.

All submissions will need to demonstrate consideration of equity amongst the community concerned, treating people fairly, according to their needs.

5. Legal Implications

5.1 There are no legal implications associated with this report.

6. Financial Implications

6.1 There are no financial implications associated with this report.

Background Papers: 'None'

Appendices:

Appendix A: Summary Report to PDC – 8th March 2018

Appendix B: Draft Co-Operative Housing Policy

Appendix C: EIA Screening Form



Report of the Director of Place

Economy & Infrastructure Policy Development and Delivery Committee –
8th March 2018

Swansea Council Co-Operative Housing

Purpose: The report provides a summary of information and opportunities on Co-Operative Housing.

Report Author: Geoff Bacon

Finance Officer: Jayne James

Legal Officer: Tracey Meredith

Access to
Services
Officer: Ann Smith

For Information

1. What is Co-Operative Housing?

Co-operative housing is about communities having democratic control over the decision-making of their homes, neighbourhoods and communities. There are many different forms of co-operative housing – that could apply to all forms of housing tenure (i.e. home ownership, shared ownership or rented housing – either at market or affordable rents). But in all forms of co-operative housing:

- There is a democratic community membership of a housing organisation where all members have an equal nominal share of usually £1 giving them the right to vote on matters affecting the co-op.
- The co-operative housing organisation has control over the homes in some way, and in some cases, collectively own and manage them.

2. Why do people live in Co-operative Housing?

Research has shown that where communities control their homes co-operatively, strong communities form and the members and residents in co-operative housing are usually more satisfied than in other forms of housing. They often make good common sense decisions and they operate as strong community businesses.

Co-operative housing is for people who either want to live in a community and have a local community support network around them or for people who support a community ethos – i.e. that local communities should be able to take decisions about their homes. Co-operative housing is also about local people coming together to share their housing costs, usually making the housing more affordable for all.

There are 7 key principles of Co-operative housing:

- Voluntary and open membership
- Member economic participation
- Democratic member control
- Autonomy and independence
- Education, training and information
- Co-operation amongst co-ops
- Concern for community

3. Who is it for?

Co-operative and Community-Led Housing (CCLH) can be for everyone:

- For people on different income levels
- For particular groups of people
- For different tenures (i.e. renting, owning or asset sharing)
- For building new homes or buying and adapting existing residential or other buildings.
- For managing existing homes, with the possibility of ownership.

Developing housing schemes take time. People involved may have to devote several years from when they have the initial idea of a scheme to when people move into new homes.

But the rewards are high. People who have been involved in developing new CCLH rarely regret it. There are fantastic new CCLH schemes being developed all over the country.

4. How are schemes developed?

There are three general ways that Co-operative schemes are developed, all three of which can produce strong outcomes:

4.1 Grass Roots

A group of people come together to make it happen.

- Some of the strongest co-operative and community-led housing organisations have been developed by grass roots communities coming together to make things happen.
- A community group taking the responsibility to tackle the challenges leads to bonds being formed in the group that can lead to a strong community.
- The community group taking the lead means that it will have more control over decisions about what homes are developed.
- However, it can be very challenging doing things this way and it relies on there being some particularly driven individuals being involved.
- It can take a long time to make it happen and a number of challenges will need to be overcome although various support is available.
- A community group developing a CCLH scheme will usually want to get local authority support.
- A community group developing a CCLH scheme could make things easier by working with a housing association or some other developer. However, this might bring challenges around who has overall control of the homes developed.
- A community group that wants to take the responsibility for developing a CCLH scheme may find guidance produced by locality particularly useful. They may also be able to get advice from other national support organisations and from existing CCLH organisations.

Examples of grass roots include:

- Lilac, Leeds
- Ashley Vale, Bristol
- Cohousing, Lancaster

4.2 Existing Community Organisations

An existing housing co-operative, development trust or another community organisation develops a CCLH scheme:

- An existing community organisation may decide it wants to develop CCLH. A housing co-op or a tenant management organisation may want to increase the number of homes available. A development trust or another community organisation may want to extend what it does for its local community and create a stable rental income.

- Existing community organisations may employ staff who will be able to assist in progressing a CCLH scheme. Housing co-ops or Tenant Managed Organisations (TMOs) who buy services from service providers may be able to get assistance through them.
- An existing community organisation developing a CCLH scheme can extend their community-led ethos to the new homes. They will also have a track record of community-led governance and potentially, assets that can be used.
- An existing community organisation developing a CCLH scheme will usually want to get local authority support.
- An existing community organisation developing a CCLH scheme may choose to work with a housing association or some other developer, but this might bring different challenges.
- Existing Community Organisations that want to take the responsibility for developing a CCLH scheme will find guidance and guidance produced by locality particularly useful.

Examples of existing community organisations include:

- Bushbury Arms, Wolverhampton
- Marlfield, Redditch
- Langrove Co-op, Merseyside

4.3 Top Down meets Bottom Up

A local authority, housing association or other organisation decide to set up a CCLH scheme and recruit the founder members as homes are developed:

- A local authority, housing association, another organisation, and/or a combination of these organisations may decide that it wishes to set up a CCLH scheme.
- The partners involved can decide that a housing scheme it is developing will be CCLH. This is how most of the UK's CCLH schemes were developed.
- This approach means that the initiating organisation has to recruit and develop founder members to form a CCLH group during the development period.
- It also means that the organisation needs to be prepared to enable the CCLH group to take power over decision-making about how the housing will be managed.
- If done right, this method of developing CCLH can lead to value for money management as well as provide considerable benefits for the community housed.
- This approach leads to individuals participating who otherwise might not get to hear about, or be interested in CCLH options.

Examples of top down meets bottom up include:

- Old Oak Housing Co-op, Carmarthen
- Overton Road Group, Preston

It is the latter of the three options that appeals to Swansea Council as an entry opportunity into Co-operative Housing and a site has been identified that is of relatively low value, not in the HRA and is able to provide the opportunity for considerable community development.

5. What Support is Available to Swansea Council?

The Welsh Government elected in 2016 has made a commitment to build 20,000 homes during the lifetime of the Government. It has made a housing pact with Community Housing Cymru, the trade body for housing associations in Wales and the Welsh Local Government Association about how to do this. The pact includes potential development of co-operative housing. The Welsh Government provides some capital funding for the development of affordable rented housing and low cost home ownership products, and is further exploring its loan (as opposed to grant) funding programmes to enable available funding to go further.

The Welsh Government introduced a co-operative housing programme in 2012 which supported the development of a number of schemes and have renewed their support for the programme under the 2016 Government. This programme has provided flexible revenue funding to develop co-operative and community-led housing schemes through the Wales Co-operative Centre and capital funding through its mainstream programmes.

What this means is that viable co-operative and community-led housing schemes of a variety of types and tenures are likely to receive Welsh Government support.

Local Authorities can play a particularly important role in supporting CCLH and some have developed specific strategies to do so. The Co-operative Council's Innovation Network is currently implementing a Housing Commission to explore how local authority support could be more widely available to CCLH. So it may be possible to get some resource and other national, regional or Local Government support in the UK for co-operative and community-led housing, however, getting support may be dependent on a number of local or other factors.

Associations currently supporting interested parties in Wales through the process include:

- Confederation of Co-operative Housing: The UK organisation for housing co-operatives, tenant-controlled housing organisations and regional federations. www.cch.coop.

- Wales Co-operative Centre: a co-operative development agency working across Wales to promote social, financial and digital inclusion through a range of projects. www.walescooperative.org.

6. What can Swansea Council offer to its Citizens?

As an entry point, the model of most interest to Swansea is Top Down, Bottom Up, working with a social landlord to gain experience along the way. Swansea Council has explored a recent venture with Pobl and Carmarthenshire Council and Pobl has been extremely helpful, providing the team with a large amount of useful knowledge and experience.

This would be a great learning path, utilising experts who have already delivered a housing co-operative. Staff from Swansea Council could shadow such a process, bringing skills in-house for future projects.

Working at grass roots level provides a more bespoke offering and each proposal would have to be given specific consideration, depending on the concept presented.

The opportunity to set up co-operative via existing community organisations is attractive and could be considered at a later date, once expertise has been gained working with a third party. This model could be used to encourage better community engagement in existing Council tenant communities.

For any option to progress, the proposal would have to affiliate itself with the Council's manifesto commitments, the Corporate Plan and well-being objectives.

The Wales Co-operative Centre and the Confederation of Co-operative Housing offer great expertise and have already visited Swansea Council for an initial information sharing meeting. Both could support any initial proposal to introduce Co-operative Housing to Swansea by means of previous experience; getting started, the policy context, making a visible scheme, developing a sustainable community group, developing the vision, creating policies and procedures, supporting new developments, helping with management and legal structures.

Other areas of support they can provide include:

- Access to expertise and advice about co-operative housing.
- Skills development and training opportunities for members of co-operative housing schemes.
- Supplying networking opportunities and sharing good practice.
- Producing research that can inform the development of co-operative housing schemes.

- Developing guidance for future co-operative schemes.

7. Next Stages

- Gain internal opinion on first pilot approach – ‘top down bottom up’ – decide on registered social landlord partner and location.
- Create a Council policy on Co-Operative Housing.

8. Equality and Engagement Implications

An initial EIA screening form was completed (**Appendix A**). There is no requirement for a full EIA form to be completed at this stage as no policy has yet been formulated and any likely implications are unknown.

9. Financial Implications

There are no financial implications associated with this report.

10. Legal Implications

There are no legal implications associated with this report.

For Information

Background papers: None

Appendix A: EIA Document



Co-Operative Housing Policy

Contents

1. Introduction
2. Definition
3. Policy Statement
4. Scope
5. Review & Monitoring
6. References

1. Introduction

The 2016 Welsh Government made a commitment to build 20,000 homes during the lifetime of the Government.

It has made a housing pact with Community Housing Cymru, the trade body for housing associations in Wales and the Welsh Local Government Association about how to do this.

The pact includes potential development of co-operative housing. The Welsh Government provides some capital funding for the development of affordable rented housing and low cost home ownership products and is further exploring its loan (as opposed to grant) funding programmes to enable available funding to go further.

What this means is that viable co-operative and community-led housing schemes of a variety of types and tenures are likely to receive Welsh Government support.

Swansea Council is committed to playing a role in supporting such developments within the area.

2. Definition

A Co-operative is an autonomous association of persons united voluntarily to meet their common economic, social and cultural needs and aspirations through a jointly-owned and democratically-controlled enterprise.

Cooperative Values

Co-operatives are based on the values of self-help, self-responsibility, democracy, equality, equity and solidarity. In the tradition of their founders, co-operative members believe in the ethical values of honesty, openness, social responsibility and caring for others.

The 7 Co-operative principles are guidelines by which Co-operatives put their values into practice.

1. Voluntary & Open Membership
Co-operatives are voluntary organisations, open to all persons able to use their services and willing to accept the responsibilities of membership, without gender, social, racial, political or religious discrimination.
2. Democratic Member Control
Co-operatives are democratic organisations controlled by their members, who actively participate in setting their policies and making decisions. Men and women serving as elected representatives are accountable to the membership. In primary co-operatives, members have equal voting rights (one member, one vote) and co-operatives at other levels are also organised in a democratic manner.
3. Member Economic Participation
Members contribute equitably to, and democratically control, the capital of their co-operative. At least part of that capital is usually the common property of the co-operative. Members usually receive limited, if any, compensation on capital subscribed as a condition of membership. Members allocate surpluses for any or all of the following purposes: developing their co-operative, possibly by setting up reserves, part of which at least would be indivisible; benefiting members in proportion to their transactions with the co-operative; and supporting other activities approved by the membership.
4. Autonomy & Independence
Co-operatives are autonomous, self-help organisations controlled by their members. If they enter into agreements with other organisations, including governments, or raise capital from external sources, they do so on terms that ensure

democratic control by their members and maintain their co-operative autonomy.

5. Education, Training & Information
Co-operatives provide education and training for their members, elected representatives, managers and employees so they can contribute effectively to the development of their co-operatives. They inform the general public, particularly young people and opinion leaders, about the nature and benefits of co-operation.
6. Co-operation amongst co-operatives
Co-operatives serve their members most effectively and strengthen the co-operative movement by working together through local, national, regional and international structures.
7. Concern for Community
Co-operatives work for the sustainable development of their communities through policies approved by their members.

3. Policy Statement

Swansea Council will consider supporting Co-operative housing proposals on individual merit. Proposals must demonstrate the values stated above and must affiliate with the council's manifesto commitments, the corporate plan and well-being objectives.

In particular this policy supports the commitment to a key step in the delivery of the 'Transforming our Economy & Infrastructure' wellbeing objective within the 2017/22 Corporate Plan.

'Progress strategic housing and mixed development sites to meet housing need and provide employment'

Co-operative and Community-Led Housing (CCLH) proposals can be for everyone:

- For people on different income levels,
- For particular groups of people,
- For different tenures (ie renting, owning or asset sharing),
- For building new homes or buying and adapting existing residential or other buildings,
- For managing existing homes, with the possibility of ownership.

Swansea is an urban area with high housing demand. Swansea Council retains its housing stock and is actively building new council homes.

The top three local housing market challenges are:

- Rising house prices and rents,
- Reduction in numbers of affordable homes being built,
- Affordability for first time home buyers.

Swansea council is eager to address some of these challenges through this policy.

4. Scope

Community led housing gives local residents the opportunity to get involved in addressing the housing needs in their area and assisting the council to bring forward new market and affordable housing schemes.

Swansea Council believes that decent affordable homes are the foundation of a successful city and the most effective way of addressing inequalities in the city. The Corporate Plan commits to 'Progress strategic housing and mixed development sites to meet housing need and provide employment'

One of the measures to achieve this is to support Community Development Trusts (CLTs), local builders and self-builders on identified Council and private sites, to build more homes appropriate to the neighbourhood, creating more mixed and balanced communities.

There are three general ways that Co-operative schemes can be developed, all three of which can produce strong outcomes:

Grass Roots

Where a group of people come together to make it happen.

Existing Community Organisations

Where an existing housing co-operative, development trust or another community organisation develops a CCLH scheme.

Top Down meets Bottom Up

A local authority, housing association or other organisation decide to set up a CCLH scheme and recruit the founder members as homes are developed.

Swansea Council welcomes proposals for any of these options.

Proposals need to be put in writing to:

Head of Property Services
Swansea Council
Oystermouth Road
Swansea
SA1 3SN

All submissions will need to demonstrate consideration of equity amongst the community concerned, treating people fairly, according to their needs.

5. Review & Monitoring

The Council will monitor the application of this policy and has discretion to review it at any time through the appropriate consultation mechanisms.

Responsibility for the implementation, monitoring and development of this policy lies with the Head of Corporate Property Services. Day to day operation of the policy is the responsibility of nominated officers who will ensure that this policy is adhered to.

6. Reference

Confederation of Co-operative Housing: The UK organisation for housing co-operatives, tenant-controlled housing organisations and regional federations. www.cch.coop

Wales Co-operative Centre: a co-operative development agency working across Wales to promote social, financial and digital inclusion through a range of projects. www.walescooperative.org

Swansea Council Corporate Plan & Well-being Objectives:
<https://www.swansea.gov.uk/corporateimprovementplan>

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: Property

Directorate: Place

Q1(a) WHAT ARE YOU SCREENING FOR RELEVANCE?

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

(b) Please name and describe below

Consideration of creating and publishing a Swansea Council Co-operative Housing Policy. This would set parameters for the public to express an interest in setting up a Housing Co-operative requiring support from Swansea Council

Q2(a) WHAT DOES Q1a RELATE TO?

Direct front line service delivery	Indirect front line service delivery	Indirect back room service delivery
<input type="checkbox"/> (H)	<input 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 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"/>	<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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Equality Impact Assessment Screening Form

Q4 HAVE YOU / WILL YOU UNDERTAKE ANY PUBLIC CONSULTATION AND ENGAGEMENT RELATING TO THE INITIATIVE?

- YES NO (If NO, you need to consider whether you should be undertaking consultation and engagement – please see the guidance)

If yes, please provide details below

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

High visibility <input type="checkbox"/> (H)	Medium visibility <input checked="" type="checkbox"/> (M)	Low visibility <input type="checkbox"/> (L)
---	--	--

(b) WHAT IS THE POTENTIAL RISK TO THE COUNCIL'S REPUTATION?
(Consider the following impacts – legal, financial, political, media, public perception etc...)

High risk <input type="checkbox"/> (H)	Medium risk <input type="checkbox"/> (M)	Low risk <input checked="" type="checkbox"/> (L)
---	---	---

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

- Yes No If yes, please provide details below

Potentially will link into Housing but they will be involved in the process if matters proceed

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.

At this stage consideration is being given to approval of a Swansea council policy. If approved by cabinet, we will seek advice from the Access to Services Team as each public expression of interest is received.

Section 2

NB: Please email this completed form to the Access to Services Team for agreement before obtaining approval from your Head of Service. Head of Service approval is only required via email – no electronic signatures or paper copies are needed.

Screening completed by:

Equality Impact Assessment Screening Form

Name: Geoff Bacon
Job title: Head of Property
Date: 22/11/18
Approval by Head of Service:
Name: Geoff Bacon
Position: Head of Property
Date: 22/11/18

Please return the completed form to accesstoservices@swansea.gov.uk

Agenda Item 9.



Report of the Cabinet Member for Business, Transformation & Performance

Cabinet – 17 January 2019

Corporate Complaints Annual Report 2017-18

Purpose:	<p>To report on the number, nature and outcome of complaints made against the Authority, together with details of lessons learned and service improvements.</p> <p>The following reports have been prepared separately in conjunction with this report, and are appended for information purposes:</p> <ul style="list-style-type: none">• 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:	Julie Nicholas-Humphreys
Finance Officer:	Janet Morgan
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar
For Information	

1. Introduction

- 1.1 Swansea Council 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 1069 service requests have been dealt with by the complaints team during 2017-2018, representing a 7% decrease on the previous year’s figures and reflects the good work being undertaken with service areas such as Waste to reduce any issues.

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. 89% of complaints were responded to within this timescale, in comparison to 86% the previous year.

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 **1494** Stage 1 complaints received, **652** (44%) 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 **0.4%** 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).

3.4.4 Of the 1494 Stage 1 Complaints received only **100** disagreed with the original investigation and appealed to Stage 2. In **24** of those, it was deemed that their appeal was justified (13) or partially justified (11). The remaining 76 were not justified in requesting an appeal.

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 2017-2018. This table also shows the number of enquiries received by the complaints team which were referred to service departments as service requests. Although the number of enquires have increased Waste Management it is believed that the new fleet of vehicles being purchased at the end of this financial year will assist in mitigating some of the issues that were presented.

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.

- 5.3 Appendix 1 (Table 2) provides the total enquiries received by the Complaints Team, which includes both complaints, requests for service and comments, which is up 8% on the previous year.

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 Swansea Council for 2017/18 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 **62** complaints to the Ombudsman up 23% on last year (there were **54** cases in 2016/17). Of the total complaints received by the Ombudsman this year, 1 was upheld, 1 was not upheld, 10 were resolved by quick fix/voluntary settlement and all the others were either out of their jurisdiction, premature, or closed after initial consideration. There were no s16 Public Interest Reports during this year.

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
- 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. No actions were reported to Audit this year.

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. A selection are highlighted for the staff newsletter, The Weekly. 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 **12** 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 .

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 1300 FOI requests were received for the year 2017-18. This is slightly higher than the previous year (by 75 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 61 Subject Access requests were received this year, which is lower by 1 on the previous year.

9.3.2 Detailed analysis of both FOI & Subject Access requests can be found in the Freedom of Information Annual Report 2017-2018 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 2017-2018 at **Appendix 5**.

10. Conclusion

10.1 Whilst the resource levels are reducing, the demand continues to grow year on year. The total number of Complaints & Requests for Service handled by the team has risen by 7% on last year, and the number of requests for information continues to be very high. It is worth noting however, based on the statistical evidence provided that there are no trends to cause concern.

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.

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 0.4% 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 Annual Report - statistical Data
Appendix 2 - Adult Social Services Complaints Annual Report 2017/18;
Appendix 3 - Children's Services Complaints Annual Report 2017/18;
Appendix 4 - Freedom of Information Act (FOI) Annual Report 2017/18;
Appendix 5 - Regulation of Investigatory Powers Act (RIPA) Annual Report 2017/18.

Corporate Complaints Annual Report - Statistical data

TABLE 1: Complaints recorded from 1 April 2017 to 31 March 2018 by Service Department					
Service Area	Stage 1 Complaints	Stage 2 Complaints	Requests for Service	Comments	TOTALS
Commercial Services	1	0	0	0	1 =
Communications & Customer Engagement	43	3	2	9	57 +
Corporate Building & Property Services	105	9	56	7	178 -
Cultural Services	48	7	46	23	124 -
Economic Regeneration & Planning	66	13	23	5	107 +
Education	20	1	3	3	27 -
Financial Services	57	7	95	2	161 -
Highways & Transportation	279	17	244	34	574 -
Housing & Public Protection	213	29	187	9	438 =
HR & OD	9	0	8	1	18 -
Information & Business Change	1	1	2	4	8 +
Legal & Democratic Services	7	2	7	4	20 -
Poverty, Wellbeing & Communities	2	0	0	0	2 -
Social Services Corporate	48	1	47	3	99 =
Waste Management & Parks	639	10	349	49	1047 +
Totals	1538	95	1069	153	2855

TABLE 2: Comparison of total enquiries received with the Previous Year			
	1 April 2016 to 31 March 2017	1 April 2017 to 31 March 2018	Difference (+ or -)
Stage 1	1147	1538	+391
Stage 2	115	95	-20
Requests for Service	1146	1069	-77
Comments	236	153	-83
Total	2639	2885	+211

TABLE 3: Examples of compliments received across different service areas	
Service Area	Compliment
Commercial Services	The High 5 awards ceremony once again achieved its aim. To witness the young people and their guests enjoying the event and their pride and pleasure when they were declared a winner endorsed my commitment to the event. Thank you for your hard work and support.
Cultural Services – Central Library	<p>Not just the service - but the setting! Spacious spaces, light and airy, overlooking the beautiful Swansea Bay; it is very well furnished, with many comfortable, and secluded corners, if desired, for study; a large car park, so important; access to food and drink in the cafe, combining also access to other essential information and services provided by council staff.</p> <p>Just received a detailed response to a research enquiry from Swansea Library with on-line links and the offer of further assistance. Fantastic service!</p> <p>I've used many libraries in various parts of the UK - this one must be the best</p>

Fforestfach Library	This summer the library put on quite a few children's events. They were put together well and an excellent idea with all the staff doing a great job
Gorseinon Library	Staff always very helpful, pleasant and polite - always cheerful, friendly and so helpful
Brangwyn Hall	I am writing to express our sincere thanks to all the Brangwyn Hall staff who worked last Sunday at the Swansea Primary Schools' Music Festival. From the feedback we have received from everyone who took part, it appears the Festival was an overwhelming success
Corporate Building Services	<p>I had 2 plasterers here at (address supplied). They have been fantastic done an amazing job and left it very tidy and clean here. They were also very polite and helpful</p> <p>I have had 2 carpenters working here which are fantastic. They have worked hard and been very helpful, left the place lovely and tidy</p>
Customer Services	<p>I must thank you both for your prompt replies. Prompt replies can be rare in public bodies, so well done to both SJL & L</p> <p>they were really impressed with the service they received in the contact centre in particular the way JG helped them with their interview for a blue badge application</p> <p>The service received was excellent and surpassed my expectations. The call handler (MJ) was helpful and sympathetic while the gutter was fixed before lunch and the drain later in the afternoon! Superb service!</p> <p>HD took it upon herself to make a difference, made calls to transport department to assist my application, brought forms and even a pen to me by child play area and came back to me when completed. Even brought camera over to take my sons photo in situ</p> <p>Customer wanted to pass on feedback today. She saw our Rachel today and thought she was excellent and very helpful with her query today. She also wanted to say that whenever she has visited the contact centre she has been impressed with the level of service and how helpful the staff are.</p>

	<p>Could you please pass on our thanks to the member of staff that handled my call today. Very polite, professional and most helpful.</p>
<p>Education</p>	<p>Mrs C A, listened to me, tried to solve the issue, and gave me the best solution, and notified me with detailed email. Thank you</p>
<p>Highways & Transportation</p>	<p>I would like to send my appreciation for the first class service received. I filled in the on line form at just before 5pm yesterday and had an acknowledgement at 5.05pm. I was amazed by the time that I had got home at approximately 6.15 pm to be told by my husband that a visit had already been made and that someone would be coming back that evening to make the street lamp safe. – re Street Lighting</p> <p>The speed your staff filled in a large pot hole in Edgemoor Close was brilliant.</p> <p>Many thanks for your prompt response to my report of a pothole in Gowerton, repair was carried out the following day. Well done to all of the team involved– re PATCH Team</p> <p>We would like to compliment the Council for the efforts made to keep our roads safe during the recent severe weather. In particular we were very impressed to see the lane between Llanrhidian and Welshmoor had been gritted. Thank you to Highways and all the staff who braved the cold.</p> <p>I've had my grumbles in the past about Swansea Council but fair play the roads have been gritted well so thanks to all involved</p> <p>I write to thank you and your colleagues for the recent work in the community on the roads around the school, to improve road safety for our children and parents as they walk to and from school. I am sure it will make a significant difference in the long term. – re Road Safety</p>

<p>Housing & Public Protection</p>	<p>I just wanted to say that the Council sometimes get a bad rap for not being helpful or ‘customer’ focused, but you were extremely polite, friendly and helpful on the phone and it’s good to know that there are still people out there that understand that this goes a long way. It was a pleasure to talk to you – re R Dowling, Housing</p> <p>He asked me to pass on his thanks to Big Al and the boys for all their hard work doing his garden, they were so polite, very good at their jobs and just got on with it with no problem, they didn’t stop. He even said that IMPRESSIVE was not even a word for the standard of work they done! And he didn’t realise that there were still people out there like this guys. - re Landlord Services</p> <p>I thought I’d let you know what a great job the boys did this morning in cutting back the overgrowth and clearing the leaves around the office. They have even cut back all the trees that were growing up the side of the building which hasn’t been done for years.- re Landlord Services</p> <p>Thank you so very much for a beautiful wedding ceremony which we will treasure forever. Everyone commented on how lovely it was and how special you made it. Many, many thanks again. – re Registration Services</p>
<p>Planning & City Regeneration</p>	<p>I am again heartened by your prompt replies and that my concerns have been listened to – re Countryside Access</p> <p>My thanks to you and your colleague .The path will be much safer now for another year. I know it is frequently used by many older people living in this area, The steep slope will be much easier for them to negotiate now. Thank you on their behalf. – re Countryside Access</p>
<p>Poverty & Prevention</p>	<p>Cards received from parent and grandparent of child who received full entitlement in Flying Start and were supported through the statutory assessment process. Cards read: “Words can’t express how grateful I am for all the help and support you have given” and “Thank you for all your help and support for my Daughter and Grandson” – re Flying Start</p>

	<p>Card sent by parent: "Thank you for everything you have done for me, I wouldn't be the mother I am today if it wasn't for you." – re Family Partnership Team</p> <p>I've been instructed by our client to offer you thanks for your diligent work over the period of the PIP application – our client wants me to thank you for the support you gave at this difficult time." - re Welfare Rights</p> <p>Text message re. support provided to a family: "A massive thank you again for putting the spark back in to my family life. This experience you have given us and made us whole again." – re EVOLVE</p> <p>It has been our privilege at X primary school to have you're stepping into play team working with our children and parents. Due to their commitment and enthusiasm it has been a huge success. We also appreciated their willingness to be part of our inspection week which left a massive impression with the inspectors. – re Playteam</p>
<p>Waste Management & Parks</p>	<p>We have seen the magnificent wild flower verges around Swansea and the Gower. They look glorious. I understand that your department are responsible for this excellent initiative</p> <p>Particularly we found the wild flowers along side the dual carriage ways and roundabouts, to be amazing. I don't know who did the planting but they should be given a hearty pat on the back for such a beautiful job that just added 'the icing on the cake' to a wonderful city</p> <p>Several friends from different parts of the UK have visited Swansea over the summer and have remarked on the flowers planted on roundabouts and verges and of course in parks. I thought I'd pass on the compliments ! re Parks</p> <p>Facebook - I have to admit that our bin men do an excellent job and are always courteous – re Waste</p> <p>Twitter - nice to see @ Swansea Council put my garden waste bags in a nice pile on my drive -</p>

	<p>good service- re Waste</p> <p>I just want to say what a lovely job has been done by the team in Craig Cefn Parc and Felindre. If there is the chance to have this service again we would be delighted to find some jobs!, such a lovely team of workers. Thank you to all involved. – re Cleansing</p> <p>I have used the recycling site at Llansamlet several times over the past few days, and each time. Was impressed by that courtesy and helpfulness of the staff. They should be commended. Additionally the site is very easy to access and seems to run very smoothly re Civic Amenity Site</p> <p>X called to compliment whoever did the refuse collection today at the above area. All the food waste bins were neatly stacked and any over spills had been cleared up with no rubbish in sight.</p>
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Report of the Cabinet Member for Business Transformation & Performance

Cabinet – 17 January 2019

**Adult Services Complaints
Annual Report 2017-2018**

Purpose:	To report on the operation of the Complaints Team in relation to Adult Services for the period 1 April 2017 to 31 March 2018.
Report Author:	Julie Nicholas-Humphreys
Finance Officer:	Janet Morgan
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar
For Information	

1.0 Introduction

- 1.1 Swansea Council's 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 . The legislation requires the reporting of additional information which has been incorporated into this report.
- 1.3 SC 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 28% in comparison with figures for the previous year.

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 91% of cases where complaints proceeded to conclusion, discussions took place within 10 working days, this was slightly down on the previous year at 94%.

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 7 complaints taken to Stage 2 in this reporting period.
- 4.8 **Summary of Stage 2 complaints**
- 4.9 **Case 1: Adult- Community & Intermediate Care Services**
- Unhappy with activities in supported lodging activities – Not upheld
- 4.10 **Case 2: Community Services Hub**
- Dissatisfaction with the assessment process. 5 of 6 complaints not upheld
1 partially upheld Client was not told that he could have a service or what any service secured would look like. However there was an implication that any service provided depended upon him not complaining any further.
- 4.11 **Case 3: Financial Assessments**
- Dissatisfaction with financial assessment which deemed that mother still had notional assets – Not upheld

4.12 **Case 4: Community Services Hub**

Dissatisfaction regarding accuracy re Direct Payment information. 7 of 9 complaints upheld, 1 of 9 partially upheld 1 of 9 not upheld

4.13 **Case 5: Community Support Team**

Adult services failed to provide a service which reflected the service user's assessment and carer's assessment
5 of 8 complaints upheld, 1 of 8 partially upheld 1 of 8 not upheld and 1 of 8 unable to make a finding

4.14 **Case 6: Community Support Team**

Issues over assessment and direct payments 4 of 6 complaint upheld,

2 not upheld, financial compensation was paid as did not receive direct payments in lieu of service

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 2017/18, containing details of cases where the Ombudsman has identified failures in service delivery by public bodies across Wales. Of the 7 cases reported to the Ombudsman there was only 1 case upheld with a finding 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. 34.5% of complaints were justified/partly justified this year, slightly up on last year (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 60 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 2017/18 for Adult & Directorate Services was **£14,860.00** (down £3,680 on the previous year)

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

Table 1 - Total number of complaints received by Complaint Team				
	Year	2015/16	2016/17	2017/18
Service Requests		6	29	27
Corporate		18	19	18
Stage 1		89	100	138
Stage 2		4	4	7
Stage 3		-	-	-
Ombudsman		4	5	7
Totals		121	157	197

Table 2 – Stage 1 Social Services complaints by Service Area	Total
Adult- Commissioning & Partnership	1
Adult- Community & Intermediate Care Services	2
Adult- Health & Home Care	1
Adult Safeguarding	1
Alexandra Road Respite Service	1
Care Home and Quality Team	8
Central Hub	9
Client Property and Finance	1
CMHT 1	2
CMHT 3	3
CMHT 4	1
Community Alarms	2
Community Services Hub	13
Community Support Team	6
Contracting	7
Cwmbwrla Day Service	2
Dcas Central Hub	10
Dcas North Hub	2
Dcas West Hub	2
Direct Payments	4
Financial Assessments	7
Financial Issues	5
Hospital social work team	2
Intake Team-CAP	2
Long Term Home Care Team	2
Long term care and complex team	2
Morrison Hospital	1
North Hub	22
Older People Community mental health	4
Older people, residential & day services	1
Parkway SNDS	1
Safeguarding	2
Singleton Hospital	2
Supported Care planning and learning disabilities	1
Ty Waunarwydd Residential Home	1

West Hub	7
Total number of Stage 1 SS complaints	138

Table 3 – Stage 2 Social Services complaints by Service Area		Total
Service	Outcome	ID
Community & Intermediate Care Services	Not Upheld	Case 1
Community Services Hub	5 out of 6 complaints not upheld, 1 partially upheld	Case 2
Financial Assessments	0 out of 2 complaints upheld	Case 3
Community Services Hub	7 out of 9 complaints upheld, 1 partially upheld, 1 not upheld	Case 4
Community Support Team	5 out of 8 complaints upheld, 1 partially upheld, 1 not upheld, 1 unable to make finding	Case 5
Community Support Team	4 out of 6 complaints upheld, 2 not upheld	Case 6

Table 5 – Examples of Compliments Received

Teams	Compliments Received
CAP	<ul style="list-style-type: none"> • You were very kind to us all, answering a barrage of difficult questions with utmost professionalism but more importantly compassion. You guided us through the system and process and took an enormous weight off our shoulders at a difficult and worrying time. We are all enormously grateful. • Thank you so much for the information, you and your department have been very helpful and it's greatly appreciated. • Thank you again for help. I really appreciate everything you have done so far for us. You have a really lovely manner about you and are definitely an asset to your team and the community you help to support.
Area 4	Thank you for all you did for my grandparents earlier in the year. I will never forget it and will always be grateful.
Community Alarms	Would like to thank the marvellous team at community alarms - lifeline. Ian in the office who was so helpful and pleasant when we phoned about a problem with my alarm and Steve Davies who has been so efficient, reassuring and kind in dealing with the fault and getting the alarm working properly . What an excellent service altogether
Community Equipment	X phoned wishing to compliment one of our drivers for the service he provided when delivering equipment to her mother. She mentioned that the same driver has been there on two occasions this week and, on both occasions, went “above & beyond the call of duty”. She was absolutely delighted with the promptness of our deliveries but, more important, with the courtesy and demeanour of the driver and assistant and the way they acted towards her mother-in-law.
CREST	I cannot thank you enough for all your help and support with my dad this year. It is such a difficult decision to make and you were so empathetic and professional throughout and also so kind to dad and myself.
Cwmbwrla OPMHT	We are both very grateful to you....it is so refreshing to meet a professional who understands the importance of not just person centred care but also relationship centred care. You captured the essence of mum as a person from a few occasions of meeting her when clinical staff had 7 weeks and still could

	not see what we were saying. A huge thank you from the bottom of our hearts.
West Cross Day Centre	The staff and clients just threw themselves into it – the staff were constantly encouraging their guys throughout. I saw other staff from other organisations just sitting around chatting and not doing very much with their service users but your team were great.
Home Care & OT's	I wouldn't have the confidence to do what I intend to do so thank you my wonderful rehab team I'm going to miss the morning giggles and all your words of encouragement but I think you gave me enough to last me a life time it's your care and encouragement that brought that shell that you said I was like, back to life
Hospital Social Work Team	<ul style="list-style-type: none"> • As X's previous residential home is no longer best placed to provide for her on-going needs, Sue has been heavily involved. Her personal and most approachable manner, her obvious treating of X's case as if it was the only one she currently has to think about (!) and her "will do" attitude have all been so refreshing and reassuring to each of us at what continues to be a very difficult and emotional time for X and her family. • Anna has been brilliant during this time. She has been so professional, patient and kind. She has been available on a daily basis constantly updating me either via email or phone. My cousin is not what you would describe an easy man to deal with and Anna has been calm and stoic with handling his behaviour. She has managed the situation with a great sense of humour and firmness. Anna has now secured a wonderful placement so that he can continue to convalesce and I am hoping he will continue to progress after his discharge today • I would like to thank you for your care and professionalism in looking out for Dad and for giving me terrific guidance in what has been a fast learning curve. The repercussions of your expert care have a positive impact further than you realise- much appreciated.
Bonymaen House	<ul style="list-style-type: none"> • You and your staff have given us our life back, and for that we are grateful to a degree that we can't put into words. Your service is outstanding, and the standards to which you work are superior to any we had encountered in previous months. We sincerely hope that you all will continue with the work that you do with passion, and with all your heart - and that is, probably, what makes the greatest difference of all! • In the letter he also said how wonderful the staff were to her, and that they thought it was like a 5* hotel. He said he can't believe we offer a service like that in Swansea and refers to it as "a credit to Council homes".

Report of the Cabinet Member for Business Transformation & Performance

Cabinet – 17 January 2019

**Children's Services Complaints
Annual Report 2017-2018**

Purpose:	To report on the operation of the Complaints Team in relation to Childrens Services for the period 1 April 2017 to 31 March 2018.
Report Author:	Julie Nicholas-Humphreys
Finance Officer:	Janet Morgan
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar
For Information	

1.0 Introduction

1.1 Swansea Council's 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 . The legislation requires the reporting of additional information which has been incorporated into this report.

SC Children's 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 79% of cases where complaints proceeded to conclusion, discussions took place within 10 working days, down 16% on the previous year.

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 7 complaints received in this reporting period that went to investigation at Stage 2.

4.9 **Summary of Stage 2 complaints**

Case 1 : Looked after children's team – complainant, family M

Various issues relating to contact, communication, delay in action and updates
8 of 36 complaints upheld, 4 of 36 complaints upheld, 21 of 36 not upheld 3 of 36 unable to make a finding.

Case 2: Swansea Valley Team – complainant, family L

4 of 10 complaints upheld, 4 of 10 complaints not upheld, 2 of 10 complaints partially upheld

Complaint related to handling of case by social worker and various disagreements regarding contact/communication and estranged partner

Case 3: Respite Care – complainant, family E

Lack of clarity re respite care. Assessment not shared. DP's not actioned. negative comments in the CP conference - SW reminded to provide clear guidance re respite. SW to be reminded of words in confidential reports. SW's to be reminded to follow up actions. SW's to be reminded of DPs when looking at options.

2 of 22 upheld, 4 of 22 partially justified, 4 of 22 unable to make a finding, 12 of 22 not upheld

Case 4: Complainant, family D

No further contact or confirmation made since request for Stage 2

Case 5: Corporate Complaint – complainant, Private Advisory Organisation

Not upheld

Case 6: Corporate Complaint – complainant, family O

Breach of confidentiality
£700 redress payment due to data breach;

Made up of:

£100 time & trouble
£600 distress caused

Case 7: Corporate Complaint – complainant, family F

Loss of data upheld, however claim for compensation rejected as complainant did not make any case about injustice / distress caused as result of loss.

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 2017/18, containing details of cases where the Ombudsman has identified failures in service delivery by public bodies across Wales. Three cases were referred to the Ombudsman this year however there have been no findings of maladministration 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. 48 complaints (22%) were found to be justified/partly justified this year, which is slightly higher than the equivalent figure for 2016/17 (19%) but below that of 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 Children's Services have received in excess of 40 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 2017/18 for Children's Services was **£12,724.49** (an increase of £9559.40 on the previous year)

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

Table 1 - Total number of complaints received by Complaint Team				
	Year	2015/16	2016/17	2017/18
Service Requests		18	16	20
Corporate		21	28	30
Social Services Stage 1		115	118	172
Social Services Stage 2		3	3	7
Ombudsman		5	4	3
Totals		162	169	232

Table 2 – Stage 1 Social Services complaints by Service Area	Total
Adopt Swansea	1
Bays	2
CCARAT-IAA	11
Child and Family general	2
Child Disability Team	10
Conference Chairing	3
Family Support	2
Foster Swansea	2
Friends & Family	3
IRO	2
LAC	7
LAC 14+	3
Penderry Team	11
Safeguarding Team	2
Safeguarding and well being	1
Swansea East Team	14
Swansea Valley Team	34
Swansea West Team	27
Townhill Team	28
Unknown	6
Western Bay Adoption Agency	1
Total	172

Table 3 – Total Stage 2 complaints by Service Area		
Service	Outcome	ID
Looked After Children	8 of 36 complaints upheld 4 of 36 complaints upheld 21 of 36 not upheld 3 of 36 unable to make a finding	Case 1
Swansea Valley Team	4 of 10 complaints upheld, 4	Case 2

	of 10 complaints not upheld, 2 of 10 complaints partially upheld	
Respite Care	2 of 22 upheld, 4 of 22 partially justified, 4 of 22 unable to make a finding, 12 of 22 not upheld	Case 3
Corporate Complaint	has not made contact re stage 2	Case 4
Corporate Complaint	Not Justified	Case 5
Corporate Complaint – breach of confidentiality	£700 redress payment due to data breach; Made up of: £100 time & trouble £600 distress caused	Case 6
Corporate Complaint – loss of data	Loss of data upheld, however claim for compensation rejected as complainant did not make any case about injustice / distress caused as result of loss	Case 7

Table 5 – Examples of Compliments Received	
Teams	Nature of Compliment
16+ LAC	Michelle was the best social worker I ever had, and I haven't stopped crying about it. if it wasn't for Michelle I'd still be taking drugs and doing the wrong things, she helped me so much...
Child Protection	She said that she did not feel judged by you and that she thought you were 'amazing'
Domestic Abuse Team	There are not enough words or gratitude in the world to describe how much Karen and Dean's support means to us. If it hadn't of been for their professional experiences we never would of seen how different life can be. We owe Karen, Dean and the domestic abuse team everything.
Family Finding	Adoption Panel today asked me to pass on how pleased there were with the excellent Family Finding you have done in finding a Family for X. Well Done!!
Foster Swansea	<ul style="list-style-type: none"> • Just a quick e-mail to express my gratitude and compliment Rachel (in CC) and everyone at Foster Swansea for being so helpful over the last few weeks • During the visit X spoke very highly of Kate and all the support they have had from her over the past year and feel that they would never have managed what they went thought without her support and are so happy they transferred to Foster Swansea. • Thank you Dean for all the hard work you have put in with the foster carer's, they have really turned full circle in a short amount of time and you are building their confidence again to crack on with fostering. • It is testament to Kathryn's skill and empathy that that the children's mother continued to feel supported by her and had confidence that she was focussed on the children's best interests, despite the decision for permanence being that of adoption. • They spoke highly of the support that Laura provides them and they fully understand the fostering requirements, which is completely down to Laura explaining it all in a sensitive way and have motivated them to meet the requirements.
IRO	Just wanted to say that I thought the way you managed the two conferences I've had with you were excellent, I found some of your questions/ideas were very focussed on the children which were quite powerful in their effect
LAC	<ul style="list-style-type: none"> • I wanted to praise you for the way you led and managed the Review and did your best to look after T and help her understand the situation in very challenging circumstances.

	<ul style="list-style-type: none"> • Melanie was a fierce advocate for the children and ensured that this child got the therapy that was needed and required. It is my opinion that Melanie went above and beyond for these children to ensure not just they were supported but also that the carers looking after them had the additional support that was needed to ensure this placement was stabilised • Thank you card received - just wanted to thank you for all your help and support, you're a great social worker
Safeguarding	Just emailing to thank you both for today; it's been quite difficult getting some professionals to recognise how well the family have been doing. I feel that despite some negative comments all professionals were able to reflect which prevented the children being re-registered. Thank you for all your support with this case Kel, I can't believe how far the family have come.
Supported Care Planning	<ul style="list-style-type: none"> • I worked with Lyndsay Cox from Swansea on the X case which concluded at the end of June. She was excellent and did lots of ground work and kept me informed about what went on regularly. She had an excellent relationship with the two children involved and she was a great advocate for them - Note: Praise from Guardians is praise indeed as they see tremendous amounts of social work practice – you should be very proud of a job extremely well done. • I have had a very good experience with Amy on the X case. Mother was living in a refuge and there a number of parties to the proceedings. Amy has worked very hard on this case and it has many layers because of mother's personality issues and issues of domestic violence • I have worked on a case X with Lauren where there were issues of long term neglect and mother's personality issues. Lauren is very proactive and tireless about her work on behalf of these very needy children. Her work is an example of good practice • The Judge was very complimentary of Charlotte's hard work on this case.
West Team	I think you're doing an amazing job and urge you to pass this on to the people below you, so people that are in the same situation as me will also hopefully see the light and come out stronger. Thank you Rachael, I sincerely mean that
Western Bay Adoption	<ul style="list-style-type: none"> • From the start we were so impressed with Phillipa. She quickly built up a rapport with X but also took time to get to know and care for the rest of the family. I found it so comforting when she asked "How's Mum?" and knew that she wanted to support me too. Her level of expertise was excellent. When we told her about specific issues we were having, she was able to suggest strategies we could use and also provided theraplay sessions • John and I would like to say a big heartfelt thank you to yourself for coming out to see us and for giving us your invaluable help and advice

Report of the Cabinet Member for Business Transformation & Performance

Cabinet – 17 January 2019

**Freedom of Information (FOI)
Annual Report 2017-2018**

Purpose:	To report on requests for information made under the provisions of The Freedom of Information Act 2000 for the period 1 April 2017 to 31 March 2018.
Policy Framework:	None.
Consultation:	Access to Services, Legal, Finance.
Report Author:	Julie Nicholas-Humphreys
Finance Officer:	Janet Morgan
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar
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:

TABLE 1 – Information Requests By Service Area					
Service Area	FOI Requests	Subject Access Requests	FOI /SAR Reviews	Appeals to Information Commissioner	Totals
Information/Communication Technologies	39				39
Social Services (Children Services)	70	5	3		78
Social Services (Adult Services)	76	23	2	1	102
Communications	13				13
Corporate Building Services	8				8
Corporate Property Services	61		1		62
Culture & Tourism	40	1	1		42
Environment	113	1	3		117
Waste Management	44		1		45
Financial Services	172				172
Human Resources	98	3	3		104
Housing	131	5	2	1	139
Legal & Democratic Services	69	1			70
Planning	59	1	4		64
Education	137	3	4		144
Commercial Services & Procurement	15				15
Transportation & Engineering	154	18	5	1	178
Totals	1300	61			1393

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

Financial Year	Requests Received (FOI, EIR & SAR)	Year on Year Difference
2009/10	607	
2010/11	726	+119
2011/12	838	+112
2012/13	932	+94
2013/14	1154	+222
2014/15	1185	+31
2015/16	1354	+169
2016/17	1327	-27
2017/18	1361	+34

4. Timeliness of Responses to FOI & EIR Requests

4.1 **1300** requests were received during 2017/18 representing a **2.7%** increase on last year's figures. Of the requests received this year, 987 (75.9%) were responded to within the FOI time limit of 20 working days. The response rate within timescale is a 1% increase on that of last year (74.9% for 2016/17).

5. Type of Applicant

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

Table 2 - FOI Request by Type of Applicant	
Type of Applicant	No.
Commercial Organisation	174
Freelance Journalist	9
Individual	825
Media	160
Not for Profit	36
Politician	87
Solicitors	9
Total	1300

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. **992** of the **1300** (76%) were either fully disclosed or mainly granted. This statistic clearly shows the Council's continued commitment to openness and transparency.

Table 3 - Type of Response given to FOI Requestor	
Type of Response	No.
Full Disclosure	896
Completely Refused	97
Data not held	81
Mainly Granted	96
Mainly Refused	69
Not Pursued / Withdrawn	61
Timed Out *	
Ongoing / Incomplete	
Total	1300

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

7. Responses where Exemptions were necessary to withhold Information

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

Table 4 - Number of and List of FOI Exemption Used		
Section	Exemption	No.
12	Cost of Redacting & Extracting Information	62
14	Vexatious & Repeated Requests	1
21	Information accessible to applicant by other means	3
22	Information intended for future publication	3
30	Investigations & Proceedings	4
31	Law Enforcement	8
32	Court Records	1
36	Effective Conduct of Public Affairs	0
38	Health & Safety	8
40	Data Protection	28
41	Information provided in confidence	1
42	Legal professional privilege	1
43	Commercial Interest	50
Totals		170

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

8. Reviews and Appeals

- 8.1 There were **25** FOI Reviews carried out during 2017/18. Of the reviews conducted, the original decision was upheld in **13** of those cases.
- 8.2 The Requester appealed to the Information Commissioner's Office (ICO) in **1** of those cases. Details of the ICO appeals and their outcome is summarised in Table 5 below.

Table 5 - Appeals to the Information Commissioner's Office (ICO)		
	Information Requested	Outcome of Appeal
Case 1	Appeal against decision not to release taxi information	The Authority was instructed to release the information

9. Looking Forward

- 9.1 New legislation was introduced in May 2018 called the General Data Protection Regulation (GDPR). In order to ensure that the Authority was 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.

10. Equality and Engagement Implications

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

11. Financial Implications

11.1 All costs incurred through dealing with FOI are covered within existing budgets.

12. Legal Implications

12.1 None.

Background Papers: None.

Appendices: None.

Report of the Cabinet Member for Business Transformation & Performance

Cabinet – 17 January 2019

**Regulation of Investigatory Powers Act (RIPA)
Annual Report 2017-2018**

Purpose:	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 2017 to 31 March 2018
Policy Framework:	None.
Consultation:	Access to Services, Legal, Finance.
Report Author:	Julie Nicholas-Humphreys
Finance Officer:	Janet Morgan
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar
For Information	

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.

TABLE 1 - Surveillance Permitted Under RIPA					
	2013-14	2014-15	2015-16	2016-17	2017-18
Directed	4	1	1	0	0
Interception of Communications	0	0	0	0	0
Acquisition / Disclosure of Communications Data	0	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

TABLE 2 - Use of RIPA		
Directed Surveillance		
	0	
Covert Human Intelligence Source		
	0	
Acquisition and Disclosure of Communications Data		
	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 2017-18, 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.

3.2 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.

3.3 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 There have been no FOI requests related to RIPA activities during the year.

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 are covered within existing budgets.

7. Legal Implications

7.1 As set out in the Report

Background Papers: None.

Appendices: Appendix 1 – Authorised Officers

Appendix 1

TABLE 3 – RIPA Authorised Officers.	
Name	Department / Section
Lynda Anthony	Environmental Health (Licensing)
Huw Morgan	Environmental Health (Pollution)
Peter Richards	Environment Health (Trading Standards)

Agenda Item 10.



Report of the Chief Legal Officer and Strategic Human Resources & Organisational Development Manager

Cabinet – 17 January 2019

Coroner Pay Arrangements

Purpose:	To agree to adopt the JNC Framework in assisting decision making when determining and setting Coroner pay.
Policy Framework:	None
Consultation:	Finance, HR and Legal
Recommendation(s):	It is recommended that Cabinet: 1) Agrees to adopt the JNC framework and Pay Guidance for the purposes of setting coroner's pay; 2) Agrees that the Senior Coroner for the City and County of Swansea and Neath Port Talbot salary level is set at £127,000 gross pa; 3) That the pay award is backdated to 1 November 2017 when the JNC framework was published; 4) Agrees that the Assistant Coroners daily rate remains at £400 per day.
Report Author:	Tracey Meredith
Finance Officer:	Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar

1. Introduction

- 1.1 Coroners are independent judicial officers who are appointed and funded by local authorities. They are not employees of the council. The Authority budget and facilitate payment of the salary and provision of services commensurate to the post through internal budget management and payroll.

- 1.1 The Coroners and Justice Act 2009 places the responsibility for coroner salaries with local authorities. The amount of salary is whatever is from time to time agreed by the Senior Coroner and the relevant authority. If the Senior Coroner and the authority cannot agree a salary either of them may refer the matter to the Lord Chancellor who may determine the amount of the salary and the date on which it is to become payable.
- 1.2 Assistant Coroners do not attract a salary but are entitled to fees paid as a daily rate. The amount of the fees is to be whatever is from time to time agreed by the Assistant Coroners and the relevant authority. The Act is silent as to dispute resolution process.
- 1.3 The Coroners and Justice Act 2009 (Alteration of Coroner areas) Order 2013 formally amalgamated The City and County of Swansea with Neath Port Talbot council for the purposes of a single Coroner area. The cost of the service is split using a formula between the two authorities based on place of death. In effect this results in Neath Port Talbot council contributing 34.5% total budget costs. The percentage is reviewed annually with Swansea paying all the core team costs and recharging Neath Port Talbot quarterly.
- 1.4 City and County of Swansea is the “relevant authority” in law and is required to appoint and agree the remuneration of the Senior Coroner.

2. Joint Negotiating Committee (JNC) for Coroners

- 2.1 In light of a wide disparity as to Coroners pay the JNC for Coroners agreed to undertake a job evaluation exercise to assess the roles set out in the Coroners and Justice Act 2009. Having considered pay benchmarking data and the outcome of a technical evaluation exercise the JNC reached agreement on a new national pay framework and guidance for Coroners pay as set out in Circular No’s 61 and 62 which are attached at Appendix 1.
- 2.2 The salary range for Senior Coroners is within a range of £117,000 to £130,000. The salary includes statutory out of hours work.

3. Joint Negotiating Committee (JNC) for Assistant Coroners

- 3.1 The daily rate for Assistant Coroners is within a range of £375 to £454 with a ceiling/floor mid-point for less complex/highly complex areas.
- 3.2 The level of pay is to be determined locally, in line with the complexity of the coroner area. In making the assessment of the relevant pay level to be applied it should be on the basis that all the duties and responsibilities are being performed at full capability.

4. Senior Coroner - Proposal

- 4.1 In deciding the appropriate salary, work has been undertaken to assess the complexity of work covered by the Swansea and Neath Port Talbot coroner area. Factors such as presence of institutions ie prisons and hospitals are considered and are set out in Appendix 2.
- 4.2 With around 2,350 – 2,600 reported deaths a year, 350 inquests a year of which 50 are complex, Swansea and Neath Port Talbot is a busy and complex coroner area and the pay of the Senior Coroner does not currently reflect this.
- 4.3 Some benchmarking has been undertaken with neighbouring coronial areas in relation to Senior Coroner salaries. Bristol City Council (covering Bath and North East Somerset, Bristol City, North Somerset and South Gloucestershire Council) remunerate their senior Coroner at £130,000 - the top of the pay range. Similar sized authorities to that of Swansea and Neath Port Talbot remunerate their Senior Coroner in the region of £125,000 - £130,000.
- 4.4 Discussions have been held with the present Acting Senior Coroner and an in principle agreement has been reached, subject to agreement by each Authority's respective Cabinet, to the new salary. It is proposed that the new salary should be set at £127,000 p.a.
- 4.5 In terms of backdating the award it is proposed to backdate the award to November 2017 which is the date the JNC published the Framework. Again, this has been agreed by the Acting Senior Coroner and is consistent with many other authority's approach to backdating.

5. Assistant Coroners - Proposal

- 5.1 There are presently two Assistant Coroners who provide cover for the Senior Coroner. They currently receive £400 per day. Whilst there should be a broad correlation between the pay of the Senior Coroner and the daily rate of the Assistant Coroners there is no proposal to increase the daily rate of pay for the Assistant Coroners.

6. Equality and Engagement Implications

- 6.1 There are no equality implications associated with the report.

7. Financial Implications

- 7.1 The Acting Senior Coroner is presently receiving a salary of £91,420. The additional cost to the authority if the proposed salary of £127,000 pa is agreed is as follows:

Additional Salary payment	£35,580
Additional National Insurance	£ 4,305
Additional Superannuation Costs	<u>£ 8,717</u>
Total	<u>£48,602</u>

The cost of the backdated amount from 1st November 2017 to 31st March 2018 amounts to £20,488

The total of the additional salary and on-costs to be met in 2018/19 totals £69,660. Neath Port Talbot will pay 34.5% share of this additional cost so the nett increase to Swansea's budget will be £45,100.

- 7.2 The additional pay award will be met from reserves.
- 7.3 During the financial year 2017-2018 a total amount of £31,000 was paid to the Assistant Coroners on the basis of a daily rate of £400 per day by the City and County of Swansea.

8. Legal Implications

- 8.1 There are no further legal implications associated with this report.

Background Papers: None.

Appendices:

Appendix 1 Senior Coroner Salary Considerations

Appendix 2 JNC Coroners Circulars 61 & 62

Senior Coroner Salary Considerations

The Level Of Pay Is To Be Determined Locally In Line With The Complexity Of The Coroner Area.

Factors To Be Considered Include:

Factor	Consideration	Comments
Prison and other institutions of state detention	Are there any? Type of institution/s – where more vulnerable people are detained eg local prisons, young offender institutions, female prisons and/or immigration detention centres. Number of institutions?	HMP Swansea Hillside Secure Childrens Home (Neath Port Talbot County Borough Council)
Mental Health Unit(s)	Are there any? Type of such units ie in-patients Number of units.	<u>Adult Mental Health</u> Acute assessment & admission – provided at Cefn Coed Hospital (CCH), Neath Port Talbot Hospital (NPTH) <u>Older Mental Health Services</u> Assessment & admission – provided at Cefn Coed Hospital (CCH), Neath Port Talbot Hospital (NPTH), Tonna Hospital, Ystradgynlais Community Hospital Continuing Care and Respite – provided at Cefn Coed Hospital (CCH), Garngoch Hospital, Neath Port Talbot Hospital (NPTH), Tonna Hospital, New £18 million Ysbryd y Coed unit for patients with dementia, built in the grounds of Cefn Coed Hospital. It is a 60-bed unit with three wards of ensuite bedrooms, and purpose built for patients with dementia.
Hospitals with areas of specialism	Type of such hospitals eg tertiary hospital (tertiary characterised by offering specialised consultative care, usually on referral from primary or secondary medical care personnel, by	Morriston Hospital is one of the largest in Wales, and has around 750 beds. It provides acute general medical / care of the elderly beds, (including medical sub-specialties) facilities; it has a well developed trauma and orthopaedic service and a range of surgical / urological specialties. Morriston also has one of the busiest Emergency Department (A&E)

	<p>specialists working in a centre that has personnel and facilities for special investigation and treatment., hospitals with specialist units eg neurological, stroke, neo-natal units. Number of such hospitals.</p>	<p>in Wales. It is also home to the Welsh Centre for Burns and Plastic Surgery, and provides the bariatric (obesity surgery) service for Wales. The hospital is currently undergoing a massive £100m-plus redevelopment with brand new buildings replacing pre-war estate.</p> <p>The range of specialist tertiary services provided at Morriston Hospital includes renal medicine, neurology, oral and maxillofacial Surgery, and the regional tertiary cleft service for children and adults. The hospital offers one of two cardiac centres in Wales (pictured right). Rheumatology and palliative medicine are also provided to a wide catchment area. These services are supported by critical care facilities.</p> <p>Morriston Hospital is also the site of the major Emergency Department (A&E) for Swansea and, with its accessibility to the South West Wales population, is recognised as the major trauma centre for South West Wales.</p> <p>The hospital also a paediatric unit with two teams caring for children undergoing plastic surgery, maxillofacial surgery, orthopaedics, trauma and general medical paediatrics. The unit has a 4-bedded HDU caring for children with complex needs and there also an outpatients department. In August 2009, the children's wards and paediatric Assessment Unit at Singleton Hospital moved to Morriston Hospital. A full range of high quality diagnostic and therapeutic services are also provided at Morriston Hospital.</p> <p>Singleton Hospital</p> <p>Singleton Hospital, with 550 beds, provides acute general medical services, care of the elderly, surgical, ophthalmology, ENT and radiotherapy services. It also offers a High Dependency Unit and obstetric and gynaecological departments. A number of</p>
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		<p>these departments provide sub-regional services as well as secondary care services (e.g. ophthalmology, ENT, dermatology). These services are supported by intensive care and high dependency beds, and a range of high quality therapeutic and diagnostic services.</p> <p>The hospital provides specialist regional oncology services as well as complex cancer cases within the other specialties onsite (e.g. oral maxillofacial, ENT, colorectal, upper GI). The South West Wales Cancer Institute and a separate Chemotherapy Day Unit are also at Singleton</p> <p>Gorseinon Hospital has a total of 44 beds which provide assessment and rehabilitation for the elderly.</p> <p>Neath Port Talbot Hospital has 270 beds and provides a range of inpatient, outpatient and day case services for the people of Neath and Port Talbot</p>
Caseload	<p>Caseload of the respective coroner. It should be noted that it may be possible for a coroner to have a low but quite complex caseload eg due to a number of factors of complexity and that would need to be taken into account in determining the local pay point. Conversely, it may be possible for a coroner to have a high case load of low complexity.</p>	<p>2,350 – 2,600 reported deaths a year with a high percentage of complex inquests including Jury cases. The acting Senior Coroner has been tackling and reducing a back log of inherited complex legacy cases over 12 months. He has limited support from 2 part time assistant coroners</p>

Other factors	Exceptional local factor	Waterfront location including a Marina adding to potential complexity
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JOINT NEGOTIATING COMMITTEE FOR CORONERS

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**To: Chief Executives (London Boroughs, Metropolitan Districts, County Councils
and Unitary Councils in England and Wales)**

8 January 2018

CORONERS' CIRCULAR No 62

Dear Sir/Madam

Coroners' pay guidance

This guidance must be read in conjunction with JNC circular No. 61 (copy attached). This sets out the principles of the agreement reached and indicated that the JNC would produce guidance to assist local decision-making in respect of the approach to be taken in determining pay within the appropriate range. That guidance is now set out below.

The level of pay will be determined locally, in line with the complexity of the coroner area. This guidance is intended to provide assistance to councils on how the factors should be interpreted, without directing or being overly prescriptive. It aims to provide those whose responsibility it is to determine and decide on a local evidential basis, the appropriate level of pay. This joint guidance seeks to identify factors to consider in determining the complexity of a coroner's area in order to consider the appropriate pay point at a local level.

In making the assessment of the relevant pay level to be applied locally it should be on the basis that all the duties and responsibilities are being performed at full capability as outlined within the jointly agreed and adopted job descriptions (within the KFH report commissioned by the JNC). Councils are reminded that the pay framework does not cover non-statutory out of hours duties. The KFH report can be found at <https://www.local.gov.uk/our-support/workforce-and-hr-support/coroners> .

The factors should be considered holistically in order to arrive at a balanced overarching picture of an Area's complexity. It is not intended to be a simple numbers exercise.

In considering the factors below the assessment of the relative complexity of a coronial area should be considered in terms of the likelihood of the presence of these factors to require additional coronial intervention beyond that which would be normally expected and cannot be addressed solely through additional Assistant Coroner capacity. Similarly, the absence of such factors should be considered in

terms of a reduction in the likelihood of coronial intervention compared to that normally expected. In practical terms, the difference in the types of an institution present in an area are likely to provide for different demands upon the coronial service (e.g. local prison as compared to an open prison or a large acute hospital compared to a community hospital) and the overall assessment should be on the basis of the coronial area as a whole.

In considering all factors local knowledge/experience/risk will be a feature and should be evidence based. These factors include:

Factor	For consideration
Prisons and other institutions of state detention.	Are there any? Type of institution/s - where more vulnerable people are detained e.g. local prisons, young offenders institutions, female prisons and/or immigration detention centres. Number of institutions.
Mental Health Unit(s)	Are there any? Type of such units i.e. in-patients Number of units.
Hospitals with areas of specialism	Type of such hospitals e.g. tertiary hospital (tertiary characterised by offering specialised consultative care, usually on referral from primary or secondary medical care personnel, by specialists working in a centre that has personnel and facilities for special investigation and treatment.), hospitals with specialist units e.g. neurological, stroke, neo-natal units. Number of such hospitals.
Caseload	Caseload of the respective coroner It should be noted that it may be possible for a coroner (including a part-time coroner) to have a low but quite complex caseload e.g. due to a number of factors of complexity and that would need to be taken into account in determining the local pay point. Conversely, it may be possible for a coroner to have a high caseload of low complexity.

In addition to the above factors there may be an exceptional local factor that it is determined is appropriate to be taken into account e.g. a major transport hub such as an international airport or military port/hub. As with all other factors you will wish to be mindful of the number, type, and local evidence of risk/complexity.

Senior and Area Coroners

The factors set out above would apply to both Senior (full-time and part-time) and Area Coroners and we would anticipate them being placed at the same point within the appropriate range for the coronial area.

Part-time Senior Coroners

Part-time senior coroners must keep a note of time spent on coronial business including details of days worked, indicating time worked (half or full day), where and what work undertaken and they may be required to provide a "fee note" in this respect. How such a note would look in practice is a matter for local determination. How and when payment is made to part-time senior coroners is a matter for local determination. Earnings will be capped at the level of a full-time senior coroner in a similarly complex area.

Assistant Coroners

We would expect a broad correlation between the pay of a Senior Coroner and the daily rate determined for Assistant Coroners working within that same coroner area. Where the Senior Coroner role is paid at the mid-point or below then the mid-point of the Assistant's range should be a ceiling. Where the Senior Coroner role is paid above the mid-point then that same figure should be a floor. Assistant Coroners will be expected to operate across the complexity of the area/role as per the jointly agreed job description.

Other issues

Performance management - local authorities will be aware that at present, they are unable to formally performance manage coroners. This matter is outside of the remit of the JNC. However, it is believed that the Chief Coroner at some future stage will be providing guidance on performance management.

Next review - The JNC's pay ranges will next be reviewed in September 2018 with a view that any agreed changes would be implemented from 1st April 2019.

Yours faithfully

SIMON PANNELL
JENNIFER LEEMING

Joint Secretaries

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JOINT NEGOTIATING COMMITTEE FOR CORONERS

To: Chief Executives (London Boroughs, Metropolitan Districts, County Councils and Unitary Councils in England and Wales) (copy for Treasurer)

2 November 2017

CORONERS' CIRCULAR No 61

Dear Sir/Madam

Coroners' pay

We are writing to update you on our negotiations regarding the pay of coroners.

As you are aware the JNC for Coroners agreed to undertake a job evaluation (JE) exercise to assess the roles set out in the Coroners and Justice Act 2009.

We commissioned Korn Ferry Hay Group to undertake the job evaluation exercise to enable us to develop a grading arrangement based on broader criteria than the population based approach taken in the past. That exercise has created new model job profiles and has been able to take account of criteria relevant to both local authority and judicial contexts. It has also been the first opportunity to consider through the JNC pay recommendations with regard to Area and Assistant Coroners. Having considered the outcome of the technical evaluation exercise and looked at a wide range of potential pay benchmark data, the two sides have reached agreement in principle on an approach, details of which are set out below.

- Senior coroners - a range of £117,000 to £130,000. The salary includes statutory out of hours work as set out in legislative provisions. The current JNC 5.5% salary pension supplement will no longer apply.
- Part-Time senior coroners – a base salary of £20,000 and then a daily rate range of £440 to £500 with earnings capped at the level of a full-time senior coroner in a similarly complex area. The 5.5% pension allowance provision would fall as would the current provision in some authorities of 'county loadings' of at least 10% of salary. This would also see the abolition of long inquest payments. Legislation requires that all senior coroners are salaried which precludes falling back solely on a day rate for part-timers. A fixed salary will also cover the need for coroners to be available at all times even given they are notionally part-time. The proposed range of day rates is based on removing the suggested level of £20,000 from the senior coroner range and then dividing by 220 to achieve a range of daily rates which is transparent and equitable. The

salary includes statutory out of hours work as set out in legislative provisions.

- Area coroners – a range from £87,000 to £100,000. The JNC 5.5% pension allowance will not to be sought in addition (Area Coroners have not previously been covered by the JNC). The salary would include statutory out of hours responsibility to the extent that it applies to Area Coroners as set out in legislative provisions.
- Assistant coroners – daily rate from £375 to £454 with a ceiling/floor mid-point for less complex/highly complex areas. This approach takes account of the 2 levels within the single role that Korn Ferry Hay identified in its job evaluation exercise. The 5.5% pension allowance would not be sought in addition should access to the LGPS be provided to assistant coroners.

Joint guidance will be produced before the end of 2017 to assist local decision-making in respect of the above approach. Until that happens, no action is necessary.

Background information in relation to this work is contained in past circulars which can be found at the following link: <https://www.local.gov.uk/our-support/workforce-and-hr-support/coroners>

We are grateful to the technical advisers from local authorities who have worked with us on this exercise.

Yours faithfully

SIMON PANNELL
JENNIFER LEEMING

Joint Secretaries

Agenda Item 11.



Report of the Cabinet Member for Education Improvement, Learning and Skills

Cabinet - 17 January 2019

Contract Award Report Tender for the Provision of Home to School Transport Services

Purpose:	This report details the outcome of recent tenders for Mainstream Home to School Transport services and seeks approval to award contracts. To comply with Contract Procedure Rules and to allow contracts to be arranged with contractors, and for schools and parents to be notified.
Policy Framework:	Policy on the Provision of Home to School Transport; Contract Procedure Rules.
Consultation:	Legal, Commercial Services, Finance and Access to Services.
Recommendation(s):	It is recommended that: 1) The tender prices recommended by the Tender Evaluation Panel and set out in Schedule B be accepted as representing best value to the Council; 2) Contracts be awarded to the companies as set out in Schedule B.
Report Author:	Catherine Swain
Finance Officers:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar

1.0 Introduction

- 1.1 Forty four Home to School Transport contracts for mainstream pupils at various primary and secondary schools expire at the half term holiday in February 2019. Tenders have therefore been invited for replacement contracts requiring vehicles of various seating capacities. These contracts are for the term of 3rd March 2019 to February 2023, with an option to extend for up to an additional 12 months.
- 1.2 The proposals for replacement contracts include an additional combination option, resulting in forty five Lots being tendered. A summary of the Lots for tender is detailed in Schedule A.
- 1.3 The estimated value of the new contracts over their maximum term of 60 months is approximately £5,940,177. Cabinet approval is therefore sought to award these contracts.

2.0 Procurement Process

- 2.1 The estimated value of the new contracts over their term exceeds the European Union threshold under the Public Contract Regulations 2015. The contracts were advertised in the Official Journal of the European Union (OJEU) via Sell2Wales.
- 2.2 The 'open' procedure was selected.
- 2.3 The Invitation to Tender (ITT) was issued on 2nd November 2018 to Public Service Vehicle (PSV) Operators via the eTenderWales Portal.

3.0 Tenders Received

- 3.1 Sixteen companies submitted tenders by the return date of 3rd December 2018.
- 3.2 The tenders were opened by Commercial Services in accordance with Contract Procedure Rules.

4.0 Evaluation

- 4.1 Tenders were evaluated by two Officers from the Integrated Transport Unit, with support from an Officer of the Commercial Services Team.
- 4.2 All tenderers submitted compliant tenders.
- 4.3 The evaluation of the tenders received was undertaken in accordance with the criteria set out in the Invitation to Tender documents as a two stage process.

4.4 At stage one of the process, the Council undertook a Quality evaluation to ensure tenderers were able to demonstrate a minimum understanding of key operational requirements. The Quality evaluation was based on the assessment of six Method Statement questions, as follows:

- Staff Training and Competence
- Supervision of Staff
- Staff Resources
- Vehicle Resources
- Emergency Operating Procedures
- Inclement Weather Operating Procedures

4.5 Tenderers were required to achieve a minimum score of 18 from the maximum 30 marks available for the six Method Statement questions in order to proceed to the Price evaluation. Tenderers failing to achieve a score of at least 18 would be rejected without further evaluation.

4.6 At stage two of the process, tenderers who achieved the required marks in the Quality evaluation proceeded to the Price evaluation.

4.7 The Council ranked tenderers for each Lot on the basis of the Price evaluation only (i.e. to the Tenderers attaining the highest score for the Price for each Lot).

4.8 For each Lot, the lowest tender price received was allocated the maximum score of 100 and the remaining tender prices were scored downwards according to their relationship with the lowest price.

4.9 Contracts are to be awarded subject to the tenderers' availability of appropriate PSV Operator Licence discs (such a disc has to be displayed on each vehicle operating a contract).

4.10 In terms of the prices tendered:

Tenderers 10 and 14 submitted the same price for Lot 7. Tenderer 10 attained a higher Quality Score and is therefore the recommended tenderer for this Lot.

Tenderers 10 and 14 also submitted the same price for Lot 45. Again, Tenderer 10 attained a higher Quality Score and is therefore the recommended tenderer for this Lot.

4.11 The contracts recommended for award reflect the number of available PSV Operator Discs for each tenderer and are detailed in Schedule B.

5.0 Outcome of Evaluation

5.1 Forty three of the forty five contracts are to be awarded as individual Lots.

Lots 42 and 43 are not being awarded. This is because each of these provides for a 16 seat minibus from the Port Tennant area to Y G G Y Cwm, whereas Lot 44 provides for a 29 seater midi-coach from the same area, and is a cheaper option.

6.0 Equality and Engagement Implications

6.1 An Equality Impact Assessment Screening Form was completed for the re-tendering exercise, with the agreed outcome that a full Equality Impact Assessment report is not required. This is because all of the current contracts are to be re-let, subject to Lots 42 and 43 being re-let as Lot 44, as detailed in 5.1.

6.2 Our Equality Impact Assessment process ensures that we have paid due regard to the following:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

7.0 Financial Implications

7.1 The total of the tender prices recommended for acceptance is £5,945.98 per day / £1,129,736.20 per annum (based upon 190 Schooldays). The estimated value of the contracts over their full term, including use of the 12 month maximum extension, would be £5,940,177.91, which makes provision for indexation of contract prices at an estimated 3% per annum from September 2020. This compares to current prices of £6,309.12 per day / £1,198,732.80 per annum (based upon 190 Schooldays). The potential savings are therefore approximately £68,996.60 per annum and approximately £344,983 over the maximum five year term, provided all the recommended tenderers accept the contracts.

8.0 Procurement and Legal Implications

8.1 The Responsible Officer is satisfied that the tender process has been undertaken in compliance with the Public Contracts Regulations 2015 and the Council's Contract Procedure Rules, and recommends approval in accordance with those Rules.

8.2 The contracts are to be prepared by Legal, Democratic Services and Business Intelligence. All contractual liabilities / obligations will be covered by the contract documentation.

Background papers: Minutes of the Tender Evaluation Panel held on 12th December 2018

Appendices: Schedule A – Details of Individual Lots Offered for Tender
Schedule B – Details of Individual Lots Recommended for Award

Tender for the Provision of Home to School Transport Services

Schedule A

Details of Individual Lots Offered for Tender

Lot No(s)	Contract No(s)	School(s) Served	Vehicle Specification(s)
1	304	Gowerton	70 seats
2	3330A	Pontarddulais Comprehensive	49 seats
3	330B	Pontarddulais Comprehensive	53 seats
4	341	Y G G Pontybrenin	16 seats (inc PA)
5	342	Y G G Pontybrenin	16 seats (inc PA)
6	343	Y G G Pontybrenin	70 seats (inc PA)
7	345	Y G G Pontybrenin	16 seats (inc PA)
8	357	Ysgol Gyfun Gwyr	49 seats
9	361	Ysgol Gyfun Gwyr	49 seats
10	364	Ysgol Gyfun Gwyr	70 seats
11	366	Ysgol Gyfun Gwyr	70 seats
12	368	Ysgol Gyfun Gwyr	16 seats
13	371	Ysgol Gyfun Gwyr	49 seats
14	601	Bishop Vaughan R C Comprehensive	16 seats
15	603	Bishop Vaughan R C Comprehensive	49 seats
16	605	Bishop Vaughan R C Comprehensive	49 seats
17	608	Bishop Vaughan R C Comprehensive	70 seats
18	615C	Bishop Gore	53 seats
19	617	Bishop Gore	70 seats
20	619	Bishop Gore	49 seats
21	622A	Olchfa	49 seats
22	633	Ysgol Gyfun Bryn Tawe	29 seats
23	634	Ysgol Gyfun Bryn Tawe	16 seats
24	635	Ysgol Gyfun Bryn Tawe	16 seats
25	661	Y G G Y Login Fach	16 seats (inc PA)
26	662	Y G G Y Login Fach	16 seats (inc PA)
27	663	Y G G Y Login Fach	16 seats (inc PA)
28	664	Y G G Y Login Fach	16 seats (inc PA)
29	666	Y G G Y Login Fach	16 seats (inc PA)
30	672	St David's R C Primary	35 seats (inc PA)
31	682	Y G G Llwynderw	16 seats (inc PA)
32	683	Y G G Llwynderw	16 seats (inc PA)
33	686	Y G G Brynymor	16 seats (inc PA)
34	697	St Joseph's Cathedral R C Primary	53 seats (inc PA)
35	699	St Joseph's Cathedral R C Primary	16 seats (inc PA)
36	702	Cila Primary & Olchfa	16 seats (inc PA)
37	720	Bishopston Comprehensive	53 seats
38	729	Bishopston Comprehensive	16 seats
39	735	Pennard Primary	16 seats (inc PA)
40	736	Pennard Primary	16 seats (inc PA)
41	807	Birchgrove Comprehensive	41 seats

42	829A	Y G G Y Cwm	16 seats (inc PA)
43	829B	Y G G Y Cwm	16 seats (inc PA)
44	829	Y G G Y Cwm	29 seats (inc PA)
45	840	Y G G Gellionnen	16 seats (inc PA)

PA = Passenger Assistant

Tender for the Provision of Home to School Transport Services

Schedule B

Individual Lots Recommended for Award

Lot No(s)	Contract No(s)	School(s) Served	Recommended Tenderer(s)	Daily Rate(s) (£)
1	304	Gowerton	4	174.50
2	3330A	Pontarddulais Comprehensive	13	148.50
3	330B	Pontarddulais Comprehensive	13	148.50
4	341	Y G G Pontybrenin	14	110.00
5	342	Y G G Pontybrenin	14	110.00
6	343	Y G G Pontybrenin	10	200.00
7	345	Y G G Pontybrenin	10	110.00
8	357	Ysgol Gyfun Gwyr	7	168.27
9	361	Ysgol Gyfun Gwyr	13	148.50
10	364	Ysgol Gyfun Gwyr	6	190.00
11	366	Ysgol Gyfun Gwyr	6	195.00
12	368	Ysgol Gyfun Gwyr	2	128.00
13	371	Ysgol Gyfun Gwyr	6	180.00
14	601	Bishop Vaughan R C Comprehensive	2	110.00
15	603	Bishop Vaughan R C Comprehensive	4	147.50
16	605	Bishop Vaughan R C Comprehensive	13	148.50
17	608	Bishop Vaughan R C Comprehensive	4	179.50
18	615C	Bishop Gore	13	148.50
19	617	Bishop Gore	4	179.50
20	619	Bishop Gore	13	177.50
21	622A	Olchfa	13	175.50
22	633	Ysgol Gyfun Bryn Tawe	13	148.50
23	634	Ysgol Gyfun Bryn Tawe	9	96.00
24	635	Ysgol Gyfun Bryn Tawe	2	112.00
25	661	Y G G Y Login Fach	10	93.00
26	662	Y G G Y Login Fach	10	93.00
27	663	Y G G Y Login Fach	10	93.00
28	664	Y G G Y Login Fach	10	93.00
29	666	Y G G Y Login Fach	14	105.00
30	672	St David's R C Primary	10	175.00
31	682	Y G G Llwynderw	2	112.00
32	683	Y G G Llwynderw	2	107.00
33	686	Y G G Brynymor	2	97.00
34	697	St Joseph's Cathedral R C Primary	10	190.00

35	699	St Joseph's Cathedral R C Primary	2	123.00
36	702	Cila Primary & Olchfa	2	132.00
37	720	Bishopston Comprehensive	4	169.50
38	729	Bishopston Comprehensive	2	114.00
39	735	Pennard Primary	10	115.00
40	736	Pennard Primary	2	107.00
41	807	Birchgrove Comprehensive	7	145.71
44	829	Y G G Y Cwm	4	137.50
45	840	Y G G Gellionnen	10	110.00

Agenda Item 12.



Report of the Cabinet Member for Education Improvement, Learning & Skills

Cabinet – 17 January 2018

Update on Progress for Education Department Priorities 2017-2018

Purpose:	For Cabinet to receive an update on the progress in meeting the priorities set for the 2017-2018 academic year and outline priorities set for 2018-2019 academic year.
Policy Framework:	Estyn Common Inspection Framework.
Consultation:	Legal, Finance and Access to Services.
Recommendation(s):	It is recommended that: 1) The progress update is noted.
Report Author:	Nick Williams
Finance Officer:	Chris Davies
Legal Officer:	Stephanie Williams
Access to Services Officer:	Rhian Millar

1. Introduction

- 1.1 All local authorities' education services for children and young people in Wales are inspected by Estyn under the Common Inspection Framework. Swansea Council was last inspected in June 2013 and the report was published in September 2013.
- 1.2 Previous reports provided updates on progress made on the recommendations from the 2013 inspection. This report and future reports will provide updates on new and emerging priorities, in accordance with the Council's Policy Commitments and the Estyn framework, New

Inspection Arrangements for the inspection of Local Government Education Services.

- 1.3 Following a self-evaluation using the Estyn Common Inspection Framework, five priorities were set for the 2017-2018 academic year and beyond. These were:
- Improve the quality of leadership, teaching and learning experiences and its impact on the outcomes of all learners
 - Develop and implement a new ALN strategy and policy
 - Develop and implement a wellbeing and behaviour strategy
 - Further improve EOTAS provision to further raise standards of achievement and further improve reintegration back into schools
 - Ensure all learning opportunities take place in safe environments
- 1.4 Progress on these priorities have been regularly reported to the Chief Executive's Improvement Board, the Cabinet Member for Education Improvement, Learning & Skills, the Education Strategy Group, and School Improvement Partnership and at headteacher meetings.

2. Progress on addressing the five priorities and further work required

Key to ratings:

Green – Very good progress, addressing the recommendation in nearly all aspects.

Yellow – Strong progress, addressing the recommendation in most aspects. Only minor aspects require further attention.

Amber – Satisfactory progress, addressing the recommendation in many aspects. A few significant aspects require significant attention.

Red – Limited progress, does not address the recommendation. All or many aspects still awaiting attention.

2.1 Priority 1: Improve the quality of leadership, teaching and learning experiences and its impact on the outcomes for all learners.

Status: Yellow

Summary

Successes

- Robust monitoring of all schools against national criteria completed. Primary schools now 50% green compared with 20% four years ago. Reduction of amber primary schools from 23% to 6% over last four years. There is a similar pattern in secondary schools. By the end of the 2017-2018 academic year there were no schools in a statutory Estyn category and during the first year of a new Estyn inspection cycle, Swansea's profile of inspection was good or better in nearly all schools
- Challenge advisers produced good-quality reports for support and monitoring visits. Estyn confirm high reliability of officers' pre inspection

reporting. Reports have helped schools evaluate their provision and plan for improvement, for example in the areas of literacy, whole-school self-evaluation, curriculum and sixth form provision

- Core visits have been used well to identify best practice – case studies on regional database of good practice (for example, pupil development grant, school-to-school work, teaching and lesson observations). In addition, Swansea has now produced its own directory of good practice to share as the majority of schools are categorised as highly effective schools
- A few schools causing concern continue to show improvement at a good pace, with Swansea schools supporting each other
- Additional support for schools with leadership capacity issues is mobilised quickly
- Good support for new teachers, foundation phase teachers and digital competence as well as subject co-ordinator networks afforded in Swansea
- Contextualised key stage 4 performance places Swansea schools within top five performing local authorities in 2017-2018
- Facilitation of the schools for schools principle for example, secondary leaders, primary deputy headteachers and best practitioners has grown to provide meaningful professional learning for school staff
- Middle leaders continue to benefit from good quality training co-ordinated by our consortium and delivered by strong school leaders from Swansea
- Facilitation of local support programmes for deputy and assistant headteachers has gathered momentum at secondary level
- Strong appointments have been made to the challenge adviser teams, starting from September 2018, including coverage for special/pupil referral unit and Welsh medium schools. Induction and training for the new challenge advisers has been successful covering aspects such as data, headteacher performance management, digital skills, evaluating leadership, post-16 and using LA and ERW systems
- Cynnydd work is gaining traction – Military Academy, for example, has benefitted many pupils
- Strong inspection outcomes continue in secondary schools, for example Bishopston, Olchfa, Bishop Vaughan, Crug Glas (follow-up) and Penyrheol. Similarly, the inspection profile of Swansea primary schools is strong, for example, Cwmrhydyceirw, Craigfelen, Cwm Glas, Terrace Road, Pennard and Pentre'r Graig. Morrision Primary School has been removed from Significant Improvement category. Tre Uchaf and Knelston were also removed from Estyn review because of strong improvements
- Secondary school networks have been strengthened with the introduction of SCASEN – Swansea's Curriculum and School Evaluation Network
- Review of sixth forms has provided a very useful evaluation for schools and the local authority with clear good practice to share and further areas for development. Messages identified resonate with Estyn's recent post-16 thematic survey

- Review of Ethnic Minority Achievement Unit has led to the implementation of a capacity building model delivery (January 2019) with significant sums being devolved for schools to use to ensure minority ethnic achievement supported by a small central team providing capacity building activity, monitoring of achievement, self-evaluation and support to schools with low numbers of EAL learners

Challenges

- ERW hiatus with the review and reform programme has created lack of clarity in areas such as next year's menu of support and provisional categorisation. Lack of awareness of the ERW cluster lead roles
- Avoiding duplication of resources available at local authority and central ERW
- New professional standards and new professional learning model require resources that the education improvement grant and regional school improvement grant do not cover
- New methods of service delivery required for Welsh support service provided to schools
- The move away from BTEC science in 2018 has been challenging. Despite overall triple and double science results being strong, finding a suitable course for less able pupils remains challenging. Options and best practice are being discussed in our curriculum and subject leader networks
- Readiness to deliver against Welsh Government's national mission

Further work required

- Implementation of new teaching and leadership standards
- Enabling professional learning versus delivering training
- Follow up on the findings from the Post-16 review (e.g. replacement for UCAS progress) and keep abreast with national "consistent measures" development
- Supporting schools to prepare for the draft version of the new curriculum and assessment framework, which will be available for schools in April 2019
- Review of services to Gypsy, Roma, Traveller learners to be completed and policy written to set out Swansea's principles and model of service delivery (March 2019)

2.2 Priority 2: Develop and implement a new ALN strategy and policy.

Status: Yellow

Summary

Successes

- Head of Additional Learning Needs Unit (ALNU) appointed and ALNU structure in place with appointment of acting principal psychologist

- Family liaison team is now working to role but still need to recruit to one post. There is evidence this is improving partnership working with parents/carers
- New contract for participation, engagement, advocacy and dispute resolution has been published for tender applications
- Challenger adviser and performance specialists (CAPS)/ ALNU leads have met and produced a broad ALN training plan, which has been circulated to schools
- ALN Innovation funding secured to provide WellComm packs in all primary schools and offer training to aid early identification intervention
- Outreach team hosted by Penybryn is providing capacity-building support to schools with pupils with autistic spectrum disorder (ASD) and severe and complex needs. Evaluations show this has been successful in maintaining learners in mainstream
- Gower College Swansea are engaging with the local authority with regard to the ALNET Bill implementation and with the ERW transition strand of the innovation fund. Successful inspection outcome regarding ALN
- LA/School strategy group has met to discuss the transition from statements to individual development plans (IDPs) to include the impact this has on formula funding
- Significant progress made regarding interim arrangements to provide extra specialist places and a paper approved for Cabinet following consultation with key stakeholders
- Attendance and presentation at Welsh Education Law Conference attended by Welsh Government and Children's Commissioner
- Continuing engagement with regional working group to influence planning and provide and receive support
- Engagement events with additional learning needs co-ordinators (ALNCos) and heads regarding the ALN Strategy held in April
- Commissioning review reaching closure
- Meetings with regional Transformation Lead arranged and Readiness Survey completed
- Allocations of transformation grant have been received which are favourable to Swansea
- ALN Strategy and Implementation Plan drafted for sign off by CMT 28.11.18
- ALN Strategic Board date of first meeting - 3 December 2018 - and members agreed
- Monthly surgeries with legal colleagues have already mitigated £20,500 of costs
- Tribunal appeals are down on the same period last year.
- Key appointments of the Provisions Officer and Family Liaison Officer are contributing to improving strategic capacity
- Discussions started with FEI and Early years colleagues re integrated responses to meeting ALN

Challenges

- There are still significant demands for specialist placement and provision, which could further fuel Tribunal appeals and potential out of county placements
- Overspend predicted on out of county and one to one budgets
- Band B proposals for a new special school have are at risk because WG may not be able to fund the MIM projects across Wales. This means proposals for a new special school are likely to be pushed to Band C. This requires fresh thinking about interim arrangements to expand places in current provisions and settings in Swansea
- Significant challenges posed by the ALNET Act 2018 for schools and FEIs particularly with regard to preparing and maintaining IDPs and the role of the ALNCo. Significant culture change required. Early years provision is also a key challenge
- Recent Tribunal directions have placed the authority at risk of significant backdated costs related to historical placement in independent schools in Swansea. It has been advised that we seek advice from counsel to mitigate this risk

Further work required

- Formation of an ALN Strategy Group and appropriate reporting arrangements
- Development of a local implementation plan for the ALNET Act 2018 that links to regional themes and priorities
- Development of Band C proposals and interim arrangements to improve specialist provision across Swansea
- Terms of reference and reporting arrangements for ALN Strategic Board to be agreed

2.3 Priority 3: Develop and implement a wellbeing and behaviour strategy.

Status: Yellow

Summary

Successes

- Meetings of the Behaviour and Wellbeing Strategy Working Group have been convened
- Definition of Well-being has been agreed
- Framework for the Strategy has been agreed
- Objectives and principles agreed
- Integrated Well-being Strategy drafted and presented to Family Support Continuum Steering Group
- Framework will allow a structured mapping of provision and intervention
- Models of service delivery have been agreed
- Attended and facilitated workshop of the ADEW Well-being In Education Conference

- Examples of integrated working have been worked through in detail and will be implemented between the PRU, Evolve and TAF. (X-Ref PRU update)
- Identified bottom up good practice and now clear there is appetite to share good practice across schools and agencies
- Secured project support for the strategy's development
- A model of Wellbeing has also been developed
- Integrated Well-being Strategy drafted

Challenges

- The process of consulting and implementing the strategy will require a cultural shift
- There is extensive communication and engagement activity to agree the strategy
- Agreeing roles and responsibilities of key staff will be sensitive

Further work required

- Re-launch of Wellbeing Strategy Group securing representation from key stakeholders including Health
- Setting of priorities and actions over the coming academic year and medium term
- Approval of Well-being Strategy

2.4 Priority 4: Further improve EOTAS provision to further raise standards of achievement and further improve reintegration back into schools.

Status: Yellow

Summary

Successes

- Increased number of pupils being re-integrated back to mainstream. As a result of the work of the Halfway House team, and the commitment of schools to support the re-integration of pupils with SEBD, we have achieved the highest number of pupils returning to mainstream from the PRU this year. Previous re-integration figures are as follows:
 - 2015-2016 Total number of pupils fully re-integrated = 3
 - 2016-2017 Total number of pupils fully re-integrated = 8
 - 2017-2018 Total number of pupils fully re-integrated = 21, with nearly all of these pupils having come off the roll of the PRU completely and the remainder to come off roll by October 2018. This figure equated to approximately 40% of pupils in the Primary and KS3 SEBD provision
- Overall numbers across the KS4 provision are in line with the reduced target due to the success of devolving funds to mainstream provision to better support KS4 pupils with SEBD
- New leadership structure demonstrating early positive impact in overall improved standards of teaching. Improved quality of teaching and learning across the PRU and increased number of lessons judged as

good or better through lesson observations – improvement from less than 40% good or better in Summer 2017 compared to over 80% good or better by summer 2018

- Target of 70% of KS4 pupils passing the WBQ Skill Challenge Certificate achieved – with 70.6% (24/34 passing)
- Overhaul of KS4 SEBD provision resulting in a bespoke curriculum offer for every pupil, encompassing a choice of traditional GCSEs along with SWEET, WBQ and a wide range of vocational qualifications
- Improved synchronicity between the PRU and BST enabling continuity of support to be provided to schools and Young people during transition points
- Behaviour Policy and Plan drafted
- KS4 Curriculum offer reviewed
- Workforce Planning subgroup of the Management Committee formed to discuss structure of PRU for implementation November 2019
- Pivotal training and champions now in place to implement and embed a new approach to behaviour management
- Staff and partners response to KS4 has been excellent and shown good integrated working relationships

Challenges

- Significant number of pupils admitted to the PRU demonstrating high level of challenge in terms of violence and aggression, impacting on exclusion and attendance statistics at key stage 3 and key stage 4
- Managing the limitations of the buildings and its impact on our curriculum development and the curriculum offer for pupils eg no designated, fit for purpose DT, Science or PE facilities
- Tackling underperformance of a minority of staff
- Estyn inspection due in January 2019
- Closure of Brondeg site due to fire safety concerns
- Changes in policy, staffing roles and teaching arrangements have placed strain on staff delivering the KS4 curriculum along with the closure of Brondeg
- Closure of Brondeg has reduced capacity to offer 25 hrs to learners at KS4

Further work required

- Continued partnership work with Poverty and Prevention to provide intensive training to enable current Pathways Team to undertake new roles, and implement new systems effectively
- Implement and embed a new and agreed approach to behaviour management across the whole PRU provision, to improve ethos, attendance and consistency, and provide a more consistent approach to promoting positive behaviour and managing challenging behaviour
- Review the roles and responsibilities of the Pathways Lead workers, and Develop new model for agreement of Support Team for Schools in line with model agreed in the Cabinet Paper 2016

- Review the curriculum offer across KS4, and revise organisation of teaching to provide a bespoke approach to individual pupils, based on core subject/skill areas alongside a broad and relevant choice model
- Development of a new LA Behaviour Policy aligned to the draft Well-Being Policy principles and aims
- Approval of Behaviour Policy and Plan
- Options for new PRU structure agreed
- Consultation on options completed by March 2019

2.5 Priority 5: Ensure all learning opportunities take place in safe environments.

Status: Yellow

Summary

Successes

- Successful appointment of Education Looked After Children Co-ordinator in April 2018
- Positive feedback following the Swansea Governors Conference held on 10 May 2018
- All published deadlines for school admissions for Reception and Year 7 for September 2018 met
- No safeguarding issue identified in any Swansea school inspected this academic year
- Successful appointment of Education Child Protection and Safeguarding Officer in July 2018
- Maintaining Swansea overall position for school attendance for 2017-2018 as seventh in Wales. Particularly significant given the comparison in demographics of the higher-ranking authorities
- The appointment of an Inclusion Officer, a newly created post, to work as part of a continuum of support to reduce pupil mobility and ensure managed moves, exclusions and PSPs are monitored and used appropriately

Challenges

- A period of induction for key officers new to post
- High levels of sickness and maternity leave within Education Welfare Team impacting upon ability to process Fixed Penalty Notices for poor school attendance
- The transition to a cluster model to meet the PDG LAC funding requirements while ensuring no underspend

Further work required

- Working group in place to consider the introduction of Think Safe ambassadors to relating to raising awareness and reducing instances of child sexual exploitation

- Undertaking an audit of pupil mobility trends to identify areas for improvement, development and ensuring a consistent approach across Swansea schools
- Working group in place to consider the best use of the LAC PDG to ensure grant requirements are met and the best provision is delivered

3. Priorities for 2018-2019 Academic Year

- 3.1 Following a thorough self-evaluation using the New Inspection Arrangements guidance and evaluation of last year's priorities, the following priorities have been set for the 2018-2019 academic year:
- Improve teaching and learning with a particular focus on reducing inequalities for the most vulnerable
 - Improve leadership and school governance
 - Work in partnership to develop a sustainable education system
 - Embed the new ALN, wellbeing and behaviour strategies
 - Ensure all learning opportunities take place in safe environments

4. Equality and Engagement Implications

- 4.1 Whilst there are no specific equality and engagement implications associated with this report, some specific areas of work resulting from the recommendations will be subject to the Equality Impact Assessment (EIA) process (which incorporates the UNCRC). For example, an EIA report has been developed for the EOTAS review.

5. Financial Implications

- 5.1 There are no immediate financial implications arising from this report, although a number of the actions referred to could result in additional expenditure at a future time. This does not mean that additional resources will be made available and it should be assumed that future spending needs will need to be contained within existing budget provision and have full and due regard to the budget principles set out in 'Sustainable Swansea – Fit for the Future' and the medium term financial plan.

6. Legal Implications

- 6.1 There are no immediate legal implications associated with this report.

Background Papers:

Common Inspection Framework

<https://www.estyn.gov.wales/inspection/inspection-explained/common-inspection-framework>

Estyn Guidance for the inspection of Local Government Education Services

<https://www.estyn.gov.wales/inspection/inspection-guidance/local-government-education-services>

City and County of Swansea LAESCYP Inspection Report 2013

<http://www.estyn.gov.uk/download/publication/291263.7/inspection-report-city-and-county-of-swansea-2013>

Annual self-evaluation of Local Authority Education Services for Children and Young People, 2017

www.swansea.gov.uk/estyninspections

Appendices: None

Agenda Item 13.



Report of the Local Authority Governor Appointment Group

Cabinet – 17 January 2019

Local Authority Governor Appointments

Purpose:	To approve the nominations submitted to fill Local Authority Governor vacancies in School Governing Bodies
Policy Framework:	Local Authority (LA) Governor Appointments Procedure (Adopted by Council on 26 October 2017)
Consultation:	Access to Services, Finance, Legal
Recommendation(s):	It is recommended that: 1) The nominations recommended by the Director of Education in conjunction with the Cabinet Member for Education Improvement, Learning and Skills.
Report Author:	Gemma Wynne
Finance Officer:	Chris Davies
Legal Officer:	Stephanie Williams
Access to Services Officer:	Catherine Window

1.0 The nominations referred for approval

1.1 The nominations are recommended for approval as follows:

1. Danygraig Primary School	Mr Stephen Mansell
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2.0 Financial Implications

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

3.0 Legal Implications

3.1 There are no legal implications associated with this report.

4.0 Equality and Engagement implications

The Council is subject to the Public Sector Equality Duty (Wales) and must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

Our Equality Impact Assessment process ensures that we have paid due regard to the above.

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

Background papers: None

Appendices: None

Agenda Item 14.



Report of the Chief Legal Officer

Cabinet – 17 January 2019

Exclusion of the Public

Purpose:	To consider whether the Public should be excluded from the following items of business.	
Policy Framework:	None.	
Consultation:	Legal.	
Recommendation(s):	It is recommended that:	
1)	The public be excluded from the meeting during consideration of the following item(s) of business on the grounds that it / they involve(s) the likely disclosure of exempt information as set out in the Paragraphs listed below of Schedule 12A of the Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007 subject to the Public Interest Test (where appropriate) being applied.	
	Item No's.	Relevant Paragraphs in Schedule 12A
	15	14
Report Author:	Democratic Services	
Finance Officer:	Not Applicable	
Legal Officer:	Tracey Meredith – Chief Legal Officer(Monitoring Officer)	

1. Introduction

- 1.1 Section 100A (4) of the Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007, allows a Principal Council to pass a resolution excluding the public from a meeting during an item of business.
- 1.2 Such a resolution is dependant on whether it is likely, in view of the nature of the business to be transacted or the nature of the proceedings that if members of the public were present during that item there would be disclosure to them of exempt information, as defined in section 100I of the Local Government Act 1972.

2. Exclusion of the Public / Public Interest Test

- 2.1 In order to comply with the above mentioned legislation, Cabinet will be requested to exclude the public from the meeting during consideration of the item(s) of business identified in the recommendation(s) to the report on the

grounds that it / they involve(s) the likely disclosure of exempt information as set out in the Exclusion Paragraphs of Schedule 12A of the Local Government Act 1972 as amended by the Local Government (Access to Information) (Variation) (Wales) Order 2007.

- 2.2 Information which falls within paragraphs 12 to 15, 17 and 18 of Schedule 12A of the Local Government Act 1972 as amended is exempt information if and so long as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
- 2.3 The specific Exclusion Paragraphs and the Public Interest Tests to be applied are listed in **Appendix A**.
- 2.4 Where paragraph 16 of the Schedule 12A applies there is no public interest test. Councillors are able to consider whether they wish to waive their legal privilege in the information, however, given that this may place the Council in a position of risk, it is not something that should be done as a matter of routine.

3. Financial Implications

- 3.1 There are no financial implications associated with this report.

4. Legal Implications

- 4.1 The legislative provisions are set out in the report.
- 4.2 Councillors must consider with regard to each item of business set out in paragraph 2 of this report the following matters:
 - 4.2.1 Whether in relation to that item of business the information is capable of being exempt information, because it falls into one of the paragraphs set out in Schedule 12A of the Local Government Act 1972 as amended and reproduced in Appendix A to this report.
 - 4.2.2 If the information does fall within one or more of paragraphs 12 to 15, 17 and 18 of Schedule 12A of the Local Government Act 1972 as amended, the public interest test as set out in paragraph 2.2 of this report.
 - 4.2.3 If the information falls within paragraph 16 of Schedule 12A of the Local Government Act 1972 in considering whether to exclude the public members are not required to apply the public interest test but must consider whether they wish to waive their privilege in relation to that item for any reason.

Background Papers: None.

Appendices: Appendix A – Public Interest Test.

Public Interest Test

No.	Relevant Paragraphs in Schedule 12A
12	Information relating to a particular individual.
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 12 should apply. Their view on the public interest test was that to make this information public would disclose personal data relating to an individual in contravention of the principles of the Data Protection Act. Because of this and since there did not appear to be an overwhelming public interest in requiring the disclosure of personal data they felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>
13	Information which is likely to reveal the identity of an individual.
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 13 should apply. Their view on the public interest test was that the individual involved was entitled to privacy and that there was no overriding public interest which required the disclosure of the individual's identity. On that basis they felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>
14	Information relating to the financial or business affairs of any particular person (including the authority holding that information).
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 14 should apply. Their view on the public interest test was that:</p> <ul style="list-style-type: none"> a) Whilst they were mindful of the need to ensure the transparency and accountability of public authority for decisions taken by them in relation to the spending of public money, the right of a third party to the privacy of their financial / business affairs outweighed the need for that information to be made public; or b) Disclosure of the information would give an unfair advantage to tenderers for commercial contracts. <p>This information is not affected by any other statutory provision which requires the information to be publicly registered.</p> <p>On that basis they felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>

No.	Relevant Paragraphs in Schedule 12A
15	<p>Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.</p>
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 15 should apply. Their view on the public interest test was that whilst they are mindful of the need to ensure that transparency and accountability of public authority for decisions taken by them they were satisfied that in this case disclosure of the information would prejudice the discussion in relation to labour relations to the disadvantage of the authority and inhabitants of its area. On that basis they felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>
16	<p>Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.</p>
	<p>No public interest test.</p>
17	<p>Information which reveals that the authority proposes:</p> <p>(a) To give under any enactment a notice under or by virtue of which requirements are imposed on a person; or</p> <p>(b) To make an order or direction under any enactment.</p>
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 17 should apply. Their view on the public interest test was that the authority's statutory powers could be rendered ineffective or less effective were there to be advanced knowledge of its intention/the proper exercise of the Council's statutory power could be prejudiced by the public discussion or speculation on the matter to the detriment of the authority and the inhabitants of its area. On that basis they felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>
18	<p>Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime</p>
	<p>The Proper Officer (Monitoring Officer) has determined in preparing this report that paragraph 18 should apply. Their view on the public interest test was that the authority's statutory powers could be rendered ineffective or less effective were there to be advanced knowledge of its intention/the proper exercise of the Council's statutory power could be prejudiced by public discussion or speculation on the matter to the detriment of the authority and the inhabitants of its area. On that basis they felt that the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Members are asked to consider this factor when determining the public interest test, which they must decide when considering excluding the public from this part of the meeting.</p>

Agenda Item 15.

By virtue of paragraph(s) 14 of Schedule 12A
of the Local Government Act 1972
as amended by the Local Government (Access to
Information) (Variation) (Wales) Order 2007.

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