

Cyngor

Rydych dan wŷs trwy hyn i ddod i gyfarfod **Cyngor Dinas a Sir** i'w gynnal yn O bell drwy Microsoft Teams ar Dydd Iau, 4 Tachwedd 2021 am 5.00 pm.

Gwyllo ar-lein: <https://bit.ly/3b87Z93>

Cynigir trafod y materion canlynol:

1. **Ymddiheuriadau am absenoldeb.**
2. **Datgeliadau o fuddiannau personol a rhagfarnol.**
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3. **Cofnodion.** **1 - 6**
Cymeradwyo a llofnodi cofnodion y cyfarfod(ydd) blaenorol fel cofnod cywir.
4. **Ymatebion ysgrifenedig i gwestiynau a ofynnwyd yng Nghyfarfod Cyffredinol Diwethaf y Cyngor.**
5. **Cyhoeddiadau'r Aelod Llywyddol.**
6. **Cyhoeddiadau Arweinydd y Cyngor.**
7. **Cwestiynau gan y Cyhoedd.**
Mae'n rhaid i gwestiynau gael eu cyflwyno'n ysgrifenedig i'r Gwasanaethau Democraataidd democratiaeth@abertawe.gov.uk erbyn ganol dydd fan bellaf ar y diwrnod gwaith cyn y cyfarfod. Rhaid bod y cwestiynau'n ymwneud ag eitemau ar yr agenda. Ymdrinnir â chwestiynau o fewn cyfnod o 10 munud
8. **Strwythur Uwch-reolwyr.** **7 - 113**
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10. **Datganiad cyllideb canol blwyddyn 2021/22.**
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Gweddarlledu: Gellir ffilmio'r cyfarfod hwn i'w ddarlledu'n fyw neu'n ddiweddarach drwy wefan y cyngor. Drwy gymryd rhan, rydych yn cytuno i gael eich ffilmio ac i'r delweddau a'r recordiadau sain hynny gael eu defnyddio at ddibenion gweddarlledu a/neu hyfforddiant o bosib.

Mae croeso i chi siarad Cymraeg yn y cyfarfod.

Dywedwch wrthym erbyn canol dydd, ddeuddydd cyn y cyfarfod.

Cyfarfod nesaf: Dydd Iau, 2 Rhagfyr 2021 ar 5.00 pm



Huw Evans
Pennaeth Gwasanaethau Democrataidd
Neuadd y Ddinas,
Abertawe.

Dydd Mawrth, 26 Hydref 2021

I: Bob Aelod o'r Cyngor

Agenda Item 3.



City and County of Swansea

Minutes of the **Council**

Remotely via Microsoft Teams

Thursday, 7 October 2021 at 5.00 pm

Present: Councillor D W W Thomas (Chair) Presided

Councillor(s)

C Anderson
P M Black
J E Burtonshaw
M C Child
J P Curtice
N J Davies
P Downing
C R Doyle
M Durke
C R Evans
V M Evans
W Evans
E W Fitzgerald
R Francis-Davies
S J Gallagher
L S Gibbard
F M Gordon
K M Griffiths
J A Hale
D W Helliwell
T J Hennegan

Councillor(s)

C A Holley
P R Hood-Williams
B Hopkins
D H Hopkins
L James
O G James
Y V Jardine
L R Jones
M Jones
P K Jones
S M Jones
E T Kirchner
M A Langstone
H Lawson
A S Lewis
M B Lewis
R D Lewis
C E Lloyd
P Lloyd
I E Mann
P M Matthews

Councillor(s)

P N May
H M Morris
D Phillips
C L Philpott
S Pritchard
A Pugh
J A Raynor
C Richards
K M Roberts
B J Rowlands
R V Smith
A H Stevens
R C Stewart
D G Sullivan
M Thomas
L G Thomas
L J Tyler-Lloyd
G D Walker
L V Walton
T M White

Officer(s)

Jeffrey Dong	Deputy Chief Finance Officer / Deputy Section 151 Officer.
Huw Evans	Head of Democratic Services
Adam Hill	Deputy Chief Executive / Director of Resources
David Howes	Director of Social Services
Tracey Meredith	Chief Legal Officer / Monitoring Officer
Phil Roberts	Chief Executive
Ben Smith	Chief Finance Officer / Section 151 Officer
Jeremy Parkhouse	Democratic Services Officer
Debbie Smith	Deputy Chief Legal Officer
Geoff Bacon	Head of Property Services

Apologies for Absence

Councillor(s): A M Day, M H Jones, J W Jones, E J King, W G Lewis, M Sherwood, P B Smith and G J Tanner

45. Disclosures of Personal and Prejudicial Interests.

The Chief Legal Officer gave advice regarding the potential personal and prejudicial interests that Councillors and / Officers may have on the agenda.

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

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

46. Minutes.

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

- 1) Ordinary Meeting of Council held on 2 September 2021.

47. Written Responses to Questions asked at the Last Ordinary Meeting of Council.

The Chief Legal Officer submitted an information report setting out the written responses to questions asked at the last Ordinary Meeting of Council.

48. Announcements of the Presiding Member.

a) Welsh Housing Awards 2021

The Presiding Member stated that the Welsh Housing Awards recognise and celebrate the creativity, passion, and innovation of housing organisations and individuals across the sector in Wales. He was delighted to announce that Swansea Council won in 2 categories in the Welsh Housing Awards 2021.

- i) Partnership Working Category. Tŷ Tom Jones.
- ii) Innovation in Housing Category. Swansea Council in partnership with Welsh School of Architecture.

Congratulations to Matt's House Swansea having also won an award:

- i) Supporting Communities Category. Swansea Together Food Project.

b) Community Green Flag Award – Friends of Mayhill Washing Lake & Community Garden

The Presiding Member stated that the Friends of Mayhill Washing Lake & Community Garden had been awarded the Community Green Flag Award for the third year running. He congratulated all involved.

c) Corrections / Amendments to the Council Summons

i) Item 10 “Amendments to the Council Constitution”

In the recommendation, Delete reference to Paragraph 1.6” and replace with “Paragraph 3”.

49. Announcements of the Leader of the Council.

a) Swansea – Human Rights City

The Leader stated that he would shortly be bringing a report declaring Swansea as a Human Rights City. This would be the first in Wales.

b) Development Partner

The Leader of the Council stated that Urban Slash had been announced as the Authority’s Development Partner.

c) Skin of the Arena

The Leader of the Council stated that many will have seen the recent testing of the Arena skin and the testing was progressing well. He also stated that the works were on track to be completed in next few weeks prior to the fit out by ATG.

d) Recovery Fund

The Leader of the Council thanked all for submitted requests from the fund. He stated that they were being considered and decisions will be made in due course.

50. Public Questions.

Nortridge Perrott submitted 3 questions in relation to Minute 52 “Review of Revenue Reserves”.

The Section 151 Officer responded.

51. Annual Report 2020/21 Director of Social Services.

The Director of Social Services submitted a report which was his account of the Council’s improvement journey to 2020/21 and how well the Council was meeting its statutory requirements under the Social Services & Wellbeing (Wales) Act 2014. The report looked back at last year’s areas for improvement; the challenges faced and set new priorities for 2021/22. It highlighted changes that had taken place within Social Services to achieve progress towards national well-being outcomes.

Resolved that:

- 1) The Annual Report of the Director of Social Services 2020/21 be received and approved.

52. Review of Revenue Reserves.

The Section 151 Officer submitted a report which undertook a mid-year review of the Revenue Reserves position and sought agreement for any suggested reclassification of reserves based on current requirements.

Resolved that:

- 1) The recommendations made in Sections 3.10 & 3.11 of the report be approved.

53. Amendments to the Council Constitution.

The Monitoring Officer, Head of Property & Head of Democratic Services jointly submitted a report recommended to Council by the Constitution Working Group. The report recommended changes to the Land Transaction Procedure Rules and the Scheme of Delegation.

Resolved that the amendments as outlined in Paragraph 3 and Appendix A of the report be approved and adopted.

54. Lay Members on the Governance & Audit Committee.

The Head of Democratic Services submitted a report recommended to Council by the Governance & Audit Committee. The report sought to comply with Part 6, Chapter 2 "Governance & Audit Committees: Membership & Proceedings" of the Local Government & Elections (Wales) Act 2021 by ensuring that the membership of the Governance & Audit Committee consists of one third Lay Members.

Resolved that:

- 1) The Governance & Audit Committee recommendation that the Committee comprise of 15 Members (10 Councillors and 5 Lay Members) be approved.
- 2) The process of recruiting the additional Lay Members commence in line with Council procedures.

Note: Councillor C A Holley requested a meeting with the Leader of the Council, Monitoring Officer & Head of Democratic Services in order to discuss the terms of reference of the Governance & Audit Committee. The Leader of the Council stated that he would set up the meeting.

55. Democratic Services Committee Annual Reports 2019-2020 & 2020-2021.

The Head of Democratic Services submitted an information report recommended to Council by the Democratic Services Committee. The report provided the Annual Reports of the Democratic Services Committee 2019-2020 and 2020-2021. The reports outlined the work of the Committee during those periods.

56. Scrutiny Dispatches – Impact Report.

The Chair of the Scrutiny Programme Committee submitted an information report, presenting the latest report of the Scrutiny Programme Committee on the impact of Scrutiny.

57. Councillors' Questions.

1) Part A 'Supplementary Questions'

Eight (8) Part A 'Supplementary Questions' were submitted. The relevant Cabinet Member(s) responded by way of written answers contained in the Council Summons.

No supplementary questions required a written response.

2) Part B 'Questions not requiring Supplementary Questions'

Six (6) Part B 'Questions not requiring Supplementary Questions' were submitted.

58. Notice of Motion - Fireworks.

Proposed by Councillor L V Walton and seconded by Councillor D H Hopkins.

"Fireworks are used by people throughout the year, to mark different events. Whilst they can bring much enjoyment to some people, they can cause significant anxiety and fear for some individuals and also animals, both pets and livestock.

We therefore call on Swansea City & County Council to:

- 1. Request that all organised Public Displays within the Local Authorities Boundaries to be advertised in advance of the event, allowing residents to take necessary precautions for their animals and vulnerable peoples.*
- 2. Actively promote a Public Awareness Campaign about the impact of fireworks on animals and vulnerable people, detailing existing regulations, and including precautions that can be put in place to mitigate the risks.*
- 3. Encourage Local Suppliers of Fireworks to only Stock a "quieter version" of fireworks than used for Public Displays.*

4. *Write to both UK and Welsh Governments, urging them to review and consider the existing legislation and to limit the maximum noise level of fireworks to 90 dB that can be sold to the members of the public for private use."*

Resolved that the Notice of Motion outlined above be approved.

The meeting ended at 7.15 pm

Chair

Agenda Item 8.



Report of the Chief Executive

Council – 4 November 2021

Senior Management Structure

Purpose:	To agree a new Senior Management Structure for the Council
Policy Framework:	Senior Staffing Structure
Consultation:	Corporate Management Team, Access to Services, Finance, Legal.
Recommendation(s):	<p>It is recommended that Council</p> <ol style="list-style-type: none">1. Approves the structure set out in Appendix 2 (and paragraph 2.1.5), subject to the consultation below and as detailed in the report.2. Authorise the Chief Executive to consult all affected staff.3. Subject to 2 above identifying no significant changes, authorise the Chief Executive to implement the structure.4. Agrees to the appointment of an interim Chief Executive to be appointed on an internal basis ring fenced to the existing Directors.5. Agrees that the interim Chief Executive will be paid the same remuneration as the current Chief Executive.6. Approve the commissioning of a pay and grading review for Directors and Heads of Service.
Report Author:	Phil Roberts
Finance Officer:	Paul Cridland
Legal Officer:	Stephanie Williams
Access to Services Officer:	Rhian Millar

1. Introduction

- 1.1 The existing senior management structure has been largely unchanged for a number of years. It was developed to ensure that there was sufficient capacity and expertise to deal with the local, regional and national challenges facing the City and the Council. It has been largely successful in doing so but the World has changed rapidly and the delivery of the Recovery Plan is now a central driver for the Authority. In the context of future financial challenges it is important that the cost of the senior management structure is appropriate whilst ensuring that the organisation has the necessary resilience to lead the recovery programme.

Furthermore the current pay and grading structure for directors and heads of service is outdated and needs review following any changes to the senior management structure. This is because many of the duties and accountabilities of individual officers have changed over time and reassessment is needed to ensure equity and fairness.

The Leader and Chief Executive commissioned the Welsh Local Government Association (WLGA) to provide consultancy support for the review. The WLGA engaged our former Chief Executive, Jack Straw, to undertake this task and a report was prepared by Mr Straw to inform the management review. This report has helped to inform the review and has been shared informally with directors and heads of service.

- 1.2 There are many aspects to the operating environment for Local Government in Wales going forward, but the key ones for the purpose of this review include;
- The Social Care System faces severe challenges and needs to reset post-pandemic. The many positives, including improved joint working with the NHS, need to be embedded. The likely suppressed demand will need to be met, and new models of care pursued.
 - The Education System will face major challenges in recovering from the impacts of virtual shutdown. A challenge compounded by new curriculum and ALN requirements, amongst others.
 - The Economic Impacts of the pandemic have in part been masked by emergency measures, such as furlough, but the likelihood is that economic infrastructure will need to be rebuilt and rethought in the coming period.
 - The Financial System for public service in Wales has been protected from the immediate impacts of the pandemic-generated economic collapse. It is likely that councils will face major reductions in public expenditure in the next decade.
 - The advent of Corporate Joint Committees and a further emphasis on regional working pose both an opportunity and a threat at a time when the Local Government performance framework is being given a revised and sharper focus.

The current management structure has been successful in steering the Council and the City through the pandemic but the issues raised above require some changes to be made in order that the next set of challenges can be met. It

should be placed on the record that the directors, chief officers and heads of service have worked tirelessly over the last 18 months and their collective efforts to support the City and its communities deserve recognition. The financial challenges that are likely to face the Council over the next decade are significant. Whilst immediate changes are required these should be kept to a minimum given that there will be a new council in place following the elections in May 2022 and the current chief executive will be retiring prior to that date. This will allow latitude for the new Council and CEO to make further changes during the next council term.

2. Main considerations

- 2.1 The WLGA report considers each of the directorates in turn. It draws the following conclusions

2.1.1 Education

The challenges are clear and include; recovery from Covid disruption, new curriculum introduction, changes to Additional Learning Needs (ALN) requirements, and much more. The need to create sufficient capacity to fully develop joint working with Child and Family hub model is key to delivering on key priorities. The Director should be designated lead for skills agenda and personally lead on Regional School Improvement.

A third Head of Service should be reintroduced to cover the vital area of ALN and well-being. This is a full time role in and of itself. A massive programme of transformation is currently in development and will require skilled and effective leadership to deliver against the new legal framework. Given the need to work closely with Social Services, the work programme should be jointly agreed by Directors.

2.1.2 Social Services

The safeguarding and social care agenda is well understood. The need to consolidate the positives from the COVID experience is well recognised. The risk of latent unmet demand is acknowledged, as is the need to pursue new models of care. The joint Head of Service (HOS) integration post is vital to the forward agenda and needs to be formally and permanently established in partnership with the Swansea Bay University Health Board.

The Director should lead the poverty focus ensuring, in particular, that Adults, Child and Family, and Education coordinate their efforts in this vital area. Given the strategic importance of tackling poverty it should also be a core priority for the Chief Executive and should be reflected in their work programme.

2.1.3 Place

The post of Director has a very broad remit, and is dependent on the skills and experiences of the current post holder. Consequently it is not proposed to reduce the numbers of heads of service at this juncture, given the significant increase in workload as a result of a large increase to the Council's capital programme and the breadth of services in the directorate. However

the longer term affordability of the structure will depend on the future financial environment for public services and the scale of capital and revenue finance available to the Council. This will need to be a consideration for a future Council when the financial landscape becomes clearer.

The consultancy report recommended some minor changes to reporting lines including the transfer of the corporate property function to the Resources Directorate. This is not supported at this juncture given the broader remit of that service unit and the fact that the current arrangements are already successfully helping to deliver the Council's transformation programme.

2.1.4 Resources

The consultant concluded that this is potentially the area of greatest concern as we move forward. This was based on a number of observations.

The split between the deputy CEO role and the finance HOS is neither widely understood nor clear and is not compliant with the CIPFA code requirement that the section 151 officer is a direct report for the Chief Executive Officer. The consultant's view is that the deputy role is not functioning as envisioned but this may reflect the changes to services and priorities resulting from the response to the pandemic. Human Resources needs a higher profile in the organisation and needs to be a core responsibility for a director. This should include the merging of the service centre and HR functions into one team, under a Head of Service which has currently been filled on a temporary basis. This should be a competitive recruitment process. The Chief Officer Transformation role is valued in terms of the digital agenda but not seen as leading or contributing to the necessary broader transformation. This reflects the significant and complex workload involved in the delivery of our digital strategy and the need to build on the impetus of remote working during the pandemic. It is recommended that the Chief Officer Transformation becomes the Head of Digital and Customer Services and this includes the Senior Information Risk Owner function. The commercial role needs refocussing to become a core part of every significant financial decision Council makes, particularly in light of the general power of competence.

The current recovery plan is a sound start. The consultants view is that the centre should be significantly restructured to create a clear focus on finance, service planning, performance, and transformation. The transformation function should bring together the functions of HR (people), corporate property, and digital. The principle for transformation, commissioning, etc. will be a devolved model with central support. Consequently the consultant recommends that the Council requires an additional Director post; Director of Finance. This will help the Council to have the required focus on financial issues given the medium to long term financial landscape whilst providing the necessary impetus for pushing forward the organisation transformation programme at pace. That organisational transformation will be the primary responsibility of the Deputy Chief Executive/Director of Resources with a specific remit of driving forward the HR function in sync with digital and accommodation strategies. The role should be retitled to reflect this as Deputy Chief Executive/Director of Corporate Services.

The recommendation by the consultant that the deputy role is removed is not supported at this time.

2.1.5 Summary

Addressing these recommendations will result in a changed management structure. The key proposals are therefore:

- The deletion of the post of Chief Finance Officer.
- The creation of an additional post; Director of Finance, accountable for all finance functions and commercialism and including the section 151 officer statutory duty.
- The deletion of the Chief Transformation officer post and the creation of the post of Head of Digital and Customer Services.
- The redesignation of Deputy Chief Executive/Director of Resources to Deputy Chief Executive/Director of Corporate Services.
- The formalisation and recruitment of the Head of Service for HR and Service Centre through merger of the two service areas.
- The creation of the post of Head of Vulnerable Learner Services in the education directorate
- The consolidation of the current interim structure in Adult Services and the posts of Head of Adult Services (Learning Disability / Mental Health / Service provision & safeguarding) and Head of Integrated Services.

The current management structure is attached at Appendix 1. The proposed revised management structure is attached at Appendix 2.

3. Interim Chief Executive

3.1 Given that the current Chief Executive has indicated his intention to retire at the end of April 2022 it is proposed that the post of Chief Executive is advertised on an interim basis for up to six months and that the existing deputy and directors are asked to apply for this post. Once a new council administration is formed following the elections in May 2022 the post can be filled substantively following external advertisement in accordance with legal requirements. It is proposed therefore that the recruitment of the interim CEO starts immediately. The advantages of appointing an interim CEO at this juncture are;

(a). Once an interim CEO is appointed there will inevitably need to be further interim changes dependent upon which of the directors is successful. The shadow period would allow the current CEO to work alongside the interim CEO (designate) to make these appropriate changes.

(b). There remain substantial risks associated with the fragility of the social care system and subject to which director is successful there may be a need for development and learning.

(c). The forthcoming local government elections are going to be complex with changes to boundaries as well as the groups eligible to vote. The shadow period will ensure that the current CEO, who is also currently the local and regional returning officer, is able to make

the necessary arrangements for a safe and efficient poll whilst training the interim

4. Next Steps.

- 4.1 Subject to approval by Council it will be necessary to undertake a 30 day consultation with affected staff. Should the consultation result in proposals for substantive alterations to these proposals a further report will be brought to Council. If not the process of implementing the new structure will commence thereafter. The target date for commencing implementation is currently 1st December 2021.

5. Human Resources Implications.

- 5.1 It should be noted that the Council's constitution clearly states that the requirement to publicly advertise a post for the appointment of a Chief Officer only applies where the remuneration proposed is £100,000 or more per annum. Furthermore, it should also be noted that Section 7 of the Local Government and Housing Act 1989, states that all appointments should be made on merit.
- 5.2 Therefore in terms of the post of Director of Finance it is proposed that the post is advertised and recruited to via external competition in line with the Council's Constitution. The current Chief Finance Officer will be able to apply for this post. However, it should be noted that in the event that they are not appointed to the post, they will be in a potential redundancy situation in which case the Authority's Redeployment and Redundancy Policies will apply.
- 5.3 The post of Chief Transformation Officer is deleted and it is proposed that the incumbent is slotted in directly to the post of Head of Digital Services given the match with existing duties and accountabilities.
- 5.4 The Service centre and HR functions be combined and the Head of Service role is advertised externally as a permanent role.
- 5.5 The post of Head of Vulnerable Learner Services will need to advertised externally.
- 5.6 The posts of Head of Adult Services (Learning Disability / Mental Health / Service provision & safeguarding) and Head of Integrated Services are currently filled on an interim basis. It is proposed that they be advertised externally and that the existing staff can apply. The Head of Integrated Services will be a joint appointment with the Swansea Bay University Health Board.
- 5.7 Following the Council meeting, the proposals will be confirmed in writing to the Senior Management Team and formal consultation will then commence. Although not legally required, good practice would suggest a consultation period of 30 days in which written responses can be sent to the Chief Executive.
- 5.8 At the end of the consultation period, the Chief Executive will formally inform the Senior Management Team the outcome of the consultation.
- 5.9 Following the implementation of the restructure a review of pay and grading for senior officers will be undertaken. This will require external expertise via consultancy support. It is likely that this may need to include a consideration of senior managers

in the tier immediately below heads of service but this element will be the subject of further reports.

6. Integrated Assessment Implications

6.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, 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 Acts.
- 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.
- Deliver better outcomes for those people who experience socio-economic disadvantage.
- Consider opportunities for people to use the Welsh language.
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

6.2 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

6.3 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

6.4 An IIA screening has been undertaken for each proposed structure change. There have been some impacts identified on the gender balance to CMT. The screening forms can be viewed in appendix 11.

7. Financial Implications

7.1 The net additional costs of proposals is £182,516. Appendix 3 details the financial implications.

7.2 It should be noted that as a consequence of having to advertise externally there will be a cost arising as a result of that process which will have to be met from existing budgets. There will also be a cost in commissioning a pay and grading review for senior staff.

8. Legal Implications

- 8.1 The Local Authorities Standing Orders (Wales) Regulations 2006 (as amended) requires all Local Authorities to advertise vacant posts with a remuneration package that exceeds £100K per annum.
- 8.2 There is an exemption to this requirement where the Local Authority proposes to appoint a Chief Executive for a period of no longer than 12 months.
- 8.3 Welsh Government Guidance on Pay Accountability published in December 2020 recommends that full council should be offered the opportunity to vote on large salary packages offered in respect of new appointments in accordance with their agreed pay policy statements. The Welsh Ministers consider £100,000 is the right level for that threshold.

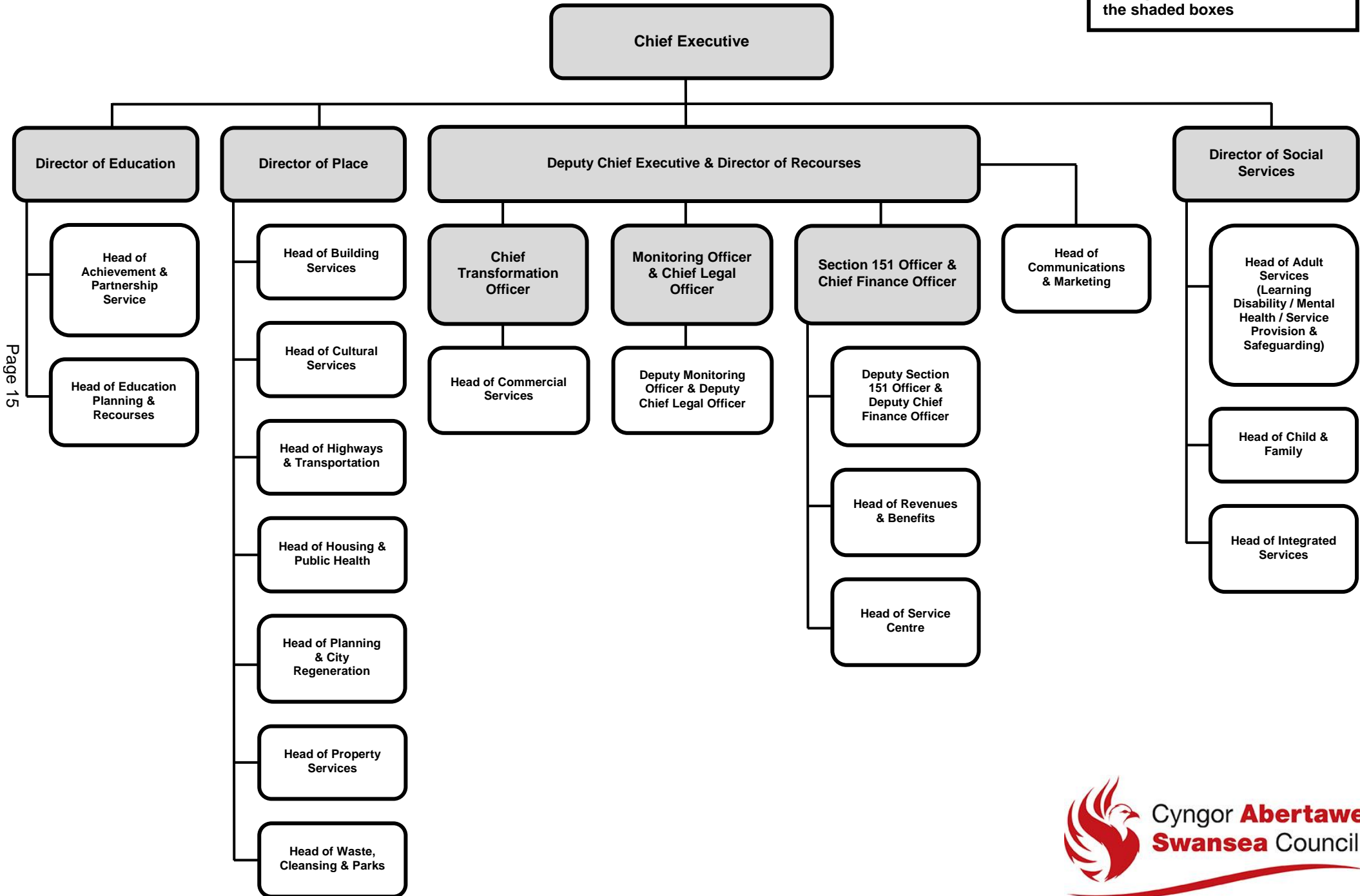
Background Papers: None

Appendices:

- Appendix 1 - Current Corporate Management Structure
- Appendix 2 - Proposed Corporate Management Structure
- Appendix 3 - Financial Information
- Appendix 4 - Role Profile - Deputy Chief Executive / Director of Corporate Services
- Appendix 5 - Role Profile - Director of Finance/section 151 officer
- Appendix 6 - Role Profile - Head of Digital and Customer Services
- Appendix 7 - Role Profile - Head of Head of Vulnerable Learner Services
- Appendix 8 - Role Profile - Head of Integrated Services.
- Appendix 9 - Role Profile - Head of Adult Services (Learning Disability/Mental Health/Service provision & safeguarding)
- Appendix 10 - Role Profile - Head of HR and Service Centre
- Appendix 11 - EIA screening forms

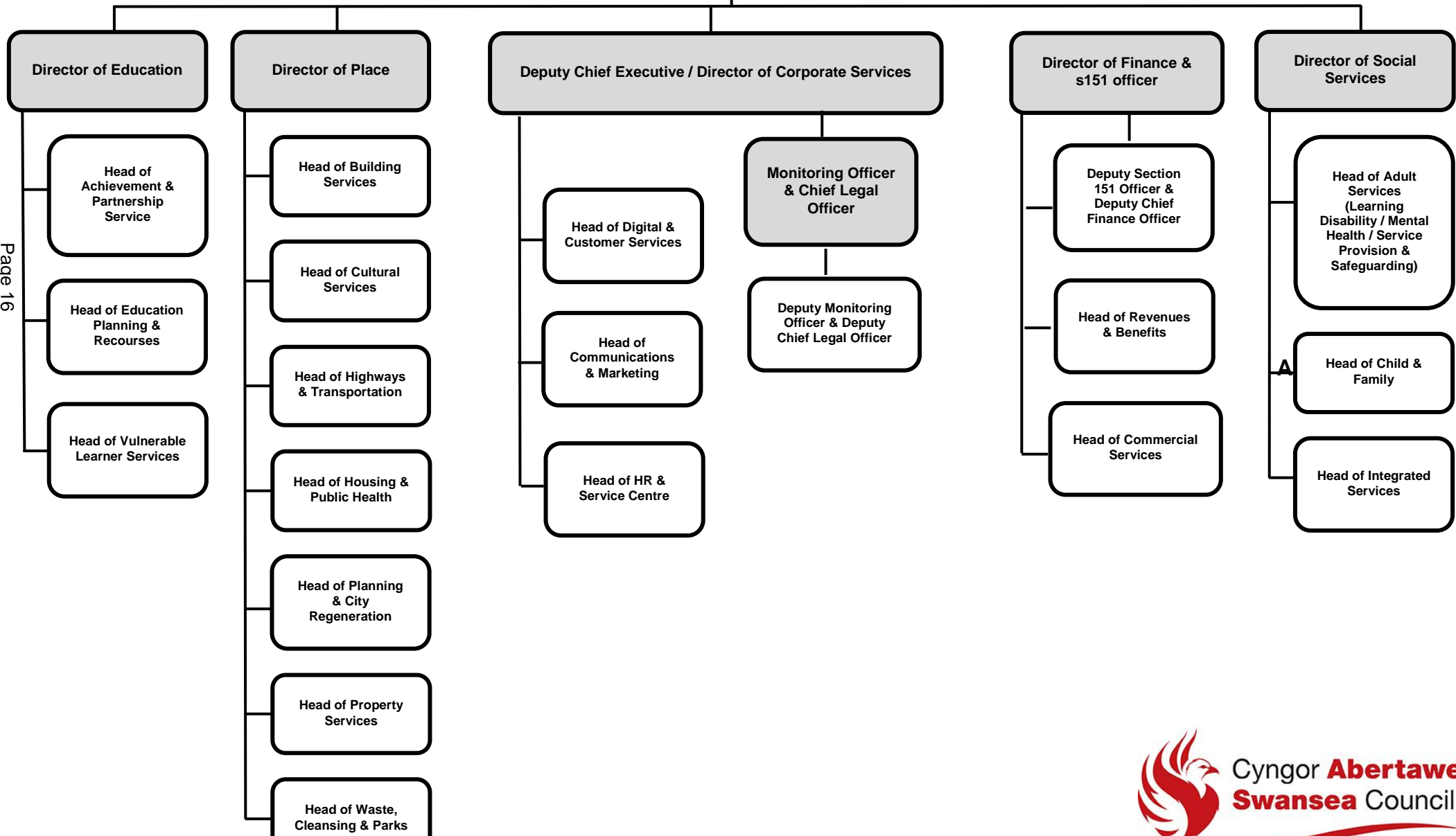
Senior Management Team – Current Structure – October 2020

Members of the Corporate Management Team (CMT) are in the shaded boxes



Senior Management Team – Proposed Structure – November 2021

Members of the Corporate Management Team (CMT) are in the shaded boxes



Recommendations :

Posts Deleted : (reflect current budgets)	Cost
Chief Finance Officer	-£149,120
Chief Transformation Officer	-£137,650
Total Savings	-£286,770

Posts created :

(at bands, points shown)

Director of Finance (@ Director , Point 3)	£149,943
Head of Digital & Customer Service (@ HoS Band 1 , Point 7)	£122,356
Head of Vulnerable Learner Services (@ HoS Band 1 , Point 1)	£99,414
Head of Service HR & Service Centre # (@ HoS Band 2 , Point 3)	£76,790
Head of Service Adult Services # (@ HoS Band 1 , Point 4)	£15,884
Head of Service Integrated Services % (@HoS Band 1 , Point 4)	£4,899
Total Costs	£469,286
Net additional costs of proposals	£182,516

Note :

Any salary protection costs arising from the deletion of the Chief Transformation Officer post will result in the net additional costs increasing to **£197,810** for the duration of the protection (2 years).

The above costs in relation to the Heads of Service for HR & Service Centre and Adult Services reflect the additional cost over and above existing budgets .

%The above cost in relation to the Head of Service for Integrated Services reflects the additional cost over and above existing budgets together with an assumption that the current funding arrangements with Swansea Bay University Health Board continue.

Should there be any redundancy costs in relation to the above these will be an additional cost.

All other recommendations in relation to re-designations and consolidations of posts are assumed to be cost neutral.

The costs above are based on either existing budgets or current pay bands as stated and include salary on-costs.

There will also be additional one off costs relating to both the relevant recruitment process and the commissioning of a pay and grading review for directors and heads of service .



Role Profile

Post Title:	Deputy Chief Executive / Director of Corporate Services
Directorate:	Corporate Services
Family:	Corporate Management and Leadership
Reporting to:	Chief Executive
Salary	DCX band
Post No:	
Date:	November 2021

Purpose

The post holder will provide leadership and guidance to the senior management team regarding the transformation programme including the HR, ICT and governance functions. They will work collaboratively with the leadership team and with elected members. They will ensure that cultural change is delivered by instilling in their leadership team purpose and responsibility.

Key Responsibilities

Responsible for:	<ul style="list-style-type: none"> ➤ Deputise for the Chief Executive ➤ Transformation ➤ ICT, HR and service centre, legal and democratic services ➤ Cultural change, Organisational and Workforce Development ➤ Partnerships and the Public Service Board ➤ Corporate Planning and Performance Management ➤ Industrial relations ➤ Communications, emergency planning and civil contingencies
Themes:	Efficiency, Effectiveness, Performance, Delivery, Governance and performance
Strategic Programmes & Projects:	<ul style="list-style-type: none"> ➤ Transformation Agenda ➤ Recovery Planning ➤ Workforce and industrial relations ➤ Digital Strategy ➤ Governance
Strategic Lead:	Transformation, Workforce Planning, Digital Strategy, Information Management, Performance Management, Delivery, Customer Care, Organisational Development, Improvement Plan, Scrutiny; Governance, Emergency Planning and Community Safety

Role Accountability	End Result
Leadership	
To provide strategic leadership on Corporate Plans, Strategies and priorities and to lead internal portfolios, programmes and external partnerships and initiatives	<ul style="list-style-type: none"> ➤ Strategic leadership for the Council's portfolios, programmes and projects ➤ The Council's view is effectively represented on national and regional fora and partnerships ➤ Leadership on corporate change and transformation
Corporate Management	
To provide Directorate lead on corporate decision making fora to ensure sustainable delivery of the services within the assigned Directorate	<ul style="list-style-type: none"> ➤ Participation in Executive Management decision making ➤ Completed strategic corporate and business plans ➤ Clear aims and objectives disseminated across all services ➤ Local, regional and national plans considered in future corporate planning
Policy	
Develop and oversee the implementation of Corporate strategies and policies. Influence and contribute to regional and national strategies, policies and plans on behalf of the Council.	<ul style="list-style-type: none"> ➤ Statutory and legislative requirements effectively translated into Corporate and Service policies and strategies ➤ Regional and national policy across the public sector influenced ➤ Council policies developed and implemented
Professional advice and guidance	
Support and provide advice to the Chief Executive, Members and other internal and external stakeholders in area of expertise and context of business requirements	<ul style="list-style-type: none"> ➤ Chief Executive and Members supported ➤ Directors, Chief Officers/Heads of Service/Senior Managers supported ➤ Stakeholders supported
Resources & Financial Management	
<p>Lead, set, monitor and control the budgets and resources for the Directorate</p> <p>Overall responsibility for Directorate budget and resourcing to meet Corporate objectives</p>	<ul style="list-style-type: none"> ➤ Corporate financial probity is maintained. ➤ Effective financial, asset and resource management of the Directorate ➤ Resource planning is effective for the Directorate ➤ Budget targets planned and met, variances identified and remedial action taken ➤ All resources effectively employed/ deployed ➤ Contracts outcomes achieved to plan

Role Accountability	End Result
Compliance	
Ensure appropriate legislative and regulatory compliance mechanisms are in place for the Directorate	<ul style="list-style-type: none"> ➤ Statutory and regulatory compliance on behalf of the Council is met ➤ Professional and regulatory standards monitored and met ➤ Council risk is identified and mitigated
Customer and Citizen Focus	
Provide an environment that supports the development of new ways of working and support innovation that focuses on the customer/citizen; ensure customer/citizen satisfaction	<ul style="list-style-type: none"> ➤ New models of delivery considered/ supported to achieve value for money and efficiencies ➤ Customer/Citizen needs prioritised and met
Performance Management	
Ensure Directorate KPIs and standards are set in place for each service and responsible officers have adequate resources to deliver performance outcomes	<ul style="list-style-type: none"> ➤ Performance targets met ➤ Outcomes identified and met ➤ Key risks mitigated and issues resolved ➤ Corrective actions implemented ➤ Statutory requirements and external standards satisfied ➤ Improvements identified and planned
People Management	
Lead, manage, develop and motivate the services and teams within the Directorate, and support cross functional/cross agency teams. Support regular Directorate workforce planning activities to ensure the sustainability of the Directorate workforce.	<ul style="list-style-type: none"> ➤ Positive climate ➤ Capable and knowledgeable staff ➤ Directorate Workforce and Training Plans in place ➤ Appraisal mechanisms maximised to ensure optimal performance ➤ Council and HR policies/procedures met
Nature Of Contacts	
<ul style="list-style-type: none"> ➤ Represent the Council/Directorate/Service ➤ Substantial knowledge and experience of navigating the political environment at regional and national level. ➤ External organisations including government bodies, local and regional partnerships. ➤ Lead consultation groups at all levels – providing advice, informing and influencing their approach and decisions. ➤ Internal and External Customers – engage and interact with, provide expert response to complex/sensitive queries, give advice and inform and influence decisions. ➤ External providers and suppliers – Outcomes reviewed and managed effectively, remedial action taken as required at the appropriate level. ➤ Colleagues, management, Directors, Members and external organisations -supporting future corporate planning, reporting and presenting options to assist and inform decision making 	
Working Environment	
Mainly office based with travel to various locations for external meetings. May be required to travel to other sites, including outdoor sites.	

Procedural Context
<p>The role's impact will be on Directorate issues, and may include compliance with legal and statutory frameworks, and will extend to influence on matters of corporate or national importance. Role will also include:</p> <ul style="list-style-type: none"> ➤ Influencing the development of external policy frameworks, national and regional initiatives and programmes; taking the lead role in interpreting them in the Council context. ➤ Supporting the Council and the Chief Executive in delivering corporate strategies/plans and policies ➤ Leading the development of plans, policies and systems - integrating these plans into business planning for short, medium and longer term situations. ➤ Lead/support the implementation of Corporate Change Programmes and Projects. ➤ Deputise for the Chief Executive.
Key Facts & Figures
<p>Manage a number of Services – additional services/functions may be integrated into the Directorate from time to time. Responsible for Directorate budget and strategic planning and control – overall responsibility for budget monitoring and deployment of resources for the Directorate.</p>
Indicative Qualifications
<p>Substantial relevant experience of the public sector/local and national government political environment and/or</p> <ul style="list-style-type: none"> ➤ Post graduate level professional qualification ➤ Relevant Degree ➤ Chartered membership of appropriate professional body will be required in some areas of expertise
Work Knowledge
<ul style="list-style-type: none"> ➤ Proven track record in public sector organisations, with significant political acumen at the regional and national level. ➤ In depth technical, professional and legislative knowledge across specific areas of expertise – ability to present on specific areas at highest levels to influence policy and decision making ➤ In depth management experience, including extensive project / programme management/sponsoring experience. ➤ Thorough understanding of the Council, and the wider local, Regional, National and international context to develop and implement strategies, policies and standards.
Equipment & Associated Skills
<ul style="list-style-type: none"> ➤ Standard Office equipment. ➤ ICT literate in standard office software. ➤ Associated professional software applications where appropriate.

Competencies

A Note on Competencies

Mandatory competencies have been designed to ensure that officers in the Executive Management and Leadership family are fully aware of their responsibilities in these areas.

Compulsory Requirements for Health & Safety Compliance

Swansea Council, as a public body, has legal obligations under the Equality Act 2010 and Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 that includes the Public Sector Equality Duty.

Managers must:

1. have knowledge and understanding of the legislation and public sector duties so that both are considered in their work to ensure legislative compliance.
2. ensure that all corporate work (including priorities, strategies and plans) fully complies with the requirements of all equality legislation

Compulsory Requirements for the Welsh Language Act

The authority has obligations to meet the requirements of the Welsh Language Act 1993 and the Welsh Language (Wales) Measure 2011. This is achieved through implementing policies and standards regarding the Welsh Language, as outlined in the authority's Welsh Language Standards Compliance Plan (or as amended from time to time).

Managers must:

1. understand their obligations within the remit of their own role in order to implement the Plan and ensure compliance with legislation
2. ensure that all corporate strategies and plans fully comply with the requirements of Welsh language legislation and standards as implemented via the authority's Compliance Plan

Compulsory Requirements for Introducing Change And New Ways Of Working

The Council is experiencing an unprecedented period of change and budget pressures that are having a profound impact on the organisation. Change has become the norm rather than the exception, and is now embedded into 'business as usual'. In order to support this, the following competencies have been defined in order to assist employees and managers with understanding their role and responsibilities within this context:

Managers must:

1. demonstrate commitment to the Council's new ways of working, providing a positive, engaging and supportive environment that initiates and enables innovative and sustainable working practices that deliver high quality services for our citizens
2. embrace change through actively and flexibly participating in and adapting to new ways of working with our workforce and citizens, as agreed through formal consultation with Trades Unions and HR Policies and procedures

Safeguarding

All Directors, Chief Officers and Heads of Service – through their Management Teams – are jointly responsible for ensuring that all the statutory requirements in terms of safeguarding and promoting the welfare of children and adults receive due consideration. This includes the quality, content and frequency of training provided and maintaining sufficient staff training records.

Role Profile Specific Behaviours

A Note on Behavioural Competencies

The Corporate Management and Leadership family role profiles have been designed to reflect the new Corporate Senior Management Structure. This is a generic competency framework designed to introduce the concept of behavioural competencies in a flexible format in the first instance. An example of the flexibility of the behaviours may be that some Corporate Services HOS will have more strategic involvement than others, depending on the remit of their role; whereas other Heads of Services will have more affinity with community and citizen engagement behaviours. The competency framework will be piloted for 12 months and then reviewed.

BEHAVIOUR 1

Job Knowledge and Professionalism

Purpose	Directors have a clear understanding of their roles and responsibilities, and carry them out professionally and ethically on behalf of the Council
1	Believes in the ethos of public service; leads and inspires others by setting an example of highest standards, striving for best practice; and represents the Council professionally and ethically locally, regionally and nationally
2	Effectively leads and exemplifies the Council's corporate culture and values; creates a positive environment where innovation and achievement can thrive
3	Provides impartial professional advice and guidance to the Council in areas of strategy, policy and delivery of Council services
4	Effectively supports the development and implementation of Council strategies and programmes
5	Effectively deals with difficult/controversial issues directly with others, providing leadership to find a way forward

BEHAVIOUR 2

Planning and Organising

Purpose	Directors are able to effectively plan and organise own/service and directorate team productivity to make effective decisions on behalf of the Service/Directorate/Council.
1	Ensures strategies, plans and procedures are put into place and managed appropriately within the internal (Council's) and external (regional/ national/ European) context
2	Accepts responsibility and is accountable for own decision making and judgement
3	Understands the political climate and future horizon, and responds appropriately on behalf of Service/Council
4	Promotes and aligns decisions to Council priorities within the Council's Corporate Risk Framework, providing consistent guidance to others to assist decision making
5	Creates and effectively communicates organisational goals for implementing vision,

BEHAVIOUR 3 Decision Making	
Purpose	Directors demonstrate skill in reading situations, and makes accurate decisions in the interests of the Service/Directorate/Council.
1	Takes responsibility for own and team/s decisions and effectively manages risk
2	Proactively steps up to responsibility for team/service when required, even in the face of opposition
3	Demonstrates willingness to take calculated risks and ability to make difficult decisions without all of the available information
4	Actively seeks creative solutions to difficult problems even when under pressure, and ensures solutions are implemented effectively
5	Objectively evaluates and aligns decision making with corporate / service objectives
BEHAVIOUR 4 Building Working Relationships	
Purpose	Directors work collaboratively and successfully with others, demonstrating an understanding of the internal and external political context.
1	Advocates, lobbies and influences key external players in the political context ethically and professionally on behalf of the Service/Council
2	Utilises consultation ethically and professionally and shares information appropriately to break down barriers between people and groups
3	Is diplomatic and sensitive to the political context, and works collaboratively in ways that are compatible with political goals
4	Actively initiates and supports cross-sectoral innovation, collaboration and partnership working as 'business as usual'
5	Develops effective, ethical, political relationships to achieve Council priorities
BEHAVIOUR 5 Communicating and Influencing	
Purpose	To ensure Directors communicate effectively and use their influence ethically and professionally in the interests of the Council and its citizens
1	Communicates clearly and openly, conveying clear and concise messages and adapting content and style to help others to understand what is meant
2	Establishes an atmosphere of open communication and transparency across the service/directorate/ organisation
3	Promotes equality and diversity through appropriate communication procedures across the service/directorate/organisation
4	Promotes the Council's strategies, plans, initiatives and programmes effectively through appropriate media and marketing channels
5	Influences and negotiates ethically and effectively at all levels, internally and externally, on behalf of the Council's aims and objectives.

BEHAVIOUR 6 Customer and Citizen Focus	
Purpose	Directors demonstrate enthusiasm and willingness to serve the community in their role, in behalf of the Council
1	Demonstrates ability to meaningfully consult and engage with stakeholders to identify and implement service improvement, and strives to meet expectations
2	Proactively champions the needs of customers through creating a culture of high quality customer service delivery
3	Objectively evaluates the needs of different groups, translating into appropriate action
4	Demonstrates ability to initiate and implement new and innovative services for customers
5	Ensures that Council services are delivered effectively to meet current and future client/customer needs.
BEHAVIOUR 7 Delivering the Service	
Purpose	Directors understand the Council's team work ethic and are committed to the service delivery and performance outcomes
1	Initiates and supports cross-sector and/or portfolio working; seeks establish and maintain effective partnerships and collaborative working
2	Demonstrates accountability for and supports innovation and improvement initiatives to ensure current service and future sustainability.
3	Effectively identifies and measures performance requirements for the Directorate/Service, ensuring effective delivery of outcomes.
4	Creates a positive team environment by encouraging achievement and commitment to the delivery of quality outcomes for service users
5	Ensures effective performance measures and mechanisms are adhered to across the Directorate/Service to achieve the efficiency agenda
BEHAVIOUR 8 Information, Finance and Resources	
Purpose	Directors understand the governance rules and regulations of the Council for effective management of the resources and assets of the Council.
1	Understands the strategic framework to develop financial plans and efficiency agenda for the Service/Directorate/Council
2	Objectively and fairly provides appropriate support and development opportunities to improve knowledge and understanding of financial and resource management processes
3	Utilises effective and ethical negotiations and influencing to agree the allocation of financial resources internally and externally
4	Effectively evaluates the financial performance of the Directorate/Service, projects and programmes
5	Provides objective professional and expert advice to improve knowledge and understanding of the Council's financial, asset and resource management processes

BEHAVIOUR 9 Programme and Project Management	
Purpose	Directors are able to co-ordinate, manage and deliver projects and programmes, support and manage change, to meet Council aims and objectives
1	Utilises resources to ensure programme/ project delivery, providing opportunities for Service/Directorate/Council to develop appropriate knowledge and skills to ensure effective and sustainable delivery.
2	Consistently applies Council's Project/Programme management methodology, monitoring control, and programme/project assurance and reporting mechanisms and procedures effectively.
3	Works collaboratively at strategic level to identify programmes/projects and associated risks, aligning outcomes to Corporate Priorities, ensuring programme and project governance as required.
4	Provides effective leadership to ensure that all project/programme outcomes are achieved (on time and within budget)
5	Demonstrates commitment to achieving agreed project/ programme outcomes through effective management and mitigation of project, programme and Corporate risk
BEHAVIOUR 10 People and Performance	
Purpose	Directors understand the requirements to ensure that the right people are in the right place at the right time to deliver Council services and Corporate priorities
1	Accepts responsibility for all aspects of the Service/Directorate's development and performance through implementation of effective HR and workforce development mechanisms
2	Actively engages and collaborates across agency boundaries internally and externally to develop an effective and sustainable public sector workforce
3	Actively engages with local/regional and national political agenda for promoting performance excellence (representing the Council at national/international level)
4	Effectively leads on workforce planning, workforce development, succession planning and service/business planning activities for the Service/Directorate/Council
5	Works proactively to achieve service efficiencies and improvements through effective allocation, deployment and development of assets/resources



Role Profile

Post Title:	Director of Finance/Section 151 officer
Directorate:	Finance
Family:	Corporate Management and Leadership
Reporting to:	Chief Executive
Salary	Director
Post No:	
Date:	November 2021

Purpose

The post holder will provide leadership and guidance to the senior management team regarding the financial strategy and the allocation of resources. The post holder will act as the Council's statutory Section 151 officer and the CMT lead on commercialism. They will work collaboratively with the leadership team and with Members. They will ensure that cultural change is delivered by instilling in their leadership team purpose and responsibility.

Key Responsibilities

Responsible for:	<ul style="list-style-type: none"> ➤ Resources and Financial Strategy ➤ Commercialism ➤ Section 151 responsibilities
Themes:	Efficiency, Effectiveness, Performance, Delivery, Governance; Regionalisation; Financial strategy and performance
Strategic Programmes & Projects:	<ul style="list-style-type: none"> ➤ Corporate Financial Strategy ➤ Medium Term Financial Plan ➤ Capital Development, Investment & Risk Management ➤ Development of the commercialism approach
Strategic Lead:	Financial Strategy, commercialism

Role Accountability	End Result
Leadership	
<p>To provide strategic leadership on Corporate Plans, Strategies and priorities and to lead internal portfolios, programmes and external partnerships and initiatives</p>	<ul style="list-style-type: none"> ➤ Strategic leadership for the Council's portfolios, programmes and projects ➤ The Council's view is effectively represented on national and regional fora and partnerships ➤ Leadership on corporate change and transformation
Corporate Management	
<p>To provide Directorate lead on corporate decision making fora to ensure sustainable delivery of the services within the assigned Directorate</p>	<ul style="list-style-type: none"> ➤ Participation in Executive Management decision making ➤ Completed strategic corporate and business plans ➤ Clear aims and objectives disseminated across all services ➤ Local, regional and national plans considered in future corporate planning
Policy	
<p>Develop and oversee the implementation of Corporate strategies and policies. Influence and contribute to regional and national strategies, policies and plans on behalf of the Council.</p>	<ul style="list-style-type: none"> ➤ Statutory and legislative requirements effectively translated into Corporate and Service policies and strategies ➤ Regional and national policy across the public sector influenced ➤ Council policies developed and implemented
Professional advice and guidance	
<p>Support and provide advice to the Chief Executive, Members and other internal and external stakeholders in area of expertise and context of business requirements</p>	<ul style="list-style-type: none"> ➤ Chief Executive and Members supported ➤ Directors, Chief Officers/Heads of Service/Senior Managers supported ➤ Stakeholders supported
Resources & Financial Management	
<p>Lead, set, monitor and control the budgets and resources for the Directorate</p> <p>Overall responsibility for Directorate budget and resourcing to meet Corporate objectives</p>	<ul style="list-style-type: none"> ➤ Corporate financial probity is maintained. ➤ Effective financial, asset and resource management of the Directorate ➤ Resource planning is effective for the Directorate ➤ Budget targets planned and met, variances identified and remedial action taken ➤ All resources effectively employed/ deployed ➤ Contracts outcomes achieved to plan

Role Accountability	End Result
Compliance	
Ensure appropriate legislative and regulatory compliance mechanisms are in place for the Directorate	<ul style="list-style-type: none"> ➤ Statutory and regulatory compliance on behalf of the Council is met ➤ Professional and regulatory standards monitored and met ➤ Council risk is identified and mitigated
Customer and Citizen Focus	
Provide an environment that supports the development of new ways of working and support innovation that focuses on the customer/citizen; ensure customer/citizen satisfaction	<ul style="list-style-type: none"> ➤ New models of delivery considered/ supported to achieve value for money and efficiencies ➤ Customer/Citizen needs prioritised and met
Performance Management	
Ensure Directorate KPIs and standards are set in place for each service and responsible officers have adequate resources to deliver performance outcomes	<ul style="list-style-type: none"> ➤ Performance targets met ➤ Outcomes identified and met ➤ Key risks mitigated and issues resolved ➤ Corrective actions implemented ➤ Statutory requirements and external standards satisfied ➤ Improvements identified and planned
People Management	
Lead, manage, develop and motivate the services and teams within the Directorate, and support cross functional/cross agency teams. Support regular Directorate workforce planning activities to ensure the sustainability of the Directorate workforce.	<ul style="list-style-type: none"> ➤ Positive climate ➤ Capable and knowledgeable staff ➤ Directorate Workforce and Training Plans in place ➤ Appraisal mechanisms maximised to ensure optimal performance ➤ Council and HR policies/procedures met
Nature Of Contacts	
<ul style="list-style-type: none"> ➤ Represent the Council/Directorate/Service ➤ Substantial knowledge and experience of navigating the political environment at regional and national level. ➤ External organisations including government bodies, local and regional partnerships. ➤ Lead consultation groups at all levels – providing advice, informing and influencing their approach and decisions. ➤ Internal and External Customers – engage and interact with, provide expert response to complex/sensitive queries, give advice and inform and influence decisions. ➤ External providers and suppliers – Outcomes reviewed and managed effectively, remedial action taken as required at the appropriate level. ➤ Colleagues, management, Directors, Members and external organisations -supporting future corporate planning, reporting and presenting options to assist and inform decision making 	
Working Environment	
Mainly office based with travel to various locations for external meetings. May be required to travel to other sites, including outdoor sites.	

Procedural Context
<p>The role's impact will be on Directorate issues, and may include compliance with legal and statutory frameworks, and will extend to influence on matters of corporate or national importance. Role will also include:</p> <ul style="list-style-type: none"> ➤ Influencing the development of external policy frameworks, national and regional initiatives and programmes; taking the lead role in interpreting them in the Council context. ➤ Supporting the Council and the Chief Executive in delivering corporate strategies/plans and policies ➤ Leading the development of plans, policies and systems - integrating these plans into business planning for short, medium and longer term situations. ➤ Lead/support the implementation of Corporate Change Programmes and Projects. ➤ Deputise for the Chief Executive.
Key Facts & Figures
<p>Manage a number of Services – additional services/functions may be integrated into the Directorate from time to time.</p> <p>Responsible for Directorate budget and strategic planning and control – overall responsibility for budget monitoring and deployment of resources for the Directorate.</p>
Indicative Qualifications
<p>Substantial relevant experience of the public sector/local and national government political environment and/or</p> <ul style="list-style-type: none"> ➤ Post graduate level professional qualification ➤ Relevant Degree ➤ Chartered membership of appropriate professional body will be required in some areas of expertise ➤ CCAB Accountancy Body membership is a legal requirement for the S151 Officer duties
Work Knowledge
<ul style="list-style-type: none"> ➤ Proven track record in public sector organisations, with significant political acumen at the regional and national level. ➤ In depth technical, professional and legislative knowledge across specific areas of expertise – ability to present on specific areas at highest levels to influence policy and decision making ➤ In depth management experience, including extensive project / programme management/sponsoring experience. ➤ Thorough understanding of the Council, and the wider local, Regional, National and international context to develop and implement strategies, policies and standards.
Equipment & Associated Skills
<ul style="list-style-type: none"> ➤ Standard Office equipment. ➤ ICT literate in standard office software. ➤ Associated professional software applications where appropriate.

Competencies

A Note on Competencies

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Managers must:

3. have knowledge and understanding of the legislation and public sector duties so that both are considered in their work to ensure legislative compliance.
4. ensure that all corporate work (including priorities, strategies and plans) fully complies with the requirements of all equality legislation

Compulsory Requirements for the Welsh Language Act

The authority has obligations to meet the requirements of the Welsh Language Act 1993 and the Welsh Language (Wales) Measure 2011. This is achieved through implementing policies and standards regarding the Welsh Language, as outlined in the authority's Welsh Language Standards Compliance Plan (or as amended from time to time).

Managers must:

3. understand their obligations within the remit of their own role in order to implement the Plan and ensure compliance with legislation
4. ensure that all corporate strategies and plans fully comply with the requirements of Welsh language legislation and standards as implemented via the authority's Compliance Plan

Compulsory Requirements for Introducing Change And New Ways Of Working

The Council is experiencing an unprecedented period of change and budget pressures that are having a profound impact on the organisation. Change has become the norm rather than the exception, and is now embedded into 'business as usual'. In order to support this, the following competencies have been defined in order to assist employees and managers with understanding their role and responsibilities within this context:

Managers must:

3. demonstrate commitment to the Council's new ways of working, providing a positive, engaging and supportive environment that initiates and enables innovative and sustainable working practices that deliver high quality services for our citizens
4. embrace change through actively and flexibly participating in and adapting to new ways of working with our workforce and citizens, as agreed through formal consultation with Trades Unions and HR Policies and procedures

Safeguarding

All Directors, Chief Officers and Heads of Service – through their Management Teams – are jointly responsible for ensuring that all the statutory requirements in terms of safeguarding and promoting the welfare of children and adults receive due consideration. This includes the quality, content and frequency of training provided and maintaining sufficient staff training records.

Role Profile Specific Behaviours

A Note on Behavioural Competencies

The Corporate Management and Leadership family role profiles have been designed to reflect the new Corporate Senior Management Structure. This is a generic competency framework designed to introduce the concept of behavioural competencies in a flexible format in the first instance. An example of the flexibility of the behaviours may be that some Corporate Services HOS will have more strategic involvement than others, depending on the remit of their role; whereas other Heads of Services will have more affinity with community and citizen engagement behaviours. The competency framework will be piloted for 12 months and then reviewed.

BEHAVIOUR 1

Job Knowledge and Professionalism

Purpose	Description
	Directors have a clear understanding of their roles and responsibilities, and carry them out professionally and ethically on behalf of the Council
1	Believes in the ethos of public service; leads and inspires others by setting an example of highest standards, striving for best practice; and represents the Council professionally and ethically locally, regionally and nationally
2	Effectively leads and exemplifies the Council's corporate culture and values; creates a positive environment where innovation and achievement can thrive
3	Provides impartial professional advice and guidance to the Council in areas of strategy, policy and delivery of Council services
4	Effectively supports the development and implementation of Council strategies and programmes
5	Effectively deals with difficult/controversial issues directly with others, providing leadership to find a way forward

BEHAVIOUR 2

Planning and Organising

Purpose	Description
	Directors are able to effectively plan and organise own/service and directorate team productivity to make effective decisions on behalf of the Service/Directorate/Council.
1	Ensures strategies, plans and procedures are put into place and managed appropriately within the internal (Council's) and external (regional/ national/ European) context
2	Accepts responsibility and is accountable for own decision making and judgement
3	Understands the political climate and future horizon, and responds appropriately on behalf of Service/Council
4	Promotes and aligns decisions to Council priorities within the Council's Corporate Risk Framework, providing consistent guidance to others to assist decision making
5	Creates and effectively communicates organisational goals for implementing vision,

BEHAVIOUR 3 Decision Making	
Purpose	Directors demonstrate skill in reading situations, and makes accurate decisions in the interests of the Service/Directorate/Council.
1	Takes responsibility for own and team/s decisions and effectively manages risk
2	Proactively steps up to responsibility for team/service when required, even in the face of opposition
3	Demonstrates willingness to take calculated risks and ability to make difficult decisions without all of the available information
4	Actively seeks creative solutions to difficult problems even when under pressure, and ensures solutions are implemented effectively
5	Objectively evaluates and aligns decision making with corporate / service objectives
BEHAVIOUR 4 Building Working Relationships	
Purpose	Directors work collaboratively and successfully with others, demonstrating an understanding of the internal and external political context.
1	Advocates, lobbies and influences key external players in the political context ethically and professionally on behalf of the Service/Council
2	Utilises consultation ethically and professionally and shares information appropriately to break down barriers between people and groups
3	Is diplomatic and sensitive to the political context, and works collaboratively in ways that are compatible with political goals
4	Actively initiates and supports cross-sectoral innovation, collaboration and partnership working as 'business as usual'
5	Develops effective, ethical, political relationships to achieve Council priorities
BEHAVIOUR 5 Communicating and Influencing	
Purpose	To ensure Directors communicate effectively and use their influence ethically and professionally in the interests of the Council and its citizens
1	Communicates clearly and openly, conveying clear and concise messages and adapting content and style to help others to understand what is meant
2	Establishes an atmosphere of open communication and transparency across the service/directorate/ organisation
3	Promotes equality and diversity through appropriate communication procedures across the service/directorate/organisation
4	Promotes the Council's strategies, plans, initiatives and programmes effectively through appropriate media and marketing channels
5	Influences and negotiates ethically and effectively at all levels, internally and externally, on behalf of the Council's aims and objectives.

BEHAVIOUR 6 Customer and Citizen Focus	
Purpose	Directors demonstrate enthusiasm and willingness to serve the community in their role, in behalf of the Council
1	Demonstrates ability to meaningfully consult and engage with stakeholders to identify and implement service improvement, and strives to meet expectations
2	Proactively champions the needs of customers through creating a culture of high quality customer service delivery
3	Objectively evaluates the needs of different groups, translating into appropriate action
4	Demonstrates ability to initiate and implement new and innovative services for customers
5	Ensures that Council services are delivered effectively to meet current and future client/customer needs.
BEHAVIOUR 7 Delivering the Service	
Purpose	Directors understand the Council's team work ethic and are committed to the service delivery and performance outcomes
1	Initiates and supports cross-sector and/or portfolio working; seeks establish and maintain effective partnerships and collaborative working
2	Demonstrates accountability for and supports innovation and improvement initiatives to ensure current service and future sustainability.
3	Effectively identifies and measures performance requirements for the Directorate/Service, ensuring effective delivery of outcomes.
4	Creates a positive team environment by encouraging achievement and commitment to the delivery of quality outcomes for service users
5	Ensures effective performance measures and mechanisms are adhered to across the Directorate/Service to achieve the efficiency agenda
BEHAVIOUR 8 Information, Finance and Resources	
Purpose	Directors understand the governance rules and regulations of the Council for effective management of the resources and assets of the Council.
1	Understands the strategic framework to develop financial plans and efficiency agenda for the Service/Directorate/Council
2	Objectively and fairly provides appropriate support and development opportunities to improve knowledge and understanding of financial and resource management processes
3	Utilises effective and ethical negotiations and influencing to agree the allocation of financial resources internally and externally
4	Effectively evaluates the financial performance of the Directorate/Service, projects and programmes
5	Provides objective professional and expert advice to improve knowledge and understanding of the Council's financial, asset and resource management processes

BEHAVIOUR 9 Programme and Project Management	
Purpose	Directors are able to co-ordinate, manage and deliver projects and programmes, support and manage change, to meet Council aims and objectives
1	Utilises resources to ensure programme/ project delivery, providing opportunities for Service/Directorate/Council to develop appropriate knowledge and skills to ensure effective and sustainable delivery.
2	Consistently applies Council's Project/Programme management methodology, monitoring control, and programme/project assurance and reporting mechanisms and procedures effectively.
3	Works collaboratively at strategic level to identify programmes/projects and associated risks, aligning outcomes to Corporate Priorities, ensuring programme and project governance as required.
4	Provides effective leadership to ensure that all project/programme outcomes are achieved (on time and within budget)
5	Demonstrates commitment to achieving agreed project/ programme outcomes through effective management and mitigation of project, programme and Corporate risk
BEHAVIOUR 10 People and Performance	
Purpose	Directors understand the requirements to ensure that the right people are in the right place at the right time to deliver Council services and Corporate priorities
1	Accepts responsibility for all aspects of the Service/Directorate's development and performance through implementation of effective HR and workforce development mechanisms
2	Actively engages and collaborates across agency boundaries internally and externally to develop an effective and sustainable public sector workforce
3	Actively engages with local/regional and national political agenda for promoting performance excellence (representing the Council at national/international level)
4	Effectively leads on workforce planning, workforce development, succession planning and service/business planning activities for the Service/Directorate/Council
5	Works proactively to achieve service efficiencies and improvements through effective allocation, deployment and development of assets/resources



ROLE PROFILE

POST TITLE:	Head of Digital and Customer Services
DIRECTORATE:	Resources
FAMILY:	Corporate Management and Leadership
REPORTING TO:	Deputy Chief Executive/ Director of Corporate Services (Resources)
SALARY	Head of service Band 1
POST NO:	TBC
DATE:	November 2021

PURPOSE

To lead, manage, implement and continuously develop Swansea Council's digital and customer strategies. Turning strategy into action; working with both colleagues and customers across the authority to create ambitious digital transformation plans that seek to maximise the value of technology and digital services. To support improvements in both customer and service satisfaction and organisational efficiency.

KEY RESPONSIBILITIES

RESPONSIBLE FOR:

- Digital strategy and implementation
- Technology security including Public Services Network (PSN) certification
- Digital Services teams including: Infrastructure and networking, voice, applications development, Oracle, desktop support, the web team, digital project implementations, and ICT service desk
- Council SIRO (Senior Information Risk Owner)
- Customer Services and Customer Contact Strategy and implementation
- Complaints: Complaints team and lead around the complaints policy and procedures, including being the main liaison officer with the Public Services Ombudsman Wales (PSOW)

<p>THEMES:</p>	<ul style="list-style-type: none"> ➤ To be the Council’s adviser and lead on digital strategy, tools to enable better information management, and technology solutions ➤ To be the Council’s SIRO and chair the Information Governance Board ➤ Lead on the Customer Contact Strategy and implementation in collaboration with other Heads of Service ➤ To operate as a single customer service organisation, to improve customer experience, managing the Council’s central contact ➤ Lead on the ongoing development and implementation of the Council’s complaints policies and procedures in line with the Public Services Ombudsman Wales Act 2019, working closely with the PSOW ➤ Lead on the development and implementation of a high-quality digital and customer focussed business operating model, new ways of working and associated performance frameworks across the Council ➤ To develop the Council’s capacity and capability in maximising the use of digital solutions ➤ Representing the Council / senior lead on regional / national projects as appropriate (e.g. City Deal) ➤ Responsible for the Council’s technology security and annual PSN compliance ➤ To commission digital, technology and customer services solutions that support Council priorities and approved strategies, working with the other Heads of Service.
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ROLE ACCOUNTABILITY	END RESULT
Statutory and Regulatory	
Responsible officer for the Council for delivery of cross cutting Digital and customer Services	<ul style="list-style-type: none"> • Legislative and statutory changes are influenced and planned appropriately in terms of business support and reporting • Cross-cutting service delivery
Leadership	
Overall responsibility for the management and control of Council / Service projects / cases, policies and initiatives to meet Corporate and business plan objectives	<ul style="list-style-type: none"> • Service teams objectives disseminated/ interpreted to meet Corporate Priorities • Business plan objectives set and outcomes met • Professional and regulatory standards met
Planning	
Support corporate planning and lead on strategic service planning. Lead the development and management of business plans in line with Corporate and Directorate strategies and plans	<ul style="list-style-type: none"> • Support strategic corporate planning mechanisms • Service business plans implemented and monitored and reviewed to timescales • Clear service aims and objectives disseminated across all teams • Local, regional and national plans considered/integrated in business plan
Policy	
Assist the Director with the development and implementation of strategies, policies, procedures and standards for the Service and set and/or contribute to wider strategies and plans	<ul style="list-style-type: none"> • Service policies and strategies set • Policy implementation is monitored and reviewed • Regional and national agenda integral to policy development and implementation
Professional Guidance and Support	
Support and provide advice to Directors and Chief Executive, Members, managers and other internal and external stakeholders in area of expertise/business context	<ul style="list-style-type: none"> • Members, Chief Executive and Directors supported • Managers supported • Stakeholders supported
Resources/Finance Management	
Lead, set, monitor and control the budgets and resources for the service. Overall responsibility for resourcing the delivery of the service in order to meet objectives	<ul style="list-style-type: none"> • Effective financial management and probity demonstrated for the service • Resource planning is effective for the service • Budget targets planned and met • All resources effectively employed / deployed • Contracts planned, established and monitored

ROLE ACCOUNTABILITY	END RESULT
Compliance	
Identify professional and regulatory requirements and best practice for the Service; lead the development and the implementation of appropriate compliance standards	<ul style="list-style-type: none"> • Professional and regulatory standards monitored and met • Best practice trends identified and implemented where appropriate • Implications assessed and advice given • Proposals and plans in place to protect the Council position
Customer Focus	
Develop and support service innovations and new ways of working that focus on the customer and ensure customer satisfaction	<ul style="list-style-type: none"> • New models of delivery considered to achieve value for money and efficiencies • Customer needs prioritised and met
Performance management	
Responsibility for taking action to support delivery of outcomes and monitoring KPIs internally and externally at a senior level. Set and deliver performance targets and standards for own service	<ul style="list-style-type: none"> • Service reporting mechanisms in place • Key risks and issues identified and mitigated • Corrective actions implemented • Performance targets met • Statutory requirements and external standards satisfied • Improvements identified and planned
Representation	
Put Council case from a service / corporate view and inform and influence outcomes both internally and externally	<ul style="list-style-type: none"> • Council view effectively represented at all levels • Council case understood and promoted effectively locally, regionally and nationally • Beneficial outcomes negotiated appropriately
People Management	
Lead, manage, develop and motivate the Service/teams (internal and external). Undertake regular Service workforce planning activities to ensure the sustainability of the Service	<ul style="list-style-type: none"> • Positive climate • Capable and knowledgeable staff • Achievement of work objectives • Service Workforce and Training Plans in place • Compliance with HR policies • Council and HR policies/procedures met
NATURE OF CONTACTS	
<ul style="list-style-type: none"> • Represent the Council/Directorate/Service • Substantial knowledge and experience of navigating the political environment at regional and national level. • External organisations including government bodies, local and regional partnerships. • Lead consultation groups at all levels – providing advice, informing and influencing their approach and decisions. • Internal and External Customers – engage and interact with, provide expert response to complex/sensitive queries, give advice and inform and influence decisions. • External providers and suppliers – Outcomes reviewed and managed effectively, remedial action taken as required at the appropriate level. • Colleagues, management, Directors, Members and external organisations -supporting future corporate planning, reporting and presenting options to assist and inform decision making 	

WORKING ENVIRONMENT

Mainly office based with travel to various locations for external meetings. May be required to travel to other sites, including outdoor sites.

PROCEDURAL CONTEXT

The role's impact will be on Directorate issues, and may include compliance with legal and statutory frameworks, and will extend to influence on matters of corporate or national importance. Role will also include:

- Influence the development of external policy frameworks and developments; take the lead role in interpreting them in the Council context.
- Lead the development of plans, policies and systems within the context of regulatory and legislative frameworks and integrating these plans into business planning for short, medium and longer term situations.
- Lead/support the implementation of Corporate Change Projects.
- Undertakes critical analysis, provides expert point of view and advice, negotiates results and influences decisions in Council and external fora.

KEY FACTS AND FIGURES

- Manage diverse functions in one full Service area – additional functions may be integrated into the service from time to time.
- Responsible for Service budget, Service planning and control – budget monitoring and deployment of resources.
- Monitor and control service/corporate budgets.

INDICATIVE QUALIFICATIONS

Substantial relevant experience of the public sector/local government political environment and/or

- Relevant Degree
- Post graduate level professional qualification
- Chartered membership of appropriate professional body will be required in some areas of expertise.
- Specific qualifications *will* be required in areas with clear statutory responsibilities (e.g. Education, Social Services).

WORK KNOWLEDGE

- Proven track record in public sector organisations, with significant political acumen internally and externally.
- In depth technical, professional and legislative knowledge across specific areas within the Service and statutory function.
- In depth management experience, including extensive project / programme management applicable to the service/organisation.
- Thorough understanding of the Council's local, Regional and National context to develop and implement strategies, policies and standards.
- Ability to provide expert specialist advice and inform and influence outcomes across the Service/Directorate/Council.

EQUIPMENT AND ASSOCIATED SKILLS

Standard Office equipment.

ICT literate in standard office software.

Associated professional software applications where appropriate.

COMPETENCIES

Mandatory competencies have been designed to ensure that officers in the Executive Management and Leadership family are fully aware of their responsibilities in these areas.

COMPULSORY REQUIREMENTS FOR HEALTH AND SAFETY COMPLIANCE

All Chief Officers have statutory duties under Health and Safety Legislation and responsibilities placed on them in the Authority's Corporate Health and Safety Policy.

1. The Chief Officer shall, while at work, take reasonable care for the health, safety and wellbeing of themselves and of other persons who may be affected by their acts or omissions
2. The Chief Officer shall comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act relevant to their work activities
3. The Chief Officer shall fulfil their responsibilities for health and safety as detailed in the City and County of Corporate Health and Safety Policy and its arrangements and additionally be responsible collectively for delivering the responsibilities of CMT.
4. The Chief Officer shall take action to ensure that all persons delivering work under their direction comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act, and that employees fulfil their responsibilities for health and safety as detailed in the City and County of Swansea Health and Safety Policy.

COMPULSORY REQUIREMENTS FOR EQUALITY AND DIVERSITY (EQUALITY ACT 2010)

The City and County of Swansea, as a public body, has legal obligations under the Equality Act 2010 and Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 that includes the Public Sector Equality Duty.

Managers must:

5. have knowledge and understanding of the legislation and public sector duties so that both are considered in their work to ensure legislative compliance.
6. ensure that all corporate work (including priorities, strategies and plans) fully complies with the requirements of all equality legislation

COMPULSORY REQUIREMENTS FOR THE WELSH LANGUAGE ACT

The authority has obligations to meet the requirements of the Welsh Language Act 1993 and the Welsh Language (Wales) Measure 2011. This is achieved through implementing policies and standards regarding the Welsh Language, as outlined in the authority's Welsh Language Standards Compliance Plan (or as amended from time to time).

Managers must:

5. understand their obligations within the remit of their own role in order to implement the Plan and ensure compliance with legislation
6. ensure that all corporate strategies and plans fully comply with the requirements of Welsh language legislation and standards as implemented via the authority's Compliance Plan

COMPULSORY REQUIREMENTS FOR INTRODUCING CHANGE AND NEW WAYS OF WORKING

The Council is experiencing an unprecedented period of change and budget pressures that are having a profound impact on the organisation. Change has become the norm rather than the exception, and is now embedded into 'business as usual'. In order to support this, the following competencies have been defined in order to assist employees and managers with understanding their role and responsibilities within this context:

Managers must:

5. demonstrate commitment to the Council's new ways of working, providing a positive, engaging and supportive environment that initiates and enables innovative and sustainable working practices that deliver high quality services for our citizens

6. embrace change through actively and flexibly participating in and adapting to new ways of working with our workforce and citizens, as agreed through formal consultation with Trades Unions and HR Policies and procedures

SAFEGUARDING

All Directors, Chief Officers and Heads of Service – through their Management Teams – are jointly responsible for ensuring that all the statutory requirements in terms of safeguarding and promoting the welfare of children and adults receive due consideration. This includes the quality, content and frequency of training provided and maintaining sufficient staff training records.

ROLE PROFILE SPECIFIC BEHAVIOURS

A NOTE ON BEHAVIOURAL COMPETENCIES

The Corporate Management and Leadership family role profiles have been designed to reflect the new Corporate Senior Management Structure for 2013. This is a generic competency framework designed to introduce the concept of behavioural competencies in a flexible format in the first instance. An example of the flexibility of the behaviours may be that some Corporate Services HOS will have more strategic involvement than others, depending on the remit of their role; whereas other Heads of Services will have more affinity with community and citizen engagement behaviours. The competency framework will be piloted for 12 months and then reviewed.

BEHAVIOUR 1

Job Knowledge and Professionalism

Purpose	Chief Officers have a clear understanding of their roles and responsibilities, and carry them out professionally and ethically on behalf of the Council
1	Believes in the ethos of public service; leads and inspires others by setting an example of highest standards, striving for best practice; and represents the Council professionally and ethically locally, regionally and nationally
2	Effectively leads and exemplifies the Council's corporate culture and values; creates a positive environment where innovation and achievement can thrive
3	Provides impartial professional advice and guidance to the Council in areas of strategy, policy and delivery of Council services
4	Effectively supports the development and implementation of Council strategies and programmes
5	Effectively deals with difficult/controversial issues directly with others, providing leadership to find a way forward

BEHAVIOUR 2

Planning and Organising

Purpose	Chief Officers are able to effectively plan and organise own/service and directorate team productivity to make effective decisions on behalf of the Service/Directorate/Council.
1	Ensures strategies, plans and procedures are put into place and managed appropriately within the internal (Council's) and external (regional/ national/ European) context
2	Accepts responsibility and is accountable for own decision making and judgement
3	Understands the political climate and future horizon, and responds appropriately on behalf of Service/Council
4	Promotes and aligns decisions to Council priorities within the Council's Corporate Risk Framework, providing consistent guidance to others to assist decision making
5	Creates and effectively communicates organisational goals for implementing vision,

BEHAVIOUR 3	
Decision Making	
Purpose	Chief Officers demonstrate skill in reading situations, and makes accurate decisions in the interests of the Service/Directorate/Council.
1	Takes responsibility for own and team/s decisions and effectively manages risk
2	Proactively steps up to responsibility for team/service when required, even in the face of opposition
3	Demonstrates willingness to take calculated risks and ability to make difficult decisions without all of the available information
4	Actively seeks creative solutions to difficult problems even when under pressure, and ensures solutions are implemented effectively
5	Objectively evaluates and aligns decision making with corporate / service objectives
BEHAVIOUR 4	
Building Working Relationships	
Purpose	Chief Officers work collaboratively and successfully with others, demonstrating an understanding of the internal and external political context.
1	Advocates, lobbies and influences key external players in the political context ethically and professionally on behalf of the Service/Council
2	Utilises consultation ethically and professionally and shares information appropriately to break down barriers between people and groups
3	Is diplomatic and sensitive to the political context, and works collaboratively in ways that are compatible with political goals
4	Actively initiates and supports cross-sectoral innovation, collaboration and partnership working as 'business as usual'
5	Develops effective, ethical, political relationships to achieve Council priorities
BEHAVIOUR 5	
Communicating and Influencing	
Purpose	To ensure Chief Officers communicate effectively and use their influence ethically and professionally in the interests of the Council and its citizens
1	Communicates clearly and openly, conveying clear and concise messages and adapting content and style to help others to understand what is meant
2	Establishes an atmosphere of open communication and transparency across the service/directorate/ organisation
3	Promotes equality and diversity through appropriate communication procedures across the service/directorate/organisation
4	Promotes the Council's strategies, plans, initiatives and programmes effectively through appropriate media and marketing channels
5	Influences and negotiates ethically and effectively at all levels, internally and externally, on behalf of the Council's aims and objectives.

BEHAVIOUR 6	
Customer and Citizen Focus	
Purpose	Chief Officers demonstrate enthusiasm and willingness to serve the community in their role, in behalf of the Council
1	Demonstrates ability to meaningfully consult and engage with stakeholders to identify and implement service improvement, and strives to meet expectations
2	Proactively champions the needs of customers through creating a culture of high quality customer service delivery
3	Objectively evaluates the needs of different groups, translating into appropriate action
4	Demonstrates ability to initiate and implement new and innovative services for customers
5	Ensures that Council services are delivered effectively to meet current and future client/customer needs.
BEHAVIOUR 7	
Delivering the Service	
Purpose	Chief Officers understand the Council's team work ethic and are committed to the service delivery and performance outcomes
1	Initiates and supports cross-sector and/or portfolio working; seeks establish and maintain effective partnerships and collaborative working
2	Demonstrates accountability for and supports innovation and improvement initiatives to ensure current service and future sustainability.
3	Effectively identifies and measures performance requirements for the Directorate/Service, ensuring effective delivery of outcomes.
4	Creates a positive team environment by encouraging achievement and commitment to the delivery of quality outcomes for service users
5	Ensures effective performance measures and mechanisms are adhered to across the Directorate/Service to achieve the efficiency agenda
BEHAVIOUR 8	
Information, Finance and Resources	
Purpose	Chief Officers understand the governance rules and regulations of the Council for effective management of the resources and assets of the Council.
1	Understands the strategic framework to develop financial plans and efficiency agenda for the Service/Directorate/Council
2	Objectively and fairly provides appropriate support and development opportunities to improve knowledge and understanding of financial and resource management processes
3	Utilises effective and ethical negotiations and influencing to agree the allocation of financial resources internally and externally
4	Effectively evaluates the financial performance of the Directorate/Service, projects and programmes
5	Provides objective professional and expert advice to improve knowledge and understanding of the Council's financial, asset and resource management processes

BEHAVIOUR 9 Programme and Project Management	
Purpose	Chief Officers are able to co-ordinate, manage and deliver projects and programmes, support and manage change, to meet Council aims and objectives
1	Utilises resources to ensure programme/ project delivery, providing opportunities for Service/Directorate/Council to develop appropriate knowledge and skills to ensure effective and sustainable delivery.
2	Consistently applies Council's Project/Programme management methodology, monitoring control, and programme/project assurance and reporting mechanisms and procedures effectively.
3	Works collaboratively at strategic level to identify programmes/projects and associated risks, aligning outcomes to Corporate Priorities, ensuring programme and project governance as required.
4	Provides effective leadership to ensure that all project/programme outcomes are achieved (on time and within budget)
5	Demonstrates commitment to achieving agreed project/ programme outcomes through effective management and mitigation of project, programme and Corporate risk
BEHAVIOUR 10 People and Performance	
Purpose	Chief Officers understand the requirements to ensure that the right people are in the right place at the right time to deliver Council services and Corporate priorities
1	Accepts responsibility for all aspects of the Service/Directorate's development and performance through implementation of effective HR and workforce development mechanisms
2	Actively engages and collaborates across agency boundaries internally and externally to develop an effective and sustainable public sector workforce
3	Actively engages with local/regional and national political agenda for promoting performance excellence (representing the Council at national/international level)
4	Effectively leads on workforce planning, workforce development, succession planning and service/business planning activities for the Service/Directorate/Council
5	Works proactively to achieve service efficiencies and improvements through effective allocation, deployment and development of assets/resources



Role Profile

POST TITLE:	Head of Vulnerable Learner Service
DIRECTORATE:	Education
FAMILY:	Corporate Management & Leadership
REPORTING TO:	Director of Education
SALARY BAND & SALARY:	Head of service Band 1
POST NO:	TBC
DATE:	September 2021

Purpose

To determine the strategic planning and operational delivery of a full Service / Business Unit within a Directorate.

Key Responsibilities

- Additional Learning Needs (ALN) Strategy
- Key link to regional partnerships
- Placement of Learners with ALN
- Educational Psychology Support for ALN
- Learning Support for Learners with ALN
- Workforce Development for ALN
- Education other than at school (EOTAS) Policy including Pupil Referral Unit (PRU)
- Behaviour Support including Wellbeing and Behaviour strategy
- Partnership with Child and Family Service
- Home Tuition service
- To provide strategic input across all services areas in Education
- To deputise when necessary for the Director of Education

Person Specification

Skills /Technical / Professional Competence	
Essential	<ol style="list-style-type: none"> 1. Effective use and knowledge of the Estyn Common Inspection Framework. 2. Effective use and knowledge of the SEN Code of Practice for Wales. 3. Comprehensive understanding of the implications of the ALNET Bill. 4. Comprehensive understanding of effective strategies to support pupil wellbeing and behaviour. 5. Comprehensive understanding of effective strategies to support pupils with English as an additional language. 6. Uses strategic planning and resource management to impact on outcomes. 7. Competence in using the corporate safeguarding procedures to keep learners safe.
Desirable	<ol style="list-style-type: none"> 1. Uses community links to strengthen provision. 2. Establishes and builds partnerships to share best practice and ensure success of the learner.
Experience	
Essential	<ol style="list-style-type: none"> 1. Experience of leading and managing at a very senior level in a school or local authority. 2. Successful management of budget. 3. Staff development and management including teaching and support staff. 4. Evidence of experience of proficient strategic planning. 5. Experience of successfully leading and managing teams. 6. Experience of chairing meetings and contributing to multi- agency fora. 7. Experience of safeguarding procedures, risk assessment and managing safely.
Desirable	
Competencies & Abilities	
Essential	<ol style="list-style-type: none"> 1. Ability to create and secure commitment to a clear vision for effective provision. 2. Ability to work well with others and motivate staff. 3. Ability to communicate effectively both verbally and in writing. 4. Ability to develop a positive and engaging culture and ethos. 5. Ability to manage change. 6. Ability to manage staff performance. 7. Ability to manage safely and assess risk. 8. Use data and benchmarks to monitor progress in every child's learning and to focus teaching towards excellence. 9. Ability to work with governing bodies and other external bodies so that it is able to meet its responsibilities for securing effective learning and teaching and improved standards of achievement.
Desirable	Organises and deploys staff in order to distribute leadership and enables the service to run efficiently and effectively on a day-to-day basis.

Role Accountability	End Result
Corporate Management	
Overall responsibility for the management and control of Service projects / cases, policies and initiatives to meet Corporate and business plan objectives	<ul style="list-style-type: none"> • Service teams objectives disseminated/ interpreted to meet Corporate Priorities • Business plan objectives set and outcomes met • Professional and regulatory standards met
Policy	
Assist the Director with the development and implementation of strategies, policies, procedures and standards for the Service and set and/or contribute to wider strategies and plans	<ul style="list-style-type: none"> • Service policies and strategies set • Policy implementation is monitored and reviewed • Regional and national agenda integral to policy development and implementation
Planning	
Support corporate planning and lead on strategic service/business planning.	<ul style="list-style-type: none"> • Strategic corporate planning mechanisms supported • Service business plans implemented and monitored and reviewed to timescales • Clear service aims and objectives disseminated across all teams • Local, regional and national plans considered/integrated in business plan
Professional Guidance and Support	
Support and provide advice to senior officers and politicians, team members and direct reports, and other internal and external stakeholders in area of expertise/business context	<ul style="list-style-type: none"> • Members, Chief Executive, Directors, Chief Officers are supported • Managers and teams supported • Stakeholders supported
Resources & Financial Management	
Overall responsibility for service budget and for resourcing the delivery of service in order to meet service/corporate objectives	<ul style="list-style-type: none"> • Effective financial management and probity is maintained for the service • Budget targets planned and met • All resources effectively employed/ deployed for service efficiency • Contracts planned, established and monitored – remedial actions taken
Compliance	
Identify professional and regulatory requirements and best practice for the service and lead the development and the implementation of appropriate compliance standards	<ul style="list-style-type: none"> • Professional and regulatory standards monitored and met • Best practice trends identified and implemented where appropriate • Implications/risks assessed and advice given • Proposals and plans in place to protect the Council position

Role Accountability	End Result
Customer Focus	
Support teams to deliver service improvement and innovation to maximise customer satisfaction and optimise service delivery	<ul style="list-style-type: none"> • New models of delivery considered and implemented to achieve value for money and efficiencies • Customer needs prioritised and met • Customer complaints dealt with fairly and effectively
Performance management	
Responsibility for taking action to support delivery of outcomes and monitoring KPIs internally and externally at a senior level. Set and deliver performance targets and standards for own service	<ul style="list-style-type: none"> • Service reporting mechanisms in place • Key risks and issues identified and mitigated • Corrective actions implemented • Service and own performance targets met • Statutory requirements and external standards satisfied • Improvements identified and planned
Representation	
Put Council case from a service / corporate view and inform and influence outcomes both internally and externally	<ul style="list-style-type: none"> • Council view effectively represented at all levels • Council case understood and promoted effectively locally, regionally and nationally • Beneficial outcomes negotiated appropriately
People Management	
Lead, manage, develop and motivate the service, teams (internal and external). Undertake regular workforce/succession planning activities to ensure the sustainability of the service	<ul style="list-style-type: none"> • Positive climate • Capable and knowledgeable staff • Achievement of service/work objectives • Service Workforce and Training Plans in place • Council and HR policies and procedures met
Nature Of Contacts	
<ul style="list-style-type: none"> • Represent the Service / Directorate / Council internally and externally. • Substantial knowledge and experience of navigating the political environment. • External organisations including government bodies, local and regional partnerships. • Lead consultation groups at all levels – providing advice, informing and influencing their approach and decisions. • Internal and External Customers – engage and interact with, provide expert response to complex/sensitive queries, give advice and inform and influence decisions. • External providers and suppliers – Outcomes reviewed and managed effectively, remedial action taken as required at the appropriate level. • Support colleagues, managers, Directors, Members and external organisations within own specialist remit. • Consult and communicate with wide range of groups and senior individuals internally and externally to explain situations, give advice, inform and influence their approach and decisions • Colleagues, management, Directors, Members and external organisations, including government bodies – support future corporate planning, deliver reports, present options and inform and influence decision making. 	

Working Environment
Mainly office based with travel to various locations for external meetings. May be required to travel to other sites, including outdoor sites.
Procedural Context
<ul style="list-style-type: none"> • Lead the development of plans, policies and systems within the context of regulatory and legislative frameworks and integrating these plans into business planning for short, medium and longer term situations. • Influence the development of external policy frameworks and developments; take the lead role in interpreting them in the Council context. • The output of the role's impact will be on service issues and will also often extend to influence on matters of corporate or national importance. • Undertake critical analysis, provides expert point of view and advice, negotiates results and influences decisions in Council and external forums. • Lead in the planning process for business planning, budgets, resources and development of policies and procedures in short, Mid and longer term planning situations. • Lead/support the implementation of Corporate Change Projects. • Provide expert point of view and advice, negotiates results and influences decisions at appropriate level.
Work Knowledge
<ul style="list-style-type: none"> • In depth technical, professional and legislative knowledge across specific areas within the service. • Thorough understanding of the Council in a local. Regional and National context to develop and implement policies and standards. • Ability to provide expert specialist advice and inform and influence outcomes across the service/Directorate. • Proven track record in public sector organisations, with ability to demonstrate political acumen internally and externally. • In depth technical, professional and legislative knowledge across specific areas within the Service/statutory regulatory function. • In depth management experience, including extensive project / programme management applicable to the Service/organisation.
Equipment And Associated Skills
<ul style="list-style-type: none"> • Standard Office equipment. • ICT literate in standard office software. • Associated professional software applications where appropriate.
Indicative Qualifications
<p>Substantial relevant experience of the public sector/local government political environment and/or</p> <ul style="list-style-type: none"> • Relevant Degree • Post graduate level professional qualification • Chartered membership of appropriate professional body will be required in some areas of expertise. • Specific qualifications may be required in areas with clear statutory responsibilities (e.g. Education). • Further qualifications in ALN/SEN would be desirable.
Key Facts And Figures
<ul style="list-style-type: none"> • Manage diverse functions in one full service area – additional functions may be integrated into the service from time to time. • Responsible for service budget and service planning and control – budget monitoring and deployment of resources. • Monitor and control service/corporate budgets.

Competencies

A Note On Competencies

Mandatory competencies have been designed to ensure that officers in the Corporate Management and Leadership family are fully aware of their responsibilities in these areas.

Compulsory Requirements For Health And Safety Compliance

All Heads of Service have statutory duties under Health and Safety Legislation and responsibilities placed on them in the Authority's Corporate Health and Safety Policy. The level of responsibility and accountability is described in the following statements:

1. The Head of Service shall, while at work, take reasonable care for the health, safety and wellbeing of themselves and of other persons who may be affected by their acts or omissions
2. The Head of Service shall comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act relevant to their work activities
3. The Head of Service shall fulfil their responsibilities for health and safety as detailed in the City and County of Corporate Health and Safety Policy and its arrangements
4. The Head of Service shall take action to ensure that all persons delivering work under their direction comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act, and that employees fulfil their responsibilities for health and safety as detailed in the City and County of Swansea Health and Safety Policy

Compulsory Requirements For Equality And Diversity (Equality Act 2010)

The City and County of Swansea, as a public body, has legal obligations under the Equality Act 2010 and Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 that includes the Public Sector Equality Duty.

Managers must:

1. have knowledge and understanding of the legislation and public sector duties so that both are considered in their work to ensure legislative compliance
2. ensure that their statutory function/service complies with the requirements of all equality legislation.

Compulsory Requirements For The Welsh Language Act

The Authority has obligations to meet the requirements of the Welsh Language Act 1993 and the Welsh Language (Wales) Measure 2011.

This is achieved through implementing policies and standards regarding the Welsh Language, as outlined in the authority's Welsh Language Standards Compliance Plan (or as amended from time to time).

Managers must:

1. understand their obligations within the remit of their own role in order to implement the Plan and ensure compliance with legislation
2. ensure that their statutory function/Service complies with the requirements of Welsh language legislation and standards as implemented via the authority's Compliance Plan

Compulsory Requirements For Introducing Change And New Ways Of Working

The Council is experiencing an unprecedented period of change and budget pressures that are having a profound impact on the organisation. Change has become the norm rather than the exception, and is now embedded into 'business as usual'. In order to support this, the following competencies have been defined in order to assist employees and managers with understanding their role and responsibilities within this context:

Managers must:

7. demonstrate commitment to the Council's new ways of working, providing a positive, engaging and supportive environment that initiates and enables innovative and sustainable working practices that deliver high quality services for our citizens
8. embrace change through actively and flexibly participating in and adapting to new ways of working with our workforce and citizens, as agreed through formal consultation with Trades Unions and HR Policies and procedures

Safeguarding

All Directors, Chief Officers and Heads of Service – through their Management Teams – are jointly responsible for ensuring that all the statutory requirements in terms of safeguarding and promoting the welfare of children and adults receive due consideration. This includes the quality, content and frequency of training provided and maintaining sufficient staff training records.

Role Profile Specific Behaviours

A note on Behavioural Competencies

The Corporate Management and Leadership family role profiles have been designed to reflect the new Corporate Senior Management Structure for 2013. This is a generic competency framework designed to introduce the concept of behavioural competencies in a flexible format in the first instance. An example of the flexibility of the behaviours may be that some Corporate Services HOS will have more strategic involvement than others, depending on the remit of their role; whereas other Heads of Services will have more affinity with community and citizen engagement behaviours. The competency framework will be piloted for 12 months and then reviewed.

BEHAVIOUR 1

Job Knowledge and Professionalism

Purpose	Heads of Service have a clear understanding of their roles and responsibilities, and carry them out professionally and ethically on behalf of the Council
1	Believes in the ethos of public service; leads and inspires others by setting an example of highest standards, striving for best practice; and represents the Council professionally and ethically locally, regionally and nationally
2	Effectively leads and exemplifies the Council's corporate culture and values; creates a positive environment where innovation and achievement can thrive
3	Provides impartial professional advice and guidance to the Council in areas of strategy, policy and delivery of Council services
4	Effectively supports the development and implementation of Council strategies and programmes
5	Effectively deals with difficult/controversial issues directly with others, providing leadership to find a way forward

BEHAVIOUR 2

Planning and Organising

Purpose	Heads of Service are able to effectively plan and organise own/service and directorate team productivity to make effective decisions on behalf of the Service/Directorate/ Council.
1	Ensures strategies, plans and procedures are put into place and managed appropriately within the internal (Council's) and external (regional/ national/ European) context
2	Accepts responsibility and is accountable for own decision making and judgement
3	Understands the political climate and future horizon, and responds appropriately on behalf of Service/Council
4	Promotes and aligns decisions to Council priorities within the Council's Corporate Risk Framework, providing consistent guidance to others to assist decision making
5	Creates and effectively communicates organisational goals for implementing vision,

BEHAVIOUR 3 Decision Making	
Purpose	Heads of Service demonstrate skill in reading situations, and makes accurate decisions in the interests of the Service/Directorate/Council.
1	Takes responsibility for own and team/s decisions and effectively manages risk
2	Proactively steps up to responsibility for team/service when required, even in the face of opposition
3	Demonstrates willingness to take calculated risks and ability to make difficult decisions without all of the available information
4	Actively seeks creative solutions to difficult problems even when under pressure, and ensures solutions are implemented effectively
5	Objectively evaluates and aligns decision making with corporate / service objectives
BEHAVIOUR 4 Building Working Relationships	
Purpose	Heads of Service work collaboratively and successfully with others, demonstrating an understanding of the internal and external political context.
1	Advocates, lobbies and influences key external players in the political context ethically and professionally on behalf of the Service/Council
2	Utilises consultation ethically and professionally and shares information appropriately to break down barriers between people and groups
3	Is diplomatic and sensitive to the political context, and works collaboratively in ways that are compatible with political goals
4	Actively initiates and supports cross-sectoral innovation, collaboration and partnership working as 'business as usual'
5	Develops effective, ethical, political relationships to achieve Council priorities
BEHAVIOUR 5 Communicating and Influencing	
Purpose	To ensure Heads of Service communicate effectively and use their influence ethically and professionally in the interests of the Council and its citizens
1	Communicates clearly and openly, conveying clear and concise messages and adapting content and style to help others to understand what is meant
2	Establishes an atmosphere of open communication and transparency across the service/directorate/ organisation
3	Promotes equality and diversity through appropriate communication procedures across the service/directorate/organisation
4	Promotes the Council's strategies, plans, initiatives and programmes effectively through appropriate media and marketing channels
5	Influences and negotiates ethically and effectively at all levels, internally and externally, on behalf of the Council's aims and objectives.

BEHAVIOUR 6 Customer and Citizen Focus	
Purpose	Heads of Service demonstrate enthusiasm and willingness to serve the community in their role, in behalf of the Council
1	Demonstrates ability to meaningfully consult and engage with stakeholders to identify and implement service improvement, and strives to meet expectations
2	Proactively champions the needs of customers through creating a culture of high quality customer service delivery
3	Objectively evaluates the needs of different groups, translating into appropriate action
4	Demonstrates ability to initiate and implement new and innovative services for customers
5	Ensures that Council services are delivered effectively to meet current and future client/customer needs.
BEHAVIOUR 7 Delivering the Service	
Purpose	Heads of Service understand the Council's team work ethic and are committed to the service delivery and performance outcomes
1	Initiates and supports cross-sector and/or portfolio working; seeks establish and maintain effective partnerships and collaborative working
2	Demonstrates accountability for and supports innovation and improvement initiatives to ensure current service and future sustainability.
3	Effectively identifies and measures performance requirements for the Directorate/Service, ensuring effective delivery of outcomes.
4	Creates a positive team environment by encouraging achievement and commitment to the delivery of quality outcomes for service users
5	Ensures effective performance measures and mechanisms are adhered to across the Directorate/Service to achieve the efficiency agenda
BEHAVIOUR 8 Information, Finance and Resources	
Purpose	Heads of Service understand the governance rules and regulations of the Council for effective management of the resources and assets of the Council.
1	Understands the strategic framework to develop financial plans and efficiency agenda for the Service/Directorate/Council
2	Objectively and fairly provides appropriate support and development opportunities to improve knowledge and understanding of financial and resource management processes
3	Utilises effective and ethical negotiations and influencing to agree the allocation of financial resources internally and externally
4	Effectively evaluates the financial performance of the Directorate/Service, projects and programmes
5	Provides objective professional and expert advice to improve knowledge and understanding of the Council's financial, asset and resource management processes

BEHAVIOUR 9 Programme and Project Management	
Purpose	Heads of Service are able to co-ordinate, manage and deliver projects and programmes, support and manage change, to meet Council aims and objectives
1	Utilises resources to ensure programme/ project delivery, providing opportunities for Service/Directorate/Council to develop appropriate knowledge and skills to ensure effective and sustainable delivery.
2	Consistently applies Council's Project/Programme management methodology, monitoring control, and programme/project assurance and reporting mechanisms and procedures effectively.
3	Works collaboratively at strategic level to identify programmes/projects and associated risks, aligning outcomes to Corporate Priorities, ensuring programme and project governance as required.
4	Provides effective leadership to ensure that all project/programme outcomes are achieved (on time and within budget)
5	Demonstrates commitment to achieving agreed project/ programme outcomes through effective management and mitigation of project, programme and Corporate risk
BEHAVIOUR 10 People and Performance	
Purpose	Heads of Service understand the requirements to ensure that the right people are in the right place at the right time to deliver Council services and Corporate priorities
1	Accepts responsibility for all aspects of the Service/Directorate's development and performance through implementation of effective HR and workforce development mechanisms
2	Actively engages and collaborates across agency boundaries internally and externally to develop an effective and sustainable public sector workforce
3	Actively engages with local/regional and national political agenda for promoting performance excellence (representing the Council at national/international level)
4	Effectively leads on workforce planning, workforce development, succession planning and service/business planning activities for the Service/Directorate/Council
5	Works proactively to achieve service efficiencies and improvements through effective allocation, deployment and development of assets/resources



ROLE PROFILE

POST TITLE:	Head of Integrated Adult Services
DIRECTORATE:	Social Services
FAMILY:	Corporate Management & Leadership
REPORTING TO:	Director of Social Services and Director of Primary and Community Services (Swansea Bay University Health Board)
SALARY BAND & SALARY:	Head of service Band 1
POST NO:	
DATE:	March 2021

PURPOSE

To determine the strategic planning and operational delivery of a full Service / Business Unit within a Directorate of the Council and to develop influential working relationships with a range of senior colleagues across the Swansea Council and Swansea Bay Health Board and external organisations which impact on population outcome indicators and deliver the strategic objectives of both organisations.

Specifically to lead for both the Health Board and the Council in the management of integrated health and social care provision and its development within the two organisations .

Role accountability extends across both Swansea Council and Swansea Bay University Health Board and the post holder is accountable to both organisations.

KEY RESPONSIBILITIES

RESPONSIBLE FOR:	Integrated Older People services
SERVICE AREAS:	<ul style="list-style-type: none"> ➤ Integrated Community Services (including District Nursing, Acute Clinical Team and Integrated Community Therapy Services) ➤ Intermediate Care Services ➤ Hospital to Home services ➤ Community and Residential Reablement ➤ Common Access Point for Health and Social Care (MDT Team and A&I Assistants) ➤ Community Initial Assessment Social Work Team (excluding MH&LD) ➤ Sensory Impairment ➤ Community Long Term Care and Support Social Work Team (excluding MH&LD)

ROLE ACCOUNTABILITY	END RESULT
Corporate Management	
Overall responsibility for the management and control of Service projects / cases, policies and initiatives to meet Corporate and business plan objectives	<ul style="list-style-type: none"> • Service teams objectives disseminated/ interpreted to meet Corporate Priorities • Business plan objectives set and outcomes met • Professional and regulatory standards met
Policy	
Assist the Director(s) with the development and implementation of strategies, policies, procedures and standards for the Service and set and/or contribute to wider strategies and plans	<ul style="list-style-type: none"> • Service policies and strategies set • Policy implementation is monitored and reviewed • Regional and national agenda integral to policy development and implementation
Planning	
Support corporate planning and lead on strategic service/business planning.	<ul style="list-style-type: none"> • Strategic corporate planning mechanisms supported • Service business plans implemented and monitored and reviewed to timescales • Clear service aims and objectives disseminated across all teams • Local, regional and national plans considered/integrated in business plan
Professional Guidance and Support	
Support and provide advice to senior officers and politicians, team members and direct reports, and other internal and external stakeholders in area of expertise/business context	<ul style="list-style-type: none"> • Members, Chief Executive, Directors, Chief Officers are supported • Managers and teams supported • Stakeholders supported
Resources & Financial Management	
Overall responsibility for service budget and for resourcing the delivery of service in order to meet service/corporate objectives	<ul style="list-style-type: none"> • Effective financial management and probity is maintained for the service • Budget targets planned and met • All resources effectively employed/ deployed for service efficiency • Contracts planned, established and monitored – remedial actions taken
Compliance	
Identify professional and regulatory requirements and best practice for the service and lead the development and the implementation of appropriate compliance standards	<ul style="list-style-type: none"> • Professional and regulatory standards monitored and met • Best practice trends identified and implemented where appropriate • Implications/risks assessed and advice given • Proposals and plans in place to protect the Council position

ROLE ACCOUNTABILITY	END RESULT
Customer Focus	
<p>Support teams to deliver service improvement and innovation to maximise customer satisfaction and optimise service delivery. New models of delivery considered and implemented to achieve value for money and efficiencies</p>	<ul style="list-style-type: none"> • Customer needs prioritised and met • Customer complaints dealt with fairly and effectively
Performance management	
<p>Responsibility for taking action to support delivery of outcomes and monitoring KPIs internally and externally at a senior level. Set and deliver performance targets and standards for own service</p>	<ul style="list-style-type: none"> • Service reporting mechanisms in place • Key risks and issues identified and mitigated • Corrective actions implemented • Service and own performance targets met • Statutory requirements and external standards satisfied • Improvements identified and planned
Representation	
<p>Put Council case from a service / corporate view and inform and influence outcomes both internally and externally</p>	<ul style="list-style-type: none"> • Council view effectively represented at all levels • Council case understood and promoted effectively locally, regionally and nationally • Beneficial outcomes negotiated appropriately
People Management	
<p>Lead, manage, develop and motivate the service, teams (internal and external). Undertake regular workforce/succession planning activities to ensure the sustainability of the service</p>	<ul style="list-style-type: none"> • Positive climate • Capable and knowledgeable staff • Achievement of service/work objectives • Service Workforce and Training Plans in place • Council and HR policies and procedures met
NATURE OF CONTACTS	
<ul style="list-style-type: none"> • Represent the Service / Directorate / Council / Health Board internally and externally. • Substantial knowledge and experience of navigating the political environment. • External organisations including government bodies, local and regional partnerships. • Lead consultation groups at all levels – providing advice, informing and influencing their approach and decisions. • Internal and External Customers – engage and interact with, provide expert response to complex/sensitive queries, give advice and inform and influence decisions. • External providers and suppliers – outcomes reviewed and managed effectively, remedial action taken as required at the appropriate level. • Support colleagues, managers, Directors, Members and external organisations within own specialist remit. • Consult and communicate with wide range of groups and senior individuals internally and externally to explain situations, give advice, inform and influence their approach and decisions • Colleagues, management, Directors, Members and external organisations, including government bodies – support future corporate planning, deliver reports, present options and inform and influence decision making. 	

WORKING ENVIRONMENT

Mainly office based with travel to various locations for external meetings. May be required to travel to other sites, including outdoor sites.

PROCEDURAL CONTEXT

- Lead the development of plans, policies and systems within the context of regulatory and legislative frameworks. Influence the development of external policy frameworks and developments; take the lead role in interpreting them in the Council context.
- The output of the role's impact will be on service issues and will also often extend to influence on matters of corporate or national importance.
- Undertakes critical analysis, provides expert point of view and advice, negotiates results and influences decisions in Council and external forums.
- Lead in the planning process for business planning, budgets, resources and development of policies and procedures in short, Mid and longer term planning situations.
- Lead/support the implementation of Corporate Change Projects.

KEY FACTS AND FIGURES

- Manage diverse functions in one full service area – additional functions may be integrated into the service from time to time.
- Responsible for service budget and service planning and control – budget monitoring and deployment of resources. Monitor and control service/corporate budgets.

WORK KNOWLEDGE

- In depth technical, professional and legislative knowledge across specific areas within the service.
- Thorough understanding of the Council in a local, regional and national context to develop and implement policies and standards.
- Ability to provide expert specialist advice and inform and influence outcomes across the Service/Directorate.
- Proven track record in public sector organisations, with ability to demonstrate political acumen internally and externally.
- In depth technical, professional and legislative knowledge across specific areas within the Service/statutory regulatory function.
- In depth management experience, including extensive project / programme management applicable to the Service/organisation.

EQUIPMENT AND ASSOCIATED SKILLS

- Standard Office equipment.
- ICT literate in standard office software.
- Associated professional software applications where appropriate.

PROCEDURAL CONTEXT

The role's impact will be on service issues, and will often extend to influence on matters of corporate or national importance. Role will also include:

- Influencing the development of external policy frameworks and initiatives, take the lead role in interpreting them in the Service / Directorate / Council context as appropriate.
- Lead the development of plans, policies and systems within the context of regulatory and legislative frameworks and integrating these plans into business planning for short, medium and longer term situations.
- Lead/support the implementation of Corporate Change Projects.
- Undertake critical analysis and formal reporting on behalf of the Service/Directorate Council
- Provide expert point of view and advice, negotiates results and influences decisions at appropriate level.

KEY FACTS AND FIGURES

- Manage diverse functions in one full Service area – additional functions may be integrated into the service from time to time.
- Responsible for Service budget, Service planning and control – budget monitoring and deployment of resources.
- Monitor and control service/corporate budgets.

INDICATIVE QUALIFICATIONS

Substantial relevant experience of the public sector/local government political environment and/or

- Relevant Degree
- Post graduate level professional qualification
- Chartered membership of appropriate professional body will be required in some areas of expertise.
- Specific qualifications may be required in areas with clear statutory responsibilities (e.g. Social Services).

SAFEGUARDING

All Directors, Chief Officers and Heads of Service – through their Management Teams – are jointly responsible for ensuring that all the statutory requirements in terms of safeguarding and promoting the welfare of children and adults receive due consideration. This includes the quality, content and frequency of training provided and maintaining sufficient staff training records.

COMPETENCIES

A NOTE ON COMPETENCIES

Mandatory competencies have been designed to ensure that officers in the Corporate Management and Leadership family are fully aware of their responsibilities in these areas.

COMPULSORY REQUIREMENTS FOR HEALTH AND SAFETY COMPLIANCE

All Heads of Service have statutory duties under Health and Safety Legislation and responsibilities placed on them in the Authority's Corporate Health and Safety Policy.

The level of responsibility and accountability is described in the following statements:

You must:

5. The Head of Service/Chief Officer shall, while at work, take reasonable care for the health, safety and wellbeing of themselves and of other persons who may be affected by their acts or omissions
6. The Head of Service/Chief Officer shall comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act relevant to their work activities
7. The Head of Service/Chief Officer shall fulfil their responsibilities for health and safety as detailed in the City and County of Corporate Health and Safety Policy and its arrangements
8. The Head of Service/Chief Officer shall take action to ensure that all persons delivering work under their direction comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act, and that employees fulfil their responsibilities for health and safety as detailed in the City and County of Swansea Health and Safety Policy

COMPULSORY REQUIREMENTS FOR EQUALITY AND DIVERSITY (EQUALITY ACT 2010)

The City and County of Swansea, as a public body, has legal obligations under the Equality Act 2010 and Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 that includes the Public Sector Equality Duty.

You must:

3. have knowledge and understanding of the legislation and public sector duties so that both are considered in their work to ensure legislative compliance
4. ensure that their statutory function/service complies with the requirements of all equality legislation.

COMPULSORY REQUIREMENTS FOR THE WELSH LANGUAGE ACT

The authority has obligations to meet the requirements of the Welsh Language Act 1993 and the Welsh Language (Wales) Measure 2011.

This is achieved through implementing policies and standards regarding the Welsh Language, as outlined in the authority's Welsh Language Standards Compliance Plan (or as amended from time to time).

You must:

3. understand their obligations within the remit of their own role in order to implement the Plan and ensure compliance with legislation
4. ensure that their statutory function/Service complies with the requirements of Welsh language legislation and standards as implemented via the authority's Compliance Plan

COMPULSORY REQUIREMENTS FOR INTRODUCING CHANGE AND NEW WAYS OF WORKING

The Council is experiencing an unprecedented period of change and budget pressures that are having a profound impact on the organisation. Change has become the norm rather than the exception, and is now embedded into 'business as usual'. In order to support this, the following competencies have been defined in order to assist employees and managers with understanding their role and responsibilities within this context:

You must:

9. demonstrate commitment to the Council's new ways of working, providing a positive, engaging and supportive environment that initiates and enables innovative and sustainable working practices that deliver high quality services for our citizens
10. embrace change through actively and flexibly participating in and adapting to new ways of working with our workforce and citizens, as agreed through formal consultation with Trades Unions and HR Policies and procedures

ROLE PROFILE SPECIFIC BEHAVIOURS

A note on Behavioural Competencies

The Corporate Management and Leadership family role profiles have been designed to reflect the new Corporate Senior Management Structure for 2013. This is a generic competency framework designed to introduce the concept of behavioural competencies in a flexible format in the first instance. An example of the flexibility of the behaviours may be that some Corporate Services HOS will have more strategic involvement than others, depending on the remit of their role; whereas other Heads of Services will have more affinity with community and citizen engagement behaviours. The competency framework will be piloted for 12 months and then reviewed.

BEHAVIOUR 1

Job Knowledge and Professionalism

Purpose	Directors, Chief Officers and Heads of Service have a clear understanding of their roles and responsibilities, and carry them out professionally and ethically on behalf of the Council
1	Believes in the ethos of public service; leads and inspires others by setting an example of highest standards, striving for best practice; and represents the Council professionally and ethically locally, regionally and nationally
2	Effectively leads and exemplifies the Council's corporate culture and values; creates a positive environment where innovation and achievement can thrive
3	Provides impartial professional advice and guidance to the Council in areas of strategy, policy and delivery of Council services
4	Effectively supports the development and implementation of Council strategies and programmes
5	Effectively deals with difficult/controversial issues directly with others, providing leadership to find a way forward

BEHAVIOUR 2

Planning and Organising

Purpose	Directors, Chief Officers and Heads of Service are able to effectively plan and organise own/service and directorate team productivity to make effective decisions on behalf of the Service/Directorate/ Council.
1	Ensures strategies, plans and procedures are put into place and managed appropriately within the internal (Council's) and external (regional/ national/ European) context
2	Accepts responsibility and is accountable for own decision making and judgement
3	Understands the political climate and future horizon, and responds appropriately on behalf of Service/Council
4	Promotes and aligns decisions to Council priorities within the Council's Corporate Risk Framework, providing consistent guidance to others to assist decision making
5	Creates and effectively communicates organisational goals for implementing vision,

BEHAVIOUR 3

Decision Making

Purpose	Directors, Chief Officers and Heads of Service demonstrate skill in reading situations, and makes accurate decisions in the interests of the Service/Directorate/Council.
1	Takes responsibility for own and team/s decisions and effectively manages risk
2	Proactively steps up to responsibility for team/service when required, even in the face of opposition
3	Demonstrates willingness to take calculated risks and ability to make difficult decisions without all of the available information
4	Actively seeks creative solutions to difficult problems even when under pressure, and ensures solutions are implemented effectively
5	Objectively evaluates and aligns decision making with corporate / service objectives
BEHAVIOUR 4 Building Working Relationships	
Purpose	Directors, Chief Officers and Heads of Service work collaboratively and successfully with others, demonstrating an understanding of the internal and external political context.
1	Advocates, lobbies and influences key external players in the political context ethically and professionally on behalf of the Service/Council
2	Utilises consultation ethically and professionally and shares information appropriately to break down barriers between people and groups
3	Is diplomatic and sensitive to the political context, and works collaboratively in ways that are compatible with political goals
4	Actively initiates and supports cross-sectoral innovation, collaboration and partnership working as 'business as usual'
5	Develops effective, ethical, political relationships to achieve Council priorities
BEHAVIOUR 5 Communicating and Influencing	
Purpose	To ensure Directors, Chief Officers and Heads of Service communicate effectively and use their influence ethically and professionally in the interests of the Council and its citizens
1	Communicates clearly and openly, conveying clear and concise messages and adapting content and style to help others to understand what is meant
2	Establishes an atmosphere of open communication and transparency across the service/directorate/ organisation
3	Promotes equality and diversity through appropriate communication procedures across the service/directorate/organisation
4	Promotes the Council's strategies, plans, initiatives and programmes effectively through appropriate media and marketing channels
5	Influences and negotiates ethically and effectively at all levels, internally and externally, on behalf of the Council's aims and objectives.

BEHAVIOUR 6	
Customer and Citizen Focus	
Purpose	Directors, Chief officers and Heads of Service demonstrate enthusiasm and willingness to serve the community in their role, in behalf of the Council
1	Demonstrates ability to meaningfully consult and engage with stakeholders to identify and implement service improvement, and strives to meet expectations
2	Proactively champions the needs of customers through creating a culture of high quality customer service delivery
3	Objectively evaluates the needs of different groups, translating into appropriate action
4	Demonstrates ability to initiate and implement new and innovative services for customers
5	Ensures that Council services are delivered effectively to meet current and future client/customer needs.
BEHAVIOUR 7	
Delivering the Service	
Purpose	Directors, Chief officers and Heads of Service understand the Council's team work ethic and are committed to the service delivery and performance outcomes
1	Initiates and supports cross-sector and/or portfolio working; seeks establish and maintain effective partnerships and collaborative working
2	Demonstrates accountability for and supports innovation and improvement initiatives to ensure current service and future sustainability.
3	Effectively identifies and measures performance requirements for the Directorate/Service, ensuring effective delivery of outcomes.
4	Creates a positive team environment by encouraging achievement and commitment to the delivery of quality outcomes for service users
5	Ensures effective performance measures and mechanisms are adhered to across the Directorate/Service to achieve the efficiency agenda
BEHAVIOUR 8	
Information, Finance and Resources	
Purpose	Directors, Chief Officers and Heads of Service understand the governance rules and regulations of the Council for effective management of the resources and assets of the Council.
1	Understands the strategic framework to develop financial plans and efficiency agenda for the Service/Directorate/Council
2	Objectively and fairly provides appropriate support and development opportunities to improve knowledge and understanding of financial and resource management processes
3	Utilises effective and ethical negotiations and influencing to agree the allocation of financial resources internally and externally
4	Effectively evaluates the financial performance of the Directorate/Service, projects and programmes
5	Provides objective professional and expert advice to improve knowledge and understanding of the Council's financial, asset and resource management processes

BEHAVIOUR 9 Programme and Project Management	
Purpose	Directors, Chief Officers and Heads of Service are able to co-ordinate, manage and deliver projects and programmes, support and manage change, to meet Council aims and objectives
1	Utilises resources to ensure programme/ project delivery, providing opportunities for Service/Directorate/Council to develop appropriate knowledge and skills to ensure effective and sustainable delivery.
2	Consistently applies Council's Project/Programme management methodology, monitoring control, and programme/project assurance and reporting mechanisms and procedures effectively.
3	Works collaboratively at strategic level to identify programmes/projects and associated risks, aligning outcomes to Corporate Priorities, ensuring programme and project governance as required.
4	Provides effective leadership to ensure that all project/programme outcomes are achieved (on time and within budget)
5	Demonstrates commitment to achieving agreed project/ programme outcomes through effective management and mitigation of project, programme and Corporate risk
BEHAVIOUR 10 People and Performance	
Purpose	Directors, Chief Officers and Heads of Service understand the requirements to ensure that the right people are in the right place at the right time to deliver Council services and Corporate priorities
1	Accepts responsibility for all aspects of the Service/Directorate's development and performance through implementation of effective HR and workforce development mechanisms
2	Actively engages and collaborates across agency boundaries internally and externally to develop an effective and sustainable public sector workforce
3	Actively engages with local/regional and national political agenda for promoting performance excellence (representing the Council at national/international level)
4	Effectively leads on workforce planning, workforce development, succession planning and service/business planning activities for the Service/Directorate/Council
5	Works proactively to achieve service efficiencies and improvements through effective allocation, deployment and development of assets/resources



ROLE PROFILE

POST TITLE:	Interim Head of Adult Services (Learning Disability/ Mental Health/Service Provision & Safeguarding)
DIRECTORATE:	Social Services
FAMILY:	Corporate Management & Leadership
REPORTING TO:	Director of Social Services
SALARY BAND & SALARY:	Head of service Band 1
POST NO:	PE.0005
DATE:	March 2020

PURPOSE

To determine the strategic planning and operational delivery of a full Service / Business Unit within a Directorate of the Council

KEY RESPONSIBILITIES

RESPONSIBLE FOR:	Mental health and learning disability services/ service provision and safeguarding
SERVICE AREAS:	<ul style="list-style-type: none"> ➤ Safeguarding and DOLS ➤ Carers ➤ Community mental health ➤ Older peoples mental health ➤ Learning disability ➤ Residential care ➤ Day services ➤ Long term domiciliary care ➤ Community equipment ➤ Direct payments ➤ Commissioning

ROLE ACCOUNTABILITY	END RESULT
Corporate Management	
Overall responsibility for the management and control of Service projects / cases, policies and initiatives to meet Corporate and business plan objectives	<ul style="list-style-type: none"> • Service teams objectives disseminated/ interpreted to meet Corporate Priorities • Business plan objectives set and outcomes met • Professional and regulatory standards met
Policy	
Assist the Director with the development and implementation of strategies, policies, procedures and standards for the Service and set and/or contribute to wider strategies and plans	<ul style="list-style-type: none"> • Service policies and strategies set • Policy implementation is monitored and reviewed • Regional and national agenda integral to policy development and implementation
Planning	
Support corporate planning and lead on strategic service/business planning.	<ul style="list-style-type: none"> • Strategic corporate planning mechanisms supported • Service business plans implemented and monitored and reviewed to timescales • Clear service aims and objectives disseminated across all teams • Local, regional and national plans considered/integrated in business plan
Professional Guidance and Support	
Support and provide advice to senior officers and politicians, team members and direct reports, and other internal and external stakeholders in area of expertise/business context	<ul style="list-style-type: none"> • Members, Chief Executive, Directors, Chief Officers are supported • Managers and teams supported • Stakeholders supported
Resources & Financial Management	
Overall responsibility for service budget and for resourcing the delivery of service in order to meet service/corporate objectives	<ul style="list-style-type: none"> • Effective financial management and probity is maintained for the service • Budget targets planned and met • All resources effectively employed/ deployed for service efficiency • Contracts planned, established and monitored – remedial actions taken
Compliance	
Identify professional and regulatory requirements and best practice for the service and lead the development and the implementation of appropriate compliance standards	<ul style="list-style-type: none"> • Professional and regulatory standards monitored and met • Best practice trends identified and implemented where appropriate • Implications/risks assessed and advice given • Proposals and plans in place to protect the Council position

ROLE ACCOUNTABILITY	END RESULT
Customer Focus	
<p>Support teams to deliver service improvement and innovation to maximise customer satisfaction and optimise service delivery</p>	<ul style="list-style-type: none"> • New models of delivery considered and implemented to achieve value for money and efficiencies • Customer needs prioritised and met • Customer complaints dealt with fairly and effectively
Performance management	
<p>Responsibility for taking action to support delivery of outcomes and monitoring KPIs internally and externally at a senior level. Set and deliver performance targets and standards for own service</p>	<ul style="list-style-type: none"> • Service reporting mechanisms in place • Key risks and issues identified and mitigated • Corrective actions implemented • Service and own performance targets met • Statutory requirements and external standards satisfied • Improvements identified and planned
Representation	
<p>Put Council case from a service / corporate view and inform and influence outcomes both internally and externally</p>	<ul style="list-style-type: none"> • Council view effectively represented at all levels • Council case understood and promoted effectively locally, regionally and nationally • Beneficial outcomes negotiated appropriately
People Management	
<p>Lead, manage, develop and motivate the service, teams (internal and external). Undertake regular workforce/succession planning activities to ensure the sustainability of the service</p>	<ul style="list-style-type: none"> • Positive climate • Capable and knowledgeable staff • Achievement of service/work objectives • Service Workforce and Training Plans in place • Council and HR policies and procedures met
NATURE OF CONTACTS	
<ul style="list-style-type: none"> • Represent the Service / Directorate / Council internally and externally. • Substantial knowledge and experience of navigating the political environment. • External organisations including government bodies, local and regional partnerships. • Lead consultation groups at all levels – providing advice, informing and influencing their approach and decisions. • Internal and External Customers – engage and interact with, provide expert response to complex/sensitive queries, give advice and inform and influence decisions. • External providers and suppliers – Outcomes reviewed and managed effectively, remedial action taken as required at the appropriate level. • Support colleagues, managers, Directors, Members and external organisations within own specialist remit. • Consult and communicate with wide range of groups and senior individuals internally and externally to explain situations, give advice, inform and influence their approach and decisions • Colleagues, management, Directors, Members and external organisations, including government bodies – support future corporate planning, deliver reports, present options and inform and influence decision making . 	

WORKING ENVIRONMENT

Mainly office based with travel to various locations for external meetings. May be required to travel to other sites, including outdoor sites.

PROCEDURAL CONTEXT

- Lead the development of plans, policies and systems within the context of regulatory and legislative frameworks. Influence the development of external policy frameworks and developments; take the lead role in interpreting them in the Council context.
- The output of the role's impact will be on service issues and will also often extend to influence on matters of corporate or national importance.
- Undertakes critical analysis, provides expert point of view and advice, negotiates results and influences decisions in Council and external forums.
- Lead in the planning process for business planning, budgets, resources and development of policies and procedures in short, Mid and longer term planning situations.
- Lead/support the implementation of Corporate Change Projects.

KEY FACTS AND FIGURES

- Manage diverse functions in one full service area – additional functions may be integrated into the service from time to time.
- Responsible for service budget and service planning and control – budget monitoring and deployment of resources. Monitor and control service/corporate budgets.

WORK KNOWLEDGE

- In depth technical, professional and legislative knowledge across specific areas within the service.
- Thorough understanding of the Council in a local, Regional and National context to develop and implement policies and standards.
- Ability to provide expert specialist advice and inform and influence outcomes across the service/Directorate.
- Proven track record in public sector organisations, with ability to demonstrate political acumen internally and externally.
- In depth technical, professional and legislative knowledge across specific areas within the Service/statutory regulatory function.
- In depth management experience, including extensive project / programme management applicable to the Service/organisation.

EQUIPMENT AND ASSOCIATED SKILLS

- Standard Office equipment.
- ICT literate in standard office software.
- Associated professional software applications where appropriate.

PROCEDURAL CONTEXT

The role's impact will be on service issues, and will often extend to influence on matters of corporate or national importance. Role will also include:

- Influencing the development of external policy frameworks and initiatives, take the lead role in interpreting them in the Service / Directorate / Council context as appropriate.
- Lead the development of plans, policies and systems within the context of regulatory and legislative frameworks and integrating these plans into business planning for short, medium and longer term situations.
- Lead/support the implementation of Corporate Change Projects.
- Undertake critical analysis and formal reporting on behalf of the Service/Directorate Council
- Provide expert point of view and advice, negotiates results and influences decisions at appropriate level.

KEY FACTS AND FIGURES

- Manage diverse functions in one full Service area – additional functions may be integrated into the service from time to time.
- Responsible for Service budget, Service planning and control – budget monitoring and deployment of resources.
- Monitor and control service/corporate budgets.

INDICATIVE QUALIFICATIONS

Substantial relevant experience of the public sector/local government political environment and/or

- Relevant Degree
- Post graduate level professional qualification
- Chartered membership of appropriate professional body will be required in some areas of expertise.
- Specific qualifications may be required in areas with clear statutory responsibilities (e.g. Social Services).

SAFEGUARDING

All Directors, Chief Officers and Heads of Service – through their Management Teams – are jointly responsible for ensuring that all the statutory requirements in terms of safeguarding and promoting the welfare of children and adults receive due consideration. This includes the quality, content and frequency of training provided and maintaining sufficient staff training records.

COMPETENCIES

A NOTE ON COMPETENCIES

Mandatory competencies have been designed to ensure that officers in the Corporate Management and Leadership family are fully aware of their responsibilities in these areas.

COMPULSORY REQUIREMENTS FOR HEALTH AND SAFETY COMPLIANCE

All Heads of Service have statutory duties under Health and Safety Legislation and responsibilities placed on them in the Authority's Corporate Health and Safety Policy.

The level of responsibility and accountability is described in the following statements:

You must:

9. The Head of Service/Chief Officer shall, while at work, take reasonable care for the health, safety and wellbeing of themselves and of other persons who may be affected by their acts or omissions
10. The Head of Service/Chief Officer shall comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act relevant to their work activities
11. The Head of Service/Chief Officer shall fulfil their responsibilities for health and safety as detailed in the City and County of Corporate Health and Safety Policy and its arrangements
12. The Head of Service/Chief Officer shall take action to ensure that all persons delivering work under their direction comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act, and that employees fulfil their responsibilities for health and safety as detailed in the City and County of Swansea Health and Safety Policy

COMPULSORY REQUIREMENTS FOR EQUALITY AND DIVERSITY (EQUALITY ACT 2010)

The City and County of Swansea, as a public body, has legal obligations under the Equality Act 2010 and Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 that includes the Public Sector Equality Duty.

You must:

5. have knowledge and understanding of the legislation and public sector duties so that both are considered in their work to ensure legislative compliance
6. ensure that their statutory function/service complies with the requirements of all equality legislation.

COMPULSORY REQUIREMENTS FOR THE WELSH LANGUAGE ACT

The authority has obligations to meet the requirements of the Welsh Language Act 1993 and the Welsh Language (Wales) Measure 2011.

This is achieved through implementing policies and standards regarding the Welsh Language, as outlined in the authority's Welsh Language Standards Compliance Plan (or as amended from time to time).

You must:

5. understand their obligations within the remit of their own role in order to implement the Plan and ensure compliance with legislation
6. ensure that their statutory function/Service complies with the requirements of Welsh language legislation and standards as implemented via the authority's Compliance Plan

COMPULSORY REQUIREMENTS FOR INTRODUCING CHANGE AND NEW WAYS OF WORKING

The Council is experiencing an unprecedented period of change and budget pressures that are having a profound impact on the organisation. Change has become the norm rather than the exception, and is now embedded into 'business as usual'. In order to support this, the following competencies have been defined in order to assist employees and managers with understanding their role and responsibilities within this context:

You must:

11. demonstrate commitment to the Council's new ways of working, providing a positive, engaging and supportive environment that initiates and enables innovative and sustainable working practices that deliver high quality services for our citizens
12. embrace change through actively and flexibly participating in and adapting to new ways of working with our workforce and citizens, as agreed through formal consultation with Trades Unions and HR Policies and procedures

ROLE PROFILE SPECIFIC BEHAVIOURS

A note on Behavioural Competencies

The Corporate Management and Leadership family role profiles have been designed to reflect the new Corporate Senior Management Structure for 2013. This is a generic competency framework designed to introduce the concept of behavioural competencies in a flexible format in the first instance. An example of the flexibility of the behaviours may be that some Corporate Services HOS will have more strategic involvement than others, depending on the remit of their role; whereas other Heads of Services will have more affinity with community and citizen engagement behaviours. The competency framework will be piloted for 12 months and then reviewed.

BEHAVIOUR 1

Job Knowledge and Professionalism

Purpose	Description
	Directors, Chief Officers and Heads of Service have a clear understanding of their roles and responsibilities, and carry them out professionally and ethically on behalf of the Council
1	Believes in the ethos of public service; leads and inspires others by setting an example of highest standards, striving for best practice; and represents the Council professionally and ethically locally, regionally and nationally
2	Effectively leads and exemplifies the Council's corporate culture and values; creates a positive environment where innovation and achievement can thrive
3	Provides impartial professional advice and guidance to the Council in areas of strategy, policy and delivery of Council services
4	Effectively supports the development and implementation of Council strategies and programmes
5	Effectively deals with difficult/controversial issues directly with others, providing leadership to find a way forward

BEHAVIOUR 2

Planning and Organising

Purpose	Description
	Directors, Chief Officers and Heads of Service are able to effectively plan and organise own/service and directorate team productivity to make effective decisions on behalf of the Service/Directorate/ Council.
1	Ensures strategies, plans and procedures are put into place and managed appropriately within the internal (Council's) and external (regional/ national/ European) context
2	Accepts responsibility and is accountable for own decision making and judgement
3	Understands the political climate and future horizon, and responds appropriately on behalf of Service/Council
4	Promotes and aligns decisions to Council priorities within the Council's Corporate Risk Framework, providing consistent guidance to others to assist decision making
5	Creates and effectively communicates organisational goals for implementing vision,

BEHAVIOUR 3

Decision Making

Purpose	Directors, Chief Officers and Heads of Service demonstrate skill in reading situations, and makes accurate decisions in the interests of the Service/Directorate/Council.
1	Takes responsibility for own and team/s decisions and effectively manages risk
2	Proactively steps up to responsibility for team/service when required, even in the face of opposition
3	Demonstrates willingness to take calculated risks and ability to make difficult decisions without all of the available information
4	Actively seeks creative solutions to difficult problems even when under pressure, and ensures solutions are implemented effectively
5	Objectively evaluates and aligns decision making with corporate / service objectives
BEHAVIOUR 4 Building Working Relationships	
Purpose	Directors, Chief Officers and Heads of Service work collaboratively and successfully with others, demonstrating an understanding of the internal and external political context.
1	Advocates, lobbies and influences key external players in the political context ethically and professionally on behalf of the Service/Council
2	Utilises consultation ethically and professionally and shares information appropriately to break down barriers between people and groups
3	Is diplomatic and sensitive to the political context, and works collaboratively in ways that are compatible with political goals
4	Actively initiates and supports cross-sectoral innovation, collaboration and partnership working as 'business as usual'
5	Develops effective, ethical, political relationships to achieve Council priorities
BEHAVIOUR 5 Communicating and Influencing	
Purpose	To ensure Directors, Chief Officers and Heads of Service communicate effectively and use their influence ethically and professionally in the interests of the Council and its citizens
1	Communicates clearly and openly, conveying clear and concise messages and adapting content and style to help others to understand what is meant
2	Establishes an atmosphere of open communication and transparency across the service/directorate/ organisation
3	Promotes equality and diversity through appropriate communication procedures across the service/directorate/organisation
4	Promotes the Council's strategies, plans, initiatives and programmes effectively through appropriate media and marketing channels
5	Influences and negotiates ethically and effectively at all levels, internally and externally, on behalf of the Council's aims and objectives.

BEHAVIOUR 6	
Customer and Citizen Focus	
Purpose	Directors, Chief officers and Heads of Service demonstrate enthusiasm and willingness to serve the community in their role, in behalf of the Council
1	Demonstrates ability to meaningfully consult and engage with stakeholders to identify and implement service improvement, and strives to meet expectations
2	Proactively champions the needs of customers through creating a culture of high quality customer service delivery
3	Objectively evaluates the needs of different groups, translating into appropriate action
4	Demonstrates ability to initiate and implement new and innovative services for customers
5	Ensures that Council services are delivered effectively to meet current and future client/customer needs.
BEHAVIOUR 7	
Delivering the Service	
Purpose	Directors, Chief officers and Heads of Service understand the Council's team work ethic and are committed to the service delivery and performance outcomes
1	Initiates and supports cross-sector and/or portfolio working; seeks establish and maintain effective partnerships and collaborative working
2	Demonstrates accountability for and supports innovation and improvement initiatives to ensure current service and future sustainability.
3	Effectively identifies and measures performance requirements for the Directorate/Service, ensuring effective delivery of outcomes.
4	Creates a positive team environment by encouraging achievement and commitment to the delivery of quality outcomes for service users
5	Ensures effective performance measures and mechanisms are adhered to across the Directorate/Service to achieve the efficiency agenda
BEHAVIOUR 8	
Information, Finance and Resources	
Purpose	Directors, Chief Officers and Heads of Service understand the governance rules and regulations of the Council for effective management of the resources and assets of the Council.
1	Understands the strategic framework to develop financial plans and efficiency agenda for the Service/Directorate/Council
2	Objectively and fairly provides appropriate support and development opportunities to improve knowledge and understanding of financial and resource management processes
3	Utilises effective and ethical negotiations and influencing to agree the allocation of financial resources internally and externally
4	Effectively evaluates the financial performance of the Directorate/Service, projects and programmes
5	Provides objective professional and expert advice to improve knowledge and understanding of the Council's financial, asset and resource management processes

BEHAVIOUR 9 Programme and Project Management	
Purpose	Directors, Chief Officers and Heads of Service are able to co-ordinate, manage and deliver projects and programmes, support and manage change, to meet Council aims and objectives
1	Utilises resources to ensure programme/ project delivery, providing opportunities for Service/Directorate/Council to develop appropriate knowledge and skills to ensure effective and sustainable delivery.
2	Consistently applies Council's Project/Programme management methodology, monitoring control, and programme/project assurance and reporting mechanisms and procedures effectively.
3	Works collaboratively at strategic level to identify programmes/projects and associated risks, aligning outcomes to Corporate Priorities, ensuring programme and project governance as required.
4	Provides effective leadership to ensure that all project/programme outcomes are achieved (on time and within budget)
5	Demonstrates commitment to achieving agreed project/ programme outcomes through effective management and mitigation of project, programme and Corporate risk
BEHAVIOUR 10 People and Performance	
Purpose	Directors, Chief Officers and Heads of Service understand the requirements to ensure that the right people are in the right place at the right time to deliver Council services and Corporate priorities
1	Accepts responsibility for all aspects of the Service/Directorate's development and performance through implementation of effective HR and workforce development mechanisms
2	Actively engages and collaborates across agency boundaries internally and externally to develop an effective and sustainable public sector workforce
3	Actively engages with local/regional and national political agenda for promoting performance excellence (representing the Council at national/international level)
4	Effectively leads on workforce planning, workforce development, succession planning and service/business planning activities for the Service/Directorate/Council
5	Works proactively to achieve service efficiencies and improvements through effective allocation, deployment and development of assets/resources



ROLE PROFILE

POST TITLE:	Head of HR and Service Centre
DIRECTORATE:	Corporate Services
FAMILY:	Corporate Management & Leadership
REPORTING TO:	Deputy Chief Executive / Director of Corporate Services
SALARY BAND & SALARY:	Head of Service Band 2
POST NO:	
DATE:	September 2021

PURPOSE

To lead and be responsible for a compliant, strategic focussed and people centred HR and Service Centre linked to the corporate plan. Managing and coordinating people and financial resources to ensure the effective delivery of agreed priorities, change programmes, a culture of performance improvement and transformation maintaining a high-quality operation and service that is well placed to respond to current and future challenges and opportunities.

KEY RESPONSIBILITIES

RESPONSIBLE FOR:	<ul style="list-style-type: none"> ➤ Provide expert advice on all HR and service centre matters and ensure the delivery of an effective shared service centre. ➤ includes: <ul style="list-style-type: none"> • HR, (Strategic, innovation, Cultural and Organisational Development/change, Strategic workforce development, sickness management process and support, union liaison and employee relations policies, advice and support for HR related matters. • Supporting Council Pay & Grading through, for example, management of the Job Evaluation Process, development of Pay Policy • Supporting corporate learning and development; including elearning, corporate training and leadership development programmes • Operational advice to Managers in the efficient and effective implementation of HR policies, including Management of Employee Performance/Capability , Disciplinary Cases, Grievance Cases, Bullying & Harassment Cases, • Management of Absence and the application of Terms & Conditions.
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<p>RESPONSIBLE FOR:</p>	<ul style="list-style-type: none"> • Workforce (Analytics, Recruitment and selection processes and support, Learning & Development & Terms & Conditions Changes) • Payroll (Employees and Pensioners, Schools & 3rd Party Orgs); • Accounts Receivable & Purchasing • Accounts Payable; • Cash Management; • Provision of shared services to the Swansea Bay Port Health Authority.
<p>THEMES:</p>	<ul style="list-style-type: none"> ➤ To lead and manage the whole HR and service centre functions on a day to day basis supporting change and transformation across the Council and the region where applicable. ➤ To provide strategic advice to the Deputy Chief Executive/Director of Corporate Services, CMT and Cabinet on all matters relating to HR, service centre and associated matters. ➤ Work with the Deputy Chief Executive / Director of Corporate Services in order to provide strong leadership and strategic direction for the Council including promoting a culture of transformation and meaningful engagement. ➤ To support the Deputy Chief Executive/Director of Corporate Services on delivering the Council’s long term Workforce Strategy ➤ Develop and manage the implementation of the Human Resources and Organisational Development Service Plan, so as to ensure that agreed priorities and policy objectives are met. ➤ To Develop, lead and support practical delivery of the HR and contact centre service plan, the budget, budgetary control framework and statutory returns. ➤ To input and advise on HR and operational aspects related to the areas of responsibility of key corporate strategies, plans, strategic programmes and projects for the Council. ➤ Develop achievement of a healthier workforce with health wellbeing strategies and proactive initiatives to deal with management of attendance ➤ To assist the Deputy Chief Executive/Director of Corporate Services in providing direction, leadership and guidance to staff in the service centre functions and ensure the improvement and implementation of standards across the Council and partner organisations. ➤ Assist the Deputy Chief Executive/Director of Corporate Services in discharging corporate responsibility for the management and administration of the Council’s services and the continuous improvement of the efficient use of resources across the Council to ensure the effective control of the Council’s revenue budget and its employee and pensioner contractual relations including tax and national insurance collection arrangements with HMRC, benefits matters with DWP and Teachers Pensions in order to enhance the overall value for money to customers, citizens and taxpayers. ➤ To influence regional and national public sector services agenda in respect of key employment, operational and financial matters on behalf of the Deputy Chief Executive/Director of Corporate Services as directed.

	KEY RESPONSIBILITIES
THEMES:	<ul style="list-style-type: none"> ➤ Act as the lead professional officer on all HR and service centre matters on behalf of the Council and support the Deputy Chief Executive/Director of Corporate Services as Head of Profession to provide direction, leadership and guidance to staff and ensure the improvement and implementation of standards across the Council and partner organisations where appropriate. ➤ Responsible for developing and producing the service’s strategy and plans, Ensuring activity and process comply with Government regulations and legislation at all times. ➤ Responsible for all operations within all of HR and Service Centre functions. ➤ Supporting and attending Council, Cabinet, Committees, trade union meetings (e.g. Audit Committee, Pension Fund Committee and Scrutiny) where necessary ➤ In addition, the post holder will work closely with Cabinet Members, and Corporate Directors to enable organisational responsiveness to elected members; secure the best approach to resource stewardship; ensure that overall management attention, effort and controls are commensurate to risk and opportunity across the council’s functions and activities; and enhance the reputation of Swansea as a place as well as Swansea Council. ➤ The post is responsible for assisting the Deputy Chief Executive/Director of Corporate Services in ensuring the Council has practical and effective arrangements for its internal controls and a coherent plan for the management and mitigation of risk within the HR and service centre functions . ➤ Commissioning any required services ensuring cost effectiveness, efficiency and responsiveness. ➤ Leads, on behalf of the Deputy Chief Executive/Director of Corporate Services, on practical delivery for all HR, Workforce and Organisational planning and control within the context of <i>Achieving better Together – transformation programme</i> ; and to actively monitor and challenge the workforce implications in all projects and programmes operating within the Council in relation to service centre functions. ➤ Leading HR aspects of policy development, in all matters relating to local and contributing to the national taxation and benefits agenda.

Person Specification

Experience

8. Successful track record of making a significant contribution at a senior level in local government, or other relevant complex and diverse organisation(s), promoting and delivering a range of key services innovatively and within budget.
9. Personal involvement in the development / transformation of a higher performance culture
10. Personal involvement in implementing HR strategies linked to staff engagement
11. Excellent knowledge and understanding of organisational development and change management
12. Knowledge of Strategic Human Resource Management and Organisational Development, how it is developing and the challenges it faces
13. Proven experience and understanding of the role and function of Local Government, working directly with elected members to ensure the effective delivery of solutions that meet the council's strategic aims.
14. Extensive experience of working, influencing and engaging at a local, regional and occasionally national political level.
15. Substantial track record of working and managing successfully at a senior level, including strategy development & implementation, managing complex budgets, resourcing, motivating & developing teams, managing change & performance improvement.

Competencies & Abilities

8. Able to understand strategic 'big picture' issues, understand and articulate linkages across both Swansea and partner organisations and help set clear direction, and goals in order to deliver effective long-term development strategies designed to deliver the Council's aims.
9. Able to demonstrate significant senior management capacity and ability to lead, manage, support and direct the successful delivery of large complex projects through others, in support of the council's strategic aims.
10. Able to establish strong positive relationships across the organisation at all levels including building and maintaining personal and professional credibility and trust with senior leaders and elected members.
11. Able to lead, influence and implement strategic policies and decisions.
12. Ability to apply innovative and analytical approaches to solving complex and challenging problems.
13. Able to demonstrate effective motivational leadership and vision to staff at all levels including a positive attitude to change in order to deliver effective outcomes.
14. Able to command respect, influence and negotiate at a strategic professional and political level locally, regionally and occasionally nationally to ensure delivery of complex high profile projects.
15. Able to communicate effectively through written, oral and presentational means, including the ability to write well organised, concise and clear reports with good use of evidence supported by data.
16. Able to produce effective strategies and business plans, costed and supported by a coherent and well-development performance framework.
17. Able to work collaboratively as a member of the finance management team, taking shared responsibility for the work and success of the service.
18. In-depth knowledge and understanding of the policy context, strategic challenges and operational realities of services provided by this post.

19. Proven commercial knowledge with a focus on commissioning for outcomes that meet customer needs.
20. Good understanding of the Authority's transformation agenda and how innovation can be used to improve services and outcomes for residents & businesses

ROLE ACCOUNTABILITY	END RESULT
Corporate Management	
Overall responsibility for the management and control of Service projects / cases, policies and initiatives to meet Corporate and business plan objectives	<ul style="list-style-type: none"> • Service teams objectives disseminated/ interpreted to meet Corporate Priorities • Business plan objectives set and outcomes met • Professional and regulatory standards met
Policy	
Assist the Deputy Chief Executive/ Director of Corporate Services with the development and implementation of strategies, policies, procedures and standards for the Service and set and/or contribute to wider strategies and plans	<ul style="list-style-type: none"> • Service policies and strategies set • Policy implementation is monitored and reviewed • Regional and national agenda integral to policy development and implementation
Planning	
Support corporate planning and lead on strategic service/business planning.	<ul style="list-style-type: none"> • Strategic corporate planning mechanisms supported • Service business plans implemented and monitored and reviewed to timescales • Clear service aims and objectives disseminated across all teams • Local, regional and national plans considered/integrated in business plan
Professional Guidance and Support	
Support and provide advice to senior officers and politicians, team members and direct reports, and other internal and external stakeholders in area of expertise/business context	<ul style="list-style-type: none"> • Members, Chief Executive, Directors, Chief Officers are supported • Managers and teams supported • Stakeholders supported
Resources & Financial Management	
Overall responsibility for service budget and for resourcing the delivery of service in order to meet service/corporate objectives	<ul style="list-style-type: none"> • Effective financial management and probity is maintained for the service • Budget targets planned and met • All resources effectively employed/ deployed for service efficiency • Contracts planned, established and monitored – remedial actions taken
Compliance	
Identify professional and regulatory requirements and best practice for the service and lead the development and the implementation of appropriate compliance standards	<ul style="list-style-type: none"> • Professional and regulatory standards monitored and met • Best practice trends identified and implemented where appropriate • Implications/risks assessed and advice given • Proposals and plans in place to protect the Council position

ROLE ACCOUNTABILITY	END RESULT
Customer Focus	
Support teams to deliver service improvement and innovation to maximise customer satisfaction and optimise service delivery	<ul style="list-style-type: none"> • New models of delivery considered and implemented to achieve value for money and efficiencies • Customer needs prioritised and met • Customer complaints dealt with fairly and effectively
Performance management	
Responsibility for taking action to support delivery of outcomes and monitoring KPIs internally and externally at a senior level. Set and deliver performance targets and standards for own service	<ul style="list-style-type: none"> • Service reporting mechanisms in place • Key risks and issues identified and mitigated • Corrective actions implemented • Service and own performance targets met • Statutory requirements and external standards satisfied • Improvements identified and planned
Representation	
Put Council case from a service / corporate view and inform and influence outcomes both internally and externally	<ul style="list-style-type: none"> • Council view effectively represented at all levels • Council case understood and promoted effectively locally, regionally and nationally • Beneficial outcomes negotiated appropriately
People Management	
Lead, manage, develop and motivate the service, teams (internal and external). Undertake regular workforce/succession planning activities to ensure the sustainability of the service	<ul style="list-style-type: none"> • Positive climate • Capable and knowledgeable staff • Achievement of service/work objectives • Service Workforce and Training Plans in place • Council and HR policies and procedures met
NATURE OF CONTACTS	
<ul style="list-style-type: none"> • Represent the Service / Directorate / Council internally and externally. • Substantial knowledge and experience of navigating the political environment. • External organisations including government bodies, local and regional partnerships. • Lead consultation groups at all levels – providing advice, informing and influencing their approach and decisions. • Internal and External Customers – engage and interact with, provide expert response to complex/sensitive queries, give advice and inform and influence decisions. • External providers and suppliers – Outcomes reviewed and managed effectively, remedial action taken as required at the appropriate level. • Support colleagues, managers, Directors, Members and external organisations within own specialist remit. • Consult and communicate with wide range of groups and senior individuals internally and externally to explain situations, give advice, inform and influence their approach and decisions • Colleagues, management, Directors, Members and external organisations, including government bodies – support future corporate planning, deliver reports, present options and inform and influence decision making. 	

WORKING ENVIRONMENT
Mainly office based with travel to various locations for external meetings. May be required to travel to other sites, including outdoor sites. Substantial remote working is possible.
PROCEDURAL CONTEXT
<ul style="list-style-type: none"> • Lead the development of plans, policies and systems within the context of regulatory and legislative frameworks and integrating these plans into business planning for short, medium and longer term situations. • Influence the development of external policy frameworks and developments; take the lead role in interpreting them in the Council context. • The output of the role's impact will be on service issues and will also often extend to influence on matters of corporate or national importance. • Undertake critical analysis, provides expert point of view and advice, negotiates results and influences decisions in Council and external forums. • Lead in the planning process for business planning, budgets, resources and development of policies and procedures in short, Mid and longer term planning situations. • Lead/support the implementation of Corporate Change Projects. • Provide expert point of view and advice, negotiates results and influences decisions at appropriate level.
WORK KNOWLEDGE
<ul style="list-style-type: none"> • In depth technical, professional and legislative knowledge across specific areas within the service. • Thorough understanding of the Council in a local. Regional and National context to develop and implement policies and standards. • Ability to provide expert specialist advice and inform and influence outcomes across the service/Directorate. • Proven track record in public sector organisations, with ability to demonstrate political acumen internally and externally. • In depth technical, professional and legislative knowledge across specific areas within the Service/statutory regulatory function. • In depth management experience, including extensive project / programme management applicable to the Service/organisation.
EQUIPMENT AND ASSOCIATED SKILLS
<ul style="list-style-type: none"> • Standard Office equipment. • ICT literate in standard office software. • Associated professional software applications where appropriate.
INDICATIVE QUALIFICATIONS
<ul style="list-style-type: none"> • Fully qualified member of the Chartered Institute of Payroll Professionals substantial relevant experience of the public sector/Local Government political environment. • Chartered membership of an appropriate professional body (e.g. CIPP) or equivalent • Chartered Institute of Personnel and Development (CIPD) qualified • Post graduate level professional qualification • Relevant Degree
KEY FACTS AND FIGURES
<ul style="list-style-type: none"> • Manage diverse functions in one full service area – additional functions may be integrated into the service from time to time. • Responsible for service budget and service planning and control – budget monitoring and deployment of resources. • Monitor and control service/corporate budgets. • To deputise for the Director in absence for service areas in their responsibility.

COMPETENCIES

A NOTE ON COMPETENCIES

Mandatory competencies have been designed to ensure that officers in the Corporate Management and Leadership family are fully aware of their responsibilities in these areas.

COMPULSORY REQUIREMENTS FOR HEALTH AND SAFETY COMPLIANCE

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13. The Head of Service shall, while at work, take reasonable care for the health, safety and wellbeing of themselves and of other persons who may be affected by their acts or omissions
14. The Head of Service shall comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act relevant to their work activities
15. The Head of Service shall fulfil their responsibilities for health and safety as detailed in the City and County of Corporate Health and Safety Policy and its arrangements
16. The Head of Service shall take action to ensure that all persons delivering work under their direction comply with the provisions of the Health and Safety at Work etc Act 1974, and regulations made under that Act, and that employees fulfil their responsibilities for health and safety as detailed in the City and County of Swansea Health and Safety Policy

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Managers must:

7. have knowledge and understanding of the legislation and public sector duties so that both are considered in their work to ensure legislative compliance
8. ensure that their statutory function/service complies with the requirements of all equality legislation.

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This is achieved through implementing policies and standards regarding the Welsh Language, as outlined in the authority's Welsh Language Standards Compliance Plan (or as amended from time to time).

Managers must:

7. understand their obligations within the remit of their own role in order to implement the Plan and ensure compliance with legislation
8. ensure that their statutory function/Service complies with the requirements of Welsh language legislation and standards as implemented via the authority's Compliance Plan

COMPULSORY REQUIREMENTS FOR INTRODUCING CHANGE AND NEW WAYS OF WORKING

The Council is experiencing an unprecedented period of change and budget pressures that are having a profound impact on the organisation. Change has become the norm rather than the exception, and is now embedded into 'business as usual'. In order to support this, the following competencies have been defined in order to assist employees and managers with understanding their role and responsibilities within this context:

Managers must:

13. demonstrate commitment to the Council's new ways of working, providing a positive, engaging and supportive environment that initiates and enables innovative and sustainable working practices that deliver high quality services for our citizens
14. embrace change through actively and flexibly participating in and adapting to new ways of working with our workforce and citizens, as agreed through formal consultation with Trades Unions and HR Policies and procedures

SAFEGUARDING

All Directors, Chief Officers and Heads of Service – through their Management Teams – are jointly responsible for ensuring that all the statutory requirements in terms of safeguarding and promoting the welfare of children and adults receive due consideration. This includes the quality, content and frequency of training provided and maintaining sufficient staff training records.

ROLE PROFILE SPECIFIC BEHAVIOURS

A note on Behavioural Competencies

The Corporate Management and Leadership family role profiles have been designed to reflect the new Corporate Senior Management Structure for 2013. This is a generic competency framework designed to introduce the concept of behavioural competencies in a flexible format in the first instance. An example of the flexibility of the behaviours may be that some Corporate Services HOS will have more strategic involvement than others, depending on the remit of their role; whereas other Heads of Services will have more affinity with community and citizen engagement behaviours. The competency framework will be piloted for 12 months and then reviewed.

BEHAVIOUR 1

Job Knowledge and Professionalism

Purpose	Heads of Service have a clear understanding of their roles and responsibilities, and carry them out professionally and ethically on behalf of the Council
1	Believes in the ethos of public service; leads and inspires others by setting an example of highest standards, striving for best practice; and represents the Council professionally and ethically locally, regionally and nationally
2	Effectively leads and exemplifies the Council's corporate culture and values; creates a positive environment where innovation and achievement can thrive
3	Provides impartial professional advice and guidance to the Council in areas of strategy, policy and delivery of Council services.
4	Effectively supports the development and implementation of Council strategies and programmes
5	Effectively deals with difficult/controversial issues directly with others, providing leadership to find a way forward

BEHAVIOUR 2

Planning and Organising

Purpose	Heads of Service are able to effectively plan and organise own/service and directorate team productivity to make effective decisions on behalf of the Service/Directorate/Council.
1	Ensures strategies, plans and procedures are put into place and managed appropriately within the internal (Council's) and external (regional/ national/ European) context
2	Accepts responsibility and is accountable for own decision making and judgement
3	Understands the political climate and future horizon, and responds appropriately on behalf of Service/Council
4	Promotes and aligns decisions to Council priorities within the Council's Corporate Risk Framework, providing consistent guidance to others to assist decision making
5	Creates and effectively communicates organisational goals for implementing vision,

BEHAVIOUR 3 Decision Making	
Purpose	Heads of Service demonstrate skill in reading situations, and makes accurate decisions in the interests of the Service/Directorate/Council.
1	Takes responsibility for own and team/s decisions and effectively manages risk
2	Proactively steps up to responsibility for team/service when required, even in the face of opposition
3	Demonstrates willingness to take calculated risks and ability to make difficult decisions without all of the available information
4	Actively seeks creative solutions to difficult problems even when under pressure, and ensures solutions are implemented effectively
5	Objectively evaluates and aligns decision making with corporate / service objectives
BEHAVIOUR 4 Building Working Relationships	
Purpose	Heads of Service work collaboratively and successfully with others, demonstrating an understanding of the internal and external political context.
1	Advocates, lobbies and influences key external players in the political context ethically and professionally on behalf of the Service/Council
2	Utilises consultation ethically and professionally and shares information appropriately to break down barriers between people and groups
3	Is diplomatic and sensitive to the political context, and works collaboratively in ways that are compatible with political goals
4	Actively initiates and supports cross-sectoral innovation, collaboration and partnership working as 'business as usual'
5	Develops effective, ethical, political relationships to achieve Council priorities
BEHAVIOUR 5 Communicating and Influencing	
Purpose	To ensure Heads of Service communicate effectively and use their influence ethically and professionally in the interests of the Council and its citizens
1	Communicates clearly and openly, conveying clear and concise messages and adapting content and style to help others to understand what is meant
2	Establishes an atmosphere of open communication and transparency across the service/directorate/ organisation
3	Promotes equality and diversity through appropriate communication procedures across the service/directorate/organisation
4	Promotes the Council's strategies, plans, initiatives and programmes effectively through appropriate media and marketing channels
5	Influences and negotiates ethically and effectively at all levels, internally and externally, on behalf of the Council's aims and objectives.

BEHAVIOUR 6 Customer and Citizen Focus	
Purpose	Heads of Service demonstrate enthusiasm and willingness to serve the community in their role, in behalf of the Council
1	Demonstrates ability to meaningfully consult and engage with stakeholders to identify and implement service improvement, and strives to meet expectations
2	Proactively champions the needs of customers through creating a culture of high quality customer service delivery
3	Objectively evaluates the needs of different groups, translating into appropriate action
4	Demonstrates ability to initiate and implement new and innovative services for customers
5	Ensures that Council services are delivered effectively to meet current and future client/customer needs.
BEHAVIOUR 7 Delivering the Service	
Purpose	Heads of Service understand the Council's team work ethic and are committed to the service delivery and performance outcomes
1	Initiates and supports cross-sector and/or portfolio working; seeks establish and maintain effective partnerships and collaborative working
2	Demonstrates accountability for and supports innovation and improvement initiatives to ensure current service and future sustainability.
3	Effectively identifies and measures performance requirements for the Directorate/Service, ensuring effective delivery of outcomes.
4	Creates a positive team environment by encouraging achievement and commitment to the delivery of quality outcomes for service users
5	Ensures effective performance measures and mechanisms are adhered to across the Directorate/Service to achieve the efficiency agenda
BEHAVIOUR 8 Information, Finance and Resources	
Purpose	Heads of Service understand the governance rules and regulations of the Council for effective management of the resources and assets of the Council.
1	Understands the strategic framework to develop financial plans and efficiency agenda for the Service/Directorate/Council
2	Objectively and fairly provides appropriate support and development opportunities to improve knowledge and understanding of financial and resource management processes
3	Utilises effective and ethical negotiations and influencing to agree the allocation of financial resources internally and externally
4	Effectively evaluates the financial performance of the Directorate/Service, projects and programmes
5	Provides objective professional and expert advice to improve knowledge and understanding of the Council's financial, asset and resource management processes

BEHAVIOUR 9 Programme and Project Management	
Purpose	Heads of Service are able to co-ordinate, manage and deliver projects and programmes, support and manage change, to meet Council aims and objectives
1	Utilises resources to ensure programme/ project delivery, providing opportunities for Service/Directorate/Council to develop appropriate knowledge and skills to ensure effective and sustainable delivery.
2	Consistently applies Council's Project/Programme management methodology, monitoring control, and programme/project assurance and reporting mechanisms and procedures effectively.
3	Works collaboratively at strategic level to identify programmes/projects and associated risks, aligning outcomes to Corporate Priorities, ensuring programme and project governance as required.
4	Provides effective leadership to ensure that all project/programme outcomes are achieved (on time and within budget)
5	Demonstrates commitment to achieving agreed project/ programme outcomes through effective management and mitigation of project, programme and Corporate risk
BEHAVIOUR 10 People and Performance	
Purpose	Heads of Service understand the requirements to ensure that the right people are in the right place at the right time to deliver Council services and Corporate priorities
1	Accepts responsibility for all aspects of the Service/Directorate's development and performance through implementation of effective HR and workforce development mechanisms
2	Actively engages and collaborates across agency boundaries internally and externally to develop an effective and sustainable public sector workforce
3	Actively engages with local/regional and national political agenda for promoting performance excellence (representing the Council at national/international level)
4	Effectively leads on workforce planning, workforce development, succession planning and service/business planning activities for the Service/Directorate/Council
5	Works proactively to achieve service efficiencies and improvements through effective allocation, deployment and development of assets/resources

Integrated Impact Assessment Screening Form

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area: Chief Executive

Directorate: CMT

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

The redesignation of Deputy Chief Executive/Director of Resources to Deputy Chief Executive/Director of Corporate Services. This will involve changes to reporting lines as well as enhanced responsibilities for transformation, HR, community safety and civil contingencies.

T

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-) None

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Integrated Impact Assessment Screening Form

Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?
Please provide details below – either of your activities or your reasons for not undertaking involvement**

Extensive informal consultation with persons impacted. Full consultation to take place post approval of recommendation at Council

Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

- a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?
Yes No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?
Yes No
- c) Does the initiative apply each of the five ways of working?
Yes No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?
Yes No

Q5 What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)

High risk

Medium risk

Low risk
x

Q6 Will this initiative have an impact (however minor) on any other Council service?
 Yes No If yes, please provide details below

~~There will be changes to reporting lines for a number of staff members~~

Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?
(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

Integrated Impact Assessment Screening Form

The overall impact will be a clearer reporting structure and a role focussed on corporate transformation, HR and community safety. This will result in greater focus and resource on community safety in response to increasing community concerns, particularly from vulnerable groups.

Outcome of Screening

Q8 Please describe the outcome of your screening below:

- **Summary of impacts identified and mitigation needed (Q2)**
- **Summary of involvement (Q3)**
- **WFG considerations (Q4)**
- **Any risks identified (Q5)**
- **Cumulative impact (Q7)**

The IIA has identified a medium impact to sex as the post holder affected is a male. However, consultation has been undertaken with the individual. The reallocation of role will have no impact on salary. Formal consultation process with union involvement will follow Council approval. The purpose of reallocating the role is to provide clearer lines of accountability for transformation, human resource management and community safety.

Risks will be managed through strict observance of the Council's recruitment and equality policies.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

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.

Screening completed by:
Name: Phil Roberts
Job title: Chief Executive
Date: 4/10/21
Approval by Head of Service:
Name:
Position:
Date:

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

Integrated Impact Assessment Screening Form

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area: Chief Executive

Directorate: CMT

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

The deletion of the post of Chief Finance Officer and the creation of a new post; Director of Finance. The Director of Finance will be accountable for all finance functions and commercialism. This will result in strengthened accountability and changes to lines of reporting to embed the commercialism approach into the finance function.

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-) None

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

Integrated Impact Assessment Screening Form

Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?

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

Extensive informal consultation with persons impacted. Full consultation to take place post approval of recommendation at Council

Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?

Yes No

b) Does the initiative consider maximising contribution to each of the seven national well-being goals?

Yes No

c) Does the initiative apply each of the five ways of working?

Yes No

d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?

Yes No

Q5 What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)

High risk

Medium risk

Low risk

x

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

Yes No If yes, please provide details below

~~There will be changes to reporting lines for a number of staff members~~

Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

The overall impact will be a clearer reporting structure, a more defined role and an improvement in accountability for finance and finance strategy. This will make the Council a more resilient organisation given the inevitable future financial challenges it will face.

Integrated Impact Assessment Screening Form

Outcome of Screening

Q8 Please describe the outcome of your screening below:

- Summary of impacts identified and mitigation needed (Q2)
- Summary of involvement (Q3)
- WFG considerations (Q4)
- Any risks identified (Q5)
- Cumulative impact (Q7)

The introduction of this new post means that the post of Chief Finance Officer is deleted. The present incumbent of the Chief Finance Officer post has been consulted and will be able to apply for the post when it is advertised externally in accordance with law. The IIA has identified a medium impact to sex as the post holder affected is a male. However, consultation has been undertaken with the individual. Formal consultation process will follow Council approval.

Risks will be managed through strict observance of the Council's recruitment and equality policies.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

x Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

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.

Screening completed by:
Name: Phil Roberts
Job title: Chief Executive
Date: 4/10/21
Approval by Head of Service:
Name:
Position:
Date:

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

Integrated Impact Assessment Screening Form

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area: Chief Executive

Directorate: CMT

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

Deletion of Chief Transformation Officer and establishment of Head of Digital & Customer Services. The post will be slotted and matched in accordance with Council policy. The current post holder will be slotted into this post which is at a lower grade as a result in a reduction in duties which will be undertaken elsewhere in the organisation; specifically HR and commercialism.

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-) None

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Integrated Impact Assessment Screening Form

Marriage & civil partnership	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>

**Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?
Please provide details below – either of your activities or your reasons for not undertaking involvement**

Extensive informal consultation with persons impacted. Full consultation to take place post approval of recommendation at Council

Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

- a) Overall does the initiative support our Corporate Plan’s Well-being Objectives when considered together?
Yes No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?
Yes No
- c) Does the initiative apply each of the five ways of working?
Yes No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?
Yes No

Q5 What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)

High risk

Medium risk

Low risk
x

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

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

~~There may be impacts on the grades below in the directorate but this will be the subject of further deliberation and consultation~~

Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?
(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

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The proposal will impact negatively on the gender balance within CMT and this will need to be given further attention going forward. The overall impact will be an increased focus on digital strategy and its interface with customer contact. It will allow a stronger focus and drive in the digital element of corporate transformation. Accountability will be clearer and the organisation will be more resilient.

Outcome of Screening

Q8 Please describe the outcome of your screening below:

- **Summary of impacts identified and mitigation needed (Q2)**
- **Summary of involvement (Q3)**
- **WFG considerations (Q4)**
- **Any risks identified (Q5)**
- **Cumulative impact (Q7)**

The IIA has identified a medium impact to sex as the post holder affected is a female. However, extensive consultation has been undertaken with the individual. The reallocation of role will impact on salary but there will be protection for two years. Formal consultation process with union involvement will follow Council approval. Risks will be managed through strict observance of the Council's recruitment and equality policies.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

x Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

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.

Screening completed by:
Name: Phil Roberts
Job title: Chief Executive
Date: 4/10/21
Approval by Head of Service:
Name:
Position:
Date:

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

Integrated Impact Assessment Screening Form

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area: Chief Executive

Directorate: CMT

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

The creation of the post of Head of Vulnerable Learner Services in the education directorate. This post is being create to provide management capacity to lead and deliver the ALN programme for the Council. The programme is extensive and carries significant risks and requires strong leadership and management.

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-) None

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

Integrated Impact Assessment Screening Form

Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?
Please provide details below – either of your activities or your reasons for not undertaking involvement

Full consultation to take place post approval of recommendation at Council

Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?

Yes No

b) Does the initiative consider maximising contribution to each of the seven national well-being goals?

Yes No

c) Does the initiative apply each of the five ways of working?

Yes No

d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?

Yes No

Q5 What is the potential risk of the initiative? (*Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...*)

High risk

Medium risk

Low risk

x

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

Yes No If yes, please provide details below

~~There may need to be further structural changes which could result in changes to duties and reporting lines for a number of staff members. Full consultation and further IIA's will be undertaken when required.~~

Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

There will be a competitive interview process and the outcome may or may not impact on the gender balance for senior management. The overall impact will be, clearer reporting structure,

Integrated Impact Assessment Screening Form

more accountability and increased capacity to deliver the ALN programme, thereby mitigating significant risks to the Council

Outcome of Screening

Q8 Please describe the outcome of your screening below:

- **Summary of impacts identified and mitigation needed (Q2)**
- **Summary of involvement (Q3)**
- **WFG considerations (Q4)**
- **Any risks identified (Q5)**
- **Cumulative impact (Q7)**

This post will provide the capacity to mitigate significant risks in the delivery of the requirements of the ALN Act. It will aim to ensure that vulnerable learners have the best start in life and minimise the risks and consequences of educational failure for individuals. Risks will be managed through strict observance of the Council's recruitment and equality policies.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

x Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

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.

Screening completed by:
Name: Phil Roberts
Job title: Chief Executive
Date: 4/10/21
Approval by Head of Service:
Name:
Position:
Date:

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

Integrated Impact Assessment Screening Form

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area: Chief Executive

Directorate: CMT

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

The consolidation of the current interim structure in Adult Services and the post of Head of Adult Services (Learning Disability / Mental Health / Service provision & safeguarding) and Head of Integrated Services. This will assist the council in delivering its priorities for social care in the recovery plan and build on the improved collaboration with the NHS during the pandemic.

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-) None

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

Integrated Impact Assessment Screening Form

Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?
Please provide details below – either of your activities or your reasons for not undertaking involvement

Full consultation to take place post approval of recommendation at Council

Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

- a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?
Yes No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?
Yes No
- c) Does the initiative apply each of the five ways of working?
Yes No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?
Yes No

Q5 What is the potential risk of the initiative? (*Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...*)

High risk

Medium risk

Low risk

x

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

Yes

No

If yes, please provide details below

Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

These posts are currently occupied on an interim basis by female members of staff. There will be a competitive interview process and the outcome may or may not impact on the gender balance for senior management

Integrated Impact Assessment Screening Form

Q8 Please describe the outcome of your screening below:

- Summary of impacts identified and mitigation needed (Q2)
- Summary of involvement (Q3)
- WFG considerations (Q4)
- Any risks identified (Q5)
- Cumulative impact (Q7)

Risks will be managed through strict observance of the Council's recruitment and equality policies.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

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.

Screening completed by:
Name: Phil Roberts
Job title: Chief Executive
Date: 4/10/21
Approval by Head of Service:
Name:
Position:
Date:

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

Integrated Impact Assessment Screening Form

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area: Chief Executive

Directorate: CMT

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

The formalisation and external recruitment of the Head of service for HR and Service Centre through merger of the two service areas. This will have no immediate impact on the current structure with principal officers in HR and service centre continuing in post. However the postholders may apply for the post and if one is appointed then the structure may be subject to further change below.

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-) None

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Integrated Impact Assessment Screening Form

Pregnancy and maternity

**Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?
Please provide details below – either of your activities or your reasons for not undertaking involvement**

Informal consultation with persons impacted. Full consultation to take place post approval of recommendation at Council

Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

a) Overall does the initiative support our Corporate Plan’s Well-being Objectives when considered together?

Yes No

b) Does the initiative consider maximising contribution to each of the seven national well-being goals?

Yes No

c) Does the initiative apply each of the five ways of working?

Yes No

d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?

Yes No

Q5 What is the potential risk of the initiative? (Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...)

High risk

Medium risk

Low risk

x

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

Yes No If yes, please provide details below

~~There will be changes to reporting lines for a number of staff members~~

Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

(You may need to discuss this with your Service Head or Cabinet Member to consider more widely if this proposal will affect certain groups/ communities more adversely because of other decisions the organisation is making. For example, financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc.)

There will be a competitive interview process and the outcome may or may not impact on the gender balance for senior management. The overall impact will be an enhanced HR function,

Integrated Impact Assessment Screening Form

the unification of HR with the service centre and improved accountability, clearer reporting structure, a more defined role? More accountability

Outcome of Screening

Q8 Please describe the outcome of your screening below:

- Summary of impacts identified and mitigation needed (Q2)
- Summary of involvement (Q3)
- WFG considerations (Q4)
- Any risks identified (Q5)
- Cumulative impact (Q7)

This proposal will have different impacts dependant on the outcome of the recruitment process. The current post holders will be eligible to apply for these positions and retain their substantive posts if unsuccessful.. Risks will be managed through strict observance of the Council's recruitment and equality policies.

(NB: This summary paragraph should be used in the relevant section of corporate report)

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

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.

Screening completed by:
Name: Phil Roberts
Job title: Chief Executive
Date: 4/10/21
Approval by Head of Service:
Name:
Position:
Date:

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

Agenda Item 9.



Report of the Cabinet Member for Children Services

Council – 4 November 2021

Update on Children and Young People's Rights Scheme

Purpose:	To approve Swansea's Children and Young People's Rights Scheme following consultation and to agree to continue with a co-productive approach for mechanisms for listening to children and young people
Policy Framework:	United Nations Convention on the Rights of the Child (1989), Social Services and Wellbeing (Wales) Act 2014, Curriculum and Assessment (Wales) Act 2021, Wellbeing of Future Generations (Wales) Act 2015, Children and Families (Wales) Measure 2010
Consultation:	Legal, Finance, Access to Services, Social Service Directorate, Citizens and Children & Young People
Recommendation(s):	It is recommended that Council: <ol style="list-style-type: none">1) Notes the results of the Consultation at Appendix 2;2) Approves the Swansea's Children's Rights Scheme at Appendix 1;3) Agrees to the establishment of 6 co-production forums to work with children and young people on themes identified as priorities as part of the consultation;4) Agrees to the continuation of conversations and co-production with children and young people, and other stakeholders to add detail to the operation of each co-production forum.
Report Authors:	Jane Whitmore/Katie Spendiff
Finance Officer:	Chris Davies
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar

1. Background

- 1.1 The Children and Young People's Rights Scheme sets out the arrangements the Swansea Council will put in place to ensure compliance with its duty to have due regard to the UNCRC. It provides transparency about the processes that will be followed to comply with the duty, and outlines monitoring procedures and expected outcomes.
- 1.2 A substantial amount of work has been completed looking at the original Children's Rights Scheme adopted in 2014 and working to ensure a revised draft compliments the 'Right Way' principled approach that is being embedded nationally. Although not a far leap from the existing Scheme in Swansea, alignment provides consistency in terms of language and measurement (using the Children Commissioners for Wales matrix), and provides increased opportunity to access resources. Alignment to the National process means opportunity to provide clear guidance, and tangible benchmarks for council departments to embed a whole council approach and evidence outcomes.
- 1.3 A plan on a page of the Children and Young People's Rights Scheme, was co-produced with children, young people and the Children's Rights Network in preparation for formal consultation. This incorporated National Principles for a Rights Based Approach to Children, and took account of previous extensive work with children, young people and practitioners on what a new Scheme should look like. This has been recognised as good practice in terms of its accessibility and usability by the Children's Commissioner and is being considered for roll out as a National tool.
- 1.4 Details of the consultation response can be found in Section 2 of this report and a copy of the revised Children & Young People's Rights Scheme and plan on a page can be found under **Appendix 1**
- 1.5 Local Authorities have a duty to promote and facilitate participation by children and young people in decisions which might affect them. The legal basis for this duty is Section 12 of the Children and Families (Wales) Measure 2010. It requires local authorities to *make such arrangements as they consider suitable to promote and facilitate participation by children in decisions of the authority which might affect them, and to publish and keep up to date information about its arrangements.*
- 1.6 The pandemic has exacerbated existing inequalities and impacted on children's rights, well-being and futures. Key concerns included more children being pushed into poverty, an observed widening of educational inequalities and worsening mental health especially for vulnerable children and young people.
- 1.7 Through working with and listening to children and young people it is clear that a refreshed way of looking of how we ensure we include all children and young people in decisions that affect their lives is required. Therefore a recommendation made was to ensure we formalise structures for the

inclusive and effective engagement of all children and young people, ensuring that these opportunities must:

- Increase the accessibility of decision makers to children and young people;
 - Increase the number of opportunities for children and young people to meaningfully engage with decision makers in decisions that affect them;
 - Make an equitable and inclusive offer to those who would be traditionally marginalised from civic participation, e.g. cyp who possess protected characteristics and/or have additional needs, lack confidence, or do not wish to commit to formal elected positions but equally have a right to have their voice heard;
 - Be appropriate to the age and maturity of the children participating.
- 1.8 As participation is a central tenet of the Children and Young People's Rights Scheme, what children, young people and adults feel the Council should do to ensure children and young people have inclusive and meaningful opportunities to engage with decisions makers was included within the same consultation.
- 1.9 Details of the consultation response can be found within this report and recommendations for continuing the conversation through co-production as next steps to address this work.

2. Consultation Summary

- 2.1 Swansea's Children's Rights Network is made up of over 80 stakeholders with a vested interest in furthering the children's rights agenda in Swansea. This includes council department and public service representatives, third sector partners, school staff, parent carers and individuals. The Network coproduced consultation questions and agreed it was important that a range of methods and formats were developed and made available in an effort to increase accessibility and uptake of the consultation.
- 2.2 The following were developed in both English and Welsh, and launched on 16th June 2021:
- Online survey for children aged 0-10 years
 - Online Survey for young people aged 11-18 years
 - Online survey for individual adults and/or practitioners
 - Children and Young People Easy Read survey – produced by Learning Disability Wales
 - Adult Easy Read survey– produced by Learning Disability Wales
 - Symbol Survey – produced by Widgit
 - An offer of face to face session in schools and/or community groups
- 2.3 Opportunities to participate were distributed specifically to:
- Hwb account holders via the Council's Education Newsletter
 - Staff within the Social Services and Education Directorates
 - All Cabinet Members and Councillors
 - All Councillors
 - Third sector partners
 - Commissioned partners
 - Members of Swansea's Children's Rights Network

- All recipients were also requested to distribute to children, young people and families as well as other networks.
 - The consultation was also publically promoted.
- 2.4 During the period 16th June to the 31st July 2021 a total of **358** survey responses were received.
- 2.5 It is important to recognise feedback indicates that during the current climate priority has had to be given to supporting children’s wellbeing through the pandemic, more so than supporting opportunities to undertake consultation, even though it is recognised as important.
- 2.6 Feedback also reiterates that consultation at the end of summer term is not ideal, and is particularly reflective in the low uptake from young people dealing with finishing the school year in a good position to continue successfully in September.
- 2.7 As we recover from the pandemic, and community opportunities build, engagement work continues to grow. We are seeking to continue the conversations in schools and community groups to fully develop co-production work outlined in Section 3.8 below. While useful, this consultation should be viewed as a starting point, and one element of the process of co-production of effective and meaningful mechanisms for listening, that are right for children and young people.
- 2.8 Full details of this can be found under Appendix 2.

3. Consultation Response – Children & Young People’s Rights Scheme

- 3.1 The Children and Young People’s Rights Scheme outlines 5 key principles for embedding children’s rights;
- Participation
 - Empowerment
 - Embedding
 - Accountability
 - Non-discrimination
- 3.2 Each statement (and their respective indicators) has been derived from the national indicators outlined in ‘The Right Way’. The decision to do so was co-decided by Swansea’s Children’s Rights Network, through Big Conversation mechanisms with children and, through the last cycle of corporate reporting on the Children’s Rights Annual Report. Proposed incorporation of The Right Way principles into local policy in Swansea has been recognised as good practice by the Children’s Commissioner and a draft plan on a page is being considered for roll out as a National tool.
- 3.3 Each of the principles and their respective indicators formed the basis of our consultation. Participants were asked to agree or disagree with each and provide additional comments/thoughts/ideas for areas of improvement or goals that were missing.

- 3.4 For each principle of the Children and Young People's Rights Scheme, for every goal, the majority of participants agreed that this is the way Swansea Council should proceed.
- 3.5 Consistent feedback reiterates the need to put in place measurable and tangible actions to achieve this – to ensure the rhetoric of respecting children's rights in Swansea becomes a reality.
- 3.6 Survey feedback suggests public trust in Swansea Council to recognise and fulfil the rights of ALL children in Swansea is low, and 'the proof is in the pudding' has been a theme within the qualitative elements of responses. This includes ensuring robust ways of evidencing accessibility, transparency and meaningful opportunities for everyone, particularly those who have not historically been involved to do so.
- 3.7 Therefore it is recommended that following the approval of the Children and Young People's Rights Scheme, a robust action plan and key performance indicators to monitor its implementation be developed.
- 3.8 The Participation element of this consultation has provided initial data about how children and young people want to engage in decisions that affect them:
- We know that a range of mechanisms is required and that work is particularly required to engage children whose voices are 'quiet', i.e. those who do not currently have the opportunity to be heard, and those who do not wish to speak up directly or publicly, but wish to contribute anonymously or as and when they have ideas to share.
 - We know that extensive work is required to ensure disabled children have opportunities to engage and have their voices heard in ways that are best for them, including opportunities for bespoke work when requested, but also that universal opportunities are facilitated in a way that enables the integration of disabled children. This includes work to incorporate the United Nations Convention on the Rights of Disabled Persons into the Swansea's Children's Rights Scheme.
 - We know that a wealth of practice takes place in schools to facilitate pupil voice but work is required to bring that local data and pupil's voices together at a county level. This means 1) making use of pupil voice committees as a resource, 2) ensuring all learners have opportunity to contribute to issues that affect them, and 3) developing ways to collate local data to understand issues for children and young people in relation to their education that are wider than their school, but common across the authority.
 - We know that extensive work has been done to ensure that children's rights and the UNCRC are explicitly incorporated into the Curriculum and Assessment (Wales) Act 2021. The introduction of the Act now places rights within National Policy, challenging schools and local authorities across Wales to consider how rights can be taught and embedded within curriculum and school life. Swansea has a sound foundation for the embedding of rights in their curricula and in fulfilling the expectations of

the Act, as a direct result of historic work through Unicef's Rights Respecting Schools Programme. Swansea Council is eager to continue to work in partnership with schools as experts in rights-based learning environments to ensure the continued success of the excellent Rights Respecting practice that currently takes place in schools across the city, as we move from a move from a commissioned model to one that is driven not only by local policy, but that at a National level. Work is planned to equip challenge advisors with the information and resources to support schools to incorporate existing rights-based practice into the development of new curricula. Specific support from challenge advisors will commence in the Autumn Term 2021.

- We know that a wealth of practice takes place to ensure children and young people, at a very local level, are able to participate in ways that are appropriate to them. Conversation and continued co-production is required to extend this local practice to a county-wide approach, to ensure a non-discriminatory approach to participation, supported by trusted and specialised adults in specific fields. This means incorporating good practice and the knowledge, expertise and skills that already exists in adults and children into county-wide forum discussions, with an aim to influence change based on the needs of children and young people.
- We know, based on feedback from children and young people, the key issues they wish to work on to make Swansea a better place to live are:
 1. Protecting the Environment and Green Spaces
 2. Quiet voices – developing systems for listening to children and young people who do not wish to 'speak up' but do want to have their say, e.g. digital platforms and virtual suggestions boxes
 3. Supporting disabled children – working on making change so that disabled children feel integrated and able to have their voices heard as any other child would.
 4. Equality for LGBTQ+ children and young people – developing resources that address discrimination and promote diversity and equality for children and young people who identify as LGBTQ+
 5. Politics – developing resources for children and young people to understand what politics is, who local politicians are and how to organise change
 6. Listening to Learners – strengthening collective pupil voice across the County, building on good practice currently taking place in individual schools.
- We know that feedback and influencing real change is a priority for participants who responded. Formalising feedback between children and young people and decision makers and publishing that change (more regularly than annually) is essential.

3.9 Based on the information above, in order to take this forward, the model below is proposed

- 6 co-production forums are established to work on each of the priorities outlined above:
 Environment – facilitated by Partnership and Involvement Team
 Quiet voices – facilitated by Partnership and Involvement Team
 Politics – facilitated by Partnership and Involvement Team
 Equality in LGBT+ - co facilitated by Partnership and Involvement Team and CFS
 Enabling Disabled Children – facilitated by CFS
 Listening to Learners – facilitated by Education
- Each co-production forum would be recruited via open invitation (initially), and will be made up of children, young people, families, officers and members with a stake in each subject area.
- Consistency has been a key element of feedback, and to ensure this, once the initial membership of each forum is established, this will remain the same for each for the year. This means dates can be calendared in advance and clear roles and responsibilities can be established.
- To ensure tangible change, each forum would meet quarterly and have its own work-plan, co-produced by its members. The work plan should provide clear steps that show how issues raised will be addressed, and what changed has occurred as a result. Detailed work plans will be co-produced by each forum once membership is established.
- Infographics would be produced quarterly raising issues, questions and progress. This would be shared with cabinet and relevant decision makers for action, and with the public to promote work on a regular basis.
- We will make sure this is inclusive and accessible to all through active efforts to include marginalised groups and will track and monitor this throughout the year

4. Next Steps

- 4.1 Re-development and re-design of Swansea’s Children and Young People’s Rights Scheme helps to cement participation as a core element of embedding rights based practice. The refreshed plan on a page of the Children and Young People’s Rights Scheme in Swansea aligns to the Right Way principled approach that is being embedded nationally, enabling clear guidance and tangible benchmarks for council departments to embed a whole council approach and evidence outcomes that can be measured locally and nationally.
- 4.2 A robust and measurable action plan and key performance indicators to monitor the progress and impact of Swansea’s Children and Young People’s Rights Scheme will be developed to support the Children’s Rights Scheme. The CR Scheme (including participation and empowerment as tenets of it) will be produced by the Children’s Rights Network Policy sub-group. This is made up of officers, including education and school staff, parent carers, third sector and other representatives of services for children. Developed and monitored by the Children’s Rights Network Policy

Sub Group, the action plan will incorporate data from Swansea's response to the UN Call for Evidence, treaty tracker recommendations and feedback from children and young people and practitioners to provide an overarching framework for embedding rights. Involvement officers will also be working with children and young people across its development to see that these indicators are what cyp think they should be.

- 4.3 One of the key principles outlined in the Children and Young People's rights scheme is participation. The establishment of formal mechanisms for listening to children and young people requires a co-productive approach to development. Whilst we have initial data about how children and young people want to engage, we want to continue the conversation on what type of mechanism and structures would allow us to achieve inclusive and effective engagement of all children and young people. Specifically, further work is required with young people to understand issues pertaining to 11+ years, and with all stakeholders to refine the detail of how co-production forums can operate most effectively.
- 4.4 Continuation of the co-production of a formalised model for listening to children and young people, with relevant stakeholders during the Autumn of 2021 will ensure a wider reach of children, young people, families and partners, and convening a co-production forum of stakeholders to discuss/develop/refine the proposed model.
- 4.5 The Children's Rights Network Involvement Group led by Swansea's Children and Young People's Partnership and Involvement Officer will oversee engagement of all stakeholders affected to ensure any forum/mechanisms developed are inclusive, meaningful and operate in a way that aligns to the National Participation Standards for Children and Young People.
- 4.6 A You Said, We Did response to the consultation will be produced and publicised, providing feedback on actions and decisions taken in response to participant feedback.
- 4.7 All of this work will be celebrated and promoted throughout the week of Universal Children's Day, Friday 19th November 2021.
- 4.8 Following Council approval the promotion and publication of Swansea's Children and Young People's Rights Scheme will also be driven forward.
- 4.9 The UNCRC Council Champions, Cabinet Members and Corporate Management Team will support this work as it develops and recognise that this is critical as we continue to develop mechanism and structures which allow us to achieve inclusive and effective engagement of all children and young people across Swansea.

5. Equality and Engagement Implications

- 5.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, 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 Acts.
- 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.
- Deliver better outcomes for those people who experience socio-economic disadvantage
- Consider opportunities for people to use the Welsh language
- Treat the Welsh language no less favourably than English.
- Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

5.2 The Well-being of Future Generations (Wales) Act 2015 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the ‘well-being goals’.

5.3 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.

5.4 The Children & Young People’s Rights Scheme highlights the intrinsic links between the protected characteristics outlined in the Equality Act and the rights of children and young people.

When thinking about children’s rights, there are equality implications with regard to age, and sometimes in relation to the other protected characteristics.

The due regard duty placed upon the Local Authority seeks to ensure that when decisions are made that affect children and young people, children’s rights must be considered and acted upon if it is deemed that decisions being made have adverse effects on children and their equality rights. The inclusion of the UNCRC within the IIA process is intrinsic in supporting this.

5.5 The UNCRC embraces children’s right to be able to express themselves, and receive information in a language of their choice, including Welsh. The report outlines opportunities for participation where children and young people have been able to engage through the medium of Welsh.

Once Appendix 1 is approved, it will be published and promoted to children, young people, their families and other relevant stakeholders. Copies will be available in English and Welsh, as well as other languages if required.

6. Legal Implications

6.1 There are no legal implications.

7. Financial Implications

7.1 Whilst there are no immediate financial implications arising from this report, it should be assumed that any resultant future spending needs will need be contained within existing budget provision and have full and due regard to the budget principles set out in the medium term financial plan and the likely levels of future budgets.

Background papers:

Existing Children & Young People's Rights Scheme

<https://www.swansea.gov.uk/childrensrightsscheme>

Appendices:

Appendix 1 - Children & Young People's Rights Scheme

Appendix 2 - Summary Consultation Responses in relation to the Swansea's Children's Rights Scheme.

Appendix 3 - IIA Screening Report

Swansea Council

Children and Young Peoples Rights Scheme

2021



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What is the Children and Young People's Rights Scheme?

The United Nations Convention on the Rights of the Child (UNCRC) sets out the rights all children aged 0-18years have to make sure they are healthy, happy and safe.

In September 2013, Swansea Council agreed that children's rights should be embedded within the Council policy framework, and that a duty be placed on the Council's Cabinet to have 'due regard' to the UNCRC when making decisions.

This means that when Swansea Council develop new policies or strategies, review or change existing policies and strategies, or develop or change Council services, thought has to be given to how those decisions affect the rights of children in Swansea.

This scheme outlines how Swansea Council plans to have due regard to the UNCRC.

The original Scheme was published in 2014, this is the second version of the scheme which has been updated following public consultation.

Development of the Children and Young People's Rights Scheme

This is the second version of the Children and Young People's Rights Scheme. This version has been co-designed with children, young people, families, members of the public, members of Swansea's Children's Rights Network and Members of Swansea Council.

This version incorporates the Children's Commissioner for Wales' ['The Right Way'](#) approach, setting out 5 key principles, through which we aims to embed the UNCRC in all of the Council's decision-making processes:

Participation	Making sure good quality arrangements are in place to ensure children and young people are listened to, and that their opinion is heard, in decisions that are being made that affect them.
Empowerment	Promoting rights to children and young people so that they feel able to exercise them.
Embedding	Having systems in place to write down and evidence how we give thought to the impact of decision on children's rights. Making sure workers understand the UNCRC and how their work impacts on children's rights.
Accountability	Having systems in place to report on what we are doing to make children's rights a reality in Swansea
Non-discrimination	Making special efforts to ensure children and young people who may be less likely to access their rights, have an equal opportunity to be able to do so

What is the duty on Swansea Council?

- (1) The Local Authority will incorporate and embed the UNCRC (1989) into the Council's Policy Framework and will have due regard to the requirements of –
 - (a) Part I of the Convention,
 - (b) Articles 1 to 7 of the Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict, except article 6(2), and;
 - (c) Articles 1 to 10 of the Optional Protocol to the Convention on the Rights of the Child on the sale of children, child prostitution and child pornography.
- (2) The Cabinet will have 'due regard' to the UNCRC (1989);
- (3) The Council will publish a Children and Young People Rights Scheme, and will develop an Annual Report on the Children and Young People's Rights Scheme, reporting on:
 - [a] implementation of the due regard duty; and, [b] promoting children's rights in Swansea.

Who is responsible for paying due regard to the UNCRC?

The Children and Young People's Rights Scheme does not stand alone, and links to many other policies that affect children and young people, within the Council

Children's Rights are a key theme throughout all of this work and the Children and Young People's Rights Scheme aims to build a whole Council approach to embedding rights in current and planned work. Therefore, everyone who works in Swansea Council is responsible for respecting, understanding and embedding the UNCRC. More information about the specific roles of Cabinet, Councillors, Managers and Swansea Council Staff in paying due regard is on **page 6**.

An action plan setting out how this policy will be measured, will be developed in 2021 and implemented in a phased roll-out over 3 years.

How we will comply with the duty to have due regard to the UNCRC?

Under each of the 5 key principles outlined above, we have set out the actions required to embed children's rights within Swansea Council's policies, strategies and services. We will monitor and evaluate our progress against each of these actions:

Participation	<ul style="list-style-type: none"> • Involve children directly in the design, monitoring and evaluation of services they receive. • Learn how other organisations are doing this, and develop plans that meet the needs of children and young people in Swansea. • Develop clear targets to listen to children and young people from marginalised groups. • Involve children in the recruitment of staff who have responsibilities that impact on children. • Adopt the National Participation Standards for Children and Young people, to make sure when children's experience are a quality one.
Empowerment	<ul style="list-style-type: none"> • Give children the information they need to influence decisions that affect them (e.g. simple language reports). • Give children the opportunities they need to influence decisions that affect them(e.g. opportunities to scrutinise decision makers e.g. giving a group of young people the chance to ask questions directly to a key decision-maker) • Establish relationships with groups of young people to allow them to consistently scrutinise work. E.g. youth groups/forums, or you could consider forming your own youth group. • Give children and young people the training or information they need to do this properly.
Embedding	<ul style="list-style-type: none"> • Make sure that leaders and staff have a good knowledge of children's rights (UNCRC), and help them understand how it can benefit our organisation's work. • Use our resources to deliver training on children's rights. Set up a network of champions with responsibility to promote children's rights and set targets for how to embed children's rights in all work. • Make sure there are HR/financial resources to support and promote children's rights.
Accountability	<ul style="list-style-type: none"> • Publish an accessible annual update showing how we've worked towards making children's rights real in Swansea. • Feedback regularly to children in a suitable format. • Provide children with accessible information on how to provide feedback about what we're doing well or what we could improve, make complaints or hold staff to account
Non-discrimination	<ul style="list-style-type: none"> • Make sure staff have up-to-date knowledge of the Equality Act and receive regular training to increase their awareness of different groups of children and young people's needs. • Use a Children's Rights Impact Assessment (CRIA) to consider how individual decisions (e.g. projects/services) could impact different groups of children and young people. Use information we have about children and young people's need to consider whether our services reach all groups of young people. • Provide information to children in a language or format appropriate to their age and maturity, culture, or disability

Who is involved in ensuring the Swansea Council complies with this duty?

In this section the specific arrangements to make sure that the Local Authority complies with the duty to have due regard to the UNCRC when exercising any of their functions, and the roles and responsibilities and set out below:

Cabinet Members

- Must have due regard to the UNCRC when exercising any of their functions and must be fully aware of the duty when they make their decisions; they are responsible for making sure that the Swansea Council comply with the duty
- Are responsible for agreeing and monitoring the Children and Young People's Rights Scheme
- Will consider the progress made on the implementation of the Scheme as outlined in an annual progress report
- A Lead Member of the Cabinet has been identified who will exercise political leadership for the promotion of children and young people's rights under the UNCRC (1989)

Corporate Management Team:

- Must also have due regard to the UNCRC when exercising any of their functions and must be fully aware of the duty when they make their decisions; their work includes developing internal processes that will make sure staff comply with the duty
- This includes providing information and advice, developing tools and recording mechanisms to help staff to consider the UNCRC in their work and in their options and advice to Cabinet Members
- Will receive the annual progress report on the implementation of the Scheme and monitor progress as detailed in the action plan
- Corporate Management Team will work with the Lead Member to ensure that effective Member/Officer dialogue occurs to embed and promote children's rights and embed the UNCRC into policy and practice

Heads of Service

- Ensure that all staff, including themselves, have a suitable level of knowledge of the UNCRC and the implications of the Scheme on their area of work
- Will Act as 'Champions' of children's rights and to promote and raise awareness of the UNCRC in their service area to enhance rights based practice
- Will be responsible for ensuring that the options and advice that their staff include in the corporate reporting process is of good quality and has paid due regard to the UNCRC
- Will contribute to the annual progress report on the implementation of the Scheme and monitor progress as detailed in the action plan.

Council Staff

- Support Cabinet and Council in having due regard to the UNCRC when make decisions, as they provide options and advice in relation to Council functions
- Give balanced consideration to the UNCRC, before they begin to develop policies or other pieces of work through the Integrated Impact Assessment Process
- Training and awareness raising information will be given to staff to help them understand the UNCRC and how it impact upon their role

Appendix 1: Articles of the UNCRC

Article 1 Everyone under 18 years of age has all the rights in this Convention.

Article 2 The Convention applies to everyone whatever their race, religion, abilities, whatever they think or say and whatever type of family they come from.

Article 3 All organisations concerned with children should work towards what is best for each child.

Article 4 Governments should make these rights available to children.

Article 5 Governments should respect the rights and responsibilities of families to direct and guide their children so that, as they grow, they learn to use their rights properly.

Article 6 All children have the right of life. Governments should ensure that children survive and develop healthily.

Article 7 All children have the right to a legally registered name, the right to a nationality and the right to know and, as far as possible, to be cared for by their parents.

Article 8 Governments should respect children's right to a name, a nationality and family ties.

Article 9 Children should not be separated from their parents unless it is for their own good, for example if a parent is mistreating or neglecting a child. Children whose parents have separated have the right to stay in contact with both parents, unless this might hurt the child.

Article 10 Families who live in different countries should be allowed to move between those countries so that parents and children can stay in contact or get back together as a family.

Article 11 Governments should take steps to stop children being taken out of their own country illegally. **Article 12** Children have the right to say what they think should happen, when adults are making decisions that affect them, and to have their opinions taken into account.

Article 13 Children have the right to get and to share information as long as the information is not damaging to them or to others.

Article 14 Children have the right to think and believe what they want and to practice their religion, as long as they are not stopping other people from enjoying their rights. Parents should guide their children on these matters.

Article 15 Children have the right to meet together and to join groups and organisations, as long as this does not stop other people from enjoying their rights.

Article 16 Children have a right to privacy. The law should protect them from attacks against their way of life, their good name, their families and their homes.

Article 17 Children have the right to reliable information from the mass media. Television, radio and newspapers should provide information that children can understand, and should not promote materials that could harm children.

Article 18 Both parents share responsibility for bringing up their children, and should always consider what is best for each child. Governments should help parents by providing services to support them, especially if both parents work.

Article 19 Governments should ensure that children are properly cared for, and protect them from violence, abuse and neglect by their parents or anyone else who looks after them.

Article 20 Children who cannot be looked after by their own family must be looked after properly, by people who respect their religion, culture and language.

Article 21 When children are adopted the first concern must be what is best for them. The same rules should apply whether the children are adopted in the country where they were born or taken to live in another country. **Article 22** Children who come into a country as refugees should have the same rights as children born in that country.

Article 23 Children who have any kind of disability should have special care and support so that they can lead full and independent lives.

Article 24 Children have the right to good quality health care and to clean water, nutritious food and a clean environment so that they will stay healthy. Rich countries should help poorer countries achieve this.

Article 25 Children who are looked after by their local authority rather than their parents should have their situation reviewed regularly.

Article 26 The Government should provide extra money for the children of families in need.

Article 27 Children have a right to a standard of living that is good enough to meet their physical and mental needs. The Government should help families who cannot afford to provide this.

Article 28 Children have a right to an education. Discipline in schools should respect children's human dignity. Primary education should be free. Wealthy countries should help poorer countries achieve this.

Article 29 Education should develop each child's personality and talents to the full. It should encourage children to respect their parents, and their own and other cultures

Article 30 Children have a right to learn and use the language and customs of their families, whether these are shared by the majority of people in the country or not.

Article 31 All children have a right to relax and play, and to join in a wide range of activities.

Article 32 The Government should protect children from work that is dangerous or might harm their health or their education.

Article 33 The Government should provide ways of protecting children from dangerous drugs.

Article 34 The Government should protect children from sexual abuse.

Article 35 The Government should make sure that children are not abducted or sold.

Article 36 Children should be protected from any activities that could harm their development.

Article 37 Children who break the law should not be treated cruelly. They should not be put in prison with adults and should be able to keep in contact with their families.

Article 38 Governments should not allow children under 15 to join the army. Children in war zones should receive special protection.

Article 39 Children who have been neglected or abused should receive special help to restore their self respect. **Article 40** Children who are accused of breaking the law should receive legal help. Prison sentences for children should only be used for the most serious offences.

Article 41 If the laws of a particular country protect children better than the articles of the Convention, then those laws should stay.

Article 42 The Government should make the Convention known to all parents and children.

Appendix 2: Plan on a Page



Doing it the Rights Way: Children and Young People's Rights Scheme



This Means:

Making sure good quality arrangements are in place to ensure children and young people are listened to, and that their opinion is heard, in decisions that are being made that affect them.

Participation

We Will:

- Involve children and young people directly in the design, monitoring and evaluation of services they receive.
- Learn about how other organisations are doing this, and develop plans that meet the needs of children and young people in Swansea.
- Develop clear targets to listen to children and young people from marginalised groups.
- Involve children and young people in the recruitment of staff who have responsibilities that impact on them.
- Adopt the National Participation Standards, to make sure when children and young people participate, their experience is a quality one.:

Promoting rights to children and young people so that they feel able to exercise them.

Empowerment

- Give children and young people the information they need to influence decisions that affect them (e.g. simple language reports).
- Give children and young people the opportunities they need to influence decisions that affect them(e.g. opportunities to scrutinise decision makers e.g. giving the chance to ask questions directly to a key decision-maker and/or co-produce work).
- Establish relationships with children and young people to allow them to consistently scrutinise work.
- Give citizens the training or information they need to do this properly.

Having systems in place to write down and evidence how we give thought to the impact of decisions children's rights.

Embedding

Making sure workers understand the UNCRC and associated treaties, and how their work impacts on children's rights.

- Make sure that leaders and staff have a good knowledge of Children's Human Rights, and help them understand how it can benefit our organisation's work.
- Use our resources to deliver training on children's human rights.
- Set up a network of champions with responsibility to promote the rights of children and young people and set targets for how to embed this in all work.
- Make sure there are HR/financial resources to support and promote the rights of children and young people

Having systems in place to report on what we are doing to make rights a reality for children and young people in Swansea

Accountability

- Publish an accessible annual update showing how we've worked towards making rights real for children and young people.
- Feedback regularly in a suitable format.
- Provide accessible information on how to provide feedback about what we're doing well or what we could improve, make complaints or hold staff to account.

Making special efforts to ensure children and young people who may be less likely to access their rights, have an equal opportunity to be able to do so.

Non Discrimination

- Make sure staff have up-to-date knowledge of the Equality Act and receive regular training to increase their awareness of different groups of children and young people's needs.
- Use an Integrated Impact Assessment (IIA) to consider how individual decisions (e.g. projects/services) could impact different groups of children and young people.
- Use information we have about the needs of children and young people to consider whether our services reach all groups, particularly those who possess protected characteristics.
- Provide information in a format appropriate to people's age and maturity, culture, or disability

Children's Rights Survey 2021

Brief summary of all responses received by 31st July 2021

A total of **358** survey responses were received. The breakdown of respondents is as follows:

Group	No of respondents
Children 0-10 *	273
Young People aged 11-18	20
Adults	65

(* Of the 0-10 responses, 164 were received via the internet survey and 109 were received through school sessions.)

Objective 1: Participation

The survey respondents were asked whether they agreed, or disagreed to 5 statements on how the Council should involve children and young people in its work:

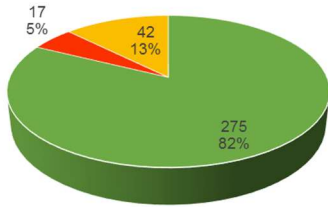
- **82%** of respondents (275 out of 334 respondents) agreed that the Council should 'Involve children directly in the design, monitoring and evaluation of services they receive'.
- **86%** of respondents (284 out of 330 respondents) agreed that the Council should 'Learn about how other organisations are doing this, and develop plans that meet the needs of children and young people in Swansea'.
- **88%** of respondents (284 out of 323 respondents) agreed that the Council should 'Develop clear targets to listen to children and young people from marginalised groups'.
- **62%** of respondents (202 out of 326 respondents) agreed that the Council should 'Involve children in the recruitment of staff who have responsibilities that impact on children'.
- **89%** of respondents (288 out of 324 respondents) agreed that the Council should 'Adopt the National Participation Standards for Children and Young people, to make sure when children participate, their experience is a quality one'.

Objective 1: Participation:

■ Agree ■ Disagree ■ I don't know

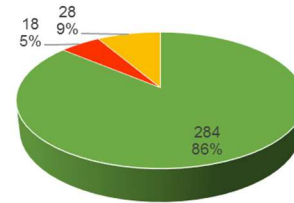


Involve children directly in the design, monitoring and evaluation of services they receive



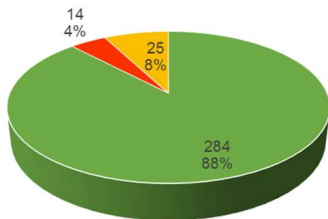
■ Agree ■ Disagree ■ I don't know

Learn about how other organisations are doing this, and develop plans that meet the needs of children and young people in Swansea



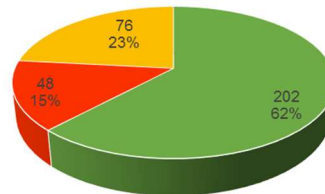
■ Agree ■ Disagree ■ I don't know

Develop clear targets to listen to children and young people from marginalised groups



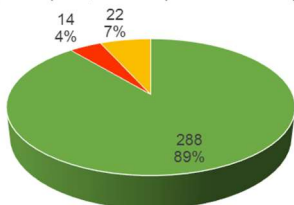
■ Agree ■ Disagree ■ I don't know

Involve children in the recruitment of staff who have responsibilities that impact on children



■ Agree ■ Disagree ■ I don't know

Adopt the National Participation Standards for Children and Young people, to make sure when children participate, their experience is a quality one

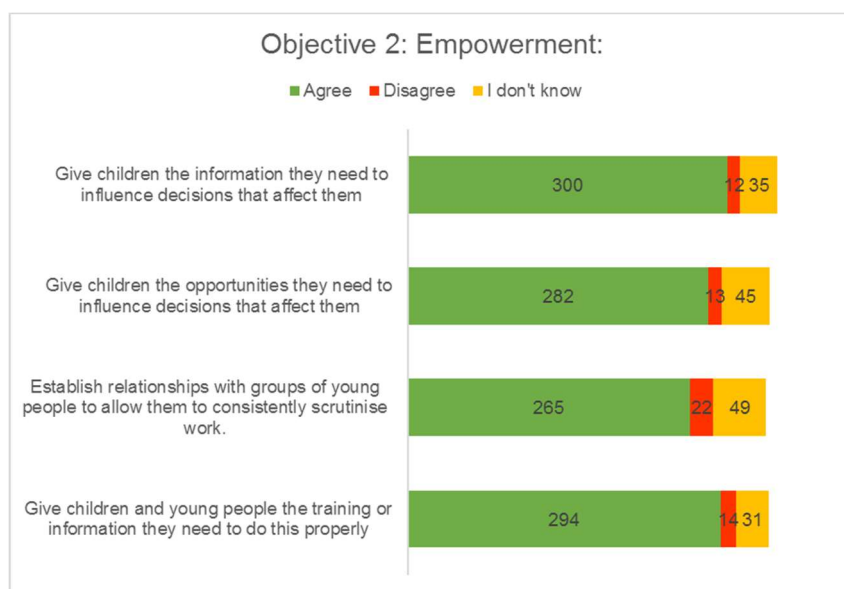


■ Agree ■ Disagree ■ I don't know

Objective 2: Empowerment

The survey respondents were asked whether they agreed, or disagreed to 4 statements on how the Council should empower children and young people:

- **86%** of respondents (300 out of 347 respondents) agreed that the Council should 'Give children the information they need to influence decisions that affect them'.
- **83%** of respondents (282 out of 340 respondents) agreed that the Council should 'Give children the opportunities they need to influence decisions that affect them'.
- **79%** of respondents (265 out of 336 respondents) agreed that the Council should 'Establish relationships with groups of young people to allow them to consistently scrutinise work.'
- **87%** of respondents (294 out of 339 respondents) agreed that the Council should 'Give children and young people the training or information they need to do this properly'.



Objective 3: Embedding

The survey respondents were asked whether they agreed, or disagreed to 5 statements on how the Council should embed children’s rights:

- **88%** of respondents (298 out of 340 respondents) agreed that the Council should ‘Make sure that leaders and staff have a good knowledge of children’s rights (UNCRC), and help them understand how it can benefit our organisation’s work’.
- **79%** of respondents (265 out of 334 respondents) agreed that the Council should ‘Use our resources to deliver training on children’s rights’.
- **71%** of respondents (237 out of 333 respondents) agreed that the Council should ‘Give adults responsibility to promote children’s rights’.
- **82%** of respondents (217 out of 265 respondents) agreed that the Council should ‘Set targets to help adults make sure they think about children’s rights in all of their work’.
- **83%** of respondents (273 out of 330 respondents) agreed that the Council should ‘Make sure there are HR/financial resources to support and promote children’s rights’.



Objective 4: Accountability

The survey respondents were asked whether they agreed, or disagreed to 3 statements on how the Council should be accountable to children and young people:

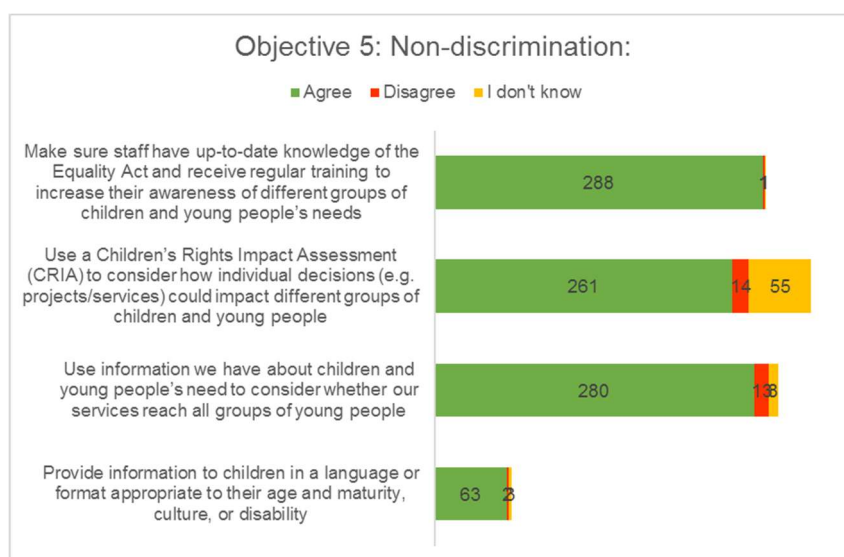
- **72%** of respondents (243 out of 338 respondents) agreed that the Council should 'Publish an accessible annual update showing how we've worked towards making children's rights real in Swansea'.
- **84%** of respondents (279 out of 333 respondents) agreed that the Council should 'Feedback regularly to children in a suitable format'.
- **79%** of respondents (262 out of 332 respondents) agreed that the Council should 'Provide children with accessible information on how to provide feedback about what we're doing well or what we could improve, make complaints or hold staff to account'.



Objective 5: Non-discrimination

The survey respondents were asked whether they agreed, or disagreed to 4 statements on how the Council should not discriminate against children and young people:

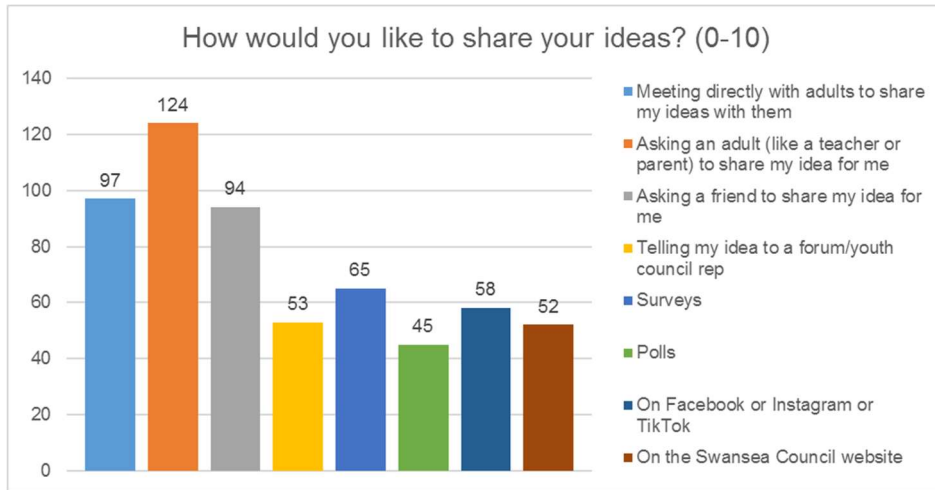
- **99%** (288 out of 290 respondents) agreed that the Council should ‘Make sure staff have up-to-date knowledge of the Equality Act and receive regular training to increase their awareness of different groups of children and young people’s needs’.
- **79%** (261 out of 330 respondents) agreed that the Council should ‘Use a Children’s Rights Impact Assessment (CRIIA) to consider how individual decisions (e.g. projects/services) could impact different groups of children and young people’.
- **93%** (280 out of 301 respondents) agreed that the Council should ‘Use information we have about children and young people’s need to consider whether our services reach all groups of young people’.
- **93%** (63 out of 68 respondents) agreed that the Council should ‘Provide information to children in a language or format appropriate to their age and maturity, culture, or disability’. (This statement was only posed to the 11-18s and adults.)



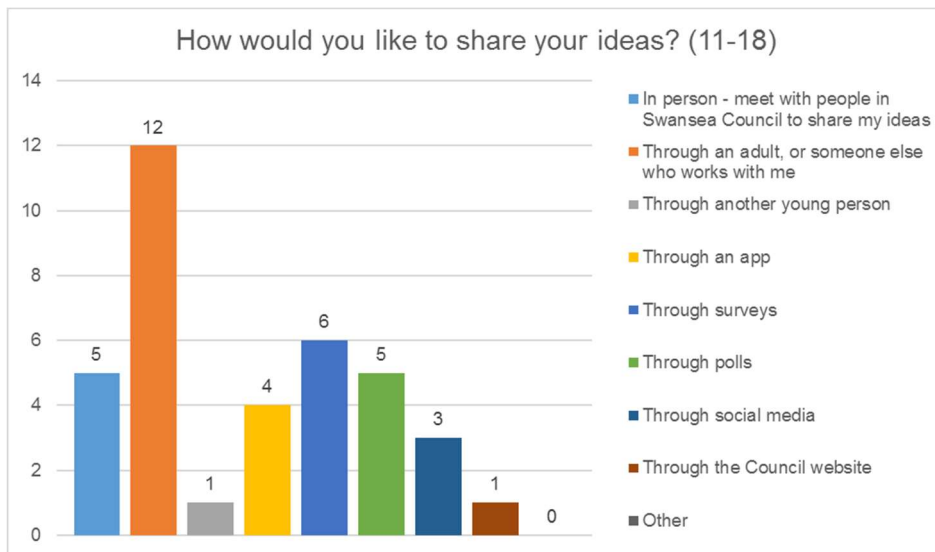
Listening to children and young people

Children and young people were asked how they would like to share their ideas.

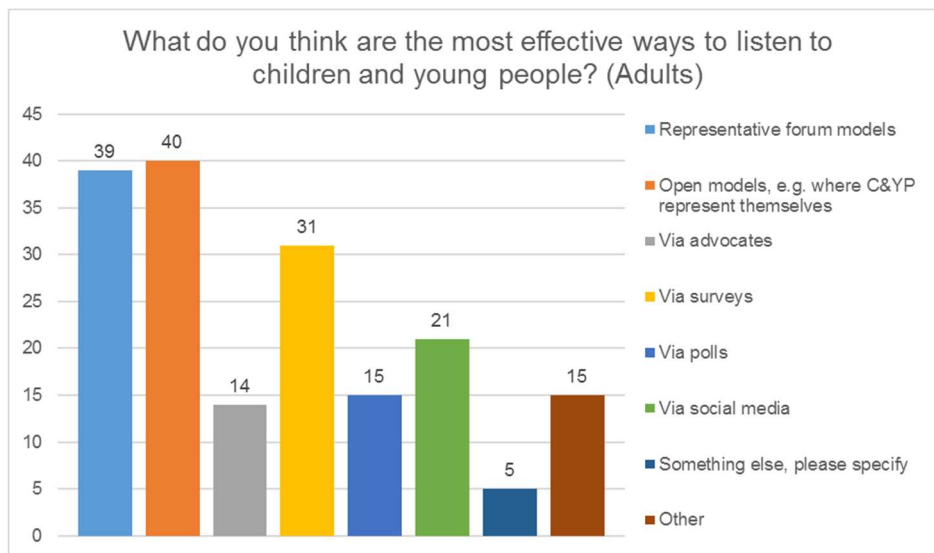
Of the 0-10s who responded, about 50% (124 people) said their preference was for an adult to share their idea for them, but 'Meeting directly with adults to share my ideas with them' and 'Asking a friend to share my idea for me' were also rated very highly.



Of the 11-18s who responded, 60% (12 people) said their preference was for an adult to share their idea for them:



Adults were also asked how they felt children and young people could best be listened to. About 65% said through 'Open models' (40 people) or through 'Representative forum models' (39 people):



Please explain why you want to be heard in this way?

I think it would be best to meet up with the decision-makers who can make the change for your community face to face

I would like to be heard in this way, because I would know who is telling me information and I would feel better about it.

I chose directly because we all have good ideas and everyone needs to be heard and seen, not just some.

Some kids might be shy in person so it's important to have ways where they don't have to speak up directly

Phones are easiest.

Apps are easier to access

It will be best to meet people from Swansea council who can help us the best as we are currently in the planning permission process to build a pump track in Bishopston and our project has been based around children's rights from the start look at our website www.bishopstonskateparkproject.com

Meeting people face to face means I can tell them exactly my opinion

I feel as I am a bit shy to speak through myself so I chose apps and surveys

I would like to be heard cause when you listen to people are age we have good ideas and things that could benefit for all people

Having opportunities on your phone is much easier – you can access them anywhere and when it's useful for you (x3)

More and more people use the web every day. This the most convenient.

No need for some to talk on my behalf, I would lie to speak my opinion face to face.

Almost everyone has a phone – this is easiest. It also means I can say my true thoughts without feeling judged.

Swansea Council wants to make sure ALL children have opportunity to share their ideas. What do you think the Council can do to make you can share your ideas?

Swansea council need to get involved in community Young person lead projects
Swansea Council has been very inclusive and even donated over £2000 to our project.
We would love to get involved with Swansea councils rights as it can help us play a key part in getting grants to build the Pump Track
Come round schools and ask us
To make websites where children can enter their thoughts and ideas
Listen to their voices and what they want.
I think that they need to listen to children's point of view and ideas more when they make decisions.
Explain things simply and have different formats for doing things like, surveys, polls and different types of questions for different abilities.
Ask children like you believe that their answer will be good
Give incentives and tell us what has happened because we shared our views.
Make an appropriate channel for children aged 0-6
Ask me what i think & tell me where/how i can share my ideas
To come to school and talk
nothing because the teachers will say no
tell the council my ideas
have a meeting with all of the schools and the classes and let them share their ideas
Make you feel better about your problems and helps you more with your emotions.
maybe share your ideas to other people and make it bigger
When doing interviews include children who will maybe work or meet the adult in the future, and if the children does meet the adult they will tell them their ideas about changing the world.
children give council ideas
Make some sort of way where children's ideas would be collected.
make a club building where you can share your ideas
listen
They could come to schools and ask children questions.
Maybe do activities that includes children's voice being heard.
Have a box in every school which you can put your ideas in the box.
let the adults make the child feel confident
Write a letter to us
encourage me
Give a contact from the council to the school council so we can make decisions and have them sent to council to see if they agree and vice versa also we could make school votes on what we want
Help me. listen to me
Pick you and make you feel confident.
Maybe they can share it with you
Help children so they know what [ideas] is good and what is bad
Make some apps where just children can share ideas.
Maybe they can call a meeting for the people that have ideas.
Make a piece of paper and stick in a few places in Swansea, and people will sign their name on it and put their idea on and Swansea council will make it true.
More help to know it's ok, and to know where to listen
Create a website that everyone can write down something and share it on the website

I think that I create a website and everyone that goes on it can write down on a piece of paper which rights are important, create poster and nail them down on walls for everyone to see them.
PowerPoint
More surveys x23
Let every child have a turn per month
Come to our club e.g. Swansea karate academy
Maybe lots of surveys or polls come into school or clubs and ask
Let all children speak to the government
Make sure children are not picked 2 (twice) until every child in their class is picked at least once
Make a website where you can submit ideas for schools if you haven't already made one that lets you do that
Make sure everyone gets a choice whether they want to or not
Make sure to visit different schools make sure most people have their voice to talk
Put up a page just for children's ideas
Convince people to let children share they ideas with them
by spreading this around – let people know you care about their ideas
Maybe the council could do 1 survey a week so all children can share all they ideas – even those who don't want to show you who they are
Encourage me and tell me that it is alright to share my ideas.
Go to every school and ask children about their ideas
Maybe they could make a website with a survey that only the council can see
Just make me feel confident and don't get me up in a massive crowd
Maybe make a survey about how you feel, and not just what is happening in the counsel
They can help children improve their ideas in different ways that can help the planet.
Say it is ok to share your ideas.
telling it is OK to share and speak up
Maybe a member from the Swansea Council can come to local schools and talk to all children.
They could make a website where the children can write their ideas down
People encouraging me and supporting me
Put it on website
Be kind
Make a poster, which says you can share ideas with everyone.
Contact to parents.
don't just focus on the "hardest to reach" and marginalised groups
Offer live translation services during participation and engagement events
It's good to provide simplified versions of written information, to provide clear guidelines and to give key information out in well in advance so that children and young people can familiarise themselves with it. Videos and graphics are also effective at conveying complex information in a digestible form. For example, the Welsh Government has done wonderful work to disseminate information about the ALN Transformation in multiple formats.
Host events where there are children coming together from across Swansea. Involve children from all backgrounds including special schools and PRUs.
better training for staff to facilitate this
Children need to be more involved when decisions are being made
You need resources and funding. Such that you have bodies on the ground and budget to allow this to be done in a meaningful way. Don't expect this to be achieved without that funding commitment. It will fail.

Termly newsletter to pupils - games, puzzle, case study from schools, news article of interest or a story etc.
continue the big conversations and pupil voice meetings
Involve SEN parents in discussions! Vast amounts of SEN children have communication pathway difficulties and cannot advocate or speak up for themselves. In order to be truly inclusive these children need advocates to speak on their behalf
I have been told that children in special schools have been listened to - they have had separate workshops in segregated settings. This in itself is against their human rights. So to make it truly inclusive children need to occupy the same space.
Making it easier to access for children with GDD and additional needs who are able to share their views/voice.
Education should be accessible no matter the disabilities or the age. Schools must be physically accessible for all and not adapted later. Ensure that all children have accessible digital assess and equipment to do so and set up and market a website allows children to have their say no matter the disabilities and no matter the issue.
Ensuring that the quiet children are listened to, and finding ways to reach them, as often the quiet ones are overlooked
Work with the organisations that support children and get them to help with engagement. Although we can share the surveys with our children and young people it is difficult for many to complete them. However, if organisations, especially those funded by the council were required to provide more input in gaining the information needed, then more children would have a voice.
Know your projects and 3rd sector. collecting data is an essential part of this but really knowing and seeing what places to is essential
Magazines, papers, class dojo system. Live programme on tv where advocates can voice children's opinions. They can adapt the programmes to suit the ages concerned.
Investigate what has happened to its services. How did vital services get closed without consultation?
Ensure young people know there is help and where to find it. Listen. Treat them with respect, don't belittle them because of age or anything else. Try putting yourself in their shoes. Don't just visit, take part. In a lesson, in an activity, in a club. Attempt to get an understanding of how a situation feels. Take this on board. Then act.
ensure that EAL young people are involved even more improved communication with young people with ALN
Have younger officers involved in the engagement process
Some sort of Youth Council which in turn reports to Leader of Council/Children Champion
Identify all possible mechanisms: find out what's stopping children and young people from being listened and remedy that
Don't use just one model. Children are all different but they all deserve to be heard. A mix of the ways listed.
Swansea Council are excellent at taking the views of children seriously
More support for young people living in rural areas to speak out.
Especially schools staff and others who work with children need to understand about prejudice, stigma, and social/medical/charity/HR models of disability. Also there needs to be a Disabled Children's Rights Network section - or greater focus on Disabled children's rights.
Offer different accessible mediums. For example this survey, It does. It give you much time and it is not accessible for all in the first place. It could be offered in word or with speak although software to make it more accessible. Use true co-production rather a survey that is not well publicised.
Make the platforms fun, supportive and reachable. How about a podcast?

Reach out to all young people and groups in Swansea so they feel valued and included . Invite them to speak at meetings etc reach out to groups consider forums for young people .
Need to set up a Forum with parents, advocates, ward members, Education and children who are active in their area by volunteering. Any other representatives that may be interested in taking forward the interests of Children and Young people.
I'd like to see more visual resources (videos) to help those with literacy issues access information more clearly and BLS videos included in correspondence./videos
Ensure ACCESS for stakeholders, especially those at risk of being digitally disadvantaged.
Having focused conversations 121 that feeds into wider conversations
Use of active advocacy offer to make sure the voice of care experienced cyp can be heard at any meeting or conversation
Working with specialist partners to make sure we work in right way for our cyp
Big Conversations :) - Accessible transport provided, accessible public spaces used, inclusive use of language throughout sessions (bilingual, culturally sensitive, using preferred pronouns etc) variety of mechanisms used for gathering voice (A/B options, opportunity for further discussions etc)
I have known examples where children are encouraged to place their questions, queries, problems or feedback anonymously in a box. This can be very effective because it encourages participation from those who are concerned about being identified.
Elections of our pupil voice representatives. Each class selected 2 members and we included the 2 PMLD classes to give them the same opportunities. They come to meetings and take part in organising events with support of their assistant.
online surveys offer chance for all pupils to have their say
School council, yes it worked
School council - Each child to be given a role (easily achieved in school setting by year group) - so not application based as not all children would want to or could do this. But each child should sit on a least one area of learning group and feedback their thoughts, ideas and opinions within this group. Lots of snazzy app based models that would be useful to catch all voices.
We have STF units at our school and there is always a representative from each class on our Pupil Voice group.
No as I don't believe this is handled well
Time is needed - one off meetings or workshops aren't so great. Time to build relationships and trust and also small group work?
Asking them who they think should be at the meeting so they feel comfortable to attend
All pupils in the school are part of a committee - every pupil has an important role
By being adaptive, When consulting with children and young people you need to be able to communicate with them in a way that they are comfortable and therefore feel safe to express themselves. For children that find it hard to write things down or verbally communicate, we use symbols or even games helps them to be heard and therefore participate. We are specifically a centre for children with ALN we have all the appropriate equipment staffing levels and communication support to ensure that things are equitable for the children we support.
Make sure u go round each child by having a tick list so u know every child has had their say.
Give them safe spaces, youth clubs, Youth information centres. Now they have to get a social services referral for help after the horse has bolted.
Inclusion in the School Council

young people with ALN are encouraged to participate in their PCR reviews and an feedback what is going well and what could be improved
The People project at the Phoenix Centre Townhill. Where we invited Youth into meeting to discuss what matters for them. Yes this does work it stopped not all but a lot of anti-Social behaviour around the phoenix Centre
Going into schools to speak to the pupils
This needs to be an open element that children have the confidence they are not forced into some other persons views - therefore must be 'chaired well'
It is always a problem to find/locate marginalised children. However, any listings that the Council has, e.g. children in need listings and/or records schools have, could be used to attempt to identify them (obviously GDPR considerations have to be taken into account). Use interpreter if needed. Obviously access is a big issue if children can't get to wherever they need to be because of lack of money (to pay for bus fayre) or they live somewhere where there isn't public transport or if it is online they do not have the equipment or data to access., food, fun and play can be an incentives and often works well
Generally, decisions are very rushed and not well thought out with my disabled son. I would think that non instructed advocacy approach would be a good start for disabled children
The fact that this survey is not accessible to all and the fact that you have to ask for an alternative is an example of bad practice. There should be different ways offered rather than having to ask. It is not inclusive.
Participate in zoom as not face to face and include the young people in every activity going forward that affects them and give them the choice to put their comments and ideas forward to change things for them for the better I have participated in this and it has worked
Local Charity Group Clase 4 All surveyed young people on their views on what was needed on one of the Council estates in my ward. After collating the results a park was built using Lottery funding and supported with a donation from the Council..
The YMCA Young Carers project have an excellent model of how marginalised young people are being listened to and their voices being heard.
Ensure that there is a voted in representative from Special teaching units too. We have varied our school council times to accommodate our stf pupil and had after school to help our Year 11 pupils who have exam demands
Ensue fair representation when setting focus groups

Are there examples of good inclusive practice you'd like to share for our learning?

Working with our care experienced population to improve services. Making sure the What Matters conversations permeate the whole service.

Pentrehafod School Student Parliament - students have recently been part of the interview panel for the new head teacher. Students are co-designing homework tasks based on students' feedback. Regular questionnaires and opportunities for students' to have their say throughout the school day.

The person-centred practice model which is already used in the area of ALN in Wales is an example of excellent practice. I also think that allowing input in a variety of formats, e.g. texting, would facilitate participation from children and young people who are shy or wary of unfamiliar adults and systems.

Seeking out children from all backgrounds, not making assumptions about their needs or lack of needs, Lockdown and pockets of isolation has been a disaster for children from all back grounds

Pupil voice groups within school that are diverse and have representatives of all ages, gender and beliefs. Opportunities for all learners to take part in the life of the school.

Pupil voice groups set up. Better online structure to help schools with a voting system where children are allowed to speak freely

School representatives

Our children's primary school demonstrates a strong commitment to pupil voice and have reported many positive outcomes. These include a reduction in exclusions, better behaviour, better relationships across the whole-school community, and improving attainment and attendance.

Pupil voice in schools means a whole-school commitment to listening to the views, wishes and experiences of all children and young people. It means placing value on what children and young people tell school staff about their experiences.

Children and young people need to be provided with meaningful opportunities to share their experiences, views and hopes about their school - there are lots of what this can be achieved through online questionnaires, daily check ins, school council, area of learning groups where each child is a part of at least one area. There are snazzy app based models that's can be used. Pupils need to know that it is safe and that it is important for them to express their views on what happens at school. They need to know that what they say is valued and will be listened to and considered.

Pupil voice groups, with regular meetings and opportunities to feedback to whole school and governors via assemblies, newsletter and presentations, ensuring pupils can see in practice that their ideas are heard and acted upon, Suggestion boxes in classes and central areas around school, parent query boxes and contact form on school website, pupil voice aspect to class planning 'our voice, our choice' boards, strategies in class such as 'Question Trees', Missions and Home Learning Logs as opportunities for children to lead their own learning and research topics of interest to them.

Allow a child to speak freely without input or judgement from yourself or others around but making them aware if you have to take information further.

Unfortunately my son isn't really listened to as listening to him means observing and knowing him very well. His rights need to be looked at in the UNCRDP

"Asking them what matters to them - and then sharing their views

Writing things from the voice of the child - including them in meetings "

"We have survey pupils in the design of our new curriculum.

All classes have had opportunity to share ideas in design of new website, renovation of toilets and Y6 jumper colours. "

I have never experienced good practice regarding listening to children. The system is such that children have little say.
School Council weekly surgeries for all pupils
Ensuring that feedback is obtained from children after they have received support for example Activities provided at services must reflect not just children's needs, but also their wants and their interests to ensure positive engagement. This can only be done by involving children in not only the development of a services but the day to day delivery and planning. By showing that children have been listened to will further increase their confidence in ensuring that their rights are met.
We are children's centre led by children and their exploration of the world through play. Having specific areas in our centre for the key areas of child development ensures that we exploring all of their needs and helping them thrive
"In nursery 1st thing in the morning we listen to children by them placing their face on a flower in an empty flower pot. 1 pot has a smiling face, 1 a sad face, 1 a tired face +1 an excited face. We ask the child why they put their flower face in that particular pot. This is a way for each child to have their say which even little ones can answer.
Not closing youth clubs, not closing Info-Nation without consultation. I'm sure they exist on paper. But they are now gone alongside important services like free condom schemes, counselling services. Drop in support.
School Council
Listen. Let the young person speak uninterrupted and focus on them. No distractions. Ask appropriate questions afterwards. Demonstrate you have heard them by beginning to search for answers together at that moment. No leaving it until later. Follow up later. See what has changed and worked.
"every school I work in has a school council. I work in ALNIT - pupil voice is very important particularly when participating in their Pupil centred reviews"
It's ok being listened to ,but will it change a project or proposal they may effect children?
Involving children in the appointment of headteachers in their school
As a Councillor we have involved youngsters in all decision that affect them and their wellbeing
I have viewed the listening process in school that i am a Governor at (Parklands) and the positive participation Taking surveys, and asking for their advice/ideas, to what they would like to see within Swansea
Get parents to encourage children to get involved in conversations as well as directly approaching children see positive parenting techniques. For example some sort of mediation between 2 children who have fought/argued, where each is allowed to speak and be listened to, and both children find the answer together about what needs to happen
Meeting with our Looked After Children and listening to what they had to say. The sessions at 'Down to Earth' where corporate parents were involved in sessions with the children.
Not yet, but all children attending Early Years provision not just Flying Start will have their views listened to when supporting them if they have a learning disability or learning difficulty. This is a positive step forward for the Early Years sector and LA support families, children and the setting to meet the needs of the child. The sector is working towards new ways of practice currently.
"Disabled children's choices and options need to be the same as non disabled children. Segregation starts at a very young age so parents and children will make decisions given the narrow options.eg At mainstream comp you are given the opportunity to go on skiing trips abroad - this is not an option with special school. In Special school you are in a sub culture - you dont get to do welsh bacc for instance which is compulsory in a mainstream

<p>school. You are also unlikely to be encouraged to do Welsh language. My son was disappointed. A bird who is born in a cage doesn't know or cannot imagine being free!</p>
<p>So sorry no good example but some of the issues that are faced:</p>
<p>I don't think that courage to have their say in our society. Our education is very limited and one-sided and does not encourage children to have their say in my experience. The same is for other organisations.</p>
<p>We have 'Agents of Change' at Christchurch that are a group under an umbrella to represent the pupils in many ways as we are a small school. Other ways we listen..</p>
<p>Annual 2 ticks and wish evaluation with all stakeholders (identify weakness and wishes)</p>
<p>Have mentors - each child picked a member of staff</p>
<p>Each child and adult has a personalised one page profile - a detailed page describing needs and how each one can be supported.</p>
<p>Worry monsters to write in with out being identified</p>
<p>Looked after participation day works very well, however, there needs to be a range of methods for listening to cyp other than well publicised one off events. Always listen and include young people in decisions that are going to made on their behalf .</p>
<p>It is important to consult and listen to what young people want. It is not always what we think it may be. Groups of young people can be spoken to when they are in group activities in the Community Centre's. Ward members can speak to young people out in playing areas or parks in the ward. A questionnaire could go out to every Council tenant that has children to gage their views. Look carefully at what other Council's do to consult to form best practise.</p>
<p>One area of good practise we utilise is including Children's Rights in our tendering/commissioning process. We have done this in two ways. Firstly by including it as a section within our contract specifications and also as a method statement question when evaluating tender submissions.</p>
<p>Using QR codes to do quick surveys with pupils and doing hot seating debates between pupils on important topics. I think the School Health Research Network is really good at getting information about what pupils think and do. Also, a clear structured school council with voted in members for each year group.</p>
<p>When governor of Seaview Primary school I attended a session where it was primarily the pupils who led a group discussion on how to resolve issues involving cars parking outside the school.</p>
<p>Certainly. Seeing the establishment of sub-committees within our school council was an effective way of involving and listening to our pupils.</p>

What do you think needs to be improved for children and young people in Swansea?

Don't cut down trees – plant 10 trees a month (x2)

Clean the environment x 11

Less rubbish/littering x 26

Ban cars using fossil fuels and increase the number of cars that use electricity x6

To have more signs saying "don't be litter bugs" and having more dust bins

More eco-buildings I think Swansea could be a bit greener and less grey.

NO LITTER! A place where everyone can train to exercise for free and a teacher helps!

There can be all ages to go there! No cutting down trees and no poaching animals!

To learn about who makes decisions that affect us, and what we can do to influence them – by voting, etc. x12

Having areas where teens can go is really important.

Play areas sports facilities

Skate facility's Pump Tracks !!!

Make us a skate park or something like that

Teach more rights and responsibility

Cleaner streets,

More playtime equipment.

The need for disability people to feel included in conversation and decisions.

cael fwy o bins

Cleaner streets, more police presence.

Give us space to explore our thoughts and ideas

More groups for people with disabilities my age

The park and stuff to do less buildings being built

cael park gwell

Better toilets, bathrooms and showering in schools.

More availability to holiday clubs

Include everyone in positive events and make sure everyone goes to school.

More fun things for kids to do

There should be more children's homes.

Where I live there is a park and in my opinion its only for 6 and under and i can't play with my friends on any of the equipment because it's all for 6 year olds and under my suggestion is to make sure that we have a park with stuff for older people like zip wires a big climbing frame e.g.

More places to go to meet up with friends and family like more parks.

More pet shops, more zoos, more parks in local areas, have more swimming pools and leisure centres, facilities suitable for elderly people and more cafes and coffee shops.

Cleaner in town

More parks in estates

Being litter free, having more children's activities and clubs

A pantomime

It is child friendliness e.g. my dad's flat doesn't have a fire escape so if a fire happened i would die also lots of parks are covered in rubbish and are falling apart so we need new parks as well .also there is glass on most of the streets so it is not safe

Kindness and being grateful, people need to be nicer x4

I feel like every person who is homeless should have a home in the future or next year

More museums Bigger airport

More football pitches

More places to exercise.
If they could make more local shops e.g. co-op
The need for disability people to feel included in conversation and decisions.
Buses, by making drivers more aware of disability people and more understanding.
Letting children know that there you can make a change in their community
ye make a big skate park please please please please please please please please please please
We can do a lego wetlands area

Is There Anything you Think We've Missed?

It would be good to ensure that children and young people with ALN and disabilities have facilitated access to participation. This is probably included in your target to listen to marginalised groups. Voluntary sector has been supporting people for years, consult with them

Opinion of children should be highly valued and used in a meaningful way. This must not be an empty statement. The judgement of children however, needs to be supported to ensure child safety at all times. The recruitment of staff must always be based on competence and backed by rigorous checks. Only after this is done should children be involved and I would argue this should be done such that the identification of the child is not known to the candidate.

You're talking about children's rights while stripping them of a year of education. It's laughable

Monitoring and check-ins for SEN staff to ensure these children are also given a platform to raise concerns

When it comes to disabled children the UNCRC has to be used in conjunction with the UNCRDP - The UNCRC has failed to protect the rights of disabled children - How are you going to really ensure rights of disabled children are met? Parents do not always have the answers.

"Your use of closed questions in consultations disallows people to comment on the question it's self. In consultations, there should be a comment box with rack question.

Your question about Organisations implies that we are only going to use organisations and not open this to anyone who is interested.

My hunch is that you will use this consultation to "prove" that people support the way of working you have already decided.

Work with organisations to develop a participation core group/s of children and young people that speak for all children and young people in Swansea. The group/s could meet regularly and become more involved in ensuring that children's rights are considered by all those that work with children. The children would be there to remind us and would drive participation.

All Children's opinions need to be documented to make sure every child has a voice so we ensure we don't leave out vital information that will enhance children's lives.

Swansea council does none of the above and it should not be considered children's rights respecting council.

Will it make a difference? How would you propose to develop targets to listen to marginalised children, how would you define them.

Geraldine Van Buren who was one of the people who wrote the UNCRC said in a lecture a few years ago in Swansea Uni that the UNCRC had failed to protect the rights of disabled children and that the UNCRDP should be used in conjunction with the UNCRC for disabled children - So I would like to see this as one of the targets.

From the wording it sounds like you're only going to use organisations. There was no clarity on what these organisations are. Also with the Internet it would be easy to have a website with the individual to have their say.

Covered all questions in my view.

Perhaps include our children's voices when considering curriculum development in Wales.

Are there other ideas you'd like to share?

A panel of SEN parents to be involved directly with the LEA in decisions based around SEN provisions. This panel could help determine appropriateness of provisions on offer

To ensure the rights of disabled children who are unable to engage verbally I believe that the same strategy that is used in non instructed advocacy needs to be looked at as a possible solution.

More access for children with additional needs to be able to share their views in a way that is appropriate for them

This needs to be Co-produced not a 'consultation' with close questions.

Make sure that people can comment on all question and make them open questions or maybe use close and open questions.

We could have a rights of the child magazine, that all children have a voice in sharing new ideas monthly etc.

The children's commissioner should be investigating the cuts to vital services for young people in swansea by stealth without consultation.

I agree that the above should be done. I hope you follow through and make it happen.

Show them the results of their participation. What they say, matters

To properly engage with some disabled children the Non Instructed Advocacy approach would be a good way of ensuring the rights of disabled children are met. I would also say that more understanding of the culture around disabled children is needed, especially with the strive to segregate based on disability.

It would be good to know how you intend to engage with children that are disabled and have their say.

Share good practice between schools

There is a significant amount of investment happening in playgrounds and play areas in Swansea at the moment and this is very welcome. However I am concerned that Swansea has a severe lack of play equipment/areas that are suitable for older children (8plus). I can't think of anywhere in Swansea that offers play facilities for older children and it is just as important for them as younger children. Howard Park in Llanelli and Gnoll Park in NPT both have great facilities for older children. Please can Swansea start developing more. I also think it is really important that children are involved in the design of new playgrounds - ie have the opportunity to co-produce the design of new developments but I have not seen any sign of this happening - despite the Council's stated commitment to involving children in decisions and to embed a co-production approach across services. I think playground design would be an ideal opportunity to involve children, of all ages.

Linking funding to children's rights and involving children in service development may ensure help enforce responsibility of service to do this.

I think having a set student representative from each school can give more importance to the scheme and having the Rights team come to the school to explain briefly to make it clear to all

Integrated Impact Assessment Screening Form – Appendix 3

Please ensure that you refer to the Screening Form Guidance while completing this form.

Which service area and directorate are you from?

Service Area: Partnership & Commissioning Hub

Directorate: Social Services

Q1 (a) What are you screening for relevance?

- New and revised policies, practices or procedures
- x Service review, re-organisation or service changes/reductions, which affect the wider community, service users and/or staff
- Efficiency or saving proposals
- Setting budget allocations for new financial year and strategic financial planning
- New project proposals affecting staff, communities or accessibility to the built environment, e.g., new construction work or adaptations to existing buildings, moving to on-line services, changing location
- Large Scale Public Events
- Local implementation of National Strategy/Plans/Legislation
- Strategic directive and intent, including those developed at Regional Partnership Boards and Public Services Board, which impact on a public bodies functions
- x Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)
- x Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)
- Major procurement and commissioning decisions
- Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services

(b) Please name and fully describe initiative here:

Swansea Children and Young People’s Rights Scheme (2021)

Q2 What is the potential impact on the following: the impacts below could be positive (+) or negative (-)

	High Impact		Medium Impact		Low Impact		Needs further investigation
	+	-	+	-	+	-	
Children/young people (0-18)	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Older people (50+)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Any other age group	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Future Generations (yet to be born)	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disability	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race (including refugees)	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asylum seekers	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gypsies & travellers	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Religion or (non-)belief	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual Orientation	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gender reassignment	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Welsh Language	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Poverty/social exclusion	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Carers (inc. young carers)	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community cohesion	<input type="checkbox"/>	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marriage & civil partnership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pregnancy and maternity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Integrated Impact Assessment Screening Form – Appendix 3

- Q3 What involvement has taken place/will you undertake e.g. engagement/consultation/co-productive approaches?
Please provide details below – either of your activities or your reasons for not undertaking involvement**

The draft plan on a page Children and Young People's Rights Scheme outlines 5 key principles for embedding children's rights;

- Participation
- Empowerment
- Embedding
- Accountability
- Non-discrimination

Each of the principles and their respective goals formed the basis of a public consultation, open between 16.06.21 – 31.07.21. Participants were asked to agree or disagree with each and provide additional comments/thoughts/ideas for areas of improvement or goals that were missing.

Within the principle of Participation, questions were tailored to engage people's ideas on what inclusive and meaningful opportunities for children and young people to exercise their rights to be heard in decisions that affect them might look like. These questions were produced and agreed by Swansea's Children's Rights Network, a Network made up of individuals, services, and organisations working toward furthering children's rights in Swansea.

The following consultation methods were developed:

- Online survey for children aged 0-10 years (English and Welsh)
- Online Survey for young people aged 11-18 years (English and Welsh)
- Online survey for individual adults and/or practitioners (English and Welsh)
- Children and Young People Easy Read survey (English and Welsh) – produced by Learning Disability Wales
- Adult Easy Read survey (English and Welsh) – produced by Learning Disability Wales
- Symbol Survey – produced by Widgit
- An offer of face to face session in schools and/or community groups

Opportunities to participate were distributed specifically to:

- All Hwb account holders via the Council's Education Newsletter
- Directly to Rights leads in all schools
- Recipients of Swansea Council's CFS Newsletter
- Recipients of Swansea Council's Director of Social Services Newsletter
- Members of Swansea's Children's Rights Network (made up of approx.. 80 organisations)
- All members of the Corporate Management Team
- All Councillors
- This sector partners
- Commissioned partners
- Members of Swansea Council/Swansea Play Team/Swansea FIS/Swansea Best Start/Swansea Children's Rights social media pages.

All recipients were also requested to distribute to children, young people and families as well as other networks.

During the period 16.06.21-30.07.21, a total of **358** survey responses were received.

Integrated Impact Assessment Screening Form – Appendix 3

Q4 Have you considered the Well-being of Future Generations Act (Wales) 2015 in the development of this initiative:

- a) Overall does the initiative support our Corporate Plan's Well-being Objectives when considered together?
Yes No
- b) Does the initiative consider maximising contribution to each of the seven national well-being goals?
Yes No
- c) Does the initiative apply each of the five ways of working?
Yes No
- d) Does the initiative meet the needs of the present without compromising the ability of future generations to meet their own needs?
Yes No

Q5 What is the potential risk of the initiative? (*Consider the following impacts – equality, socio-economic, environmental, cultural, legal, financial, political, media, public perception etc...*)

High risk

Medium risk

Low risk

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

Yes

No

If yes, please provide details below

To achieve successful implementation, Swansea's Children and Young People's Rights Scheme requires a whole-Council approach. Implementation of the Scheme requires inter-departmental working and thinking.

Q7 What is the cumulative impact of this proposal on people and/or communities when considering all the impacts identified within the screening and any other key decisions affecting similar groups/ service users made by the organisation?

Evidence demonstrates how the pandemic has exacerbated existing inequalities, having a devastating impact on children's rights, well-being and futures. Key concerns included more children being pushed into poverty, an observed widening of educational inequalities and worsening mental health especially for vulnerable children and young people.

The Children's Rights Scheme aims to ensure that children and young people, particularly those who are marginalised, have opportunities to access and fulfil their rights. As we recover from the Pandemic, it is envisaged that the cumulative impact of this policy can only be positive in further advancing the rights agenda in Swansea. Specific measures have been added to this version of the Scheme, to promote equality, and address discrimination (unintentional or otherwise) of children and young people who might otherwise be marginalised, e.g. specific measures have been put in place to extend the opportunity to be listened to children and young people who possess protected characteristics. This includes explicit measures to engage with those hardest to reach, and specific opportunities to explore improved experiences for disabled children and LGBTQ+ children.

Integrated Impact Assessment Screening Form – Appendix 3

Non-discrimination has been included within this version of the Scheme within its own right to ensure that the promotion of rights for all is explicit and prioritised.

Outcome of Screening

Q8 Please describe the outcome of your screening below:

- **Summary of impacts identified and mitigation needed (Q2)**
- **Summary of involvement (Q3)**
- **WFG considerations (Q4)**
- **Any risks identified (Q5)**
- **Cumulative impact (Q7)**

The overall cumulative impact for children and young people aged 0-18 in Swansea, as a result of the introduction of a revised Children and Young People's Rights Scheme is positive, with moderate to positive impact on children who possess protected characteristics.

Involvement and co-design of the Scheme has taken place with a range of stakeholders via a range of consultation methods. Involvement has led to the introduction of new principles for embedding rights, and has brought to the fore the prioritisation of non-discrimination in an effort to ensure the Scheme is one that enables all children to access and enjoy their rights. The involvement of stakeholders has also resulted in the development of a streamlined and accessible format for the Scheme to be published.

Consultation has led to further discussion regarding opportunities for children to be listened to; conversations that will be ongoing, with a view to co-produce fit for purpose, meaningful, effective processes for listening to children and enabling them to influence change.

Overall this initiative supports our corporate Wellbeing objectives, maximises contribution to the seven wellbeing goals in respect of children, promotes the five ways of working in embedding a whole Council approach to realising the rights of children and meets the needs of current children, without compromising the ability of future generations to meet their own needs.

The Children's Rights Scheme poses little risk to the Council, aiming to ensure that children and young people, particularly those who are marginalised, have opportunities to access and fulfil their rights. As we recover from the Pandemic, it is envisaged that the cumulative impact of this policy can only be positive in further advancing the rights agenda in Swansea.

Full IIA to be completed

Do not complete IIA – please ensure you have provided the relevant information above to support this outcome

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.

Screening completed by:
Name: Katie Spendiff
Job title: Rights Policy and Partnership Co-ordinator
Date: 16.08.21
Approval by Head of Service:
Name: Jane Whitmore
Position: Strategic Lead Commissioner
Date: 20.08.21

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

Agenda Item 11.



Report of the Section 151 Officer

Council - 4 November 2021

Treasury Management Annual Report 2020/21

Purpose:	This report provides details of the Council's Treasury Management activities during 2020/21 and compares actual performance against the strategy laid down at the start of the year.
Policy Framework:	Treasury Management Policy Statement
Consultation:	Finance, Access to Services and Legal
Report Author:	Jeff Dong
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith
Access to Services Officer:	Rhian Millar
For Information	

1. Introduction

- 1.1 Under the CIPFA Code of Practice on Treasury Management in Public Services, there is a requirement: "...for the Council to receive reports on its treasury management policies, practices and activities".
- 1.2 This report summarises the activities for the year. The Prudential Code for Capital Finance in Local Authorities also requires the reporting of outturn Prudential Indicators for the year.

2. Executive Summary of Activities During The Year

- 2.1 There is unfunded net in year capital financing requirement of £82m (against original budget) as at end of 2020/21. No additional external borrowing was undertaken during 2020/21, however please see section 11 of the attached report which highlights significant post year end external borrowing. This will be reported in next year's annual report, but it is material to members' understanding of the overall strategy and this year's report.
- 2.2 The average interest rate on all outstanding Council borrowing was 3.99% in 2020/21 down from 4.11% 2019/20.

- 2.3 Internally Managed investments achieved a return of 0.23%. This represents an outperformance of +0.13% from the average 7 day LIBID benchmark rate of 0.1% returning £0.281m of investment income
- 2.4 The Council has operated within all of the determined Prudential and treasury limits outlined in appendix 1

3. Financial Implications

- 3.1 There are no direct financial implications arising directly from this report

4. Legal Implications

- 4.1 There are no legal implications arising directly from the report.

5. Integrated Assessment Implication

- 5.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, 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 Acts.
- 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.
- Deliver better outcomes for those people who experience socio-economic disadvantage.
- Consider opportunities for people to use the Welsh language.
- Treat the Welsh language no less favourably than English. - Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

The Well-being of Future Generations (Wales) Act 2005 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

Our integrated Impact Assessment process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language

Background Papers: None

Appendices:

Appendix A – Treasury Management Annual Report 2020/21

Treasury Management Annual Report

2020/21

Contents

Section

- 1. Executive Summary**
- 2. Introduction and Background**
- 3. Debt Portfolio**
- 4. Treasury Strategy 2020/21**
- 5. Actual Borrowing 2020/21**
- 6. Compliance with Treasury Limits**
- 7. Capital Financing Charges 2020/21**
- 8. Investment Strategy for 2020/21**
- 9. Actual Investments 2020/21**
- 10. Early Debt Repayment**
- 11. Significant Post Balance Sheet Date Activity**

Appendices

1. Executive Summary

- 1.1 There is unfunded in year capital financing requirement of £82m (against original budget) as at end of 2020/21. No additional external borrowing was undertaken during 2020/21, however please see section 11 of the attached report which highlights significant post year end external borrowing. This will be reported in next year's annual report, but it is material to members' understanding of the overall strategy and this year's report
- 1.2 The average interest rate on outstanding Council borrowing was 3.99% in 2020/21 down from 4.11% 2019/20
- 1.3 Internally Managed investments achieved a return of 0.23%. This represents an outperformance of +0.13% from the average 7 day LIBID benchmark rate of 0.1% returning £0.281m of investment income.
- 1.4 The Council has operated within all of the determined treasury and prudential limits outlined in Appendix 1.

2. Introduction and Background

- 2.1 Treasury Management in local government is regulated by the CIPFA Code of Practice on Treasury Management in Public Services (the Code). The City and County of Swansea has adopted the Code and complies with its requirements. A glossary of terms used throughout this report is included at Appendix 2.
- 2.2 The primary requirements of the Code are the:
 - Creation and maintenance of a Treasury Management Policy Statement which sets out the policies and objectives of the Council's Treasury Management activities
 - Creation and maintenance of Treasury Management Practices which set out the manner in which the Council will seek to achieve those policies and objectives
 - Receipt by the Council of an annual Treasury Management strategy report for the year ahead , a mid term update report and an annual review report of the previous year
 - Delegation by the Council of responsibilities for implementing and monitoring Treasury Management policies and practices and for the execution and administration of Treasury Management decisions to the Section 151 Officer.
 - Treasury Management, in this context, is defined as:

“The management of the local authority’s cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of the optimum performance or return consistent with those risks.”
- 2.3 The Council has previously received in Feb 2020 and updated in March 2021 the Treasury Strategy Statement and Investment Strategy and MRP Strategy for 2020/21 and The Revised MRP Policy originally approved by Council in Dec 2018.
- 2.4 The Prudential Code for Capital Finance in Local Authorities has been developed as a professional code of practice to support local authorities in determining their programmes for capital investment. The Code was updated

in 2017. Local authorities are required by Regulation under Part 1 of the Local Government Act 2003 to comply with the Prudential Code.

2.5 The objective of the Code is to provide a framework for local authority capital finance that will ensure for individual local authorities that:

- Capital expenditure plans are affordable
- All borrowing and long term liabilities are within prudent and sustainable levels
- Treasury Management decisions are taken in accordance with professional good practice

2.6 The Code includes a set of Prudential Indicators, which are designed to support and inform local decision-making. The 2020/21 Prudential & Treasury Management Indicators are detailed in Appendix 1.

3. Debt Portfolio

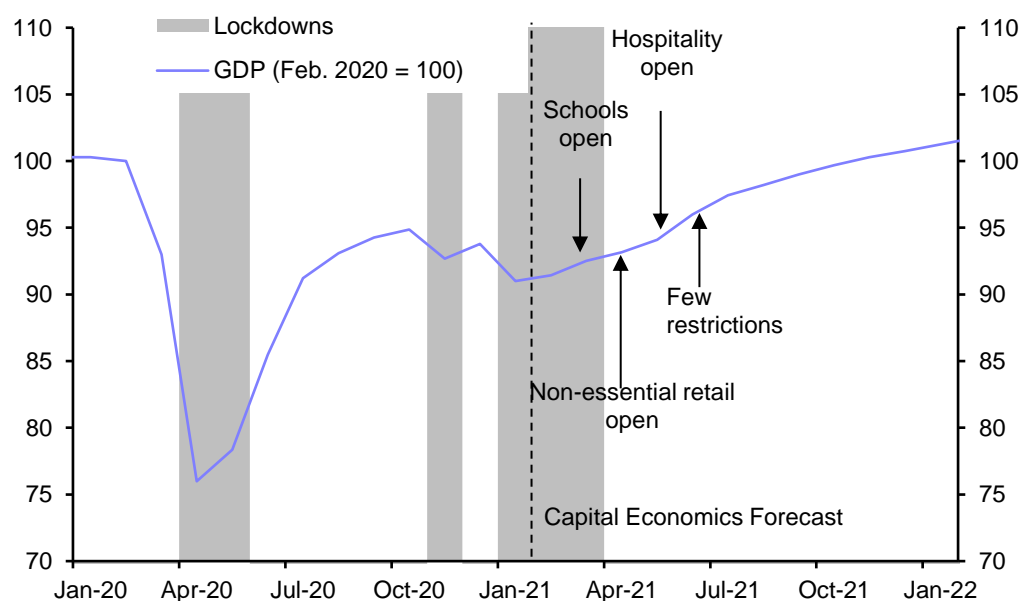
3.1 The Council's external borrowing position at the beginning and end of the year was as follows:

	1 April 2020		31 March 2021	
	Principal £'000	Interest Rate %	Principal £'000	Interest Rate %
Long Term Debt				
PWLB - fixed rate	444,082	4.22	441,080	4.22
Money Market (LOBO)	98,000	4.10	98,000	4.10
Welsh Gov	10,970	-	24,647	-
Short Term Debt				
Market	40	0.77	60	0.29
External Bodies	2,475	0.9	1,411	0.73
Total Debt	555,567	4.11	565,198	3.99

3.2 The average external debt portfolio interest rate was 3.99%. (2019/20 4.11%)

4. Treasury Strategy & Economic Background 2020/21

4.1 **UK. Coronavirus.** The financial year 2020/21 will go down in history as being the year of the pandemic. The first national lockdown in late March 2020 did huge damage to an economy that was unprepared for such an eventuality. This caused an economic downturn that exceeded the one caused by the financial crisis of 2008/09. A short second lockdown in November did relatively little damage but by the time of the third lockdown in January 2021, businesses and individuals had become more resilient in adapting to working in new ways during a three month lockdown so much less damage than was caused than in the first one. The advent of vaccines starting in November 2020, were a game changer. The way in which the UK and US have led the world in implementing a fast programme of vaccination which promises to lead to a return to something approaching normal life during the second half of 2021, has been instrumental in speeding economic recovery and the reopening of the economy. In addition, the household saving rate has been exceptionally high since the first lockdown in March 2020 and so there is plenty of pent-up demand and purchasing power stored up for services in the still-depressed sectors like restaurants, travel and hotels as soon as they reopen. It is therefore expected that the UK economy could recover its pre-pandemic level of economic activity during quarter 1 of 2022.



Both the Government and the Bank of England took rapid action in March 2020 at the height of the crisis to provide support to financial markets to ensure their proper functioning, and to support the economy and to protect jobs.

The **Monetary Policy Committee** cut Bank Rate from 0.75% to 0.25% and then to 0.10% in March 2020 and embarked on a £200bn programme of quantitative easing QE (purchase of gilts so as to reduce borrowing costs throughout the economy by lowering gilt yields). The MPC increased then QE by £100bn in June and by £150bn in November to a total of £895bn. While Bank Rate remained unchanged for the rest of the year, financial markets were concerned that the MPC could cut Bank Rate to a negative rate; this was firmly discounted at the February 2021 MPC meeting when it was established that commercial banks would be unable to implement negative rates for at least six months – by which time the economy was expected to be making a strong recovery and negative rates would no longer be needed.

Average inflation targeting. This was the major change adopted by the Bank of England in terms of implementing its inflation target of 2%. The key addition to the Bank's forward guidance in August was a new phrase in the policy statement, namely

that “it does not intend to tighten monetary policy until there is clear evidence that significant progress is being made in eliminating spare capacity and **achieving the 2% target sustainably**”. That seems designed to say, in effect, that even if inflation rises to 2% in a couple of years’ time, do not expect any action from the MPC to raise Bank Rate – until they can clearly see that level of inflation is going to be persistently above target if it takes no action to raise Bank Rate. This sets a high bar for raising Bank Rate and no increase is expected by March 2024, and possibly for as long as five years. Inflation has been well under 2% during 2020/21; it is expected to briefly peak at just over 2% towards the end of 2021, but this is a temporary short lived factor and so not a concern to the MPC.

Government support. The Chancellor has implemented repeated rounds of support to businesses by way of cheap loans and other measures, and has protected jobs by paying for workers to be placed on furlough. This support has come at a huge cost in terms of the Government’s budget deficit ballooning in 20/21 and 21/22 so that the Debt to GDP ratio reaches around 100%. The Budget on 3rd March 2021 increased fiscal support to the economy and employment during 2021 and 2022 followed by substantial tax rises in the following three years to help to pay the cost for the pandemic. This will help further to strengthen the economic recovery from the pandemic and to return the government’s finances to a balanced budget on a current expenditure and income basis in 2025/26. This will stop the Debt to GDP ratio rising further from 100%. An area of concern, though, is that the government’s debt is now twice as sensitive to interest rate rises as before the pandemic due to QE operations substituting fixed long-term debt for floating rate debt; there is, therefore, much incentive for the Government to promote Bank Rate staying low e.g. by using fiscal policy in conjunction with the monetary policy action by the Bank of England to keep inflation from rising too high, and / or by amending the Bank’s policy mandate to allow for a higher target for inflation.

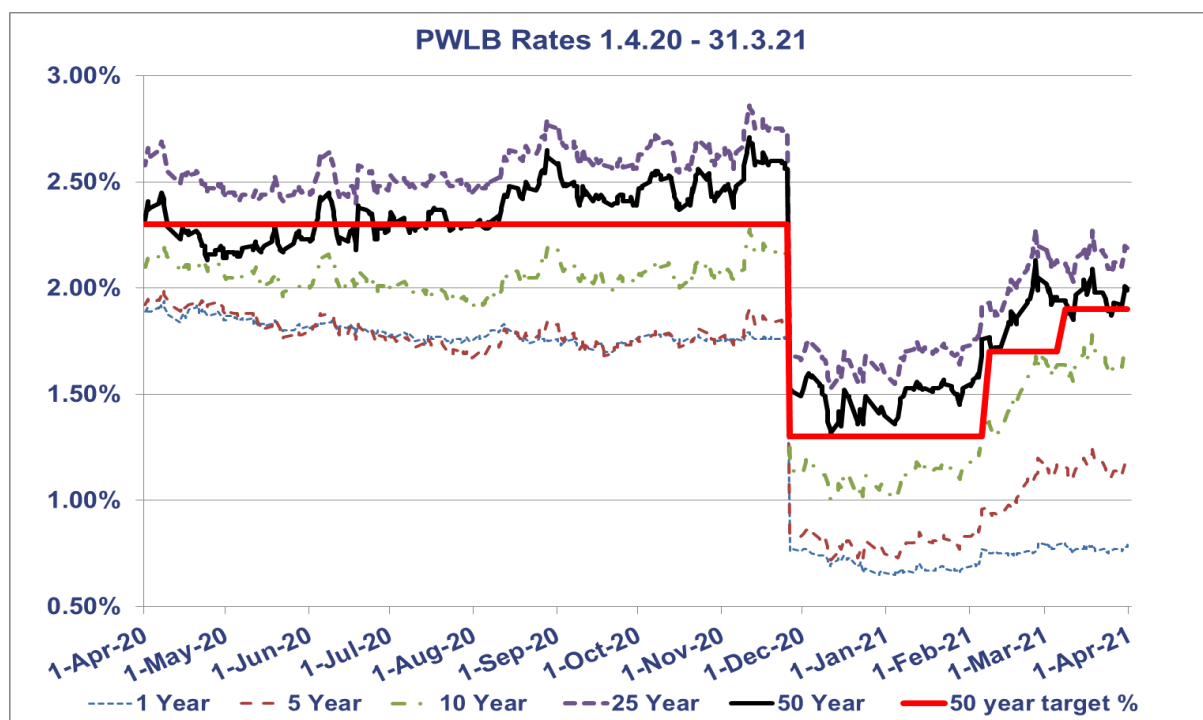
BREXIT. The final agreement on 24th December 2020 eliminated a significant downside risk for the UK economy. The initial agreement only covered trade so there is further work to be done on the services sector where temporary equivalence has been granted in both directions between the UK and EU; that now needs to be formalised on a permanent basis. There was much disruption to trade in January as form filling has proved to be a formidable barrier to trade. This appears to have eased somewhat since then but is an area that needs further work to ease difficulties, which are still acute in some areas.

- 4.2 PWLB rates are based on gilt (UK Government bonds) yields through H.M.Treasury determining a specified margin to add to gilt yields. The main influences on gilt yields are Bank Rate, inflation expectations and movements in US treasury yields. Inflation targeting by the major central banks has been successful over the last 30 years in lowering inflation and the real equilibrium rate for central rates has fallen considerably due to the high level of borrowing by consumers: this means that central banks do not need to raise rates as much now to have a major impact on consumer spending, inflation, etc. This has pulled down the overall level of interest rates and bond yields in financial markets over the last 30 years. We have seen, over the last two years, many bond yields up to 10 years in the Eurozone turn negative on expectations that the EU would struggle to get growth rates and inflation up from low levels. In addition, there has, at times, been an inversion of bond yields in the US whereby 10 year yields have fallen below shorter term yields. In the past, this has been a precursor of a recession.
- 4.3 Gilt yields fell sharply from the start of 2020 and then spiked up during a financial markets melt down in March caused by the pandemic hitting western countries; this was rapidly countered by central banks flooding the markets with liquidity. While US treasury yields do exert influence on UK gilt yields so that the two often move in tandem, they have diverged during the first three quarters of 2020/21 but then

converged in the final quarter. Expectations of economic recovery started earlier in the US than the UK but once the UK vaccination programme started making rapid progress in the new year of 2021, gilt yields and gilt yields and PWLB rates started rising sharply as confidence in economic recovery rebounded. Financial markets also expected Bank Rate to rise quicker than in the forecast tables in this report

- 4.4 At the close of the day on 31 March 2021, all gilt yields from 1 to 5 years were between 0.19 – 0.58% while the 10-year and 25-year yields were at 1.11% and 1.59%.
- 4.5 HM Treasury imposed **two changes of margins over gilt yields for PWLB rates in 2019/20** without any prior warning. The first took place on 9th October 2019, adding an additional 1% margin over gilts to all PWLB period rates. That increase was then, at least partially, reversed for some forms of borrowing on 11th March 2020, but not for mainstream non-HRA capital schemes. A consultation was then held with local authorities and **on 25th November 2020, the Chancellor announced the conclusion to the review of margins over gilt yields for PWLB rates;** the standard and certainty margins were reduced by 1% but a prohibition was introduced to deny access to borrowing from the PWLB for any local authority which had purchase of assets for yield in its three year capital programme. The new margins over gilt yields are as follows:
- **PWLB Standard Rate** is gilt plus 100 basis points (G+100bps)
 - **PWLB Certainty Rate** is gilt plus 80 basis points (G+80bps)
 - **PWLB HRA Standard Rate** is gilt plus 100 basis points (G+100bps)
 - **PWLB HRA Certainty Rate** is gilt plus 80bps (G+80bps)
 - **Local Infrastructure Rate** is gilt plus 60bps (G+60bps)
- 4.6 There is likely to be only a gentle rise in gilt yields and PWLB rates over the next three years as Bank Rate is not forecast to rise from 0.10% by March 2024 as the Bank of England has clearly stated that it will not raise rates until inflation is sustainably above its target of 2%; this sets a high bar for Bank Rate to start rising.
- 4.7 The policy of avoiding new borrowing by running down spare cash balances has served the Council well over the last few years (eliminating the ‘cost of carry’ where the interest rates of borrowing are greater than available investment rates). During 2018-19, in light of the planned capital spend in subsequent years, it was determined prudent to materially fund its outstanding capital financing requirement during the year, fixing in some historically low interest PWLB financing for the portfolio during the course of 2018/19. This borrowing was well timed in light of the implementation of the premium referenced in 4.5 above. A conscious decision was taken by the S 151 Officer to suspend any PWLB borrowing whilst the consultation was being undertaken, therefore no new borrowing was undertaken in 2020/21, (NB please see section 11)
- 4.8 Against this background and the risks within the economic forecast, caution was adopted with the treasury operations. The Section 151 Officer therefore monitored interest rates in financial markets and adopted a pragmatic strategy to manage interest rate risks, evaluating opportunities to average in the capital financing requirement as opportunities arose (post removal of the PWLB premium) during the year during periods of market volatility/ market sentiment caused by Brexit uncertainty and Trade war rhetoric, however no action was taken to take any new borrowing, noting the material funding undertaken in 2018/19 and the whilst the consultation was being undertaken referenced in 4.5.
- 4.9 As depicted in the graph below, PWLB 5,10, 25 and 50 year rates have been volatile during the year with little consistent trend. The graphs and tables for PWLB rates show, for a selection of maturity periods, the average borrowing rates, the high and

low points in rates, spreads and individual rates at the start and the end of the financial year



5. Actual Borrowing 2020/21

- 5.1 The Treasury Management strategy 2020/21 originally agreed by the Council in February 2020 and updated in March 2021 projected a total capital financing requirement of £639m as at end of 2020/21.
- 5.2 As identified in 4.8 above, the general overall strategy is to mitigate the ‘cost of carry’ in the current economic environment.. As such, having largely fulfilled its historic CFR requirement in 2018/19, no new borrowing was undertaken in 2020/21, however please see section 11 of this report, which outlines opportunistic borrowing undertaken in April 2021 which seeks to mitigate the outstanding funding risk in the remainder of the capital programme approved in Feb 2021 by undertaking some record low long term value borrowing after the year end.

6. Compliance with Treasury Limits

- 6.1 During the year, the Council operated within the limits set out in the Council’s Treasury Management Strategy 2020/21 under the Prudential Code. The outturn for the prudential indicators are shown in Appendix 1.

7. Capital Financing Charges 2020/21

- 7.1 The capital financing charges made to the Council’s accounts for 2020/21 including capital repayments net of discounts/premiums and interest receivable are detailed below.

	Actual 2019/20	Actual 2020/21
	£’000	£’000
Housing Revenue A/c	10,930	10,101
General Fund	24,933	27,091

- 7.2 The net capital financing interest rates charged differ from the average rate of interest for external debt due to the fact that part of the Council's borrowing for capital purposes is funded by the investment of internal reserves and the use of internal balances and the amortisation of historical discounts/premia applied. The capital financing charges 2020/21 also include the revised Minimum Revenue Provision (MRP) Policy adopted by Council in Dec 2018.

8. Investment Strategy for 2020/21

- 8.1 Investment returns which had been low during 2019/20, plunged during 2020/21 to near zero or even into negative territory. Most local authority lending managed to avoid negative rates and one feature of the year was the growth of inter local authority lending. The expectation for interest rates within the treasury management strategy for 2020/21 was that Bank Rate would continue at the start of the year at 0.75 % before rising to end 2022/23 at 1.25%. This forecast was invalidated by the Covid-19 pandemic bursting onto the scene in March 2020 which caused the Monetary Policy Committee to cut Bank Rate in March, first to 0.25% and then to 0.10%, in order to counter the hugely negative impact of the national lockdown on large swathes of the economy. The Bank of England and the Government also introduced new programmes of supplying the banking system and the economy with massive amounts of cheap credit so that banks could help cash-starved businesses to survive the lockdown. The Government also supplied huge amounts of finance to local authorities to pass on to businesses. This meant that for most of the year there was much more liquidity in financial markets than there was demand to borrow, with the consequent effect that investment earnings rates plummeted.
- 8.2 Investment balances have been managed in line with the agreed long term strategy of using reserves and balances to support internal borrowing, rather than borrowing extensively from the financial markets, however opportunistic historic low long term borrowing has been taken where advantageous and since year end opportunities have arisen to undertake some long term value borrowing (section 11)
- 8.3 While the Council has taken a cautious approach to investing, it is also fully appreciative of changes to regulatory requirements for financial institutions in terms of additional capital and liquidity that came about in the aftermath of the financial crisis. These requirements have provided a far stronger basis for financial institutions, with annual stress tests by regulators evidencing how institutions are now far more able to cope with extreme stressed market and economic conditions.
- 8.4 The Council's investment policy is also governed by WAG guidance, which was implemented in the annual investment strategy 2020/21 approved by the Council in February 2020. This policy sets out the approach for choosing investment counterparties, and is based on our Treasury Advisors' investment colour matrix based on credit ratings provided by the three main credit rating agencies supplemented by additional market data such as rating outlooks, credit default swaps information, bank share prices etc. New investments were restricted to UK based institutions only, which satisfied these criteria.

9. Actual Investments 2020/21

9.1 The Council manages its cashflow and core balance investments internally, having realised its cash balances held with its external cash fund managers previously. These balances were invested on the Money Market via brokers or directly with banks and building societies, other local authorities and the Debt Management Office (DMO) within the criteria set out in 8.4 above. The balances held during the year were as follows:

Balance 1 April 2020	Balance 31 March 2021	Average Value 2020/21	Interest	Rate of Return	Benchmark 7 day LIBID
£'000	£'000	£'000	£'000	%	%
93,529	84,500	124,156	281	0.23	0.1

9.2 The interest achieved on internally managed investments was £0.281m or 0.23%. This return outperformed the benchmark seven-day rate of 0.1% by +0.13%.

9.3 As a further measure to mitigate and control risk following the financial crisis, the Authority determined to restrict investments to UK domiciled only banks and financial institutions in October 2008 resulting in an even smaller number of available counterparties to invest with. This policy was maintained in light of continued sovereign debt crises throughout Europe since. The list of investments as at 31st March 2021 is attached at Appendix 3.

10. Debt Repayment/Rescheduling

10.1 Market conditions are constantly monitored for opportunities to repay or reschedule debt in line with good Treasury Management practice. Appraising the current portfolio, no such opportunities arose in 2020/21 which would be economically beneficial to the Authority.

11. Significant Treasury Management Activity After Year End

11.1 Following the revocation of the PWLB premium in Nov 2020, the relative long term value of fixing long term PWLB funding increased significantly. Therefore as market volatility increased early in financial year 2021/22, the market was monitored for long term funding opportunities.

11.2 Therefore in April, May and June 2021, the S 151 Officer authorised **£75m** of PWLB long term borrowing which was drawn down from HM Treasury :

Date	Amount	Maturity Date	Interest Rate
13 th April 2021	£20m	12 th April 2070	1.96
13 th April 2021	£25m	12 th April 2071	1.95
28 th May 2021	£15m	27 th May 2069	1.91
1 st June 2021	£15m	31 st May 2068	1.94
TOTAL	£75m		1.94

- 11.3 The borrowing identified in 11.2 represented the **cheapest long term borrowing ever undertaken by this Authority.**

POST SCRIPT:

- 11.4 At time of writing, inflationary pressures (energy, fuel, transportation, materials, food, labour markets) are making imminent short term interest rate rises all the more likely. Therefore the S 151 Officer gave the instruction to monitor the volatile Gilt market with a view to take the opportunity to mitigate further funding risk within the Council's approved capital programme and drawdown a further **£45m** of PWLB borrowing .
- 11.5 Therefore on the 15th October 2021, the S 151 Officer instructed the drawdown of the following £45m of PWLB long term borrowing from HM Treasury:

Date	Amount	Maturity Date	Interest Rate
15 th Oct 2021	£15m	14 th April 2068	1.94
15 th Oct 2021	£15m	14 th April 2069	1.93
15 th Oct 2021	£15m	14 th Oct 2070	1.93
TOTAL	£45m		1.93

- 11.6 The borrowing identified in 11.5 **NOW** represents the **cheapest long term borrowing ever undertaken by this Authority.**
- 11.7 These additional post year end borrowings have reduced the overall historic cost of borrowing identified in 3.1 from 3.99% to 3.63%.

Prudential & Treasury Management Indicators

Prudential Indicators	2019/20	2020/21	2020/21
	Actual	Budget	Actual
	£'000	£'000	£'000
Capital Expenditure			
GF	74,720	206,992	162,553
HRA	51,839	44,116	41,601
TOTAL	126,559	251,108	204,154
Ratio of financing costs to net revenue stream			
GF	5.61	5.99	5.79
HRA	12.79	15.60	12.93
Capital Financing Requirement			
GF	364,607	471,469	433,916
HRA	157,846	176,063	159,530
TOTAL	522,453	647,532	593,446

Treasury Management Indicators	2019/20	2020/21	2020/21
	Actual	Budget	Actual
	£'000 or %	£'000 or %	£'000
Authorised limit for external debt	555,567	798,728	565,198
Operational boundary for external debt	555,567	758,728	565,198
Upper limit for fixed interest rate exposure	82.36%/ £457,567	100%/ £798,728	82.66%/ 467,198
Upper limit for variable interest rate exposure	17.64%/ £98,000	40%/ £319,491	17.34%/ £98,000
Upper limit for total principal sums invested for over 364 days	0	40,000	0

Maturity Structure of Fixed Rate Borrowing in 2020/21			
	Upper Limit %	Lower Limit %	Actual %
Under 12 months	60	0	0.7
12 months and within 24 months	60	0	0.5
24 months and within 5 years	60	0	0.1
5 years and within 10 years	90	0	9.7
10 years and above	95	15	89

The Treasury Management Prudential Indicators identified above as:

- Upper limit for fixed interest rate exposure
- Upper limit for variable interest rate exposure
- Upper limit for total principal sums invested for over 364 days
- Maturity Structure of fixed rate borrowing in 2020/21

are shown as at balance sheet date 31st March 2021, however it can be reported that none of the above limits were breached during 2020/21.

Treasury Management – Glossary of Terms

Annualised Rate of Return	Represents the average return which would have been achieved each year.
Authorised Limit <i>(can also be considered as the affordable borrowing limit)</i>	The authorised limit must be set to establish the outer boundary of the local authority's borrowing based on a realistic assessment of the risks. The authorised limit is certainly not a limit that an authority will expect to borrow up to on a regular basis. It is crucial that it is not treated as an upper limit for borrowing for capital expenditure alone since it must also encompass borrowing for temporary purposes. It is the expected maximum borrowing need, with some headroom for unexpected movement.
Bank Rate	The Official Bank rate paid on commercial bank reserves i.e. reserves placed by commercial banks with the Bank of England as part of the Bank's operations to reduce volatility in short term interest rates in the money markets.
Base Rate	Minimum lending rate of a bank or financial institution in the UK.
Basis Points (bp)	A basis point is 0.01 of 1% (100 bp = 1%)
Borrowing	In the Code, borrowing refers to external borrowing. Borrowing is defined as both:- <ul style="list-style-type: none"> • Borrowing repayable with a period in excess of 12months • Borrowing repayable on demand or within 12months
Capital Expenditure	The definition of capital expenditure starts with all those items which can be capitalised in accordance with the Statement of Recommended Practice (SORP). To this must be added any items that have/will be capitalised in accordance with legislation that otherwise would not be capitalised. Prudential indicators for current and future years are calculated in a manner consistent with this definition.

Capital Financing Charges (see financing costs also)	These are the net costs of financing capital i.e. interest and principal, premium less interest received and discounts received.
Capital Financing Requirement	The Capital Financing Requirement is simply the total outstanding capital expenditure, which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need.
CIPFA	The Chartered Institute of Public Finance and Accountancy. One of the leading professional accountancy bodies in the UK and the only one which specialises in the public services.
Counterparty	The organisations responsible for repaying the Council's investment upon maturity and for making interest payments.
Credit Rating	<p>This is a scoring system that lenders issue people with to determine how credit worthy they are.</p> <p>The Credit Rating components are as follows:</p> <ol style="list-style-type: none"> 1. The AAA ratings through to C/D are long-term rating definitions and generally cover maturities of up to five years, with the emphasis on the ongoing stability of the institution's prospective financial condition. AAA are the most highly rated, C/D are the lowest. This Council does not invest with institutions lower than AA- for investments over 364 days 2. F1/A1/P1 are short-term rating definitions used by Moody's, S&P and Fitch Ratings for banks and building societies based on their individual opinion on an institution's capacity to repay punctually its short-term debt obligations (which do not exceed one year). This Council does not invest with institutions lower than F1/A1/P1 for investments under 364 days.

Debt	For the purposes of the Code, debt refers to the sum of borrowing (see above) and other long-term liabilities (see below). It should be noted that the term borrowing used with the Act includes both borrowing as defined for the balance sheet and other long terms liabilities defined as credit arrangements through legislation.
Discounts	Where the prevailing interest rate is higher than the fixed rate of a long-term loan, which is being repaid early, the lender can refund the borrower a discount. This is calculated on the difference between the two interest rates over the remaining years of the loan, discounted back to present value. The lender is able to offer the discount, as their investment will now earn more than when the original loan was taken out.
Financing Costs	<p>The financing costs are an estimate of the aggregate of the following:-</p> <ul style="list-style-type: none"> • Interest payable with respect to borrowing • Interest payable under other long-term liabilities • Gains and losses on the repurchase or early settlement of borrowing credited or charged to the amount to be met from government grants and local taxpayers (premiums and discounts) • Interest earned and investment income • Amounts required in respect of the minimum revenue provision plus any additional voluntary contributions plus any other amounts for depreciation/impairment that are charged to the amount to be met from government grants and local taxpayers
Financial Reporting Standards (FRSs)	These are standards set by governing bodies on how the financial statements should look and be presented.
Investments	<p>Investments are the aggregate of:-</p> <ul style="list-style-type: none"> • Long term investments • Short term investments (within current assets)

	<ul style="list-style-type: none"> • Cash and bank balances including overdrawn balances <p>From this should be subtracted any investments that are held clearly and explicitly in the course of the provision of, and for the purposes of, operational services.</p>
IMF	International Monetary Fund
LOBO (Lender's Option/ Borrower's Option)	Money Market instruments that have a fixed initial term (typically one to ten year) and then move to an arrangement whereby the lender can decide at pre-determined intervals to adjust the rate on the loan. At this stage the borrower has the option to repay the loan.
London Inter-Bank Bid Rate (LIBID)	The interest rate at which major banks in London are willing to borrow (bid for) funds from each other.
Managed Funds	<p><u>In-House Fund Management</u> Surplus cash arising from unused capital receipts can be managed either by external fund managers or by the Council's staff in-house. The in-house funds are invested in fixed deposits through the money markets for periods up to one year.</p> <p><u>Externally Management Funds</u> Fund managers appointed by the Council invest surplus cash arising from unused capital receipts in liquid instruments such as bank certificates of deposit and government stocks. The fund managers' specialist knowledge should ensure a higher rate of earnings on the managed funds than would be otherwise obtained.</p>
Maturity	The date when an investment is repaid or the period covered by a fixed term investment.
Minimum Revenue Provision (MRP)	The amount required by statute to be principal repayment each year.
Monetary Policy Committee (MPC)	This is a body set up by the Government in 1997 to set the repo rate (commonly referred to as being base rate). Their primary target (as set by the Government) is to keep

	inflation within plus or minus 1% of a central target of 2% in two year time from the date of the monthly meeting of the Committee. Their secondary target is to support the Government in maintaining high and stable levels of growth and employment.
Money Market	<p>Consists of financial institutions and deals in money and credit.</p> <p>The term applied to the institutions willing to trade in financial instruments. It is not a physical creation, but an electronic/telephone one.</p>
Net Borrowing	For the purposes of the Code, net borrowing refers to borrowing (see above) net of investments (see above).
Net Revenue Stream	Estimates for net revenue stream for current and future years are the local authority's estimates of the amounts to be met from government grants and local taxpayers.
Operational Boundary	This is based on expectations of the maximum external debt of the authority according to probable not simply possible – events and being consistent with the maximum level of external debt projected by the estimates. It is not a limit and actual borrowing could vary around this boundary for short periods.
Other Long Term Liabilities	The definition of other long term liabilities is the sum of the amounts in the Council's accounts that are classified as liabilities that are for periods in excess of 12months, other than borrowing (see definition above).
Premature Repayment of Loans (debt restructuring/rescheduling)	A facility for loans where the Council can repay loans prior to the original maturity date. If the loan repaid has a lower interest rate than the current rate for a loan of the same maturity period the Council can secure a cash discount on the repayment of the original loan. If the loan replaced has a higher rate of interest than the current rate for

	a loan of the same maturity period, a cash penalty is payable to the lender.
Premia	Where the prevailing current interest rate is lower than the fixed rate of a long term loan, which is being repaid early, the lender can charge the borrower a premium. This is calculated on the difference between the two interest rates over the remaining years of the loan, discounted back to present value. The lender may charge the premium, as their investment will now earn less than when the original loan was taken out.
Prudential Code	The Prudential Code is the largely self regulatory framework outlined by CIPFA for managing/monitoring capital investment in local government.
Public Works Loan Board (PWLB)	A Government agency which provides loans to local authorities. Each year, it issues a circular setting out the basis on which loans will be made available. Loans can be either at a fixed rate or on a variable rate basis. They can be repaid on either an annuity, equal instalment of principal or maturity basis. The interest rate charged is linked to the cost at which the Government itself borrows.
Range Trade Accrual	A Callable Range Accrual is so called because it is callable or cancellable by the bank after the initial period, as above. However, where it differs, is that interest accrues only as long as Libor (London Interbank Offer Rate, or another independently derived and published benchmark rate) stays within a pre-agreed range. The lender can choose the range, the non-call period, the Libor they wish to use, the call periods and the potential return they wish to receive.. The bank has the right to cancel this trade after the first 3 months, and every 3 months thereafter. With a range trade, the lender is backing his judgement on interest rate movements and in exchange for that can achieve a significantly enhanced return. This is done as part of portfolio management. The risk of rates going above Libor on a small part of the portfolio (and therefore none, or little payment on a

	<p>range accrual) will be offset by the fact that the rest of the portfolio will be returning more than expected. The key risk to a callable range accrual is obviously that the contractual Libor rate goes outside the specified range. It is possible to mitigate this risk by analysing the historical behaviour of any specified Libor relative to base rate. By taking a view on expected base rate (which is done on all deposits), a lender can minimise exposure, and choose a range to match his risk appetite.</p>
Risk	<p><u>Counterparty Credit Risk</u> The risk that a counterparty defaults on its obligations.</p> <p><u>Inflation Risk</u> The risk that growth in the Authority's investment income does not keep pace with the effects of inflation on its expenditure.</p> <p><u>Interest Rate Risk</u> The risk that changes in rates of interest creates an unexpected or unbudgeted burden on the Council's finances.</p> <p><u>Liquidity Risk</u> The risk that cash will not be available when it is needed.</p> <p><u>Operational Risk</u> The risk of loss through fraud, error, corruption, system failure or other eventualities in Treasury Management dealings, and failure to maintain effective contingency management arrangements.</p> <p><u>Refinancing Risk</u> The risk that the Authority is unable to replace its maturing funding arrangements on appropriate terms.</p>
Set Aside Capital Receipts	<p>A proportion of money received by the Council for the sale of fixed assets must be set aside to repay debt.</p>
SORP	<p>Statement of Recommended Practice, published by CIPFA (Local Authority</p>

	Accounting Body). This sets out guidelines regarding the Council's financial matters.
Specified/Non Specified investments	Specified investments are sterling denominated investments for less than 364 days in line with statutory investment regulations. Non- specified investments are all other investments identified in line with statutory investment regulations.
Supranational Bonds	These are bonds issued by institutions such as the European Investment Bank and World Bank. As with Government bonds (Gilts) they are regarded as the safest bond investments with a high credit rating.
Temporary Borrowing and Investment	Loans which are capable of being repaid within one year. The term of the loans will be negotiated from overnight to 364 days.
Treasury Management	<p>Treasury Management has the same definition as in CIPFA's code of Practice of Treasury Management in the Public Services.</p> <p>"The management of the organisation's cash flows its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."</p>
Yield Curve	The line resulting from portraying interest rate graphically for a series of periods, e.g. 7days, 1month, 3, 6, 9, and 12months. When longer-term interest rates are higher than short-term rates the yield curve slopes upwards and is described as positive. When the opposite prevails the yield curve is referred to as inverse.

Portfolio of Investments 31st March 2021

Counterparty	£
Lloyds Bank Treasury Account	30,000,000
Santander Bank	19,000,000
Calderdale Council	2,000,000
Coventry Building Society	11,500,000
Derby City Council	4,000,000
Goldman Sachs	7,000,000
Surrey County Council	5,000,000
Telford & Wrekin Council	3,000,000
Wirral Metropolitan Borough Council	3,000,000
Total	84,500,000

Agenda Item 12.



Report of the Chair of the Pension Fund Committee

Council - 4 November 2021

Amendment to Inter Authority Agreement (IAA) of the Wales Pension Partnership (WPP) and Funding & Investment Performance Update, and Climate Change Risk Update

Purpose: To seek approval from Council to amend the previously approved Inter Authority Agreement (IAA) of the Wales Pension Partnership (WPP) to incorporate revised governance arrangements which allow a scheme member representative on the Joint Governance Committee (JGC) along with other operational changes identified and to inform Council of the funding position of the pension fund and recent investment performance and progress against mitigating climate change risk in the investment portfolio.

Policy Framework: LGPS Investment Management Regulations

Consultation: Finance, Access to Services and Legal

Recommendation(s): It is recommended that Council:

- 1) Approve the amended Inter Authority Agreement (IAA) attached at Appendix 1;
- 2) Note the funding position and investment performance in section 4 of this report and the progress on addressing climate change risk and journey to achieving net zero within its investment portfolio in sections 5-10 of this report.

Report Author: Jeff Dong

Finance Officer: Ben Smith

Legal Officer: Debbie Smith

Access to Services Officer: Rhian Millar

1. The Local Government Pension Scheme (LGPS)

- 1.1 The Local Government Pension Scheme (LGPS) is a defined benefit pension scheme for local government (and affiliated employers who provide appropriate services as defined by statute) workers in England and Wales. Benefits are guaranteed by Statute and determined by the member's career average salary for service since April 2014 or their final salary (for service before April 2014).
- 1.2 Employees make contributions on a sliding scale in accordance with their salary, and employers make pension contributions dictated by triennial actuarial valuation. It has over 5.9m members through 15,700 employers and collective assets of approximately £300bn. It is administered via 90 plus separate schemes managed by the 89 Administering Authorities which are recognised within the Statutory Instrument.
- 1.3 There is a lot of misconception about the LGPS and its place amongst other public sector schemes. It is the only major public sector scheme which is a funded scheme, as opposed to the other public sector schemes like the Civil Service, NHS, Police etc. which are all unfunded, and 'pay as you go' schemes. The LGPS provides pensions for workers like school break time assistants, care workers, refuse collectors, social workers, non-teaching staff in schools, road maintenance workers as well as managers, chief officers and elected members (only in Wales) in local government .
- 1.4 Over two thirds of the LGPS membership are women members, many of whom only work(ed) part-time. In Swansea, the average pension in payment is approx. £5k a year.

2. The City & County of Swansea Pension Fund

- 2.1 Swansea Council is the Administering Authority for the City & County of Swansea Pension Scheme. The primary objective of the Administering Authority is to pay members' pensions as they fall due in the most cost effective manner.

The City & County of Swansea Pension Fund (31/3/21) has approx :

- 47,000 members
 - 21, 000 active members (still working and contributing to their pension)
 - 15,000 pensioners (members drawing their pension)
 - 11,000 deferred (members who have left eligible employment and yet to draw pension)
- 27 employers include the following larger employers:
 - Swansea Council
 - Neath Port Talbot Council
 - Gower College
 - University of Wales Trinity St. David
 - Neath Port Talbot College Group

- Community Councils

- £2.6bn of assets

3. Governance

3.1 The Pension Fund Committee

The Council has delegated governance of the Pension Fund to the Pension Fund Committee, which is constituted under section 101 of the Local Government Act 1972 with appropriate decision making powers.

The Pension Fund Committee currently is comprised of :

- Cllr Clive Lloyd, Chair
- Cllr Phil Downing, Vice Chair
- Cllr Jan Curtice
- Cllr Mike Lewis
- Cllr Will Thomas
- Cllr Gareth Sullivan
- Cllr Peter Rees (Neath Port Talbot County Borough Council) co-opted employer member
- Cllr Alan Lockyer, (Neath Port Talbot County Borough Council) observer member acting as the Chairman of The Local Pension Board

- 3.2 Membership of the Pension Fund Committee is subject to a comprehensive programme of trustee training to achieve the statutory minimum level of skills and knowledge with which members can discharge their responsibilities

3.3 The Local Pension Board

Since 2015, The Pension Regulator requires the establishment of a Local Pension Board (equal numbers of scheme members' representatives and scheme employer representatives), whose role according to the statutory instrument is to 'assist' the Adminstrating Authority in its role as scheme manager, which in practice, is to provide an oversight, scrutiny and audit committee role, ensuring the regulations and best practice are adhered to.

The Local Pension Board is comprised of :

- Cllr Alan Lockyer, Neath Port Talbot County Borough Council, Chair
- Ian Guy, Unison,
- Rosemary Broad, GMB Union (newly appointed Mar 2020)
- David White, Unison
- David Mackerras, Pelenna Community Council
- Cllr Peter Jones, Swansea Council (newly appointed Sep 2020)

- 3.4 Similarly, membership of The Local Pension Board is subject to a programme of skills and knowledge training to acquire the minimum threshold of competence required.

3.5 **National LGPS Scheme Advisory Board (SAB)**

Established in 2013, the national Scheme Advisory Board (SAB) was established to be proactive and reactive to proposals made by central government (Ministry of Housing, Communities and Local Government, MHCLG) in relation to the LGPS and its regulations and to provide guidance and advocate on behalf of the scheme at government levels and with The Pension Regulator.

3.6 Cllr Clive Lloyd is the Welsh Local Government Association's (WLGA) representative on the SAB.

3.7 **Wales Pension Partnership (WPP)**

In 2015, the then Chancellor instructed all of the 87 LGPS Administering Authorities in England & Wales , on a voluntarily basis to 'pool' the management of their assets into larger asset pools, with a view to improving the efficiency of the deployment of capital, maximising buying power and increasing economies of scale and therefore improving investment outcomes. The pools of assets created from this process were: The Northern Pool, London CIV, Brunel, Central, Borders to Coast, Access, LPP and the Wales Pension Partnership (WPP)

3.8 The WPP is comprised of :

- The City & County of Swansea Pension Fund
- The Cardiff & Vale Pension Fund
- The Clwyd Pension Fund
- The Dyfed Pension Fund
- The Greater Gwent Pension Fund
- The Gwynedd Pension Fund
- The Powys Pension Fund
- The Rhondda Cynon Taf Pension Fund

3.9 The WPP was constituted under the inter authority agreement (IAA) and the governance and decision making is delegated to the Joint Governance Committee (JGC) consisting of the 8 individual Pension Fund Chairmen. Swansea Council originally approved the original inter authority agreement on Feb 23rd 2017, found here:

[\(Public Pack\)Agenda Document for Council, 23/02/2017 17:00 \(swansea.gov.uk\)](#)

3.10 At section 11 of this report, outlines the proposed changes to the IAA.

4. Pension Fund Objectives & The Investment Strategy

4.1 The law commission outlined the responsibilities of a pension fund's investment strategy as:

"The primary aim of an investment strategy is to secure the best realistic return over the long term, given the need to control for risks"

The investment strategy of the City & County of Swansea is formulated to meet the liabilities of the pension fund in the most cost effective manner as possible for employers. The investment horizon for the City & County of Swansea Pension Fund is long, as the fund exists to meet the pensions of current pensioners but also members who have only just joined the scheme but shall only retire in 40 years' time. Therefore the asset mix needs to fulfil a variety of functions and includes growth assets such as global listed equities and private equity to meet future liabilities but also liability matching, income yielding assets like bonds, property, infrastructure and private debt to meet current and medium term liabilities, whilst also having defensive assets like equity protection and hedge funds to mitigate against market shocks.

4.2 In addition to the long term time horizon of its investment strategy is the fundamental principle of diversification within its investment portfolio and as such, the portfolio is varied by asset type, by geography and by fund manager with which to mitigate the various risks. It is designed to provide protection against systemic shocks and volatility in financial markets with the objective of making contributions stable and affordable for stakeholders in the scheme for the long term.

4.3 The audited financial statements and annual report of the City & County of Swansea Pension Fund 2020/21 can be found here :

www.swanseapensionfund.org.uk

4.4 It can be seen that at 31/3/21:

- Fund value £2.614bn
- Increase in fund value of £626m
- Fund return of 31% (LGPS average 22%) outperformance of 9%
- Ranked 8th in year
- Ranked 10th 3 yr annualised
- Ranked 12th 5 yr annualised
- 103% funded

The fund has been recognised by being shortlisted for **3** awards in The 2021 LAPF (Local Authority Pension Funds) Awards :

- 'Pension Fund of the Year with assets >£2.5bn'
- 'Best Investment Innovation' for its programme of total return swaps implemented to reduce its carbon exposure in its listed equity portfolio.
- 'Best Climate Change Strategy'

Winners to be announced on Dec 15th 2021.

4.5 Noting the strong performance and funding position outlined above , the Pension Fund Committee have approved the continued asset reallocation strategy switching capital from its listed equities to yielding real assets, locking in some of these gains ahead of the 2022 triennial valuation. It is recognised that this entails accompanying relative opportunity risk should

equity markets continue to outperform, but is considered prudent to mitigate the risk of drawdown.

5. Responsible Investment Policy - Environmental, Social Governance (ESG) Factors

5.1 *“Responsible investment is an approach to investment that explicitly acknowledges the relevance to the investor of environmental, social and governance factors, and of the long-term health and stability of the market as a whole. It recognises that the generation of long-term sustainable returns is dependent on stable, well-functioning and well governed social, environmental and economic systems.”*

United Nations Principles for Responsible Investing (UNPRI)

5.2 The latest guidance from MHCLG in 2017 is clear, although schemes should make the pursuit of a financial return their predominant concern, they may also take purely non-financial considerations into account provided that doing so would not involve significant risk of financial detriment to the scheme and where they have good reason to think that scheme members would support their decision. It now encourages non-financial factors to be considered alongside financial priorities outlined in 4.1 with the law commission clarifying:

“The most important distinction is between the factors relevant to increasing returns or reducing risk (financial factors) and those which are not (non-financial factors) with a non-financial factor being motivated by other than financial concerns e.g. working conditions of employees”

5.3 The Pension Fund Committee undertook an extensive education and training programme culminating in a workshop in Nov 2017 where it was the first LGPS in Wales to formulate its Responsible Investment Policy attached at Appendix 1

5.4 The non-financial factors identified for consideration are largely categorised into 3 areas:

Environmental	Social	Governance
<i>Climate change</i> Resource scarcity Water Biodiversity Pollution Energy efficiency Waste Management	Customer satisfaction Community Relations Working Conditions Diversity Health & safety Employee well being Data protection	Board structure Accounting & audit Directors’ remuneration Bribery & corruption Shareholders’ rights Transparency Political affiliations

5.5 The Pension Fund Committee’s Responsible Investment Policy has outlined the Fund’s approach to responsible investment in two key areas:

- 1 **Sustainable investment / ESG factors** – considering the financial impact of environmental, social and governance (“ESG”) factors on its investments.
 - 2 **Effective Stewardship** – acting as responsible and active investors, through considered voting of shares, and engaging with investee company management as part of the investment process.
- 5.6 The committee agrees with the importance of all ESG factors, however for the purposes of this report it can be seen in Appendix 1 that Climate change risk has been identified as a clear systemic risk. To address this risk within its policy:

‘The Committee has made a commitment to reduce the Fund’s listed equity portfolio’s carbon exposure, and as part of this, it has set a target of the Fund’s equities being 50% lower when compared to the global stock market by 2022 (MSCI AC World index, measured in terms of carbon emissions per £m invested)’.

- 5.7 Effective stewardship is the meaningful engagement with investee companies to affect positive change via shareholder activism and voting both as fund and collectively as the WPP and the LGPS as whole through the fund’s membership of the Local Authority Pension Fund Forum (LAPFF) and the PLSA (Pensions & Lifetime Savings Association). Examples of recent effective engagement has been the decision by Royal Dutch Shell to align the CEO’s remuneration with reducing Co2 target emissions, having been requested to do so by a group of investors.
- 5.8 The Pension Fund is a member of the Local Authority Pension Fund Forum (LAPFF) and the PLSA (Pensions and Lifetime Savings Association) where ESG issues are raised on behalf of the LGPS as whole.

6. Climate Change Risk

- 6.1 The evidence is overwhelming that ‘Business as Usual’ does not seem consistent with a sustainable planet and so something has to change – perhaps nearly everything must change. Certainly, the way that long-term investment is thought about will need to recognise the impending realities of climate change and the investment risks and opportunities that it creates. Pension schemes should be at the vanguard of that thought, but they need the support of their service providers and an appropriate context set by legislators and regulators to assist.
- 6.2 This is reflected in the Paris Agreement, which has committed its signing nation states to:
“Making finance flows consistent with a pathway towards low greenhouse gas emissions and climate-resilient development.”
- 6.3 Pension schemes have often seemed first in line for making finance flows consistent in this way, perhaps because of their high profile role at the top of the investment chain, which is seen as placing them in a position to use their

influence to draw good practice on climate change up through that complex chain. Certainly, much policymaker attention has been on the pension industry, as has that of civil society players, noting the influence that individual savers may be able to wield at pension schemes, however as noted in 6.9 UK pension funds only account for 2.4% of shares. Trustees certainly have influence. Yet pension schemes cannot act alone if they are to deliver the change that is necessary. They need information on which to base their decisions. They need to be able to set clear expectations and hold service providers to account against them. They need relevant skills and expertise. And they need appropriate products and vehicles through which to invest in a carbon-constrained future.

- 6.4 Whilst the physical downsides of climate change already are being felt in many parts of the world (fires in California, Brazil and Australia; intense rainfall, flash flooding around the world and rising sea levels), the issue is still viewed as a medium to long term risk. Certainly unless Co2 emissions are restricted and perhaps reversed in the future, these physical impacts shall worsen.
- 6.5 The immediate and growing risks are financial: climate impacts have already caused physical damage to property and infrastructure, reducing property values, disrupting logistics and communications and infrastructure, creating additional insurance burdens. Further, the risks of the transition to a lower carbon economy that the science urges on us will also have significant financial implications: some current assets will become obsolete, other investment opportunities will blossom. If these changes are planned for they will cause less financial disruption, but the longer change is resisted the more disorderly the shift may become. An investor conscious of fiduciary duty to beneficiaries will need to keep these risks in mind when investing, particularly when investing for the medium- to long-term.
- 6.6 Given that it is perceived to be a medium- to long-term risk, it is typical of the issues that pension scheme investors need to worry about. The risks will cause financial impacts over the life of pension scheme investments and yet they are not usually because pension fund time horizons are typically longer than those of other participants in the investment chain, the issues of climate change are more pertinent for schemes than for the range of investment intermediaries with which they tend to operate – though government action and regulatory change is bringing the impacts of climate change more into the immediate future. It may also mean that perhaps a disproportionate level of regulatory and political attention is focused on pension schemes in the expectation that their long-term focus and their influence on the investment chain can help align the system into a more long-term mind-set. Trustees are not always convinced that they can influence the entire investment chain in this way, not least because of the small percentage of asset owners that pension funds are. Further, the closure of DB (defined benefit) schemes and the maturity of many of the pension schemes that were formerly significant owners of UK equities has led to pension funds moving much of their investment portfolios into fixed income and real assets, so that pension funds

(of which the LGPS is only a subset) as a whole now hold only 2.4% of UK shares.

- 6.7 The main aims of pension funds in relation to the challenge of a changing climate must be to manage and mitigate the financial implications of the physical impacts of change, and to position portfolios effectively for the transition to a less carbon-intensive economy. Investing in a climate-aware way means exactly this: positioning for the expected future and to limit damage in the short- and medium-term. Their role is not to change corporate behaviour or financial systems for their own sake, but in order to enable pension schemes to invest in ways that give the best chance of delivering on the pension promise to beneficiaries.
- 6.8 This was the conclusion of the Law Commission in its 2014 report on the Fiduciary Duties of Investment Intermediaries: that incorporating material ESG factors is in beneficiaries' best interests because it helps deliver stronger long-term returns, and limit downside risks. It is not an aim in itself, but a way of delivering effectively for beneficiaries. The Law Commission's thinking was reflected in 2018 changes to the Occupational Pension Scheme (Investment) Regulations, not because the Commission thought change was needed but rather because it was believed the reforms might deliver positive behavioural change.
- 6.9 Expecting UK pension funds on their own to deliver climate change-preparedness at UK-listed companies is not realistic. That is the case not least because the Office for National Statistics analysis of the ownership of the £1.88 trillion value of UK quoted companies reveals that pension funds own only 2.4% of all shares. This compares to 4% owned by insurance companies and 13.5% owned by individuals – and nearly 55% ownership by foreign investors but LGPS can start to deploy their assets in a more climate aware way, which the City & County of Swansea Pension Fund have embraced.
- 6.10 The world is in a transition phase as we all, as a society, amend our behaviours to transition to a low carbon economy. Aspiration to achieve a totally carbon neutral state are unachievable or not economic at this point in time, however great strides are being made to make that leap in the medium term and the pension fund investment strategy is at the forefront utilising what is currently available and economically viable in investment portfolios at this time, however it continues to evaluate and consider new developments as they become available.

7. Carbon Footprinting

- 7.1 The pension fund committee has been subject to vigorous lobbying from various interest groups (Friends of the Earth and Extinction Rebellion) in respect of its 'fossil fuel' company investments (energy sector) with a view to wholesale divestment from these industries. This narrow approach ignores the fact that **all** companies have a 'carbon footprint' and the committee believes a more holistic approach to reducing the impact of carbon emissions is required to address climate change risk.

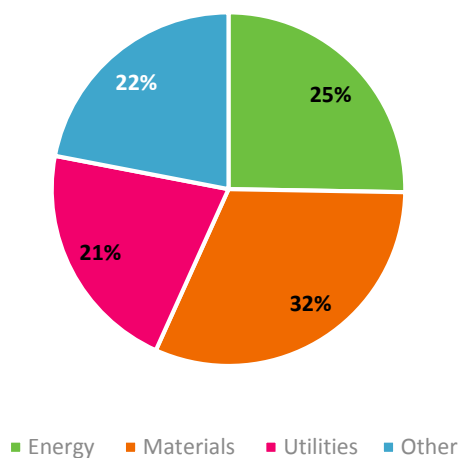
7.2 What do we mean by 'carbon footprint'? and how do we measure it in respect of the listed equities the pension fund invests in:

The key carbon metrics assessed for this purpose are:

- **Scope 1 – All Direct Emissions** from the activities of an organisation or under their control. Including fuel combustion on site such as gas boilers, fleet vehicles and air-conditioning leaks.
- **Scope 2 – Indirect Emissions** from electricity purchased and used by the organisation. Emissions are created during the production of the energy and eventually used by the organisation.
- **Carbon emissions** - the carbon emission (tonnes of CO₂) per £million invested. *Sum of ((£investment in issuer/issuers' market cap) * issuer's emissions) – results shown as per £m invested*
- **Carbon intensity** – a measure of a portfolio's carbon efficiency, defined as the total carbon emissions of the portfolio as a proportion of underlying company sales. This is a useful metric in allowing the comparison of emissions across companies of different sizes and industries. *Sum of issuers' carbon emissions / Sum of issuers' £m sales*
- **Weighted average carbon intensity** – the sum product of the constituent weights and carbon intensity. *Sum of portfolio weights * carbon intensity*

7.3 It can be seen that the energy sector (fossil fuels) accounts for only **25%** of carbon emissions within the index. A more efficient and less volatile approach to reducing carbon exposure within the portfolio would be a more holistic approach by reducing the carbon exposure throughout the whole portfolio and achieving a far more efficient implementation of the goal to reduce carbon exposure target of **50%** reduction in overall carbon emissions, than purely excluding fossil fuel companies.

fig 1. Contribution to Carbon emissions



8. Reducing the Fund's Carbon Exposure

- 8.1 Late in 2017, the pension fund was amongst the first in the country to measure and assess the level of carbon exposure in its listed equity portfolios, which identified that the investment portfolio at that time was approximately **9% below** the average.
- 8.2 In line with the WPP 'pooling' timetable in paragraph 3.7, the City & County of Swansea Pension Fund was required to transition its £0.9bn actively managed global equity assets to the WPP Global Opportunities fund managed by Russell Investments in Jan 2019. At that time, our WPP partner funds did not have a Responsible Investing policy nor a view on reducing carbon exposure within the portfolio. When the equity portfolio was re-measured in 2019, the carbon exposure was in fact **15% more** than average.
- 8.3 At the same time the fund determined to appraise the option of switching the benchmark of the £0.5bn Blackrock managed passive index tracking fund from a market cap weighted benchmark to a newly launched low carbon index. The tracking methodologies had developed sufficiently so that there was negligible tracking error from the original index, whilst delivering a portfolio with **42% less** carbon footprint than the index.
- 8.4 Following Swansea's decision to switch its passive assets to the passive low carbon index, a number of other LGPS and institutional funds invested alongside it as a seed investor. Similarly in its role in WPP, it shared its positive experiences of low carbon investing with its fellow WPP funds and subsequently Gwynedd, Torfaen and Cardiff have made the switch into the same fund, with others about to consider the same.



8.5 Later, in that year, at the Local Authority Pension Fund (LAPF) Awards, the work of the City & County of Swansea Pension Fund in this field was recognised by winning the Award for 'Best Approach to Sustainable Investing.'

8.6 The fund has also been shortlisted in the LAPF Awards 2021 for best Climate Change Investment Strategy (results TBA in Dec 2021)

8.7 As identified in 8.2, the WPP active global equities does not have a low carbon target, however WPP have since adopted a Responsible Investment Policy and constituent funds are currently appraising the reconfiguration of the portfolio to incorporate lower carbon targets. The progress of the same, however is not consistent with the timescales that the City & County of Swansea Pension Fund Committee has committed to.

8.8 To address the carbon overweight position on the WPP portfolio on an interim basis until the WPP can implement its low carbon proposals, the Deputy S151 Officer and Russell Investments have devised a programme of innovative 'Total Return Swaps' which effectively remove the carbon intensive stocks from the portfolio in a cost effective manner which was further refined by Hymans Robertson before implementation by Russell investments which effectively reduces the carbon footprint of the WPP portfolio **by 58%**

8.9 **Therefore at September 2021, at total listed equity level when the portfolio was re-measured, following the above changes, on a weighted average basis, the total carbon footprint, has been reduced by 58%, with the fund well ahead of its target of 50% reduction by 2022.**

The Pension fund Committee have now taken this opportunity to appraise setting a 'Net zero 'carbon emissions target in respect of parts/all of its investment portfolio. (see section 10 of this report)

9. Other Climate Change Risk Investments

9.1 Alongside its listed equity investments identified in 4.3, the pension fund also invests in a range of private market real asset investments. In January 2020, the fund committed £30m to the Blackrock Global Renewable Power Fund III which invests in global solar and wind farm projects, (a third iteration of the fund)

9.2 Wind and solar power currently account for 6% of global electricity generation, according to the IEA (International Energy Agency) up from 0.2% in 2000. Some countries, such as Germany and Spain, are at shares of more than 20%. In the U.S., California can source close to 30% of its power from non-

hydro renewable sources, while states such as Iowa and Kansas can exceed that proportion, according to the U.S. Energy Information Administration. As with many technologies, greater scale brings lower prices, driven here by improved wind turbines and more efficient solar panels, among other factors. Over the last ten years the global average levelized cost of electricity (LCOE) declined an estimated 83% for solar photovoltaic (PV) and 52% for onshore wind, according to BNEF (Bloomberg New Energy Finance). In many locations it is becoming cheaper to build new renewables than to continue operating old nuclear and coal plants with high marginal costs. By 2030, it is projected that new-build renewables will be less expensive than existing fossil fuel plants in most countries, if the reference case in McKinsey's *2019 Global Energy Perspective* comes to pass.

- 9.3 It is these metrics which make renewables an attractive investment to provide yield for pension funds with their sustainable long term contractual income streams which match well with the long term liabilities of the pension fund, whilst also having a material positive impact on its climate risk goals.
- 9.4 The fund has also committed capital to 2 Community /Affordable Housing Funds with Man Group and Bank of Montreal (BMO) which look to provide quality private rented accommodation/shared ownership/flex rent housing in the UK at below the prevailing market rent in the area using the recognised methodology for determining local affordability. This is not social housing but affordable housing for people/families who cannot afford market rents and do not qualify for social housing i.e. the 'squeezed middle'. The City & County of Swansea Pension Fund would be investing alongside a number of other institutional investors, therefore diversifying the investment risk. Being a 'seed' investor has enabled Swansea to request that the funds appraise opportunities to deploy capital in the Swansea area. Both MAN Group and BMO are currently undertaking due diligence on sites in the Swansea area, one of which is at late stage due diligence and aims to be a fully carbon neutral housing development.

10. Achieving Net Zero in the Fund's Investment Portfolio

- 10.1 As the necessity to address climate change and the risks it poses financially grows across the globe, many large asset owners and fund managers have made or have stated net zero targets or ambitions, including many of our strategic investment partners, Blackrock and Russell Investments.
- 10.2 As fund managers and investee companies realise the importance of being carbon/resource aware, the opportunities to invest in carbon responsible way have increased, though it is still a long way from being a 'free lunch'. However it is a quickly evolving space as asset managers look to meet increasing asset owners' demands in this regard.

"Net zero" means reaching a state of the world where there is a balance between the greenhouse gases human activity discharges into the atmosphere and the emissions that can be safely absorbed by natural processes or which are otherwise removed. Policy pathways towards net zero

will determine the nature of the climate risks faced by asset owners. Carbon emissions have rapidly increased in the last 70 years and the change required to achieve net zero is huge, and is therefore likely to be a key driver of risk and return in future.

10.3 The Deputy S 151 Officer in consultation with the Chairman of the Pension Fund Committee commissioned Hymans Robertson, the fund's appointed investment consultants to assess the implications and feasibility of the Pension Fund considering and then implementing a Net Zero ambition/target, with a view to formulating a plan and roadmap to achieve the same whilst considering all risks and mitigations.

10.4 Members of the Pension Fund Committee and The Local Pension Board participated in a workshop on the 26th October 2021 to appraise the impact of adopting a roadmap to achieve net zero and identifying appropriate timescale and plan to achieve the same.

10.5 **Evolving the Fund's climate ambitions to achieve Net Zero Carbon Target**

To date, the Fund's approach to managing climate risk has mainly related to assessing backward-looking Carbon metrics (i.e. carbon footprint), and engagement with Russell and WPP on decarbonisation has led to reduced exposure and therefore risk in this area.

- This approach has successfully mitigated climate risk associated with the heaviest-emitting carbon sectors and companies, however a more rounded approach to addressing climate risk is now appropriate as this will:

- demonstrate the Fund's proactivity in relation to RI and climate;
- lead to lower climate risk exposures; • identify forward looking opportunities; and

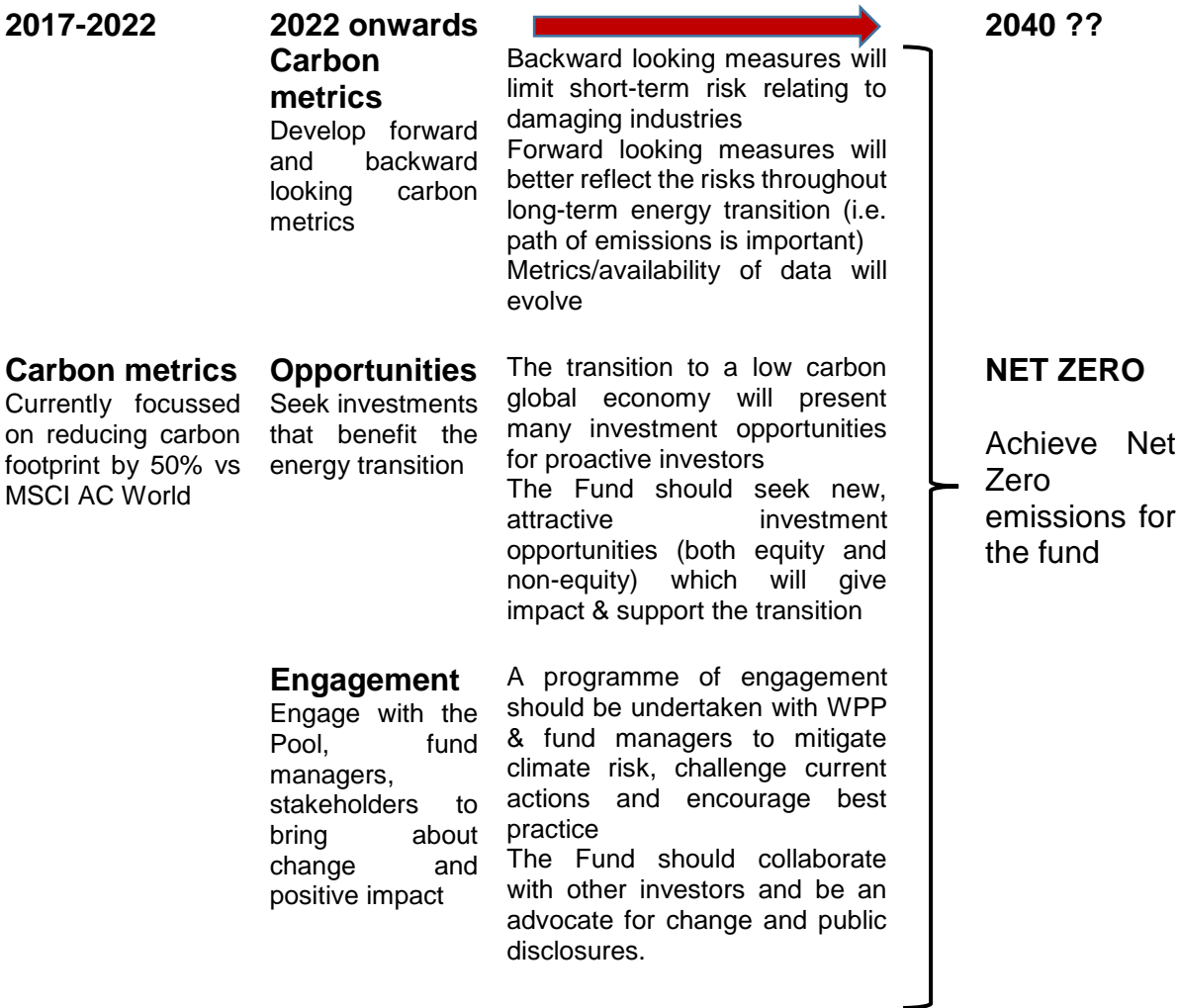
- contribute more fully towards a Carbon 'Net Zero' future.

- The development of the Fund's RI beliefs as we have suggested, will underpin the Fund's actions on climate risk.

- The climate actions of the Fund are developed across three key areas ('3-dimensions') to give greater balance between

1. Carbon and other ESG metrics (both backward and forward looking)
2. Opportunities that will benefit from the transition to a lower carbon economy
3. Engagement activities focussed on climate, and encouraging best practice amongst fund managers, investee companies and other investors

10.6 The Roadmap to Net Zero



11. Wales Pension Partnership (WPP) – Inter Authority Agreement (IAA)

11.1 As indicated in section 3.9 of this report, Swansea Council approved the original IAA in Feb 2017.

11.2 The WPP is now well established and progress is regularly reported to the Pension Fund Committee on a quarterly basis but the following highlights from its most recent annual report are:

- The WPP has now established eight investment sub-funds across Equity and Fixed Income asset classes, with further sub-funds planned for launch in 2021 and 2022
- The total value of pooled Assets under Management (AuM) totalled £9.4 billion, with an additional £5.2 billion of passive equity assets also held under a pooled arrangement;
- The City & County of Swansea Pension Fund has successfully pooled c. 84% of its assets as at 31st March 2021, placing it well ahead of its LGPS peers;

- The Governance structure of the pool is now fully operational. This includes an FCA certified operator, Link Fund Solutions, who manage the Authorised Contractual Scheme (ACS).
- In addition, several specialist advisors have been appointed to support the WPP in respect of investment management, custodial services, voting and engagement and legal services;

A suite of policy documents has also been established and published on the WPP website covering all aspects of investment, governance and risk management.

11.3 The Joint Governance Committee of the WPP have previously approved the following amendments to the IAA. The JGC approved changes are explained below:

1. Scheme Member Representative to be co-opted to JGC

- a. For some time, the JGC has collectively agreed that provision for a Scheme Member representative should be included within the IAA, allowing their appointment to the JGC in a non-voting capacity. This provision has been supported by the Scheme Advisory Board (SAB) who have raised the profile of member representation in recent years;
- b. A Scheme Member representative will be able to join the JGC as a co-opted, non-voting member. Following legal advice, it was suggested that the co-opted member provisions are changed rather than the core structure of the JGC. As such, the Scheme Member representatives are not 'members' of the JGC as far as voting and exercise of powers, however they would be entitled to see the papers, attend and speak at meetings, including on exempt items;
- c. The WPP sought specialist legal advice from Burges Salmon as to the viability and appropriateness of such a position which was subsequently agreed by the JGC in December 2020. This proposal has now been reflected within revised wording to the IAA.
- d. Following its approval, officers have been developing, in consultation with advisors and the JGC, a person specification in anticipation of advertising for a Scheme Member representative;
- e. The IAA as currently drafted does not make provision for the inclusion of a Scheme Member representative. The revised version now acknowledges the role of the Scheme Member representative for members consideration and approval.

2. Allocator appointment for the Private Market Alternatives sub-funds

- a. The WPP has now established eight sub-funds available for investment with a collective £9.4 billion AuM. However, the development of real asset sub-funds (i.e Real Estate, Infrastructure, Private Credit) also known as "Private Market

Alternatives” has proved to be more challenging than first envisaged;

- b. In contrast to listed assets such as Equities and Fixed Income the Private Market Alternatives comprise of different characteristics which make them more “bespoke” in nature. It is not as straightforward to establish a Private Markets solution which meets the needs of all constituent authorities in the same way that has been achieved on the existing sub-funds already launched;
- c. Following the receipt of professional advice, it has been agreed that a specialist “Allocator(s)” with extensive experience and knowledge of Private Market Alternatives be appointed. The JGC approved this request and it was agreed that all future appointment/terminations of the Allocator role will fall under the remit of the JGC;
- d. At the time of drafting the initial IAA, the WPP could not have anticipated the challenges noted previously in this section of the report in relation to Private Market alternatives. As the WPP has evolved and the needs have altered, so has the requirement for the role of an Allocator.

3. Minor revised changes to the IAA

- a. With the abovementioned changes requiring Council approval, the WPP decided to undertake a full review of the IAA. As a result, several minor changes have been made to align the IAA to the work carried out by the WPP;
- b. The revised changes include minor amendments to the terms of reference in relation to the role of the Officer Working Group (OWG) and the establishment of sub-groups. In addition, the review, formulation and evaluation of WPP policies is more clearly captured within the role of the OWG.

11.4 The amended WPP IAA is attached at Appendix 1 for approval by Council

12. Financial Implications

12.1 There are no direct financial implications arising from the recommendation of the report

13. Legal Implications

13.1 The proposed amendments have been appraised by appointed legal advisors to the WPP and the 8 Monitoring Officers consulted.

14. Integrated Assessment Implications

14.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, 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 Acts.
- 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.
- Deliver better outcomes for those people who experience socio-economic disadvantage.
- Consider opportunities for people to use the Welsh language.
- Treat the Welsh language no less favourably than English. - Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

The Well-being of Future Generations (Wales) Act 2005 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.

Our integrated Impact Assessment process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language

Background Papers: None

Appendices

Appendix 1 – The Wales Pension Partnership (WPP) Inter Authority Agreement (IAA)

Dated _____ 2017

Inter-Authority Agreement between

Carmarthenshire County Council	(1)
City & County of Swansea Council	(2)
City of Cardiff Council	(3)
Flintshire County Council	(4)
Gwynedd Council	(5)
Powys County Council	(6)
Rhondda Cynon Taff County Borough Council	(7)
Torfaen County Borough Council	(8)

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THIS DEED is made on
BY

2017

- (1) **CARMARTHENSHIRE COUNTY COUNCIL** of County Hall, Carmarthen, Carmarthenshire, SA31 1JP ("**Carmarthenshire Council**")
- (2) **CITY & COUNTY OF SWANSEA COUNCIL** of The Guildhall, Swansea, SA1 4PE ("**Swansea Council**")
- (3) **THE COUNTY COUNCIL OF THE CITY AND COUNTY OF CARDIFF** of County Hall, Atlantic Wharf, Cardiff, CF10 4UW ("**Cardiff Council**")
- (4) **FLINTSHIRE COUNTY COUNCIL** of Flintshire County Council, County Hall, Mold, Flintshire, CH7 6NA ("**Flintshire Council**")
- (5) **GWYNEDD COUNCIL** of Shirehall Street, Caernarfon, Gwynedd LL55 1SH ("**Gwynedd Council**")
- (6) **POWYS COUNTY COUNCIL** of County Hall, Llandrindod Wells, Powys, LD1 5LG ("**Powys Council**")
- (7) **RHONDDA CYNON TAFF COUNTY BOROUGH COUNCIL** of Rhondda Cynon Taf County Borough Council, The Pavilions, Clydach Vale, Tonypany, CF40 2XX ("**Rhondda Council**")
- (8) **TORFAEN COUNTY BOROUGH COUNCIL** of Civic Centre Pontypool Torfaen NP46YB ("**Torfaen Council**")

(together referred to as the "**Constituent Authorities**" and individually as a "**Constituent Authority**")

BACKGROUND

- (A) The Constituent Authorities are committed to the development of a formal joint committee pursuant to section 101 and section 102 of the Local Government Act 1972 to ensure the effective operation of the arrangements for asset pooling within the LGPS under a framework of strong internal governance to achieve economies of scale and improved investment infrastructure.
- (B) The Constituent Authorities are all councils responsible for the administration of local government within their areas as set out in the Local Government Act 1972. The Department for Communities and Local Government in its letter dated 23 November 2016 has confirmed that the Constituent Authorities have been granted permission for each Constituent Authority to continue to collaborate with every other Constituent Authority to form a pool of assets in respect of each of their respective funds under the LGPS.
- (C) The Constituent Authorities shall carry on the Pooling Collaboration (as defined below) under the terms of this Agreement to oversee its governance.

AGREED TERMS

1 INTERPRETATION

- 1.1 The following definitions and rules of interpretation apply in this Agreement.

Business Day means a day other than a Saturday, a Sunday or a public holiday in England when banks in London are open for business.

Business Plan has the meaning given by clause 6.

CIPFA Guidance means the guidance published in October 2016 by the Chartered Institute of Public Finance and Accountancy entitled *investment pooling governance principles for LGPS Administering Authorities*.

Commencement Date means 2017.

Constituent Authorities means the parties to this Agreement, and all other administering authorities within the LGPS who are or become parties to this Agreement at any time.

Financial Year means in the case of the first Financial Year, the period from the Commencement Date to (and including) the following 31 March. For subsequent Financial Years the period between 1 April and 31 March (inclusive) and for the last Financial Year any lesser period necessary.

Host Council means the Constituent Authority appointed in accordance with clause 7 and whose duties are described within that clause.

Investment Pool means the pooled investments (whether held in single funds, multiple sub-funds or held in alternative structures outside of a collective investment vehicle) derived from assets held by the Constituent Authorities in their capacity as administering authorities within the LGPS for the purpose of the Pooling Collaboration described by this Agreement.

Investment Regulations means the Local Government Pension Scheme (Management and Investment of Funds) Regulations 2016 (SI 2016/946).

Joint Governance Committee means the joint committee formed by this Agreement.

LGPS the Local Government Pension Scheme established pursuant to regulations made by the Secretary of State in exercise of powers under section 7 and 12 of the Superannuation Act 1972 and the provisions of the PSPA 2013.

Member in this Agreement means a member of the Joint Governance Committee appointed in accordance with clause 3.3 or their deputy appointed in accordance with clause 3.4.

Monitoring Officer means the person designated by each Constituent Authority for the purposes of section 5 of the Local Government and Housing Act 1989.

Operator means the operator of the pooled investment vehicles principally being an Authorised Contractual Scheme or “ACS” (as defined by the Operator Contract) and any other collective investment vehicle used to hold assets of the Investment Pool pursuant to the Operator Contract.

Operator Contract means the agreement between the Constituent Authorities and the Operator.

OWG means the Officers Working Group described in clause 4.

Pension Board means a local pension board or a joint local pension board within the meaning given to each phrase by regulation 106 of the Local Government Pension Scheme Regulations 2013 (SI 2013/2356) and section 5 of the PSPA 2013.

Pooling Collaboration means the arrangements for asset pooling under the Investment Pool within a framework of strong internal governance to achieve economies of scale and improved investment in infrastructure carried on by the Constituent Authorities as described by this Agreement.

Pooling Contribution means as defined in clause 10.1.

PSPA 2013 means the Public Service Pensions Act 2013.

S151 officer means the person appointed by each Constituent Authority for the purposes of section 151 of the Local Government Act 1972.

Secretary of State means the Department for Communities and Local Government or such replacement department which has responsibility for the LGPS.

Submission means the document created by the Constituent Authorities dated 15 July 2016 entitled "*Submission by the Wales Pool to the Department for Communities and Local Government (DCLG) In response to the publication in November 2015: LGPS: Investment Reform Criteria and Guidance*".

Terms of Reference means the governing framework document concerning the functions and operations of the Joint Governance Committee as set out in Schedule 4.

TUPE means the Transfer of Undertakings (Protection of Employment) Regulations 2006.

- 1.2 Clause, schedule and paragraph headings shall not affect the interpretation of this agreement.
- 1.3 A **person** includes a natural person, corporate or unincorporated body (whether or not having a separate legal personality).
- 1.4 The schedules form part of this agreement and shall have effect as if set out in full in the body of this agreement. Any reference to this agreement includes the schedules.
- 1.5 A reference to a **company** shall include any company, corporation or other body corporate, wherever and however incorporated or established.
- 1.6 Unless the context otherwise requires, words in the singular include the plural and in the plural include the singular.
- 1.7 Unless the context otherwise requires, a reference to one gender shall include a reference to the other genders.
- 1.8 A reference to a statute or statutory provision is a reference to it as amended, extended or re-enacted from time to time and includes any subordinate legislation made from time to time under it.
- 1.9 A reference to **writing** or **written** includes faxes and email.
- 1.10 Documents in **agreed form** are documents in the form agreed by the parties and initialled by them or on their behalf for identification.
- 1.11 References to clauses and schedules are to the clauses and schedules of this Agreement; references to paragraphs are to paragraphs of the relevant schedule.
- 1.12 Any words following the terms **include, including, in particular** or **for example** or any similar expression shall be construed as illustrative and shall not limit the sense of the words, description, definition, phrase or term preceding them.
- 1.13 Any obligation in this agreement on a person not to do something includes an obligation not to agree or allow that thing to be done.
- 1.14 Any reference to the title of an officer or any of the Constituent Authorities shall include any person holding such office from time to time by the same or any title substituted thereafter or such other officer of the relevant Constituent Authority as that Constituent Authority may from time to time appoint to carry out the duties of the officer referred to.

2 COMMENCEMENT AND CESSATION OF THE MEMORANDUM OF UNDERSTANDING

- 2.1 The Agreement shall commence on the Commencement Date. For the avoidance of doubt, this Agreement is only effective when each Constituent Authority has executed it and each Constituent Authority shall be of equal status with equal rights except where expressly stated otherwise and shall continue on the terms of this Agreement until the earlier of the following:
- (a) all Constituent Authorities agree in writing to its termination; or
 - (b) there is only one remaining Constituent Authority who has not exited this Agreement in accordance with clauses 21 or 22.
- 2.2 The Constituent Authorities confirm that the memorandum of understanding between them relating to *The procurement of services by the administering authorities of the local government pension scheme in Wales* shall cease to have effect from the Commencement Date.

3 FORMATION OF THE JOINT GOVERNANCE COMMITTEE

- 3.1 The Constituent Authorities by this Agreement hereby form the Joint Governance Committee pursuant to section 101(5) and 102(1) of the Local Government Act 1972 for the purposes of overseeing and reporting on the performance of the Investment Pool. The Joint Governance Committee shall not be responsible for formulating or revising the investment strategy described by regulation 7 of the Investment Regulations in respect of each or any of the Constituent Authorities.
- 3.2 Meetings of the Joint Governance Committee are subject to the provisions of the Local Government Act 1972 including the provisions on access to information and meetings held in public.
- 3.3 The membership of the Joint Governance Committee shall be one elected member nominated by each of the Constituent Authorities provided that the elected member is a member of that Constituent Authority and that Constituent Authority's pensions committee (or equivalent body) for the purposes of the Local Government Pension Scheme Regulations 2013.
- 3.4 For the purposes of clause 3.3, each Constituent Authority may appoint a named deputy who must be an elected member of the same Constituent Authority and the same Constituent Authority's pension committee (or equivalent body) for the purposes of the Local Government Pension Scheme Regulations 2013 as the Member for whom they are acting as deputy
- 3.5 The Joint Governance Committee shall undertake its role and act in accordance with the Terms of Reference set out in Schedule 4 and undertake the matters set out in Schedule 3 and shall seek and have regard to the advice of the OWG and any professional advisors appointed in carrying out its functions under this Agreement.
- 3.6 Every meeting shall be governed by the procedure and requirements set out in Schedule 6.
- 3.7 A programme of training will be provided to Members and their deputies having regard to CIPFA Guidance and the training provided to Members in their roles on their respective Constituent Authority pension committees. In order to be eligible to participate in the Joint Governance Committee Members are required to attend and complete this training within 9 months of being appointed to the Joint Governance Committee and must thereafter attend update and refresher sessions provided at intervals deemed appropriate by the Joint Governance Committee. Any failure to undertake the required training shall be a matter for consideration of the relevant Member's Constituent Authority.

4 OFFICERS WORKING GROUP

- 4.1 The Joint Governance Committee shall appoint the OWG on the following terms:
- (a) **Purpose:** the OWG shall support and advise the Joint Governance Committee on such matters as the Joint Governance Committee may reasonably request or any matters relating to the Pooling Collaboration which are raised by any Constituent Authority's Section 151 Officer or Monitoring Officer;
 - (b) **Membership:** each Constituent Authority shall nominate up to two officers employed by that Constituent Authority as its representatives on the OWG;
 - (c) **Remit:** the remit of the OWG shall be as set out in Schedule 8;
- 4.2 The OWG shall undertake its role and have regard to the Joint Governance Committee Terms of Reference .
- 4.3 Each Constituent Authority's Section 151 Officer and Monitoring Officer (or in their absence their deputies) shall, where they are not members of the OWG, have the right to attend meetings of the OWG and receive copies of any papers.

5 DECISION MAKING

- 5.1 The Constituent Authorities have identified the following two categories of decisions together with the means by which they will be taken:
- (a) **"Joint Governance Committee Matter":** means a matter, identified in Schedule 3 which is to be decided upon at a quorate meeting of the Joint Governance Committee by those present and entitled to vote and any such decision will be binding on all of the Constituent Authorities;
 - (b) **"Matters Reserved to the Constituent Authorities":** means a matter identified in Schedule 2, which will have to be referred to each Constituent Authority for decision (having regard to any recommendation to be made thereon by the Joint Governance Committee). Such matter requiring a decision shall not be dealt with by the Joint Governance Committee until the matter has been determined by all of the Constituent Authorities. If the Constituent Authorities fail to reach a unanimous decision in respect of such matter then the matter shall be referred under clause 36 (Alternative Dispute Resolution) as a dispute for resolution.

6 BUSINESS PLAN

- 6.1 The Joint Governance Committee shall, with the support of the OWG, produce a draft Business Plan to cover the medium term (being up to five years) having regard to the electoral cycle and the operational requirements of the Constituent Authorities for consultation with the Constituent Authorities. The draft Business Plan shall have regard to:
- (a) the strategic objectives of the Pooling Collaboration over the relevant Business Plan period;
 - (b) the financial budget for the relevant Business Plan period and/or any annual budget set;
 - (c) the delivery plan produced by the Operator in connection with the Investment Pool including any costs or fees proposed by the Operator or any other supplier;
 - (d) the requirements on each of the Constituent Authorities in their individual capacity as an administering authority pursuant to the Investment Regulations;

- (e) the requirements of each Constituent Authority's investment strategy;
 - (f) the advice of appropriately qualified and authorised and regulated professional advisors;
 - (g) the guidance issued from time to time by the Secretary of State as referred to in regulation 7(1) of the Investment Regulations;
 - (h) such other matters that the Constituent Authorities may consider necessary to the furtherance of the Pooling Collaboration including (subject to clause 10.2), the proposal and development of ad hoc projects.
- 6.2 Consultation on the draft Business Plan shall be carried out by the OWG (with the Operator (where appropriate) and the Constituent Authorities and such other parties as it may deem necessary) who shall report on the outcome of that consultation. The Joint Governance Committee shall hold a meeting to discuss and, having had due regard to the consultation response report and the advice of the appropriately qualified and regulated professional advisors, agree a final Business Plan which may include such revisions to the draft as the Joint Governance Committee considers appropriate.
- 6.3 Following approval by the Joint Governance Committee the Business Plan shall be sent to all Constituent Authorities for their written approval.
- 6.4 The Business Plan will be reviewed by the Joint Governance Committee and the Constituent Authorities annually. Where any revisions are agreed by the Joint Governance Committee the revised Business Plan shall be sent to all Constituent Authorities for their written approval.
- 6.5 For the avoidance of doubt, final approval of the Business Plan shall be treated as a Matter Reserved to the Constituent Authorities (as defined in clause 5).

7 HOST COUNCIL

- 7.1 The Constituent Authorities (acting severally) have agreed, with effect from the Commencement Date, that Carmarthenshire County Council will be the Host Council for the Pooling Collaboration which shall be carried out for and on behalf of itself and the Constituent Authorities and Carmarthenshire County Council agrees to act in that capacity subject to and in accordance with and to the extent provided for by the terms of this Agreement. For the avoidance of doubt the role of Host Council includes:-
- (a) to act as the employing authority for any staff engaged in the discharge of the Pooling Collaboration's functions (appointing, employing or accepting the secondment of staff) in accordance with this Agreement;
 - (b) being the point of contact for the purposes of managing the Pooling Collaboration;
 - (c) providing such administrative resources and facilities that may be necessary for the purpose of discharging the Pooling Collaboration and hold all Pooling Contributions;
 - (d) providing such governance and administrative services that may be necessary for the purpose of supporting the Pooling Collaboration including arranging and clerking of meetings;
 - (e) providing training for Members to support their role on the Joint Governance Committee in line with the training plan and in accordance with clause 3.7.
 - (f) provide appropriately qualified and experienced officers who will act as the primary legal and financial advisers to the Pooling Collaboration;

- (g) for the purposes of the Pooling Collaboration require their Section 151 Officer and Monitoring Officer (or in their absence their deputies) to undertake oversight and review of the operation of the Pooling Collaboration and decisions of the Joint Governance Committee on behalf of all of the Constituent Authorities;
 - (h) power to enter into contracts for supplies and services as required for the purposes of the Pooling Collaboration (save for entry into the Operator Contract which is governed by other provisions of this Agreement);
 - (i) liaise with the Operator on behalf of the Constituent Authorities pursuant to the terms of the Operator Contract and in the manner and to the extent set out in the Contract Management, Co-ordination and Liaison with the Operator policy and procedure to be approved in accordance with Schedule 5 and to provide any contract management and co-ordination services for the purposes of the Pooling Collaboration set out in that policy and procedure.
- 7.2 For the avoidance of doubt the duties and responsibilities of the Host Council pursuant to this Agreement shall only bind the Host Council to the extent that they have been resourced by the Constituent Authorities through this Agreement.
- 7.3 Save and except where otherwise required by law all staff employed by the Host Council pursuant to this Agreement shall be employed on the Host Council's relevant terms and conditions of employment and related staff policies including salary structures.
- 7.4 A replacement Host Council may be appointed by a majority decision of the Constituent Authorities provided that the replacement Host Council agrees.
- 7.5 If the Host Council withdraws from the Pooling Collaboration pursuant to clause 21 (Voluntary Exit) or clause 22 (Compulsory Exit) then a replacement Host Council will be appointed by a majority decision of the Constituent Authorities provided that the replacement Host Council agrees. The withdrawing Host Council will not have the right to vote in regard to any such appointment.
- 7.6 Where a replacement Host Council is appointed pursuant to Clause 7.4 or 7.5 above, any reference to Carmarthenshire County Council (in its capacity as the initial Host Council) shall be read with reference to the replacement Host Council from the effective date of the replacement.
- 7.7 Where TUPE applies in connection with the appointment of any replacement Host Council, then the Constituent Authorities shall comply with the provisions of Schedule 7.
- 7.8 For the duration of this Agreement, the Host Council shall act diligently and in good faith in all its dealings with the other Constituent Authorities.
- 7.9 For the duration of this Agreement, the Constituent Authorities shall act diligently and in good faith in all their dealings with the Host Council and shall use their reasonable endeavours to assist the Host Council to support the Pooling Collaboration.

8 OPERATOR CONTRACT

- 8.1 Each Constituent Authority shall promptly execute the Operator Contract in counterpart and return the executed counterpart to the Host Council as soon as reasonably practicable following execution. The Host Council shall as soon as reasonably practicable confirm that the Operator Contract has been duly executed by all Constituent Authorities and is in force and effect.
- 8.2 The Constituent Authorities authorise the Host Council to exercise their rights, duties and obligations pursuant to clause 7.1(i).

- 8.3 For the avoidance of doubt, any allocation of liability arising under the Operator Contract shall be apportioned between the Constituent Authorities pursuant to the terms of the Operator Contract and/or clause 10 (as appropriate).

9 LIABILITIES AND INDEMNITIES FOR THE HOST COUNCIL

- 9.1 Nothing in this Agreement will make the Host Council liable in respect of anything done or omitted to be done by a Constituent Authority up to the Commencement Date.
- 9.2 The Host Council shall be indemnified from and against all liabilities, costs, expenses, damages and losses (including but not limited to any direct, indirect or consequential loss, loss of profit, loss of reputation and all interest, penalties and legal costs (calculated on a full indemnity basis) and all other reasonable costs and expenses) arising from the performance of its functions authorised pursuant to clause 7 save in the case of its wilful default or fraud.

10 COMMITMENT OF THE CONSTITUENT AUTHORITIES AND CONTRIBUTIONS

- 10.1 Subject to clause 10.2, the Constituent Authorities agree to pay the contributions, which shall be calculated equally, of the estimated governance, procurement and administration costs included within the Business Plan or additional expenditure later required as part of any revised estimated governance, procurement and administration costs contemplated by the Business Plan (the "**Pooling Contributions**") except where the Business Plan provides otherwise.
- 10.2 The Constituent Authorities shall meet the costs of ad hoc projects to which they are a party equally between the Constituent Authorities who are parties only and any non-participating Constituent Authorities shall not be liable for any proportion of such costs.
- 10.3 The Constituent Authorities agree to pay the Pooling Contributions to the Host Council on such dates, and at such frequency, as is determined by the Business Plan. Any costs incurred prior to the approval of the Business Plan shall be payable on being invoiced by the Host Council.
- 10.4 All Pooling Contributions shall be made by way of payment to the bank account notified to the Constituent Authorities by the Host Council for the purposes of the Pooling Collaboration. The Host Council shall maintain a separate account or accounts as appropriate for all monies received or expended in connection with the Pooling Collaboration in a manner which complies with their accounting arrangements.
- 10.5 Following the termination of this Agreement, once the costs of the Host Council have been met, the sum standing to the credit of the account or accounts in which Pooling Collaboration funds are held shall be returned to the then remaining Constituent Authorities in the proportions in which they were originally contributed.
- 10.6 Following the termination of this Agreement, where any further contribution is required, or repayments are to be made, the Constituent Authorities shall decide the following:
- (a) the total amount;
 - (b) the apportionment of such contribution or repayment between the Constituent Authorities; and
 - (c) the form of such contribution or repayment.

In the absence of any agreement to the contrary, such contributions or repayments shall be by or to all of the Constituent Authorities equally.

- 10.7 For the avoidance of doubt, any charges incurred in respect of investment management of the Investment Pool shall be attributed to each Constituent Authority by reference to the assets under management for that Constituent Authority and the investment management charges applicable to each sub-fund (or assets held in any alternative

investment structure), are not determined by this Agreement. The liability of each Constituent Authority to meet the fees of the Operator shall be determined by the Operator Contract and not this Agreement.

11 ACCOUNTS

- 11.1 The Host Council shall keep proper books of account (which expression shall include any computerised accounting system for the time being used by the Pooling Collaboration) and shall be responsible for ensuring that full and proper entries of all receipts and payments are promptly recorded in them. The books of account shall be kept at the premises of the Host Council and be made available for inspection by all of the Constituent Authorities (who may also take copies). The Host Council shall make available on reasonable request such information as is required by any Constituent Authority to prepare their own accounts or respond to any internal or external audit.
- 11.2 The Host Council shall ensure that the contributions and payments made by each Constituent Authority shall be held in an account in the name of the Host Council which does not breach regulation 6 of the Investment Regulations.
- 11.3 The Host Council shall prepare annual accounts in relation to each Financial Year for the Pooling Collaboration in accordance with the appropriate code of practice on accounting and the regulations which relate to accounting and audit as applicable to local authorities by no later than 31 May in the following Financial Year.
- 11.4 The Host Council shall be responsible for ensuring that the accounts relating to the Pooling Collaboration are audited where and when required by law or other competent authority and shall make copies of the audited accounts available to all of the Constituent Authorities
- 11.5 The Joint Governance Committee may hold a reserve of funds for the purposes of meeting the costs of the Pooling Collaboration. Where the reserve exceeds 40% of the budget for the forthcoming year then the amount by which the reserve exceeds that sum may be repaid to the Constituent Authorities and such repayment shall be in proportion to the total amount contributed by each unless the Joint Governance Committee decides to the contrary.

12 INVESTMENT MANAGEMENT COSTS

- 12.1 In accordance with clause 10.7, each Constituent Authority shall bear its own costs in respect of investment management they incur or expect to incur in the Pooling Collaboration which shall include all transition costs for the investment and disinvestment of assets.

13 INTELLECTUAL PROPERTY

- 13.1 Any intellectual property developed by any Constituent Authority for the purposes of the Pooling Collaboration shall be retained by the Constituent Authorities and each Constituent Authority will grant all of the other Constituent Authorities a non-exclusive, perpetual, non-transferable and royalty free licence to use, modify amend and develop it for the purpose of the Pooling Collaboration whether or not the Constituent Authority granting the licence remains a party to this Agreement. All costs and expenses relating to such intellectual property shall be borne by the Constituent Authorities and the other Constituent Authorities shall indemnify the Constituent Authority or Constituent Authorities in whom such property is vested against all liabilities that may arise directly or indirectly in respect of the use of it.

14 REPORTS

- 14.1 The Joint Governance Committee shall oversee the Pooling Collaboration and ensure that it is provided in accordance with the Business Plan.
- 14.2 To ensure that the Constituent Authorities are kept up-to-date with the performance of the Pooling Collaboration, the Joint Governance Committee shall report quarterly and annually to the Constituent Authorities with progress measured against the Business Plan and the objectives of the Investment Pool.

15 INSURANCE

- 15.1 Where the operation of the Pooling Collaboration is not covered by any existing insurance of the Constituent Authorities, the Host Council shall effect and at all times keep in force (for the benefit of the Members of the Joint Governance Committee and the officers appointed to the OWG) such policies of insurance for such amounts as it shall decide. Such policies shall be maintained at the expense of the Constituent Authorities and shall be an administration cost of this Pooling Collaboration for the purposes of clause 10.1.

16 DUTIES AND POWER

Each Constituent Authority shall at all times:

- (a) use its reasonable skills and endeavours to promote and carry on the Pooling Collaboration for the benefit of the Constituent Authorities, and conduct itself in a proper and responsible manner;
 - (b) devote such time and attention as the Constituent Authorities may decide in writing to be necessary and appropriate to the Pooling Collaboration;
 - (c) comply with all legislation, regulations, professional standards and other provisions as may govern the conduct of the Pooling Collaboration, or be determined by the Constituent Authorities as standards to be voluntarily applied to the Pooling Collaboration;
 - (d) show the utmost good faith to the other Constituent Authorities in all transactions relating to the Pooling Collaboration and give them a true account of, and full information about, all things affecting the Pooling Collaboration;
 - (e) inform the Constituent Authorities without delay on becoming party to any legal proceedings in connection with the Pooling Collaboration;
 - (f) punctually pay and discharge its present and future debts and financial obligations;
 - (g) shall not do or fail to do anything which shall bring any of the other Constituent Authorities, or itself, into disrepute;
 - (h) obtain all necessary consents sufficient to carry on their duties to the Pooling Collaboration.
- 16.2 No action which would otherwise be a breach of this clause shall constitute a breach where the Constituent Authority was required to carry out that action in compliance with a statutory duty or order of any court, tribunal or ombudsman.

17 DELEGATION

- 17.1 Prior to the commencement of the Pooling Collaboration the Constituent Authorities shall put in place such authorisations as are required within their internal governance arrangements to:

- (a) delegate the making of the decisions set out in Schedule 3 (Joint Governance Committee Matters) to the Joint Governance Committee;
 - (b) delegate any other matter which is required to comply with the obligations of this Pooling Collaboration, including delegations to its own officers and to the Host Council where required.
- 17.2 The Constituent Authorities shall review and where necessary amend their delegations throughout the duration of the Pooling Collaboration to ensure that they can comply with the provisions of this Agreement.
- 17.3 The Joint Governance Committee may appoint contractors or agents to undertake tasks, advise on or support the implementation of its functions.

18 OBLIGATIONS ON CONSTITUENT AUTHORITIES

- 18.1 Without prejudice to the terms of this Agreement, the Constituent Authorities, on an individual basis, commit to the implementation of the Pooling Collaboration consistently with the Submission (subject to any variation agreed by the Constituent Authorities) and to use their reasonable endeavours to ensure the success of the Pooling Collaboration.
- 18.2 Nothing in this Agreement shall fetter the discretion of each Constituent Authority to formulate and revise an investment strategy appropriate for their fund within the LGPS pursuant to regulation 7 of the Investment Regulations.
- 18.3 It is acknowledged and agreed that the obligations and liabilities of each Constituent Authority shall bind any successor authority in the event of any local government re-organisation.

19 INDEMNITY

- 19.1 Subject to clause 8.3, any Constituent Authority who is in material breach of any of the provisions of this Agreement shall indemnify the other Constituent Authorities from and against all liabilities, costs, expenses, damages and losses, (including but not limited to any direct, indirect or consequential loss, loss of profit, loss of reputation and all interest, penalties and legal costs (calculated on a full indemnity basis) and all other reasonable costs and expenses) resulting from that breach, without prejudice to any other right or remedy of the other Constituent Authorities howsoever arising.

20 POLICIES AND PROCEDURES

- 20.1 The Joint Governance Committee shall prepare, maintain and adhere to the policies and procedures which are listed in Schedule 5 and any further policies and procedures which the Joint Governance Committee decides are appropriate, in accordance with applicable law and regulation, competent authority, and CIPFA Guidance, and having had regard to applicable guidance specific to local government management of funds or accounting and auditing requirements. The Joint Governance Committee shall provide them to the Constituent Authorities and OWG and provide them to sub-delegates and other necessary parties with the aim of achieving uniformity and efficiency in operating practices.
- 20.2 Where any policy or procedure provided for under this Agreement requires the Constituent Authorities to address or copy any communication or similar to any contract management or co-ordination function the Joint Governance Committee will advise the Constituent Authorities of that requirement in writing. As of the date of receipt of an advisory under this clause the Constituent Authorities shall address or copy any communication as advised.

21 VOLUNTARY EXIT

- 21.1 Any Constituent Authority (the "**VE Authority**") may exit from the Pooling Collaboration by giving not less than 18 (eighteen) months' written notice to the Host Council of its

intention to exit the Pooling Collaboration and the date of expiration of that notice is the 31 March which next falls after or is coincident with the end of the 18 (eighteen) month notice period provided that the Constituent Authorities may agree with the VE Authority that a different notice period applies (the "**Exit Date**").

- 21.2 A VE Authority may exit the Pooling Collaboration and be released from its obligations under this Agreement (other than clause 23) provided that:
- (a) it has satisfied all of its obligations up to the Exit Date;
 - (b) it has satisfied its share of the costs and expenses up to the Exit Date, as well as any necessary costs and expenses to facilitate the exit whether or not incurred after the Exit Date;
 - (c) subject to clause 21.5 below, it redeems all of its investments from the Investment Pool;
 - (d) its representatives on the Joint Governance Committee and the OWG resign on or before the Exit Date.
- 21.3 With effect from the date of the notice given by the VE Authority pursuant to clause 21.1 the Member (and any nominated deputy for the purposes of clause 3.4) nominated by the VE Authority for the purposes of clause 3.3 shall cease to have any voting rights for the purposes of the Joint Governance Committee and the VE Authority shall cease to be a Constituent Authority.
- 21.4 For the avoidance of doubt, the VE Authority shall remain liable to make the Pooling Contributions which are due prior to the Exit Date.
- 21.5 The Constituent Authorities recognise that there may be circumstances where the VE Authority may not be able to redeem all of its assets from the Investment Pool due to the nature of a particular investment (for example where an investment is illiquid or redeeming the asset would be in breach of contract) (the "**Retained Asset(s)**") provided that the Constituent Authorities and the VE Authority shall work together in good faith to redeem the Retained Asset(s) as soon as reasonably practicable. In such circumstances the VE Authority shall continue to make Pooling Contributions after the Exit Date until all of the Retained Asset(s) are redeemed from the Investment Pool. The Pooling Contributions shall be determined by the Business Plan which shall have regard to the relative value of the Retained Assets when compared to the assets applicable to the Constituent Authorities in the Investment Pool.

22 COMPULSORY EXIT

- 22.1 The Constituent Authorities (other than the CE Authority) may by majority decision compulsorily require any Constituent Authority (the "**CE Authority**") to leave the Pooling Collaboration, by the Host Council (or in the case of the Host Council being the CE Authority, any other Constituent Authority) giving the CE Authority written notice if the CE Authority:
- (a) commits any serious breach or persistent breaches of this Agreement;
 - (b) fails to pay any money owing by it to the Host Council within 28 (twenty-eight) days of a written request for payment from the Host Council;
 - (c) fails to account for, or pay over or refund any money received and belonging to the Constituent Authorities within 28 (twenty-eight) days after being so required by notice from the Host Council;
 - (d) wilfully neglects, refuses or omits to perform its duties, obligations and responsibilities under this Agreement; or

- (e) is guilty of conduct which, in the reasonable opinion of the other Constituent Authorities, is likely to have a serious adverse effect on the Pooling Collaboration;

provided that in each case the CE Authority is first given 28 days following receipt of the written notice to remedy the breach or issue described in paragraphs (a) to (e) and the CE Authority has failed to remedy such breach or issue or to take reasonable steps to do so.

- 22.2 The effective date of the CE Authority being required to leave the Pooling Collaboration is the 31 March which next falls after or is coincident with the period of 18 (eighteen) month after the notice given in clause 22.1 above provided that the other Constituent Authorities may notify the CE Authority that a different notice period applies (the "**Compulsory Exit Date**").
- 22.3 The CE Authority shall exit the Pooling Collaboration from the Compulsory Exit Date and must prior to the Compulsory Exit Date:
 - (a) have satisfied all of its obligations up to the Compulsory Exit Date;
 - (b) have satisfied its share of the costs and expenses up to the Compulsory Exit Date, as well as any necessary costs and expenses to facilitate the exit whether or not incurred after the Compulsory Exit Date.
 - (c) subject to the same circumstances in clause 21.5, it redeems all of its investments from the Investment Pool;
 - (d) its representatives on the Joint Governance Committee and the OWG resign on or before the Compulsory Exit Date.
- 22.4 With effect from the date of the notice given by the Host Council to the CE Authority pursuant to clause 22.1 the Member (and any nominated deputy for the purposes of clause 3.4) nominated by the CE Authority for the purposes of clause 3.3 shall cease to have any voting rights for the purposes of the Joint Governance Committee and shall cease to be a Constituent Authority.
- 22.5 For the avoidance of doubt, the CE Authority shall remain liable to make the Pooling Contributions which are due prior to the Compulsory Exit Date and liable to the continuing liability provisions of clause 23.
- 22.6 The Constituent Authorities recognise that there may be circumstances where the CE Authority may not be able to redeem the Retained Asset(s) provided that the Constituent Authorities and the CE Authority shall work together in good faith to redeem the Retained Asset(s) as soon as reasonably practicable. In such circumstances the CE Authority shall continue to make Pooling Contributions after the Compulsory Exit Date until all of the Retained Asset(s) are redeemed from the Investment Pool. The Pooling Contributions shall be determined by the Business Plan which shall have regard to the relative value of the Retained Asset(s) when compared to the assets applicable to the Constituent Authorities in the Investment Pool.

23 FURTHER PROVISIONS RELATING TO A VE AUTHORITY OR A CE AUTHORITY

- 23.1 When any Constituent Authority ceases to be a Constituent Authority by virtue of being a VE Authority or a CE Authority, the continuing Constituent Authorities shall publish notice of the change in the Pooling Collaboration and shall give notice in writing of the change in the Pooling Collaboration to all third parties who have in the last 12 (twelve) months had any dealings with the Pooling Collaboration (as advised by the Host Council and whether as suppliers to the Host Council or as clients or customers of it).
- 23.2 The VE Authority or CE Authority (as applicable) irrevocably agree and undertake to execute and deliver within 5 working days of request all deeds and documents and to do all acts and things necessary to give effect to the terms of this Agreement and for

vesting in the continuing Constituent Authorities the full benefit of the assets, rights and benefits to be transferred to the continuing Constituent Authorities under this Agreement.

Continuing liability

- 23.3 Where any Constituent Authority exits from this Agreement in accordance with Clause 21 or 22 they shall remain liable to the extent they would have been were they still party to this Agreement for any acts, omissions, costs and expenses arising from acts taken or decisions made during the period in which that Constituent Authority was a party to this Agreement.
- 23.4 Any Constituent Authority who enters this Agreement after the Commencement Date shall have liability for any acts, omissions, costs and expenses arising from acts taken or decisions made from the date of their entry only.

24 NEW CONSTITUENT AUTHORITY

- 24.1 The Constituent Authorities shall consider applications from other administering authorities of funds within the LGPS to join the Pooling Collaboration (a "**New Member Application**").
- 24.2 A New Member Application will be considered on the merits of its business case and the conditions which the Constituent Authorities consider appropriate from time to time.
- 24.3 A New Member Application will only be approved by the Constituent Authorities at their absolute discretion and, subject to regulation 8 of the Investment Regulations, there shall be no obligation under the terms of this Agreement for a New Member Application to be accepted.

25 CONFIDENTIALITY

- 25.1 For the purposes of this Agreement, **Confidential Information** means, any information which has been certified as exempt information in accordance with Section 100I of the Local Government Act 1972 and all confidential information (however recorded or preserved) disclosed by a Constituent Authority or its representatives or advisers to another Constituent Authority and his representatives or advisers (except where by law the information cannot be retained as confidential) concerning:
- (a) any information relating to the prospective business, technical processes, computer software or intellectual property rights of the Pooling Collaboration;
 - (b) all documents, papers and property that may have been made or prepared by, or at the request of, any Constituent Authority and which are marked as being exempt information or confidential and which come into any Constituent Authority's possession or under its control in the course of the Pooling Collaboration; and
 - (c) compilations of two or more items of such information and all information that has been, or may be, derived or obtained from any such information which, at any time, comes into any Constituent Authority's possession or under its control in the course of the Pooling Collaboration and which the Pooling Collaboration regards or could reasonably be expected to regard as confidential, whether or not such information is, in itself, confidential, marked as "confidential" or reduced to tangible form.
- 25.2 Save as provided otherwise in this agreement either expressly or by implication, each Constituent Authority undertakes that it shall not, at any time, disclose to any person any Confidential Information of the other Constituent Authorities and shall use its reasonable endeavours to keep all Confidential Information of the other Constituent Authorities confidential (whether it is marked as such or not) except as permitted by clause 25.3.

- 25.3 Each Constituent Authority may disclose the other Constituent Authority's Confidential Information:
- (a) to its representatives or advisers who need to know such information for the purposes of carrying out the Constituent Authority's obligations under or in connection with this Agreement. Each Constituent Authority shall ensure that its representatives or advisers to whom it discloses the other Constituent Authority's Confidential Information comply with this clause.
 - (b) as may be required by law, a court of competent jurisdiction or any governmental or regulatory authority including an ombudsman.

26 PENSIONS

- 26.1 The Constituent Authorities are scheduled employers in the LGPS. The employees employed by the Host Council in the Pooling Collaboration will be active members of the LGPS from and including the Commencement Date or later date of commencement of employment subject to the Local Government Pension Scheme Regulations 2013.

27 FREEDOM OF INFORMATION

- 27.1 Each Constituent Authority acknowledges that the other Constituent Authorities and the Joint Governance Committee are subject to the requirements of the Freedom of Information Act 2000 ("**FoIA**") and each Constituent Authority shall where reasonable assist and co-operate with the other Constituent Authorities (at their own expense) to enable the other Constituent Authorities to comply with these information disclosure obligations.

- 27.2 Where a Constituent Authority receives a request for information under the FoIA in relation to information which it is holding on behalf of any of the other Constituent Authorities in relation to the Pooling Collaboration, it shall:

- (a) transfer the request for information to the other Constituent Authorities as soon as practicable after receipt and in any event within 2 (two) Business Days of receiving a request for information;
- (b) provide the other Constituent Authorities with a copy of all information in its possession or power in the form that the Constituent Authorities reasonably require within 10 (ten) Business Days (or such longer period as the Constituent Authorities may specify) of the Constituent Authority requesting that information; and
- (c) provide all necessary assistance as reasonably requested by the other Constituent Authorities to enable the Constituent Authority to respond to a request for information within the time for compliance set out in the FoIA.

- 27.3 Where a Constituent Authority receives a request for information under the FoIA which relates to this Agreement or the Pooling Collaboration it shall;

- (a) advise the person making the request that the information is held by another public authority being the Joint Governance Committee and that the request has been passed to that public authority to respond;
- (b) transfer the request for information to the Host Council on behalf of the Joint Governance Committee as soon as practicable after receipt and in any event within 2 (two) Business Days of receiving a request for information;
- (c) provide the Host Council with a copy of all information in its possession or power in the form that the Host Council reasonably require within 10 (ten) Business Days (or such longer period as the Constituent Authorities may specify) of the Constituent Authority requesting that information; and

- (d) provide all necessary assistance as reasonably requested by the Host Council to enable the Host Council to respond to a request for information on behalf of the Joint Governance Committee within the time for compliance set out in the FoIA.
- 27.4 The Constituent Authorities or the Host Council shall be responsible for determining in their absolute discretion whether any information requested under the FoIA:
- (a) is exempt from disclosure under the FoIA;
 - (b) is to be disclosed in response to a request for information.
- 27.5 Each Constituent Authority acknowledges that the other Constituent Authorities and the Joint Governance Committee may be obliged under the FoIA to disclose information:
- (a) without consulting with the other Constituent Authorities where it has not been practicable to achieve such consultation; or
 - (b) following consultation with the other Constituent Authorities and having taken their views into account.

28 DATA PROTECTION

- 28.1 The Constituent Authorities shall comply with the Data Protection Act 1998.

29 DISSOLUTION

- 29.1 No Constituent Authority shall be capable of dissolving the Pooling Collaboration unilaterally by means of a notice.
- 29.2 The Pooling Collaboration and this Agreement shall be terminated upon the unanimous agreement of all of the Constituent Authorities.
- 29.3 Each Constituent Authority shall act in good faith in the wind up of the Pooling Collaboration following the unanimous decision to dissolve as soon as reasonably practicable thereafter, and all costs and expenses shall be borne equally by the Constituent Authorities.

30 ENTIRE AGREEMENT

- 30.1 This Agreement constitutes the entire agreement between the parties and supersedes and extinguishes all previous agreements, promises, assurances, warranties, representations and understandings between them, whether written or oral, relating to its subject matter.
- 30.2 Each Constituent Authority acknowledges that, in entering into this Agreement it does not rely on, and shall have no remedies in respect of, any statement, representation, assurance or warranty (whether made innocently or negligently) that is not set out in this agreement.
- 30.3 Each Constituent Authority agrees that it shall have no claim for innocent or negligent misrepresentation (or negligent misstatement) based on any statement in this agreement.
- 30.4 Nothing in this clause shall limit or exclude any liability for fraud.

31 NOTICES

- 31.1 Any notice, demand or communication in connection with this Agreement will be in writing and may be delivered by hand, post, facsimile or email addressed to the recipient as set out in Schedule 1 or any other address notified to the other party in writing in accordance with this clause as an address to which notices, invoices and

other documents may be sent. The notice, demand or communication will be deemed to have been duly served:

- (a) if delivered by hand during business hours, at the time of delivery;
- (b) if delivered by post, 48 hours after being posted (excluding Saturdays, Sundays and public holidays);
- (c) if delivered by facsimile during business hours, at the time of transmission, provided that a confirming copy is sent by first class post to the other party within 24 hours after transmission; or
- (d) if delivered by email or other electronic form of communication during business hours, at the time of transmission provided that a confirming copy is sent by first class post to the other party within 24 hours after transmission.

31.2 Where notice is served by hand, facsimile or email outside business hours, it will be deemed to have been served on the next business day.

32 CONTRACTS (THIRD PARTY RIGHTS)

32.1 The Constituent Authorities as parties to this Agreement do not wish that any of its terms to be enforceable by virtue of the Contract (Rights of Third Parties) Act 1999 by any person not a party to this Agreement.

33 SEVERANCE

33.1 If any provision or part-provision of this Agreement is or becomes invalid, illegal or unenforceable, it shall be modified to the minimum extent necessary to make it valid, legal and enforceable. If such modification is not possible, the relevant provision or part-provision shall be deemed deleted. Any modification to or deletion of a provision of part-provision under this clause shall not affect the validity and enforceability of the rest of this Agreement.

33.2 If one Constituent Authority gives notice to the other Constituent Authorities of the possibility that any provision or part-provision of this Agreement is invalid, illegal or unenforceable, the Constituent Authorities shall negotiate in good faith to amend such provision so that, as amended, it is legal, valid and enforceable, and, to the greatest extent possible, achieves the intended result of the original provision.

34 AMENDMENTS

34.1 No amendment to this Agreement shall be binding unless it is in writing and signed by a duly authorised representative of each of the Constituent Authorities and expressed to be for the purpose of such amendment.

35 GOVERNING LAW AND JURISDICTION

35.1 This agreement and any dispute or claim (including non-contractual disputes or claims) arising out of or in connection with it or its subject matter or formation shall be governed by and construed in accordance with the law of England and Wales as it applies in Wales.

35.2 Each party irrevocably agrees that the courts of England and Wales have exclusive jurisdiction to settle any dispute or claim (including non-contractual disputes or claims) arising out of or in connection with this agreement, its subject matter or formation.

36 ALTERNATIVE DISPUTE RESOLUTION

36.1 The Constituent Authorities agree:

- (a) to pursue a positive approach towards dispute resolution with an objective of reaching a consensus without formal dispute resolution and/or legal

proceedings and maintaining a strong working relationship between the Constituent Authorities;

- (b) that any dispute between the Constituent Authorities in relation to matters covered by this Agreement will be referred to in the first instance to the Chief Executives of the Constituent Authorities who may, at their sole discretion, delegate the dispute to the appropriate senior officer within 10 Business Days of written notice of the dispute;
- (c) that if the Chief Executives or their delegates are not able to resolve the dispute within 5 Business Days of meeting or there is disagreement over a Member matter, then any Member may refer the matter to a mediation facilitated by the Welsh Local Government Association or to a suitably qualified and independent person, as recommended by the Chief Executives and the Constituent Authorities agree;
- (d) that where any dispute is agreed to be of a legal or technical nature the parties to the dispute may (but not must) jointly take the opinion of an appropriate expert including opinion of senior legal counsel where appropriate. Such expert opinion must be instructed through the OWG and be instructed within 10 days of referral to Chief Executives under sub-clause (b) following which the opinion should be delivered within a further 10 days unless the nature and/or details of the dispute or opinion dictate that an alternative timeframe needs to be followed.
- (e) that, if after exhausting other methods of dispute resolution, one of the Constituent Authorities commences legal proceedings then this will be subject to the exclusive jurisdiction of the Courts of England and Wales.

All costs are borne equally between the Constituent Authorities which are party to the dispute unless agreed otherwise by the Joint Governance Committee or ordered by the Courts.

37 COUNTERPARTS

- 37.1 This Agreement may be executed in any number of counterparts by the Constituent Authorities, all of which taken together, shall constitute one and the same Agreement, and any Constituent Authority (including any duly authorised representative of a Constituent Authority) may execute this Agreement by executing a counterpart.

Schedule 1

Contact Details

Council name	Address	Contact details
Carmarthenshire County Council	County Hall Carmarthen Carmarthenshire SA31 1JP	Chris Moore s. 151 Officer Tel: 01267 224160 e-mail: CMoore@carmarthenshire.gov.uk ; Linda Rees-Jones Monitoring Officer Tel. 01267 224010 e-mail: LRJones@carmarthenshire.gov.uk
City & County of Swansea Council	The Guildhall Swansea SA1 4PE	Ben Smith S151 Officer Tel: 01792 636409 e-mail: ben.smith@swansea.gov.uk Jeff Dong Chief Treasury & Technical Officer Tel: 01792 636934 E-mail: Jeffrey.dong@swansea.gov.uk Tracey Meredith Monitoring Officer Tel: 01792 636621 e-mail: tracey.meredith@swansea.gov.uk
City of Cardiff Council	County Hall Atlantic Wharf Cardiff CF10 4UW	Gareth Henson Pension Manager Tel. 02920 872975 e-mail: g.henson@cardiff.gov.uk Christine Salter Corporate Director Resources and Section 151 Officer Tel: 02920 872300 email: c.salter@cardiff.gov.uk Davina Fiore Director of Legal, Governance and Monitoring Officer, Tel: 02920 873860 email: Davina.fiore@cardiff.gov.uk
Flintshire County Council	County Hall Mold Flintshire CH7 6NA	Philip Latham Clwyd Pension Fund Manager Tel: 01352 702264 e-mail: Philip.latham@flintshire.gov.uk Gareth Owens Chief Officer (Governance) Tel:01352 702344 e-mail: Gareth.legal@flintshire.gov.uk

Council name	Address	Contact details
Gwynedd Council	Shirehall Street Caernarfon Gwynedd LL55 1SH	Dafydd L Edwards Head of Finance and Section 151 Officer Tel number: 01286 682668 e-mail: dafyddle@gwynedd.llyw.cymru Iwan G D Evans Head of Legal Services and Monitoring Officer, Tel: 01286679015 e-mail: iwangdevans@gwynedd.llyw.cymru
Powys County Council	County Hall Llandrindod Wells Powys LD1 5LG	David Powell Strategic Director Resources Tel No: 01597 826729 email: david.powell@powys.gov.uk Clive Pinney Solicitor to the Council Tel No: 01597 826746 email: clive.pinney@powys.gov.uk Joe Rollin Pension Fund Manager Tel No: 01597 827641 email: joe.rollin@powys.gov.uk
Rhondda Cynon Taff County Borough	The Pavilions Clydach Vale Tonypany CF40 2XX	Chris Lee Deputy Chief Executive and Section 151 Officer Tel: 01443 424026 and e-mail: Christopher.d.lee@rctcbc.gov.uk Chris Jones Director of Legal & Democratic Services and Monitoring Officer Tel: 01443 424105 e-mail: chris.b.jones@rctcbc.gov.uk
Torfaen County Borough Council	Civic Centre Pontypool Torfaen NP46YB	Nigel Aurelius Assistant Chief Executive Officer and Section 151 Officer, Tel: 01495 742623 and e-mail: Nigel.Aurelius@torfaen.gov.uk . Graeme Russell, Head of Human Resources and Pensions Tel: 01495 742625, e-mail: Graeme.Russell@torfaen.gov.uk Delyth Harries, Interim Monitoring Officer Tel: 01495 742652 and e-mail: Delyth.Harries@torfaen.gov.uk

Schedule 2

Matters Reserved to the Constituent Authorities

- 1 Appointment, termination or replacement of the Operator following the making of a recommendation by the Joint Governance Committee.
- 2 Approval of additional expenditure not included within the Business Plan which exceeds 30 % of the approved budget in the Business Plan in any one Financial Year.
- 3 Formulation, approval or revisions of each respective Constituent Authority's investment strategy for the purposes of regulation 7 of the Investment Regulations.
- 4 Admitting a new administering authority within the LGPS to the Investment Pool as a Constituent Authority (pursuant to clause 24).
- 5 Amendment of this Agreement (pursuant to clause 34).
- 6 Termination of this Agreement (pursuant to clause 29).
- 7 Material change to the nature of the Operator Contract.
8. Approval of the initial strategic objectives to allow preparation of the first Business Plan (which objectives shall reflect the objectives set out in the procurement of the Operator).
- 9 Approval of any evaluation or scoring criteria for any procurement of a replacement Operator.
- 10 Approval of the Business Plan which shall include approval of the ongoing strategic objectives of the Investment Pool.
11. Determination of the timing of the transition of the assets held by the LGPS fund for which they are an administering authority into the Pooling Collaboration and the funds or sub-funds operated by the Operator.

Schedule 3

Joint Governance Committee Matters

Subject to the terms of the Agreement, the Joint Governance Committee shall undertake those matters which are not Matters Reserved to the Constituent Authorities which shall include (without prejudice to the generality of the foregoing):

- 1 Making a recommendation on the appointment, replacement or termination of the Operator to the Constituent Authorities.
- 2 Appointing and replacing service providers, advisers to the Joint Governance Committee (other than the Operator).
- 3 Approving the creation of new pooled vehicles for the Operator.
- 4 Approving the creation of new sub-funds provided by the Operator.
- 5 Approving the termination of sub-funds provided by the Operator.
- 6 Preparing a plan relating to the overall transition of assets in accordance with each Constituent Authority's asset transition plan.
- 7 Approving changes to the Operator Contract which are not material changes to the nature of the Operator Contract.
- 8 Dealing with the necessary general ongoing management of the Pooling Collaboration.
- 9 Delegation of tasks to the OWG, including the preparation of reports and draft documents and the undertaking of consultations.
- 10 Liaison with Pension Boards as appropriate in line with CIPFA Guidance, guidance issued by the Pensions Regulator and other applicable legislation or regulatory guidance.
11. Determining the best means of alternative investment structures for assets where a sub-fund is not being provided by the Operator.

Notwithstanding the above, for the avoidance of doubt, the Joint Governance Committee may not delegate its responsibilities.

Schedule 4

Joint Governance Committee - Terms of Reference

The Joint Governance Committee responsibilities are:

- Making recommendations to the Constituent Authorities on the termination of the Operator Contract before the conclusion of the fixed term contract, where the performance of the Operator is considered unacceptable;
- Ensuring that there are an appropriate range of sub-funds available in order to allow the Constituent Authorities to meet their strategic investment aims. Following representation from any, some or all of the Constituent Authorities, the Joint Governance Committee may request the Operator to set up a sub-fund in a particular asset class. The Joint Governance Committee must be mindful at all times of the need to balance the requirement to provide a particular sub-fund with the benefits of holding aggregated assets;
- Monitoring the performance of the Operator against the agreed set of key performance indicators;
- Reporting on the performance of the Investment Pool, its costs and other activities, but not limited to, the Constituent Authorities, government, the Scheme Advisory Board and the general public;
- From time to time, to review the appropriateness of the existing structures, including the number and make-up of sub-funds and to make recommendations to the Constituent Authorities as to the respective merits of procuring Operator services by means of a third party or through ownership by the Constituent Authorities of the Operator;
- Liaising with the Operator, in such areas as the Operator seeks the preferences and views of the Joint Governance Committee, on the appointment of suppliers, for example manager preferences or the appointment of depositories;
- Liaising with the Constituent Authorities on the appropriate range of sub-funds to be provided in the Investment Pool;
- From time to time reviewing policies in respect of ethical, social and governance matters and voting rights and where appropriate make recommendations to the Constituent Authorities as to any changes deemed necessary;
- Applying any processes or policies that are assigned to it within this Agreement;
- Recommend a high level plan for initial transition of assets to the pool and further asset transitions in the event, for example, of new sub-funds being created or manager changes within sub-funds;
- Ensuring that the OWG acts within its remit as set out in clause 4 and Schedule 8 of this Agreement;
- Providing any analysis or commentary on annual accounts to the Constituent Authorities;
- Monitoring the implementation and effectiveness of the policies listed in Schedule 5 and initiating reviews of these where required;
- Delivery and ongoing monitoring against the Pooling Collaboration objectives, Business Plan and budgets;
- Approving responses from the Pooling Collaboration in relation to consultations or other matters considered appropriate;

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- Seeking advice from professional and authorised and regulated advisers where necessary;
 - Agreeing the Business Plan to be put forward to the Constituent Authorities for approval;
 - Report to the Constituent Authorities quarterly (and at any other time when the Joint Governance Committee considers it to be necessary) on the matters within their remit including but not limited to the performance of the Operator, the structure of the funds and the ongoing monitoring of the Business Plan;
 - Agreeing criteria for the evaluation of bids or tenders for any procurement (other than the first appointment of the Operator) to be put forward for the approval of the Constituent Authorities.

Schedule 5

Policies and Procedures

- Training and Competence
- Complaints
- Breaches and Errors
- Conflicts of Interests
- Business Continuity Planning
- DSAR/FOI
- Contract Management, Co-ordination and Liaison with the Operator

Schedule 6

Joint Governance Committee Procedure

1 MEMBERSHIP

- 1.1 The membership of the Joint Governance Committee shall consist of one elected member (or their appointed deputy) per Constituent Authority.
- 1.2 No substitutes other than deputies shall be allowed.
- 1.3 The Joint Governance Committee shall not include any non-voting or co-opted members.

2 MEETINGS

- 2.1 Meetings shall be held a minimum of four times per municipal year (being May to May). The anticipated schedule of meetings and the locations in which they will be held will be agreed in advance of the commencement of the next Financial Year no later than the final meeting of the current Financial Year.
- 2.2 A meeting may be held at such time and place as the Chair of the Joint Governance Committee thinks fit provided that at least two meetings per annum shall be held in rotating locations between the Constituent Authorities to facilitate public access. The Constituent Authorities shall make available suitable accommodation for the holding of such meetings in public including the provision of Welsh Language translation, video-conferencing and webcasting services as appropriate.
- 2.3 All agendas, reports and minutes in relation to the Joint Governance Committee shall be in both Welsh and English, and simultaneous translation of proceedings will be available throughout all meetings of the Joint Governance Committee.
- 2.4 The Joint Governance Committee may decide to allow remote participation in meetings via video-conference or any similar medium. Any Member attending by video-conference shall be held to be in attendance at the meeting for the purposes of this Schedule.
- 2.5 A meeting of the Joint Governance Committee may be called by a proper officer of the Host Council on the request of the Chair. Members must declare any conflict of interest in respect of any business being conducted at the meeting which would likely to be regarded to prejudice the exercise of a person's function as a participant in the meeting.
- 2.6 The Chair is responsible for the running of meetings. The Chair shall invite Members expressing a desire to speak in turn. All discussion and debate shall be held through the Chair and the Chair may draw a discussion to a vote at any time where they consider that every Member has been given a fair opportunity to speak.
- 2.7 Minutes will be kept of all meetings. The Chair will sign the minutes of the proceedings at the next suitable meeting.
- 2.8 Notice of meetings
 - (a) A notice of meeting specifying the place, date and time of the meeting and containing a statement of the matters to be discussed at the meeting, shall be served on all of the Members of the Joint Governance Committee by the appropriate governance officer of the Host Council;
 - (b) Subject to clause 2.8(c), notice of each meeting, copies of the agenda and any reports to be presented at the meeting, shall be given to all Constituent Authorities by the Host Council no later than 5 working days before the date of

the meeting. The Constituent Authorities shall ensure that a minimum of five working days' notice of all meetings is given in accordance with their normal procedures for notification of Council meetings and all papers made available at all of the Constituent Authorities head offices for inspection for those five working days unless certified as confidential in which case agendas and any non-certified items are made available only.

- (c) If a meeting is required to be held with less than 5 working days' notice, the Chair must agree it is required urgently, approve the shortened notice period and allow as much notice as possible to be given. Notice should be given in the same manner, and the documents should be made available to all of the Constituent Authorities for as many days as practicable before the meeting.

2.9 Exclusion of the public and press

- (a) Where any item to be discussed forms exempt information the Chair shall move that the public and press are excluded from the meeting for the duration of the discussion and voting on that item. Motions to exclude the press and public do not require to be seconded and shall be determined by simple majority vote of the Members present.
- (b) Where the press and public are excluded under (a) above the Chair may invite any person to remain in the meeting where they consider it to be necessary or appropriate to do so and any members of the OWG present shall be presumed to be invited to remain unless the Chair specifies otherwise.
- (c) Any person may be excluded from a meeting or required to leave a meeting where in the opinion of the Chair they are causing a disturbance to the running of the meeting and have not desisted from doing following a request; or where any person is so disruptive that their conduct if allowed to remain would prevent the meeting from proceeding in a fair and acceptable manner.

2.10 The Joint Governance Committee may, through the Chair, invite any person to speak at a meeting.

2.11 Officers of the OWG presenting reports to the Joint Governance Committee may be asked questions following such presentation.

2.12 Section 151 Officers and Monitoring Officers (and in their absence their deputies) of any Constituent Authority are entitled to attend all meetings including any part of any meeting which is closed to the public and press.

3 QUORUM

3.1 The quorum shall be five Members.

3.2 Where a quorum is not present within 15 minutes of the start of the meeting and the Chair has not been notified that one or more Members have been delayed but will be attending, the meeting shall not be held and the Host Council will be ask to schedule and give notice of a replacement meeting.

3.3 Where, during any meeting there is no quorum present, then the meeting will adjourn immediately. If the Chair has been unable to ascertain within 15 minutes that the quorum can be restored the remaining business will be considered at another time and date fixed by the Chair.

4 CHAIR AND VICE CHAIR.

4.1 The Chair and Vice-Chair shall be Members and shall be appointed by vote for a term of 12 calendar months.

- 4.2 In the absence of the Chair, the Vice-chair shall be entitled to exercise all of the functions of the Chair.
- 4.3 The decision of the Chair of the meeting on all points of procedure and order and the Chair's interpretation of any rule in this schedule shall be final and no debate may ensue thereon. The Chair shall be entitled to take the advice of a governance officer in interpreting any rule or objection on procedure.
- 4.4 The Chair may be assisted during meetings by a governance officer on procedural matters and such administrative officers as the Chair considers appropriate. Such governance and secretarial officers shall be entitled to remain in the meeting where the public and press are excluded.

5 AGENDA

- 5.1 An agenda shall be produced in advance for each meeting by the Host Council following consultation with the Chair.
- 5.2 The agenda for each meeting shall contain as the first substantive item the approval of the minutes of the previous meeting. The Chair will move that the minutes of the previous meeting be signed as a correct record. The only part of the previous minutes that can be discussed is their accuracy and any matters arising from those previous minutes shall be regarded as new items on the agenda of the current meeting.
- 5.3 The OWG and the Constituent Authorities may ask the Chair to include any matter on the agenda which they consider should be discussed by the Joint Governance Committee.
- 5.4 The decision on whether to allow discussion on any other matter not on the agenda of a meeting at that meeting shall be made by the Chair.

6 MOTIONS

- 6.1 Any Member may propose a motion. All motions must be seconded. Motions which are opposed shall be put to a vote in accordance with the voting provisions of this schedule.
- 6.2 A Member may raise a point of order at any time. The Chair will hear them immediately. A point of order may only relate to an alleged breach of the provisions of this Schedule, or the law or other competent authority. The Member must indicate the provision or law or regulation and the way in which he/she considers it has been broken. The ruling of the Chair on the matter will be final. The Chair may take advice on the point of order from the appropriate officer.

7 VOTING

- 7.1 The Chair shall seek consensus wherever possible however where a vote is required the provisions of this section shall apply.
- 7.2 Each Member present will have one vote and voting will be by means of a show of hands. In the event of a tied vote, the Chair shall have a second or casting vote.
- 7.3 All decisions will be determined by simple majority.
- 7.4 In the event that a vote is taken, the voting positions and any abstentions of members will be recorded in the minutes.

8 SUB-COMMITTEES AND WORKING GROUPS

- 8.1 The Joint Governance Committee shall form such sub-committees and working groups as it considers expedient to performing its function. The Joint Governance Committee shall at the time of forming sub-committees or working groups set out the remit of the

sub-committees or working groups, what the sub-committees or working groups are required to deliver and the timescale for that delivery.

- 8.2 Sub-committees and working groups shall be entitled to request the input and support of the OWG in the same manner as the Joint Governance Committee.
- 8.3 Each sub-committee and working group shall appoint a chair for that sub-committee or working group, who is to be one of the Members of the sub-committee or working group.
- 8.4 Working groups may invite any person who is not a Member to join the group in order to assist in carrying out its function.
- 8.5 The Chairs of sub-committees and working groups shall report to Joint Governance Committee at each meeting of that committee on the process of the matters within their remit.
- 8.6 Sub-committees and working groups may be disbanded at any time on the vote of the Joint Governance Committee.
- 8.7 The provisions of paragraphs 5-7 (Agenda, Motions and Voting) of this Schedule shall apply to any sub-committee and working group meetings.

Schedule 7

TUPE

1 DEFINITIONS

1.1 The following definitions shall apply in this Schedule:

Data Protection Legislation means the Data Protection Act 1998, the Data Protection Directive (95/46/EC), the Regulation of Investigatory Powers Act 2000, the Telecommunications (Lawful Business Practice) (Interception of Communications) Regulations 2000, the Electronic Communications Data Protection Directive (2002/58/EC), the Privacy and Electronic Communications (EC Directive) Regulations 2003 and all applicable laws and regulations relating to the processing of personal data and privacy, including where applicable the guidance and codes of practice issued by the Information Commissioner.

Expected Transferring Employees means those Host Council Personnel who are reasonably expected by the Host Council to be a Transferring Employee.

Future Host Council means any relevant Constituent Authority who provides services which are identical or substantially similar to any of the Host Council Services (directly or indirectly) following the termination or expiry of this Agreement or the termination of the provision of any of the Host Council Services by the Host Council.

Host Council Personnel means the individuals employed or engaged by the Host Council or any other person in the provision of the Host Council Services under this Agreement from time to time.

Host Council Services means the services to be provided by the Host Council under this Agreement as more particularly described at clause 7.

Redundancy Costs means any notice pay (including payment in lieu of notice), holiday pay and statutory and/or contractual redundancy payments.

Sub-Contractor means any person to whom the provision of any of the Host Council Services may be sub-contracted by the Host Council.

Subsequent Transfer Date means the date on which responsibility for the provision of the Host Council Services, or any part of the Host Council Services, transfers from the Host Council to the Future Host Council.

Transferring Employee means an individual whose contract of employment has effect from and after the Subsequent Transfer Date, by virtue of the operation of TUPE, as if originally made between such person and the Future Host Council.

2 NO TRANSFER ON COMMENCEMENT

2.1 The Constituent Authorities agree that the neither the commencement of this Agreement nor the implementation of any of the arrangements contemplated within it shall give rise to a "relevant transfer" within the meaning of TUPE on or around the Commencement Date.

3 EMPLOYEE INFORMATION ON TERMINATION

3.1 Subject to the Data Protection Legislation, during the period of twelve months preceding the expiry of this Agreement, or at any time after the Host Council has given notice to withdraw from the Pooling Collaboration or at any time after the Host Council has actually ceased to provide any of the Host Council Services:

(a) the Host Council shall within 28 days of the reasonable request by any Future Host Council disclose to that Future Host Council details of the number, age

and terms and conditions of employment, in relation to any Host Council Personnel assigned to the provision of the Host Council Services or any relevant part of the Host Council Services;

- (b) the Host Council shall not and, if relevant, shall procure that any Sub-Contractor shall not, save in the ordinary course of business, materially vary the terms and conditions of employment or engagement of any Host Council Personnel or redeploy, replace or dismiss any Host Council Personnel, or employ or engage any additional individual in the provision of the Host Council Services, without the prior written consent of the Future Host Council (such consent not to be unreasonably withheld or delayed).

4 EMOLUMENTS

All wages, salaries, bonus and commission payments, contributions to pension schemes, entitlement to holiday pay and any other emoluments (whether monetary or otherwise), tax and national insurance contributions relating to the Transferring Employees shall be paid or borne by the Host Council (or Sub-Contractor) in relation to the period before the Subsequent Transfer Date (and the Host Council shall procure such payment by any Sub-Contractor) and by the relevant Future Host Council thereafter (and the Constituent Authorities shall procure such payment by any Future Host Council), and all necessary apportionments shall be made.

5 COMPLIANCE AND INDEMNITIES

5.1 The Host Council shall and/or, if relevant, shall procure that any Sub-Contractor shall:

- (a) comply with its or their obligations to inform and consult the Expected Transferring Employees pursuant to Regulation 13 of TUPE;
- (b) use reasonable endeavours to agree with the Future Service Provider, and deliver to the Expected Transferring Employees prior to the Subsequent Transfer Date, a suitable joint statement regarding the proposed transfer of their employment to the Future Host Council on the Subsequent Transfer Date; and
- (c) give employees of the Future Host Council such access to the Expected Transferring Employees prior to the Subsequent Transfer Date as the Future Host Council may reasonably require for the purposes of consultation or of effecting an efficient transfer of the Host Council Services and Transferring Employees with effect from the Subsequent Transfer Date.

5.2 The Host Council shall indemnify and keep indemnified the Future Host Council against all and any costs, expenses, liabilities, damages and losses arising out of or in connection with any claim, demand, action or proceeding which is made or brought against the Future Host Council in relation to:

- (a) the employment or termination of employment of any Transferring Employee during the period before the Subsequent Transfer Date; or
- (b) the Host Council's failure or alleged failure to comply with its obligations under Regulation 13 of TUPE, save to the extent that any such failure or alleged failure is as a result of or in consequence of a failure by the Future Host Council to comply with its obligations under Regulation 13(4) of TUPE.

5.3 If a claim or allegation is made by any person who is not a Transferring Employee (a **"Non-Disclosed Transferring Employee"**) that his contract of employment has or should have effect as if originally made between himself and the Future Host Council by virtue of the operation or alleged operation of TUPE:

- (a) the Future Host Council shall notify the Host Council in writing as soon as reasonably practicable of any such claim or allegation and the Future Host

Council shall then allow the Host Council (or any relevant Sub-Contractor) a period of 10 working days to consult with any such Non-Disclosed Transferring Employee concerning his claim or allegation;

- (b) the Future Host Council shall give to the Host Council (or any relevant Sub-Contractor) such co-operation or assistance as the Host Council (or relevant Sub-Contractor) may reasonably require;
- (c) if, following the period of 10 working days referred to in paragraph 4.3(a) above, any Non-Disclosed Transferring Employee continues to assert that his contract of employment has or should have effect as if originally made between himself and Future Host Council, the Future Host Council may, within a further period of 20 working days (or such other period as may be agreed in writing between the Host Council and Future Host Council), serve notice to terminate the employment or alleged employment of such Non-Disclosed Transferring Employee with immediate effect; and
- (d) subject to the Future Host Council's compliance with this paragraph 5.3, the Host Council shall indemnify and keep indemnified the Future Host Council against all and any costs, expenses, liabilities, damages and losses arising out of or in connection with any claim, demand, action or proceeding which is made or brought by any such Non-Disclosed Transferring Employee in relation to any sums paid or payable to such Non-Disclosed Transferring Employee up to the date of the termination of such Non-Disclosed Transferring Employee's employment or alleged employment, and in relation to such termination.

5.4 The Future Host Council shall indemnify and keep indemnified the Host Council (for itself and any Sub-Contractor) against all and any costs, expenses, liabilities, damages and losses arising out of or in connection with any claim, demand, action or proceeding which is made or brought:

- (a) by any Transferring Employee in relation to any act or omission of the Future Host Council on or after the Subsequent Transfer Date and/or in relation to any events or circumstances relating to the employment or termination of employment of any Transferring Employee occurring or arising on or after the Subsequent Transfer Date;
- (b) in relation to any failure or alleged failure of the Future Host Council to comply with their obligations under Regulation 13 of TUPE; or
- (c) in relation to any substantial change made or proposed by the Future Host Council in the working conditions of any of the Transferring Employees, or any individual who would have been a Transferring Employee but whose employment terminated prior to the Subsequent Transfer Date, where that change is to the detriment of such Transferring Employee(s) or such individual(s).

6 REDUNDANCY COSTS

6.1 The Constituent Authorities shall indemnify and keep indemnified on a joint and several basis the Host Council (for itself and any Sub-Contractor) against all and any Redundancy Costs arising out of or in connection with any claim, demand, action or proceeding which is made or brought against the Host Council (or Sub-Contractor) arising out of or in connection with the termination or alleged termination of employment of any Host Council Personnel by reason of redundancy within 6 months of the Subsequent Transfer Date, where the employment such Host Council Personnel does not transfer to a Future Host Council (under TUPE or otherwise) on the cessation of the provision of any or all of the Host Council Services, provided that the Host Council shall, or shall procure that any Sub-Contractor shall, use reasonable endeavours to:

- (a) mitigate the amount of any such Redundancy Costs;

- (b) search for and, if available, offer alternative employment within the Host Council's or the Constituent Authorities' (or, as the case may be, the Sub-Contractor's) organisation to any Host Council Personnel at risk of redundancy and shall give that Host Council Personnel a reasonable opportunity to accept any such offer of alternative employment before terminating that Host Council Personnel's employment; and
- (c) comply with any applicable statutory obligations.

Schedule 8 - Officers Working Group Remit

The remit of the OWG shall include:

- (a) proposing to the Joint Governance Committee and procuring external support requirements (including legal, governance, tax and other financial support) relevant to the Pooling Collaboration;
- (b) proposals to the Joint Governance Committee on governance arrangements including how the Operator should be held to account by reference to the Operator Contract;
- (c) proposals to the Joint Governance Committee on the most appropriate means of accessing different asset types, the structure of the Investment Pool including the number and make-up of sub-funds and where appropriate use of any external or national investment vehicles;
- (d) proposing high level transition plans for the transfer of assets to the Investment Pool;
- (e) challenging and contributing to the development of the Pooling Collaboration to enable the Pooling Collaboration and the Joint Governance Committee to achieve its objectives;
- (f) making recommendations to the Joint Governance Committee on the appointment, replacement or termination of the Operator including recommendations on whether to use a third party supplier or an owned entity;
- (g) monitoring and reviewing the performance of the Operator in meeting its objectives, service levels and key performance indicators and reporting to the Joint Governance Committee within the quarterly reports and on other occasions as required;
- (h) receiving reports on performance of the assets and reporting to the Joint Governance Committee;
- (i) external reporting on the Pooling Collaboration and its performance no less than quarterly to professional advisors or competent authorities if required;
- (j) liaison with other pools as required;
- (k) considering and making recommendations to the Joint Governance Committee in relation to the Business Plan, prepare a draft Business Plan for consideration by the Joint Governance Committee, consulting upon the approved draft Business Plan and reporting on the outcomes of such consultation including proposing any revisions to the draft Business Plan to the Joint Governance Committee;
- (l) developing and keeping under review the programme of training to be delivered to Members ensuring that it complies with all relevant regulations and applicable guidance, which programme of training shall have regard to the training undertaken in Members' roles on their respective Constituent Authority pension committees and shall seek to avoid duplication of training;
- (m) seeking advice from professional advisors that are authorised and regulated by competent authorities;
- (n) managing the procurement process for the procurement of any replacement Operator including proposing criteria for the evaluation of bids or tenders
- (o) such other matters as the Joint Governance Committee shall request or delegate to the OWG.

This document has been executed as a deed and is delivered and takes effect on the date stated at the beginning of it.

THE COMMON SEAL of)
Carmarthenshire County Council)
was affixed hereto in the)
presence of:-)

Authorised Officer

THE COMMON SEAL of)
City & County Swansea Council)
was affixed hereto in the)
presence of:-)

Authorised Officer

THE COMMON SEAL of)
County Council of the City and County of Cardiff)
was affixed hereto in the)
presence of:-)

Authorised Officer

THE COMMON SEAL of)
Flintshire County Council)
was affixed hereto in the)
presence of:-)

Chair / Legal Services Manager/Chief Officer
Governance

THE COMMON SEAL of)
Gwynedd Council)
was affixed hereto in the)
presence of:-)

Authorised Officer

THE COMMON SEAL of)
Powys County Council)
was affixed hereto in the)
presence of:-)

Authorised Officer

THE COMMON SEAL of)
Rhondda Cynon Taf County Borough Council)
was affixed hereto in the)
presence of:-)

Authorised Officer

THE COMMON SEAL of)
Torfaen County Borough Council)
was affixed hereto in the)
presence of:-)

Authorised Officer

Agenda Item 13.



Report of the Head of Democratic Services

Council – 4 November 2021

Councillor Induction & Training Programme 2022

Purpose:	To adopt the Councillor Induction & Training Programme 2022.
Policy Framework:	Local Government (Wales) Measure 2011 and Statutory Guidance.
Consultation:	Access to Services, Finance, Legal.
Recommendation(s):	It is recommended that: 1) The mandatory / compulsory training areas outlined in Paragraph 3 of the report be agreed. 2) The Councillor Induction & Training Programme 2022 be adopted. 3) The Head of Democratic Services work with CMT to populate the Training Provider, Date, Venue and Time of the Councillors Training & Induction.
Report Author:	Huw Evans
Finance Officer:	Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar

1. Introduction

- 1.1 It is important that a Councillor Induction & Training Programme is adopted and in place prior to the Local Government Elections on 5 May 2022. The programme is aimed at new and returning Councillors and Statutory Co-opted Members.
- 1.2 It is essential that Councillors receive adequate training to understand the role to which they have been elected, enabling them to undertake

their role in their Ward and ensuring that they are aware of their responsibilities when undertaking their role as a Councillor.

- 1.3 In April 2021, the WLGA published “A Development Framework for Councillors in Wales 2021”. This document outlines the knowledge and behaviours expected of Councillors in Wales and is a useful tool to identify suitable training needs both tailored towards all Councillors and more directed training i.e. Chair / Cabinet Member training. The Framework is not intended to be exhaustive or prescriptive but can be locally adapted. A copy of this document was included on the Democratic Services Committee agenda of 19 July 2021.

2. Democratic Services Committee

- 2.1 The Democratic Services Committee considered the Councillors Induction & Training Programme 2022 at its meetings on 19 July and 27 September 2021. A Councillors Working Group set up by the Democratic Services Committee also considered the matter on 26 August 2021.

- 2.2 The Democratic Services Committee of 27 September 2021 recommended that:

- i) The following elements of the Councillors Induction & Training Programme 2022 should be deemed mandatory / compulsory:
 - a) Councillor Allowances and Independent Remuneration Panel for Wales (IRPW), Councillors Self-Serve, Claims for Travel, Subsistence Allowances & Councillors Handbook.
 - b) Communications & Social Media.
 - c) Equalities / Diversity / Welsh Language.
 - d) Wellbeing of Future Generations Act Induction Workshop for Councillors.

Note: These are in addition to those previously marked as mandatory / compulsory. A full list of the proposed mandatory / compulsory courses are outlined elsewhere in this report.

- ii) The Draft Councillor Induction & Training Programme 2022 with the above amendments be recommended to Council for adoption.

3. Proposed Mandatory / Compulsory Courses

	Compulsory / Mandatory Training
1	Communications and Social Media (& its safe use) (Compulsory)
2	Corporate Parenting Training (Compulsory)
3	Cllrs Allowances and Independent Remuneration Panel for Wales (IRPW), Cllrs Self-Serve - Claims for Travel, Subsistence Allowances & Councillors Handbook (Compulsory)
4	Data Protection Training and FOI Training Cllrs as Data Controllers (ICO) (Compulsory)
5	Disciplinary & Disciplinary Investigation Training (Compulsory for Committee Members)
6	Domestic Abuse Awareness (Compulsory)
7	Equalities / Diversity / Welsh Language Training (Compulsory)
8	Good Decision Making / Bias / Pre-determination & Rules of Natural Justice (Compulsory)
9	Governance & Audit Committee Training (Compulsory for Committee Members) <ul style="list-style-type: none"> • CIPFA knowledge and skills framework
10	Governance & Audit Committee Training (Compulsory for Committee Members) <ul style="list-style-type: none"> • Introduction to Governance & Audit Committee • Risk Management
11	Governance & Audit Committee Training (Compulsory for Committee Members) <ul style="list-style-type: none"> • Internal Audit • Governance
12	Governance & Audit Committee Training (Compulsory for Committee Members) <ul style="list-style-type: none"> • External Audit
13	Introduction to Interests, Gifts, Hospitality, Code of Conduct & Standards Committee including Public Services Ombudsman for Wales (PSOW) Guidance (Use PSOW YouTube Video) (Compulsory)
14	Introduction to Scrutiny & Scrutiny Questioning Skills (Compulsory for Committee Members)
15	Licensing Committee Training (Mandatory for Licensing Committee Members) (Compulsory for Committee Members)
16	Planning Committee Training (Mandatory for Planning Committee Members) (Compulsory for Committee Members)
17	Recruitment & Selection Training - Appointments Committee / Council (Compulsory for Committee Members)
18	Safeguarding Adults Training (Compulsory)
19	Safeguarding and Protection of Children Training (Compulsory)
20	Well-being of Future Generations Act Induction Workshop for Councillors (Compulsory)

4. Councillor Induction & Training Programme 2022

- 4.1 **Appendix A** sets out the Councillor Induction & Training Programme 2022 as recommended by the Democratic Services Committee. Subject to Council agreement, the Head of Democratic Services shall work with CMT to populate the Training Provider, Date, Venue and Time columns.
- 4.2 Once, approved, the Programme will be included in the Candidates Nomination Packs for those standing for election to Swansea Council.

5. Integrated Assessment Implications

- 5.1 The Council is subject to the Equality Act (Public Sector Equality Duty and the socio-economic duty), the Well-being of Future Generations (Wales) Act 2015 and the Welsh Language (Wales) Measure, 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 Acts.
 - 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.
 - Deliver better outcomes for those people who experience socio-economic disadvantage
 - Consider opportunities for people to use the Welsh language
 - Treat the Welsh language no less favourably than English.
 - Ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.
- 5.2 The Well-being of Future Generations (Wales) Act 2005 mandates that public bodies in Wales must carry out sustainable development. Sustainable development means the process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the 'well-being goals'.
- 5.3 Our Integrated Impact Assessment (IIA) process ensures we have paid due regard to the above. It also takes into account other key issues and priorities, such as poverty and social exclusion, community cohesion, carers, the United Nations Convention on the Rights of the Child (UNCRC) and Welsh language.
- 5.4 An IIA Screening Form has been completed and no adverse implications have been noted. The Committee is being asked to identify and support councillor training which will have a positive impact on the community as a whole ensuring that councillors are able to undertake work within the community and the council and make decisions, which benefit the community as a whole.

6. Financial Implications

- 6.1 The costs associated with the Councillor Induction & Training Programme will be met from existing budget provision.

7. Legal Implications

- 7.1 Section 7 of the Local Government (Wales) Measure 2011 requires Local Authorities to secure the provision of reasonable training and development opportunities for its members.

Background Papers: None

Appendices:

Appendix A Councillor Induction & Training Programme 2022.

Appendix A

Councillor Induction & Training Programme 2022					
	Date	Time	Topic	Venue	Lead Officer(s)
1		Following Count Results	Signing Acceptance of Office & Councillors Code of Conduct		
2			Distribute Welsh Local Government Association (WLGA) Councillors Guide		
3			Photographs for Councillor ID Cards		
4			Allocation of Liaison Officer – DS Team		
5			Market Place Event	Brangwyn Hall	
6			Introduction to Interests, Gifts, Hospitality, Code of Conduct & Standards Committee including Public Services Ombudsman for Wales (PSOW) Guidance (Use PSOW YouTube Video) (Compulsory)		
7			Local Government Finance		
8			Local Government Finance (For Councillors who missed the previous session)		
9			Good Decision Making / Bias / Pre-determination & Rules of Natural Justice (Compulsory)		
10			Well-being of Future Generations Act Induction Workshop for Councillors		
11			Good Decision Making / Bias / Pre-determination & Rules of Natural Justice (For Councillors who missed the previous session) (Compulsory)		
12			Well-being of Future Generations Act Induction Workshop for Councillors (Compulsory)		
13			Data Protection Training and FOI Training CILrs as Data Controllers (ICO) (Compulsory)		

14			Licensing Committee Training (Mandatory for Licensing Committee Members) (Councillors who miss this training will have to receive individual training from Officers) (Compulsory for Committee Members)		
15			Licensing Committee Training - HMO / Street Trading (Mandatory for Licensing Committee Members) (Councillors who miss this training will have to receive individual training from Officers) (Compulsory for Committee Members)		
16			Planning Committee Training (Mandatory for Planning Committee Members) (Councillors who miss this training will have to receive individual training from Officers) (Compulsory for Committee Members)		
17			Planning Committee Training - Rights of Way & Commons & Village Green Status Training (Mandatory for Planning Committee Members) (Councillors who miss this training will have to receive individual training from Officers) (Compulsory for Committee Members)		
18			Recruitment & Selection Training - Appointments Committee / Council (Compulsory for Committee Members)		
19			Communications and Social Media (& its safe use) (Compulsory)		
20			Introduction to Scrutiny & Scrutiny Questioning Skills (Compulsory for Committee Members)		
21			Licensing Committee Training (For Councillors who missed the previous sessions) (Mandatory for Licensing Committee Members) (Compulsory for Committee Members)		
22			Cllrs Allowances and Independent Remuneration Panel for Wales (IRPW), Cllrs Self-Serve - Claims for Travel, Subsistence Allowances & Councillors Handbook (Compulsory)		

23			Cllrs Allowances and Independent Remuneration Panel for Wales (IRPW), Cllrs Self-Serve - Claims for Travel, Subsistence Allowances & Councillors Handbook (Compulsory)		
24			Introduction to Scrutiny & Scrutiny Questioning Skills (For Councillors who missed the previous session) (Compulsory for Committee Members)		
25			Children's Rights (UNCRC)		
26			Governance & Audit Committee Training (Compulsory for Committee Members) <ul style="list-style-type: none"> • Introduction to Governance & Audit Committee • Risk Management 		
27			Communications and Social Media (& its safe use) (For Councillors who missed the previous session) (Compulsory)		
28			Chairs Training for Council and Committees		
			Introduction to Interests, Gifts, Hospitality, Code of Conduct & Standards Committee including Public Services Ombudsman for Wales (PSOW) Guidance) (Compulsory)		
29			Children's Rights (UNCRC) (For Councillors who missed the previous session)		
30			Domestic Abuse Awareness (Compulsory)		
31			Dementia Awareness		
32			Governance & Audit Committee Training (Compulsory for Committee Members) CIPFA knowledge and skills framework		
33			An Introduction to the West Glamorgan Regional Partnership (to be confirmed)		
34			Dementia Awareness (For Councillors who missed the previous session)		
35			Equalities / Diversity / Welsh Language Training (Compulsory)		
36			Scams Awareness Training		

37			Scams Awareness Training		
38			Safeguarding Adults Training (Compulsory)		
39			Safeguarding and Protection of Children Training (Compulsory)		
40			Equalities / Diversity / Welsh Language Training (Compulsory) (For Councillors who missed the previous session)		
41			Planning Training – All Councillors (In respect of planning applications referred to Council) (Councillors who miss this training will have to receive individual training from Officers)		
42			An Introduction to the West Glamorgan Regional Partnership (to be confirmed) (For Councillors who missed the previous session)		
43			Corporate Parenting Training (Compulsory)		
44			Social Services and Well-being (Wales) Act		
45			Governance & Audit Committee Training (Compulsory for Committee Members) <ul style="list-style-type: none"> • Internal Audit • Governance 		
46			Safeguarding Adults Training (Compulsory) <ul style="list-style-type: none"> • (For Councillors who missed the previous session) 		
47			Safeguarding and Protection of Children Training (Compulsory) (For Councillors who missed the previous session)		
48			Domestic Abuse Awareness (Compulsory) (For Councillors who missed the previous session)		
49			Extremism & Radicalisation		
50			Extremism & Radicalisation (For Councillors who missed the previous session)		
51			Governance & Audit Committee Training (Compulsory for Committee Members) <ul style="list-style-type: none"> • External Audit 		

52			Social Services and Well-being (Wales) Act		
53			An Introduction to Education Consortia		
54			Corporate Parenting Training (Compulsory) (For Councillors who missed the previous session)		
55			Regional Induction workshops for new Councillors <i>WLGA 5 regional workshops: New Councillors New Challenges.</i> <i>To include:</i> <ul style="list-style-type: none"> • <i>First Minister, Mark Drakeford, MS</i> • <i>Future Generations Commissioner Sophie Howe</i> • <i>WLGA Chief Executive</i> • <i>Sessions on:</i> <ul style="list-style-type: none"> ○ <i>Key Behaviours for Successful Councillors</i> ○ <i>Digital Councillors</i> 		
56			Welfare / Citizens Advice Training		
57			Disciplinary & Disciplinary Investigation Training (Compulsory for Committee Members)		
58			Social Inclusion / Tackling Poverty Training		
59			Member Led Authority		
60			Poverty Prevention		

Note: Compulsory Training defined by Council on 4 November 2021

Agenda Item 14.



Joint Report of the Presiding Member, Monitoring Officer & Head of Democratic Services

Council – 4 November 2021

Amendments to the Council Constitution - Democratic Services Committee

Purpose:	To make amendments in order to simplify, improve and / or add to the Council Constitution.
Policy Framework:	Council Constitution.
Consultation:	Access to Services, Finance, Legal.
Report Author:	Huw Evans
Finance Officer:	Ben Smith
Legal Officer:	Tracey Meredith
Access to Services Officer:	Rhian Millar
For Information	

1. Introduction

- 1.1 In compliance with the Local Government Act 2000, the City and County of Swansea has adopted a Council Constitution. From time to time, it is necessary to review the Council Constitution in line with legislative requirements and to ensure good governance arrangements.
- 1.2 A number of issues have arisen since adoption and in order to maintain the aims, principles and procedures set out in Articles 1 and 15 of the Council Constitution, the Monitoring Officer has made the following amendments.

2. Delegated Minor Corrections to the Council Constitution

- 2.1 The Monitoring Officer has made delegated minor corrections to the Council Constitution in line with legislative change.

3. Democratic Services Committee – Terms of Reference

3.1 Section 60 of the Local Government (Democracy) Wales Act 2013 amended the Local Government (Wales) Measure 2011 in relation to the Democratic Services Committee.

3.2 As a result of this legislative change, the following has been added to the Terms of Reference of the Democratic Services Committee:

i) “At the request of the Local Authority, the Democratic Services Committee may review any matter relevant to:

a) The support and advice available to Members of the Authority

b) The terms and conditions of Office of those Members.

4. Financial Implications

4.1 There are no financial implications associated with this report.

5. Legal Implications

5.1 There are no legal implications associated with this report.

6. Equality and Engagement Implications

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

Background Papers: None.

Appendices: None.



Council – 4 November 2021

Councillors' Questions

Part A – Supplementaries

1 Councillor Will Thomas

A) Does the council have a maintenance plan for Oystermouth castle I understand this is recommended by CADW. If not could the council look into this please.

B) What general maintenance and or improvements are planned at Oystermouth castle over the next 5 years.

C) How does the council view Oystermouth castle in relation to the tourist economy. Is the castle a key part of the council's priorities for heritage.

Response of the Cabinet Member for Investment, Regeneration & Tourism

A) The project to restore and conserve the Castle was facilitated, with external funding, around 11 years ago. £2.35 million was invested into ensuring Oystermouth Castle was able to fulfil its status as an important heritage and visitor attraction in the City. The Council undertakes a custodianship role of the Castle, in partnership with the Friends of Oystermouth Castle. The arrangement is considered the most sustainable and broadens the opportunity for fundraising and grant applications, which have been extremely successful over recent times. By working in this way, budget has been made available to undertake the necessary and most urgent conservation needs, enabling us to work proactively to ensure that future maintenance and improvement works are planned for and effectively delivered. Most recently, a significant budget of £165k has been made available through the Council's capital programme, to undertake various works. These include to the Castle Chapel and external walls to remove the existing soft capping of turf, repoint loose stone and repair with new soft capping, as advised by CADW. This will slow down water ingress into the wall tops and provide a thermal protection to stabilise the fabric of the building.

B) Along with the items above, general maintenance is undertaken regularly on the existing visitor centre structure, along with grass cutting and attendance to external floodlighting, health and safety and fire regulation matters. A recent assessment of the visitor centre, and its exposed position, indicates the need for a targeted maintenance and repair programme to be created in the immediate future and this will need to be done as part of a conservation plan, prioritising and costing the works needed. The Castle is a Scheduled Ancient Monument and all works require consent from Cadw, via the S.A.M process, including the use of approved contractors and conservation specialists.

Thanks to fundraising by the Friends, a feasibility study has been commissioned to assess the visitor facilities overall, with the view to understanding what other facilities

can be provided to service the visitor market and create new income streams. A range of options and business models will be developed from this study, along with a fundraising strategy coordinated by the Council's Development Officer for the site, a post also supported through the fundraising efforts of the Friends.

C) Oystermouth Castle plays an important part of the destination's overall cultural offer, sense of place and understanding of the Welsh coastline, and remains an important visitor attraction for Mumbles. It provides the perfect setting for a number of events, including outdoor theatre, cinema and festivals and is a must see on the itinerary for press and media visits, which we arrange for our marketing partners, resulting in national and UK wide coverage. As a valued marketing partner presenting the best of what Swansea has to offer we hope this status will continue in the foreseeable future and for future generations.

2 Councillors Chris Holley, Mary Jones & Susan Jones

Will the Cabinet Member for Children Services make a statement about the Facebook page claiming that children who are living in Dan-y-Coed in West Cross are not receiving the Care and Education they require.

Response of the Cabinet Member for Children Services

Dan-y-Coed is a residential care home and special school supporting children and young people with autism and associated needs. Many of the young people will have severe learning difficulties, additional communication needs (non-verbal) and challenging behaviour. These are some of the most vulnerable members of our community and it is important we are vigilant in monitoring the care and support they receive.

Primary responsibility for registering and inspecting care homes sits with the Care Inspectorate Wales. Estyn has similar duties in terms of school settings.

The care home is registered for up to fifteen children and young people and we understand they presently have twelve living there. Of the twelve children and young people, one is from Swansea. This young person is visited regularly by their social worker and other professionals. The social worker, like the parents, is pleased with the outcomes being achieved by the young person.

Child and Family Services commissioning team also undertake regular monitoring to Dan-y-Coed. They have visited twice over the summer. The setting has an improvement plan in place which they have developed following the most recent inspection by the Care Inspectorate Wales. There are also recommendations for service improvement identified following our last monitoring visit. The commissioning team will be undertaking a joint visit with the social worker in the first week of November. While the focus of the visit will be on the quality of care, we will use this opportunity to discuss what steps can be taken to mitigate any impact the setting may have on the local community.

While there is only one Swansea young person living at the service, there are other Swansea young people who attend the school as day pupils. These placements are led by the Education Department. Having liaised with colleagues in Education, we can confirm that they do not currently have any concerns regarding the quality of education received by their pupils. Moreover, an education colleague joined social services staff in undertaking a joint unannounced monitoring visit in June this year.

3	<p>Councillors Mike Day, Cheryl Philpott & Jeff Jones</p> <p>Will the Leader or relevant Cabinet Member let Council know if and when the cross - party group to consider the future of Home Farm in Singleton Park will meet. Will the Cabinet Member also confirm whether any action has been taken to develop any schemes for the future use of the site since the last meeting of the cross-party group.</p> <p>Response of the Cabinet Member for Delivery & Operations</p> <p>I can confirm that no further action has been taken with regards to Home Farm other than the commissioning of a costed conservation survey for the historic buildings on site. Once a detailed report has been received and considered a further cross-party group will be convened.</p>
4	<p>Councillors Cyril Anderson, Wendy Lewis, Mike Lewis & Mike White</p> <p>Can the Cabinet Member give an update on the delivery of park and play upgrades across Swansea.</p> <p>Response of the Cabinet Member for Investment, Regeneration & Tourism</p> <p>All Wards received support through the Capital fund to invest within playgrounds that they would like to prioritise within their Ward. In addition, Ward Members were asked to contribute a minimum of 20% from their community budgets towards the total cost to invest within the chosen playground/s/</p> <p>Through the additional £1,000,000 Capital Investment, the Play Capital investment programme was launched for completion by 31st March 2022.</p> <p>In addition, some locations received additional investment from voluntary ward contributions, community groups, Town and Community Councils, Section 106 Agreements and Play Sufficiency Funding.</p> <p>Progress</p> <p>Ward Members were encouraged to submit their expressions of interest by 31st March 2021, whereby there was opportunity to outline the proposal and commit a maximum budget.</p> <p>The programme has been developed to consider several factors, to include, but limited to; <i>ground conditions, scope of works, alternative playgrounds within the vicinity and seasonal destinations.</i></p> <p>Throughout the programme, each scheme has been procured to ensure best value. An allowance of up to twenty four weeks is considered to allow procurement and contract delivery.</p> <p>Sites Completed / In use Victoria Park Playground – Uplands Llansamlet Playground - Llansamlet Three Crosses - Ffairview Dunvant Meadow – Dunvant Dunvant Playground - Dunvant Cwm Playground – Bonymaen</p>

Kingsbridge Playground – Kingsbridge
Parc Williams Playground – Lower Loughor
Llan yr Newydd Playground – Penclawdd
Heol Frank – Penderry
Park Road Playground – Gowerton
Knogle Playground - Mynyddbach
Pollys Playground – St Thomas
Port Tenant Playground – St Thomas
Ravenhill Playground - Cockett
Newton Road Playground – Clydach
Montana Playground – Landore
Golden Grove Playground - Penyrheol
Parc y Helig - Llansamlet

Contract Awarded - Onsite

Singleton Playground (Boating Lake) – Sketty
Bishopston Playground – Bishopston
Weig Fawr Playground - Cockett

Contract Awarded - Onsite October 2021

Llangyfelach Playground – Llangyfelach
Woodcote Playground - Killay

Contract Awarded - Starting Onsite November 2021

Penllergaer Playground – Penllergaer
Morrison Playground – Morrison
Cwmbwrla Playground – Cwmbwrla
Mayhill Playground – Townhill

Contract Awarded - Starting Onsite December 2021 / January 2022

Mawr – Mawr
Melin Mynach – Gorseinon
Loughor Foreshore – Loughor
Rheidol and Hollett Road Playgrounds - Mynyddbach

Contract Pending - Starting Onsite January 2022

Coed Bach Playground – Pontarddulais
Port Eynon *
Limeslade Car Park Playground – Bracelet Bay
Blackpill Lido – Mayals
West Cross (Dick Bartens) – West Cross

Anticipated Investment by 31st March 2022
£2,367,859.14

Whilst there have been challenges in relation to material shortages in the industry coupled with Covid precautions the Council remains on target to deliver by 31st March 2022.

This could not be achieved without the collaborative manner established between the project team, Cabinet members, Ward Members, delivery Team and Contractors. The programme has demonstrated cross-departmental working, listening and delivering the needs of our communities, whilst ensuring all wards are updated throughout the process.

5 **Councillors Cyril Anderson, Wendy Lewis, Mike Lewis & Mike White**

Can the Leader provide an update on the delivery of the recovery fund.

Response of the Leader

The Council in conjunction with Regeneration Swansea partnership has developed an economic recovery plan for Swansea. It specifically references the support for the Tourism, Leisure, Events and Hospitality sectors that have been hit the hardest by the pandemic.

Swansea Council needs to support businesses, support individuals and improve resilience of the local economy in light of the pandemic. A sum up to £20m is set aside for the purposes of the recovery to cover the financial year 21/22 and 22/23 with no long-term resource implications. This enables the initial recovery plans to be fully funded and instigated with immediate effect.

Economic Themes

Each proposal directly deliver one or more of the following Economic Themes.

Local Economy

- o Provide grants to support local business with improvements*
- o Commercial space place making improvements*
- o Targeted transport initiatives*
- o Targeted parking promotions*

Community

- o Deliver additional community greening & improvement schemes*
- o Establish rapid response flood team*
- o Establish street cleaning and task force*
- o Expand free public Wi-Fi in communities*
- o Additional community safety improvements*
- o Transport infrastructure improvements*

Well-being

- o Investment in better sports facilities Parks and play*
- o Sea defence and promenade upgrade programme-including prom lighting scheme*
- o More walking and cycling routes*
- o Reward, recognition and support programme for key workers*

People & Jobs

- o Homeless support, housing support and poverty prevention*
- o Apprenticeships & job opportunities*
- o Create and retain over 10,000 Jobs*
- o Support Employer relocation programme Skills and talent*

Funding Support

Support is provided through either through the provision of a grant or funding and delivery support.

- Grants (Re-greening and Local Businesses)
- Funding and Delivery support

Programme Aims

Each proposal must meet one or more of the following aims.

- Raising Confidence
- Supporting Businesses
- Championing Local Food
 - Supporting Tourism
- Developing Skills & Employability
- A Sustainable Economic Recovery.

Progress

Grants (Re-greening and Local Businesses) expressions

Currently following up expressions of interest. Meetings are being scheduled with Ward Members, sponsoring Cabinet Members and officers with the purpose to identify expressions that are deemed eligible for funding.

Approximately five hundred and Forty-nine expressions of interest to date. A further 200 are expected via Swansea BID in the next few days for the peripheral zones of the City Centre.

The team will be emailing out to businesses with applications and guidance in the next few days. In the larger district centres 'enveloping schemes' will be proposed matching with Welsh Government Placemaking funding to maximise use of available funding and quality of schemes.

Project delivery and funding expressions

Forty-eight applications have been approved for support via the Economic Recovery Fund.

An extract of some of the schemes approved are outlined below;

Theme	Project	Description	2021/22	2022/23
Local Economy - Targeted transport initiatives	Free Bus Service - Summer Sunday Bus Service for Gower	Bus service on Summer Sundays and August Bank Holiday Monday to provide access to Gower for tourists, residents and workers in the hospitality sector to support the local economy.	£5,603	
Local Economy - Targeted parking promotions	Parking	Parking promotions - review all parking promotions for City Centre and those affecting outlying retail areas including Mumbles.	£1,600,000	
Wellbeing	Free use of sports	Health and Wellbeing: Free use of sports, recreation playing fields (non 3G) for a 21/22	£50,000	

Free use of sports

Thirteen local clubs have been successful to gain the maximum grant of £1500 per club. Grants ranged between £300 and £1500 and were awarded to a range of sports clubs, including Football, Cricket and Bowls from all across the city. Total amount granted in tranche 1 was £16,216 and applications are open until the end of October 2021, applications will be welcomed up to this date.

Committed Spend (source ERF Steering Group October 2021)

2021/22

£7,355,603

	<p>2022/23 £2,817,700</p>
6	<p>Councillors Kevin Griffiths, Gareth Sullivan & Wendy Fitzgerald</p> <p>When will the work start on the promised 2g pitch in Pontarddulais given that I have contributed some of my Community Budget towards it and is it likely to be completed before the election next May.</p> <p>Response of the Cabinet Member for Education Improvement, Learning & Skills</p> <p>The final design for the 2G was agreed 24/8/2021 following numerous revisions, electrical elements provided by Electrical in preparation for the tender (All plans and BOQ for this part of the scheme ready to go to tender)</p> <p>During this phase it became clear the scheme exceeded the threshold requiring a sustainable Drainage System. As of 7th January 2019, all construction work in Wales with drainage implications, of 100m² or more, is now required to have Sustainable Drainage Systems (SuDS) to manage on-site surface water (whether they require planning permission or not). These SuDS must be designed and constructed in accordance with the Welsh Government Standards for Sustainable Drainage. This requirement unfortunately adds significant time and cost due to the designs needing to be undertaken by a qualified drainage designer, this also impacts on the planning application being submitted due to the main planning application needing to be supplemented with a SuDS application.</p> <p>In addition the scheme requires ground investigation and this work has been commissioned alongside the drainage designs by external specialist consultants with the expectation that this work will be completed by the end of December</p> <p>Once this detail is received and tenders returned the council will also be able to finalise the planning application and tender and confirm a start and completion date subject to the tender returns.</p>
7	<p>Councillors Cyril Anderson, Wendy Lewis, Mike Lewis & Mike White</p> <p>Can the Leader/Cabinet Member give an update on the Tidal Lagoon.</p> <p>Response of the Leader</p> <p>The Council with previous support from WG has continued to progress the project which until now has been entitled Dragon Energy Island. This is more than a tidal lagoon which was rejected for support by UK Government as it creates an integrated renewable project embedding new technology and additional income generating strands to make it financially viable without the need for a public subsidy, and the council continues to engage with both Welsh and UK Government to seek funding support to move the project to the next stage of seeking developer partner</p> <p>Parallel to this the council has been working with a private consortium led by DST Innovations based in Bridgend who have been in constructive talks with ABP to deliver their own solution which builds on the Dragon Energy concept under the brand name of Blue Eden. This project delivers</p> <ul style="list-style-type: none"> · A 9.5km tidal lagoon wall harnessing 320MW of renewable energy, · a 6.7GW, 60,000m² battery manufacturing plant created under the brand name of Batri,

	<ul style="list-style-type: none"> · a 94,000m2 data centre being the first off grid data centre in the UK and entirely powered by an uninterruptable renewable energy supply with 1,200 MW Batri back-up storage, · a bespoke on and floating Oceanic and climate change centre linking in with research and university sector, · a new public park and public realm · 1000's of eco homes with a mix of affordable and also an element of floating residential powered by the renewable energy and surplus heat produced via a district heating network · 72,000m2 of floating solar, the largest in the UK which is estimated to avoid over 2,000,000 kg of CO2 per year. <p>The project would deliver some 2500 direct jobs in addition to over 10,000 supply chain posts plus the significant construction relates employment over a 11 year period with phase one of the battery manufacturing plant and data storage being completed within 4 to 5 years and can be delivered without any public subsidy.</p> <p>The project still has a long way to go with a range of rights and permissions to be secured but the fact the DST have chosen Swansea to develop their £1.7billion investment is a huge accolade and recognition to our regeneration and climate and nature ambitions. This investment would be a significant game changer not just for our city but for the regional, the UK and potentially worldwide and act as a catalyse to start realising the ambition of a nett carbon zero world by investing in renewable technology at a scale never been seen before</p>
	<p>Part B – No Supplementaries</p>
8	<p>Councillors Lynda James, Jeff Jones & Mary Jones</p> <p>What is Swansea Council's strategy for the airport for the future. How does the council foresee the use of the airfield being used for the benefit of the ratepayers of Swansea.</p> <p>Response of the Cabinet Member for Delivery & Operations</p> <p>A report to Cabinet is proposed for November to update on the present position and future strategy for Swansea airport.</p>
9	<p>Councillors Mike Day, Jeff Jones & Cheryl Philpott</p> <p>Will the Cabinet Member please inform Council what calculations were undertaken to assess the benefits to the environment of providing a Shared Use Path through Clyne Valley, and what calculations were made over the environmental damage caused by laying tarmacadam based paths through the natural environment of Clyne Valley, including some ancient woodland. Can the Cabinet Member also tell Council how this scheme supports this administration's environmental policy.</p> <p>Response of the Cabinet Member for Environment Enhancement & Infrastructure Management</p>

	<p>The scheme was delivered as part of the Welsh Governments Active Travel programme, with bids developed in-line with their pre-defined application process. All scheme applications required a series of assessments to be conducted to identify the long term benefits of the enhanced infrastructure.</p> <p>The Cabinet report prepared in August 2020 confirmed that the development of the new route formed part of a broader programme for enhancements under a package entitled Sketty and Mayals network links and would provide enhanced connectivity for 8,120 properties to within 500m of an active travel route, whilst improving the strategic network to support modal shift and a reduction in vehicles numbers on the highway network. An assessment was undertaken to define the short and long term benefit of providing enhanced active travel infrastructure. This identified the potential areas served by the route and population, then assessed current transport data to identify the possible benefits. The assessment criteria is standardised by Welsh Government and is used within the funding bid application. This typically defines the need to assess the Strategic Case, with reference to the need for change and a definition to how the proposal fits within the grant objective. There is a review of the Transport Case, with consideration via an impact assessment. An infrastructure audit is conducted along with systems for monitoring and evaluation. The scheme development and design is structured in-line with the Future Generations Framework to ensure that all aspects are considered as part of the design process.</p> <p>The question implies that the scheme was delivered at direct compromise to the quality of the local environment, although numerous statements and evidenced delivery has confirmed that not to be the case. The fundamental objective of the project is to support commuters to have alternative and more sustainable modes of transport. The surface treatment was specified with due consideration to a number of factors, which included the local environment, the need to support all user groups and to provide a surface that is durable and fit for purpose. This was to ensure that users will consider the route to be a long term viable alternative to their current mode of transport. Sections of the route were already surfaced with tarmac, but covered with vegetation overgrowth. The Active Travel programme fully aligns with the Councils Environmental Policy in that it supports a shift to sustainable transport alternatives such as walking and cycling, which not only benefit the local communities currently impacted by vehicle emissions, but offers significant direct health benefits to those seeking to use the infrastructure. The works were developed in conjunction with an independent ecologist to ensure that both the specification and method of construction avoid detrimental impact to the ecology.</p>
10	<p>Councillor Mike Day</p> <ol style="list-style-type: none"> 1. It is pleasing to know that the Beach Huts at Langland have been as popular as ever, or more so during the last year. Can the Cabinet Member: 2. confirm that the previous arrangement of 10year leases are not continuing and that people whose lease has come to an end or is coming to an end, will not be able to renew; 3. tell Council, how many huts were available in each of the different categories for renting; 4. how many applications were made for huts in the 2021/22 season in each of the categories; 5. how many huts in each category were let; 6. how much was raised in rent (or anticipated by the end of January 2022), and how much has been, or will be, spent on repairing and/or maintaining the huts;

7. when will the public be notified of the date for submitting applications for the 2022/23 season;
8. how is the draw for allocations undertaken and who does it.

Response of the Cabinet Member for Investment, Regeneration & Tourism

1. All 10 year rentals will be returned by 2023 as per previous decision made regarding expiring leases. There are no current plans to renew the leasing scheme and no automatic rights of renewal.

2. 30 were available for 10 months, 29 available for each 3 months term and 29 available for 4 months (winter)

3. 10 Months 160,
 April/May/June 70,
 July/August/September 153,
 Winter 33,

This is on the basis that this was applicants first choice and acknowledging that the Council did accept multiple options from the same applicant, but only one period granted per customer.

4. All available Huts stated above were let

5. Total amount income target within our budgets for licenced Huts is circa £80,000 inclusive of VAT. The cost of repairs is difficult to predict, as the huts are extremely exposed the cost can change year on year. On average around £10,000 is spent maintaining the huts but this can increase to include ongoing repairs throughout the year. As a result of the pandemic, new locks were installed on each Hut to remove the need to collect/ return keys to council staff, at a cost of circa £3,000 including VAT. The Council is also liable for all Rates associated with the licences (seasonal) huts

6. Total amount income target within our budgets for licenced Huts is circa £80,000 inclusive of VAT.

The cost of repairs is difficult to predict, as the huts are extremely exposed the cost can change year on year. On average around £10,000 is spent maintaining the huts but this can increase to include ongoing repairs throughout the year. As a result of the pandemic, new locks were installed on each Hut to remove the need to collect/ return keys to council staff, at a cost of circa £3,000 including VAT. The Council is also liable for all Rates associated with the licences (seasonal) huts.

7. The applications will be open on the 1st of January 2022 via the councils 'Langland Bay Huts' webpage. All applications are made electronically. This is promoted via the Councils main social media platform. The draw then closes the first week in February with applicants notified whether or not they were successful by the first week in march. The first letting period begins by 1st April or earlier to coincide with Easter weekend if possible.

8. The draw is undertaken via an online number generator allocated to each application to ensure it fairly drawn and is appropriately adjudicated. All application numbers are submitted and then the winning numbers are produced for the periods that are applied for. This year three members of the team undertook this task and it was carried out online due to Covid 19 restrictions at the time. The draw was coordinated by the Destination Development Coordinator and supported by 2 x Assistant Staff from within Cultural Services.

11 Councillors Jeff Jones, Chris Holley & Graham Thomas

Will the Cabinet Member tell Council what would be the annual financial cost of borrowing £750m over a period of 40 years.

Response of the Cabinet Member for Economy, Finance & Strategy

There are no plans to borrow £750m.

If the questioners have assumed that the £750m potential investment from the Urban Splash strategic collaboration is funded by local authority borrowing then they are entirely incorrect.

Entirely theoretically, if the Council were to borrow an additional £750m it would need to make minimum revenue provision (MRP) of 2.5% (assuming assets financed with it had a suitably long life to justify that timeframe) and interest rates at prevailing rates.

Rates are most likely to be those obtained from new PWLB maturity loans (principal repaid in full at end from MRP set aside) over a period of 40-50 years. Interest rates currently are around 2% and are slightly higher than they have been recently as market expectations are of UK interest rates rising sooner over the medium term. £750m would cost £33.75m a year, or £1.35billion over 40 years in interest and full debt repayment

Council will be aware a £200m borrowing envelope was committed to previously and I am pleased to advise that the S151 officer and his excellent Treasury Management team has already completed all such borrowing, achieving some of it at the lowest ever rates achieved by this council of under 2%.

It is also worth noting that our prudent revised MRP arrangements ensure such debt is provided for full repayment over 40 years, not on the never never, like the old reducing balance methodology.

However, while I have been clear we have no plans to borrow £750m, if the questioners themselves have plans to borrow that amount they at least now know the potential costs.

12 Councillors Jeff Jones, Chris Holley & Peter Black

Given the impending risk of higher inflation of 4% in the coming year and the eightfold increase in energy prices, what would this result in as a financial burden to the authority.

Response of the Cabinet Member for Climate Change & Service Transformation

In order to protect the its position the Council buys its energy from the Crown Commercial Service 12 months in advance with the purchase for April 22 to March 2023 already secured

- Energy markets have been rising since last November, with contracts for April 22 annual delivery now up around 90% in cost since then. The pre purchase has protected the Council in this regard with Crown Commercial Service forward purchases completed earlier in the summer protecting budgets from the recent jump in delivery prices.
- Crown Commercial Service will commence purchasing for Apr 23 delivery contracts after 1st April 2022.
- Prices for 22/23next year expected to be up to 40% higher than current prices for all customers who have not pre purchased. However, Crown Commercial

	<p>Services have advised this is a worst case scenario; actual costs will be available early in the New Year.</p> <ul style="list-style-type: none"> • All customers including Swansea Council will therefore need to consider materially reviewing all energy budgets costs for the following financial year for 23/24 if prices remain high. • There is current concern regarding a significant number of smaller suppliers generally providing energy to domestic markets. • The current underlying energy suppliers for both the Council's electricity (EDF Energy) and gas (Total Gas and Power) contracts are very large suppliers ranked in the 'top 6'. The Crown Commercial Service will continue to monitor the situation closely. • The Crown Commercial Service Supply of Energy Framework already provides for 'reserve' supplies. If either of our current suppliers were to fail then the Crown Commercial Service would appoint a reserve. As the Energy has been purchased by Swansea Council there would be no change to the energy costs. There may be an increase in non-energy costs (environmental taxes, wholesale distribution and transmission costs which would apply in normal events. <p>Total gas and electricity costs for 19/20 amounted to circa £5.2M, with roughly 50% of that cost attributable to schools. Expected variations to any forward purchase contract negotiated by Crown Commercial Services will be known in the New Year.</p>
13	<p>Councillors Lynda James, Chris Holley & Kevin Griffiths</p> <p>There are growing concerns about the proliferation of properties being used as airbnb's which is resulting in less accommodation for local families. Will the Cabinet Member agree to investigate this matter to see if any licensing could be required.</p> <p>Response of the Cabinet Member for Delivery & Operations</p> <p>Welsh Government officials have indicated that the Welsh Government will be looking at whether there needs to be any change to planning legislation to deal with this issue. However, at present there are no specific planning controls that prevent a homeowner renting out their property.</p> <p>Our officers have been informed that the Welsh Government is looking into establishing a statutory registration or licensing scheme for holiday accommodation operators in Wales. They have commissioned an independent Cardiff-based research agency to interview stakeholders with a view to exploring:</p> <ul style="list-style-type: none"> · Whether developing a registration scheme or licensing scheme would be appropriate in Wales · The-options for how a scheme would be operated and delivered at national and/or local level · Resources required for each of the best options · How a scheme would support wider areas of Welsh Government policy such as housing and taxation · Whether a scheme should merge or align with the existing Visit Wales grading scheme or follow the Rent Smart Wales model. <p>Researchers will be speaking to stakeholders in Welsh Government, local authorities and trade associations in Wales, as well as also researching best practice in other countries.</p>

	<p>Welsh Government feels that there are significant potential benefits of the scheme, including a level playing field for professional and amateur accommodation operators and a much better oversight of the sector to inform decision-making in tourism, housing, environmental health and taxation. They also recognise there are wider views and considerations that need to be explored.</p> <p>Officers are waiting to be contacted by the researchers for a focus group meeting on the proposals. It is expected that Welsh Government will make their findings available once all the research has been completed.</p>

Agenda Item 16.



Council – 4 November 2021

Notice of Motion – Unity.

Notice of Motion from Councillors A Pugh, D H Hopkins, R C Stewart, A S Lewis, M C Child, E J King, L S Gibbard, R V Smith, R Francis-Davies, M Thomas & A H Stevens

The huge social and political changes that the country has seen over the last few years have given rise to major social division especially along the lines of race, ethnicity, religion and nationality. One of the most worrying consequences of this is the sharp rise in reported race hate crimes which have increased by almost 30% since 2016. There is no place in a modern society for racial discrimination and intolerance and we should make a commitment to unite and eradicate it in all its guises.

The adoption of the Unity over Division Charter would provide a starting point for what will hopefully be a more proactive approach to building an inclusive workplace.

And so, we the Elected Members named above request that Swansea Council: -

1. Swansea Council will adopt the Unity of Division Charter
2. Swansea Council will appoint an Inclusion Champion, who will be the lead person for the Unity over Division Charter agenda, with the support of Trade Unions and the Council to collaborate, monitor, facilitate and promote workplace inclusion wherever possible.
3. Swansea Council will ensure that all staff members including schools are given mandatory training on how to adhere to the Council's Equality and Diversity Policy and will ensure that this document is reviewed annually.
4. Swansea Council stands together with Trade Unions provide informative and up to date materials aimed at helping to promote equality and harmony within the workplace.
5. Swansea stands together with Trade Unions to condemn incidents where there are local and national examples of hate crime and discrimination.
6. Swansea Council will work with all appropriate other agencies and organisations to promote cohesion inside and outside the workplace.

Unity over Division Charter



The Joint Trade Union's Unity over Division Charter sets out 5 core organisational principles which are aimed at building more inclusive and harmonious workplaces.

Why do we need a Unity over Division Charter

The huge social and political changes that the country has seen over the last few years have given rise to major social divisions especially along the lines of race, ethnicity, religion and nationality.

One of the most worrying consequences of this is the sharp rise in reported race hate crimes which have increased by almost 30% since 2016.

The Joint Trade Unions believe that racial discrimination and intolerance has no place in a modern society and are committed to eradicating it in all its guises. We are inviting employers to join us in this fight by signing our charter and implementing the following set of progressive workplace initiatives.

The 5 Core Principles

- The Joint Trade Unions and the Council will each appoint an inclusion champion who will be the lead person for the Unity over Division agenda. With the support of the Unions and the Council their roles will be to collaboratively monitor, facilitate and promote workplace inclusion wherever possible.
- The Council will ensure that all staff members including Schools are given mandatory training on how to adhere to the council's equality and diversity policy

and will ensure that this document is reviewed annually.

- The Unions and the Council will provide informative and up to date materials aimed at helping to promote equality and harmony within the workplace.
- Where there are local and national examples of hate crime and discrimination the Unions and the Council will stand together to condemn such incidents.
- Where appropriate the trade unions and the Council will work with other agencies and organisations to promote cohesion both inside and outside the workplace.

Commitment to the Wider Equality Agenda

Whilst this charter focuses specifically on the issues of race, ethnicity, religion and nationality the unions and the council will continue to carry out their legal and moral obligation to protect all workers from discrimination as required by The Equality Act 2010.

The Spirit of the Charter

The Unity over Division Charter provides a starting point for what will hopefully be a more proactive approach to building a more inclusive workplace within in modern Britain.

However, this represents the beginning of what is likely to be a long and difficult journey. For this reason, along with adhering to its 5 core principles, the signatories of this charter are also committed to working within the spirit in which the document has been written.

Signature:

Signed on behalf of Unite the union

Signed on behalf of the GMB

Date:

Signed on behalf of Unison



Agenda Item 17.



Council – 4 November 2021

Notice of Motion – Nature Emergency.

Notice of Motion from Councillors P K Jones, A S Lewis, R C Stewart, D H Hopkins, M C Child, E J King, L S Gibbard, A Pugh, R V Smith, R Francis-Davies, M Thomas & A H Stevens

This Council notes with alarm the urgency to take strong, relevant, and immediate measures to counter and minimise the scale and impacts upon mankind and wildlife of human-caused loss of biodiversity and global climate change.

The Council also notes the failure of countries globally (including the UK) to meet nearly all of the UN sustainable development goals, including for biodiversity, set in 2010, now to be reviewed at the COP 15 in October in Kunming, China – Intergovernmental Platform on Biodiversity and Ecosystems (IPBES).

We are facing a combined and inter-related local and global climate and ecological disaster, with 17% of species in Wales at risk of extinction. But we can change this by putting nature into recovery, which will also help to tackle climate change . On 30 June 2021, the Welsh Government was one of the first parliaments in the world to declare a nature emergency. Climate Change Minister, Julie James, MS, announced that ‘Restoring nature and mitigating the impact of climate change are top priorities for this government’.

Swansea Council declared a climate emergency in June 2019 and has since been developing a Climate Change Action Plan for the Council and for Swansea as a whole in collaboration with Swansea Environmental Forum and other stakeholders.

This Council recognises that biodiversity loss is every much as serious to our future survival as climate change – Nature contributes so much to our world, both in practical ecosystem service terms – carbon sequestration, fresh-water management, soil management, air pollution control, shade, cooling and flood prevention, food plants, medicines – and also in terms of natural beauty affecting mental health and well-being.

We therefore propose that, in support of the Welsh Government’s declaration of a nature emergency, the Council declares a nature emergency and commits fully to preparing and delivering a Nature Recovery Action Plan to be implemented in tandem with the developing Climate Action Plan.

Much work is already being done:

- The Council has included a corporate priority well-being objective for nature recovery in its Corporate Plan for 2020-2022.
- It has supported the delivery of the ‘Working With Nature’ objective in the Swansea Public Services Board Well-being Plan.

- The Council has established a Climate Change and Nature Programme Board and a Steering Group to ensure that both issues are fully taken into account across all Service areas plans and projects.
- We have appointed a part time Biodiversity Officer, to work in collaboration with all Council Services, to ensure compliance with our Environment (Wales) Act biodiversity duty and to monitor and record progress, as well as providing advice and support for the preparation and delivery of a Section 6 Action Plan.
- We provide a lead role in co-ordinating and supporting the Local Nature Partnership (LNP), which has over 97 members from local wildlife and other organisations wishing to contribute to nature recovery.
- We also employ a temporary part time LNP officer who will co-ordinate the preparation of a Local Nature Recovery Action Plan.

However, whilst there is much good work being done and much progress being made, **we need to do more.**

The scale of the challenge requires increased prioritisation, additional commitment, and resources to ensure that we meet our targets to reverse the decline of biodiversity.

Specific actions could include:

- Maintaining and strengthening our corporate priority for Natural resources and Biodiversity including Climate Change.
- Refreshing the Swansea Climate Charter to become an integrated Climate and Nature Charter.
- Extending the terms of reference and membership of the current steering group on climate change to include nature and biodiversity and become the Climate Change and Nature Steering group .
- Continuing to work collaboratively with the Local Nature Partnership (LNP) and other key networks across Wales to make more space to enable nature to become abundant again. The LNP includes active nature conservation NGOs, such as RSPB, the Wildlife Trusts, Plantlife and Buglife as well as statutory agencies and research bodies, such as Natural Resources Wales and Swansea University.
- Increasing our work with local community groups and schools to facilitate the widest possible engagement of Swansea residents in maintaining and enhancing local wildlife.
- Seeking further support from UK and Welsh governments to provide us with the necessary powers and resources to ensure that we are empowered to maintain and enhance biodiversity.
- Seeking resources to provide sustainable long term core revenue and capital funding, thus enabling us to build the capacity and resources to plan and deliver long term strategies and initiatives for nature recovery (rather than relying on short term grant funded projects).

This Council resolves that:-

- The Council declares a nature emergency and creates a Climate Change and Nature Action Plan
- The Council extends the terms of reference and membership of the current Climate Change Programme Board and the Climate steering group to become

the Climate Change and Nature Programme Board and respectively the Climate Change and Nature Steering Group

- The Council refreshes the Climate Change Charter to become an integrated Climate and Nature Charter
- The Leader of the Council writes to both the UK Prime Minister and to the First Minister for Wales requesting extra resources and powers to enable the Council to deliver upon a fully-fledged and integrated Action Plan for Nature and Climate Change.

Acronyms

IPBES – Intergovernmental Platform on Biodiversity and Ecosystems (body of scientists equivalent to the membership of the Intergovernmental Panel on Climate Change (IPCC)).

LNP – Local Nature Partnership – all-Wales body of organisations working for nature

NGO – Non-Governmental Organisation

RSPB – Royal Society for the Protection of Birds