

CITY & COUNTY OF SWANSEA

CABINET

At: Committee Room 1, Civic Centre, Swansea.

On: Thursday, 4 October, 2012

Time: 5.00 pm

AGENDA

- 1. Apologies for Absence.**
- 2. To receive Disclosures of Personal and Prejudicial Interests.** 1
- 3. To approve and sign as a correct record the Minutes of the following Meetings:-**
 - a) Cabinet held on 6 September 2012. 2 - 9
 - b) Special Cabinet held on 18 September 2012. 10 - 12
- 4. Leaders Report.**
- 5. Public Question Time.**
- 6. Councillor Question Time.**
- 7. Reports from Scrutiny Boards - None.**
- 8. Report(s) within the Citizen, Community Engagement & Democracy Cabinet Member Portfolio:**
 - a) Corporate Complaints Annual Report 2011-12. (For Information) 13 - 21
 - b) Adult & Directorate Services Complaints Annual Report 2011-12. (For Information) 22 - 35
 - c) Child & Family Services Complaints Annual Report 2011-12. (For Information) 36 - 48
 - d) Regulation of Investigatory Powers (RIPA) Annual Report 2011-12. (For Information) 49 - 53
 - e) Freedom of Information (FOI) Annual Report 2011-12. (For Information) 54 - 58
- 9. Report(s) within the Finance & Resources Cabinet Member Portfolio.**
 - a) Delivering Results that Matter - Annual Review of Performance 2011-12. 59 - 116
 - b) Revenue Outturn 2011/12 – Housing Revenue Account. 117 - 120
- 10. Report(s) within the Learning & Skills Cabinet Member Portfolio.**
 - a) Flying Start Capital Programme Expansion 2012 - 2015. 121 - 130
 - b) Response of the Cabinet Member - Review of Teaching Assistants. 131 - 134

c)	Framework For The Supply Of Groceries, Provisions And Frozen Foods.	135 - 138
11.	Report(s) within the Learning & Skills and Place Cabinet Member Portfolio's.	
a)	Regional School Transport Policy.	139 - 144
12.	Report(s) within the Place Cabinet Member Portfolio:	
a)	Armed Forces Community Covenant (AFCC).	145 - 163
13.	Report(s) within the Regeneration Cabinet Member Portfolio:	
a)	Setting up a Commemorative Plaques Scheme.	164 - 167
b)	Application for Planning Consent and Scheduled Monument Consent: Works at and Adjacent to Swansea Castle.	168 - 171
14.	Report(s) within the Wellbeing Cabinet Member Portfolio:	
a)	Swansea Local Commissioning Plan 2012/2013.	172 - 213
b)	Update on the Transformation of Adult Social Services (TASS) Programme.	214 - 254



Patrick Arran
Head of Legal, Democratic Services & Procurement
Tuesday, 25 September 2012
Contact: Democratic Services - 636820

Disclosures of Personal Interest from Members

To receive **Disclosures of Personal Interest from Members** in accordance with the provisions of the Code of Conduct adopted by the City and County of Swansea. You must disclose orally to the meeting the existence and nature of that interest.

NOTE: You are requested to identify the Agenda Item / Minute No. / Planning Application No. and Subject Matter to which that interest relates and to enter all declared interests on the sheet provided for that purpose at the meeting.

1. If you have a **Personal Interest** as set out in **Paragraph 10** of the Code, you **MAY STAY, SPEAK AND VOTE** unless it is also a **Prejudicial Interest**.
2. If you have a Personal Interest which is also a **Prejudicial Interest** as set out in **Paragraph 12** of the Code, then subject to point 3 below, you **MUST WITHDRAW** from the meeting (unless you have obtained a dispensation from the Authority's Standards Committee)
3. Where you have a Prejudicial Interest you may attend the meeting but only for the purpose of making representations, answering questions or giving evidence relating to the business, **provided** that the public are also allowed to attend the meeting for the same purpose, whether under a statutory right or otherwise. In such a case, you **must withdraw from the meeting immediately after the period for making representations, answering questions, or giving evidence relating to the business has ended**, and in any event before further consideration of the business begins, whether or not the public are allowed to remain in attendance for such consideration (**Paragraph 14** of the Code).
4. Where you have agreement from the Monitoring Officer that the information relating to your Personal Interest is **sensitive information**, as set out in **Paragraph 16** of the Code of Conduct, your obligation to disclose such information is replaced with an obligation to disclose the existence of a personal interest and to confirm that the Monitoring Officer has agreed that the nature of such personal interest is sensitive information.
5. If you are relying on a **grant of a dispensation** by the Standards Committee, you must, before the matter is under consideration:
 - (i) disclose orally both the interest concerned and the existence of the dispensation; and (ii) before or immediately after the close of the meeting give written notification to the Authority containing -
 - details of the prejudicial interest;
 - details of the business to which the prejudicial interest relates;
 - details of, and the date on which, the dispensation was granted;
 - and
 - your signature

Agenda Item 3a

CITY AND COUNTY OF SWANSEA

MINUTES OF THE MEETING OF THE CABINET

HELD AT CIVIC CENTRE, SWANSEA ON THURSDAY 6 SEPTEMBER
2012 AT 5.00 P.M.

PRESENT: Councillor J C Richards (Deputy Leader) presided

Councillor(s):

J E Burtonshaw
M C Child

Councillor(s):

C R Doyle

Councillor(s):

W Evans

52. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillors N S Bradley, S E Crouch, D Phillips, R C Stewart and M Theaker.

53. DISCLOSURES OF PERSONAL AND PREJUDICIAL INTEREST

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

Councillor M C Child – Personal – Minute No 62 - Local Authority Governor Appointments – as Governor at Bishop Gore.

Councillor C R Doyle – Personal – Minute No 62 - Local Authority Governor Appointments – as Governor at Birchgrove.

54. MINUTES

RESOLVED that the Minutes of the meeting of Cabinet held on 9 August 2012 be accepted as a correct record.

55. LEADER'S REPORT

The Deputy Leader referred to a recent visit she had undertaken to Cornwall which had involved the Deputy Minister from Welsh Government to examine projects developed through European Funding, prior to a new round of funding being launched later in the year. She had discussed the options of regional funding streams being developed with the Deputy Minister.

Minutes of the Meeting of Cabinet (06.09.2012) Cont'd

She also referred to the recent Bomb Incident at Bynea which had been dealt with by the Local Authorities and Emergency Services.

56. **PUBLIC QUESTION TIME**

None

57. **COUNCILLOR QUESTION TIME**

None

58. **QUARTER 1 2012/13 PERFORMANCE MONITORING REPORT**

The Chief Executive presented a report which outlined the Corporate and Service Performance for Quarter 1 2012/13.

CABINET DECISION

That the performance be noted to help inform executive decisions on resource allocation and where relevant corrective actions to manage and improve performance and efficiency in delivering national local priorities.

Policy Framework

Improving What Matters - Corporate Improvement Plan 2012/13.

Reason for Decision

To receive and review the performance results for Quarter 1 2012/13.

Consultation

Legal and Finance.

59. **FINANCIAL MONITORING FIRST QUARTER 2012/13**

The Head of Finance presented a report on the Financial Monitoring for Quarter 1 2012/13.

CABINET DECISION

That the comments and variations in the report be noted.

Policy Framework

Budget 2012/13.

Reason for Decision

To note any significant variations from the agreed budget 2012/13 and actions planned to achieve a balanced budget.

Consultation

CMT, Cabinet Members, Legal and Finance.

60. **CAPITAL OUTTURN AND FINANCING 2011/12**

The Head of Finance presented a report which detailed the capital outturn and financing for the year ended 31 March 2012.

CABINET DECISION

That the net underspend of £13.149m be carried forward to 2012/13.

Policy Framework

Budget Plan 2011/12.

Reason for Decision

Financial Procedure Rules.

Consultation

Cabinet Members and CMT.

61. **REVENUE OUTTURN 2011/12**

The Head of Finance presented a report which detailed the revenue outturn for the year ended 31 March 2012.

CABINET DECISION

That the variations and comments in the report be noted.

Minutes of the Meeting of Cabinet (06.09.2012) Cont'd

Policy Framework

Budget Plan 2011/12.

Reason for Decision

Financial Procedure Rules.

Consultation

Cabinet Members and CMT.

62. **LOCAL AUTHORITY GOVERNOR APPOINTMENTS**

The Cabinet Member for Learning and Skills presented a report which sought approval of the nominations submitted to fill Local Authority Governor vacancies on School Governing Bodies.

CABINET DECISION

That the following nominations to fill Local Authority Governor vacancies be approved.

1. (a) BIRCHGROVE PRIMARY	Mrs Reanne Lee
1. (b) DUNVANT PRIMARY	Cllr Jeff Jones - re-appointment
1. (c) ST. JOSEPH'S CATHOLIC PRIMARY	Cllr Paulette Smith
1. (d) BISHOP GORE SCHOOL	Ms Claire Waller - re-appointment
1. (e) CEFN HENGOED COMMUNITY SCHOOL	Mr Phil Jones - re-appointment
1. (f) GOWERTON SCHOOL	Cllr Susan Jones - re-appointment
1. (g) OLCHFA SCHOOL	Cllr Jeff Jones - re-appointment

Minutes of the Meeting of Cabinet (06.09.2012) Cont'd

1. (h) YSGOL PEN-Y-BRYN	Cllr Paul Meara - re-appointment
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Policy Framework

Policy and Procedure for Appointment of Local Authority Governors as amended by Council on 23 October 2008.

Reason for Decision

To ensure vacancies are to be filled expeditiously.

Consultation

Education, Legal and Finance.

63. **CONTRACT FOR THE TREATMENT OF GREEN AND GARDEN WASTE**

The Cabinet Member for Place presented a report which sought approval for the award of contracts for the treatment of green and garden waste where the estimated annual value falls within Contract Procedure Rule Band F.

CABINET DECISION

That the contract for the treatment of green and garden waste be awarded to Tenderer 2, Tenderer 3 and Tenderer 4 for the amounts outlined in the report.

Policy Framework

Contract Procedure Rule 6.6, 13.3 and 13.4.4.

Reason for Decision

To comply with Contract Procedure Rules.

Consultation

Finance, Legal and Procurement.

64. **FRAMEWORK AGREEMENT FOR GENERAL CIVIL ENGINEERING, HIGHWAYS PLANNING MAINTENANCE, IMPROVEMENT, CONSTRUCTION AND TARGETED RECRUITMENT AND TRAINING**

The Cabinet Member for Place presented a report which sought authorisation to award the Framework Agreement for General Civil Engineering, Highways Planned Maintenance, Construction and Targeted Recruitment and Training.

She indicated that the successful tenderer would have to meet the Authorities "Beyond Bricks and Mortar" Policy.

CABINET DECISION

That the Framework Agreement be awarded to Tenderer 1 being the most economically advantageous bid.

Policy Framework

Corporate Procurement Policy.

Reason for Decision

To deliver a range of Construction and Highway works in an effective cost efficient manner. To comply with Contract Procedure Rule 13 - Evaluation and Award of Tenders greater than £1,000,000.

Consultation

Legal, Procurement and Finance.

65. **HOUSES TO HOMES LOAN SCHEME**

The Cabinet Member for Place presented a report which outlined the Welsh Government Houses to Homes Loan Scheme and sought approval for Council to adopt the scheme as an addendum to the Private Sector Housing Renewal and Disabled Adaptations: Policy to Provide Assistance 2012-2017.

The report also sought approval from Cabinet to receive a grant from Welsh Government on behalf of the Western Bay Regional Group of Local Authorities and to distribute monies between the relevant authorities.

CABINET DECISION

- (1) that the inclusion of the Houses to Homes Scheme as an addendum to current Council policy be approved and referred to Council for adoption;

Minutes of the Meeting of Cabinet (06.09.2012) Cont'd

- (2) that the receipt of a grant from Welsh Government to meet Financial Procedural Rule (FPR) 7 requirements on behalf of the Western Bay Regional Group of Local Authorities and the distribution of monies between relevant authorities be approved.

Policy Framework

Private Sector Housing Renewal and Disabled Adaptations: Policy to Provide Assistance 2012-2017.

Reason for Decision

To seek approval to adopt the Houses to Homes Loans Scheme as an addendum to current Council policy in order that the Council is able to issue loans and to comply with FPR 7.

Consultation

Legal and Finance.

66. **REQUEST FOR CABINET AUTHORITY FOR THE SUBMISSION OF A PLANNING APPLICATION TO SET UP A WASTE TRANSFER STATION AT HEOL Y GORS**

The Cabinet Member for Place on behalf of the Cabinet Member for Sustainability presented a report which sought approval for planning permission to expand and relocate existing waste facilities at the Heol y Gors Depot.

CABINET DECISION

That the submission of the necessary planning application to set up a waste transfer station at Heol y Gors be approved.

Policy Framework

Council Constitution.

Reason for Decision

To seek approval to make a planning application in compliance with the Constitution of the Council.

Minutes of the Meeting of Cabinet (06.09.2012) Cont'd

Consultation

Legal and Finance.

The meeting ended at 5.33p.m.

CHAIR

Published: 7 September 2012

S: Cabinet - 6 September 2012
(GB/EJF)
6 September 2012

Agenda Item 3b

CITY AND COUNTY OF SWANSEA

MINUTES OF THE SPECIAL MEETING OF THE CABINET

HELD AT THE CIVIC CENTRE, SWANSEA ON TUESDAY 18 SEPTEMBER 2012 AT 5.00 P.M.

PRESENT: Councillor D Phillips (Leader) presided

Councillor(s):

M C Child
S E Crouch

Councillor(s):

C R Doyle
W Evans

Councillor(s):

J C Richards
M Theaker

67. CONDOLENCES

The Leader reported on the sad death of the mother of Councillor R C Stewart and placed on record the condolences of himself and his colleagues.

68. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillors N S Bradley, J E Burtonshaw and R C Stewart.

69. DISCLOSURES OF PERSONAL AND PREJUDICIAL INTEREST

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

70. LEADER'S REPORT

None.

71. PUBLIC QUESTION TIME

Professor A Beddow asked a question relating to the transfer of funds between the Pension Fund and Council.

The Leader and Chief Executive indicated that the matter is still the subject of legal clarification and further discussion with the Auditors.

72. COUNCILLORS' QUESTION TIME

Councillor PM Meara asked a question relating to the transfer of funds between the Pension Fund and Council.

The Leader and Chief Executive indicated that the matter is still the subject of legal clarification and further discussion with the Auditors.

Minutes of the Meeting of Special Cabinet (18.09.2012) Cont'd

73. **AUDIT OF FINANCIAL STATEMENTS - CITY AND COUNTY OF SWANSEA - AUDITOR'S REPORT TO THOSE CHARGED WITH GOVERNANCE**

Lynn Hine on behalf of the Wales Audit Office/PWC presented the ISA 260 report relating to the Council's Financial Statements for 2011/12.

The report detailed and outlined the Audit findings and indicated adjustments to the accounts as necessary.

The issue relating to the transfer of funds between the Pension Fund and Council was highlighted. This matter is subject to both further discussion between the Authority and the Auditors and to further legal advice and opinion.

CABINET DECISION

- (1) That the Audit of Financial Statements report for 2011/12 be noted.
- (2) A further report be brought back to Cabinet relating to the Pension Fund Transfer issue as highlighted in the report.

74. **AUDIT OF FINANCIAL STATEMENTS – PENSION FUND - AUDITOR'S REPORT TO THOSE CHARGED WITH GOVERNANCE**

Hywel Pullen on behalf of the Wales Audit Office/PWC presented the ISA 260 report relating to the Pension Fund for 2011/12.

The report detailed and outlined the Audit findings and indicated adjustments to the accounts as necessary.

The issue relating to the transfer of funds between the Pension Fund and Council was again highlighted.

CABINET DECISION

That the Audit of the Pension Fund Financial Statements report for 2011/12 be noted.

75. **ANNUAL GOVERNANCE STATEMENT 2011/12**

The Section 151 Finance Officer presented a report which outlined the annual review of governance arrangements for 2011/12.

Minutes of the Meeting of Special Cabinet (18.09.2012) Cont'd

CABINET DECISION

That the Annual Governance Statement for 2011/12 be approved.

Policy Framework

None.

Reason for Decision

To comply with the Code of Practice on Local Authority Accounting.

Consultation

Legal and Finance.

The meeting ended at 5.45 p.m.

CHAIR

Published: 20 September 2012

S: Special Cabinet - 18 September 2012
(GB/KL)

Agenda Item 8a

Report of the Cabinet Member for Citizen, Community Engagement & Democracy

Cabinet – 4 October 2012

CORPORATE COMPLAINTS ANNUAL REPORT 2011-2012

Purpose: To report on the operation of the Complaints procedure, highlighting the number, nature and outcome of complaints made against the Authority. The following reports have been prepared separately in conjunction with this report:

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

Report Author: Huw G Evans

Legal Officer: Rod Jones

Finance Officer: Carl Billingsley

FOR INFORMATION

1. Introduction

- 1.1 The City and County of Swansea is a large organisation providing a variety of services and whilst every effort is made to carry out these services accurately and professionally, it is inevitable that mistakes are sometimes made.
- 1.2 Members of the public complain for various reasons, such as lack of action/consultation, delay, staff attitude etc. Customers wishing to voice their dissatisfaction or concerns are dealt with open-mindedly and impartially by the Complaints Team.

2. Corporate Complaints Process

2.1. Stage 1 Complaints

The majority of Stage 1 complaints are dealt with by the relevant service area. The complaints team will investigate and respond when several service areas are involved. Additionally when a member of the public will not accept the information given to them by departmental staff, the complaints team in these cases will work as the intermediary to try and resolve the issues.

2.2. Stage 2 Complaints

These are investigated by the Complaints Team who carry out a fact finding investigation to bring the complaint to a satisfactory conclusion although this is

not always possible and if the complainant remains dissatisfied the complaint can be escalated to Stage 3.

2.3 Stage 3 Complaints

- 2.3.1 A Stage 3 complaint is investigated by a senior member of the complaints team who reviews the stage 2 decision and undertakes further investigations in an attempt to facilitate an acceptable conclusion.
- 2.3.2 Complainants who have exhausted the internal complaints procedure and who remain unhappy with the outcome are in a position to contact the Public Services Ombudsman for Wales.
- 2.3.3 Each stage of the complaints process should be responded to or actioned within 10 working days.
- 2.3.4 Figures given in this report are of complaints received directly by the Complaints Team.

3. Social Services Complaints Process

A complaints procedure for Social Services is a statutory requirement, and a summary of the process is set out below.

3.1 Stage 1

The first stage is dealt with by the service section and a response must be made within 10 working days.

3.2 Stage 2

This stage is investigated by an Independent Investigator and a report should be issued by the Complaints Team within 25 working days of the start of this stage of the complaint. Should the complainant remain unhappy they can escalate their concerns to stage 3.

3.3 Stage 3

- 3.3.1. This stage is investigated by an external body the Independent Complaints Secretariat and consists of a panel who review the complaints handling and the response of the authority's Stage 2.
- 3.3.2. It should be noted that Adult and Directorate Services Complaints and the Child and Family Services Complaints will be presented to Cabinet separately but the figures compiled within this report include social services cases. This has been done to give the reader an overview of work carried out within the Complaints Team as a whole.

4. Public Services Ombudsman for Wales (PSOW)

Should the complainant remain dissatisfied having pursued the three stages whether as a corporate or social service complaint, they can refer the matter to the Public Services Ombudsman for Wales.

5. Request for Service (RFS)

- 5.1 A request for service is not a complaint. For example - A request for service could be to repair an unlit lamp post. A complaint would only arise should the request not be dealt with. However the Complaints Team action calls of this nature rather than transferring the member of the public to another section – lessening the public perception of being “pushed from pillar to post”.

6. Corporate Complaints Received

- 6.1 Table 1 below shows details of complaints received directly by the Complaints Team during the 2011-2012, together with 2010-2011 figures for comparison. Tables 2 to 6 provide a further breakdown for each Directorate by section.
- 6.2 An additional row has been added this year for comments received. These are cases where an individual has made a comment regarding a service as opposed to a complaint, which is then passed on to the relevant service unit for information. These comments may be negative or positive.
- 6.3 Detailed analysis of the social services complaints are available in the Adult and Child and Family Services Annual Reports 2011-2012.

TABLE 1: Complaints recorded from 1 April 2011 to 31 March 2012 by Directorate

	Environment		Regeneration		Education		Housing		Social Services		Chief Executive		TOTALS	
	2010/ 2011	2011/ 2012	2010/ 2011	2011/ 2012	2010/ 2011	2011/ 2012	2010/ 2011	2011/ 2012	2010/ 2011	2011/ 2012	2010/ 2011	2011/ 2012	2010/ 2011	2011/ 2012
Stage 1	291	408	43	50	14	3	139	170	233	25	33	59	753	696
Stage 2	39	41	10	5	2	2	63	25	21	4	9	7	144	82
Stage 3	18	21	3	3	1	0	9	7	3	1	5	2	39	34
PSOW	13	15	0	4	0	0	4	5	10	-	5	6	32	30
RFS	199	212	14	22	3	0	48	60	2	-	14	33	280	327
Comment	0	23	0	5	0	0	0	3	0	-	0	2	0	33
Totals	560	720	70	89	20	5	263	270	269	9	66	109	1248	1202

TABLE 2: Breakdown of CHIEF EXECUTIVES Complaints Received

	Legal		Corporate Property		Procurement		Budget		Finance		Communications		HR & OD		ICT		Performance		Total	
	10/ 11	11/ 12	10/ 11	11/ 12	10/ 11	11/ 12	10/ 11	11/ 12	10/ 11	11/ 12	10/ 11	11/ 12	10/ 11	11/ 12	10/ 11	11/ 12	10/ 11	11/ 12	10/ 11	11/ 12
Stage 1	5	2	5	4	1	0	0	0	17	40	0	0	2	0	0	0	3	13	33	59
Stage 2	1	2	1	0	0	0	0	0	6	3	0	0	0	1	0	0	1	1	9	7
Stage 3	1	0	2	0	0	0	0	0	2	1	0	0	0	0	0	0	0	1	5	2
PSOW	1	0	1	0	0	0	0	0	3	4	0	0	0	1	0	0	0	1	5	6
RFS	1	2	0	0	0	0	0	0	12	27	0	0	0	0	0	0	1	4	14	33
Comments	-	0	-	0	-	0	-	0	-	0	-	0	-	0	-	1	-	1	-	2
Total	9	6	9	4	1	0	0	0	40	75	0	0	2	2	0	1	5	21	66	109

TABLE 3: Breakdown of Education Complaints Received

	Education Effectiveness		School Planning and Resources		Inclusion		Totals	
	2010/11	2011/12	2010/11	2011/12	2010/11	2011/12	2010/11	2011/12
Stage 1	10	3	0	0	4	0	14	3
Stage 2	1	2	0	0	1	0	2	2
Stage 3	1	0	0	0	0	0	1	0
PSOW	0	0	0	0	0	0	0	0
RFS	2	0	0	0	1	0	3	0
Comments	-	0	-	0	-	0	-	0
Total	14	5	0	0	6	0	20	5

TABLE 4: Breakdown of ENVIRONMENT Complaints Received

	Planning		Environmental Health Services		Environmental Management & Protection		Technical Services		Totals	
	2010/2011	2011/12	2010/2011	2011/12	2010 /2011	2011/2012	2010/2011	2011/2012	2010 / 2011	2011/12
Stage 1	19	12	26	33	136	196	110	167	291	408
Stage 2	5	11	7	7	15	3	12	20	39	41
Stage 3	5	1	3	3	3	3	7	14	18	21
PSOW	6	4	4	2	0	1	3	8	13	15
RFS	3	2	10	16	99	83	87	111	199	212
Comments	-	1	-	4	-	6	-	12	-	23
Total	38	31	50	65	253	292	219	332	560	720

TABLE 5:Breakdown of HOUSING Complaints Received

	Property Services		Housing		Totals	
	2010/2011	2011/2012	2010/2011	2011/2012	2010/2011	2011/2012
Stage 1	77	40	62	130	139	170
Stage 2	14	11	49	14	63	25
Stage 3	0	5	9	2	9	7
PSOW	0	1	4	4	4	5
RFS	25	5	23	55	48	60
Comments	-	0	-	3	-	3
Total	116	62	147	208	263	270

TABLE 6:Breakdown of REGENERATION Complaints Received								
	Culture and Tourism		Community Regeneration		Strategic Development & Projects		Totals	
	2010/11	2011/12	2010/11	2011/12	2010/11	2011/12	2010/11	2011/12
Stage 1	23	41	1	0	19	9	43	50
Stage 2	6	5	2	0	2	0	10	5
Stage 3	2	2	1	0	0	1	3	3
PSOW	0	2	0	0	0	2	0	4
RFS	4	21	1	1	9	0	14	22
Comments	-	2	-	1	-	2	-	5
Total	35	73	5	2	30	14	70	89

6.3 Table 7 provides the total complaints received at each stage of the process. Figures for 2009-2010 are also provided for comparison.

TABLE 7: Comparison of totals with the Previous Year 2010 / 2011			
	April 2010 March 2011	April 2011 March 2012	Difference + or -
Stage 1	753	696	-57
Stage 2	144	82	-62
Stage 3	39	34	-5
PSOW	32	30	-2
RFS	280	327	+47
Comments	-	33	n/a
Total	1248	1202	-46

7. Public Services Ombudsman for Wales

7.1 There has been a large reduction in the number of Ombudsman cases this year. Complaints investigated by the Ombudsman fall into 4 categories:

- Complaints that the Ombudsman has chosen not to investigate.
- Complaint discontinued following investigation by the Council
- Section 21 of the Public Services Ombudsman (Wales) Act 2005 – A situation in which a local resolution can be agreed sometimes by paying a small amount of compensation or improving procedures. There is no requirement to publish findings under section 21 reports.
- Section 16 of the Public Services Ombudsman (Wales) Act 2005 - These reports are required to be published in the local press and made available to the public. These reports indicate that maladministration has been found and the Ombudsman recommends that the Council takes certain actions which may include compensation.

Breakdown of Public Services Ombudsman for Wales (PSOW) Cases		
	2010/11	2011/12
Not taken up by PSOW for investigation	22	22
Investigated	3	8
TOTAL	25	30
<i>Of those investigated:</i>		
Ongoing	2	0
Not Upheld / Discontinued	1	6
Withdrawn By Complainant		0
Section 16 (Publicised Report)		0
Local Resolution / Section 21 (Report Not For Publication)		2

8. Monitoring

8.1 The Council recognises that in order to meet the needs and concerns of members of the public, the monitoring of complaints is a valuable resource in its requirement to continually improve services.

8.1.1 Compensation

A total of £610 has been paid in compensation as a result of investigating certain complaints from members of the public.

In the majority of the cases compensation was awarded for delay, time and trouble and in these particular cases sums of £50, £60 and £150 were awarded.

One complainant was awarded £350. The offer was based on the fact that the individual had incurred professional fees (£300) and recognition was given to the fact of the time and trouble the individual had experienced (£50).

Additionally, in some cases the Authority has offered free parking tickets as a gesture of goodwill in recognition of the service department shortfalls.

Service Improvements

Information obtained from the outcome of complaints can identify needs for service improvement. Examples of improvements made this year following complaint investigations by the Corporate Complaint team are as follows:

- All problem areas for parking within certain streets have been inputted on a handheld device so that when an officer enters information, a note will automatically show up on the screen. This means that the officer who enters a particular street will now be aware if there is a note saying do not enforce.

- Replacement of missing signs in relation to parking zones has been a problem mainly due to the fact that various sections are involved in this process (recording a sign is missing, ascertaining what sign is needed, ordering of the sign and then having sign erected). As a result a system has been developed to make the process quicker. Officers will also be trained and given necessary equipment to put signs up themselves; this will involve keeping a stock of standard signs and will hopefully allow signs to be replaced within a few days.
- Introduction of body cameras for the use of Civil Enforcement Officers. This will be beneficial to both the officer and the member of the public. The officer in terms of threats when allegations are made against them. The member of the public to substantiate their allegation of their complaint and it can also be a useful tool to recognise if any training is needed to improve customer service.
- Messagelabs is the Authority's third party hosted email message scanning system. All e-mails sent to the Authority are subject to this screening as a matter of routine. Those who send emails to the Authority that end up being blocked by Messagelabs for whatever reason are deliberately not informed of the fact that they have not reached their destination. This is common practice as a deterrent against spam attacks on the Authority.

However, the system is unable to distinguish between spam and genuine complaints that contain foul language. Although the emails did not reach the person to which they were addressed, that person is informed that emails had been received and blocked.

This problem was highlighted to the relevant department and the Complaints Team asked the department to review procedures wherever possible to try and avoid similar occurrences in the future. Additionally, a staff protocol is to be drafted aimed at advising staff on what actions to consider when they receive notification of blocked emails.

- Improvements in communication between 2 service departments in relation to tree preservation orders. Agreed that all notices regarding Tree Preservation Orders are to be emailed to the Tree Preservation Officer to maintain accurate records.
- Regular reminders to departments to follow corporate guidelines with regards to the importance of acknowledgement letters and responses.

9. Comments / Compliments

- 9.1 Members of the public often feel that their experiences should be recorded without necessarily requiring a response. When comments of this nature are received we acknowledge and forward to the relevant service area. This has a positive impact on staff morale and allows departments to recognise good practices.

10. Other Functions carried out by the Complaints Team

10.1 The Regulation of Customers Behaviour under the Behaviour Policy.

10.1.1 The Team have issued several letters asking members of the public to moderate their behaviour and on occasion to use the Team as a single point of contact within the Authority. In addition the Democratic Services and Complaints Manager has written to individuals restricting contact. An example of a restriction is where a member of the public is restricted to contacting the Council in writing only.

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

10.2 Code of Conduct Complaints

10.2.1 Details of complaints against Councillors under the Code of Conduct are contained in the Standards Committee Annual Report to be presented to Council on 20 September 2012.

10.3 Freedom of Information Requests

10.3.1 This is an area where big increases have occurred since inception of the Freedom on Information Act in 2005-2006, when there were 320 requests and 14 reviews. This year the figure has increased to 838 requests and 21 reviews. There have also been 3 appeals this year.

10.3.2 Detailed analysis of the FOI requests are available in the Freedom of Information Annual Report 2011-2012.

10.4 Subject Access Requests

10.4.1 Co-ordinating subject access requests is a role that the Complaints Team have taken on since January 2010. At present the requests are in much smaller numbers than the Freedom of Information requests, however this is an area that is increasing as individuals become more aware of their right to have sight of their personal information.

10.5 Regulation of Investigatory Powers Act

10.5.1 The Regulation of Investigatory Powers Act (RIPA) 2000 allows local authorities to conduct surveillance activity where it is required for the purpose of preventing or detecting crime or of preventing disorder.

10.5.2 Detailed analysis can be obtained in the Regulation of Investigatory Powers (RIPA) Annual Report 2011-2012.

10.6 Interests, Gift and Hospitality of Councillors

This is a role that the Complaints Team has been involved in for many years. In recent years the records have been maintained electronically by the Team and are fed into the CCS Public website and Intranet.

10.7 Interest , Gifts and Hospitality of Chief Officers

A register is administered by the Complaints Team and it is a record of gifts and hospitality worth over £25.00.

11. Conclusion

- 11.1 This has again been a busy year for the Complaints Team. Despite the total number of complaints falling by 4% on last year, requests for information have increased by a further 15%.
- 11.2 The public's expectation of the Authority appears to be more demanding, despite efforts to manage customer expectation. On occasion, behaviour toward staff members has been unreasonable, and this has been addressed by use of warning letters asking individuals to moderate future behaviour.
- 11.3 As volumes of Information Requests are still increasing, facilitating the provision of information is becoming far more time consuming.
- 11.4 The Public Services Ombudsman for Wales has published a model complaint handling procedure. The Authority is currently considering the implications of this change.

12. Financial Implications

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

13. Legal Implications

- 13.1 None in this report.

Background papers: None.

Appendices: None.

Agenda Item 8b

Report of the Cabinet Member for Citizen, Community Engagement & Democracy

Cabinet – 4 October 2012

ADULT AND DIRECTORATE SERVICES COMPLAINTS ANNUAL REPORT 2011-2012

Purpose:	To report on the operation of the Adult Social Services Complaints team for the period 1 April 2011 to 31 March 2012
Report Author:	Huw G Evans
Finance Officer:	Carl Billingsley
Legal Officer:	Janet Hooper

FOR INFORMATION

1. Introduction

- 1.1 The City and County of Swansea's Social Services Complaints Procedure seeks to empower service users or those eligible to speak on their behalf to express their opinions.
- 1.2 Swansea's Social Services are committed to providing service users or other eligible persons with every opportunity to be listened to meaningfully and to have their concerns resolved quickly and effectively.
- 1.3 This procedure has been produced in accordance with the Welsh Assembly Government's 2005 social services complaints guidance, "Listening and Learning".
- 1.4 The intention of the statutory complaints procedure is to provide an avenue for service users or eligible persons to express their opinions on the way social services are provided in Swansea. The philosophy is to resolve any problems found and move forward in partnership. The complaints mechanism provides a clear and accessible system for all interested parties.
- 1.5 The production of this Annual Report is a statutory obligation and its format complies with regulations and guidance.

2. Complaints received during the reporting period

- 2.1 Table 1 below shows a synopsis of this year's complaints and provides a comparison with complaints received over the last 4 years.

TABLE 1: Complaints received by Adult Services (last 4 years)

Year	2008/09	2009/10	2010/11	2011/12
Complaints: Stage 1, 2 & 3	63	100	105	106

- 2.2 Table 2 below shows the number of Ombudsman complaint referrals and outcome status over the last 4 years.

TABLE 2: Ombudsman Referrals in respect of Adult Services (last 4 years)

Year	2008-09	2009-10	2010-11	2011-12
Section 16 (Public Interest Publicised)	1	0	0	0
Section 21 (not publicised)	2	1	0	2
Not investigated	-	1	1	3
Referred back to the Authority	-	-	-	2
Total No. of Referrals	3	2	1	5

3. Analysis by Stage of complaints received

3.1 Stage 1 Local Resolution

- 3.1.1 The statutory timescale for responding to Stage 1 complaints is 10 working days. Complaints at Stage 1 should quickly be resolved by referral to the manager of the team providing the service. Table 3 below shows complaints received broken down by service area.

TABLE 3: Number of Stage 1 Complaints - local resolution by Service Area

Commissioning & Partnership	2
Supporting People	1
Administration and Support Services	10
Learning Disability Assessment and Care Management	10
Learning Disability Service Provision	4
Mental Health & Adult Protection	12
Disability Services	22
Health Services & Care Home Team	23
Residential & Day Care Services	6
Community & Intermediate Care	2
External Service Providers	5
Total number of Stage 1 complaints	97

3.2 Learning from Stage 1 Complaints.

- 3.2.1 A good complaints process should not simply focus on resolving issues for the client, but also consider whether there are wider / systemic failings in service delivery. Although a failure in service delivery may adversely affect an individual, lessons can be learned from those failings to improve future service delivery.

- 3.2.2 In managing a complaint, every effort is made to ensure the issues raised are addressed as quickly as possible. Trends in performance are also evaluated by referral to appropriate officers responsible for the strategic overview of service provision.
- 3.2.3 The Complaints Team provide statistics to the client's care management team, or to the support service most appropriate to monitor the subject matter as part of quality control.
- 3.2.4 In accordance with established protocols, the Complaints Officer and Adult Services management team work together to determine how each element should progress if there is any further action required or trends or patterns identified.
- 3.2.5 Table 4 below, provides classification of reasons for complaints made at Stage 1 and their outcomes.

TABLE 4 - Stage 1 Complaints and their outcomes									
Reason for complaint	No.	Not Upheld	Upheld		Ongoing	Progressed	Referred to another process/ agency	Not Pursued (non engagement)	Ineligible or Withdrawn (notified)
			Part						
Delay in hospital discharge	6	1		4			1		
Continuing Care Issue	1	1							
Poor communication	1			1					
Breach of Confidentiality	1	1							
Direct Payment issues	3			2					1
Poor standard / quality of care	1						1		
Lack of support	7	4	1		1	1			
Disagree with assessment	7	4	2					1	
Disagree with rules set	4	2	1						1
Staff misconduct / behaviour	9	3	1	2			3		
Inadequate Home Support	3			1			2		
Excessive Waiting Time	2			1					1
Not following procedure	2		1	1					
Not happy with action taken	7	4			1	1	1		
Delay in assessment	5	2	2	1					
Withdrawal of service	1	1							
Unhappy with level of service	15	5	1	1	2		3	3	
Unhappy with charges levied	5	2	1	1	1				
Financial errors	1			1					
Failure to action information	1						1		
Lack of consultation	3	1	1	1					
Failure to respond to correspondence	3	1	1	1					
Failure to return calls	2	1		1					
Change in care plan									
Information/ Request for service	1	1							
*multiple & various contact client	6	4					2		
TOTALS	97	38	12	19	5	2	14	5	2

3.1 Stage 2 Formal Consideration

- 3.3.1 The timeframe for Stage 2 of the complaints procedure is 25 working days.
- 3.3.2 Progression to Stage 2 of the complaints procedure means that we failed to resolve the issues to the complainant's satisfaction at stage 1. Even in cases where the outcome or expectation may not be achievable, the complainant has a statutory right to progress a complaint to Stage 2. At this point the complaint is reviewed by an independent person commissioned specifically for this piece of work. A formal report is produced which presents the facts and considers ways to move forward. Resolution is always the prime objective of the complaints procedure. Table 5 below provides details of the 14 complaints that went to formal consideration this year.

TABLE 5: Stage 2 complaints – formal consideration by service area with source and outcome

	Service	Progression from Stage 1	Upheld	Within 25 days or agreed ext.
B/Fwd from 2010/11				
	Complaint Team	No	-	Out of time
	Younger Adult Team	Yes	-	Out of time
	POVA	No	-	Out of time
2011/12				
Administration & Support Services				
1	Financial Assessment Team	Yes	No	Yes
2	Financial Assessment Team	Yes	Yes	Yes
Health Services & Care Home Services				
3	Intake Team	Yes	Yes	
4	Younger Adult Team	Yes	Yes	
Learning Disability – Care management Services				
5	Transition Team	Yes	Yes	Yes
6	Transition Team	Yes	Yes	Yes
C/Fwd 2012/13				
Mental Health Services				
7	Cwmbwrla Day Service	Yes		Ongoing
There were 7 Stage 2 Complaints recorded in 2011/12				

- 3.4 Failure to adhere to a policy or procedure is clearly an error in service provision. However, the process also allows for the consideration of whether things could have been done better, which may also result in a complaint being upheld. Some complaints may be a difference of opinion rather than evidence of actual wrongdoing. The perception, definition or interpretation by the service user or their representative may be that there are issues that haven't been properly addressed. Whether the complaint is upheld or not, staff need to make every effort to reinstate confidence in a good working relationship with the service user or their representatives to move forward, following the formal Stage 2 process.

3.5 Learning from Stage 2 Complaints

3.5.1 C/Fwd Cases x 3: Out of time

3.5.2 Learning and development: One complaint was broken down into parts by the Complaints Officer to provide clarity.

3.5.3 The Complaints Officer initiated stage 2 complaints on two separate occasions but independent investigators were unable to secure the co-operation of the complainants at that time to progress the complaint.

3.5.4 Several attempts had been made to get the complainant to engage with the independent investigator which failed. The Complaints Officer decided that the allocation of further resources could not be justified.

3.5.5 The complainant was advised by the Complaints Officer why matters were being concluded, explaining that the complainant could go to the Public Services Ombudsman for Wales if unhappy with this decision.

3.6. Case 1: 0 out of 2 complaints upheld

3.6.1 A decision not to apply discretionary disregard to a debt repayment in the calculation of charges for residential care was challenged by a relative.

3.7 Learning and development

3.7.1 The findings of this complaint were in favour of the Authority because the justification for not applying the discretionary disregard was in accordance with Welsh Government Guidance. However, the investigation focused on known anomalies within the guidance which create confusion in public understanding. The Authority accepted this view and made a commitment to use its membership of forums to ask the Welsh Government for clarification in scheduled revisions of the CRAG.

3.8 Case 2: 2 out of 2 complaints upheld

The Authority provided reasons not to disregard a property occupied by a relative and these were challenged by the relative concerned.

3.9 Learning and development

3.9.1 The investigation highlighted difficulties in interpretation where discretionary powers exist. The Authority is now reviewing its practice to provide definitive guidance for use of these discretionary powers to avoid misinterpretation.

3.10 Case 3: 1 out of 3 complaints upheld

3.10.1 A client's relative was unhappy with the lack of a holistic response to accommodate potential future needs.

3.11 Learning and development

3.11.1 Being unable to meet public expectations through correct application of policies is a daily challenge for social services teams, but the outcome can be disappointing or frustrating for an individual who is experiencing problems. The investigation showed that the decision in relation to the client's needs was correct. However, it is recognised that carers have their own needs so a further offer of a personal assessment was made on this basis.

3.12 **Case 4: 6 out of 6 complaints upheld**

3.12.1 A client complained when services were withdrawn as their needs were unpredictable.

3.13 Learning and development

3.13.1 The report acknowledged difficulties in providing a service for meeting the fluctuating needs of a person with a degenerative illness. The protocols for providing services reflect need at the time the assessment is done.

3.13.2 The recommendations accepted from this investigation established that the action taken was procedurally correct in the application of policy at the time, but planning could have been better. It highlighted the benefit of person centred planning which is part of current service delivery projects.

3.13.3 During the investigation, changes in need were reported and appropriate services were put in place in accordance with existing policies.

3.14 **Case 5: 1 out of 3 complaints upheld**

3.14.1 A complaint arose following a disagreement between the client's carer and the team providing services regarding the calculation and use of direct payments.

3.15 Learning and development

3.15.1 Direct Payments are calculated in line with Welsh Government figures on resource costs; their use should meet the assessed eligible need.

3.15.2 The investigation established that it was difficult for members of the public to clearly understand the process from the information available and that there was a lack of objective attached to payments. This contributed to lack of understanding of purpose.

3.15.3 Whereas nothing was identified that was procedurally wrong in the decision making, the Authority accepted that the information provided could be improved and that this (together with a review of the basis of calculations) will be done in conjunction with an anticipated review by the Welsh Government as part of a national initiative.

3.16 **Case 6: 1 out of 3 complaints upheld**

3.16.1. Dissatisfaction with the time it took for responses to be received from the teams involved in providing services was raised.

3.17 Learning and development

3.17.1 The investigation found that there were lengthy delays in some responses but noted that the subject matter of the enquiry was extremely complex.

3.17.2 Due to the complexities of the questions asked, the analysis provided through the independent investigation reassured the client that the timeframes attributable to routine care management could not apply. The recommendations highlighted the need for keeping the client updated on progress with clear explanation of the reasons for delay.

4. Stage 3 Panel Review

4.1 If the Authority has failed to respond to a Stage 2 complaint within three months of it being raised, or is dissatisfied with a Stage 2 complaint response, the complainant may progress the issues for an independent panel hearing (Stage 3).

4.2 Stage 3 is part of the internal social services complaints procedure but is administered by an external body, the Independent Complaints Secretariat (ICS) for the Welsh Government (WG). The Panel consists of three people appointed from a pool of people retained by the ICS for this purpose, a layman, lay chairman and expert member.

4.3 The complainant and administrators (ICS) are in direct contact throughout the process.

4.4 The outcome of a panel hearing is conveyed by means of a report to both complainant and authority. The authority must then respond to the complainant of the Panel's findings and recommendations.

4.5 The internal social services complaints procedure is completed once this stage is fulfilled. Table 6 below shows the Stage 3 complaints handled this year.

TABLE 6: Stage 3 complaints - Panel Review by Service Area, source & income

	Service	Progression from Stage 2	Recommendations made
1	Mental Health Services	2010/2011	Yes
2	Learning Disability	2010/2011	Yes

4.6 Analysis of Stage 3 complaints

Both these cases were considered at Stage 2 in the previous year.

4.7 Case 1:

- 4.7.1 A client challenged the interpretation, recording and action taken in relation to an incident which occurred during the course of their support.
- 4.7.2 At Stage 2 it was found that action was taken in accordance with policy but avoidable delays occurred when addressing the issues that had been raised.
- 4.7.3 The Stage 3 Panel felt that the complaint had been dealt with properly at Stage 2 but reiterated that efforts should be continued to re-establish trust.

4.8 Learning and Development

- 4.8.1 In this particular case there were no recommendations by the Panel other than to reinforce the Authority's commitment at Stage 2.

4.9 Case 2:

- 4.9.1 A complex series of concerns had been presented; as a result, the response at Stage 1 was delayed and this was also the case at Stage 2. The final Stage 2 investigation report was provided to the complainant shortly after the complainant's request for a Stage 3 investigation due to lack of response.
- 4.9.2 The Authority's response was submitted to the complainant before the Panel had been convened, but the complainant pursued the hearing due to dissatisfaction with the answers provided. The Panel acknowledged the problems cause by delay but concluded that there were no outstanding issues to consider further.

4.10 Learning and Development

- 4.10.1 Following a service improvement review, it has been identified that it is sometimes difficult for officers to determine when concerns expressed about care management should be classified as complaints. No definitive guidance is available and some clients may consider it inappropriate or unnecessary to initiate the formal complaints procedure. This will further discussed in future training sessions.

5. Subject of Complaints and Outcome

- 5.1 Table 4 above sets out, in broad terms, the areas of dissatisfaction where complaints have been received this year. A complaint is classified as 'not upheld' when the complainant has been notified in writing to that effect. In other cases there may still have been conciliatory action taken to reinstate a good working relationship with the client.

- 5.2 One area of concern is complaints upheld in relation to delayed hospital discharge, which continues to be an area requiring improvement. This may be achieved through further analysis of the reasons for delay.
- 5.3 Although complaints of staff behaviour / misconduct are considered to be relatively low when considering the level of services provided, reflective discussions with managers at one to one meetings and appraisals is considered to be essential to help identify and address the factors that lead to complaints about staff.

6. Complaints resolved within timescale

- 6.1 The timeframe for dealing with social services complaints are set by legislation. Once each timeframe has elapsed, the complainant is advised of their right to progress to the next stage of the complaints process. Whilst every effort must be made to resolve the matters within these times, circumstances often dictate that resolution is still achievable within a reasonable time thereafter. The complainant's agreement is required to continue outside the allowed timeframe and the can withdraw this concession at any time. Timeframes were introduced to ensure that the issues were addressed within a reasonable period and no individual was left without knowing when they should receive a response.
- 6.2 Social care issues can be complicated. Every effort is made to resolve a problem through direct dialogue once an issue is known. Whilst an extended period results in a failure to meet the statutory deadline, this option is often more beneficial (and certainly more cost effective) than progressing to Stage 2 of the complaints process. Service users or their representatives are encouraged to participate throughout the process so they can express their wishes.
- 6.3 Tables 7 below shows details of the statutory timescales for dealing with complaints, and Table 8 shows how the Authority has performed against these timescales.

TABLE 7: Social Services Complaints Procedure - Statutory Timescales

Stage 1	10 working days / 20 working days or by agreement of the complainant
Stage 2	25 working days or by agreement with the complainant
Stage 3	Externally administered by the Independent Complaints Secretariat so PI not applicable to this report

TABLE 8: Evaluation of Stage 1 and Stage 2 complaints concluded within Statutory Timescales where timeframe evaluation fell within the year

Stage	Timescale	Achievement	
Stage 1	Resolved within the initial 10 working days	65	69%
	Resolved outside timeframe but within agreed period	19	20
	Complaints not resolved within statutory timeframe or agreed period	10	11
	Resolved within the initial 25 working days	0	0

7. Method of Contact for Adult Services Complaints

- 7.1 In accordance with the regulations the Complaints Team are happy to deal with complaints through the contact method most suitable to the complainant.
- 7.2 To ensure we meet demands and identify and react to trends appropriately, a record is kept on how incoming contact is made. The methods favoured by people who contacted us during this year with complaints against Social Services is shown in Table 8 below (n.b. Ombudsman investigations are not included since notification is always received in written form).

TABLE 9: Complaints either concluded or ongoing made up to stages 2 of the statutory Social Services Complaints Procedure during 2011/12

Description	No.	%
Telephone	49	47
Letter	30	29
Complaint Form	4	4
email	18	17
In person	3	3
TOTAL	104	100%

- 7.3 Telephone has been the preferred choice of initial contact this year. More complainants than ever before are stating that they are recording conversations; this is an issue for complaints staff as unilateral recordings by complainants may be tampered with. The Deputy Democratic Services & Complaints Manager is currently working with ICT (client side), looking at the feasibility of the installation of a corporate telephone recording system.
- 7.4 Over the last few years, use of electronic mail to make complaints has increased but this year shows a slight fall in its use (20% in 2010/11).
- 7.5 Although use of complaint forms is low they are predominantly favoured by service users of day services or residential establishments, therefore it is important to continue provision of complaint forms in these areas. Details of the complaints procedure are available by electronic fact-sheets so there should never be a lack of complaints information at any service venue.

8. Ombudsman

- 8.1 The remit of the Public Services Ombudsman for Wales is to identify whether a member of the public has suffered hardship or injustice through maladministration, or to identify where services have fallen below a reasonable standard. There is an obligation for a report to be produced on any investigation the office accepts. The reports produced are defined under two separate headings. Section 16 (Public Interest) Reports, for which there is a requirement for the Authority to publish details and Section 21 Investigation Reports which do not need to be published.

- 8.2 The Ombudsman can make formal recommendations for the Authority to take action. Further details of the role of the ombudsman's office can be found at <http://www.ombudsman-wales.org.uk>
- 8.3 During this year the Authority was notified of 5 representations by a service user.

8.3.1 Cases 1 & 2 - Section 21 notices issued

- 8.3.2 Two complaints were investigated by the Ombudsman this year regarding how the Safeguarding process interacted with employees of independent providers.
- 8.3.3 In both case Section 21 reports were issued with recommendations for separate compensation payments of £100.00 & £350.00.

8.4. Learning & Development

- 8.4.1 The recommendations reminded all Designated Lead Managers within the multi-disciplinary process, of their responsibilities for appropriate information sharing to those involved during the course of an investigation.

8.5 Case 3 - Not investigating

- 8.5.1 The Ombudsman requested file information and reviewed a submission from a resident when the Complaints Officer, after consideration of the facts, had refused to reconsider a complaint of disagreement with an assessment that had originated and received a response at Stage 1, over 12 months previously.
- 8.5.2 From the facts provided to the Ombudsman's office they agreed with the original decision of the service at the time; they also agreed with the Complaints Officer's decision and advised the complainant that the Ombudsman would not accept the submission for investigation.

8.6 Learning & Development

- 8.6.1 Even when there is no direction from the Ombudsman there may be something to learn. Staff should be confident in their application of the Authority's policies and procedures, including the complaints procedure, to give them guidance in their roles and be assured that properly made decisions will be supported.

8.7 Cases 4 & 5 – referred back to Authority

- 8.7.1 Two referrals were passed back from the Ombudsman as the Authority had not had the opportunity to resolve the concerns through the formal complaints procedure.

8.8 Learning and development

8.8.1 Social Services should always make clients aware of their right to refer dissatisfaction in service provision to the Ombudsman, as an independent adjudicator, should they not wish to use the internal complaints procedure. However, the Ombudsman usually advises complainants to pursue complaints through the Authority's Social Services complaints procedure first, giving the Authority an opportunity to address areas of concern before they are called upon to investigate.

9. Freedom of Information & Subject Access

- 9.1 Although requests are processed and information is provided by Social Services, the Complaints Team are gate-keepers for recording requests under Freedom of Information and Subject Access.
- 9.2 Managing and responding to these requests is set out in statute. The information involved is often complex, sensitive and may include references to third parties. Data is collated and reviewed before it is released. Some information may be redacted to ensure the Authority complies with data protection principles. FOI requests have to be fulfilled within 20 working days and Subject Access within 40 days.
- 9.3 Table 10 below shows the number of requests received over four years for information purposes. Further information on FOI and Subject Access requests can be obtained through the Authority's FOI annual report.

TABLE 10: Requests for information received re: Adult Social Services

	2008-2009	2009-2010	2010-2011	2011-2012
FOI	14	22	15	34
Subject Access	-	6	5	

10. Training

- 10.1 The Complaints Officer has provided regular induction training for new social services staff through Llwyn Celyn Training Centre, together with specific training for social workers on handling complaints.
- 10.2 Training on the complaints process has continued on site in residential care homes and day services. As well as good practice, training in complaints handling is a requirement of registration with the Care and Social Services Inspectorate Wales.

11. Compliments

- 11.1 As well as substantial acknowledgments of thanks from service users that are given to staff at the point of service delivery, 8 service users, relatives or friends conveyed their expressions of thanks for exceptional care formally through the Comment, Complaint or Compliment process.

The comments received commend both teams and individual performance across the entire range of support services. The communication is acknowledged by the Complaints Officer and the comments forwarded to the staff involved and their managers.

- 11.2 Many complaints received by the Complaints Officer focus on only one element of concern. Dissatisfactions are often accompanied by expressions of satisfaction overall.

12. Overview of the year

- 12.1 The total number of complaints received during 2011/12 remains similar to figures in 2010/11 (105).

- 12.2 There were more complaints at Stage 1 (90 received in 2010/11) but fewer progressed to Stage 2 this year (14 in 2010/11), indicating that more complaints are being resolved by the team providing the service.

- 12.3 84% of complaints were concluded with the statutory time in 2010/11. This figure has increased to 89% this year. Although not all circumstances can be adequately reflected in statistics, the drive for improvement on this performance should continue.

- 12.4 All Stage 2 complaints were concluded within reasonable timescales, but only as a result of agreed extensions. As this arrangement is negotiated with the external independent investigator and the client rather than the Authority, it would appear to indicate that the statutory 25 working day timeframe allowed is not adequate for the complexity and depth of enquiries required at this stage. This point has been fed back to the Welsh Government through current consultation on revisions to the Social Services Complaints Procedure through the All Wales Complaints Officer Group.

- 12.5 The consultation 'Making Things Better' asked Authorities whether the existing complaints process should be updated or amended to meet the needs of service users. The consultation exercise concluded on 30th May 2012 and feedback is hopefully expected in the near future.

- 12.6 This year's main service developments as a result of complaints raised, have been a) to review and develop assessment recording, b) improved consistency in financial assessments using Charging for Residential Accommodation Guidance (CRAG), and c) improvements in practice relating to the Safeguarding Vulnerable Adults process.

13. Review of this year's focus

- 13.1 Putting the formalised POVA/Complaints protocol into operational practice

- 13.1.1 This is now in place.

- 13.2 Developing links to support staff dealing with first contact complaints.

13.2.1 Social Services staff have been encouraged to contact the Complaints Officer for advice and support through the complaints procedure and to help manage client dissatisfaction. This helps to avoid added stress to both client and staff, often caused when unresolved issues become formal complaints.

13.3 Improving complaint reporting timescales for managers.

13.3.1 The Complaints Officer has worked with the Strategic Management Support Manager on the introduction of a new format of monthly reporting to the Head of Adult Services. Quarterly attendance at managers meetings has also been introduced to discuss and promote service improvement through lessons learned from concluded complaints.

14. Focus for 2012/13

14.1 Improve the monitoring and implementation of the complaint action plan

14.2 Continue the reporting of trends and patterns to Adult Services Management Group

14.3 Considering and implementing outcomes from the Welsh Government Consultation; *Making Things Better* when published.

15. Legal Implications

15.1. None

16. Financial Implications

16.1. All costs incurred in dealing with complaints have to be covered within existing Budgets in Legal Services.

16.2. External Independent Investigators and Independent Persons may be appointed to deal with some complaints in accordance with legislation. The cost to the Authority of providing this service in 2011/12 for Adult & Directorate Services was £16,267

Background papers: None

Appendices: None

Agenda Item 8c

Report of the Cabinet Member for Citizen, Community Engagement & Democracy

Cabinet – 4 October 2012

CHILD AND FAMILY SERVICES COMPLAINTS ANNUAL REPORT 2011-2012

Purpose:	To report on the operation of the Child and Family Services Complaints team for the period 1 April 2011 to 31 March 2012
Report Author:	Huw G Evans
Legal Officer:	Deborah Smith
Finance Officer:	Carl Billingsley

FOR INFORMATION

1. Introduction

- 1.1 The guidelines set out in the Welsh Assembly Government's 2005 social services complaints guidance "Listening and Learning", empowers service users (or those eligible to speak on their behalf) to express their opinions. This report has been written in accordance with those regulations and guidelines and the City and County of Swansea's Complaint Procedure.
- 1.2 City and County of Swansea's Child and Family Services are committed to ensuring that views are listened to, and that concerns are resolved quickly and efficiently. Information gleaned from this process is used to inform service development.
- 1.3 Where someone has been deemed 'not eligible' to utilise the social services complaint procedure in accordance with Listening and Learning, their complaints may be dealt with under the corporate complaint procedure to ensure that everyone is able to voice their concerns and that complaints are accessible to all.
- 1.4 Table 1 below shows complaints made against Child and Family Services from 2007/08 to 2011/12. Two new categories were introduced last year to record complaints made against other authorities, or to record contact from members of the public who do not wish to raise a formal complaint, or seek to have matters resolved with the teams prior to making a formal complaint.

TABLE 1 Total number of Complaints Received by Complaints Team					
	2007/08	2008/09	2009/10	2010/11	2011/12
Information purposes				16	16
Child Protection				1	2
Corporate	17	10	14	25	19
Corporate Stage 2					1
Stage 1	99	99	146	138	123
Stage 2	11	12	14	7	10
Stage 3	0	3	4	2	1
Ombudsman	0	1	4	9	4
Totals	127	125	182	198	176

- 1.5.1 Anonymous complaints have been recorded under the “information purposes” category as they are not investigated under the social services procedure.
- 1.6 The number of overall complaints has fallen slightly this year, with a 12 % decrease in the number of complaints compared to 2010/11.

2. Stage 1 Complaints

- 2.1 Table 2 below breaks down the Stage 1 Complaints received by Service Area.

TABLE 2 - Stage 1 Complaints by Service Area	
After Care Team (Barnardo's)	3
Adopt Swansea	1
Child and Adolescent Support Team (Local Resolution)	1
Children's Central Advice Referral & Assessment Team	9
Children's Central Advice Referral & Assessment Team (Local Resolution)	1
Child Disability Team	14
Child Disability Team (Local Resolution)	1
Child Protection Review Conference	2
Foster Swansea	2
Foster Swansea (Local Resolution)	1
Family Support Team (Local Resolution)	1
Head of Service (Local Resolution)	1
Independent Reviewing Officers	1
Independent Reviewing Officers (Local Resolution)	1
Looked After Children 14+	7
Looked After Children 14+ (Local Resolution)	1
Looked After Children	3
Looked After Children (Local Resolution)	1
Penderry	7
Swansea East Team	8
Swansea East Team (Local Resolution)	1
Swansea Valley Team	22
Swansea Valley Team (Local Resolution)	3
Swansea West Team	7
Swansea West Team (Local Resolution)	1
Townhill Team	16
Townhill Team (Local Resolution)	2
Unknown areas (one of these was an historical complaint)	4
Total number of Stage 1 complaints	123

- 2.2 Child and Family Services were restructured in October 2010. It is the view of the Complaints Officer this was a positive step which has resulted in a 14% overall drop in complaints at Stage 1.
- 2.3 There is no specific trend to show a shortfall in the service in one particular area.
- 2.4 Complaints received in respect Child Disability Services are just below the figure for the previous reporting year, however, their numbers are skewed in that there have been several complaints made by people in respect of the same service user.
- 2.5 Swansea Valley Team and Townhill Team are showing higher figures than the previous year, however, taking into consideration the restructure from the previous years and the amalgamation of the teams these are not high figures and do not show any specific trends in the teams. Where complaints have been upheld the teams are proactive in learning from those matters to ensure similar situations do not arise for other service users.
- 2.6 The number of complaints dealt with via Local Resolution without recourse to the complaints team have increased from 8 to 16. Nant y Felin handled 7 internal the outcomes of which have not been fed back to the Complaints Team as they related to internal differences between residents which are now resolved.

3. Corporate Complaints re. Social Services

- 3.1 Table 3 shows complaints received which did not come under the scope of the Social Services statutory complaints procedure. These were therefore dealt with via the Corporate Complaint procedure.

TABLE 3: Stage 1 Complaints handled by the Corporate Complaints Procedure	
Admin Team	2
Adopt Swansea	1
Child Disability Team	1
Foster Swansea	3
Penderry Team	1
Safeguarding	1
Swansea East	1
Swansea Valley	4
Swansea West	2
Townhill Team	2
Unknown areas	1
Total number of Stage 1 corporate complaints	19

- 3.2 There has been a 24% drop in complaints received via the corporate complaint process.

4. For information purposes and Child Protection

- 4.1 Table 4 below shows matters received which did not come under the scope of either the Social Services or corporate complaint procedures but which have been dealt with and information fed back to Social Services where appropriate or to other agencies.

TABLE 4 - For Information Purposes and Child Protection

Child Protection Concerns	2
Emergency Duty Team	2
Penderry	1
Swansea Valley Team	1
Townhill	3
Unknown areas	9
Total number of matters	18

4.2 The above table includes matters which have been resolved between the complainant and the service, without a formal complaint being made, or where concerns have been raised anonymously which do not come under the complaint procedure. They also relate to complaints which have been received in respect of other agencies and directed to the agencies concerned.

5. Further analysis - matters dealt with via Stage 1 and other contacts made against Children's Services

- 5.1 Table 2 above includes 7 complaints made by children/young people of whom only 4 took up the offer to be supported through the complaint process by an advocate from Tros Gynnal. There has been a 59% drop in the number of complaints made at stage 1 by children/young people from 17 to 7. In order to ensure that children/young people are not deterred from making complaints or are not aware of the process, the Complaints Officer will visit all the new children's homes which have opened in Swansea during the next reporting year. There have been no factors to give rise to a concern over the drop in complaints as children/young people coming into care are given information on their rights to make a complaint.
- 5.2 There were 7 internal complaints dealt with within both homes at Nant y Felin, 6 in Ty Nant and 1 in Ty Gwaun, these concerned differences between young people which had been resolved quickly by the Managers, the outcomes of which are not recorded in the report tables.
- 5.3 There were also four complaints made by care leavers this year, three of which have been upheld and the information fed back to the After Care Team. Checks were also made to ensure that other care leavers in similar circumstances, who had not made a complaint, were not at a detriment. None of the care leavers took up the offer to have an advocate support them through the complaint process.
- 5.4 There has been an increase in the number of complaints which have been dealt with locally by the teams concerned (Local Resolution) from 7 to 16 without the need to refer to the Complaints Officer during the process. The Complaints Officer monitors matters which are being handled by the teams to ensure they are dealt within the statutory timeframe.
- 5.5 There is an increase in the number of complaints made against Child & Family Services by those who are deemed 'not eligible' under the social services complaints procedure as they do not meet the criteria laid down in listening and learning to raise a complaint on behalf of a service user. One of those who had been deemed 'not eligible' under the process complained to the PSOW who did not uphold their complaint and agreed that the Authority had the discretion to decide whether a person was eligible to raise a complaint. Where possible, those who are not eligible to utilise the social services complaint procedure have had their

complaints addressed by the corporate process or have been advised to ask the 'eligible' person to contact the complaint office.

- 5.6 There is also an increase in the number of complainants who would like to utilise the complaints procedure to resolve contact matters which are currently in court proceedings. Such matters are outside the complaint procedure and the complainants were advised that they may wish to consider taking independent legal advice in order to resolve those disputes.
- 5.7 There has been a slight increase in complaints received from foster carers this year, despite raising their awareness of their rights to raise a complaint, either on behalf of themselves or on behalf of a young person in their care, via introduction of a foster care manual. There were five complaints received by Foster Carers this year compared to four last year.
- 5.8 Generally response times at stage 1 have improved across all teams in the last year, and it is encouraging that there have been no complaints which have escalated from Stage 1 to Stage 2 through a lack of response at stage 1.
- 5.9 There were no complaints by outside agencies on behalf of a service user this year or with regard to the operational procedures of social services.
- 5.10 Where complainants are directed to another forum or have exhausted the complaints process, complainants are advised that they may contact the Public Services Ombudsman for Wales if they think they have been unfairly treated and wish to have their complaint reviewed.

6. Further analysis - Stage 2 complaints against Children's Services

- 6.1 The current complaint regulations give an eligible complainant the statutory right to request Stage 2 of the process. Complainants are able to request that their complaint is dealt with directly at Stage 2 should they wish, and is not dependent on having been investigated at stage 1 or the outcome at stage 1. Table 5 below provides details of the complaints handled at Stage 2 of the complaints process.

TABLE 5 - Stage 2 complaints: Formal Consideration by service area			
Service	Progressed from:	Outcome	No.
Adopt Swansea	Stage 1	Not Pursued	1
After Care Team (Barnardo's)	Stage 1	Justified	1
Child Disability Team	Stage 1	Partially Justified	1
Child and Family Team (s)	Stage 1	Partially Justified	1
Foster Swansea	Stage 1 Started at stage 2	Not Pursued as YP raised own complaint Not Justified	1
LAC 14+	Started at stage 2	Partially Justified	1
Swansea Valley Team	PSOW Started at Stage 2	Partially Justified Withdrawn	1
Townhill Team	Stage 1	Not Justified	1
Total Number of Stage 2 Complaints			10

TABLE 6 - Stage 2 complaints: Formal Consideration by service area – corporate complaint procedure

Service	Progressed from:	Outcome	No.
Child Disability Team	Stage 1	Partially Justified	1
Total Number of Stage 2 Corporate Complaints			1

- 6.2 Of the 10 stage two complaints, 2 were not pursued, 1 withdrawn, 1 Not Justified 1, Upheld and the remainder were partially upheld. There was an increase in complaints requested at stage 2, as 7 were requested last year, 5 of which were investigated.
- 6.3 One complainant contacted the PSOW regarding their complaint which then proceeded under stage 2 of the process without being investigated under stage 1.
- 6.4 Two complaints were made against new teams one of which was partially upheld and the other not upheld.
- 6.5 All stage 2's have been responded to by the Head of Service and appropriate action taken in line with the recommendations to improve services to clients.
- 6.6 Of the 7 matters investigated under stage 2, none of them were completed within the statutory time frame of 25 working days. Complainants were consulted and agreed to the delays to ensure a full and proper investigation was carried out, rather than the matters being closed to complete with in the statutory timeframe. Examples of delay may have been where it was not possible to interview a staff member during the statutory time frame if they were on leave, or the need to contact workers from other organisations to request their participation in the investigation or staff who had left the employ of the Authority.
- 6.7 None of the complaints investigated under stage 2 have escalated to Stage 3 or the PSOW.
- 6.8 One complaint was investigated under stage 2 of the corporate complaint procedure as detailed in Table 6.

7. Stage 3 Complaint Review Panels

- 7.1 Eligible complainants are entitled to escalate their complaint to the Independent Complaint Secretariat at stage 3. Complainants are entitled to escalate their complaint should the stage 2 investigation remain uncompleted after 3 months or should they remain dissatisfied with the stage 2 investigation process.
- 7.2 There was 1 complaint made to the Independent Complaint Secretariat this year, representing a 50% decrease since the last reporting year (see Table 7 below).

TABLE 7 - Stage 3 complaints received by service area

Service	Progressed from:	Outcome	No.
Child and Family (s)	Stage 2	Justified	1
Total Number of Stage 3 Complaints			1

- 7.3 Whilst the complaint was upheld, a positive outcome is that the Panel provided good feedback on the comprehensive report completed at Stage 2. As the Head of Child and Family Service had provided a fulsome apology both in his letter following

stage 2 and during the panel hearing and matters had already been addressed by the Authority, the panel took the view that there was nothing further the Authority could do with regard to the complaint. The panel were of the view that the complaint had been effectively resolved and should be closed. The recommendation was that the Head of Child and Family Service should write to reiterate the verbal apology given during the panel hearing.

8. Public Services Ombudsman for Wales (PSOW) Complaints

- 8.1 Four complaints were made to the PSOW a decrease of 56%

TABLE 8 – PSOW Complaints

Service	Progressed from:	Outcome	No.
Child Disability Team	Stage 1	Not investigated	1
Swansea Valley Team	Direct to PSOW	Investigated at Stage 2 (not justified)	1
Swansea West Team	Direct to PSOW	Not investigated	1
Townhill Team	Stage 1	Not investigated	1
Total Number of complaints made to PSOW			4

- 8.2 None of the complaints were investigated by the PSOW.
- 8.3 One complaint was directed back the Authority to investigate as the complainant had not utilised the complaint procedure prior to contacting the PSOW. The complainant chose to bypass stage 1 and have his concerns investigated under stage 2 of the process. This complaint was not upheld.
- 8.4 Two complainants who had been deemed 'not eligible' to raise complaints contacted the PSOW regarding their complaints. These matters were referred by the PSOW back to the Authority, however, neither complainant pursued their complaint.
- 8.5 The complaint to Townhill Team was made by a parent who wished to complain about services to her son and had been refused a stage 2 investigation by the Complaints Officer. The PSOW concurred that the matters she wished to raise should be addressed via the courts and given that the service user was now 16 years old it was appropriate for the service user to be consulted. The PSOW did not investigate this complaint nor did they refer it back to the Authority.

9. Reasons for Complaints against Children's Services

9.1 Table 9 below lists the reasons for all complaints made against Children's Services in 2008/2009. A key to the codes used is provided in Table 10.

TABLE 9 Complaint	No	J	NJ	PJ	NP	NE	W	RCP	DTR	CR	IM	DA	CBC	DF	RA	FI	ESC2	OMB NI
Breach of confidentiality	8	2	3		2												1	
Child Protection concerns/queries	3							2				1						
Delay in assessment	2	2																
Delay in Service after Assessment	1			1														
Disagree with Rules set	2		1					1										
Dissatisfaction with assessment	12	1	1	5	3		1					1						
Dissatisfaction with contact arrangements	16	3	3	2		1					2	2	2	3				
Excessive Waiting Time	6	3	1						1						1			
Failure to action information	4		2	1		1												
Failure to respond to correspondence	1				1													
Failure to return calls	1				1													
Financial Errors	2	1	1															
Lack of consultation/involvement	8		4	2									2					
Lack of resources	1										1							
Lack of support	9		4	1		2					1				1			
Misconduct of staff	2		1										1					
Not following procedure/policy	8	3	1		1										3			
Poor Communication	8	3	2	1		1								1				
Request for service	3										1		1	1				
Staff Attitude	3		2		1													
Unhappy with action/service taken	48	2	7	4	8	7	3				1	3		8	1	1	2	1
Unhappy with level of service	13		3	4	2						1	2	1					
Unhappy with stage 2	1		1															
Unhappy with response	3		3															
Unknown	9				9													
Whistleblowing	1												1					
Total	175	21	40	20	28	12	5	2	1	2	2	12	1	17	1	3	7	1

Table 10: Key

No.	Number of Complaints	RCP	Referred to Child Protection
JUS	Justified	DA	Department to Action/Monitor
NJ	Not Justified	CBC	Circumstances beyond our control
PJ	Partially Justified	DF	Directed to another Forum
NP	Not Pursued	RA	Referred to another Agency
NE	Not Eligible	POL	Policy Matter
W	Withdrawn	ESC2	Escalated to Stage 2
RCP	Refer to Child Protection	OMB NI	Ombudsman Not Investigated
DTR	Department to Respond		
CR	Contact Resolved		

- 9.2 Further analysis of the complaints as detailed in Table 9.
- 9.3 Of the 175 total complaints received, 28 were not pursued by the complainant despite the Complaints Team being proactive in contacting the complainant usually at least on two further occasions in order to clarify the complaint in order to proceed.
- 9.4 Of the remaining 120 matters, 94% were completed within the statutory 10 working day timescale, or within a mutually agreed extended timescale (an improvement of 8% from last year). Of the remaining 6% the delays were either due to the complainant not maintaining contact with the Authority or the raising of various additional concerns (addressed during the process) which delayed the final response. Three complaints were sent the day after the timeframe had passed. The Child and Family Teams have been proactive in reporting delays that could affect response times which have been fed back to the complainant. No complaints were escalated to stage 2 due to a lack of response by the team.
- 9.5 Of the remaining 147 complaints which were investigated, 13.5 % were justified (a decrease from 24% in 2010/11) and 14% were partially justified (up from 13% in 2010/11). Issues identified in justified complaints are carefully analysed by service areas and action is taken to address those issues and improve service delivery. Information regarding justified or partially justified complaints is now being fed back to the teams as they arise in order to ensure service improvement.
- 9.6 Some matters are recorded under Information Purposes. Examples of these are matters where a person does not wish to raise a formal complaint but still wishes to resolve matters with the team which has been done through communication via the complaint department with the team manager. Anonymous matters are not eligible to be dealt with under the procedures and have been recorded in this section. There has also been an increase in persons making contact with the complaint department in order to raise complaints against other organisations or authorities who have been directed to another forum to assist with their complaints.
- 9.7 The number of complaints dealt with via local resolution has increased this year as the teams are more proactive in filtering this information through to the complaint office. Teams have been reminded of the importance of passing on details of complaints dealt with locally. This ensures that the Complaints Officer is aware of all complaints that have occurred within teams in order to monitor timeframes as well as having the information held centrally should a complainant decided to pursue their complaint via the complaint department.
- 9.8 Stage 1 responses within the statutory timescale (ten working days) have improved again this year. Team Leaders / Principal Officers need to ensure the Complaints Officer is advised where there is a delay so that the complainant can be contacted.
- 9.9 Where the Team Leader is proactive in providing a comprehensive response, or offers to meet with the complainant, this generally results in a better outcome and frequently resolves complaints at stage 1.
- 9.10 Good communication exists between the Complaints Team, the Principal Officers and Team Leaders in post which was maintained during this next reporting year by attending team meetings with restructured teams to advise staff on the complaint process. The Complaints Officer has regularly attended social services performance and quality meetings in order to feedback on complaints. Information on upheld complaints is also fed directly into the team's business reports.

- 9.11 Where complaints are withdrawn or not pursued, the Complaints Officer will determine whether action needs to be pursued outside the complaints procedure and information drawn to the attention of the relevant team in line with the guidance in Listening and Learning 6.7 Withdrawing a Complaint. Of the five complaints which had been withdrawn, it was decided that one needed to be followed up internally to ensure that there were no detrimental consequences to the service user.

10. How complaints are made

- 10.1 Table 11 below shows how complaints are being communicated to the Authority.

Table 11 Format of Complaint	Complaints Received
Telephone	93
Complaint form	7
Letter	18
Email	29
In Person	18
AM's letter	1
Solicitors' letter	4
Via Independent Complaint Secretariat	1
PSOW	4
Total	175

11. Advocacy

- 11.1 Since June 2004, children in need, those looked after and care leavers have a right to an independent advocate when making a representation or complaint about social services.
- 11.2 Tros Gynnal currently have the contract to provide advocacy services to Looked After Children and this has been the case since October 2010.
- 11.3 Advocacy have been involved in 4 complaints during this year, however, they have only referred one new matter to the Complaints Officer.
- 11.4 Should the need arise for a Child in Need, or a care leaver, to have the assistance of an advocate, this is also available under the statutory complaint procedure.
- 11.5 It is good practice for the Complaints Officer and the Advocate to maintain channels of communication in trying to resolve a concern. The Complaints Officer will meet with the young person and the advocate in order to ameliorate the complaint process for the young person.

12. Subject Access Requests (SAR) and Freedom of Information (FOI) Requests

- 12.1 One trend which continues to emerge from both the Stage 1 and Stage 2 procedures is that more complainants are now requesting to view both their social services files and the complaint files following the complaint procedure, or as a precursor to legal action against the Authority.

- 12.2 Subject to Access Requests (SAR's) can be made under the Data Protection Act and are administered via the Complaints Team. There has also been an increase in FOI requests regarding social services, both by individuals and the media, which are also administered via the Complaints Team. There is a need to ensure uniformity in the way departments handle SAR's and that staff awareness is raised regarding the procedures.
- 12.3 There have been 22 SAR's this reporting year compared to 9 in the previous year. However, it is anticipated that this amount is will be greatly increased the next reporting year as activity in this area is currently high.
- 12.4 FOI has seen a reduction this year from the previous massive increase of the last reporting year.. There have been 37 FOI Requests this year, down from 61 in 2010/11, which equates to a 41% decrease.

13. Compliments

13.1 What did service users compliment us on or make comments about?

- 13.2 Set out in Table 12 below are details of compliments which have been passed to the complaints team. The individual staff members have been made aware of the compliments concerning them as has the Head of Service.

TABLE 12 - Compliments received by Children's Services		
Team	Nature of Compliment	No.
Valley Team	<ul style="list-style-type: none"> External organisation praise support of social worker 	1
Foster Swansea	<ul style="list-style-type: none"> Praise by foster family of supervising social worker Praise for foster carers 	2
Swansea West	<ul style="list-style-type: none"> Parent praise of social worker 	
CAT N	<ul style="list-style-type: none"> Professionals and family members praise of social worker 	1
LAC	<ul style="list-style-type: none"> Compliment to social worker from CCS Lawyer 	1
CAST	<ul style="list-style-type: none"> Praise for team re training participation 	1
Penderry Team	<ul style="list-style-type: none"> Thank you card from child to social worker Compliment to social worker from IRO/CP chair Parent praise of social worker Compliment to social worker from CCS solicitor 	4
Ty Nant	<ul style="list-style-type: none"> Praise for team 	1
CDT	<ul style="list-style-type: none"> Compliment to social worker from former service user 	
Swansea East	<ul style="list-style-type: none"> Compliments to team from solicitor and guardian 	1
TOTALS		12

- 13.3 It is pleasing to note that there has been a wider spread of compliments received amongst the social services teams and that this figure has increased from 11 in the previous reporting year with compliments both from service users, their families and professionals external to the Authority.

14. Complaints Officer support work: Looked After Children and Young People

- 14.1 The Complaints Officer attends the Fe Fi Forum on a regular basis and the LAC Achievement Award Ceremony.
- 14.1 The views gained from the young people participating in the Fe Fi Forum are used to improve services provided to them.

15. Participation with Social Services

- 15.1 Meetings have been held with the Child and Family Senior Management Team on a quarterly basis.
- 15.2 Open Access to the Head of Service when needed in order to discuss various issues regarding complaints as they arise.
- 15.3 The children's Complaints Officer is now part of the Child and Family Service Quality Unit and arrangements are in place to ensure that reporting information regarding complaints is fed back to the teams on a regular basis and used to improve services across Child and Family.
- 15.4 Where information learned from complaints would apply to Adult Services, this information is shared with the Adult Complaints Officer to disseminate to Adult Services.

16. Participation with other organisations

- 16.1 Regular attendance of:
 - The All Wales Complaints Officer Group.
 - Children's Rights Practice Exchange Forum.
- 16.2 Regular contact with:
 - The Children's Commissioners Office.
 - Tros Gynnal Advocacy Services

17. Out of County Visits.

One visit was made to a service user placed out of county in order to discuss a complaint made by the parent.

18. Development Plan 2012-2013

- 18.1 Continue to provide training workshops for managers and social workers regarding the complaint procedure.
- 18.2 Continue to provide training workshops for Foster Carers.
- 18.3 Continue to improve reporting in line with the restructuring in social services.
- 18.4 Commence visits to LAC out of county; the complaints officer had agreed with line manager that she would complete six out of county visits the last reporting year; however, due to staff shortages this was not possible. Two out of county visits are planned for this reporting year as Independent Residential Provision has increased in Swansea and the Complaints Officer will visit these in the next reporting year.
- 18.5 The development of a customer complaint handling satisfaction survey.

- 18.6 Provision of revised quarterly reports, incorporating specialist report formats.
- 18.7 Continue to improve interaction with partner organisation Complaints Officers;
- 18.8 Continue to improve interaction with departments;
- 18.9 Access to the Paris system is to be provided;
- 18.10 Raise awareness of subject access requests amongst teams.

19. Conclusion

- 19.1 It is pleasing to report that the number of complaints have decreased from the previous reporting year as has the number of complaints which have been either upheld or partially upheld. It seems clear therefore that improvements which occurred in 2010-11 have continued to this reporting period and the proactive and positive way of dealing with complaints is becoming embedded throughout Child and Family Services.
- 19.2 There are now improved systems in place to monitor the service. Child and Family Services are now much better placed to use the information from complaints to improve its services.

20. Financial Implications

- 20.1 All costs incurred in dealing with complaints have to be covered within existing Budgets in Legal Services.
- 20.2 External Independent Investigators and Independent Persons may be appointed to deal with some complaints in accordance with legislation. The cost to the Authority of providing this service in 2010/11 for Children Services was reduced this year to £23,069.75 compared to £32,224.90 the previous year.

21 Legal Implications

- 21.1 None

Background papers: None

Appendices: None

Report of the Cabinet Member for Citizen, Community Engagement & Democracy

Cabinet – 4 October 2012

REGULATION OF INVESTIGATORY POWERS (RIPA) ANNUAL REPORT 2011-2012

Purpose:	To report on the operation of the Authority's use of surveillance, conducted under the provisions of The Regulation of Investigatory Powers Act (RIPA) 2000 for the period 1 April 2011 to 31 March 2012
Report Author:	Huw G Evans
Legal Officer:	Janet Hooper
Finance Officer:	Carl Billingsley
FOR INFORMATION	

1. Introduction

- 1.1 The Regulation of Investigatory Powers Act (RIPA) 2000 is designed to control the use by local authorities of their powers to conduct surveillance activity in circumstances where it is for the purpose of preventing or detecting crime or of preventing disorder. It ensures that there has been consideration of less intrusive options, that necessity and proportionality of any surveillance has been assessed and that it has been properly authorised. It also allows local authorities to acquire communication data from Communication Providers. Examples of its use in City & County of Swansea would be in tackling serious crimes, such as housing benefit fraud, rogue traders and test purchases by Trading Standards
- 1.2 The process must be in accordance with the Home Office's Code of Practice for Covert Surveillance and Code of Practice on Acquisition of Communication data and there are regular inspections every 2 years by the Office of the Surveillance Commissioner and the Office of the Interception of Communications Commissioner. The previous inspections were in 2010.
- 1.3 It is best practice for Members to have involvement in the overall approach to RIPA and monitor the Authority's surveillance processes and therefore an annual report is made to Cabinet, which is also in accordance with the recommendations of the Office of the Surveillance Commissioner.
- 1.4 This is the fourth annual report to Cabinet and will provide an overview of the Authority's practices and activity regulated by RIPA.

1.5 Glossary of Terms

RIPA	Regulation of Investigatory Powers Act (RIPA) 2000
OSC	Office of Surveillance Commissioners – Central Government
IOCCO	Interception of Communications Commissioner's Office
Glossary of Terms (continued)	
Inspection	Biennial event to monitor compliance in surveillance matters
RIPA Application	A request for a surveillance exercise
Applicant	Officer requesting surveillance
Countersigning Officer	An officer who brings further experience to the Application
Authorised Officer	Officer responsible for surveillance compliance and monitoring
CHIS	Covert Human Intelligence Source
Gatekeeper	Officer responsible for administration of surveillance practice
FOI	Requests made under the Freedom of Information Act 2000

2. Service Delivery

- 2.1 Table 1 below shows the types of surveillance permitted under RIPA for Local Authority use, comparing annual usage over the last 4 years.

TABLE 1 - Surveillance Permitted Under RIPA

	2008-09	2009-10	2010-11	2011-12
Directed	12	28	19	8
Acquisition / Disclosure of Communications Data	0	4	5	*
Covert Human Intelligence Source	0	0	0	0

Figures based on annual returns to the Commissioners:

- Surveillance April-March
- Interception of Communications Commissioner January – December

2.2 Directed Surveillance

- 2.2.1 A total of 8 Authorisations were granted during 2011-12. This is a continued and significant decrease on previous years, due to the Authority's guidance on use of alternative means being applied wherever possible.

2.3 Acquisition and Disclosure of Communications Data

- 2.3.1 Five notices were issued to Communication Services Providers requesting information on telephone numbers obtained during the year in enquiries relating to Trading Standards offences and incidents of fly tipping.
- 2.3.2 The Authority has implemented the recommendation of the Interception of Communications Commissioner's Office (IOCCO) and has joined the National Anti Fraud Network (NAFN) so that all applications for communications data are undertaken via their staff who are specialists in vetting applications prior to the information being provided.

2.4 Covert Human Intelligence Source

- 2.4.1 No CHIS activity has taken place to date.

2.5. Progress & Development

- 2.5.1 The RIPA Working Group continues to meet three times a year to discuss current topics relating to the use of RIPA.
- 2.5.2 The Working Group is attended by delegates from all services who may have a need to carry out surveillance in the course of their roles and responsibilities. It is a forum for shared experiences and reinforcing good practice. The Group has been credited in inspection reports by the Surveillance Commissioner.
- 2.5.3 This year we have introduced new working practices to ensure senior managers monitor and maintain the quality of applications for surveillance.
- 2.5.4 The Authority takes its responsibilities regarding use of surveillance very seriously and does not consider surveillance unless in accordance with the principals of the Office of the Surveillance Commissioner.
- 2.5.5 The continued reduction in surveillance exercises reflects the Authority's use of good practice models and published guidance.

3. Surveillance Activity

- 3.1 Table 2 below shows the use of RIPA by services and its purpose within the City and County of Swansea (CCS)

TABLE 2 - Use of RIPA		
Directed Surveillance		
Trading Standards	8	Illegal trading practices
Covert Human Intelligence Source		
None	0	
Acquisition and Disclosure of Communications Data		
Trading Standards	5	Illegal trading practices

- 3.2 CCS owns an extensive network of Closed Circuit Television (CCTV) systems. The purpose is to provide a safer environment for the benefit of the community. The system is managed and developed in partnership with the South Wales Police. The use of CCTV is not normally within the scope of RIPA , as it is an overt (not covert) method of observation and is not usually used for a “specific operation or investigation”. A separate code of practice and annual report apply to the CCTV system and are public documents.
- 3.3 However, if requested the CCTV system can also be used for a specific operation or investigation and it then becomes directed surveillance. Such requests are made by the police for law enforcement purposes in a specific exercise. In these circumstances, the use changes from overt to covert directed surveillance and will be regulated by RIPA. The Police have responsibility to comply with the legislation in these cases. As a matter of transparency and good practice we will include in this report the use of our equipment for this purpose. Any specific use for local authority purposes is reported under Service usage.
- 3.4 During the year, 2 directed surveillance requests were made by the police to utilise the Authority’s CCTV equipment which were conducted under Police RIPA authorisations.
- 3.5 Table 3 below provides details of directed surveillance Authorised Officers.

TABLE 3 – RIPA Authorised Officers.	
Name	Department / Section
Kevin Anderson	Housing
Jane Harries	Housing
Tal Davies	Housing Benefit (urgent HB / CTB only)
Rose McCreesh	Housing Benefit
Phil Thomas	Housing Benefit
Martin Saville	Environmental Health
David Picken	Environment and Health (Trading Standards)

4. Freedom of Information (FOI)

- 4.1 There have been 7 FOI enquiries related to RIPA activities during the year, most often press enquiries related to current affairs.

5. Review of last year's Development Plan

- 5.1 Progress of the Protection of Freedoms Bill.
 - 5.1.1 The Bill became the Protection of Freedoms Act 2012 when it received royal assent on 1 May 2012.
 - 5.1.2 The most significant issue affecting Local Authorities under the RIPA provisions in the Act, is the requirement that all their RIPA surveillance authorisations (i.e. Directed Surveillance, CHIS and the acquisition of Communications Data) will have to be approved by a Magistrate before they take effect. This particular section of the Act comes into force on 1 November 2012.
 - 5.1.3 A further change (also from 1 November 2012) is that local authority Authorising Officers may not authorise Directed Surveillance unless it is for the purpose of preventing or detecting a criminal offence which is punishable, whether on summary conviction or on indictment, by a maximum term of at least 6 months of imprisonment ,i.e. the Serious Crime Test. However, there is an exception to this general rule. Because of the importance of Directed Surveillance in corroborating investigations into underage sales of alcohol and tobacco, the Serious Crime Test will not be applied when Directed Surveillance is being done in these cases.

6. 2012 / 2013 Action Plan

- 6.1 Monitor and implement changes as a consequence of the Protection of Freedoms Act.
- 6.3 A decision will also need to be made as to who will provide training to interested parties on any changes introduced as a result of the new legislation.

7. Financial Implications

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

8. Legal Implications

As set out in the Report

Background papers: None

Appendices: None

Agenda Item 8e

Report of the Cabinet Member for Citizen, Community Engagement & Democracy

Cabinet – 4 October 2012

FREEDOM OF INFORMATION ANNUAL REPORT 2011-2012

Purpose:	To report on requests for information made under the provisions of The Freedom of Information Act 2000 for the period 1 April 2011 to 31 March 2012
Policy Framework:	None
Consultation:	Legal and Finance
Report Author:	Huw G Evans
Legal Officer:	Janet Hooper
Finance Officer:	Carl Billingsley

FOR INFORMATION

1. Introduction

- 1.1 The Freedom of Information Act 2000 places a duty on all Public Authorities to comply with the general right of access to all types of "recorded" information held by the Authority (unless an exemption applies under the Act).
- 1.2 FOI Requests must be dealt with within 20 working days. Failure to comply may result in a complaint against the Council being investigated by the Information Commissioner and ultimately the Council being found to be in contempt of court.
- 1.3 The FOI Act is fully retrospective and applies to all information held by the Council. The Council adopted a Corporate Policy on Freedom of Information and on Records Management in December 2004.
- 1.4 The FOI policy sets out the Council's commitment to making information publicly available unless there are sound operational or public interest reasons for not doing so or there are legal reasons preventing it.
- 1.5 FOI covers all recorded information held by the Authority. Recorded information may be in any format e.g. paper, floppy disk, video and includes both electronic and paper versions of records such as email messages, reports, minutes of meetings and floor plans. It can include such items as Corporate Briefing papers and Officers notes (including those of the Democratic Services Officer).

2. FOI Process

- 2.1 The Complaints Team logs and monitors requests for information under the Act. All FOI Requests must be in writing, however it need not state that it is made under the FOI legislation. The information requested must be adequately described. Authorities are under a duty to provide advice and assistance to applicants. It is a criminal offence both personal and corporate to destroy information to prevent its disclosure under FOI.
- 2.2 Once logged, FOI's are allocated a unique number and passed to the appropriate Departmental FOI Officer. The FOI Officer decides whether to call a FOI Panel in order to consider if there is a need to apply an exemption or to release the information requested.
- 2.3 The Complaints Team monitor progress of the request to try and ensure that the 20 working day timescale is adhered to.
- 2.4 The Democratic Services and Complaints Manager is responsible for all FOI Reviews required under the Act, which arise if the requester is unhappy with the response. The FOI decision is reviewed in conjunction with a Legal Officer and where appropriate a representative from the relevant Department.
- 2.5 Requesters also have a further right of appeal to the Information Commissioner.

3. FOI Statistics

- 3.1 The following table details FOI Requests by Directorate together with the figures for the previous year.

Table 1 - FOI Requests by Directorate															
	Chief Execs		Environment		Education		Regeneration		Soc. Services		Housing		Totals		
	10/11	11/12	10/11	11/12	10/11	11/12	10/11	11/12	10/11	11/12	10/11	11/12	10/11	11/12	
Requests	271	319	223	275	70	65	52	41	61	71	24	43	701	814	
Reviews	4	6	5	10	2	2	5	2	2	1	1	0	19	21	
Appeals	1	1	4	0	0	0	1	0	0	2	0	0	6	3	
Total	276	326	232	285	72	67	58	43	63	74	25	43	726	838	

4. Timeliness of Responses to FOI Requests

- 4.1 **814** FOI Requests were received during 2011 / 2012 representing a 16% increase on last years figures. Of those requests, **637** were responded to within the FOI time limit of 20 working days (78.3%). Although this response rate is slightly lower than last year (78.9% for 2010/11), it should be noted that the 16% increase in workload on last year has been administered with no additional increase in resources. In real terms, 84 more requests were responded to within the statutory timescale.

5. Breakdown of FOI Requests by Service Unit

- 5.1 The table below shows the breakdown of FOI Requests received by Service Unit.

Table 2 - Breakdown of FOI Requests by Service Unit	
Service Unit	No.
Legal Services	70
Corporate Property	24
Procurement	26
Finance	99
Communications	11
Service@Swansea	2
Performance & Strategic Planning	0
Human Resources	64
ICT	23
Education- School Planning & Resources	61
Education- Effectiveness	0
Education- Inclusion	4
Environment- Planning	53
Environment- Environmental Health	75
Environment- Management & Protection	27
Environment- Transport & Engineering	120
Regeneration- Community Regeneration	1
Regeneration- Development & Projects	0
Regeneration- Culture & Tourism	40
Social Services (Child & Family & Elderly & Disabled)	71
Housing/ Corporate Building Services	43
Total	814

6. Type of Applicant

- 6.1 The table below gives a breakdown of the type of applicant that made the FOI Request.

Table 3 - FOI Request by Type of Applicant	
Type of Applicant	No.
Individual	463
Commercial Organisation	151
Politicians	26
Press	124
Solicitors	9
Not for Profit Organisations	32
Freelance Journalists	9
Total	814

7. Type of Responses

7.1 The table below shows a breakdown of the type of response that the Council gave to the FOI Requestor. It is pleasing to note that **533** of the **814** were fully disclosed. This statistic clearly shows the Council's commitment to openness.

Table 4 - Type of Response given to FOI Requestor	
Type of Response	No.
Full Disclosure	533
Completely Refused	67
Data not held	39
Mainly Granted	63
Mainly Refused	34
Request Withdrawn	15
Ongoing	61
Timed Out *	2
Total	814

- Timed out is when the applicant does not respond to clarification asked for by the FOI officer therefore the Authority cannot proceed with the request.

8. Responses where Exemptions were necessary to withhold Information

8.1 Table 5 below shows a breakdown of the exemptions used under the FOI Act to withhold information.

Table 5 - Number of and List of FOI Exemption Used		
Section	Exemption	No.
12	Cost of Redacting & Extracting Information	49
14	Vexatious & Repeated Requests	0
21	Information reasonably accessible to the applicant by other means	7
22	Information intended for future publication	5
30	Investigations & Proceedings	6
31	Law Enforcement	18
32	Court Records	1
36	Effective Conduct of Public Affairs	6
38	Health & Safety	8
40	Data Protection	37
41	Information provided in confidence	5
42	Legal professional privilege	5
43	Commercial Interest	32
Totals		179

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

9. Reviews and Appeals

- 9.1 There were **21** FOI Reviews carried out during 2011/12. In **3** of those cases, the Requester has appealed to the Information Commissioner.
- 9.2 Of the **3** appeal cases, none were upheld. The Commissioner noted that one of these cases was initially handled under FOI legislation instead of EIR but this was identified at the Review stage and rectified.

10. Financial Implications

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

11. Legal Implications

None

12. Recommendations

It is recommended that the report be noted.

Background papers: None

Appendix: None

Agenda Item 9a

Report of the Cabinet Member for Finance & Resources

Cabinet – 4 October 2012

DELIVERING RESULTS THAT MATTER – ANNUAL REVIEW OF PERFORMANCE 2011-12

Purpose:	The report is a review of progress made by the Council in meeting the priorities, actions and targets set out in <i>Delivering Results that Matter</i> the Corporate Improvement Plan for 2011-12 as required by Part 1 of the Local Government (Wales) Measure 2009
Policy Framework:	<i>Delivering Results that Matter</i> Corporate Improvement Plan 2011-12
Reason for Decision:	To comply with statutory guidance and to approve and publish the Annual Review of Performance 2011-12.
Consultation:	Legal, Finance and Cabinet Member
Recommendation(s):	It is recommended that:
1)	The Annual Review of Performance 2011-12 is approved before being adopted by Council.
Report Author:	Richard Rowlands
Finance Officer:	Paul Cridland
Legal Officer:	Tracey Meredith

1.0 Introduction

- 1.1 The Local Government (Wales) Measure 2009 creates an obligation on Councils to account for improvement. The process for accounting for improvement falls into two stages.
- 1.2 Stage one should cover the Council's plans and Improvement Objectives for that year and should be published every year as soon as possible after the 1st April. Stage two arises when the Council is in a position to be able to account for success of the previous year's improvement activity and must be published before 31st October in the financial year

after the year to which the information relates. The attached report relates to stage two of performance reporting.

2.0 Content

- 2.1 The Annual Review of Performance is written in a way that is accessible to the general public and complies with statutory guidance.
- 2.2 It complies with the Council's Welsh Language Scheme. It will be published on the Council's internet site and links emailed to stakeholders and Town and Community Councils. Additional copies will be available at all main public offices, libraries and District Housing Offices. The format of the report is designed so that **Part 1 – Executive Summary** should contain enough information and detail to satisfy the general reader. **Part 2** – provides more technical detail that may be beneficial to Council staff and our stakeholders.
- 2.3 Members will be presented with the Review at Council and through the Scrutiny Boards. Staff will be made aware of the Review when it is publicised on StaffNet and through Top Brief.

3.0 Financial Implications

- 3.1 The financial resources required to implement all the actions and achieve the specified performance targets in 2011-12 were provided in the approved budget. Any additional financial implications which arose from the pursuance of the priorities in this plan would have been dealt with as a virement within the normal financial procedures.

4.0 Legal Implications

- 4.1 Once adopted, the Annual Review of Performance 2011-12 must be published at or before the statutory date of 31st October 2012.

Background Papers: None

Appendices: Appendix A – Annual Review of Performance 2011-12.

City & County of Swansea

Annual Review of Performance 2011-12

**City and County of Swansea
Dinas a Sir Abertawe**



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Foreword

We are pleased to introduce the City & County of Swansea's Annual Performance Review of 2011-12. This review describes the progress we have made during the previous financial year delivering the Council's priorities for improvement called 'Improvement Objectives' set out in that year's Corporate Improvement Plan 2011-12 'Delivering Results that Matter'.

The review demonstrates the huge amount of good work that we have undertaken during the previous year for the people of Swansea. We have made good progress delivering our priorities around sustainable communities, improved economic performance, caring for vulnerable people and safeguarding children and young people against a challenging backdrop - not least testing social and economic circumstances and the effects of the recession.

There is likely to be further and continual change over the next few years as local authorities adjust to reduced resources and seek new ways to deliver services. There will be even greater emphasis on achieving efficiencies, working together with other authorities to provide services and a continued focus on protecting front-line service delivery.

At the moment, the Council does not always have the right measures in place to answer the question 'is anyone better off?' as a result of the improvement work it has undertaken. The Council will seek to address this over the next year as citizens and their interests will be at the heart of this change and local authorities will measure success by asking what difference we made to the citizens who use our services.

We recommend that for the general reader **Part 1 – Executive Summary** should provide enough information and detail for most needs. If you require more detail or more technical information then you will find that in **Part 2** onwards.

Our Mission

DELIVERING QUALITY SERVICES FOR A GREENER, SAFER MORE PROSPEROUS SWANSEA

What is the shared vision for Swansea?

By 2020 Swansea will aim to be a distinctive European City. Making the City & County a place which:

- is great to live in
- provides a great start to life
- provides excellent education opportunities
- is safe and feels safe
- supports a prosperous economy
- supports and promotes good health
- provides the best possible services.

What are our community objectives?

1. Improve Swansea's environment for everyone
2. Make a better Swansea for all children and young people
3. Ensure excellent education opportunities for everyone in Swansea
4. Make Swansea safer for everyone
5. Make Swansea more prosperous for everyone
6. Improve health, social care and wellbeing in Swansea for everyone
7. Make better use of our resources.

What are the key things that we want to improve (our 'Improvement Objectives')?

The Welsh Government requires all Councils to publish their plans for improving what they do and how they do it. The key areas we want to improve are:

1. Ensure that younger adults, older people and carers have more choice and control over how they are supported by transforming adult social services
2. Ensure that vulnerable children are safeguarded and supported by maintaining and continuing improvements to Child and Family services.
3. Improve learning outcomes and assist pupils to achieve their potential.
4. Minimise waste and increase composting and recycling by promoting and facilitating the delivery of waste management and recycling services.

5. Improve people's employability by maximising the impact of the Council's regeneration programme to offer and facilitate training and work placements.

What is the Annual Review of Performance?

The Annual Review of Performance is the Council's own self-assessment on its performance delivering the priorities (called 'Improvement Objectives') outlined in the previous years Corporate Improvement Plan 2011-12 (CIP). The CIP is the Council's main strategic plan that sets out what the Council's priorities for improvement are, how they will be delivered and how success will be measured.

The Improvement Objectives are set following consultation with the public and other stakeholders. The CIP is adopted by full Council and is subjected to scrutiny through the Council's Scrutiny Boards. The delivery of the Corporate Improvement Plan is then monitored through the Council's performance and improvement arrangements. More information on this can be found in Part 3.

The Annual Review of Performance is put together with reference to evidence demonstrating the delivery of the Council's Improvement Objectives for the previous year and the 'impact' it had upon service users. It is sometimes difficult to measure the outcomes that result from services, especially where benefits might not become apparent for a number of years. Like other Council's in Wales, the City & County of Swansea is in the process of trying to devise measures that better demonstrate how people are better off as a result of the services that they receive. The Council hopes to make progress in this area in readiness for the next CIP, which will be published in the spring of 2013.

How can you get involved and propose new 'Improvement Objectives' during the year?

The Council has created a partnership consultation database to enable residents to easily access consultations that are being conducted by, or on behalf of the City and County of Swansea Council and its partners.

Here you can view the consultation, find out more details and if and how you can get involved in providing feedback. When a consultation is complete you will be able to download any relevant results/newsletters.

Please follow the link below to access the Consultation Database.

www.swanseasays.org.uk

Should you have any questions or queries about the Consultation Database, or you are experiencing trouble using it, please contact the Consultation Co-ordinator on 01792 636732 or fax 01792 637206 or e-mail consultation@swansea.gov.uk

You can also get involved through the Council's Scrutiny Boards, which are open to the public (see link below) or you can contact the Council's Access to Services Team to get involved on tel: 636907 or email accesstoservices@swansea.gov.uk

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

If you wish to propose new Improvement Objectives for 2013-18, you can contact the Council at any time by: Email to improvement@swansea.gov.uk Telephone 01792 636852.

Part 1 - Executive Summary

Progress delivering the Council's improvement priorities in 2011/12 & overall assessment

Improvement Objective 1

Ensure that younger adults, older people and carers have more choice and control over how they are supported by transforming adult social services.

What have we done?

- Reviewed the reasons for delays experienced by people leaving hospital for some other form of social care and taken appropriate action.
- Took part in regional arrangements and introduced charges to provide a sustainable community alarm service to help support people to remain at home or within the community.
- Continued work to transform Adult Social Services to give people more choice, voice and control over their care to meet their own individual needs.
- Progressed work on developing 'person centred' dementia care, which allows people to be treated with dignity and to exercise more choice and control over their care.
- Continued to develop the Adult Social Care workforce so that they can provide the right support to people as they are given more choice voice and control over their own social care.

How well are we doing?

- There were fewer delays being experienced by patients leaving hospital for some other form of social care when compared to the previous year.
- Clients were having their needs identified and met more quickly once assessed through speedier completion and reviews of Care Plans when compared to the previous year.
- It was taking longer to install aids and equipment in people's homes to help support them to remain at home or within the community rather than go into residential care when compared to the previous year.

Is anyone better off?

- **More people aged 18 to 64 but fewer people aged 65+ were supported to live at home and within the community.**
- **Admissions to residential care homes have remain constant but people are staying there longer, putting more pressure on the service.**
- **New services that allow people to return home after a stay in hospital or residential care rather than go into long term care and services that prevent people being admitted into residential care on an emergency or unplanned basis should help.**

Improvement Objective 2

Ensure that vulnerable children are safeguarded and supported by maintaining and continuing improvements to Child and Family services

What have we done?

- Worked with others to provide early intervention and prevention to reduce the need for children and families to experience future Social Service intervention.
- Sought to use resources more effectively through better staff training and support, improved information on service quality and better financial control.
- Worked to provide children referred to Child & Family Services with a quality and timely response.
- Sought to ensure that children who are looked after are supported to live within stable and permanent care arrangements.
- Worked to ensure children were safeguarded effectively.

How well are we doing?

- There was an increase in referrals to Child & Family Services but a reduction in re-referrals on the previous year.
- Established a pilot to support children who make up a significant proportion of referrals and re-referrals to Child & Family Services but who do not qualify for a Social Services intervention.
- Kept staff vacancies low, employed fewer agency workers and retained control over staff sickness levels to maintain service quality and help reduce costs.

- Overspent the Child & Family Services budget and reviewed the Financial Recovery Plan to try and address the problem.
- Performed initial assessments of children referred to Child & Family Services later due to increased numbers but completed more in-depth assessments more promptly.
- Put care plans in place for all children looked after at the start of their first placements and had a plan for achieving permanence in place for most.
- Slightly fewer children who were looked after had their care plans reviewed in time than the previous year but more children on the Child Protection Register had them reviewed within time to ensure their needs were continuing to be met.

Is anyone better off?

- **Increased the number of Foster carers but recruited fewer mainstream carers than anticipated, which led to a review of arrangements.**
- **Placed children with the most suitable carer and with permanence in mind.**
- **Placed fewer children with complex needs within their own communities than was anticipated, which led to a review of arrangements.**
- **Bettered the target to return more children who were looked after elsewhere to live in Swansea.**
- **Had more children who were looked after experience stable placements than in the previous year.**
- **There were fewer children who were looked after, on the child protection register (and on the child protection register for neglect only) in March 2012 compared to the March 2011.**

Improvement Objective 3

Improve learning outcomes and assist pupils to achieve their potential.

What have we done?

- Extended 2 Flying Start venues so that more families could benefit from the programme.

- Continued work to reduce surplus school places, improve the condition of schools, increase places for Welsh medium education, rationalise post-16 provision and increase provision for pupils with additional learning needs.
- Helped families to support learning within the home.
- Sought to improve school attendance.
- Continued to support children with special educational and additional learning needs to achieve their potential.
- Sought to improve pupil literacy and educational attainment and fewer children leaving school without a formal qualification.
- Worked to ensure fewer children are not in education, employment or training at 16 years of age.

How well are we doing?

- Increased the numbers of children aged up to 3 years old benefiting from Flying Start.
- Reduced English-medium surplus school places and expanded Welsh-medium primary school places.
- Introduced ways of working into schools and homes that gives pupils and their families the tools to deal with problems themselves and provide a supportive home environment for learning.
- Improved school attendance in primary and secondary schools compared with the previous year.
- Kept the numbers of pupils excluded from schools low.
- Ensured that all pupils who were looked after received a recognised qualification.

Is anyone better off?

- **Flying Start pupils showed improvements in their development and language better than the expectation.**
- **When compared to the previous year, there was improved educational attainment at ages 7 to 11 and 14 to 16, fewer children left school with no formal qualifications and fewer children at 16 were not in education, employment and training.**

Improvement Objective 4

Minimise waste and increase composting and recycling by promoting and facilitating the delivery of waste management and recycling services

What have we done?

- Introduced alternate weekly refuse collections across Swansea and continued to expand food waste and dry recycling collections from flats.
- Continued to work with other groups and organisations to try and increase recycling and reduce waste.
- Continued initiatives to try and increase recycling and reduce waste, such as door knocking in areas where participation is low and promoting the use of real nappies as an alternative to disposable ones, among other schemes.
- Developed a strategy for the next 5 years to continue to reduce waste and increase recycling.
- Worked to reduce fly tipping through enforcement and embedding the alternate weekly refuse collection arrangements.

How well are we doing?

- There has been a continuing reduction in the amount of waste sent to landfill and a corresponding increase in the amount of waste recycled; meeting the Welsh Government targets will still prove challenging.
- There have been fewer fly tipping incidents when compared to the previous year.
- Fewer fly tipping incidents were cleared within the time set when compared to the previous year.

Is anyone better off?

- **A survey showed that nearly 72% of respondents agreed that the change to alternate weekly refuse collections had encouraged them to increase the amount of waste that they recycled.**
- **The same survey found that 81% of respondents felt that the amount of fly tipping had got better or stayed the same.**

Improvement Objective 5

Improve people's employability by maximising the impact of the Council's regeneration programme to offer and facilitate training and work placements

What have we done?

- Continued to collaborate with other Council's in the region through the *Workways* project to work with employers to help the economically inactive and unemployed back into employment.
- Continued to implement the *Beyond Bricks and Mortar* scheme, which uses social benefit clauses within regeneration contracts to provide employment and training opportunities for the long term unemployed and economically inactive.

How well are we doing?

- Signed up more people to participate in the *Workways* project to help them back into work.
- Increased the number of Small and Medium Enterprises (SMEs) and partners signed up to the *Beyond Bricks and Mortar* scheme to widen training and employment opportunities.
- Increased the number of public sector contracts with social benefit clauses through *Beyond Bricks and Mortar* to widen training and employment opportunities.

Is anyone better off?

- **Fewer *Workways* participants entered employment as a result of the project than anticipated due to changes in eligibility; 201 participants however did benefit by finding employment.**
- **74% of *Workways* participants who responded to a survey said that the project had made a positive difference to their employment prospects.**
- **47 trainees were placed with 29 contractors in 2011/12 through *Beyond Bricks and Mortar*; 30 trainees still had their placements at the end of the year.**
- **80% of *Beyond Bricks and Mortar* participants who returned a survey said that they had benefited personally from their placement.**

Overall assessment

- The Council has made good progress delivering its Improvement Objectives for 2011-12.
- The Council is clear about where expectations have not been met and has put in place remedial strategies and actions to improve performance.
- The Council recognises that, like other Council's and public bodies in Wales, it needs to develop better measures of whether or not anyone is better off as a result of the improvement work it has undertaken; work will continue on this in readiness for the next Corporate Improvement Plan.
- This assessment will be reviewed and explored through the Council's Scrutiny arrangements.

Performance information and how it is used

The Council works with its partners to decide the collective priorities for the whole of the people of Swansea are, which are published within a 'Community Plan'¹, and monitored.

The Council must decide its own priorities every year too, which then appear within a 'Corporate Improvement Plan'.

Each service within the Council produces a 4 year Business Plan. Each plan describes how Council services will deliver their own objectives and contribute towards meeting the community and corporate priorities.

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

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

The Council's Overview and Scrutiny Boards ² are an important way in which elected Members hold the Council's executive to account. They act as a 'critical friend' to the Cabinet and other decision makers within the Council in order to promote better services, policies and decisions.

Delivering a wide range of services with reduced resources and significant pressures attracts risk (and opportunities) which needs to be effectively managed and controlled.

Risk is managed at different levels within the Council ranging from individual projects that have risks that are managed within that project, through to risks that affect the community as a whole, such as flood risks.

The Council is committed to treating people fairly and according to their needs in all its services. The Council has a 'Welsh Language Scheme' and an 'Equality and Diversity Scheme', which are aimed at ensuring everyone in Swansea is treated fairly and equally and that people are not discriminated against.

The Council continues to assess its proposed functions, policies and procedures and budget for their impact on different groups.

The Council is committed to ensuring that its services are sustainable for the service users and the people of Swansea. In 2011/12, the City and County of Swansea adopted a new 'Sustainable Development Policy'.

¹ The 'Community Plan' will be replaced with a 'Single Integrated Plan'

² The Council's scrutiny arrangements have changed from 2012/13.

The Council has developed a bespoke and corporate approach to improving performance in areas where significant improvements are required.

The Council is currently using this approach to respond to a statutory recommendation from the Wales Audit Office concerning the Council's Planning Committee arrangements.

Collaboration with others in 2011/12

We are collaborating with other Welsh Council in the following areas (**this list is not exhaustive**) to improve services, share information, take advantage of expertise and / or provide efficiencies and cost savings:

- Legal services
- Food waste treatment.
- Highways maintenance and management.
- Transportation.
- Healthy Cities.
- Trading Standards.
- Community Safety.
- Architecture and engineering professional services.
- School Improvement Services.
- Housing Market Assessment to identify requirements for future housing provision.
- Improving access to safe and secure accommodation and support for women.
- Creating local supply chain and training and recruitment opportunities.
- Reviewing economic growth and employment land requirements.
- Review of the Shoreline Management Plan.
- Working on matters such as Rights of Way, Wales Coastal Path, Marine Special Areas of Conservation, etc.
- Workforce development initiatives.
- Producing a cross-Council Occupational Health Framework.
- The Local Government Pension Scheme (LGPS) producing standard communication material.
- Health and Social Services integrating services to make better use of resources and deliver better outcomes for people.
- Supporting people with Learning Disabilities, Mental Health needs, Older People and Children by commissioning specialist services more effectively.
- Commission places for looked after children with foster carers and in children's homes to improve the matching of children's needs to

available support, increase the stability of placements and make cost savings.

- Person centred dementia care.
- Developing a Results Based Accounting framework for the provision of Leisure, Cultural and Library Services in Wales.
- Providing a unified Archives service and Joint Resilience Unit with Neath & Port Talbot Council.
- Procurement of goods and services.
- Collaborated with other organisations to make a case for a Swansea Bay Region and successfully lobbied for the inclusion of rail electrification into Swansea station to drive economic growth.

City & County of Swansea

**Part 2 –
Annual Review of
Performance 2011-12**

**City and County of Swansea
Dinas a Sir Abertawe**



Part 2 - Progress delivering the Council's improvement priorities in 2011/12

Improvement Objective 1:

Ensure that younger adults, older people and carers have more choice and control over how they are supported by transforming adult social services.

Why did we choose this objective?

- An ageing population, limited public finance, increased costs and the changing expectations of people who need support all combine to create different and increased demand for adult social care services.
- This means there will be a greater need for prompt services that are responsive and tailored to meet people's needs and preferences. There will also be a requirement to see a continued improvement in the balance of care towards community based support.

What outcome for Swansea does this contribute to:

- Improve Health and Well-Being in Swansea for everyone.

What are our Priority Areas?

Fewer hospital patients jointly agreed to be ready for discharge are delayed due to social care reasons.

More people having care plans completed and reviewed promptly to ensure their needs are identified and met.

Assistive technology is installed promptly following agreed care plan to help people live at home and within the community.

A workforce developed to raise standards across Adult Social Services.

People having more choice, voice and control over their care to meet their personal needs.

People supported to live at home and within the community

How well are we doing in our priority areas?

During 2011/12 the Council has undertaken the following work to try and deliver its priority areas:

Fewer hospital patients jointly agreed to be ready for discharge are delayed due to social care reasons.

- The Council has undertaken monthly reviews of delays and the reasons for such delays experienced by patients leaving hospital for other forms of social care. The Council worked with Health partners to try and reduce such delays by improving availability and access to local services.

What was the impact?

- Following a peak of 27 delays in June 2011 (16 of which were due to waiting for a home care package to start), performance has improved and the number of delays has fallen steeply to just 2 instances recorded in February 2012 (none of which were related to waiting for a home care package to start).
- In comparison with itself and other Welsh Councils, Swansea's performance improved; this would see Swansea improve from 20th in Wales to 18th position based upon 2011/12 results, although still worse than the Welsh average in 2011/12.

More people having care plans completed and reviewed promptly to ensure their needs are identified and met.

- The Council has sought to put care plans in place quickly for people who have been assessed as needing care so that their needs can be identified and met as soon as possible.
- The Council has also worked to review care plans within time in order to respond to changing needs and to ensure that care plans continue to be centred on meeting people's individual and particular requirements.

What was the impact?

- More clients had their care plans completed and reviewed within timescales in 2011/12 than any time since 2006/07. This means that clients had their needs identified and met more quickly. However, this still saw Swansea drop from 13th to 15th position in Wales and performance drop slightly below the Welsh average.

Assistive technology is installed promptly following agreed care plan to help people live at home and within the community.

- The Council took part in regional arrangements and introduced a charging policy

to support a sustainable community equipment and alarms service to continue to help support people to live at home and within the community and help prevent admissions to either hospital or residential forms of care.

What was the impact?

- Swansea citizens had 4,000 items of equipment provided in 2011/12. Further community based assistance was provided to 4,624 people who agreed to pay for community alarms and, under the new charging policy, a further 1,353 receive a free service (September 2011).
- It took on average seven days from when people were initially assessed to the installation of aids and equipment, which is longer than the 5.5 days reported in 2010/11 and the agreed 5 days target.
- The Council has recently concluded a partnership agreement Swansea Council, Neath & Port Talbot Council and Abertawe Bro Morgannwg University Health Board. All procurement, storage, delivery, maintenance, repair, collection and recycling of Community Equipment is now comprehensively covered by this agreement, and the Council would expect to see improvements take place during the year

People having more choice, voice and control over their care to meet their personal needs.

- The Council continued to work on delivering a programme to transform adult social services to provide people with choice, voice and control over their care and to encourage independence and meet their individual and bespoke needs.
- 3 year plans for commissioning services were developed to deliver the transformation of the Council's older people's services and provide people with choice, voice and control over their care.
- The Council worked with partners to develop dementia care services that are centred on the individual, which allows them to be treated with dignity and respect and to express choice and control in their lives.

What was the impact?

- The full outcome from this transformational work underway will become more apparent over time but should see more people taking advantage of locally available and preventative services, more people directing their own care and more people having tailored care services to meet their own needs.
- For example, an evaluation of the St John's locality pilot has shown many day service referrals that might have previously gone on the waiting list for St John's (Residential Care Home) have been successfully addressed through new and existing day opportunities.
- The Council has worked with partners to develop dementia care services that are

centred on the individual and allow them to be treated with dignity and respect and to express choice and control in their lives. People with dementia who have 'challenging behaviour' are often poorly supported and as a result can be inappropriately placed the wrong type of residential care. For example, a pilot site has been identified to work closely with the short stay unit at Ty Waunarlwydd to develop a multi-agency 'Support and Stay at Home' service to support people with dementia to remain at home, including the use of 'Just Checking' assistive technology

A workforce developed to raise standards across Adult Social Services.

- Services within Adult Social Services are being re-shaped so that they are centred on meeting people's needs and on improving results for service users instead of a 'one size fits all' approach. It is important that social care staff are appropriately trained and supported so that they can adapt to these changes to ways of working.
- The Council has sought to develop the adult social care workforce through training, workshops and coaching and mentoring to ensure it is suitably qualified and able to provide the right support to people as they are given more choice and control and services become more focused on promoting independence.

What was the impact?

- Progress in 2011/12 has included the development of a comprehensive training programme, a coaching and mentoring scheme, training around delivering social care centred on meeting people's needs and on approaches that emphasise the importance of improving outcomes for service users; work will continue into 2012/13.

Is anyone better off?

People supported to live at home and within the community.

- The Council is continuing to work to support people more at home and within the community, which is the preferred option before considering residential care. Improving support for people to live at home and within the community, such as assistive technology, should help achieve this.
- The Council has also investigated developing a 'step down' service for people discharged from hospital to enable them to return home rather than go into long term care.
- An initial business case has been put together for developing long term homecare services aimed at reducing the numbers of people being placed into care homes as a result of an emergency or unplanned crisis.

What was the impact?

- In 2011/12, more clients aged 18 to 64 were supported within the community than anytime since available figures going back to 2005/06, which saw Swansea remain within the top quartile in Wales based upon 2011/12 national results. However, fewer clients aged 65+ were supported in 2011/12 compared to 2010/11 with both years representing a decline in performance; this was due to the numbers of clients in residential care increasing. This performance saw Swansea remain at 20th position in Wales based upon 2011/12 national results.
- With clients aged 65+ the focus has been on carrying out reviews of care plans to consider whether their social needs have already been met by services provided and to focus on extending the range of re-ablement services. This transformation of adult social care services has resulted in a fall in the numbers of people receiving community based services.
- At the same time the number of people in residential care has increased. Whilst the number of people placed remains consistent, those people in residential services are remaining there for longer. This change has impacted on the 'balance of care' performance; however the Council is working with Health partners to develop plans to extend the range of integrated services available in Swansea, e.g. step up and step down services, emergency response, etc.

The partners we worked with on this	Abertawe Bro Morgannwg University Health Board (ABMU), external social care providers
Resources	Sources Funding are: Adult Social Services Budget
Link to Equality Objectives	Equality Objective 18 - Improve access to Social Services provision, ensuring that the service user's needs are at the centre of all planning and commissioning activities.
Other council improvement activities this objective links to	Health, Social Care and Well-Being Strategy. Adult Social Services Strategic Delivery Plan. Transforming Adult Social Services Strategic Programme.

Improvement Objective 2:

Ensure that vulnerable children are safeguarded and supported by maintaining and continuing improvements to Child and Family services.

Why did we choose this objective?

- The Care and Social Services Inspectorate for Wales (CSSIW) published an Inspection Report for Child and Family Services in March 2010.
- Inspectors reported that Child and Family Services had consolidated and built upon improvements despite a significant increase in activity.
- Services to children and families have continued to improve. However, a number of significant challenges remained and Swansea needed to sustain the improvements already made and continue to improve.
- There is a high rate of referrals and re-referrals coming into Child & Family Services each month.
- Swansea has high numbers of children who are looked after.

What outcome for Swansea does this contribute to:

- Make a better Swansea for all children and young people

What are our Priority Areas?

Early intervention and prevention to reduce the need for children and families to experience future Social Services intervention.

Children referred to Child & Family services have a quality and timely response.

Children who are looked after are supported to live within stable and permanent care arrangements.

Resources are used effectively.

Children are safeguarded effectively.

How well are we doing in our priority areas?

During 2011/12 the Council has undertaken the following work to try and deliver its priority areas:

Early intervention and prevention to reduce the need for children and families to experience future Social Services intervention.

- Worked with others to intervene earlier and provide families with co-ordinated support to prevent children from entering the care system.
- Introduced a system to check that children were appropriately referred and assessed during the previous week.
- Introduced a service that allows our partners to check with an experienced social worker before referring a child to Child & Family Services.
- Reviewed services to ensure that whenever possible children remain within the care of their own families without entering the care system.
- Introduced a pilot with partners to support and promote inclusion of children that make up a significant proportion of referrals and re-referrals to Child & Family Services but do not meet the criteria for Social Services intervention.

What was the impact?

- The numbers of children referred to Child & Family Services increased between 2010/11 and 2011/12. Some of this increase was due however to Child & Family Services identifying earlier which children and families would benefit from co-ordinated support to prevent them from needing further intervention.
- Although the Council was slightly outside of its target to reduce re-referrals, there was an improvement in 2011/12 (30.9%) compared to the previous year (34.8%) and saw Swansea's national position improve from 19th to 17th position in Wales, although Swansea remains just outside the Welsh average (29.7%). Analysis of repeat referrals shows that the vast majority of these referrals to be low risk, domestic abuse incidents reported by the police. The introduction of a Domestic Abuse Prevention Co-ordinator in 2012/13 to work with families will help deal with this.
- The recent CSSIW Inspection of Access highlighted that there are currently no arrangements in place with partners to support and promote inclusion of children that make up a significant proportion of referrals and re-referrals to Child & Family Services but do not meet the criteria for Social Services intervention. A pilot has been established to address this gap in services.

Resources are used effectively

- Introduced new professional training for social workers to improve the quality of social work practice.
- Looked to improve staff training, appraisal and supervision in order to improve the recruitment and retention of social work staff and reduce the reliance on agency workers, which aims to improve the consistency and quality of social work practice and reduce staffing costs.
- Sought to produce better information on service quality to help further improve social work practice.
- Introduced new procedures and ways of working to improve financial control

What was the impact?

- Vacancies within Child & Family services during 2011/12 remained low with slightly more vacancies as at March 2012 compared to March 2011. The Council also employed fewer agency workers as at March 2012 (1 agency worker) compared to March 2011 (5.4 agency workers). Staff sickness rates remain a concern but there are prospects for improvements as efforts are helping to address long-term sickness.
- Child & Family Services overspent by £3.98m in 2011/12. Areas of increased financial pressure include the costs of external residential placements for looked after children and recruiting fewer mainstream foster carers than expected. The Child & Family Financial Recovery Plan has been reviewed to deal with these pressures.

Children referred to Child & Family services have a quality and timely response.

- It is important that children who are referred to Child & Family Services are quickly assessed so that their needs can be identified and met as soon as possible. Children referred to Child & family Services undergo an initial assessment followed, if necessary, by a more in-depth one.
- It is important that children who are looked after by the Council have care plans put in place at the start of their placement that emphasises the need for services to provide a stable home life for the child and as few changes of placement as possible. It is also important that these care plans are regularly reviewed to ensure the child's needs are continuing to be met.
- The Council has introduced arrangements in 2011/12 to bring together information from a variety of sources including feedback from complaints, comments and compliments, case file audits and work with young people. The Fe Fi Forum (made up of looked after children) met every school break and the Swansea Parent and Carers' Forum met to provide opportunities to share information,

comment on Council plans and offer practical and constructive suggestions for improving services.

What was the impact?

- The Council missed its target to complete initial assessments quickly (77.8%) and it also performed slightly worse than the previous year (78.7%). This was because the higher number of children referred to Child & Family Services meant that there were also more initial assessments to complete; however, performance is better than the Welsh average (69.2%). The Council did however manage to complete more in-depth assessments within time and performed better in 2011/12 (68.9%) than the previous year (57%), which saw Swansea improve one place from 17th to 16th position in Wales; although performance is still worse than the Welsh average (73.2%).
- All children looked after by the Council had care plans in place at the start of their first placement in 2011/12 and 95.5% had a plan for achieving permanence in place; although this was slightly less than in 2010/11 (96.7%) it still saw Swansea improve four places from 14th to 10th position in Wales in 2011/12.
- In 2011/12, slightly fewer (87.5%) children looked after by the Council had their care plans reviewed within time than in the previous year (85.4%) and performance was below the Wales average (91.8%) although Swansea remained at 19th position in Wales. Fewer child protection reviews were carried out (94.23%) than in 2010/11 (98.35%), which was fewer than the Wales average (96.9%) and saw Swansea decline from 14th to 19th position in Wales in 2011/12.
- The Council's new arrangements to bring together information from a variety of sources including feedback from complaints, comments and compliments, case file audits and work with young people is now routinely considered as part of the Council's provisions to improve performance and service quality.

Is anyone better off?

Children who are looked after are supported to live within stable and permanent care arrangements.

- Reviewed services, commissioning and fostering arrangements and sought to recruit more foster carers to ensure that children who are looked after have stability in their lives and experience as few changes as possible.
- Worked with others to try and support children with complex needs to remain within their own communities and not be placed outside of Swansea.
- Sought to return at least three children who are looked after elsewhere back to Swansea.

What was the impact?

- The size of Swansea's looked after children population appears high given the demographic and compared to the rest of Wales. While overall there were 26 fewer looked after children as at March 2012 than at the end of March 2011, the numbers of looked after children have grown from 432 in 2008/09 to 554 in 2011/12.
- Recruiting more Foster Carers is important for the Council to have options where to place children who are looked after. The Council increased the numbers of registered Foster Carers so that there were 221 in March 2012 compared to 215 in March 2011. Short break scheme foster carers were increased by 10 during 2011/12.
- Foster Swansea was however less successful in recruiting additional mainstream carers. A review has taken place to improve the registration and application process and to provide more support to carers in order to improve recruitment and retention.
- There were 461 children (83%) placed in foster care or with parents, family or friends as at March 2012, which is less than the 500 children (86%) placed in March 2011. However, the most important consideration is that children are placed appropriately with the most suitable carer, and with permanence in mind.
- The Council established a multi-agency team to help support children with particularly complex needs to remain within their own communities. Progress however was slower than expected.
- Fewer children were placed through these arrangements than anticipated and the complexity of the needs of the children led to concerns about the stability of placements; two children were placed through these new arrangements and both placements broke down. In March 2012, 48% of children in foster care were placed inside Swansea's boundaries compared to 49% in March 2011.
- Where children cannot be cared for by their own family the Council may safeguard their welfare by looking after them. In some cases, children may be placed outside of Swansea but the Council will always look to return them where that is possible and where it is safe to do so. During 2011/12, the Council successfully returned 4 children (1 more child than was targeted) to Swansea who were looked after elsewhere.
- It is important that children who are looked after by the Council experience a stable home life for their safety and development and that they experience as few placement changes as possible. In 2011/12, 6.83% of looked after children had three or more placements in 2011/12, which is an improvement over 11.94% in 2010/11 and the second best result since 2005/06. This has also seen Swansea improve 15 places from 20th position in Wales to 5th position based upon 2011/12 national results.

Children are safeguarded effectively.

- Reviewed progress on the development of the Swansea Safeguarding Board to ensure it effectively safeguard's children
- Developed ways with partners to aid children who are suffering neglect and help reduce the numbers of children on the child protection register for neglect only.

What was the impact?

- A child or young person up to the age of 18 years of age can suffer abuse or neglect and require protection via an inter-agency child protection plan. The recent CSSIW Inspection of Access Arrangement report noted that child protection plans were clear and actions agreed by all parties.
- There are around 230 children requiring a child protection plan and this has remained fairly stable during 2011/12 indicating that the arrangements to protect children are effective. Overall there were 26 fewer children on the child protection register at March 2012 than at the end of March 2011.
- The Council working with others on the Swansea Safeguarding Board developed a new protocol to aid children who are suffering neglect. There were 22 fewer children on the child protection register for neglect only in March 2012 compared to March 2011.

The partners we worked with on this	Children & Young People Partnership Swansea Safeguarding Children's Board
Resources	Sources Funding are: Child & Family Services Budget
Link to Equality Objectives	Equality Objective 14 - To reduce the inequalities that exist in the health, education and economic outcomes for children living in poverty, by improving the outcomes of the poorest
Other council improvement activities this objective links to	Child & Family Strategic Delivery Plan. Child & Family Strategic Programme.

Improvement Objective 3:

Improve learning outcomes and assist pupils to achieve their potential³.

Why did we choose this objective?

- Swansea has generally made good progress over the last few years in terms of school inspections, standards of educational achievement and reducing the number of people not in Education, Employment or Training at 16 years of age.
- We continue to have some of the highest performing schools in Wales but also, unfortunately, some of the lowest.
- Swansea needs to carry on improving its national performance at ages 7, 11 and 14 and to continue to address social or family factors, such as poverty, that are having a negative impact on learning outcomes.

What outcome for Swansea does this contribute to:

- Ensure excellent education opportunities for everyone in Swansea.

What are our Priority Areas?

Priority Areas:

More children and families are supported through Flying Start.

More children aged up to 3 years old show development as a result of Flying Start.

Families are helped to support learning in the home.

More children attending school.

Children have improved literacy.

Children have improved educational attainment at ages 7 to 11 and 14 to 16.

³ Note that 2011/12 and 2010/11 performance relates to the 2010/11 and 2009/10 Academic Years respectively.

Fewer children leave school without a formal qualification.

Fewer children at age 16 are not in education, employment or training.

Resources are realigned to meet needs, improve the quality of the learning environment and help raise standards of achievement.

Children with special educational and additional learning needs are supported to achieve their potential.

How well are we doing in our priority areas?

During 2011/12 the Council has continued its approach to prevention and early intervention that is aimed at reducing the impact of poverty and promoting the circumstances necessary for learning. The following has been implemented to try and deliver its priority areas:

More children and families are supported through Flying Start.

- Extended two venues where the Welsh Government funded Flying Start programme is delivered using additional funding so that more families with children aged up to 3 years could benefit from free child care, enhanced health visiting, parenting support and basic skill development, including the language and play programme.

What is the impact?

- As at 2011/12 there were 1,430 children aged up to 3 years old and their families in Swansea engaged with the Welsh Government funded Flying Start programme, including Welsh-medium provision, compared to 1,254 in 2010/11.
- Concerning the transition from Flying Start to school, the programme is helping to break down parental barriers about schools caused by previous poor experiences. Several children were identified as having speech and language difficulties and received speech therapy earlier than normal.
- Visits were made to other Flying Start areas in North and South Wales during 2011/12 to observe provision of the child care entitlement, which is a centrepiece of services delivered under Flying Start. The conclusion was that the Swansea model operates in line with best practice and provides a high standard and joined-up approach to identifying and meeting the needs of children.

Resources are realigned to meet needs, improve the quality of the learning environment and help raise standards of achievement.

- Continued a programme to reduce surplus school places, improve the condition of schools, increase places for Welsh medium education, rationalise post-16 provision and increase provision for pupils with additional learning needs.

What is the impact?

- Surplus English-medium places in both secondary and primary schools have been reduced although there was a slight rise in 2010/11 in the primary phase. Welsh-medium primary school places were expanded to meet demand with a new Primary school opening in September 2011 in east Swansea.
- Additional provision was developed for children with additional learning needs in 2011/12 with a new Specialist Teaching Facility to open in Bishopston Comprehensive in autumn 2012.

Families are helped to support learning in the home.

- Introduced an approach called 'Restorative Practice' into certain Swansea schools that gives pupils and families the tools to resolve problems and conflicts themselves so that everyone has a voice, there is improved school attendance, exclusions from school are reduced and children are more ready to learn. Swansea's use of Restorative Practice has been recognised as outstanding practice in a recent school Estyn inspection.
- Encouraged learning within families so that children have a supportive home environment which helps them progress at school as part of a wider programme aimed at prevention and early intervention to reduce the impact of poverty. A whole week was dedicated to sharing good practice on this in 2011/12 and 5 representatives were identified to work with identified schools in certain catchment areas.

What is the impact?

- Reported benefits include improved school attendance, an increase in positive attitudes and behaviours, better family engagement in learning and improved pupil behaviour, which should also lead to improved educational attainment; however ensuring that adequate resources are available to deliver these programmes will need to be monitored. Longer term outcomes from these new practices will be tracked when pupils are assessed in school in future years.

More children attending school.

- Undertaken specific initiatives to improve school attendance, including targeted support from the Education Welfare Service, sharing good practice and adopting new ways of working to improve the circumstances for learning.

What is the impact?

- Following a slight fall in performance between 2008/09 and 2010/11, primary school attendance improved from 92.3% and 18th place in Wales in 2010/11 to 92.9% and 16th place in Wales in 2011/12; however this is still below the 2011/12 Welsh average of 93.3%.
- Secondary school attendance also declined between 2008/09 and 2010/11 but

improved from 90.6% and 18th place in Wales in 2010/11 to 91% and 16th place in Wales in 2011/12; whilst still below the 2011/12 Welsh average of 91.4%, fewer pupils have very poor (less than 80%) attendance.

- There were no children permanently excluded from primary schools in Swansea in 2011/12 and less than 5 pupils were permanently excluded from secondary schools. There were 49 pupils who had fixed term exclusions from primary schools in Swansea in 2011/12, which is better than 2010/11 (69 fixed term exclusions). There were however slightly more fixed term exclusions from secondary schools in Swansea in 2011/12 (597) compared to 2010/11 (572) against long term improvement since 2006/07 (863).

Children with special educational and additional learning needs are supported to achieve their potential.

- Continued to support children with special and additional learning needs to improve educational outcomes and help them to achieve their potential.

What is the impact?

- The Council has continued a number of initiatives during 2011/12 to support children with special educational and additional learning needs. A new specialist teaching facility was agreed for Bishopston Comprehensive, which will open in autumn 2012; all secondary schools in Swansea will then have specialist teaching facility provision.
- Funding to support pupils with severe and complex learning needs was fully delegated to schools from April 2012 following a 'lead-in' year to get schools used to taking responsibility for the funding. This will allow schools the flexibility to meet pupils' needs and protect the funding better from the need to make savings.
- The Education service has been working with partners in Social Services, the Police, Health and the voluntary sector to develop support for pupils most at risk of social and educational engagement. A pilot will take place in two secondary schools and their partner primaries in Swansea from September 2012 to test the developing approach to better support pupils at risk of exclusion from education to stay engaged before full roll out.
- Pupil referral units for pupils aged 7 to 11 and 11 to 14 years and provision for pupils who are educated in settings other than school have been co-located within a vacated primary school to form a single educational base. The aim is to improve the learning environments of the pupils and the range of the curriculum that can be offered as well as making some capital gains and cost savings for the Council.
- A review of education for Gypsy and Traveller pupils has taken place and has resulted in changes to how the service operates from September 2012 in order to implement recommended best practice. The changes aim to better integrate Gypsy and Traveller pupils into schools and improve attendance and educational outcomes.

- The Council has continued to offer support to groups of pupils with additional learning needs. Pupils from ethnic backgrounds continue to achieve well. No pupil who was looked after through Social Services failed to achieve a recognised qualification. Raising boys achievement and supporting the most able and talented pupils continues to be a focus nationally and locally.

Is anyone better off?

More children aged up to 3 years old show development as a result of Flying Start.

- Provided children with opportunities through Flying Start to improve developmental outcomes before nursery schooling starts at 3 years old. As part of the Flying Start programme, Health Visitors are required to assess children at the ages of 2 and 3 for progress made developing certain skills, such as speech and language and interactive and social skills.

What is the impact?

- A survey of 22 children showed significant improvements better than expectations. Some of the sample of randomly selected children from the 7 settings where Flying Start takes place also showed improved child development in relation to the Foundation Phase standards better than the expectation.
- The evidence shows that Flying Start children have significantly improved outcomes in terms of child's development and language compared to non-Flying Start pupils. As a result of the programme, parents have also recognised their own increased self-confidence, self-esteem and improved parenting skills, which have had benefits for their children.

Children have improved literacy.

- Rolled out a school-based Literacy Strategy to all schools in a phased way to help improve pupil literacy and educational attainment.

What is the impact?

- Despite some initial delays rolling out the strategy, pupils who struggle to read are having their difficulties diagnosed and addressed through a structured programme. A project to develop oracy in the early years is also underway as good oracy skills are needed to be able to communicate prior to being able to read.
- Outcomes from the annual reading survey (All Wales Reading Test) show that there has been improvement in the last 3 years at age 11, which is echoed by improved results at Key Stage 2 (ages 7 to 11).

Children have improved educational attainment at ages 7 to 11 and 14 to 16.

- Continued work around early intervention and prevention has been targeted to reduce the impact of poverty and promote the circumstances necessary for learning. This should help improve school attendance, pupil behaviour and engagement and educational attainment. Work to improve pupil literacy should also help to improve educational attainment at ages 7 to 11 and beyond.

What is the impact?

- At ages 7 to 11 (Key Stage 2) in 2011/12, 80.8% of pupils achieved the required standard in English or Welsh first language, mathematics and science in combination, which was better than 2010/11 performance (77.5%) and better than the Welsh average (80.3%); Swansea improved from 19th to 16th position in Wales.
- At ages 14 to 16 (Key Stage 4) in 2011/12, 53% of pupils achieved the required standard including a GCSE grade A* to C in English or Welsh first language and mathematics, which is better than the Welsh average of 50.1% and better than Swansea's 2010/11 result of 52.1%.

Fewer children leave school without a formal qualification.

- Worked to ensure fewer children leaving school without formal qualifications through targeted efforts to engage pupils and their families and improve the conditions for learning.

What is the impact?

- In 2011/12, 0.43% (11 out of 2,557 pupils) of pupils left school with no recognised qualification, which was better than the Welsh average (0.6%) and better than Swansea's own 2010/11 performance (0.89%); Swansea improved from 15th to joint 11th position in Wales.

Fewer children at age 16 are not in education, employment or training.

- Reduced the number of pupils at 16 who are not in education, employment or training (NEET) by participating in the 'Keeping in Touch' (KIT) project with Careers Wales West to successfully identify and support pupils at risk of becoming NEET.

What is the impact?

- In 2011/12 for the second year running all Year 11 school leavers were contacted to see what they were doing since they reached school leaving age. The extension of the KIT project tracking the 2009 pupil cohort through to 18 years of age is progressing and improved support from providers, especially further education, is being developed; this is keeping young people engaged and reducing the drop-out rate so lowering the number of pupils at risk of becoming

<p>NEET at 16 years of age.</p> <ul style="list-style-type: none">• The rate of young people who are not in education, employment or training (NEET) at age 16 fell again in Swansea to 3.1% (79 pupils) in 2011/12, which is better than 2010/11 (4.2% or 110 pupils). Swansea's national ranking is 7th overall but 3rd when 'unknowns' are included (Swansea has no unknowns) and is the best performance for an urban authority.• The 79 pupils who were not in education, employment or training in Swansea during 2011/12 had another opportunity to engage with support from Careers Wales West with the possibility of finding a placement in the future.	
The partners we worked with on this	Children & Young People Partnership South-west and mid-Wales Regional Consortium of local authorities (swamwac)
Resources	Sources Funding are: Education Budget, external grants
Link to Equality Objectives	Equality Objective 14 - To reduce the inequalities that exist in the health, education and economic outcomes for children living in poverty, by improving the outcomes of the poorest
Other council improvement activities this objective links to	Education Business Plan. Children and Young People Plan. QEd 2020 Strategic Programme.

Improvement Objective 4:

Minimise waste and increase composting and recycling by promoting and facilitating the delivery of waste management and recycling services.

Why did we choose this objective?

- The Council wants to encourage citizens to play their part and recognise their contribution to protecting finite resources. The Council is, by law, required year on year to reduce the amount of biodegradable waste sent to landfill or face fines for failing to achieve the targets set.
- By ensuring that the collection of waste is at the best it can be from the kerbside we encourage the recycling of waste and discourage people from illegally dumping rubbish.
- Reducing the amount of waste produced together with increasing the levels of waste recycled/composted, will significantly improve our ability to meet Welsh Government targets, avoid penalties and help contribute to protecting finite resources.
- Minimising waste and increasing composting and recycling is an effective part of the strategy to reduce fly tipping.

What outcome for Swansea does this contribute to:

- Improve Swansea's environment for everyone.

What are our Priority Areas?

Priority Areas:

Less waste sent to landfill and more waste recycled, composted or re-used.

Less fly tipping and fly tipping cleared more quickly.

How well are we doing in our priority areas?

During 2011/12 the Council has undertaken the following work to try and deliver its priority areas:

Less waste sent to landfill and more recycled, composted or re-used.

- Continued the introduction of alternate weekly refuse collections to the whole of the City & County of Swansea and food waste collections from flats to try and encourage people to recycle more.
- Reviewed the role and objectives of the Swansea Waste Forum and developed a plan to work more closely with communities to encourage recycling.
- Continued to meet and develop ideas with voluntary groups and the Swansea Community Recycling Alliance Partnership (SCRAP) partnership to promote more recycling.
- Encouraged SCRAP members who are registered charities to use the reuse/recycling credits scheme, which means they receive a payment in return for recycling items, such as clothes.
- Continued to undertake a number of initiatives to increase recycling in Swansea, especially in areas where participation is lower. This includes door knocking to increase awareness of recycling, awareness work undertaken with schools, promoting real nappies as an alternative to disposable nappies and work to attract more businesses to sign contracts with the Council to collect and recycle waste.
- In partnership with Social Services Works Development Team the Swansea Waste Action Team SWAT based in Clydach reuse and recycle bulky household waste collected from residents.
- Developed a work plan to incorporate the recommendations from the Council's Environment and Communities Overview and Scrutiny Board review into waste minimisation and recycling.
- Developed a Waste Management Strategy for the next 5 years to continue to reduce landfill and increase recycling.

What was the impact?

- Waste is now collected on an alternate weekly basis across the whole of the City and County of Swansea.
- Some 9,274 out of a total of 10,792 flats have been offered and are provided with food waste collections.

- The result of this work has seen a reduction in the amount of waste sent to landfill from 59% in 2010/11 to 54.4% in 2011/12; however this would still see Swansea drop one place from 20th to 21st position in Wales and performance is worse than the Welsh average (44.73%). Likewise, there has been a corresponding increase in the amount of waste being recycled from 40% in 2010/11 to 45.15% in 2011/12; this has seen Swansea improve its national standing from 18th to 16th position based upon 2011/12 national results, although performance is still below the Welsh average (48.53%). Despite these improvements however there will still be a challenge in meeting Welsh Government targets in future years.
- A survey undertaken in 2011 showed that 61.3% of respondents were happy with the proposals to change to alternate weekly refuse collections, which increased to 82% when the new arrangements were put in place.

Less fly tipping and fly tipping cleared more quickly.

- Worked to try and reduce fly tipping through enforcement and embedding the alternate weekly refuse collection arrangements. Hotspots are regularly monitored and cleared and accesses blocked to deter further offences. Vehicle stop and search initiatives have taken place to ensure waste transport regulations are being adhered to and community awareness action days are ongoing. Problems associated with refuse/recycling bags being put out on the wrong day are addressed through education, if necessary sending warning letters and by taking enforcement action when appropriate
- Continued work with local schools giving talks and workshops to children on the importance of recycling and not dropping litter. The Council now has a purpose designed classroom based in Clydach that can be used for these activities.

What was the impact?

- Fly tipping can be anything from a single black bag on a pavement to large amounts of waste dumped in areas of open land. Minimising waste and increasing composting and recycling effectively is an important part of the strategy to reduce fly tipping. There has been a decrease in the numbers of bagged domestic waste that makes up fly tipping incidents but work will need to continue to ensure that domestic waste is placed out for collection properly as part of the alternate weekly refuse collection arrangements.
- Enforcement is also an important part of the strategy to reduce fly tipping. In 2011/12 there were 3 prosecutions and 2 simple cautions made for fly tipping following 40 investigations.
- In 2011/12 there were 2,076 fly tipping incidents which is an improvement on 2,934 incidents in 2010/11. However, the Council cleared fewer fly tipping incidents within the time set in 2011/10 (86.1%) compared to 2010/11 (92.5%) due to operational and organisational changes that will need time to become embedded. Performance clearing fly tipping incidents within time was below the Welsh average (91.36%) although Swansea remained at 17th position in Wales.

Is anyone better off?	
<ul style="list-style-type: none">• People in Swansea will be better off if the Council meets its recycling targets and avoids Welsh Government financial penalties and fines, which could adversely impact services.• A survey undertaken in 2011 showed that nearly 72% of respondents agreed that the change to alternate weekly refuse collections had encouraged them to increase the amount of waste that they recycled.• The same survey found that 81% of respondents felt that the amount of fly tipping had got better or stayed the same.	
The partners we will be working with on this	Swansea Environmental Forum Swansea Waste Forum. Swansea Community Recycling Alliance Partnership.
Resources	Sources Funding are: Environment Budget, external grants
Link to Equality Objectives	Equality Objective 26 - Improve internal processes and procedures within services relating to Swansea's environment to ensure that equality considerations are not only included but result in outcomes based on relevant information
Other council improvement activities this objective links to	Waste Management Strategy / Business Plan. Waste Management Strategic Programme

Improvement Objective 5:

Improve people's employability by maximising the impact of the Council's regeneration programme to offer and facilitate training and work placements.

Why did we choose this objective?

- The global financial crisis and recession has and will continue to have consequences for the economy of the City & County of Swansea and its citizens. Latest economic values show that Swansea has a lower economic activity rate than the rest of Wales and the UK⁴.
- Swansea has a number of communities experiencing claimant unemployment rates significantly above the Swansea average.
- Swansea has almost three times the number of claimants of incapacity benefits and the new Employment and Support Allowance than it does of Job Seeker Allowance claimants, figures higher than those for Wales and GB⁵; again, there are localised concentrations of claimants within Swansea.
- The Swansea economy has a higher proportion of jobs located within the public sector; 31.8% working within the public sector compared to 27.9% in Wales⁶.
- Further spending reductions are likely to take place meaning that the public sector is expected to shrink. Cities like Swansea that are reliant upon public sector employment are particularly vulnerable.
- The City & County of Swansea will need to prepare for the consequences of further reductions to the size of the public sector workforce⁷.

What outcome for Swansea does this contribute to:

- Make Swansea more prosperous for everyone.

⁴ **Source:** Annual Population Survey (APS) data for the 12 month period ending June 2011, ONS.

⁵ **Source:** www.DWP/Nomis

⁶ **Source:** Business Register and Employment Survey (BRES) employment analysis, 2010. ONS.

⁷ **Source:** Centre for Cities (2009) Public Sector Cities: Trouble Ahead, Centre for Cities: London

What are our Priority Areas?

More social benefit clauses included within regeneration contracts through the *Beyond Bricks and Mortar* scheme.

More people entering employment as a result of their participation within the *Workways* scheme.

How well are we doing in our priority areas?

During 2011/12 the Council has undertaken the following work to try and deliver its priority areas:

More signed up to the Workways and Beyond Bricks and Mortar initiatives.

- Continued collaborating with three other Council's within the region through the *Workways* project to work with employers and the economically inactive and unemployed to help support them back into employment. This includes signing up employers and participants to the project, matching up employers with participants and providing participants with support and mentoring and reviewing their progress.
- Continued to implement the *Beyond Bricks and Mortar* scheme, which uses social benefit clauses within regeneration contracts to provide employment and training opportunities for the long term unemployed and economically inactive. This is done by increasing the number of projects that contain social benefit clauses, working to increase the number of SMEs and partners signed up to the scheme and helping them fulfil their obligations under the scheme. It also involves supporting SME's to become part of the Council's supply chain to provide training and work opportunities for the long-term unemployed.

What was the impact?

- 672 individuals signed up to the *Workways* project during 2011/12; 605 of them have had their individual action plans reviewed in their first year to discuss their individual progress to get back into employment.
- The Council increased the total number of signatories to the *Beyond Bricks and Mortar* initiative from 61 in 2010/11 to 85 in 2011/12, which was better than the target (73) and increased the scope for finding training and work opportunities for trainees.
- There was an increase in the number of public sector projects with social benefit clauses and *Beyond Bricks and Mortar* in their contracts from 9 in 2010/11 to 12 in 2011/12, which met the target and increased training and work opportunities.

- 214 SMEs were given supplier development support in 2011/12 based upon events that were held for this purpose. The events were aimed at raising awareness on *Beyond Bricks and Mortar* and ensuring that SMEs were better informed to tender for contracts so that social benefits could be obtained. Positive feedback on the support and information provided at these events in 2011 ranged from 81% to 96%.

Is anyone better off?

More people entering employment as a result of their participation within the *Workways* project.

- Engaged with employers to link them with *Workways* participants to provide employment opportunities.
- Provided temporary and other job opportunities to *Workways* participants to help ease them back into the jobs market and re-establish patterns of behaviour and mind sets conducive to gaining and retaining employment.

What was the impact?

- In 2011/12, 148 *Workways* participants attended a job interview, 188 completed a course and 18 entered voluntary work.
- 201 *Workways* participants entered employment in 2011/12, which although was less than the target (285) and the 2010/11 result (due to changes in eligibility and associated increase in referrals and lack of a full team of project staff at the time placing pressure of the *Workways* staff), it does mean that these participants benefited from the project. A total of 402 participants have entered employment up to 31st March 2012.
- When asked whether or not *Workways* had made a positive difference to their employment prospects, 74% of participants who responded said yes.

More social benefit clauses included within regeneration contracts through the *Beyond Bricks and Mortar* scheme.

- Encouraging developers, employers and partner organisations to provide local training and employment placements.
- Discussing *Beyond Bricks and Mortar* with SMEs applying for grants to assess training and any employment opportunities as part of any financial support they received.

What was the impact?

- 1052 person weeks training was provided by contractors who have signed up to

Beyond Bricks and Mortar in 2011/12. 47 trainees were placed with 29 contractors in 2011/12 and 30 trainees still had their placements at the end of the year. 34 people receiving 778 training weeks were placed with partner organisations as a result of *Beyond Bricks and Mortar* in 2011/12,

- The Council discussed *Beyond Bricks and Mortar* opportunities with 5 SMEs applying for Business Enhancement Programme (BEP) grants, which was less than in 2010/11 (8 SMEs). This was because the scheme was re-profiled so that *Beyond Bricks and Mortar* would only become involved in projects worth over £75,000, which resulted in 33 training and work experience weeks for trainees carried out on the BEP contracts in 2011/12.
- 80% of *Beyond Bricks and Mortar* participants who returned a survey said that they benefited personally from their placement, which was less than in 2010/11 (100%) but the result was distorted by a small response to the survey.

The partners we will be working with on this	Swansea Economic Regeneration Partnership Local Service Board Other local authorities Small and Medium Enterprises
Resources	Sources Funding are: Regeneration Budget, external grants
Link to Equality Objectives	Equality Objective 1 – Ensure consultation and engagement is inclusive and representative. Equality Objective 3 - Review all HR Policies ensuring that they comply with our obligations under the Equality Act 2010. Equality Objective 7 - Comply with our duty to publish Workforce Data/Employment Information. Equality Objective 14 - To reduce the inequalities that exist in the health, education and economic outcomes for children living in poverty, by improving the outcomes of the poorest.
Other council improvement activities this objective links to	Swansea 2020 Economic Regeneration Strategy. Regeneration & Planning Business Plan. Regeneration programme.

Detailed 2011/12 performance results for the Council's Improvement Objectives and other performance measures can be found on our website <http://www.swansea.gov.uk/>.

Part 3 - Performance information and how it is used

Introduction

The City & County of Swansea local authority delivers a wide range of services to the people of Swansea. The Council has to plan what services it will deliver within the available resources. The Council has to ensure that its services meet the needs and aspirations of the people of Swansea and that they are effective and provide value for money. It is inevitable with so many needs to meet and with so many duties to fulfil that the Council will have lots of objectives. Some of these objectives are determined locally and some of them are obligations resulting from legislation passed by national or regional governments or through the EU. The Council has to listen to the people of Swansea and work with its partners to prioritise all of these obligations.

Planning services

The Council works with its partners every 4 years to determine what the collective priorities for the whole of the people of Swansea are. These joint priorities are published within a 'Community Plan'⁸, which is then delivered and monitored together with partners.

The Council must decide its own priorities every year too. The Council consults and engages with the people of Swansea and with other stakeholders to help decide its priorities for improvement, which then appear within a 'Corporate Improvement Plan' (CIP). The CIP is adopted by Council and assessed through the Council's scrutiny arrangements. The delivery of the CIP is monitored through the Council's corporate improvement arrangements.

Each service within the Council produces a 4 year Business Plan. Each plan is reviewed annually and describes how Council services will deliver their own objectives and contribute towards meeting the priorities contained within the community and corporate plans. The plans link together service, financial and workforce planning and allow services to be planned within the framework of broader duties, such as ensuring services are delivered equally and equitably and are sustainable. In 2011/12, work was underway to embed and further refine Business Planning, which was introduced for the first time the previous year.

Monitoring and scrutinising performance

It is important that the delivery of the Council's plans and its services are monitored for effectiveness. The Council monitors and reports performance of services against agreed targets on a quarterly and annual basis at Cabinet and Scrutiny. This provides opportunities to look at any problems and to put them right and also to inform decisions on spending and how other resources are allocated. The Council also consults and engages with the people of Swansea and others on how they view the services provided by the Council

⁸ The 'Community Plan' will be replaced with a 'Single Integrated Plan' in 2013

and complaints and compliments from the public and service users are also a source of information used to improve services.

The Council's Overview and Scrutiny Boards ⁹ are an important way in which elected Members hold the Council's executive to account for decisions that have been made and for the performance of Council services. They act as a 'critical friend' to the Cabinet and other decision makers within the Council in order to promote better services, policies and decisions. The Boards will sometimes undertake some in-depth pieces of work and produce reports and recommendations for Cabinet to consider. In 2011/12 the Boards undertook a number of in-depth reviews, which were:

- What is the best way to Support Care Leavers in Swansea?
- Review of Swansea City Centre.
- Review of the role of Teaching Assistants across the primary sector in Swansea.
- Review of Support Services for carers in Swansea.

An evaluation of the work undertaken by the Council's Scrutiny Boards can be found on the Council's web <http://www.swansea.gov.uk/>.

Managing risks

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

Risk is managed at different levels within the Council ranging from individual projects that have risks that are managed within that project, through to risks that affect the community as a whole, such as flood risks, which is then identified and managed collectively by the Council and its partners through their resilience arrangements.

Equality and Diversity

The Council recognises that people's differences can mean that some individuals face discrimination in everyday life. The Council is committed to treating people fairly and according to their needs in all its services. The Council has a 'Welsh Language Scheme' and an 'Equality and Diversity Scheme', which are aimed at ensuring everyone in Swansea is treated fairly and equally and that people are not discriminated against because of their characteristics or because they are different.

The Council in 2011/12 developed its relationship with community and interest groups. This has included the re-establishment of a Lesbian, Gay, Bi-sexual

⁹ The Council's scrutiny arrangements have changed from 2012/13.

and Transgender (LGBT) Forum in partnership with South Wales Police and the development of a Disability Liaison Group with representatives from key groups.

The Council worked with the Wales Interpretation & Translation Service to provide from 2011 a Council-wide telephone and face-to-face interpretation & translation service.

The Council continues to assess its proposed functions, policies and procedures for their impact on different groups; the Council's budget for 2011/12 was impact assessed and is available on <http://www.swansea.gov.uk/>.

Sustainable Development

The Council is committed to ensuring that its services are sustainable for the service users and the people of Swansea. In 2011/12, the City and County of Swansea took stock of its policy position and redrafted and adopted a new 'Sustainable Development Policy', identifying key priority areas.

The City and County of Swansea is registered as a participant in the Carbon Reduction Commitment Energy Efficiency Scheme (CRC). Energy and Carbon data are collated and reported in the Council's Carbon Footprint and Annual Report submitted to the Environment Agency annually in line with CRC legislation. The Council is a key player in Low Carbon Swansea, an initiative which co-ordinates carbon reduction across all sectors in the City; a 3% carbon reduction target has been set for energy use in 2012/13 based on a combination of electricity & fossil fuel consumption. 101 Swansea schools have registered with the Eco-Schools programme; eight have attained the highest Platinum level award - the most of any Welsh Local Authority.

Considerable efforts have been made to minimise the use of finite resources and maximise the use of sustainable raw materials and energy in more efficient ways. A 'Municipal Waste strategy 2011-16' has been developed to meet Welsh Government targets. From April 2011, alternative weekly collections of black bags were in operation on all collection routes. Waste Minimisation Initiatives aiming to engage the public include the Real Nappy Campaign, an online Swap Shop and Schools Recycling programme.

Swansea's biodiversity is of outstanding quality and beauty. A wide diversity of landscapes and habitats make up over 80% of the County's total area. The Swansea Biodiversity Partnership works to maintain awareness of and involvement in protecting biodiversity. Four Beaches were awarded the Blue Flag, Port Eynon, Caswell, Langland and Bracelet. In addition, Swansea Marina has been awarded a Blue Flag. Four Swansea Parks were also awarded the GreenFlag for standard of cleanliness and amenities. It is intended to maintain these standards.

The Local Authority is the first in Wales to commit to the WWF Gold Achiever for Sustainable Timber Pledge.

Employment Training has been successful in reaching out to hard to reach groups. Investment is being made in learner support officers to engage

learners and build skills. A full time Environmental Sustainability Global Citizenship Officer has been employed and training is now embedded in the curriculum for learners, staff and Managers.

A focused and corporate approach to Improvement work

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

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

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

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

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

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

The Council is currently using this approach to respond to a statutory recommendation from the Wales Audit Office concerning the Council's Planning Committee arrangements.

Planning Committee Arrangements

The Wales Audit Office (WAO) undertook a review of the Council's arrangements for its planning committees in November 2010.

The review concluded that the Council's decision to increase the number of planning committees did not represent an efficient and proper use of resources.

This resulted in a statutory recommendation requiring the Council to set out an action plan to take action to address the recommendations within 30 days.

In response to the WAO recommendations the Council decided (on 3 February 2011) to reinstate a two Area Committee arrangement on an interim basis, pending consideration of options in further detail.

However, a Notice of Motion to Council on 4 August 2011 confirmed this interim arrangement of two Area Committees as the Council's preferred approach. The WAO concluded that the rationale for this decision is unclear and lacks transparency.

In addition to making initial interim changes to its planning committee arrangements, the Council made some progress in addressing these recommendations, but the Wales Audit Office concluded that the Council "has not fully addressed the statutory recommendation regarding planning committee arrangements".

The Council is now working closely with the WAO in response to their concerns.

Progress to date includes:

- The appointment of a single Chair to both Planning Committees to facilitate greater consistency around decision making.
- The establishment of a corporate improvement board led by the Chief Executive.
- The setting up of a political leadership board led by the Council Leader.
- The development and ongoing implementation of an action plan with corporate support to address the statutory recommendation.
- Work to review performance management arrangements within Planning Services.
- Comparing Swansea's arrangement with other Welsh Councils and Harrow Council.
- Consultation with users and other stakeholders on the Swansea's Planning Service.

A report will be presented to full Council in October setting out the options and recommendations.

Part 4 - Collaboration with others in 2011/12

The Council will always seek to collaborate with other Welsh Councils and partners in order to improve services, share information, take advantage of expertise and / or provide efficiencies and cost savings. We are collaborating with other Welsh Councils in the following areas (**this list is not exhaustive**):

Legal

We are collaborating with the Shared Legal Service which enables us to share information and gain efficiencies by avoiding duplication. We are also carrying out work for other public bodies which enables them to make savings by not engaging the private sector

Waste

We are collaborating with Pembroke, Carmarthen, Neath Port Talbot and Bridgend for the provision of a regional food waste treatment plant. This will result in a cost efficient solution and provide the region's food waste disposal needs for the next 25 years.

Winter Maintenance

We are collaborating with all Welsh Authorities to provide resilience in the Winter Maintenance service. Arrangements such as salt procurement, mutual support, and an all Wales weather forecasting service results in a sharing of expertise, and an improved service at a reduced cost.

Transportation

The City and County of Swansea is part of SWWITCH, the regional transport consortium, and has prepared a Regional Transport Plan with the other three South West Wales local authorities. Annual delivery plans are agreed at a regional level for the implementation of transportation projects. In addition the Council is actively engaged in a number of service-specific collaboration exercises with other local authorities, covering procurement of transport services, road safety, walking, cycling and travel planning.

The Council provides traffic signal design and maintenance services to Neath Port Talbot Council. Use is also being made of regional framework contracts for construction works in Swansea, and officers are working to develop additional regional framework contracts for specialist engineering and consultancy services. South West Wales local authorities have agreed in principle to share staff resources to support delivery of projects and smooth peaks and troughs of work, and City & County of Swansea has engaged a neighbouring authority to undertake bridge inspections.

Healthy Cities

We are working with the Local Health Board, local partners and other Council departments to improve the health of residents through an initiative known as Healthy Cities Initiative under the World Health Organisation (WHO).

The WHO European Healthy Cities Network consists of cities around the WHO European Region that are committed to health and sustainable development: more than 90 cities and towns from 30 countries. They are also linked through national, regional, metropolitan and thematic Healthy Cities networks. The overarching goal of the current Phase V (2009–2013) is health and health equity in all local policies. The three core themes are:

- caring and supportive environments
- healthy living
- healthy urban design.

The Healthy Cities approach recognizes the determinants of health and the need to work in collaboration across public, private, voluntary and community sector organizations. This way of working and thinking includes involving local people in decision-making, requires political commitment and organizational and community development, and recognizes the process to be as important as the outcomes. The concept of Healthy Cities was inspired and supported by the WHO European Health for All strategy and the Health21 targets.

Trading Standards

We are collaborating with other Local Authorities and jointly using Metrology Laboratories rather than maintaining our own. We do joint animal welfare initiatives with coterminous Councils and participate in the all Wales Heads of Trading Standards group (WHoTS) where common initiatives are planned and economies of scale can be utilised such as strategies to try and resolve “horse dumping” across South and West Wales. The Council also supports the joint initiatives of the Illegal Money Lending Unit, the Scam busters team and Consumer Direct before it become the Citizens Advice Bureau’s responsibility. Swansea operates a joint sampling programme with other LA’s to build up a joint database of product standards rather than all councils repeating similar exercises. We have taken prosecutions on behalf of several Local Authorities to streamline the judicial process when needed to protect the population of Wales and the wider environment. The Council are party to the WHoTS and the Directors of Public Protections (DPPW) submission to the Welsh Assembly on future options for further collaboration.

Community Safety

We have recently joined with the adjoining local authority in merging staff posts to provide joint anti social behaviour coordinators resulting in financial savings and making use of common initiatives. The community safety team have recently relocated to a Police Station to jointly work side by side with other colleagues in the force and third sector to be able to deliver a more joined up thinking approach to community safety issues. We operate as part of the wider Safer Swansea Community Partnership and the larger Safer South Wales initiative with other community safety partnerships and the wider police divisions.

Asset Management

We are collaborating with all Welsh Authorities to improve the management of our Highways and in particular to agree a range of standards that include, asset values, assessments and inspection regimes. This will ultimately lead to a safer more robust network of roads with a reduction in third party claims.

Corporate Building & Property Services

We are collaborating with Pembrokeshire, Carmarthenshire, City & County of Swansea, and Neath Port Talbot through the South and West Wales Professional Services Collaborative to ensure service improvement and efficiencies in architecture and engineering professional services. This involves the development of collaborative working for design services, and the development of regional construction frameworks.

Education

The collaboration on the delivery of School Improvement Services through the South West and Mid-Wales regional consortium – made up of Carmarthenshire, Ceredigion, Neath Port-Talbot, Pembrokeshire, Powys and Swansea - continues to be developed.

The Regional Support, Challenge and Intervention Framework (RSCIF) has operated across the region in both 2010/11 and 2011/12, providing a consistent approach to categorising schools and providing challenge and support to help improvements.

The requirement to harmonise the delivery of School Improvement Services is on track to meet the Minister's requirement for September 2012.

The associated staffing structure was agreed and each constituent authority is currently bringing its quota of staff up to strength, advertising posts where necessary. Included in the new Service has been a key appointment of a regional data officer. The development of other shared services and collaborative opportunities continues.

Housing

A Joint Housing Market Assessment has been undertaken in collaboration with Neath & Port Talbot in order to identify requirements for future housing provision across the whole of the Swansea Bay area and for all tenures. This has also led to savings on project costs for both authorities.

A Cross Border Women's Project has been set up between Swansea, Neath & Port Talbot and Bridgend utilising Supporting People funding in order to improve access to safe and secure accommodation and support for women across the three regions.

Economic Regeneration & Planning

We are currently collaborating with the local authorities of Neath Port Talbot, Carmarthenshire and Pembrokeshire to create local supply chain and training and recruitment opportunities during the construction of the science and

innovation campus. This will share resources between council staff and create multiple opportunities within travel to work areas.

The Planning Policy Team are currently collaborating with Neath Port Talbot Borough Council to complete a review of economic growth and employment land requirements; to produce an updated Strategic Housing Market Assessment; and to reach an agreement on a Community Infrastructure Levy for the Swansea Bay Area.

We are also collaborating with both Neath Port Talbot Borough Council and Carmarthenshire County Council on Habitats Regulations Assessments and to formalise mineral aggregate apportionment arrangements within the region

We have drawn upon expertise from Carmarthenshire County Council to undertake a Landscape Assessment of Swansea

We have worked with all coastal South Wales authorities from Vale of Glamorgan to Pembrokeshire to complete a review of the Shoreline Management Plan

Human Resources and Organisational Development

Corporate Learning & Development is working collaboratively with the Neath & Port Talbot, Carmarthenshire, Pembrokeshire, Powys, Ceredigion & Bridgend Councils within the South West Wales Workforce Development Network on a number of learning and workforce development initiatives in an attempt to save costs and work more efficiently.

The Health, Safety & Well-Being Service has collaborated with 16 Authority's in Wales and the Welsh Government to produce the Welsh Purchasing Consortium Occupational Health Framework. The service is also collaborating with Newport, Caerphilly and Torfaen Council's to produce a set of Stage 1 Health and Safety procurement questions for contractors that will be consistent across Wales and help local businesses to work with Welsh local authorities.

The Pension Section is part of the All Wales Pension Fund Communication Group. All eight pension funds in Wales (including Swansea) are collaborating to produce standard communication material for the Local Government Pension Scheme (LGPS) in particular Annual Benefit Statements thereby sharing expertise and reducing costs.

Social Services

We are collaborating with ABMU Health Board and other local authorities to integrate services to make better use of resources and deliver better outcomes for people, for example, an integrated community equipment service.

We are also collaborating with ABMU and neighbouring Local Authorities to support people with Learning Disabilities, Mental Health needs, Older People and Children by commissioning specialist services more effectively.

We are working collaboratively with all the Welsh Local Authorities as part of the Children's Commissioning Consortium Cymru (the Four 'C's'), to commission places for looked after children with foster carers and in children's homes to improve the matching of children's needs to available support, increase the stability of placements and make cost savings.

Swansea Council is collaborating with the Health Board, Alzheimer's Society, Swansea Carer's Centre, Age Concern Swansea, Swansea Care Homes and Care Commissioning Alliance and Swansea Network 50+ (citizen reference group) to respond and better promote the human rights of people living with dementia in terms of them being treated with dignity and respect and being able to express choice and control in their lives.

Culture & Tourism

The City and County of Swansea is collaborating with the Welsh Chief Officers for Recreation and Leisure (CORL) Group and the WLGA to develop a Results Based Accounting framework for the provision of Leisure, Cultural and Library Services in Wales.

The Council has also established collaboration with Neath, Port Talbot CBC to provide a unified Archive service for the City and County of Swansea and the County Borough of Neath Port Talbot, a joint arrangement which has been in operation since 1996.

Performance & Strategic Projects

We are collaborating with Neath Port Talbot through the operation of the Joint Resilience Unit (JRU), which is responsible for ensuring that the impact of major emergencies affecting our communities is reduced, so increasing the safety of their residents and visitors.

Procurement

The Council is collaborating with fifteen other Welsh Council's through the Welsh Purchasing Consortium in order to maximise value for money and efficiency savings through improved procurement, making the best use of resources, contracts, collaboration, and supplier relationship management.

City – Regions

The Council collaborated on a regional response to the call for evidence. The response made the case for a Swansea Bay City Region to drive economic growth. This collaboration has continued in the joint commissioning of a Regional Economic Regeneration Strategy.

Rail Electrification

The Council collaborated with other organisations to lobby for the inclusion of rail electrification into Swansea station, which will cut journey times to and from London and help draw investment into the City and County.

Where to find additional information

Annual Corporate Improvement Plan 2012/13

Performance & Strategic Projects have prepared this document on behalf of the Council. If you have any questions or comments on the content of this plan, you can contact the Business Performance team in Performance & Strategic Projects by: Email to improvement@swansea.gov.uk Telephone 01792 636852. This summary and the full Corporate Improvement Plan 2012-13 can be found by clicking on the following web link:

<http://www.swansea.gov.uk/index.cfm?articleid=155>

Agenda Item 9b

Report of the Cabinet Member for Finance & Resources

Cabinet – 4 October 2012

REVENUE OUTTURN 2011/12 – HOUSING REVENUE ACCOUNT [HRA]

Purpose:	This report details the City and County of Swansea's HRA outturn compared with the approved revenue budget for 2011/12.
Policy Framework:	Budget plan 2011/12.
Reason for Decision:	This report is presented to Cabinet in accordance with Financial Procedure Rules.
Consultation:	Cabinet Members, Legal and Corporate Management Team.
Recommendations:	<p>It is recommended that:</p> <ul style="list-style-type: none">(a) the variations detailed in the report are noted;(b) the capital programme is increased by £1.25m in 2013/14, and 2014/15 and a pilot project set up in one of the target areas to maximise spend and links to the area based approach and local employment and skills agenda.
Report Author:	K. Lawrence
Finance Officer:	K. Lawrence
Legal Officer	T. Meredith

1. Summary of HRA outturn for 2011/12.

1.1 The HRA showed a surplus of £620,000 for the year, and a variance of £4.47M. The variance is made up of savings, underspends and slippages, the main items being as follows:-

Item	£000
A reduction in the contribution to capital expenditure due to slippage and savings on the capital programme. The main areas of work which experienced delays were wind and weather proofing, security measures, and energy efficiency (loft Insulation) with further details in 1.3 below	1,400
Under spends, slippage and savings on repairs and maintenance of council houses. Original budget on RPP was spent in full but in an attempt to increase spend an extra allocation of £600,000 was not utilised due to delay in attracting additional resources and complex procurement issues. There was a, £150,000 under spend on	1,100

demand led Response Maintenance (96.78% spent), £150,000 on voids repairs (96.66% spent), and £200,000 on other minor maintenance programmes.	
Increased repatriation of surplus from CB&PS due to the effect of efficiency improvements and a substantially increased programme of work which was not fully established when the revenue position was profiled. In addition the likely effects of the introduction of Single Status anticipated during the financial year have not materialised due to the delay in implementation. However this potential improvement was reported via P&FM at various stages during the year.	1,200
Other costs and income (see 1.2 below)	770
Total underspend	4,470

- 1.2 This represents an improvement of £2.47m compared to the position reported to Cabinet on 9th February 2012. This is mainly due to the slippage on the capital programme and savings of £770K on a variety of items as outlined in the table below:-

Item	£000
Provision for a potential pay increase that was not required	100
Additional rent income	100
Additional furnished tenancies income	100
Additional sheltered housing income	150
IT development costs	80
District office running costs	60
Printing and postage costs	60
Additional negative subsidy payment	(100)
Contact Centre	50
Technical supervision	60
Sheltered accommodation maintenance	50
Other	60
Total	770

- 1.3 The slippage on maintenance and improvement work was due to the following reasons:-

- A number of the projects with “slippage” are in fact complete and the balance would reflect contingencies, or contract retentions which are required for the following year. Traditionally amendments to the budgets of completed schemes only take place once the final accounts have been settled and these monies are then wired to alternative projects the following financial year
- Protracted procurement process for High Rise redevelopment schemes being delivered as a single package via the regional partnership framework. A further slippage has occurred in 12/13 due to extended tenant and member consultation and the need for further changes to planning requirements. However contractors are now in place and the benefits will be achieved in subsequent years due to the avoidance of future tendering.
- Delays in appointing additional labour only contractors as a result of protracted procurement and legal challenges have led to a shortfall of resources

- Some of the structural works to retaining walls have been delayed due to legal disputes with private owner occupiers delaying the completion of the works
- The council still faces difficulties in gaining access to complete its Council House rewiring programme which amounts to in excess of £1m per annum. Whilst every attempt is made to gain access some schemes have resulted in almost 50% refusals and whilst alternative properties are sourced during the year this results in unavoidable delays and a slippage in the contractors spend
- Diversion of resources from traditional Enveloping Schemes to deal with additional grant funded works to ensure the grant was secured within the financial year deadline.
- Introduction of a programme of installing 1hour fire rated doors to high rise following health and safety issues. No existing contract existed for their supply and whilst the council was able to access via the regional Welsh Purchasing Consortium this has led to significant delays in accessing the volume of doors from the nominated single supplier
- Under spend on the heating upgrade budget due to a number of properties being included in the grant funded ARBED programme thus not requiring a budget contribution
- Delays experienced with the loft insulation programme in terms of the procurement process and subsequent contract negotiations with British Gas throughout the year meaning the project did not go on site until qtr 4 2011/12. The budget did not therefore spend to the intended profile causing the slippage shown.
- Budget forecasts for the Tenant Adaptation programme during qtr 4 2011/12 showed a potential overspend at year end. The programme was therefore slowed down at year end to prevent this from happening. The programme itself consists of many hundreds of individual adaptation projects throughout the year meaning spending the budget to the penny is extremely difficult and an amount of variance is therefore inevitable and the slippage represents an amount within normal tolerances based on our experience of a programme of this nature.

It is worth noting that there was a significant increase in the capital programme and spend from 10/11 to 11/12 of £6.4m, an increase of over 50%. A significant further increase is profiled for 12/13 and whilst there is a protracted lead in time required to resource and procure this work the appropriate steps have now been taken including increased resources, realigning procurement programmes, diverting resources from other works, new corporate labour only frameworks including boiler replacements, and a series of new frameworks including housing enveloping works about to be awarded in Sept 2012 for 4 years

2. Reserves

- 2.1 The opening balance for the year was £15.438m. With this surplus of £620,000 the closing balance is £16.058m. The minimum reserve required for contingency purposes is considered to be £4m - this leaves £12m available to supplement the capital programme. In the budget report in February, Council agreed to the use of £9.5m over the next three years to supplement the capital programme. This means that a further £2.5m could be released, and it is proposed that this is used to increase the 2013/14 and 2014/15 programmes.

3. Legal Implications

3.1 There are no legal implications.

Background Papers – None

Appendices - None

Report of the Cabinet Member for Learning & Skills

Cabinet – 4 October 2012

FLYING START CAPITAL PROGRAMME EXPANSION 2012 - 2015

Purpose:	To outline the capital proposals included in the Draft Strategic Outline Plan submitted to Welsh Government in respect of the expansion of the Flying Start Programme between 2012/13 and 2014/15.
Policy Framework:	Children and Young People Plan 2011-14.
Reason for Decision:	To comply with Financial Procedure Rule 7-to approve and include new Capital schemes in the Capital Programme.
	To authorise the Corporate Director to seek Planning approval where appropriate / if required.
Consultation:	Education, Corporate Building Services, Finance and Legal.
Recommendation(s):	That Cabinet:
	<ol style="list-style-type: none">1. Implement the setting, as detailed in the approved Flying Start Strategic Outline Plan (SOP);2. Submit planning applications where appropriate;3. Determine the distribution of the revenue funding for each of the settings 2012/12 to 2014/15;4. Agree that the schemes as detailed, together with their financial implications, be approved.
Report Author:	Sian Bingham
Finance Officer:	Ben Smith
Legal Officer:	Debbie Smith

1.0 Introduction

- 1.1 The Welsh Government has committed to expanding the Flying Start Programme across Wales. Between 2012/13 and 2014/15 the Programme in Swansea will expand to include a further 1,229 0-3 year

olds with additional revenue funding of £4,453,760 provided for delivery of the Programme in the new areas.

- 1.2 There has been significant progress to date in relation to Swansea's Flying Start Programme which is rooted in the strategic direction established nationally and locally for the Programme and forms part of the continuum of services and approaches within the wider Prevention and Early Intervention Programme within the Children and Young People Plan and on behalf of the Children & Young People's Partnership.
- 1.3 Flying Start has been in operation in Swansea since 2006 with 1,430 0-3 year olds supported annually via the Programme. It is a multi-agency Programme aimed at improving outcomes for children under 4 in the identified most deprived target areas. Children and their families living in the targeted areas are eligible to access a menu of services which include additional health visiting above core service/other health enhancing services, parenting programmes and support via delivery of accredited group work programmes and/or 1-2-1 individual interventions, language and play programme and the centrepiece is free quality part time childcare for all 2 year olds 2.5 hours a day, 5 days a week 42 weeks of the year. Currently there are 298 good quality childcare places in operation.
- 1.4 Phase 1 of the Programme was required by Welsh Government to be targeted at the most disadvantaged school catchments in Swansea. In line with WIMD data the target areas were Townhill, Seaview, Blaenymaes, Portmead, Clwyd, Hafod, Waun Wen and Pentrechwyth. Provision for welsh medium childcare and accessible childcare for children with disabilities are also provided for eligible 0-3 year olds living in the geographical target areas.
- 1.5 The Welsh Government has changed the criteria for defining Flying Start areas for phase 2 of the Programme, which is the expansion between 2012/13 and 2014/15. Local partnerships have been provided with a list of all Lower Super Output Areas (LSOAs) ranked in order of deprivation according to the levels of income benefit households (IBHHs) with 0-3 year olds. Prior to receiving offer of capital grant from Welsh Government for Phase 2, the Authority has had to satisfy Welsh Government on a number of occasions that the expansion of the Programme is fully in line with the ranking of LSOAs determined by IBHHs of 0-3 year olds.

2.0 Background to Capital Bids

- 2.1 On the 16th February 2012 Local Authorities were asked to complete a Strategic Outline Plan (SOP) to bid for Flying Start capital resources to expand the Programme to further geographical target areas. The deadline for the submission of the SOP for the expansion (Phase 2) of the City and County of Swansea's Flying Start Programme was 23rd

March 2012. The bid was approved in principle by the Welsh Government on 6th August 2012 and by formal offer of grant received on 29th August 2012.

3.0 Expansion of the Flying Start Programme

- 3.1 The Welsh Government has identified Flying Start as a priority area and as such the Programme across Wales is to be expanded over the next 3 financial years. Swansea will receive a grant to target an additional 1,229 0-3 year olds annually for which a further 307 (approximately) good quality childcare places need to be identified and established within the Programme by 31st March 2014.
- 3.2 Indicative revenue allocations have been confirmed by Ministers with Swansea allocated an additional £4,453,760 between 2012/13 and 2014/15 to deliver the expansion to the Programme.
- 3.3 The letter from Welsh Government (WG) states that "*The basis for targeting this expansion has been agreed by Ministers and will be linked to concentrations of 0-3 year olds living in income benefit households. This means that the expanded programme must be targeted in those areas with the highest proportion of 0-3 year olds living in income benefit households (IBHHs).*"
- 3.4 On this basis taking into account the Income Benefit Households (IBHHs) data, the cap of 0-3 year olds set by Welsh Government and the existing Flying Start population, the Lower Super Output Areas (LSOAs) approved by Welsh Government are shown in Appendix A .
- 3.5 Furthermore the Map in Appendix B identifies the existing Flying Start areas, and the new areas.

4.0 Programme Investment Objectives

- i) To provide an additional **307** good quality childcare places within target areas by 31st March 2014.
- ii) To improve outcomes for young children and reduce the impact of poverty
- iii) To ensure smooth transition into the Foundation phase by locating Flying Start settings on school sites.
- iv) To provide fit for purpose accommodation to meet CSSIW regulations.
- v) To provide accommodation to enable the co-location of multi-agency services to achieve integrated service delivery between childcare, health visiting, parenting and delivery of the Language and Play Programme and the Foundation Phase.

5.0 Service Solution

- 5.1 Building on the Programme to date and taking into account lessons learned and good practice, the preferred way forward would be to, where possible, maximise the use of available space (potential surplus capacity) via re-modelling within existing local primary schools. Of particular interest to Swansea would be continuing to link the Flying Start Programme with the aspirations for 21st Century schools so that the benefits of Flying Start are maximised within primary schools and Community Focussed Schools particularly in relation to the evidenced benefits of transition into the Foundation Phase.
- 5.2 Where the option to remodel existing surplus capacity on primary schools sites is not achievable piloting “buying-in” the childcare from wider community facilities such as registered playgroups and day nurseries will be explored.

6.0 Implementation

- 6.1 In order to achieve the number of places within a tight timescale, it will be necessary for the capital programme to be phased to achieve the delivery of an additional 21 childcare places operational during 2012/13, 181 during 2013/14 and 105 during 2014/15.
- 6.2 The proposed capital improvement works are at the following schools:

Gors Community School
Clase Primary School
Blaenymaes Primary School
St Thomas Primary School
YGG Tan-y-lan
Craigfelen Primary School
St Helens Primary School
Birchgrove Primary School

- 6.2 It is noted within the Award of Grant that the funding is only available in the years indicated and therefore the timeline for the Programme of delivery is very tight.

7.0 Financial Implications

Capital

- 7.1 The total cost of the capital improvement works amounts to £1,145,000 and will be fully funded by grant from the Welsh Government.
- 7.2 The Funding relates to the period April 2012 to March 2014 and must be claimed in full by 31st March 2014 otherwise any unclaimed part of the Funding will cease to be available to the City and County of

Swansea. The funding available has been profiled by financial year as set out in Appendix C.

Revenue

- 7.3 The Flying Start revenue grant will meet the costs of the Programme's service delivery and the running costs of the settings in line with current arrangements. The total revenue available for 2012/13 is £3,243,155 and as outlined above indicative allocations for the existing programme and its expansion to new areas is £4,761,483 in 2013/14 and £5,647,173 in 2014/15.

8.0 Legal Implications

- 8.1 In line with current arrangements a licence agreement will be in place between Flying Start, the school and the individual services operating from the setting to ensure clarity of roles and responsibilities relating to the asset.
- 8.2 The grant offer from Welsh Government will contain conditions which are legally binding. The Council must be satisfied that it is able to comply with the same.
- 8.3 Any proposal to "buy – in" childcare provision as outlined in paragraph 5.2 must comply with the Council's procurement procedures and the Council's Contract Procedure Rules as relevant.

Background Papers:

Cabinet Report dated 5th April 2012

Flying Start Strategic Plan

Swansea's Flying Start Strategic Outline Programme

Appendices:

Appendix A – List of the confirmed expanded areas detailing Lower Super Output Areas including details of the individual settings

Appendix B – Map of the existing and new Flying Start areas.

Appendix C – Financial Implications Summary

Summary of Proposed Flying Start Capital Schemes

1. Operational during 2012/13: Target is 21 additional childcare places

Scheme 1	Bonymaen 1 : 16 additional places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	Extension of the existing childcare service at Pentrechwyth Primary.
Service delivery	In-house managed by the school
Implementation	Fully implemented by no later than December 2012
Funding	No capital required.

Scheme 2a	Townhill 3 and 1 : 5 additional places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	Extension of the existing childcare service at Seaview Primary
Service delivery	Managed by Prevention and Early Intervention services
Implementation	Fully implemented by no later than December 2012
Funding	No capital required.

2. Operational during 2013/14: Target is 181 additional childcare places

Scheme 2b	Townhill 3 and 1 : 2 additional places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	Extension of the existing childcare service at Seaview Primary
Service delivery	Managed by Prevention and Early Intervention services
Implementation	Fully implemented by April 2013
Funding	No capital required.

Scheme 3	Townhill 1, 2 and 6 : 38 new Flying Start childcare places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	Enhancement of the existing CSSIW registered playgroup at Gors Community School to achieve Flying Start quality requirements and service scope.
Service delivery	Managed by the service provider (Mayhill Family Centre)
Implementation	Fully implemented by end of April 2013
Funding	£116,000 capital requirement

Scheme 4	Mynyddbach 1 : 21 new Flying Start childcare places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	To explore the viability of Clase Primary School via re-modelling of surplus capacity.
Service delivery	Procurement advice will be sought at the appropriate stage.
Implementation	Fully implemented by September 2013
Funding	£174,000 capital requirement

Scheme 5	Penderry 1,4,5 and 7 and Cockett 8 : 24 new Flying Start childcare places

Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	Extension of existing setting at Blaenymaes Primary.
Service delivery	Existing arrangements would be extended (in-house school run)
Implementation	Fully implemented by no later than April 2013
Funding	No capital required.

Scheme 6	Penderry 1,4,5 and 7 and Cockett 8 : 24 new Flying Start childcare places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	To explore the viability of further extending the Flying Start setting at Blaenymaes Primary.
Service delivery	Existing arrangements would be extended (in-house school run)
Implementation	Fully implemented by no later than January 2014.
Funding	£65,000 capital requirement

Scheme 7	St Thomas 2 and 1 : 45 new Flying Start childcare places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	To explore the viability of St Thomas Community School - minimal remodelling required to the recently newly constructed school in order to achieve the space configuration and CSSIW and Flying Start service standards.
Service delivery	Procurement advice will be sought at the appropriate stage
Implementation	Fully implemented by September 2013.
Funding	£116,000 capital requirement

Scheme 8	Morriston 7 : 18 new Flying Start childcare places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	To explore the viability of Ysgol Gynradd Gymraeg Tan- y -Lan (Welsh medium Primary School) via enhancement of available space at this time as a newly established welsh medium primary.
Service delivery	Procurement advice will be sought at the appropriate stage.
Implementation	Fully implemented by September 2013.
Funding	£180,000 capital requirement

Scheme 9	Clydach 3 : 24 new Flying Start childcare places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	To explore the viability of Craigfelen Primary School at the CSSIW registered Alpha Tots pre-school playgroup and re-modelling of surplus capacity.
Service delivery	Procurement advice will be sought at the appropriate stage.
Implementation	Fully implemented by September 2013.
Funding	£65,000 capital requirement

3. Operational during 2014/15: Target is 105 additional childcare places

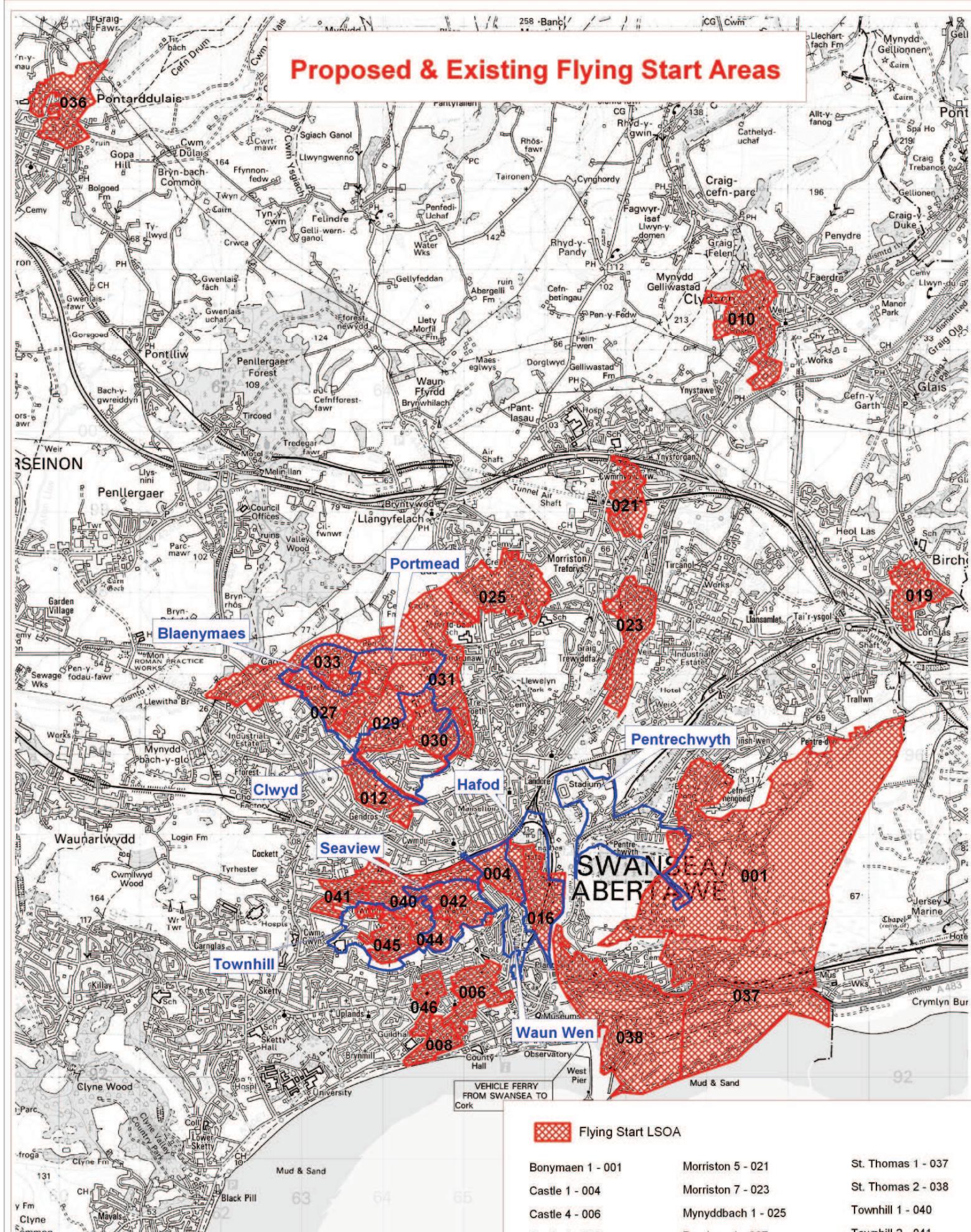
Scheme 10	Castle 8 and 4 and Uplands 4 : 35 new Flying Start childcare places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	To explore the viability of St Helens Primary School via re-modelling of surplus capacity. This is an area with a high Black Minority Ethnic population. A dedicated Flying Start setting with co-located services on the school site will therefore be key to ensuring that families engage with the Programme.
Service delivery	Procurement advice will be sought at the appropriate stage.
Implementation	Fully implemented by no later than April 2014.
Funding	£370,000 capital requirement

Scheme 11	Pontardulais 4 : 13 new Flying Start childcare places
Service scope	Childcare
Service solution	To explore the viability of "buying in" childcare places from a local registered Day Nursery. This would be on a pilot basis.
Service delivery	Private provider
Implementation	Fully implemented by April 2014
Funding	No capital required.

Scheme 12	Llansamlet 8 : 20 new Flying Start childcare places
Service scope	Childcare, health visiting, parenting/language and play, crèche and hot desking
Service solution	To explore the viability of Birchgrove Primary via re-modelling of surplus capacity.
Service delivery	Procurement advice will be sought at the appropriate stage.
Implementation	Fully implemented by April 2014.
Funding	£59,000 capital requirement

Scheme 13	Morriston 5: 17 new Flying Start childcare places
Service scope	Childcare
Service solution	To explore the viability of "buying in" childcare places from a local registered Day Nursery. This would be on a pilot basis.
Service delivery	Private provider
Implementation	Fully implemented by April 2014
Funding	No capital required.

Proposed & Existing Flying Start Areas



 Flying Start LSOA

Bonymaen 1 - 001	Morriston 5 - 021	St. Thomas 1 - 037
Castle 1 - 004	Morriston 7 - 023	St. Thomas 2 - 038
Castle 4 - 006	Mynyddbach 1 - 025	Townhill 1 - 040
Castle 8 - 008	Penderry 1 - 027	Townhill 2 - 041
Clydach 3 - 010	Penderry 3 - 029	Townhill 3 - 042
Cockett 8 - 012	Penderry 4 - 030	Townhill 5 - 044
Landore 4 - 016	Penderry 5 - 031	Townhill 6 - 045
004	Penderry 7 - 033	Uplands 4 - 046
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FINANCIAL IMPLICATIONS : SUMMARY

Portfolio: EDUCATION

Service : PRIMARY SCHOOLS

**Scheme : FLYING START CAPITAL PROGRAMME EXPANSION
2012 - 2015**

1.1. CAPITAL COSTS	2012/13	2013/14	TOTAL
	£'000	£'000	£'000
<u>Expenditure</u>			
Flying Start Projects:			
Gors Community School	116	0	116
Clase Primary School	100	74	174
Blaenymaes Primary School	0	65	65
St. Thomas Primary School	40	76	116
YGG Tan-y-Lan	110	70	180
Craigfelin Primary School	65	0	65
St. Helen's Primary School	70	300	370
Birchgrove Primary School	0	59	59
EXPENDITURE	501	644	1,145
<u>Financing</u>			
Flying Start Capital Grant 12/14 (Expansion Programme)	501	644	1,145
FINANCING	501	644	1,145

1.2. REVENUE COSTS	2012/13	2013/13	FULL YEAR
	£'000	£'000	£'000
<u>Service Controlled - Expenditure</u>			
Employees)			0
Maintenance)			0
Vehicle running costs)			0
NET EXPENDITURE	0	0	0
<u>Financing</u>			
FINANCING	0	0	0

Agenda Item 10b

Report of the Cabinet Member for Learning & Skills

Cabinet – 4 October 2012

RESPONSE TO THE REPORT OF THE CHILDREN, YOUNG PEOPLE AND LEARNING OVERVIEW & SCRUTINY BOARD ON REVIEWING THE ROLE OF TEACHING ASSISTANTS ACROSS THE PRIMARY SECTOR IN SWANSEA

Purpose:	To outline the response of the Cabinet Member to the overview and scrutiny recommendations and present an action plan to address these.
Policy Framework:	None.
Reason for Decision:	To comply with the requirements of the Council Constitution.
Consultation:	Legal Services, Financial Services.
Recommendation(s):	It is recommended that:
1)	The Cabinet Member response as outlined in the report and related action plan be agreed.
Report Author:	Richard Parry
Finance Officer:	Ben Smith
Legal Officer:	Janet Hooper

1. Introduction

- 1.1 The report provides a very good basis for consideration of the current effectiveness of teaching assistants in primary schools but importantly, how they can be supported to enable improvements in outcomes for children and young people

2. Response to Overview and Scrutiny Recommendations

Recommendation 1

One consistent title for the role of all teaching assistant staff (apart from those who provide individual support) be used and that be 'learning support assistant'.

Cabinet Member Response: Whilst each school has delegated authority to make decisions about post titles, this could be used as a better description of the nature of the current and future work of these post-holders. The term Higher Level Teaching Assistant (HLTA) is however used to describe the training programme

and accreditation for those wishing to progress to level 4 of the national framework. This cannot be changed. On balance it is better to continue with Teaching Assistants as the term but allow local discretion at school level

Recommendation is NOT AGREED

Recommendation 2

Schools carry out a formal appraisal of their 'learning support assistants' on an annual basis as part of their performance management process and best practice.

Cabinet Member Response: Each school should be carrying out an annual appraisal of learning assistants as part of their performance management processes. This should be part of the overall quality assurance processes evident in schools enabling effective deployment of staff to need, identification of training needs and as part of the feedback process supporting staff.

Recommendation is AGREED

Recommendation 3

The local authority provides information and guidance to schools in relation to appraisals, training, recruitment and retention.

Cabinet Member Response: Guidance can be drawn from existing information used nationally, regionally and locally to enable a framework to be developed. This is probably a process which would be better done on at least a regional basis in discussion with Associations and headteachers and Learning Support Assistants in schools

Recommendation is AGREED

Recommendation 4

All new 'learning support assistants' receive induction training which should include those issues identified in point 3.9.

Cabinet Member Response: This would be developed as part of the information and guidance developed from recommendation 3. Whilst the local authority has a role to support the development of guidance and possibly some induction, it is mainly schools that will provide the induction training.

Recommendation is AGREED

Recommendation 5

The viability of introducing a minimum qualification requirement for 'learning support assistants' should be investigated by Cabinet and be subject of a report back to the Board at a future date.

Cabinet Member Response: Discussion with Associations has already started on this aspect. There is already a framework for four different levels of Learning Support Assistants and qualifications required for some of these especially level 4

which is for the Higher Level Teaching Assistant (HLTA) operated through the Swansea Metropolitan University. Minimum qualifications will be explored as part of the wider framework for induction, training and appraisal

Recommendation is **AGREED**

Recommendation 6

A process for monitoring the effectiveness of 'learning support assistants' in the drive to improve standards in schools be introduced in addition to the formal appraisal requirement.

Cabinet Member Response: This will be addressed naturally as part of the development of a framework for induction, training and appraisal.

Recommendation is **AGREED**

Recommendation 7

Schools and teachers are given advice from the local authority on how to get the best from 'learning support assistants' including providing training where necessary.

Cabinet Member Response: A working group will be established with practitioners from schools to enable this to occur.

Recommendation is **AGREED**

Recommendation 8

All schools are encouraged to use the specific skills developed by 'learning support assistants' more across the school clusters.

Cabinet Member Response: Schools are being required to co-ordinate their work more effectively and where possible to achieve efficiencies and economies of scale by sharing practice and also personnel across groups of schools, normally the natural secondary school cluster. This is already occurring with some clusters and can be further disseminated to schools.

Recommendation is **AGREED**

3. Legal Implications

- 3.1 The ability to impose changes in working practices on a community or voluntary aided school is limited by the provisions of the School Standards and Framework Act 1998.
- 3.2 This act provides that the ability to appoint and dismiss school based staff rests with the Governing Body of the School. Any changes suggested within the report should therefore be agreed with the schools in order to affect them.

3.3 Further it should also be noted that to avoid any issues of inequality and potential equal pay issues agreement is also necessary where issues such as minimum qualifications are being discussed.

4. Financial Implications

4.1 The developments will be funded within existing funding streams and grants where available.

Background Papers: None

Appendices: None

Agenda Item 10c

Report of the Cabinet Member for Learning & Skills

Cabinet – 4 October 2012

FRAMEWORK FOR THE SUPPLY OF GROCERIES, PROVISIONS AND FROZEN FOODS

Purpose:	To seek Cabinet approval for the utilisation of the WPC framework for the supply of groceries, provisions and frozen food where the estimated annual value falls within Contract Procedure Rule Band G2.
Policy Framework:	Contract Procedure Rule - 6.7, 13.3 and 13.4.5
Reason for Decision:	To comply with Contract Procedure Rule 13.4.5
Consultation:	Finance, Legal and Education
Recommendation(s):	It is recommended that
1)	Orders are issued to the suppliers that were ranked 1 st and accepted onto the framework for The City & County of Swansea's Lot for the goods required.
Report Author:	Steve Herman
Finance Officer:	Mike Trubey
Legal Officer:	Debbie Smith

1. INTRODUCTION

The supply of Groceries & Provisions and Frozen Foods for The School Meals Service, Social Services and Leisure Centres within the City & County of Swansea is currently being supplied under two separate collaborative arrangements with Neath Port Talbot County Borough Council, with Frozen Food being led by The City & County of Swansea and Groceries & Provisions being led by Neath Port Talbot County Borough Council. The current arrangements will expire on the 31st August 2012 and the 31st December 2012 respectively.

The Welsh Purchasing Consortium (WPC) recognised that a new, compliant framework was required, and a tendering process was run by Caerphilly County Borough Council in November 2011. Thirteen authorities within the WPC agreed to participate in this collaborative framework, including The City & County of Swansea.

The contract award needs to be approved by Cabinet as it exceeds £1m. The Responsible Officer, Brian Roles, Head of Education Planning recommends approval in accordance with this evaluation panel report.

2. TENDER PROCESS AND ANALYSIS

In accordance with EU Procurement Regulations, the framework was advertised by Caerphilly County Borough Council on the Buy4Wales website, using the Open Procedure. In total 27 companies expressed an interest in tendering and 15 responses were received, with 5 bids for Swansea's Lot being received from Tender No 1, Tender No 2, Tender No 3, Tender No 5 and Tender No 7.

The lotting strategy was broken down into 7 lots, which consisted of the following areas:

- Lot 1 - South Eastern Counties consisting of the following Authorities: (Blaenau Gwent, Monmouthshire, Newport, Torfaen, Caerphilly, Merthyr and Rhondda Cynon Taf)
- Lot 2 – Cardiff
- Lot 3 – Powys
- Lot 4 – Swansea
- Lot 5 – Pembrokeshire
- Lot 6 – Neath Port Talbot & Bridgend
- Lot 7 - Supply of nominated wholesale distributors only

The lotting strategy took into consideration those Authorities that required both Groceries and Provisions and Frozen Foods combined and those that required both to be evaluated separately. The tender documentation and contract notice advised that between one and three providers would be accepted on to the framework in ranking order for each lot offered.

The tender assessment was based on a two-stage process, selection and award.

The evaluation of the selection stage process considered the tenderers responses in regards to their experience and technical capability and capacity to supply. As a result of the selection stage evaluation process and following site visits to companies' premises being undertaken the following companies were excluded from the process:

- Tender No 2
- Tender No 6 (did not bid for Swansea)
- Tender No 9 (did not bid for Swansea)

Additionally, and following legal advice being sought and received, the submission received from Tender No 1 was excluded from the evaluation process as it was inconsistent with the terms and conditions of contract and therefore deemed to be a non-compliant tender submission.

The award criteria was based on the most economically advantageous tender response with the Quality criteria consisting of 60 marks and Price criteria 40 marks.

For Swansea's Lot three compliant bids were taken through to the award stage and evaluated against the criteria set out in the ITT, the result of which is detailed below.

LOT 4 (SWANSEA) GROCERIES & PROVISIONS OVERALL EVALUATION

Evaluation Criteria Tender Response Section	Score	Tender No 3	Tender No 5	Tender No 7
Tender Response (Question 1 & 2)	Min = 0 Max = 15	14.00	15.00	14.00
Product Acceptability (Sampling)	Min = 0 Max = 45	25.69	22.55	22.06
Price	Min = 0 Max = 40	34.95	36.66	39.90
Total Score Available	Min = 0 Max = 100			
Total Score Achieved		74.64	74.21	75.96
Ranking Position for Lot 4 Groceries & Provisions		2	3	1

LOT 4 (SWANSEA) FROZEN FOODS OVERALL EVALUATION

Evaluation Criteria Tender Response Section	Score	Tender No 3	Tender No 5
Tender Response (Question 1 & 2)	Min = 0 Max = 15	14.00	15.00
Product Acceptability (Sampling)	Min = 0 Max = 45	17.46	26.64
Price	Min = 0 Max = 40	36.79	38.76
Total Score Available	Min = 0 Max = 100		
Total Score Achieved		68.25	80.40
Ranking Position for Lot 4 Frozen Foods		2	1

Therefore the following providers ranked 1st were accepted onto the framework for The City & County of Swansea's Lot:-

Groceries & Provisions – Tender No 7

Frozen Food – Tender No 5

3. FINANCIAL IMPLICATIONS

The detailed spend analysis for The City & County of Swansea attached to this report has been calculated on the core high value items (approximately 80% of total spend) and like for like current spend is £1,020,763. Therefore the total annual spend for the authority is £1,224,915 and is split approximately 82% education, 10% social services and 8% miscellaneous directorates e.g. Leisure, Culture & Tourism and Regeneration. The annual forecast forward spend has been calculated by using tendered prices from the 1st ranked wholesale distributors for both Groceries & Provisions and Frozen Food and is based on prices and current usages, and is cheaper than the current annual spend, with an estimated

annual saving of £44,691 for Frozen Food and £46,933 for Groceries & Provisions. It must be noted however that the suppliers will be able to increase prices as the condition of contract allows variations after 6 months. In view of this it was noted during the evaluation that the supplier had submitted prices well below the currently contract price for 2 lines as loss leaders in order to secure the contract. Should these prices increase to the current price from the start of our utilisation of the framework our savings will be diminished by £21,937 per annum.

4. PROCUREMENT AND LEGAL IMPLICATIONS

The City & County of Swansea is named as a participating authority in both the OJEU notice and the ITT, and the Award Criteria, including sub-criteria, was included in the ITT. The Responsible Officer is satisfied that the tender process has been undertaken in accordance with prevailing Contract Procedure Rules of Caerphilly County Borough Council and European Procurement Regulations, and recommends approval in accordance with the City and County of Swansea Council's Contract Procedure Rules. The Procurement Manager for the City & County of Swansea confirms that European Procurement Regulations have been applied to this tender process. The monitoring officer accepts this framework under CPR 13.4.5.

The award of framework was approved by all members of the WPC Officers Panel on the 12th April 2012, for a total period of 4 years (3years+1year option to extend) and Standstill letters were sent to all tenderers on the 11th April 2012. All tenderers were been briefed by the lead authority as to their appointment to the framework agreement and Tender No 3 withdrew their tender for all Lots at this stage. Award Letters were sent to the winning tenderers on the 26th April 2012.

It is the intention to use this framework by issuing purchase orders via the ISIS system and the catering cauldron, as current practice. Swansea will utilise the Groceries & Provisions Framework from the 1st September 2012 and the Frozen Food Framework from the 1st January 2013, when its existing arrangements expire, for the duration of this framework until March 2016.

The Contract Conditions will be the Caerphilly County Borough Councils standard terms and conditions under which the goods will be provided, the Contracts will be prepared by the Head of Legal, Democratic Services and Procurement. The contractual liabilities/obligations will be covered by the contract documentation.

Background papers: Swansea Spend & Savings Analysis

Appendices: None

Joint Report of the Cabinet Members for Learning & Skills and Place

Cabinet – 4 October 2012

REGIONAL SCHOOL TRANSPORT POLICY

Purpose:	To advise Members of the draft Regional School Transport Policy and the timetable for consultation/ implementation.
Policy Framework:	Regional Transport Plan. Council School Transport Policies (Mainstream and SEN)
Reason for Decision:	To allow consultation to take place in accordance with Welsh Government requirements.
Consultation:	Legal, Finance.
Recommendation(s):	It is recommended that:
	<ol style="list-style-type: none">1. The details of the draft Regional School Transport Policy be noted and approved for consultation;2. A further report on consultation responses and on the proposed Policy be submitted to Cabinet.
Report Authors:	Catherine Swain and Chris Seacombe
Finance Officers:	Kim Lawrence and Ben Smith
Legal Officers:	Debbie Smith and Janet Hooper

1.0 Introduction

- 1.1 The Learner Travel (Wales) Measure 2008 sets out the legal framework for home to school transport in Wales. Under the Measure, children of compulsory school age are entitled to free home to school transport when they live more than 2 miles (for primary age) and 3 miles (for secondary age) from their nearest suitable school. Within these distances, the Council needs to assess whether the walking route to school is suitable given the age and ability of the child (accompanied as necessary by an adult).

- 2.0 Current Home to School Transport Policy**
- 2.1 The Council currently has separate School Transport policies for mainstream pupils and those with Special Educational Needs (SEN) pupils. Guidance published by the Welsh Local Government Association (WLGA) and Welsh Government (WG) in 2010 suggests that there should be one transport policy covering both groups. This is because general entitlement criteria in terms of distances for free school transport, as set out in the Learner Travel (Wales) Measure 2008, should be exactly the same for all pupils, although the suitability of a walking route may be different for a child with special needs and the transport provided may need to be different.
- 2.2 Officers have therefore reviewed the current policies with a view to producing one School Transport Policy.
- 3.0 SWITCH Regional School Transport Policy**
- 3.1 During 2011, the South West Wales Integrated Transport Consortium (SWITCH) commissioned work to produce a Regional School Transport Policy, which could be applied by the Councils of Swansea, Neath Port Talbot, Carmarthenshire and Pembrokeshire. Officers from Swansea's Education and Environment Directorates have therefore been working with colleagues from these other authorities to develop a draft policy setting consistent standards across the region. The policy will reflect current legal requirements, WLGA / WG Guidance and will incorporate, as far as possible, current best practice. A copy of the draft Policy is attached as Appendix A.
- 3.2 The proposed Regional Policy does not change the level of provision in Swansea, but it is simpler and clearer than the current individual Council policies. The Policy covers transport for Mainstream and SEN pupils. The Policy will be supported by more detailed Operational Guidelines which will be issued to all those involved in the assessment of entitlement and procurement of school transport. This will help ensure that the Policy is consistently applied across the region.
- 3.3 As part of the collaboration agenda, this approach will allow further work to be done at a regional level on other aspects of school transport. These could include common conditions of contract for transport services, common vehicle standards, and consistent approaches to e-procurement and approval of drivers/passenger assistants. A regional Code of Conduct for School Transport is already in place.
- 4.0 Consultation and Implementation of Regional Policy**
- 4.1 An extensive consultation process needs to be undertaken on the proposed Policy to comply with Welsh Government requirements. It is intended that this be undertaken between October and December 2012. When this is completed, each Council will then need to consider

comments received and approve the Policy formally through its own internal approval procedures.

- 4.2 Legislation specifies that changes to transport policy should be made only at the beginning of a school year and any changes have to be phased in over a number of years so that pupils who currently have entitlement to free transport under the current policy would continue to receive it until they leave or change schools. In addition Local Education Authorities have to make information on transport available to parents in sufficient time to allow them to consider it when making decisions on school placements for their children.
- 4.3 It is important that sufficient time is allowed for the consultation period and for subsequent consideration of comments received. It is intended that the new School Transport Policy will be included in Information for Parents booklets available from September 2013. This will inform parents' decisions on applications for the September 2014 academic year. The policy would then be implemented from September 2014.

5.0 Financial Implications

- 5.1 There are no financial implications and the draft policy does not propose any change to entitlement.

6.0 Legal Implications

- (i) The Council is given both statutory duties and discretionary powers to provide transport. The Welsh Government's Learner Travel (Wales) Measure 2008 (the Measure) makes law for the travel of school pupils and young people in education or training aged 16-19 in Wales. The requirements of the Measure and associated Learner Travel Operational Guidance should be followed when formulating Local Authority's Travel Arrangements.
- (ii) An Authority should only change an existing transport Policy and or/arrangements at the beginning of a school year. Any changes that reduce discretionary provision of free school transport should only apply to pupils reaching compulsory school age or changing school.
- (iii) The Learner Travel Operational Guidance specifies that if an authority is considering changing its School Transport Policy it recommends that, as a matter of fairness and good practice, there should be consultation with the schools, parents of pupils, pupils, and any other relevant parties likely to be affected, before a decision is made. Case law has established that consultation must:
 - i) be at a time when proposals are still at a formative stage;
 - ii) provide sufficient information for those being consulted to form a considered view on the matters on which they are being consulted;
 - iii) there must be adequate time given for consideration and

response; and the product of the consultation must be conscientiously taken into account in reaching any subsequent decisions.

- (iv) The Learner Travel Information (Wales Regulations 2009 sets out the information required to be published by local authorities about travel arrangements under the Measure. The information must be published before 1st October of the year preceding the academic year to which the information relates.
- (ii) Section 149 of the Equality Act 2010 (Public Sector Single Equality Duty) requires public authorities to demonstrate in decision making that they have paid 'due regard' to the need to:
 - eliminate unlawful discrimination, harassment and victimisation
 - advance equality of opportunity between people who share a protected characteristic and people who do not share it
 - foster good relations between people who share a protected characteristic and those who do not

The relevant protected characteristics are Age, Disability, Gender reassignment, Marriage and Civil partnership, Pregnancy and maternity, Race, Religion and belief, Sex and Sexual orientation.

Public Authorities have a specific duty to publish information to demonstrate how they have paid due regard to the aims above as part of their decision making. Undertaking Community and Equality impact assessments would be evidence that the Authority has considered its legal obligations in making the decision on the recommendations in this report.

Background papers: None

Appendices: Appendix A – Draft Regional School Transport Policy

Draft SWWITCH School Transport Policy

Home to school travel

Free home to school transport

The Learner Travel (Wales) Measure 2008 requires local authorities to provide free transport to and from school for eligible children.

Free transport will be provided for:

1. Primary age pupils :

- Of compulsory school age; *and*
- Resident in the authority or looked after by the authority; *and*
- Attending their nearest suitable or designated school; *and*
- Living two miles or more from the school measured by the shortest available walking route.

2. Secondary school aged pupils:

- Who are of compulsory school age; *and*
- Resident in the authority or looked after by the authority; *and*
- Attending their nearest suitable or designated school; *and*
- Living three miles or more from the school measured by the shortest available walking route.

3. Other pupils, and who are:

- Of compulsory school age; *and*
- Resident in the authority or looked after by the authority; *and*
- Attending their nearest suitable or designated school; *and*
- Who live within walking distance but whose route is deemed unavailable because it would be unsafe, even if they were accompanied as necessary given their age and abilities

Post 16 students

The Learner Travel Measure (Wales) 2008 requires authorities to consider the needs of learners who are aged 16- 19 years. However, there is **no** requirement for local authorities to provide transport free of charge to any learner over compulsory school age to school or college.

The authority, however, uses its discretionary powers and will provide free transport for learners over compulsory school age who are:

- Under 19 years of age, or who have reached 19 and have begun a full time course of education or training before reaching 19 and continue to attend that course; *and*
- Resident in the authority or looked after by the authority; *and*
- Attending their nearest suitable or designated school or further education college; *and*

- Living more than three miles from their place of learning or are unable without support, training or accompaniment to walk the distance to school or college.

Other discretionary transport applications

Local authorities may use their discretion to provide transport in other circumstances, for example where there is a temporary medical condition that means a child is unable to walk to school, even if accompanied.

Appeals

If entitlement to free transport is refused, parents/carers may challenge that decision either if it is thought the authority has not applied the policy correctly, or because there are exceptional circumstances.

Appeals should be made in writing setting out the reasons for the appeal, and providing copies of any supporting information to.....

Transport arrangements for eligible pupils/learners

For children/learners who are eligible for free home to school /college transport, the authority will provide transport to and from school/college at the start and end of the day. It is not provided for part time /lunch-time or travel between school sites.

Transport will be provided for eligible pupils from reasonably near home to reasonably near school/college.

The type of transport and any supervision provided will be dependent upon the needs of the child/learner, and his/her age. The most cost effective, suitable mode of transport will be used. This may include a ticket for use on a local bus service, a place on a contracted vehicle, parental allowance, or cycle allowance. Transport arrangements and pupils' transport needs will be reviewed on a regular basis to ensure they are suitable and cost effective.

The authority may withdraw transport if they are satisfied that a learner has failed to comply with the Code of Conduct.

How to apply

Add details

Report of the Cabinet Member for Place

Cabinet – 4 October 2012

ARMED FORCES COMMUNITY COVENANT (AFCC)

Purpose:	To seek authorisation to sign up to an Armed Forces Community Covenant (AFCC) between the CCoS, the Armed Forces and other public and private organisations by December 2012.
Policy Framework:	Single Equality & Diversity Scheme
Reason for Decision:	The report proposes that CCoS signs up to the AFCC along with other public and voluntary organisations in Swansea. It also proposes that CCoS offer advice and support through a new, council web site; therefore decisions are required on these matters.
Consultation:	Legal, Finance, Procurement
Recommendation(s):	It is recommended that Cabinet: -
1)	Agree to sign up to the AFCC and put in place access to services initiatives as outlined in this report.
Report Author:	Rob David
Finance Officer:	Paul Lenihan
Legal Officer:	Patrick Arran
Procurement Officer:	Simon Griffiths

1.0 Background

- 1.1 The Armed Forces Community Covenant (AFCC) is a voluntary statement of mutual support between a community and its local Armed Forces community.
- 1.2 It is intended to complement the National Armed Forces Covenant which outlines the moral obligation between the Nation, the Government and the Armed Forces, at the local level.
- 1.3 The aim of the AFCC is to encourage local communities to support the Service community in their area and nurture understanding and

awareness amongst the public of the issues affecting the Armed Forces community.

- 1.4 Both the Welsh Government (WG) and the Welsh Local Government Association (WLGA) support the National Armed Forces Covenant and expect all Local Authorities in Wales to develop AFCC's, with the WG's Programme for Government reaffirming their continuing commitment to the welfare of the Armed Forces Community in Wales.
- 1.5 As a result of this WG expectation, Swansea Council has determined to establish an Armed Forces Covenant by December 2012 in line with the target date set by WG.

2.0 Who Gives What

- 2.1 The military can and in many cases already support the local community in various ways such as community events, charity support, supporting community projects. There are many more possibilities for greater interaction between the Military and the Swansea Community. Initiatives such as promoting education and understanding of the military through schools and sport partnerships through the Military Outreach Team and the "Making the Covenant Count" Programme which are already established to facilitate a greater level of partnership with the local community.
- 2.2 In return and through the AFCC, Swansea Community would be encouraged to offer greater recognition, consideration, help and support to the Armed Forces Community through addressing issues such as Housing, Education, Healthcare, Child Support, and Environmental challenges.

3.0 Access to Grant Funding

- 3.1 Once Swansea has a covenant in place, there is grant funding available for projects that deliver tangible results and meet the overall aims of the community covenant, examples of projects in the Swansea area could be:-
 - Projects that increase the integration of service personnel, veterans and their families with the wider community
 - One-off activities such as an activity camp involving the Armed Forces and local young people.
 - An exhibition at a local library/town hall explaining what the local Armed Forces unit has been doing.
- 3.2 Note there will need to be demonstrable benefit to the Armed Forces community and the local community for any application for funding to be successful.

4.0 Fair and Equal Access to Services

- 4.1 The overriding principle is that the Armed Forces Covenant in Swansea should be set up in Swansea on the basis of “fairness not favour”. However, it must also be recognised that Armed Forces personnel and their families may have needs that other members of the community may not have such as access to specialist health care for the treatment of combating stress or help in achieving a successful transition from service to civilian life.

5.0 Armed Forces Community Liaison

- 5.1 Each Unitary Authority in Wales has now been allocated a Regiment or Unit as their Armed Forces Community Liaison. As the Welsh Transport Regiment has elements in Bridgend, Swansea (who also recruit from Neath Port Talbot) and Carmarthen, it is this Regiment that will now engage with Swansea and its neighbouring Councils.
- 5.2 The Armed Forces plan to maximise the use of best practice across the Unitary Authorities that they engage with by developing links between all the representatives and identifying where successes are achieved in one area and suggest it to others. Whilst 160 (Wales) Brigade is implementing Armed Forces Community Engagement as a key policy across Wales, the Welsh Transport Regiment's focus will be on the four Unitary Authorities that we represent. Similar strategies will be taking place in other areas in Wales.

6.0 Progress to Date

- 6.1 A small project team has been set up to establish an AFCC in Swansea. Progress has been made in several areas. Information gathering has been undertaken to establish what Swansea Council, other public organisations, the private sector and third sector are currently providing support to the Armed Forces Community in Swansea. You will see from **Appendix 1** that some support is already available but arguably more could be offered.
- 6.2 On 11th July 2012, representatives from the military liaison team met with key council officers. This team outlined their experience of working with other Local Authorities and what will, in their view, be required to organise and establish an AFCC in Swansea. The information shared at this meeting has been of great benefit in as much as it has now led to the proposals outlined further in this report.

7.0 The Vale of Glamorgan Approach

- 7.1 At the time of writing this report, there are only a few councils in Wales that have AFCC's in place. One of which is the Vale of Glamorgan Council (VoG). It is clear from discussions with the Lead Officer at the

VoG responsible for delivering the AFCC that a phased approached has been used in the setting up of their Covenant.

- 7.2 The first phase has been the setting up of a web link to the main Council web site where the contact details of organisations offering assistance and advice to the Armed Forces Community can be found, this also links to Council services.
- 7.3 The VoG is also able to offer one contact telephone number through their call centre and have advertised this one number and web site through a marketing strategy.
- 7.4 Phase two for VoG will see them review their own public services to see if these services can be improved or initiatives/projects can be initiated to support the Armed Forces and their families in the VoG area. This phase has yet to be started.

8.0 Options for Swansea

- 8.1 Having researched how a number of other Councils have approached the setting up of AFCC's, it seems that the VoG has followed a sound approach which is outlined above. However there are a number of other options that need consideration.
- 8.2 For Instance, it is possible for Swansea Council to sign up to an AFCC simply to allow organisations in the Swansea area to apply for grant funding as it appears other Councils have done, however, this may be viewed by Welsh Government and the Military as very basic and short sighted.
- 8.3 It is clear that there are many organisations that offer assistance and advice to those serving in the armed forces and their families. There is also a wealth of information available, but what is also clear is that this information is not well coordinated or available in a single place to access. Therefore, following the VoG model and allowing the coordinated access to information, Swansea Council could:-
 - a) Create one contact telephone number so that the caller can be signposted to the appropriate services. The question would be where does this number sit within the council, how will it be managed and what staff training would be required.
 - b) Create a "sign posting" web page simply given contact details of various organisations offering help and assistance both nationally and locally, with a link to Council services such as Housing, Education, and Social Services etc.
 - c) Offer a "Face to Face" inquiry service by advertising the Contact Centre as a destination for enquiries.

- d) Use social media such as Facebook, Twitter and YouTube promoting contact details of various services.
 - e) Use Digital Television service for signposting services.
 - f) Explore the opportunity of signposting Swansea Council's services and voluntary services on other local Council web sites and visa versa.
 - g) Offer information and guidance for applying for grant funding for eligible projects.
- 8.4 As with VoG, the next phase would see Swansea Council undertaking a review of their services. An action plan will need to be drawn up to this end.
- 9.0 The Council's Armed Forces Community Champion (AFC)**
- 9.1 It was clear from discussions at the VoG that the appointment of, and commitment from, their AFCC Champion was of great benefit to setting up and success of the covenant.
- There is no definitive Terms of Reference for the role of the AFCC Champion. However, simplistically the role will require the Champion to:-
1. Act as the first point of contact between the Military and Swansea Council (when the military have a problem that needs addressing the AFC would be the person who would point the military in the right direction and if necessary influence the people who should be addressing that problem).
 2. Act as the first point of contact when liaising with the Military if the Council requires advice on anything Military or Veteran, or if the Council wish the Military to take part in anything.
 3. Pursue and promote the principles, measures, aims and objective of the covenant and ensure that they are carried forward and upheld in a timely manner.
 4. Facilitate half yearly meetings to discuss armed forces and veterans' subjects; and inviting the various bodies required to bring issues to a successful conclusion.
- 9.2 The City & County of Swansea has now appointed an AFC – that being Councillor June Burtonshaw, a meeting has been arranged to discuss the role in more detail and next steps.

10.0 Signing the Armed Forces Community Covenant

- 10.1 This will need to be a planned event with Senior Military Officers, Swansea Council's AFCC champion other key members and officers in attendance. However, investigations are ongoing to identify other potential signatories to the AFCC.
- 10.2 Inviting other local organisation both public and private will strengthen the covenant. **Appendix 2** outlines suggested signatories. Obviously, these organisations would need to be consulted.
- 10.3 The signing up event itself would need to marketed appropriately with ideally a web and "one number" launch on the same day. This event could be supported by local Military organisations such as the Royal British Legion, Sea Cadets, etc.
- 10.4 The venue for the signing event would need to carefully chosen so that it is easily recognisable as a Swansea landmark or iconic building.

11.0 Financial Implications

- 11.1 Initially, there should be very little cost in setting up the AFCC. Apart from officer time in terms of initial set up, possible training and ongoing management, the likely cost of a Marketing Strategy could be in the region of £2K - £5K depending on the extent of external advertisement and printing.
- 11.2 The signing event costs are yet to be estimated.
- 11.3 Whatever costs are ultimately identified will have to be contained within existing budgets.

12.0 Timeline

- 12.1 Welsh Government has indicated that they wish all Local Authorities to have signed up to an AFCC by December 2012.
- 12.2 There may be an opportunity to combine the signing of the covenant with upcoming military event already planned to take place in Swansea. For instance on the 4th December 2012 there is a military event taking place at the Brangwyn Hall. There may be an opportunity to combine both events together with the launch of the access to services website as mentioned above.
- 12.3 To allow this to happen, internal reporting will need to be organised and in some cases agendas rearranged to include the AFCC so that the necessary decision making can take place.

13.0 Decisions to be made

- 13.1 In order to progress both the arrangements for signing the covenant and setting up the access to information facilities the following decisions will need to be made:-
1. A decision on the content of the covenant and in particular the measures that Swansea Council will action to deliver support and assistance to the Armed Forces. **See Appendix 3** for example of a draft Armed Forces Community Covenant for Swansea together with suggested measures.
 2. A decision is needed on whether to provide some or all of the access to services initiatives outlined in section 8 (a-f). An early decision would possibly allow the launch of the web page and “one number” to coincide with the signing of the covenant. **See Appendix 4** as an example of a marketing leaflet advertising the web page and one number. *(Note: Official permission to use the photographs in the leaflet is yet to be obtained)*
 3. A decision to accommodate the AFCC item on forthcoming CMT, Corporate Briefing, Cabinet and Local Service Board (LSB) agendas to enable target delivery dates to be realised.
 4. It is important to gauge Local Service Board sign-up to the Armed Forces Covenant.

14. Legal Implications

There are no legal implications arising from the issues raised/ discussed in this report.

Background Papers:

1. The Armed Forces Covenant: Today and Tomorrow – Ministry Of Defence
2. Support for the Armed Forces Community Covenant in Wales – Welsh Government.
3. Supporting our Armed Forces Community Guidance Notes – Welsh Government

Appendices:

Appendix 1 – Current Support and Advice for the Armed Forces in Swansea

Appendix 2 – List of Potential Signatories

Appendix 3 – Draft Swansea Armed Forces Community Covenant

Appendix 4 – Draft Marketing Leaflet.

Appendix 1

Armed Forces Community Covenant – Current Initiatives/Support in Swansea

Department/Organisation	Current Initiatives/Support - Brief Description
Swansea Council Housing	<p>Council Housing The City and County of Swansea manages approximately 13, 600 properties through its Housing Services Unit and is one of the largest providers of housing in Wales.</p> <p>General contact: Housing Services Tel: 01792 636000 Email: housing@swansea.gov.uk Web: www.swansea.gov.uk/housing</p> <p>Housing advice and information</p> <p>The council has a housing information and advice team, who can help with advice on applying for housing and homelessness etc. For more information contact Housing Options: 17 High Street, Swansea, SA1 1LF Tel: 01792 533100 Email: housingoptions@swansea.gov.uk Web: http://www.swansea.gov.uk/index.cfm?articleid=30676</p> <p>All Welsh local authorities have a duty to provide advice and assistance, and ensure that suitable accommodation is available for households who may be without a home of their own when they leave the armed forces. Councils may need to provide temporary housing as well as a permanent home and this may be within their own housing stock or through agreement with a local housing association, or a private landlord.</p>

The City and County of Swansea operate a points based housing application system. For those leaving the armed forces specific points can be awarded, and also, depending on an individual case, there is the potential for awarding Social Need Points and/or Medical Needs Points.

Tenancy Support Services

The council has a Tenancy Support Unit who are able to help individuals and families who may need some extra support when starting a tenancy or are having difficulties maintaining a tenancy. For advice contact the Tenancy Support Unit:
Tel: 01792 774360 / 774320

Fax: 01792 515203

Email: tsu@swansea.gov.uk

Web: <http://www.swansea.gov.uk/index.cfm?articleid=12770>

Disabled Facilities Grants

The council can assist in arranging and making adaptations to properties to enable disabled people to live independently. For more information contact:

Renewals and Adaptations

Tel: 01792 635330

Email urbanrenewals@swansea.gov.uk

Web: <http://www.swansea.gov.uk/index.cfm?articleid=25111>

Home Improvements

Our Emergency Repair Fund and Homefix loans are available to help elderly and vulnerable homeowners access funds to pay for essential home repairs and energy efficiency improvements. For further information contact

Renewals and Adaptations

Tel: 01792 635330

Email urbanrenewals@swansea.gov.uk

Web: <http://www.swansea.gov.uk/index.cfm?articleid=25111>

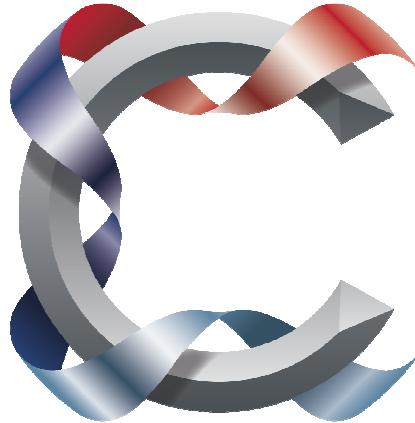
Education	<p>The only commitment we have in Education is the following:</p> <p><i>As required by Welsh Government guidance Children of Armed Forces parents cannot be disadvantaged by their situation with regard to admissions to schools. In essence, ordinarily we require confirmation that the family have actually moved into a home address before we will consider the application, however, with Armed Forces children we will accept an address they provide even if they have not actually moved in</i></p>
Social Services	No current initiatives/support provided in Swansea
Finance	<p>Furnished dwellings that are not anyone's sole or main residence such as second or holiday homes are charged full council tax by the Authority. However, the Welsh Government introduced regulations from 1 April 2010 that provide that armed forces personnel who are required to live in accommodation provided by the Ministry of Defence to perform the duties of their office are entitled to a 50% discount on their council tax. This means that a member of the armed forces that owns a property in Swansea and meets the aforementioned criteria will only pay half the council tax due for the year</p> <p>It is important to note that this reduction does not apply if the council tax payer's family remain at the property. It is also often confused with the £140.00 council tax rebate paid by the Government to all service personnel serving overseas that goes directly into their wages.</p>
Environment	No current initiatives/support provided in Swansea
Corporate Property & Building Services	Raise the flag on armed forced day.
Communications, Marketing, Overview & Scrutiny	<p>Support tickets for troops – giving away 4 tickets per match at the Liberty.</p> <p>Arrange Armed Forces Day in Swansea</p>

Leisure	<p>Archives – a portable exhibition linked to the Poppy Appeal.</p> <p>Special Events – Co-ordinate with Jo Cutler annual commemorative parades in May and the Armistice day plus on Jo's behalf we have an involvement in setting up a small stage, chairs and Pa for Fly the Flag (Forces day) every year and we also co-ordinate, again with Jo, any Freedom Marches by regiments given the Freedom of the City (2 are planned for this year). Also involved with staging the annual Remembrance Concert in the Brangwyn Hall and liaise regularly with the ATC training cadets who volunteer assistance at some of our events throughout the year.</p> <p>Community Buildings – 10 Senior Citizen Pavilions and 33 community centres across the City & County of Swansea, available for hire and use by all community members. A number of our senior citizen pavilions users are ex-service personnel.</p> <p>Concession for use of Leisure Centres for Armed Forces employees as a corporate Direct Debit membership, at £26 instead of £29.75 per month.</p> <p>Parks maintain all cenotaph/memorials are kept clean etc. for remembrance day.</p>
Third Sector	
LSCVS	No current initiatives/support provided in Swansea - have a couple of member groups who are cadet groups or TA braches but they would deal with any approaches from these clients much the same as they would any other client group
Military Organisations/Charities	
Military Organisations/Charities	Still compiling information on what, if any, initiatives/support are provided in Swansea
Other Public Sector Bodies	
Health	No current initiatives/support provided in Swansea - awaiting for Health Authority management to decide how they are going to move forward.
Private Sector	
Business (within Better Swansea Partnership)	No current initiatives/support provided in Swansea
Housing Associations Coastal, Gwalia, Family	No current initiatives/support provided in Swansea

Potential Signatories for Armed Forces Community Covenant

Organisation	Contact Name
City & County of Swansea	Jack Straw, Chief Executive
	Councillor David Phillips, Leader
	Councillor Dennis James, Mayor
	AFCC Champion (TBC)
Armed Forces Representative	TBC
SSAFA	Chairman David Singletary
St Johns Ambulance Service	TBC
Probation Service	Ian Barrow – Director of Operations
	Dawn Blower – Assistant Chief Executive
Prison Service	Neil Lavis, Director Brian Thompson, Chair Judith Michael, Vice Chair
South Wales Police (Member of the LSB)	Chief Superintendent Mark Mathias
Citizen Advice Bureau	Jackie Preston
Age Cymru Swansea Bay	Mary Pitson
Swansea Bay Regional Equality Council	Taha Idris
Coast Guard	Julie-Anne Wood, RCC Manager
Welsh Air Ambulance	
Ospreys	Andrew Hoare, Director
Swansea City Football Club	TBC
Job Centre Plus (Member of the LSB)	Pam Sutton, District Manager South
ABMU (NHS) (Member of the LSB)	Jan Worthing, Locality Director
Fire & Rescue Service (Member of the LSB)	Richard Webborn, Head of Swansea Command
SCVS (Member of the LSB)	Carol Green, Director
Swansea Economic Regeneration Partnership (Member of the LSB)	Steve Penny, Chair
Computer Aid Wales (Swansea Business Forum Rep)	Hywel Evans, Chair of LSB
Royal British Legion	Mr Charles Carty
Royal British Legion – Swansea Branch (Veterans)	Lt Col Prior DL

DRAFT



Community Covenant

AN ARMED FORCES COMMUNITY COVENANT

BETWEEN

CITY AND COUNTY OF SWANSEA

REPRESENTATIVES OF THE CHARITABLE AND VOLUNTARY
SECTORS,
THE CIVILIAN COMMUNITY OF SWANSEA

AND

THE ARMED FORCES COMMUNITY IN SWANSEA

**We, the undersigned, agree to work and act together to
honour the Armed Forces Community Covenant.**

Signatories

(This page gives examples of the parties who may sign the Community Covenant. This is an example only and is not limited to the examples given)

Signed:

Name:

Position Held:

Signed on behalf of the Armed Forces Community

Date:

Signed:

Name:

Position Held:

Signed on behalf of Armed Forces Charities

Date:

Signed:

Name:

Position Held: County Manager

Signed on behalf of the Business and Commercial Sector

Date:

Signed:

Name:

Position Held:

Signed on behalf of Swansea Council

Date:

Signed:

Name:

Position Held:

Signed on behalf of the Voluntary Sector

Date:

Signed:

Name:

Position Held: Branch Chairman

Signed on behalf of the Primary Care Trust/NHS Body

Date:

SECTION 1: PARTICIPANTS

1.1 This Armed Forces Community Covenant is made between:

The serving and former members of the Armed Forces and their families working and residing in Swansea

And

City & County of Swansea

And

The Charitable and Voluntary Sector

And

Other members of the civilian community

SECTION 2: PRINCIPLES OF THE ARMED FORCES COMMUNITY COVENANT

2.1 The Armed Forces Community Covenant is a voluntary statement of mutual support between a civilian community and its local Armed Forces Community. It is intended to complement the Armed Forces Covenant, which outlines the moral obligation between the Nation, the Government and the Armed Forces, at the local level.

2.2 The purpose of this Community Covenant is to encourage support for the Armed Forces Community working and residing in Swansea and to recognise and remember the sacrifices made by members of this Armed Forces Community, particularly those who have given the most. This includes in-Service and ex-Service personnel their families and widow(er)s in Swansea.

2.3 For the City & County of Swansea and partner organisations, the Community Covenant presents an opportunity to bring their knowledge, experience and expertise to bear on the provision of help and advice to members of the Armed Forces Community. It also presents an opportunity to build upon existing good work on other initiatives such as the Welfare Pathway.

2.4 For the Armed Forces community, the Community Covenant encourages the integration of Service life into civilian life and encourages members of the Armed Forces community to help their local community.

SECTION 3: OBJECTIVES AND GENERAL INTENTIONS

Aims of the Community Covenant

3.1 The Armed Forces Community Covenant complements the principles of the Armed Forces Covenant which defines the enduring, general principles that should govern the relationship between the Nation, the Government and the Armed Forces community

3.2 It aims to encourage all parties within a community to offer support to the local Armed Forces community and make it easier for Service personnel, families and veterans to access the help and support available from the MOD, from statutory providers and from the Charitable and Voluntary Sector. These organisations already work together in partnership at local level.

3.3 The scheme is intended to be a two-way arrangement and the Armed Forces community are encouraged to do as much as they can to support their community and promote activity which integrates the Service community into civilian life.

SECTION 4: Measures

4.1. Swansea Council will undertake a review of its services and where possible implement any improvements that are identified for the benefit of the armed forces community and formulate an action plan to this end.

4.2. Swansea Council will establish an on-line service library of organisations with a remit to provide assistance and support to members of the armed forces community. The service library will be accessible for members of the armed forces community to find the assistance they need and will be used by Council staff as a signposting resource.

4.3. Swansea Council will establish a dedicated internet site for the armed forces community specifically designed to improve access to available services and information. .

4.4. Swansea Council will publicise an established single customer service telephone number to the armed forces community and encourage the community to make their status known so that all available help and advice from the Council and other organisations can be provided.

4.5. Swansea Council will collect data on the range and frequency of services accessed by the armed forces community. The management information derived from this data will be utilised to help improve services offered to the armed forces community.

4.6. Swansea Council will engage with its partners in the private, public and voluntary sectors in addition to Reservists, TA's and Cadet Forces to identify opportunities to fulfil the objectives of the Community Covenant.

4.7. Swansea Council will assist public and voluntary sectors groups applying for project grants throughout the funding process, to ensure they have every opportunity to access grant money.

4.8 Swansea Council will facilitate half yearly Armed Forces Community Covenant group meetings to discuss armed forces and veterans issues and measure the success of the community covenant in order to report to council members.

CONTACT PERSONNEL AND TELEPHONE NUMBERS

MOD DCDS (Pers&Trg) Covenant Team

Contact Name: Lisa Harper
Title: DCDS (Pers) Sec Covenant 1
Telephone: 020 7218 9110
Address: DCDS (Pers) Covenant Team
Zone D, 6th Floor
Ministry of Defence
Main Building
Whitehall
London
SW1A 2HB

In-Service representative(s)

Contact Name:
Title:
Telephone:
Address:

ABCD Council

Contact Name:
Title:
Telephone:
Fax:
Address:

Charities

Contact Name:
Title:
Telephone:
Address:

THE ARMED FORCES COVENANT

An Enduring Covenant Between
The People of the United Kingdom
Her Majesty's Government

– and –

All those who serve or have served in the Armed Forces of
the Crown

And their Families

The first duty of Government is the defence of the realm. Our Armed Forces fulfil that responsibility on behalf of the Government, sacrificing some civilian freedoms, facing danger and, sometimes, suffering serious injury or death as a result of their duty. Families also play a vital role in supporting the operational effectiveness of our Armed Forces. In return, the whole nation has a moral obligation to the members of the Naval Service, the Army and the Royal Air Force, together with their families. They deserve our respect and support, and fair treatment.

Those who serve in the Armed Forces, whether Regular or Reserve, those who have served in the past, and their families, should face no disadvantage compared to other citizens in the provision of public and commercial services. Special consideration is appropriate in some cases, especially for those who have given most such as the injured and the bereaved.

This obligation involves the whole of society: it includes voluntary and charitable bodies, private organisations, and the actions of individuals in supporting the Armed Forces. Recognising those who have performed military duty unites the country and demonstrates the value of their contribution. This has no greater expression than in upholding this Covenant.

ARMED FORCES COVENANT



**Ever been in the UK
Armed Forces?**

**Is a family member
currently serving?**

**Please let us
know!**



We are here to provide advice and assistance

Contact or visit us @ the following:

01792 636000

www.swansea.gov.uk/afcovenant

Agenda Item 13a

Report of the Cabinet Member for Regeneration

Cabinet – 4 October 2012

SETTING UP A COMMEMORATIVE PLAQUES SCHEME

Purpose:	To seek Cabinet approval for a scheme to install commemorative plaques at a number of locations within the City & County of Swansea. These plaques will commemorate famous people, places or events.
Policy Framework:	Community Plan. Report to Council, 23 August, 2012; The First 100 Days and beyond.
Reason for Decision:	To allow the Commemorative Plaque Scheme as outlined in this report to be progressed.
Consultation:	Legal, Finance.
Recommendation(s):	<p>That Cabinet :</p> <ol style="list-style-type: none">1. Approve the Commemorative Plaque Scheme, including the criteria for approval.2. Establish a Commemorative Plaque Advisory Group to make recommendations for approval to Cabinet.3. Agree the membership of the Commemorative Plaque Advisory Group.4. Authorise the Corporate Director (Regeneration and Housing) in consultation with the Cabinet Member for Regeneration to take any other necessary steps to progress the Commemorative Plaque Scheme.
Report Author:	Richard Porch
Finance Officer:	Kim Lawrence
Legal Officer:	Stephanie Williams

1.0 Introduction

- 1.1 The purpose of the original Blue Plaque commemorative scheme in London was to draw attention to buildings of interest because of their association with famous people, rather than to provide an honours list of famous or worthy people. The blue plaque merely signified that English Heritage were the sponsors. A similar scheme in Swansea would enable the Council for the first time to celebrate the achievements of key people in the arts, science, entertainment or sport. In addition important buildings or the site of historic events could be drawn attention to. Swansea has occasionally commemorated famous citizens in the past but not in any co-ordinated way and certainly not under the aegis of the Council.

A number of commemorative plaques already exist celebrating the following people:

Amy Dillwyn (1845 – 1935) industrialist, a blue plaque exists at 43 Mumbles Road.

Harry Secombe (1921 – 2001) entertainer, a blue plaque exists at St. Thomas Church, Lewis Road, where he was a young chorister, but none at his place of birth (St. Leger Crescent, St. Thomas).

Dylan Thomas (1914 – 53) a blue plaque at 5 Cwmdonkin Drive, Uplands.

Vernon Watkins (1906 – 1967) a black plaque at former home in Pennard, Gower.

Ernest Jones (1879 – 1958) a blue plaque to the psychiatrist who was a friend and biographer of Freud, at 12 Woodlands Terrace, Gowerton.

- 1.2 In terms of the private individual, there is little legislation. Anyone can put up a plaque of any colour commemorating virtually anyone (within reason), see the Vernon Watkins plaque mentioned above. The only stipulation is that the words 'English Heritage' do not appear on it and that a colour other than the specific shade of blue used by them is used to show that they are not the sponsors.

2.0 THE SWANSEA PROPOSAL

- 2.1 In order to offer more flexibility and greater scope it is proposed that a commemorative plaque scheme consisting of two types of coloured plaque be introduced. The exact colours would be determined at the design stage of preparing the plaque. Blue plaques might be used to commemorate people and red ones for buildings or events.
- 2.2 The proposal is that an Advisory Group be established and comprised of the Lord Mayor, the Cabinet Member for Regeneration, an academic representative from the University's History Department, the County Archivist, a Conservation Officer, a Member of the Swansea Civic Society, the Curator of Swansea Museum and a member of the main

opposition. In addition, when a plaque is to be installed that the appropriate ward member for that district is involved on a temporary basis. This Advisory Group would be responsible for generating an annual list of potential commemorative plaque subjects.

2.3 The criteria would be: to draw attention to buildings of interest because of their associations with famous people. Whether a building is listed or not will not be a material consideration. The following criteria will apply for selecting the subject for a plaque:

1. They shall have been dead for a minimum of ten years.
2. There shall be reasonable grounds for believing that the subject(s) who have been put forward for commemoration are regarded as eminent by a majority of their own professional calling.
3. Subjects for commemoration shall have had such exceptional and outstanding personalities that the well-informed passer-by immediately recognises their names.
4. They shall have lived or worked in Swansea.
5. They shall have made some important contribution to human welfare and happiness.*
6. They deserve recognition*
7. Without exception proposals for the commemoration of famous people shall not be considered until they have been dead for ten years or until the centenary of their birth whichever is the earlier. This rule is to ensure that their reputation is enduring and free from scandal that may latterly emerge.
8. Proposals will be considered for the commemoration of sites of special historic interest. For example, London has one where the first flying bomb exploded.

N.B. Only one of these criteria has to be met for a plaque to be awarded.

*These two clauses allow scope for people who have achieved or were involved in something meritorious, but for some reason did not achieve recognition in their day.

The following criteria will be applied in the location of plaques;

1. Although most plaques are erected on houses associated with famous people, the erection of plaques on blocks of flats is not excluded nor exceptionally on significant pieces of work.
2. Suggestions for a plaque will not be considered where a plaque already commemorates the person, unless it forms part of a trail or sequence.
3. A building marked with a plaque should be clearly visible from the public highway.
4. Plaques should only be erected on buildings, not on boundary walls or gate piers, etc.
5. Only one plaque will normally be erected on any building.
6. Plaques will be made to a standard design approved by Cabinet and will on no account advertise any company or product.

4.0 Financial Implications

4.1 The costs of introducing and operating this scheme are estimated at £10k per annum. This can be funded from within existing Regeneration and Housing budgets in 2012 / 13, and future operation is subject to resources.

5.0 Legal Implications

5.1 There are a number of legal implications to consider when setting up a Commemorative plaque scheme:

- Planning – Before any Commemorative Plaque is erected the status of any building must be established. If a building is listed or in a Conservation Area, consent may be needed to erect a plaque.
- Property – The formal permission of the owner of each Building will be required in respect of the initial installation and also installation and also ongoing maintenance; it is also likely that such an owner would require an indemnity in respect of any possible damage to the building and thus the Council to that extent could incur potential liability. The Agreement will only be valid whilst the building is in the ownership of the current owners. When a building is sold a new Agreement will have to be entered into with the new owners, who may refuse consent.
- Procurement – The obtaining, erection and maintenance of any Commemorative Plaque will need to be properly procured in accordance with Contract Procedure Rules.
- Contractual – The Legal Department will need to be instructed to draft any necessary documentation, including drafting any indemnities to cover the Council for the erection of Plaques.

Background Papers:

English Heritage Celebrating Places and People – Guidance on Commemorative Plaques and Schemes.

Appendices: None.

Agenda Item 13b

Report of the Cabinet Member for Regeneration

Cabinet – 4 October 2012

APPLICATION FOR PLANNING CONSENT AND SCHEDULED MONUMENT CONSENT: WORKS AT AND ADJACENT TO SWANSEA CASTLE

Purpose:	To obtain Cabinet authority to submit an application for planning consent and Scheduled Monument Consent in respect of proposed works to be carried out at and adjacent to Swansea Castle.
Policy Framework:	Swansea City Centre Strategic Framework.
Reason for Decision:	To seek Cabinet authority to submit a planning application on Council owned land in accordance with the constitution.
Consultation:	Legal, Finance.
Recommendation(s):	<p>It is recommended that Cabinet:</p> <ol style="list-style-type: none">1) Authorises the submission of a planning application and application for Scheduled Monument Consent in respect of the proposed works.2) Authorises the Corporate Director (Regeneration and Housing) to be given authority to approve:-<ol style="list-style-type: none">a) the final specification and content of the proposed works andb) the terms and conditions of any grant funding (in conjunction with the Head of Finance).3) Authorises that the Corporate Director (Regeneration and Housing) be given authority to approve the submission of any further applications necessary for the carrying out of the proposed works.
Report Author:	Gordon Allison
Finance Officer:	Steve Matthews
Legal Officer:	Rod Jones

1.0 Introduction

- 1.1 In 2010, the Council in conjunction with the Welsh Assembly Government (WAG) appointed a team of consultants to prepare a development plan for an area surrounding Swansea Castle identified in bold on the plan attached as Appendix A.
- 1.2 The primary purpose of this study was to identify ways to improve access and optimise commercial, tourist and education opportunities and utilise the full potential of the heritage assets within the Study Area. In accordance with the report's recommendations, the council carried out a first phase of works (funded by the Council, Welsh Government and Cadw) to facilitate the first public opening of Swansea Castle in decades. Since then, a number of openings have been arranged, all of which have been fully subscribed indicating the significant local interest in this Scheduled Ancient Monument.
- 1.3 A second phase of work is proposed to hard landscape the courtyard to further improve public accessibility to this area and to increase the site's capability to host small events. Full funding for these works has been identified, largely from Welsh Government and Cadw administered grant sources.
- 1.4 The proposed works will require Planning Consent and Scheduled Monument Consent and this report seeks approval to submit the relevant applications.

2.0 Site Description

- 2.1 The surviving ruins of Swansea Castle and some of the surrounding green space are a scheduled ancient monument. Parts of the scheduled area are owned by WAG and are managed by Cadw and parts are owned by the City and County of Swansea. The courtyard area that is subject to the proposed landscaping scheme (shown hatched black on the plan attached in Appendix A) is owned by the Council on a freehold basis.
- 2.2 Following completion of the first phase of works last year, the upper floors on the Castle and the adjacent tower building formerly used as a prison, may now be accessed via demountable stairs. Once inside the main building ground floor vaulted rooms are also accessible using the Castle's internal staircases. Some of these vaulted rooms may also be accessed directly from the courtyard.

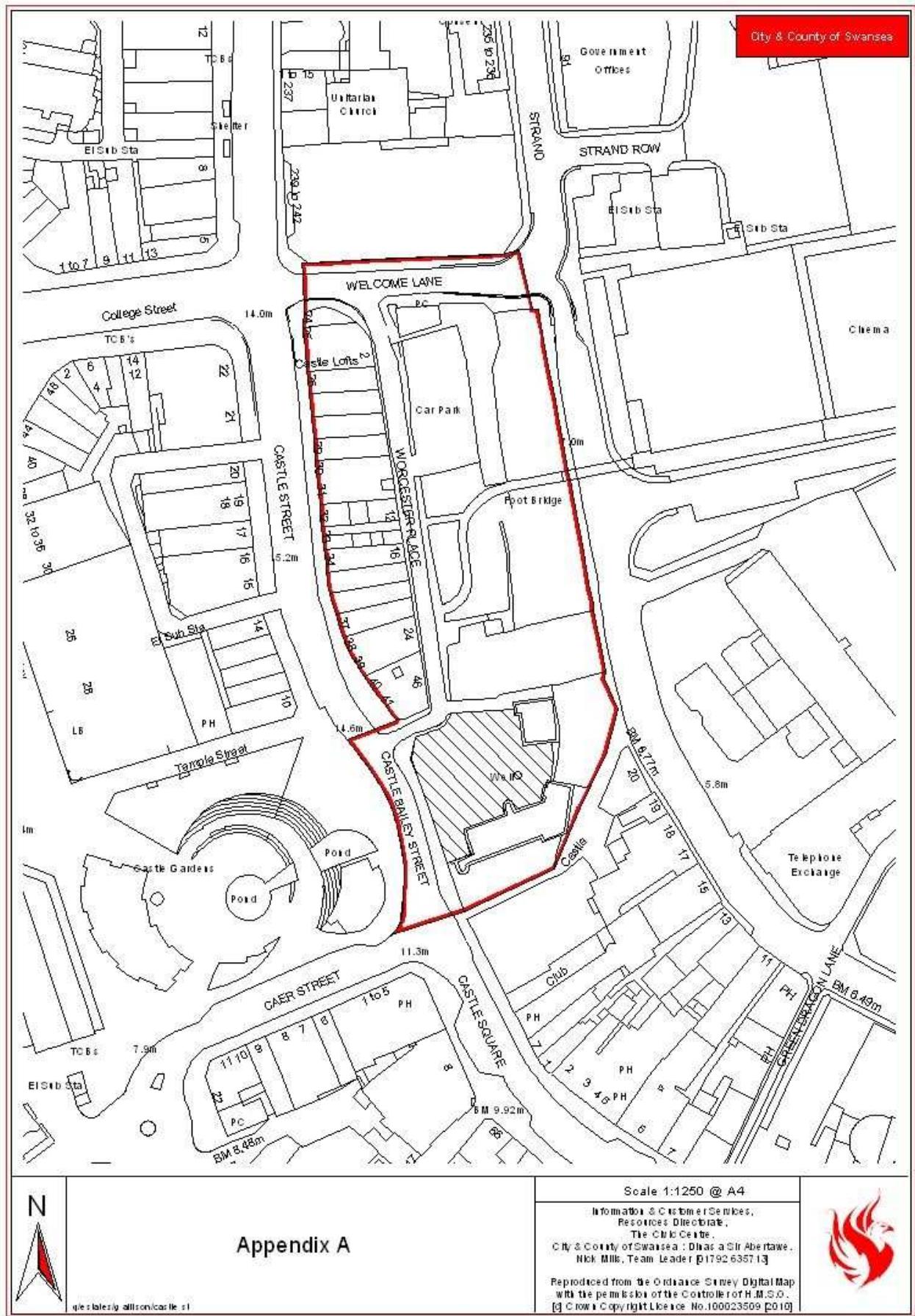
3.0 Proposed Works

- 3.1 The works proposed will include:
 - Further archaeological evaluation of ground levels within the Castle courtyard.

- Landscaping works within the courtyard that will be designed to enhance the character of the area and encourage greater public use. The scheme will provide a flexible space that may accommodate small events and a small number of market stalls.
 - An improved lighting scheme to highlight points of interest within the Castle and externally.
 - An interpretation scheme to provide information to residents and visitors regarding the historical and cultural significance of the Castle.
- 3.2 The works will be designed in consultation with South Wales Police in compliance with Secured By Design Standards subject to the constraints provided by the Ancient Monument.
- 4.0 Financial Implications**
- 4.1 None in respect of the submission of the planning application, however when the identified grant funding is accepted a further report to commit and authorise the proposed works will be presented to the appropriate officers and Cabinet Member for approval.
- 5.0 Legal Implications**
- 5.1 It is a requirement of the Constitution that Cabinet authority is obtained prior to the submission of an application for planning permission by a department of this Authority in respect of Council owned land.
- 5.2 It is noted from Paragraph 1.3 above that it is proposed to apply for Grant funding from external bodies; undoubtedly such funding will be accompanied by grant conditions which will be legally binding in nature. The Head of Legal, Democratic Services and Procurement has not seen such Conditions and is therefore unable at this time to prepare a critique or risk analysis. It is understood that the Corporate Director (Regeneration and Housing) will make a formal delegated decision in due course to accept the Grant Conditions. It is recommended that at the time of such decision that the Director of Regeneration seeks legal advice as set out in this paragraph. The Corporate Director (Regeneration and Housing) also needs to be satisfied that the Council will be able to comply with the Grant Conditions
- 5.3 The Proposed Works as set out in Paragraph 3 above need to be procured strictly in accordance with the relevant UK and EU Law and Directives as well as complying with the Council's Contract Procedure Rules and the advice of the Acting Head of Legal and Democratic Services must be sought.

Background Papers: None

Appendices: Appendix A – Identification Plan.



Agenda Item 14a

Report of the Cabinet Member for Wellbeing

Cabinet – 4 October 2012

SWANSEA LOCAL COMMISSIONING PLAN 2012 / 2013

Purpose:	This document has been produced in response to guidelines from the revised Welsh Government Guidance 2012. The report outlines the background to the annual Supporting Local Commissioning Plan, which is required to be submitted to the Welsh Government to secure continued funding for Supporting People.
Policy Framework:	The 2008-2012 Local Housing Strategy. The Social Services Adult Commissioning Framework and associated commissioning plans. The Children & Young Persons Plan.
Reason for Decision:	To comply with the requirements of the Welsh Government.
Consultation:	Finance, Legal and Partner Organisations.
Recommendation:	It is recommended that:-
1)	The Supporting People Local Commissioning Plan 2012/2013 be approved.
Report Author:	Rachel Evans
Finance Officer:	Paul Cridland
Legal Officer:	Janet Hooper

1. **Background**

- 1.1 The Welsh Assembly Government (WAG) issued guidance for the implementation of the Supporting People Initiative in February 2003. The Implementation was a Duty placed on Authorities by Section 93 of Local Government Act 2000.
- 1.2 The principal commissioning partners are Social Services, Housing, Probation and Health. The group meets quarterly to oversee the local commissioning activity. The Initiative addresses the preventative agenda, limiting social exclusion, tackling poverty and reducing homelessness.

- 1.3 The funding is aimed at providing accommodation and related support. For example this will include budgeting, security, personal skills and safety to a wide range of vulnerable people ranging from older people in sheltered housing to chronically sick or disabled people, homeless persons, people experiencing domestic abuse or those with a learning disability and mental health problems who receive Community Care services. The services can be of a 'fixed' nature or 'float' between service users' homes.
- 1.4 At the end of 2009 the Welsh Assembly Government commissioned a Review of the programme. The Review was commissioned by the Deputy Minister for Housing and Regeneration and was carried out by an independent team led by Prof. Sir Mansel Aylward CB. This was completed in 2010 resulting in 25 recommendations.
- 1.5 The recommendations were divided amongst three workstreams each tasked with implementing the recommendations.
- 1.6 The workstreams consist of the following:-
 1. Governance
 2. Finance
 3. Quality
- 1.7 A considerable amount of work has taken place since the review within the workstreams which has set out the implementation of the recommendations within the new Supporting People Programme Grant Guidance. This was published at the end of July 2012. The new Guidance will be an evolving document as there are a number of areas outstanding that continue to be developed.
- 1.8 It is understood that to implement the guidance, a period of transition will be necessary. It is anticipated that a transition year will be sufficient to embed the necessary changes set out in the guidance. Changes relating to governance will be reviewed after this period.
- 1.9 The Supporting People Guidance requires Local Authorities to produce an Annual Local Commissioning Plan (LCP) which replaces the Supporting People Operational Plan (SPOP). The structure of the LCP provides a greater emphasis on Local Authorities to produce commissioning priorities which are based on clear and transparent evidence including stakeholder and service user involvement.
- 1.10 The new Guidance also provides a requirement that the LCP's outline regional priorities. By the end of 2012 the administration of the funding will change as a result of combining the Supporting People Revenue Grant (SPRG) previously administered by Welsh Government and Supporting People Grant (SPG) administered directly by the Local Authority, into one funding stream, Supporting People Programme Grant (SPPG) administered by the Local Authority.

- 1.11 The evidence base used to produce the 2012 /2013 LCP has drawn on a range of evidence sources namely:-
- Needs mapping questionnaires
 - Outcomes quantitative and qualitative data
 - Contract reviews and monitoring
 - Service Providers internal quality assurance systems
 - Service users participation, feedback and involvement
 - Stakeholder input
 - Collaborative working with statutory partners i.e. Health, Probation, Children and Adults Social Care and Housing
 - Provider Forums
 - Supplementary / Anecdotal information including Protection of Vulnerable Adult investigations, complaints and comments
- 1.12 The LCP summarises these processes, outlines the priorities for commissioning new services and assists the Welsh Government in assessing the overall financial requirements of Supporting People across Wales.
- 1.13 The Supporting People Guidance also provides a requirement that the LCP's outline regional priorities. As of the 1st August 2012 the administration of the funding changed as a result of combining the Supporting People Revenue Grant (SPRG) previously administered by Welsh Government and Supporting People Grant (SPG) administered directly by the Local Authority in the form of contracts into one funding stream Supporting People Programme Grant (SPPG) administered by the Local Authority. This will be overseen by the newly established multi-sectorial Supporting People Regional Collaborative Committee.

2. Local Position regarding Supporting People

- 2.1 The City and County of Swansea has contracts in place to provide funding for projects which provide services to over 4,000 vulnerable people.
- 2.2 Welsh Government Guidance requires that these services are fully reviewed, taking account of strategic relevance, cost effectiveness and quality assurance.
- 2.3 The City and County of Swansea has developed close working arrangements with partner agencies which are involved in Supporting People Planning Groups and in the Supporting People Provider Forum. Service user consultation has been developed jointly between the City and County of Swansea and Service Providers through the Supporting People and Homelessness Join In Strategy to establish a consistency of response to services being provided and to engage Service Users in the planning and operation of the services they receive. The City and County of Swansea has drawn together its priorities outlined in the LCP 2012/2013 and the detailed document is available in the member's library. These will be continuously reviewed throughout the yearly planning cycle, drawing on the Needs Mapping Data and strategic considerations.

- 2.4 Currently there are 4,198 of commissioned units of support. Units of support refer to the maximum capacity of support available. For example, in accommodation based services such as 24 hour schemes where staff are based on site, units of support relates to the total amount of bed space available. Whereas in floating support where support is provided to an individual in their own home, units of support relates to the total number of people than can be supported at any given time. Delivered units may be greater than this especially within floating support schemes where some people are coming to the end of their support and the service is beginning to withdraw.

The breakdown of service provision is as follows:

Floating Support	2138 units
Direct Access Hostels	55 units
Temporary Accommodation	239 units
Permanent	313 units
Sheltered Accommodation	1297 units
Community Alarms	95 units
Specialist older person	61 units

Significantly, statutory groups of Service Users include:

Learning Disability	182 units
Physical Disability	38 units
Mental Health	284 units
Older Persons Floating Support	1376 units
Sheltered Housing with Community Alarms	1297 units
Dispersed Community Alarms	95 units

3. Future Developments

- 3.1 The Local Commissioning Plan 2012/2013 provides a comprehensive description of the implementation of Supporting People service locally. It addresses the requirements identified within the Homelessness Action Plan and Community Care Services and links closely with other strategic aims and plans for the Local Authority related to Public Protection, Domestic Abuse Strategy, Reducing Poverty, and Health, Social Care and Well Being Strategy. The Plan outlines the outcomes of the Needs Mapping Exercise, publishes a comprehensive list of services funded by Supporting People and prioritises future needs. In all these areas the City and County of Swansea has been able to meet the requirements of Welsh Government guidance.
- 3.2 The main priorities outlined in the Local Commissioning Plan for 2012/2013 financial year are:-

Core Business Priorities:-

- To maintain engagement with the national Supporting People Programme Review workstreams and implement changes in line with recommendations.
- To identify and manage risk associated with changes relating to the governance, finance and quality changes in the programme.
- To identify and maximise opportunities associated with the changes relating to the governance, finance and quality changes in the programme.
- To maintain a medium term financial plan until clarity is received regarding the long term financial position of grant allocation to Swansea as a result of the interim and on-going distribution formula.
- To explore cross border opportunities within all aspects of Supporting People commissioning, planning and development.

Specific Service Development Priorities:-

- Families - Review of and integration of the referral pathways to complement the Child and Family four site model. Address the KAFKA action plan for Young Families
- Mental Health - Explore the option of supported accommodation as an alternative to residential care and develop low level move on accommodation within the Opportunities for Accommodation and Support Information Service (OASIS) provision. Extend the availability and choice of specialist Domiciliary Care provision by utilising existing Supporting People contracts
- Older people - Review of Extra care with view to the future of accommodation with care and support. Implementation of the Aylward recommendations on removing the tenancy link of support sheltered and charging arrangements.
- Rough Sleepers - Develop responses including Housing First and Personalised Budgets.
- Young people - Development of a permanent core house provision for the complex needs scheme. Explore supported accommodation pathways, strengthen prevention, compliance with Southwark and developing alternatives to bed and breakfast
- Prison Leavers - Explore support options within temporary accommodation and bed and breakfast
- Domestic Abuse - Develop place of safety accommodation and explore resettlement pathway for people experiencing domestic abuse
- Develop responses to welfare reform - Private sector development - Increasing supply of affordable well managed private sector accommodation options for people under 35.

- Developing support packages that compliment shared housing
- Develop pre- tenancy / resettlement support
- Complex needs - Develop short and long term options for people with high complex support and care needs
- Reconfigure / commissioning services to better meet the needs of Service Users

Regional Commissioning Priorities

- Further develop the Swansea Supporting People and Homelessness Service User Involvement Strategy (join In) on a regional basis
- Explore the mutual sharing of existing services to meet local service deficits
- Further develop the regional Cross Border Women's project

4. Challenges

- 4.1 Implementing the new Guidance will provide a number of challenges. Whilst the Western Bay region has met the readiness requirement set out by Welsh Government in establishing the Regional Collaborative Committee, the challenge will be to ensure that regional working provides better outcomes, efficiencies and effectiveness. It needs to realise benefits whilst ensuring that Swansea does not become disadvantaged by such a move. This will require careful monitoring.
- 4.2 As a result of SPPG, organisations where the head office is located in a particular area will be required to be accredited by the Supporting People Team located within that area. Swansea will be required to accredit 22 organisations.

5. Opportunities

- 5.1 The unification of the Grant into a single funding stream will provide a range of opportunities resulting in improved services for Swansea citizens as a result of improved commissioning based on evidence of need, greater Local Authority control over service provision and value for money.
- 5.2 Supporting People in Swansea aspires to enable as many vulnerable people as possible to live as independently as they are able, so reducing the need for hospitalisation, nursing care, residential care, prison and minimising social exclusion and poverty. It will achieve this by linking closely with the Local Authority's Corporate Priorities, Plans and Strategic Aims.

6. Financial Implications

- 6.1 Since the Implementation of Supporting People in April 2003 the overall available funding has reduced from £15.3m to £14.55m following cuts by Central Government.
- 6.2 The anticipated threat to future funding connected to redistribution was reported to Corporate Briefing in March 2007 which had the potential to amount to a cut of 24% - £3.5m.
- 6.3 The Finance Workstream has developed an interim formula which has not resulted in a cut to Swansea above the national reduction to the Programme. The Grant allocation for 2012 /2013 is reduced by 2.1% based on the national reduction of the programme. The on-going formula however is yet to be determined. The Finance workstream will be reconvened at the end of 2013 to develop this further. As a region Western Bay will benefit from the redistribution formula as Neath Port Talbot and Bridgend are set have an increase in funding. There are opportunities therefore to explore whether local needs can be met by regional solutions.
- 6.4 Locally the Supporting People budget has a balanced baseline and has accrued savings towards the impact of redistribution. Whilst the financial situation appears more favourable than previously predicted, there continues to be uncertainty regarding the final financial status of the Grant for Swansea. As such it is recommended that the accrued savings continue to act as a contingency until financial clarity has been achieved.
- 6.5 The Supporting People budget continues to fund a fixed term funding programme which is outlined in the LCP. This programme supports priorities within Domestic Abuse and Homelessness Services and Community Care. No additional finance is required from the Local Authority in respect of the activity associated with the LCP.
- 6.6 A further funding programme of long and short term services has been identified to meet new priorities identified within the LCP. These services do not currently exist but serve as 'off the shelf' models should the requirement for contingency funding at the existing level reduce.

7. Legal Implications

- 7.1 Under Section 93 of the Local Government Act 2000, the National Assembly for Wales may pay grants to Local Authorities towards expenditure incurred by them in providing, or contributing to the provision of, or in connection with welfare services. Grants under this section are paid on such terms and conditions as the Assembly may determine. The Local Authority must supply the Assembly with such information as it requires and the Local Authority must have regard to any guidance issued by the Assembly with respect to the administration and application of the Grant. The Local Authority must also comply with any directions given by the Welsh Assembly Government.

- 7.2 In order to operate the LCP it is necessary to enter into a number of contracts. It is vital that these contracts with outside organisations are reviewed at regular intervals so that each organisation is aware of the terms of their contract as well as compliance with the Council's Contract Procedure Rules.

Background Papers:

The Supporting People Programme Grant (SPPG) Guidance July 2012

Appendices:

Appendix 1 - Supporting People Commissioning Plan.

Appendix 2 – Supply of Map Supporting People Funded Services.

Appendix 3 – New Capital Requirements.

Appendix 4 – Local Authority Spend Plan Pro-forma 2012-13.

City & County of Swansea Supporting People Commissioning Plan 2012 and 2013

Introduction

The purpose of this document is to provide public information on how the Supporting People funding programme is spent within the City & County of Swansea. The preparation of this document is a requirement of the Welsh Government as part of the new Supporting People Programme Grant Conditions for the published July 2012.

<http://wales.gov.uk/topics/housingandcommunity/housing/publications/sppgguide/?lang=en>

Following Cabinet approval this plan will be scrutinised by the newly established Supporting People multi-sectorial Regional Collaborate Committee. Any in year changes to the agreed spend plans of greater than 10% will be need to be referred by the RCC to the Welsh Government. The Regional Collaborative Committee will make recommendations to the Welsh Government Minister's informing his decision on how to allocate the SPPG funding.

The City & County of Swansea's document along with the equivalent from Neath Port Talbot and Bridgend will contribute to development of a Regional Commissioning Plan for Western Bay which will be submitted to Welsh Government. 2012/13 has been identified as transitional period for implementation of the new Supporting People Programme Grant. Change over to the new grant was planned for 1st August but was delayed in the Western Bay Region and at the time of writing the former grant streams have been retained on a month to month basis.

What does grant stream fund?

The Grant is paid to the Authority to commission or provide housing related support to help vulnerable people to develop and maintain the skills and confidence necessary to live as independently as possible. Tasks which, if not performed adequately, would lead to a breakdown in the individual's right or ability to continue living in that home. As examples;

- The ability to pay one's housing costs, (rent, mortgage etc.) in order to avoid losing possession,
- The ability to pay one's utility bills and arrange for the proper provision of services which keep the home fit for habitation,
- The ability to maintain the security of the home, such as maintaining technical devices or controlling visitor access,
- The ability to maintain health and safety in the home, including the safe condition of the building, the safe use of appliances, and hygiene,
- The practical living skills necessary to live independently, such as cooking, and knowledge of nutrition or domestic chores such as laundry,

- The ability to establish a stable place within the community, for example, the use of community facilities or the resolution of disputes with neighbours.

A unifying principle of housing-related support is that it is provided in relation to a housing need. It therefore must be provided in a housing context, in a setting which constitutes the Service User's home.

The Grant Programme has housing, and preventing homelessness or people living in inappropriate institutional settings, at its core. Support can be offered to anyone eligible, regardless of the tenure. The emphasis of the programme is "doing with" as opposed to doing for.

Limitations

The programme cannot fund hands on personal care.
Individuals must be over 16 years.

Service Models

The services that the programme funds can be broadly grouped by the following services models:

- **Direct Access Homeless Hostels** are a form of temporary accommodation which may involve sharing facilities where there are staff on hand to manage the building and support the individuals who need to live there move on to a form of more sustainable accommodation. This can also include Refuge provision for those fleeing domestic abuse.
- **Temporary Supported Housing** provides a more settled type of temporary accommodation which may have shared facilities for up to two years. Individuals have access to support staff who work with them in a more planned way to help individuals move on to a form of secure accommodation either without the need for further support or with some floating support.
- **Floating Support** is a service where support workers visit the person in their own home whatever the tenure. Staff may be working to resettle them after a period of homelessness or living in temporary accommodation or are working with an individual who may be threatened with homelessness to prevent loss of that accommodation or to sustain a satisfactory level of independence ongoing to allow them to remain.
- **Permanent Supported Housing** which may have shared facilities but will have staff based at the property who work with individuals to maximise their independence but where there is no requirement to move on unless it is appropriate for the individual.
- **Sheltered Housing** a proportion of the costs of living in certain types of this provision where there may be an on site staff presence such as a warden or caretaker and/or community alarm facilities is met by Supporting People Grant.

Any of the above models may be provided in a range of intensities which directly links to the level of staffing and period of staff cover. For example, for a service aimed at individuals with high level needs staff may be on site in supported housing 24 hours a day, or at the other end, for someone with low level but on going support needs a visit fortnightly visit to their home by a support worker may be sufficient.

Service models can be specialised to provide support for the following groups.

- Women fleeing domestic abuse
- Men fleeing domestic abuse
- People with learning difficulties
- People with mental health problems
- People suffering from alcohol dependency
- People suffering from drug dependency
- Refugees
- People with physical disabilities who require support
- Young single homeless who require support and young people leaving care
- Ex-offenders
- People who are homeless or potentially homeless and in need of support
- People with chronic illness including AIDS, AIDS-related conditions or who are HIV positive
- Vulnerable parents who require support.
- Vulnerable Older People

Units

A total number of units refer to the maximum capacity of support available. For example, in accommodation based services such as 24 hour schemes where staff are based on site, units of support relates to the total amount of bed space available. Whereas in floating support where support is provided to an individual in their own home, units of support relates to the total number of people than can be supported at any given time.

Strategic Priorities

Local Authority Strategic Plans

The Welsh Government, as part of its proposals for plan reduction has identified four key plans that every local area should have. These are:

The Community Strategy

The primary high level strategic direction for the Local Authorities is outlined in the Community Strategy. It identifies which key partnerships working across the City & County of Swansea are responsible for which of the key sub strategies.

In Swansea the Community Plan is entitled “**Shared Ambition Is Critical**”.

<http://www.swansea.gov.uk/index.cfm?articleid=11050>

The Children & Young People Plan

<http://www.cypswansea.co.uk/index.cfm?articleid=40568>

Health Social Care and Wellbeing Strategy

The Health Social Care & Wellbeing Strategy is produced by the Health Social Care and Wellbeing Partnership and is supplemented by an annually updated technical needs assessment document. Please see the link for further details.

<http://www.healthchallengeswansea.org.uk/index.cfm?articleid=26658>

The Local Development Plan

This plan, which is due to come into force in 2014, will set out local land use and environmental conservation policies for Swansea by taking into account national policy guidance, public consultation and the priorities of other local plans and strategies. The Local Development Plan (LDP) will play an important role in promoting sustainable development and in ensuring that any new development is in the right place and supported in the right way. Details of the plan’s consultation process have been set out in a separate document called the Delivery agreement. The LDP will replace the Unitary Development Plan which sets out current land use policies for Swansea.

<http://www.swansea.gov.uk/index.cfm?articleid=28061>

Implementation and monitoring the above is overseen by the “Better Swansea Partnership” which consists of all the key statutory sector partners and representatives from the voluntary sector. Representation consists of staff at a senior management level and elected members of the Local Authority. The details of this can be accessed via the following link. The same group also acts as the Local Service Board.

<http://www.swansea.gov.uk/index.cfm?articleid=11050>

Supplementing these high level documents there will sit more detail action plans. Those which will have the greatest relevance to the local implementation of the Supporting People Programme in Swansea will be the:

1. Adult Social Services Commissioning Framework and its associated commissioning plans
<http://www.swansea.gov.uk/index.cfm?articleid=44869>
2. The Families First Strategic Action Plan
3. The Child & Family Strategic delivery plan
4. The Homelessness Strategy Planning Team Business Plan 2012-15 which links to the Health & Homelessness Standards.

“Improving what matters” 2012/12 Corporate Improvement Plan is the Council’s specific response to the Welsh Assembly Government’s requirement to publish the Local Authority’s plans for improving performance against specific objectives over the next year it must be read in conjunction with all the other improvement activity that is underway. It relates to each of the above strategies setting out priority areas to measure improvement.

<http://www.swansea.gov.uk/index.cfm?articleid=155>

Decision Making and Accountability

There may be specific actions points in each of the above wider commissioning and action plans where the local Supporting People Programme and the Supporting People Team may have a role in contributing to the implementation of those plans. These areas are identified and agreed by the Supporting People Commissioning Group and will be reflected in the Supporting People Commissioning Plan.

The responsibility for local commissioning decisions on how to spend the grant within the City & County of Swansea boundary sit's with the Supporting People Commissioning Group which is a multi agency group consisting of Health, Social Services, Housing and the Probation service. The group is chaired by the Local Authority who also has ultimate responsibility for administration of the grant programme within the City & County of Swansea and is an Accredited Support Provider for a number of schemes in receipt of Supporting People Revenue Grant.

The Commissioning Group meets quarterly and considers recommendations put forward by the Supporting People Team developed through collaboration through the established planning processes. Decision making at this level will consider details of provider contracts, their contract compliance including financial and quality issues and strategic relevance. Decisions are then operationalised by the Supporting People Team which is based within the Directorate of Social Services. The Supporting People Team Manager is directly line managed by the Corporate Director of Social Services and the current chair of the Supporting People Commissioning Group.

Supporting People Strategic Priorities for 2012 and 2013

The following are identified as priority areas for activity drawn from the above:

Families

- Review of and integration of the referral pathways to complement the Child & Family four site model.
- Address the KAFKA action plan for Young Families

Young People

- Development of permanent core house provision for the complex needs scheme
- Review the supported accommodation pathways and provision for younger people, strengthening homeless prevention and compliance with the G versus Southwark judgement.
- Develop a range of appropriate temporary alternative accommodation and support options to bed and breakfast for young people.

Mental Health

- Increase the amount of low level supported accommodation within the OASIS Provision to facilitate move on.
- Develop a supported accommodation project as an alternative to residential care setting.
- Extend the availability and choice of specialist Domiciliary Care provision by utilising existing Supporting People contracts
- Explore opportunities for age appropriate supported housing linking with the Transition Team.

Domestic Abuse

Contributing to responses to domestic abuse including reviewing access pathways to supported housing in light of the new refuge being completed.

Rough Sleepers

Develop accommodation and support responses including Housing First and Personalised Budgets for those with complex needs requiring multiagency liaison.

Prison Leavers

Explore support options within temporary accommodation and bed and breakfast

Older People

- Review of Extra Care with view to the future of accommodation with care and support including those with complex need include chronic substance misuse.
- Work collaboratively to implement Aylward review recommendations for Sheltered Housing severing the link with tenure and impact of recommendations on charging for services.

Learning Disability

Explore development of supported lodgings

Developing Supported Accommodation in the private rented sector

- Increasing supply of affordable well managed private sector accommodation options for under 35's including responsive support packages.
- Developing responsive support packages that compliment shared housing

To service evaluate former SPRG services including cost, strategic relevance to inform future commissioning

To undertake the Accreditation process of Housing Related Support Providers as prescribed by the Welsh Government

Regional Priorities

The following are identified for regional collaboration

- Women's Cross Boarder Substance Misuse Service. Development of joint/shared commissioning responsibility
- Regional Join In Service User Involvement Framework. Roll out and development of the framework regionally. Tenant Empowerment Grant application. Development to incorporate the needs of the Regional Collaborative Committee.
- Training Coordination. Development of local relevant and affordable training focused on a supported housing setting.
- Harmonisation of Monitoring Data collection processes.
- Accreditation. Collaboration on accreditation of provider within the region.
- OASIS Mental Health Needs Mapping. Roll out initial mapping exercise for supported housing as an alternative accommodation option with ABMU Health Authority.

Current Supply, Needs, and Service Gaps

Supply Summary

Currently there are 4,198 of commissioned units of support. Delivered units are greater than this due to the tapering nature of the floating support service model.

The breakdown of service provision is as follows:

Floating Support	2138 units
Direct Access Hostels	55 units
Temporary Accommodation	239 units
Permanent	313 units
Sheltered Accommodation	1297 units
Community Alarms	95 units
Specialist older person	61 units

Significantly, statutory groups of Service Users include:

Learning Disability	182 units
Physical Disability	38 units
Mental Health	284 units
Older Persons Floating Support	1376 units
Sheltered Housing with Community Alarms	1297 units
Dispersed Community Alarms	95 units

Detailed supply map of Supporting People commissioned services for the City & County of Swansea Appendix 1

Evidenced Based Commissioning

The evidence based used to develop the local commissioning plan is drawn from a range of evidence sources namely:-

- Needs mapping questionnaires
- Outcomes quantitative and qualitative data
- Contract reviews and monitoring
- Annual Monitoring Questionnaires
- Service Providers internal quality assurance systems
- Service users participation, feedback and involvement
- Stakeholder input
- Annual Review of Homelessness and the Homelessness Business plan
- Collaborative working with statutory partners i.e. Health, Probation, Children and Adults Social Care and Housing
- Provider Forums
- Supplementary / Anecdotal information including POVA investigations, complaints and comments.

In addition there are specific central referral points or hubs in place for access to services which also collect and report information to commissioners. The hubs monitor demand for existing services and identify gaps or issues which prevent onward referral.

The Swansea Homelessness Business plan identifies its priorities for 2012 onwards as:

Priorities in include:

- Reducing and preventing homelessness as a result of domestic abuse and reviewing Domestic Abuse provision to improve accessibility, support and move-on
- Increasing the capacity of the private rented sector ensuring that accommodation is well managed, affordable and of a high quality
- Dealing with the impact of welfare reform
- Developing responses to rough sleeping including the Housing First Model and individual budgets
- Tackling youth homelessness including eliminating the use of B&B
- Improving outcomes for Looked after Children (in light of Southwark)
- Developing short and long term support options for people with complex needs including older people with substance and alcohol misuse
- Develop creative support packages for people within shared housing
- Develop additional supported accommodation for adults with mental health issues
- Review of Extra Care provision
- Explore options to support prison leavers in temporary accommodation and bed and breakfast

The priorities are reflected in the Homelessness Strategy Planning Team work plan and influence the strategic priorities within the Supporting People Commissioning Group

Summary of Empirical Evidence

Local Authority Housing Department Tenancy Support Service (TSU)

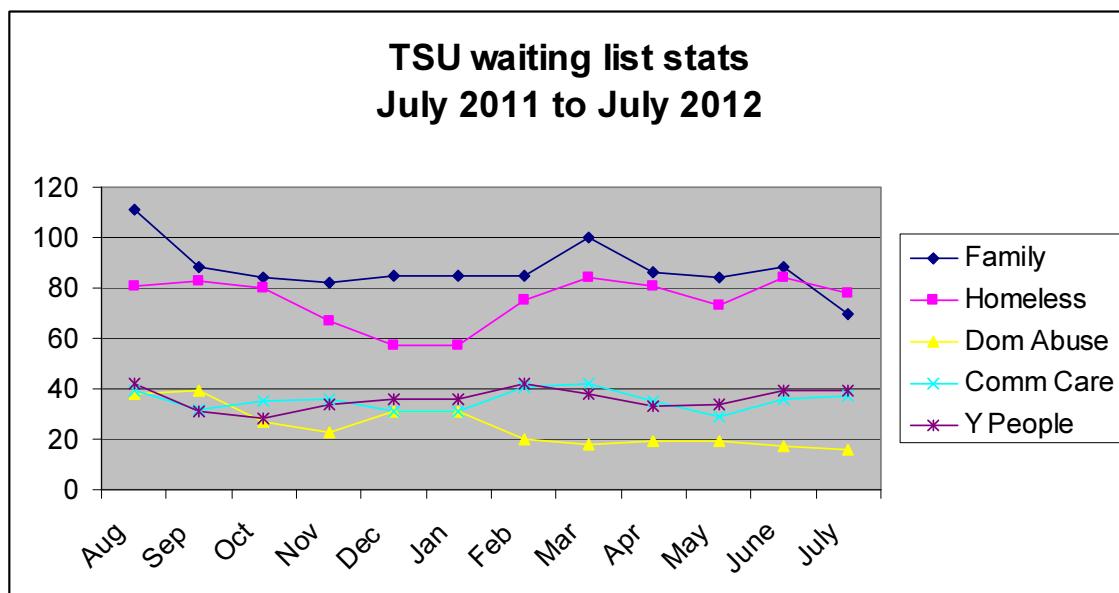
It is the Local Authority's vision that the TSU will become a complete central referral point for all Supporting People commissioned floating support within

the City & County of Swansea and thus will provide one of the main sources of information on need and demand for floating support.

The TSU core currently coordinates referrals for the majority of floating support services within the City & County of Swansea and collates information on demand and utilisation and manages the waiting lists across all service providers which are part of or linked to the TSU partnership.

There are 6 Floating Support Projects provided by the TSU 5 former SPRG projects and a SPG Community Care. The Local Authority has subcontracted a number of the units within each project to other support organisations. The TSU also has an in house support team which works flexibly across all client groups but due to current demands works predominantly with families presenting with a range of support needs. In addition there are strong operational links to other services i.e. non Local Authority SPRG services and other SPG funded services for onward referral.

- In last 12 months 1756 referrals were received (July 11 to July 12)
- That is an average 146 referrals per month.
- 1673 individuals received a service



	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July
Family	111	88	84	82	85	85	85	100	86	84	88	70
Homeless	81	83	80	67	57	57	75	84	81	73	84	78
Dom Abuse	38	39	27	23	31	31	20	18	19	19	17	16
Comm. Care	39	32	35	36	31	31	41	42	35	29	36	37
Y People	42	31	28	34	36	36	42	38	33	34	39	39

The TSU currently (July 12 snap shot) supports 682 individuals supported in the:

171 Generic Families Units
54 Domestic Abuse Units

- 121 Generic Homeless Units
- 47 Homelessness - Substance Misuse Units
- 46 Young People Units
- 26 Refugee Units
- 63 Community Care Units – Mainly Mental health
- 154 Older Persons Units

The overall data from the TSU identifies the most significant need for housing related support is from families with children. Within the family client group needs which are predominantly generic housing related with some need for some specialism around Domestic Abuse and Substance Misuse which in turn impacts on parenting capacity.

39% of families supported are 25 and under however, a recent emerging trend is an increase in single people and this is expected to increase as welfare benefit reforms begin to impact.

A continued and gradual decline year on year in the number of referrals and waiting list numbers for Domestic Abuse specific floating support is noted. This may be attributed in part to the increase in other resources for people experiencing or have experienced domestic abuse within Swansea developed as part of the Domestic Abuse Strategy including a number of other services models funded by the Supporting People Programme.

A proportion of the domestic abuse floating support resource of the TSU is to be transferred to deliver support to those in the new Domestic Abuse Refuge Accommodation which will come on line late 2012. The impact of this planned reduction in capacity for specialist Domestic Abuse floating support will be in part mitigated by measures to create more capacity in general within the TSU and suitable information will be available to staff and service users on where specialist support on domestic abuse issues is available.

In order to be best placed to face the challenges of the future such as the impact of the welfare reform, social exclusion and poverty on families and other individuals, the TSU must be able to offer responsive and flexible services which can work across a range of client groups. Therefore commissioning activity will continue to seek to deliver improved responsiveness and flexibility from existing providers who are part of the TSU partnership.

The Adult Gateway Project to Supported Housing

This is a recently introduced web based common referral process for individuals and referrers wanting to access Temporary Supported Housing and provides a central point for providers to access suitable referrals for their services. In 2011/12, 389 referrals were made for temporary supported housing. The majority (75%) were single males. Whilst the Gateway process is in its relative infancy it will be reviewed and further developed as the key referral point within the City & County of Swansea for SPPG funded temporary supported accommodation.

The Gateway has identified a number of individuals with complex needs including substance misuse who are unable to access more mainstream

provision with repetitive hospital admissions. A proportion of these are rough sleepers, some are older people with personal care needs, cannot be maintained in their current supported accommodation, are unable to access current Gateway Services or other current models within the City & County of Swansea. A multiagency steering group has been established which will link to both the Older Persons Commissioning and Transformation of Adult Social Services agenda and the Personalised Budgets and Housing First agenda to explore local and regional commissioning options which may meet these complex needs.

BAYS Partnership

This is the Youth Homelessness Service provided on behalf of the City & County of Swansea by Banardo's and provides statutory temporary accommodation on behalf of the Local Authority. It provides the Authority with information on the numbers Young People presenting to the Local Authority in need of accommodation and their specific support needs. It also makes referrals to Supporting People funded supported accommodation for Young People and for floating support to the TSU.

The data provided by the Bays is being used by the Young Persons Temporary Accommodation Group to recommend configuration options for the pathway through the range of temporary supported accommodation and the elimination of the use of Bed & Breakfast for 16 & 17 year olds. These options will seek to deliver compliance with the G versus Southwark judgement, improved outcomes for care leavers and consider the impact of welfare reforms.

The OASIS Mental Health Project (Opportunities for Accommodation, Support & Information Services)

This is a central referral process for individuals with a Tier 2 Mental Health diagnosis for accommodation and support services which include services commissioned through Supporting People, Health and Social Care funding. <http://www.mentalhealthswansea.com/oasis.html>. Individuals referred through OASIS must be "care managed/care co-ordinated" by Social Care or Health. The project is coordinated on a day to day basis via the an Accommodation Manager based in ABMU Health Authority who provides overview reports on how current services meet presenting needs and gaps in provision to the Mental Health Accommodation and Support Group and on to the Local Authority Mental Health Commissioning Group. A review of progress on the National Service Framework for Mental Health identified the Swansea OASIS process as an example of good practice. The needs mapping element of the OASIS project is being rolled out regionally within Western Bay.

The OASIS Project has currently identified limited opportunities for move on to permanent supported accommodation with ongoing low levels of support with a growing demand for this model. The mental Health Commissioning Group has identified this as a priority area to facilitate move on through the higher intensity OASIS provision. A site within the Registered Social Landlord main development programme has been identified to develop a sheltered housing model of independent flats for people with low level ongoing support needs.

The Mental Health Commissioning group has also identified a need to develop a high relational staffed shared accommodation model building on the successful outcomes achieved through the Robense House Project. Key individuals have been identified in residential care settings who would be more suitable for this supported housing model of accommodation.

Exploring development age appropriate supported housing opportunities within OASIS has been identified as an activity collaboratively with the Transition Team for Care Leavers for those with on going Mental Health support needs.

Exploring Move on opportunities within the private sector via the social lettings agency IKON is also being explored.

Monitoring Questionnaire Analysis

Due to a harmonisation process across the Western Bay Region the Monitoring questionnaires returned only a 9 month set of data to the end of December 2011. The individual service returns are analysed and any issues identified are followed up with each Provider on an individual basis. Below is a summary of the overall analysis of some of the key data collected and there are areas which the supporting people team will be focusing on over the next year.

Voids

An acceptable void level of up to 10% was set by Welsh Government for SPRG services, void levels which fall above this require justification or funding would be subject to a claw back. A void level of 5% is applied in the Local Authority contracted services. Voids of concern to the Local Authority are those above or approaching 5% or 10% in SPRG services.

Direct Access

Notable voids but below claw back were observed in Domestic Abuse Refuge provision. An acceptable explanation was give to the Local Authority in relation to repair and maintenance issues of an older building but this area will be closely monitored and will be particularly relevant when the new refuge comes on line later in 2012.

Temporary Supported Housing

Voids of concern i.e. above the Welsh Government threshold of 10% and above the Local Authority contract threshold of 5% were observed in provision related to substance misuse. Justification given to Welsh Government was accepted. Justifications were in part due to repairs and maintenance issues however referral sources and specific access criteria will be reviewed and evaluated in the context of the operation of the new Gateway Process for referrals to temporary supported accommodation.

Turnover/Throughput Rates

The number of referrals per unit and the length of support is analysed as well as the nature of how support is ended either in planned or unplanned.

Generally rates and patterns were as expected for each model in relation to the client group they support.

Direct Access

There were no significant concerns however it was noted that availability of Move On accommodation either through the Move On Strategy or through general needs applications has a significant impact on turnover rates. Additionally those services that support BME individuals fleeing Domestic Abuse face issues around individuals with no recourse to public funds initially. Non BME domestic abuse services show high levels of unplanned ending of support and the reasons for this will be further explored by the Domestic Abuse Strategy accommodation and support group.

Temporary Supported

It is noted that turnover rates for younger person services are generally lower and this is associated with the difficulty facing 16 and 17 years olds accessing move on tenancies, the time needed to develop the independent living skills and maturity to manage self contained accommodation. These rates will continue to be monitored closely as the implementation of a Southwalk judgement compliant process, any necessary service re-configurations and welfare reforms are introduced over the next 12 months.

A significant level of voids were observed but still within acceptable parameters were observed in services where the main source of referrals via the OASIS central referral pathway is from hospital. Voids had been minimal in previous years. In part this has been attributed to structural changes within the ABMU Mental Health services affecting the clients currently in hospital in Swansea. Characteristics during this period indicated many more having higher needs that cannot be met within the current specifications of temporary supported housing. Also many were seeking a permanent housing solution resulting in the rehabilitative aspect of temporary services not being as in high a demand, i.e. individuals have reached their maximum potential having previously accessed rehabilitation services and now require on going support to maintain their accommodation. The Mental health Commissioning Group will continue to monitor this trend and the impact of the introduction of the Mental Health Measure on demand for supported accommodation and evaluate the need to reconfigure key services within the OASIS provision. Additionally the MH commissioning group have prioritised a further shared long term supported housing service for those otherwise being placed in a residential care setting.

Floating Support Service Model

Voids

There were zero or below 1% voids were observed across provision. Voids of around 1 % were observed in younger person's provision. This is attributed to the difficulty accessing suitable accommodation to receive support in general and specifically where the provision of dispersed accommodation units is specifically linked to a support unit. Opportunities to utilise this capacity when it occurs for young people are pursued.

Turnover Rates

It is noted that turnover rates for younger person services are generally lower and this is associated with the difficulty facing 16 and 17 years olds accessing move on tenancies and the time needed to develop the independent living skills and maturity to manage self contained accommodation.

Lower turnover rates are observed in the smaller services specialising in supporting service users with substance misuse. This is not unexpected and issues of relapse and periods of non engagement and low functioning are observed. These services also show high levels of unplanned ending of support.

It is noted that higher level of turnover rates are observed across the Local Authority Tenancy Support Service in general and this was expected as a shorter term support provision is now embedded across key service areas within the Local Authority Tenancy Support Unit in order to provide a more responsive and focused service on crisis prevention and early intervention.

Project referrals per unit

Rates which show sudden drops in levels from previous year's data have been followed up through the strategic Evaluation processes. These are in some cases indicating genuine drops in demand. In some instances contract capacity has been adjusted. In many cases they are as a result of a disruption of long standing referral pathways for example due to the restructuring of key stakeholder referral pathways which are being addressed.

Substance Misuse prevalence in Supporting People funded Services

A snap shot question was included in the Supporting People Annual Monitoring Questionnaire to gather information on the extent of Substance Misuse within substance misuse with projects (whether they were deemed specialist services for substance misuse or not.)

SPRG Services	Total	Drugs only	Alcohol only	Both
Floating Support	449.00	60.00	13%	46 10% 38.00 8%
Direct Access	49.00	8.00	16%	6 12% 10.00 20%
Temp Supported	125.00	42.00	34%	15 12% 25.00 20%

SPG Services	Total	Drugs only	Alcohol only	Both
Floating Support	785.00	53.00	7%	53.00 7% 29.00 4%
DA Safe Houses	6.00	0	0%	0.00 0% 1.00 17%
Temp Supported Housing	166.00	23.00	14%	19 11% 18.00 11%
Temp Supported Housing	353.00	47.00	13%	51 14% 29.00 8%

This information has been passed for consideration to the Substance Misuse Commissioning Group. The percentage of individuals affected is significant and signifies that support staff across all service provision need a general

awareness of substance misuse issues. As a consequence of this data specific training has been identified and included in the Local Supporting People training programme for providers funded through a Local Authority contract.

Outcomes

The City & County of Swansea have been one of the initial piloting Authorities in Wales for the Supporting People National Outcomes Framework which became mandatory for all services from 1st April 2012. The data is used in some specific ways in Swansea by the Supporting People Team.

At a project level Supporting People Monitoring Officers use the spreadsheets to observe the patterns of support needs identified and how well these outcomes have been achieved. This can be cross referenced with the service criteria and any specialism's. The spreadsheets are used to select cases for file tracking during within the contract evaluation process i.e. someone doing well and someone not doing so well and to identify any characteristics about the service delivery i.e. good or not so effective practice. It is recognised that some service users will not achieve outcomes for a range of reasons.

At a more strategic level the outcomes tell us about what is important to service users i.e. what aspects of the support service available they want to draw on and what they do not. This identifies patterns which can be tracked over time and give us some needs mapping information. For example in many services support required around accessing training and volunteering or employment appeared lower than expected. This raises a number of issues and this trend will be tracked as the welfare benefit reforms impact on many of the service uses. Why this area of support is not being drawn on will be explored in more detail with certain services where appropriate, looking at barriers and appropriate links with other agencies who lead in this area. Another example is the high level of individuals who identify needs around managing money including income maximisation and debt management and indicates the importance of Supporting People programme in delivering advice and support in this area and how it is contributing to the wider social inclusion and antipoverty agenda's.

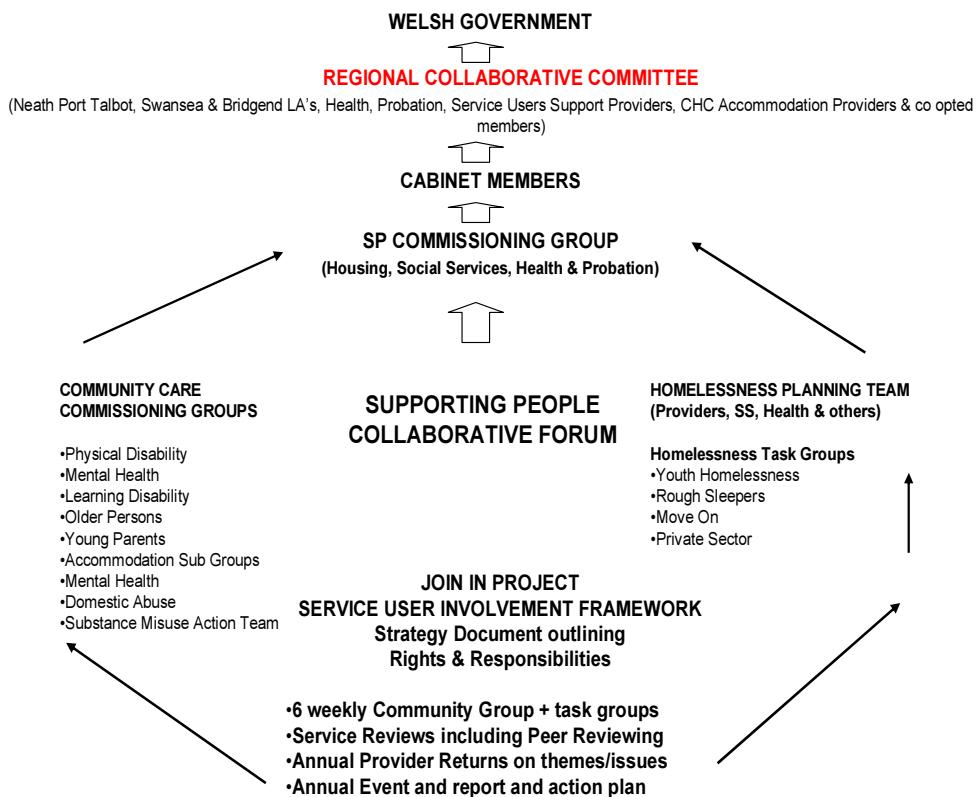
Workforce Development

As a result of the Contract Evaluation processes, analysis of data and consultation with Providers, the Supporting People Team has coordinated a bespoke, localised training programme for contracted Providers for the last four years. The programme is subsidised from resources the Local Authority has available, such as venues and staff time and delivers affordable targeted training programme for Providers which is responsive to development needs locally. This has in part has mitigated the possible risk of training being de-prioritised by Providers in a climate of financial pressure on budgets. The training is open to all Supporting People Provider who have a contract where a minimum charge is reclaimed to cover the actual financial costs to the local authority for putting facilitating the training. Where the contract evaluation process has identified issues where a training response was appropriate as a remedy providers are encourage to send staff.

Evidence of Consultation

The diagram below outlines opportunities and forums for service user and stakeholder involvement in developing the priorities within the Local Commissioning Plan. Specific provision is made for service user and service provider involvement.

SUPPORTING PEOPLE PROGRAMME GRANT PLANNING PROCESS



Service User Influence

At a strategic level Service User views are gathered through the “Join In” Service Involvement Framework.

<http://www.swansea.gov.uk/index.cfm?articleid=9687>

The join In Strategy is the outcome of a consultative process which started in 2004 to establish a Service User Consultation Framework and has been built upon since then. The Framework aimed to meet the requirement placed upon the City & County of Swansea to provide full and inclusive consultation with Service Users and ensures they are engaged with development of services in the future.

The main thrust of this Service User Involvement Framework for Supporting People and Homelessness Services, focuses on the following elements:

- Establishing the Charter of Rights
- Promoting the Minimum Standards
- Gathering and presenting feedback to Commissioners and Service Users
- Sharing good practice

Activity

- Individually funded Services provide feedback to Commissioners on an annual basis through the Join in Questionnaire on the findings of their own Service User consultation processes. They provide an overview of the changes made as a result of their consultation and on general themes emerging. This information is used to inform the topics explored at the Annual Join In consultation event.
- Annual Join In Event/Focus Groups are held with a resulting report and action plan
- Six weekly Join In Community Group meetings are held where specific topics relating to commissioning and planning of services are discussed.
- Specific topic focus groups.

Development of the Join In Community Group

The Community Group are a cross section of current and former Service Users who volunteer to meet on a monthly basis.

Achievements to date:

- Developed an information leaflet to promote wider membership of the group
- Provided information to the Local Health Board for the Health & Homelessness Standards
- Travelled to the Welsh Government offices to participate in the consultation on the National Supporting People Strategy
- Provided Service User feedback to feed into the Local Authority response to the National Ten Year Homelessness Plan
- Jointly organised and facilitated the Annual Join In Events
- Assisted in the organising and facilitation of the Join In / Supporting People Service user Consultation event.
- Given specific comment on how they would like their views represented to the Regional Collaborative C.
- Attended provider's consultation events with members of the SP team.
- Consulted of potential new model of support

Contract Evaluation and Monitoring – Peer Reviewers

Service User views on their specific service are gathered through the Contract Evaluation & Monitoring process through individual face to face Service User consultation, as well as Service User questionnaires returned as part of the Review & Monitoring Process.

Service User consultation is now facilitated wherever possible by a group of “Peer Reviewers” made up of Community Group members. Their participation

in the evaluation process is voluntary and to support them in undertaking this function they followed a comprehensive nine month training programme. This has provided them with the skills and confidence to attend on-site visits with Supporting People staff and to encourage people to provide their 'lived experience' of the service.

Evidence - Annual Events

The 2010 & 2011 Annual Events were used for Commissioners and Service Users to speak directly to each other. The key questions that were asked were:

2010

- Tell us what has changed in your life as a result of receiving support?
- In light of the current financial pressures, what ideas do you have that could help the Supporting People Team ensure that we can still provide a service to those who need it?
- Housing Options is currently reviewing the housing advice service. What advice and help is the most important part of the team's work and what services would you like from housing advice workers that aren't currently available?"
- How could your service provider improve the way they involve their service users?

2011

- How can the Supporting People Team best involve Service Users in National SP review?
- How could your Service Provider improve the way they involve their Service Users?
- What are your expectations of using the Housing Options service?

2012

A specific community group meeting was held in July 2012 to specifically ask Service Users how they wanted their views heard by the newly established Regional Collaborative Committee. A further regional event is planned for October 2012

The annual Join In report is circulated to all Providers. The does not identify individuals services where specific comments are made but the information is anonymous and Providers are asked to reflect on the report and consider whether they might be relevant to their service. Comments made which are relevant for service commissioners are identified in an action plan to explore. If any Service User's comments on a service raise concern with the facilitator's permission will be sought from the service user to raise with a provider unless it is a risk issue in which case it will automatically be raised.

Annual Analysis of Provider Join In Questionnaires

The questionnaire is divided into two areas. The first regarding what how the provider's structure service user involvement and this give a year on year track of how things develop. The second part is about what service users said and what action they took and on general issues such as themes and barriers.

A summary of main themes

- Improved availability of information about services
- A range of suitable formats for information to be delivered
- Opportunities for more informal support/social interaction alongside support and once support ends
- Opportunities to give support/volunteer
- A range of opportunities for involvement at different levels whilst receiving support
- Continuity of support workers. “Don’t want to keep repeating story over and over”
- Support out of normal office ours e.g. later in evening and at weekends

Some of the above themes are within the remit of the Supporting People commissioning process directly whilst, others are not, but it is noted that the strategic, contracting and service evaluation process may need to focus on these areas more. For example there could be a greater focus on promoting key hubs for information, access pathways and promoting more effective individual support to individuals in developing skills to access mainstream opportunities and activity.

Collaborative Provider Forum

To incorporate the regional aspect of the programme the governance and the planning structure for commissioning within Supporting People was reviewed. to explore a more effective way of collaboration and stakeholder participation for improved commissioning purposes whilst ensuring that in doing so the creation of additional levels of bureaucracy was avoided)

A proposal was made to merge the functions of the Provider Forum and the Supporting People Planning Team into a Collaborative Provider Forum. This change was widely consulted on within a provider forum and the majority of Providers were in favour of the change. New Terms of Reference have been established in collaboration with Providers based on Terms of Reference used within the Neath Port Talbot Provider Forum. The meeting will be chaired and serviced in the transition year by the Supporting People Team. The link with the Regional Collaborative Committee will be provided by the attendance of the interim and subsequently elected Provider representatives.

New Development Priorities

New Capital Requirements of the Social Housing Grant Programme -
Appendix 2.

Appendix 1
Priorities for Service Development

Reserve Schemes

New funding requirements for 2012/13

Service	Draft Service Specifications	Estimated Annual Costs	Comment
Domestic Abuse Direct Access Refuge	<p>8 units Direct Access/24 hrs on call staff on site. Providing flexible daytime staff around service users needs and 24 hour emergency on all staff on site</p> <p>Two person cover (sleep – in plus 1 wakeful) – 266 – minimum 7.6 staff plus sleep-in (based on 70 hours = 10 hour shift) = 7.6 x £25K + (£25x365). Estimated using.</p>	£199,125	<p>Construction and occupation estimated at October 2012</p> <p>Currently we are looking to provide support utilising an existing floating support service. However, the preferred option would be to maintain current levels floating support capacity.</p>
Young People Increase Supported Lodging Providers	<p>An increase of 8 supported lodging bed spaces To provide additional bed spaces for homeless young people including placements with more intensity To provide opportunities for care leavers including through conversion of Foster placements.</p>	£31,200	
E3 Mental Health Shared supported Housing	<p>6 units of 24 hr Shared Supported Housing 6 units Draft service specification Two person cover (wakeful) – 336 hours – minimum 9.6 staff = 9.6 x £25K</p>	£240,000	<p>Capital development process underway. No site identified as yet</p>
E3 Mental Health Sheltered for MH	<p>10 units of low level support in a “sheltered complex” model. 10 units Floating Support on a 1:10 ratio requires One member of staff</p>	£25K	<p>Capital development required. Site identified within development programme subject to planning approval</p>
Private Sector Floating	10 unit's expansion of number of floating support		Suitable for temporary funding

Appendix 1

Support	units available to support individuals in private sector accommodation accessed through social lettings agency to provide support in dispersed and shared accommodation. 10 units Floating Support on a 1:10 ratio requires One member of staff	Cost guide £25,000 (inc on costs)	
Increase Floating Support for Families	40 Units of Floating Support on 1:10 ratio=4x support workers	£100,000	Suitable for temporary funding Proposed expansion within Tenancy Support Service
Explore alternative models of cost effective delivery of Housing Related Support	Exploring opportunities to provides support based on the collective needs/themes and or outcome areas and post service support opportunities E.g. Group work, Surgery models etc, TASS Local area Coordination work	£65,000	Post holder in place through temporary programme
Explore Service Engagement/Incentive Systems	For example time banking/key ring models of support	£25,000	Suitable for temporary funding
Complex Need Co-ordinator	To work with those identified through S180 personalised budget programme as suitable for housing Intensive Floating Support	£40,000	Multi Agency Steering Group in place. Suitable for temporary funding Proposed post via temporary secondment
	Total	£750,325	

Financial Summary

Currently the total funding programme for 2012/13 for City & County of Swansea area is **£14,553,636**.

The total allocation was divided between £4,843,891. SPRG and £9,709,745 SPG. The Authority directly receiving £2,150,754 of the above SPRG as an Accredited Support Provider and the remaining £2,693,137 being paid directly by the Welsh Government to voluntary sector providers in the City & County of Swansea. In total **£11,860,499** or 82% of the Supporting People Programme in Swansea has been directly managed by the Local Authority.

From 1 September 2012, the Welsh Government plans to handover all SPG and SPRG funding to the Local Authority as a new SPPG (Supporting People Programme Grant) Grant. This will mean that from September 2012, City & County of Swansea will be responsible for funding all former SPG and SPRG schemes in this Authority via a contract.

From 1 April 2013, all funding will be under the SPPG stream only. The level of funding transferred providers will be unaffected at this stage, with the payments to Providers consistent with the SPRG monthly rate prior to the change.

A more detailed breakdown of funding across client groups and service models can be found in the **Local Authority spend pro-forma Appendix 3**.

Welsh Government cuts to the National Supporting People Programme. There was a reduction of Supporting People Grant allocation received from the Welsh Government of 2.1%. Subject to a financial impact assessment process on individual services the reduction was passed on to contracts as considered appropriate by the Supporting People Commissioning Group.

Interim redistribution formula for the Supporting People Programme

The recommended interim formula is made up of the following with the weighting indicated:

- Welsh Index of Multiple Deprivation [30%]
- Social Fragmentation Index [10%]
- Number of people in receipt of at least the middle rate of the care component of Disability Living Allowance [20%]
- Age structure of the population (the proportion of older people living alone) [20%]
- Local measures of homeless people [20%]

This formula has provided more stable funding levels for Swansea over the three year period than previously forecasted using the London Social of Economic Wales work. This is mainly due to the interim formula not containing an element of the allocation based on per capital head of population which would significantly reduce funding for Swansea.

Final Distribution Formula Development

Further work is scheduled by the Finance Work stream to recommend a final distribution formula for the grant programme which aims to relate to the collection of more consistent and robust data and taking into account planned changes in some data used in the interim redistribution formula e.g. the Universal Benefit which may replace Disability Living Allowance and the review of the reporting of Homelessness data. New Census information from the 2011 collection will also be available. Work on the new formula will commence in 2013.

Financial Management of the Supporting People Programme in Swansea

The major challenge in the last few years for the Local Authority Supporting People Team has been the uncertainty caused by the delay in introducing the redistribution formula. Local Authorities have been annually faced with delayed funding announcements by WAG until very late in the financial year cycles.

At the time of writing the Welsh Government has however given notification to Local Authorities of the projected annual budget settlements up until 2013/14. Although there is a caveat attached as Welsh Government budgets are set on an annual basis, but this does give a degree of stability to the programme through the transition period.

Since the original programme started in April 2003 the Local Authority has managed reductions in funding with limited affect on frontline provision i.e. no Service Users have lost their support as a result of funding reductions.

The City and County of Swansea has developed a financial model for assessing the cost effectiveness of services which was informed by a comprehensive programme of Initial Service Reviews undertaken by the Team for contracted services. The information gained from the Contract Review process has enabled the Team to establish a detailed understanding of the operational issues faced by Providers and their financial needs for staffing and overheads in order to run the various models of support provision. This has resulted in a financial model based on actual staff costs and reasonable overheads for a range of service types.

The City and County of Swansea uses the principles of relational contracting and it has only been possible to develop the above financial model with the co-operation of Service Providers who in the main have been open and transparent on actual costs of running the services are. Where possible efficiencies have been identified within contracts and the City and County of Swansea is taking a range of approaches which include:

- Accrued savings continue to act as a contingency until financial clarity has been achieved. The aim to mitigate any immediate impact of an annual allocation reduction giving time to consider a planned reduction to the baseline commitments.
- Commissioning a short term funding programme for projects which can be withdrawn with minimal impact in response to reductions in funding

- Reinvesting to increase the number of units of existing service provision as appropriate
- Reinvesting to increase the intensity of support as appropriate

There have been significant reductions in overall funding but the Local Authority has adopted a medium term expenditure strategy enabling a more managed approach to the financial shifts.

Priority Areas to Retain Services

The Supporting People Commissioning Group continues to give consideration to how it might manage any further reductions in services balancing the degree of vulnerability and statutory duty towards Service Users against the intensity/type of services. The Commissioning Group has been open and transparent in giving information to Providers on its rational.

Priority will inevitably have to go to statutory groups, those considered most vulnerable, and those where there is higher reliance on staff intervention to maintain independence. This may considerably affect Floating Support Services and will include the Local Authority's own Housing Department's Tenancy Support Scheme. Reductions in Services to these areas could put additional pressures back onto Social Care and Housing Service budgets.

Information coming out of the National Review Implementation initially is more positive than previous forecasts for the City & County of Swansea with minimal change above the overall national budget announcement of a 2.1% cut for 20012/13. However the Commissioning Group advises a cautious approach as no agreed announcements relating to on-going finances have been made.

The Commissioning Group has agreed that the prioritisation of support needs is categorised to reflect statutory duties of the Local Authority and other corporate priorities. The prioritisation of service type reflects the commitment to permanent housing, and the contribution services make to the prevention of homelessness. The level of Strategic Relevance of a particular project will determine individual cases. **Overall floating Support services are the most vulnerable to cuts and those providing permanent housing will be the most protected.** However, the Commissioning Group recognises the important role floating support has as a model of provision facilitating move on from fixed temporary supported housing projects and the preventative agenda.

The Supporting People Team is continually working to refine their understanding of the current homelessness provision to make as informed as possible decisions and develop a coherent Whole System Strategy to address any reductions in funding over the years ahead.

Equality Impact Assessment

Supporting People services are designed to address many of the issues covered by the equality impact assessment for individuals and providers have policies and procedures which are regularly monitored and subject to three yearly contract review.

The service development priorities listed in the table above are identified as new provision requiring additional investment in the programme.

Many of the strategic priorities identified for activity are not focused on developing new provision but may result in minor adjustments such as refinement in referral and access pathways or a change in the format of support but with no financial impact for the service provider. However, the delivery of some priorities is being taken forward through reconfiguration of existing floating support services where it was considered appropriate.

Where such changes occurs an impact assessment is been undertaken which takes into account relative demand for the services, duplication or access to equivalent support and the relative priority.

There was a reduction Supporting People Grant allocation received from the Welsh Government of 2.19% Welsh Government of 2.19% for 2012/13.

Financial Impact Assessments were completed on individual contracts (broken down into schemes where there are multiple services and the nature of the service provision is significantly different). Organisations were requested to evidence to the Supporting People Team if a funding reduction would impact on front line provision. The majority of organisations did not indicate that the reduction would impact on front line services. Where providers presented evidence to suggest a negative impact this was presented to the Supporting People Commissioning Group (multi agency decision making group). The Commissioning Group explored a number of factors:-

- Priority of service
- Vulnerability of Service Users
- Configuration options
- Likelihood and level of impact

The Supporting People Commission Group made final decisions on whether a reduction was appropriate to go ahead or not based on evidence contained within the individual service Financial Impact Assessment. Regular contract liaison meetings with individual providers will monitor any impact relating to the above.

Supporting People services are designed to address to help address many of the issues covered by the equality impact assessment for individuals and

providers have policies and procedures which are regularly monitored and subject to three yearly contract review.

Monitoring arrangements:

- Quarterly Regional Collaborative Committee
- Quarterly Multi-Agency Commissioning Group meetings
- Quarterly Multi-Agency Planning Team meetings (with Provider representation)
- Service User consultation mechanisms e.g. Homelessness and Supporting People Join In Strategy
- Contract monitoring and review arrangements
- Annual Business Planning consultation event

Monitor information from above and recommend actions to Supporting People Commissioning Group.

Appendix 2

SUPPLY MAP OF SUPPORTING PEOPLE FUNDED SERVICES - at 1.8.2012								
CLIENT G	PROVIDER	SCHEME NAME	NUMBER OF UNITS			Temp Supported	TOTAL	E 1
			SP	Direct Access	Floating			
Domestic Abuse								
E1	BAWSO	Safe House Units	SPG	3	169		3	169
E1	NSU	Responsive Alarms	SPG		10			10
E1	Swansea Womens Aid	Outreach	SPG					3
E1	Swansea Womens Aid	Safe House	SPG	3				3
E1	Swansea Womens Aid	Womens Aid Refuge	SPRG	5				5
E1	Tai Hafan	Rockland Tee.	SPRG					5
E1	TSU	Hafan Cymru	SPRG LA	28				28
E1	TSU	Swansea Womens Aid	SPRG LA	12				12
E1	BAWSO.	BAWSO.	SPRG LA	8	9			9
E1	BAWSO	Refuge	SPRG LA	19	228	0	5	252
Learning Disability								
E2	Adams							
E2	Davies							
E2	Walsham Community of Homes							
E2	Community Lives Consortium							
E2	Winstone							

CLIENT G	PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS				TOTAL
			Funding	Direct Access	Floating	Supported	Temp Supported	E3
E3	Caer Las	New Mill Road	SPG			6		6
E3	Caer Las	The Willows	SPG				7	7
E3	City & County of Swansea	Llanfair House	SPG			18	18	
E3	TSU in house	Mixed Community Care inc M-	SPG					14
E3	Family Housing	Bernard Street	SPG			6	6	6
E3	Family Housing	Skeity Road	SPG			6	6	6
E3	Family Housing	Wish State Street	SPG			12	12	
E3	Family Housing	Wish St Helens	SPG			15	15	
E3	Family Housing	Wish Clos Y Orsaf	SPG			4	4	
E3	Family Housing	Wish Floating Support	SPG			3	3	
E3	Family Housing	The Manse	SPG			6	6	
E3	Gathen	Gathen House	SPG			13	13	
E3	Gofal	Floating Support	SPG			43	43	
E3	Henderson	Ivy House	SPG			2	2	
E3	Isaac	Pen Y Waun	SPG			2	2	
E3	Family Housing	Wish King Edward	SPG			4	4	
E3	Eastgate	Eastgate	SPG			5	5	
E3	Holder	Kenfield	SPG			6	6	
E3	Family Housing	Robense	SPG			6	6	
E3	Esgyn	Tai Esgyn Cluster	SPG			30	30	
E3	Tai Esgyn	Supported Housing	SPG			58	58	
E4	Family Housing	Gorseinon	SPG			6	6	
E3	Tai Trothwy	Mental Health	SPG			12	12	
			0	102	120	62	284	
CLIENT G	PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS				TOTAL
			Funding	Direct Access	Floating	Supported	Temp Supported	E4
E4&5	Alcohol	Plasmart House	SPRG - LA			9	9	9
E4	Haven	WGCADA	SPRG - LA			8	8	8
E4	TSU	Shoreline Project	SPRG			0	18	18
TOTALS								
CLIENT G	PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS				TOTAL
			Funding	Direct Access	Floating	Supported	Temp Supported	E5
E4&E5	Drugs	Gonwellion	SPRG			10	10	10
E4&E5	Wallich	Dispersed	SPRG			3	3	3
E5	Cross Boundary	Swansea Drugs Project	SPRG - LA	0	16	0	13	16
TOTALS								
CLIENT G	PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS				TOTAL
			Funding	Direct Access	Floating	Supported	Temp Supported	E6
E6	Refugee	Red Cross	SPRG - LA		19	0	0	19
TOTALS								
CLIENT G	PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS				TOTAL
			Funding	Direct Access	Floating	Supported	Temp Supported	E7
E7	Physical Mobility	Supported Discharge	SPG			11		11
E7	British Red Cross	Swansea Independent Living Scheme	SPG			20	7	27
E7	Tai Trothwy	TOTALS	0	31	7	0	0	38
CLIENT G	PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS				TOTAL

CLIENT G		PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS	Funding	Direct Access	Floating	Supported	Temp Supported	E8
Young & Vulnerable			Supported Lodgings	SPG	8	SPG	SPG	SPRGLA	SPRGLA	8	8
E8	Barnardos		B & B	SPRGLA	8	SPRGLA	SPRGLA	SPRGLA	SPRGLA	8	8
E8	Barnardos		Fam Lai - Complex Needs	SPRGLA	8	SPRGLA	SPRGLA	SPRGLA	SPRGLA	8	8
E8	SYSHOP		Doris Agored	SPRGLA	4	SPRGLA	SPRGLA	SPRGLA	SPRGLA	4	4
E8	SYSHOP		Floating Support	SPRGLA	4	SPRGLA	SPRGLA	SPRGLA	SPRGLA	8	8
E8	SYSHOP		Dispersed	SPRGLA	20	SPRGLA	SPRGLA	SPRGLA	SPRGLA	4	4
E8	SYSHOP		Hanover	SPRGLA	28	SPRGLA	SPRGLA	SPRGLA	SPRGLA	20	20
E8	SYSHOP		Floating Support	SPRGLA	4	SPRGLA	SPRGLA	SPRGLA	SPRGLA	4	4
E8	Tai Trothwy		Foyer Project	SPRGLA	6	SPRGLA	SPRGLA	SPRGLA	SPRGLA	6	6
E8	Tai Trothwy		Foster Conversions to Supported Lodgings	SPRGLA	40	SPRGLA	SPRGLA	SPRGLA	SPRGLA	12	12
E8	Tai Trothwy		The Biatrics Blaenymaes Young Persons Project	SPRGLA	78	SPRGLA	SPRGLA	SPRGLA	SPRGLA	40	40
E8	SYSHOP		TOTALS	SPRGLA	156	SPRGLA	SPRGLA	SPRGLA	SPRGLA	156	156
CLIENT G		PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS	Funding	Direct Access	Floating	Supported	Temp Supported	TOTAL
Offending Issues				SP	0	SP	SP	SP	SP	0	E9
TOTALS				SP	0	SP	SP	SP	SP	0	0
CLIENT G		PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS	Funding	Direct Access	Floating	Supported	Temp Supported	TOTAL
Homeless or Potentially Homeless			Alternative to Bed & Breakfast	SPG	1	SPG	SPG	SPRGLA	SPRGLA	15	15
E10	Wallich ABBA		St Leonards	SPRGLA	13	SPRGLA	SPRGLA	SPRGLA	SPRGLA	15	15
E10 & E3	Wallich		Shared Housing	SPRGLA	6	SPRGLA	SPRGLA	SPRGLA	SPRGLA	16	16
E10	Caer Las		Faxton Street	SPRGLA	9	SPRGLA	SPRGLA	SPRGLA	SPRGLA	13	13
E10	Cyrenians		Floating Support	SPRGLA	30	SPRGLA	SPRGLA	SPRGLA	SPRGLA	6	6
E10	Family Housing		Floating Support	SPRGLA	41	SPRGLA	SPRGLA	SPRGLA	SPRGLA	9	9
E10	Swansea Housing		Floating Support	SPRGLA	15	SPRGLA	SPRGLA	SPRGLA	SPRGLA	28	28
E10	Gwalia Care & Support		Cyrenians Generic	SPRGLA	38	SPRGLA	SPRGLA	SPRGLA	SPRGLA	30	30
E10	T-SU		In house	SPRGLA	153	SPRGLA	SPRGLA	SPRGLA	SPRGLA	41	41
E10	T-SU		Dinas Fachan	SPRGLA	0	SPRGLA	SPRGLA	SPRGLA	SPRGLA	15	15
E10	Wallich		Caer Las	SPRGLA	71	SPRGLA	SPRGLA	SPRGLA	SPRGLA	38	38
E10	TOTALS		TOTALS	SP	252	SP	SP	SP	SP	252	252
CLIENT G		PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS	Funding	Direct Access	Floating	Supported	Temp Supported	TOTAL
Chronic Illness			Floating Support Scheme	SPG	0	SPG	SPG	SPG	SPG	0	E11
E11	Aids Trust Cymru			SPG	23	SPG	SPG	SPG	SPG	0	23
E11	TOTALS			SPG	0	SPG	SPG	SPG	SPG	0	23
CLIENT G		PROVIDER	SCHEME NAME	SP	NUMBER OF UNITS	Funding	Direct Access	Floating	Supported	Temp Supported	TOTAL
Vulnerable Single Parent			Young Families	SPRGLA	12	SPRGLA	SPRGLA	SPRGLA	SPRGLA	0	E12
E12 & E8	Action For Children		Floating Support	SPRGLA	10	SPRGLA	SPRGLA	SPRGLA	SPRGLA	0	10
E12 & E8	Action For Children		In house	SPRGLA	44	SPRGLA	SPRGLA	SPRGLA	SPRGLA	0	44
E12	T-SU		Tai Trothwy	SPRGLA	58	SPRGLA	SPRGLA	SPRGLA	SPRGLA	0	58
E12	Action For Children		Young Families	SPRGLA	4	SPRGLA	SPRGLA	SPRGLA	SPRGLA	0	4
E12	TOTALS		TOTALS	SP	124	SP	SP	SP	SP	0	124

New Capital Requirements – Supported Housing Priorities for Social Housing Grant (SHG) Investment 2012 and 2013						
Scheme	Number of units of revenue and its source	Support Provider	Format Of Supported Housing	Capital Developer	Priority	Deliverability Context and Options
Young Persons Complex Needs Scheme	Top sliced SPRG was attached to top sliced Substance Misuse Capital Programme. Operational under an interim arrangement against temp units	Swansea Young Single Homeless Project Local Authority as ASP.	Shared housing comprised of a core (en-suite bed sit type accommodation with shared Kitchen, communal space and staff office) and cluster of (self contained or smaller sharing numbers) units.	Coastal Housing Association	Key role in alternative provision to bed and breakfast drive for young people, particularly 16 & 17 years olds with complex needs including substance misuse.	Rehab or new build option considered. Swansea central and all key satellite towns considered Scheme should not stand out and enjoy a degree of anonymity Currently investigating site in Morriston owned by LA.
Mental Health Move On from High Needs Project	Six individuals to be supported with SPG funding Six is a minimum cost effective revenue volume however numbers requiring this level are higher and would consider larger development options	Successful tender	Sheltered model for Adults Mental Health One bed roomed self contained units Staff office Modest communal space Enhanced safety and security measures for reassurance Two units must be wheelchair accessible	No Longer allocated Limited development site put forward therefore has again been opened up to zoned RSL's	Key role in providing move on from The Willows Project and other higher need projects. Plays a key role in the City's Repatriation Plan and meeting NSF targets	Revenue identified for low level support New build or off the shelf purchase. Provisional site been identified within general needs programme with Gwalia
Younger adults with a learning disability and complex health needs	Community Care Funding	Successful tender	4 bed single storey, wheelchair accessible	First Choice	To accommodate young people moving through from Transition for whom there are no alternatives identified	Revenue identified New build required to meet space and adaptation required
Older Adults with Learning Disability & Dementia	Community Care Funding	Successful tender	Development of six individual flats with a communal area	First Choice	Identified individuals waiting for accommodation	Revenue Available New Build Site to be identified
Learning Disability replacement 8 individual flats	Community Care funding	Successful tender	Development of 8 individual flats with a communal area	First Choice	Existing flats provided on short lease, private landlord wishing to sell	Existing revenue funding to continue.
Mental Health shared supported housing	Transfer of mixed social care and SPG funding	Existing provider is Family Housing Association	6 units supported housing	Family HA	Re-provision of property in Gorseinon area leased by RSL from private landlord	RSL in negotiation on site currently under a private finance option.
Mental Health Shared Supported Housing as alternative to residential care model	Social Care	Successful tender	Circa 6 units <u>shared</u> supported housing. En-suite rooms bedsit accommodation with shared communal space and staff accommodation.	Open to all zoned RSL's	Social Care for individuals inappropriately accommodated in residential care settings Use of Tredillion capital receipt agreed.	All areas considered but lack of provision identified in North of Swansea e.g. Gorseinon

Appendix 4 - Local Authority Spend Plan Pro-Forma 2012-13

Regional Collaborative Committee:	WESTERN BAY												<p align="center">*The Total SPPG must not exceed the Annual Allocation*</p>					
Local Authority:	City & County of Swansea																	
SPPG Annual Allocation:	£14,553,636.70																	
	Service Type																	
	Fixed Site (Accommodation Based)						Floating (Community Based)						Total	Local Authority Contribution	Proposed (Reserved) Service Plans			
	Client Units	Less than 6 Months	Client Units	6 to 24 Months	Client Units	24 Months plus	Client Units	Less than 6 Months	Client Units	6 to 24 Months	Client Units	24 Months plus			Client Units	Cost	Comments	
Client Spend Category (The category to which the service is primarily focused)	Numbers	£	Numbers	£	Numbers	£	Numbers	£	Numbers	£	Numbers	£	£	£	Numbers	£		
Women experiencing Domestic Abuse	18	363,627	5	55,433	0	0	199	97,012	49	419,273	0	0	935,345		271			
Men experiencing Domestic Abuse	0	0	0	0	0	0	0	0	0	0	0	0	0		0			
People with Learning Disabilities	0	0	0	0	183	2,957,019	0	0	0	0	0	0	2,957,019		183			
People with Mental Health Issues	0	0	30	459,331	144	2,251,810	14	98,141	46	208,284	42	301,160	3,318,727		276			
People with Alcohol Issues	0	0	18	325,241	0	0	0	0	8	51,633	0	0	376,874		26			
People with Substance Misuse Issues	0	0	13	290,882	0	0	0	0	16	108,118	£ -	0	398,999		29			
People with Criminal Offending History	0	0	0	0	£ -	0	20	30,310	0	0	0	0	30,310		20			
People with Refugee Status	0	0	0	0	£ -	0	0	0	19	95,823	0	0	95,823		19			
People with Physical and/or Sensory Disabilities	0	0	0	0	7	99,462	11	60,000	20	30,000	20	100,000	289,462		58			

People with Developmental Disorders (i.e. Autism)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
People with Chronic Illnesses (including HIV/Aids)	0	0	0	0	0	0	0	23	56,892	0	0	56,892			23		
Young People who are Care Leavers	0	0	10	48,960	0	0	0	6	43,500	0	0	92,460			16		
Young People with Support Needs (16 to 24)	8	168,705	60	862,658	0	0	8	65,520	64	348,902	0	0	1,445,785		140		
Single Parent Families with Support Needs	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
Families with Support Needs	0	0	4	34,006	0	0	0	0	124	699,710	0	0	733,716		128		
Single People with Support Needs not listed above (25 to 54)	69	681,165	30	254,083	0	0	20	31,668	153	888,626	0	0	1,855,541		272		
People over 55 years of age with Support Needs (this category must be exclusive of alarm services)	0	0	0	0	1462	930,758	40	102,619	656	742,209	830	295,651	2,071,237		2988		
Generic/Floating Support/Peripatetic (resency support services which cover a range of user needs)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
Alarm Services (including in sheltered/extracare)	0	0	0	0	95	12,814	0	0	0	0	0	0	12,814		95		
TOTALS	95	1,213,497	170	2,330,594	1891	6,251,863	312	485,271	1184	3,692,970	892	696,811	14,671,005		117,368	4544	0

Please read this guidance prior to completion of the workbook.

Please do not alter the format of this document.

Deviations from the prescribed format will not be accepted.

When inserting funding amounts into the workbook sheets, please insert only in round thousands, i.e.

* if the client category funding figure is £62,050.29, please insert 62,050

* if the client category funding figure is £1,050,620.54, please insert 1,050,620

Agenda Item 14b

Report of the Cabinet Member for Wellbeing

Cabinet – 4 October 2012

UPDATE ON THE TRANSFORMATION OF ADULT SOCIAL SERVICES (TASS) PROGRAMME

Purpose:	To update the Council on the Transformation of Adult Social Services programme specifically in relation to Older People.
Policy Framework:	Health and Social Care Wellbeing Strategy.
Reason for Decision:	There are a number of factors, including an ageing population, that are impacting on the sustainability of adult Social Services.
Consultation:	Legal and Finance
Recommendation(s):	That Cabinet:- <ol style="list-style-type: none">1. Approve the undertaking of a review of residential and domiciliary care services for older people with a view to remodelling existing services.2. Instruct officers to undertake further analysis of demand for services together with increased financial pressures to inform and develop sustainable strategies and models of domiciliary and residential care services fit for the 21st Century.
Report Author:	Deborah Drifford
Finance Officer:	Paul Cridland
Legal Officer:	Janet Hooper

1. Introduction

- 1.1 The Transformation of Adult Social Services (TASS) Programme is one of the Authorities key strategic programmes to deliver the corporate priority:

To ensure that younger adults, older people and carers have more choice and control over how they are supported by transforming adult social services.

- 1.2 Through the delivery of the TASS Programme and the 25 key commissioning priorities outlined in our commissioning plans (Appendix

1), it is expected that a new tiered model of service delivery will be developed to meet the changing expectations of the growing adult population.

- 1.3 Within Adult Social Services (ASS) in Swansea we have embarked on a transformation agenda (Appendix 2) that could radically change the way we conduct our business.

Our Vision for Adult Social Services within Swansea is to:

Create meaningful and fulfilled lives for all, through supportive relationships within sustainable communities.

We will do this by providing, arranging or facilitating support for people at the optimum level of intervention, at the right time, in the right way, in the right place, helping people to build on their strengths and to develop, implement and sustain support plans that maintain their independence and achieve their agreed outcomes.

We have identified three pillars that form a framework for the transformation agenda;

Reshaping and remodeling services; both internally and externally to become more personalised and relationship centered. Services will be flexible, innovative, effective and better value for money. They will be outcome focused and the emphasis will be on what service users can contribute as well as what they need.

Redesigning our operating model (Assessment and Care Management process) to one of assisted self assessment and support planning, that will give service users and carers more choice and control and where the emphasis is on outcomes and achievements and not needs and requirements.

Refocusing on communities, to ensure that we are linking citizens into local resources and networks, forming strong links with other community organisations and introducing a local area coordination approach to lower level intervention. We will work with key stakeholders to develop mutual support systems and will test out a number of concepts around time banking, cooperatives and mutual societies.

- 1.4 This report will concentrate on the 'service remodelling pillar' and specifically in relation to services for older people. This is because this is the service area under greatest pressure from increasing demands and has the greatest expenditure within ASS.

One of the priorities of the Transformation Programme is to remodel our existing in-house Home Care and Residential Care services. The Commissioning Plan for Older People also highlights the need to re-configure in-house services to take account of increasing levels of need.

2. **Background**

- 2.1 It was previously agreed by Cabinet (February 2011) to authorise the Corporate Director of Social Services to:
1. Develop a business case to evaluate the potential costs, benefits and risks associated with creating a Local Authority Trading Company to deliver social care services (LATCO)
 2. Compare those costs, risks and benefits with continuing to deliver services in-house
 3. Commission specialist legal advice.

There were a number of issues that required addressing regarding existing service provision:

Very traditional ways of working (one size fits all)

Buildings were not fit for purpose with only critical maintenance being undertaken. Most not having en suite facilities and being in a poor state of decoration

Lack of capacity or under occupancy

Staff skills and experience re higher care needs of residents

Issues re best value for money.

- 2.2 The report to Cabinet recommended that a review of in-house services should be undertaken to ascertain if target savings could be achieved without recourse to 'outsourcing'.
- 2.3 The LATC business planning process and the creation of the commissioning plans informed our thinking regarding new service delivery models.

3. **Drivers for Change for Adult Social Services**

- 3.1 Continued provision of sustainable Adult Services within a Local Authority is going to be challenging as a result of demographics, resources, competing priorities, increasing expectations and the personalisation agenda.

- 3.2 The increased utilisation by service users of direct payments may mean that in-house provision will not remain viable. The current structure of Council and Government policy means that where a service user opts for a direct payment, that money cannot be spent on services which the City and County of Swansea directly provides.
- 3.3 In adult social care it is recognised that there is a need to radically reshape the approach to social care delivery in light of the Welsh Government agenda around sustainable social care.
- 3.4 It is also recognised that there is a need to ensure the necessary changes are made to deliver successful outcomes for those we support either through services the local authority commission or through support to remain independent of the need for social care services.
- 3.5 Ensuring that services are appropriately configured to match this prediction of huge increases in demand will have significant resource implications. Whilst traditional long term residential care is in less demand this needs to be considered in the context of generally increasing demand for services with an increasingly older population.
- 3.6 It is intended that new models of care are aimed at reducing admissions to care homes, by providing more appropriate alternatives, will create savings which can contribute to covering the cost of the impact of the challenge of local changes in demography.

4. Population Trends

- 4.1 By 2030 in Swansea, there are expected to be 34.1% more people aged over 65 than there were in 2011. While this is a large increase in itself, the largest increases in this population are for those aged 85 and over – these will grow by 77.9% by 2030. The largest increase for any population group for this period is males aged 85 and over, growing by 106% by 2030.
- 4.2 Other key predictions in terms of the needs of the older population of Swansea (aged over 65 years) by 2030 include;
 - Numbers living alone will increase by 33.4%
 - Number of elderly carers is expected to rise by 34.2%
 - Numbers of older people reporting Long Term Limiting Illness to increase by 35.6%; with an anticipated increase of 47.1% in the over 75 age group
 - An expected 42% increase in the number of older people unable to carry out at least one domestic task.
 - A 45.5% increase in the number of older people unable to carry out at least one mobility activity on their own

- 42.1% increase in the number of older people unable to carry out at least one self-care activity on their own
 - Increases of 38.1% of older people who experience bladder problems more than once a week (particularly amongst women)
 - 35.1% more people with dementia in Swansea than in 2011 and
 - 50% increase in both A&E attendances and hospital admissions due to falls
 - In all areas of need the proportion of increases is largest in those aged over 85, reflecting the increase in the numbers of people expected to live into their late eighties.
- 4.3 Predictions of the impact of these demographic changes on the need for social care services by 2030 is as follows (using 2010 activity data and based on the premise that service models remained the same as in 2010 and Social services in Swansea was serving the same proportion of the population);
- 4.4 There is likely to be an increase in service recipients of 49.5% who will need to rely on community based services for support.
- 4.5 There would be an increase in service recipients of residential or nursing care of 56.2%. (Source www.daffodilcymru.org.uk version 2.0).

5. The current pattern of commissioning of Domiciliary Care and Residential Care is as follows;

5.1 Domiciliary Care for older people:

We currently commission domiciliary care from:

- In-house, long term domiciliary care service
- In-house, Domiciliary Care Assessment Services for short term care and reablement
- Eight independent sector agencies to provide long term domiciliary care
- Three agencies and one in house provider in extra care settings and
- Three agencies providing domiciliary care respite for carers.

6. Drivers for Change within Domiciliary care for older people:

- 6.1 Over the recent past a number of circumstances have converged to add impetus to the need to review domiciliary care provision. The financial crisis of 2007/08 has caused a retrenchment of public sector finances, increasing the urgency to seek sustainable solutions for the longer term provision of social care in general.

- 6.2 The continued demographic pressures, coupled with the raised and rising expectations for services, continue to place pressures on services operating at or near capacity.

Developments in the domiciliary care marketplace including the:

- development of extra care provision,
- emergence of interest by investment companies,
- continuing role of in-house services
- views of Welsh Government expressed in the new Social Services (Wales) Bill, regional collaboration,
- integration with Health Partners,
- greater emphasis on encouraging use of Direct Payments.

All require a considered response.

- 6.3 It is also necessary to consider such a response against a background of ensuring compliance with commissioning guidance and procurement rules.
- 6.4 There is currently very little local market presence from Third sector providers or any from Social Enterprises. Third sector provision is largely confined to Extra care. The previous presence of one Cooperative provider in the mid-1990's ceased when it was taken over and run as a privately traded company. There is currently renewed interest in the development of such alternative provision, both regionally from Welsh government and locally.
- 6.5 We are also now seeking to implement an outcome based approach to the provision of care and support for service users to meet the aspirations of service users as enshrined in the Social Services Bill.
- 6.6 Whilst in an early stage of development with providers, it is essential that future arrangements demonstrate a more person centred approach to service provision focussed on the achievements of outcomes considered significant to the individual and less focussed on the restrictive time and task model currently employed.
- 6.7 In Swansea, we now face a situation where the main provision of personal care at home is provided by the independent sector. Currently over 80% of long term domiciliary care provision to older people is provided externally. There are 8 external agencies, two of those agencies (both owned by the same national investment company) currently provide around 60% of external domiciliary care.
- 6.8 Of the 8 local accredited domiciliary care providers 4 are owned by national companies backed by investment companies whose ambitions clearly aim to maximise returns for investors.

- 6.9 Concerns are regularly reported about the quality and reliability of care provided. Evidence exists of providers struggling to ensure calls are properly undertaken in a timely fashion; that some calls are missed and that handling plans are not adhered to.
- 6.10 It has been necessary to place embargos on the commissioning of new care packages with some providers whilst they seek to improve the overall arrangements for the delivery of care commissioned by the Authority. This has resulted in pressures upon remaining providers and has led to temporary delays in commencement of care as the capacity of providers is reached.

- 6.11 ***Current Response to Issues Arising***

Due to the significant concerns identified within the current domiciliary care market a high level option appraisal has been completed and the following options have been identified as worthy of further exploration as a means of reshaping services to ensure sustainability.

- Re-shaping the external market
- Reconsideration of Cost and Volume or Block contracts
- Cluster model of provision
- Rural versus Urban provision
- Revise Accreditation arrangements
- Explore options for Third Sector expansion and the role of Social Enterprise
- Rebalancing the market
- Maintain in house service at current level of capacity
- Increase in-house share of provision
- Return all external provision to in-house service

7. **Next Steps**

- 7.1 The options are not necessarily mutually exclusive. Rebalancing care between internal and external providers does not prevent consideration of reshaping the external market – unless a decision is made to return all services in house, which is the riskiest option to recommend.
- 7.2 There are advantages and disadvantages inherent in all the options but the present state of provision in Swansea suggests that some difficult choices will be required to preserve and sustain the overall provision.
- 7.3 There is a strong case to be made, in terms of stabilising and strengthening the overall marketplace, for increasing the share of provision by the in-house long term service. A decision will be required on the appropriate level of in-house provision

- 7.4 To achieve this level of provision and to balance some of the cost considerations, the long term service could focus primarily, but not exclusively, on taking new cases from hard to service areas, particularly more rural parts of the Authority.
- 7.5 To ensure fairness and equity, brokerage and budget arrangements are revised to transfer budget responsibility for the Long Term service to ACM commissioning Principal Officer and to treat all new requests for care on the same basis as current external brokerage process.
- 7.6 To minimise disruption no transfers of care to the in-house service from external providers will be actively sought unless a provider defaults and that this default is managed through a robust escalating concerns process.
- 7.7 We could seek to reshape the external market place by including clauses in our accreditation process which would seek to limit the maximum size of market share for any individual provider. We would engage with the accredited providers to agree the shape and timescale.
- 7.8 We could explore options for the development of third sector, social enterprise and not-for-profit organisations in the market and develop a comprehensive Market Position Statement.
- 7.9 We could explore the potential for development of a geographical 'cluster' model of provision with external providers, where possible linked to developments underway with ABMU to identify naturally similar or coterminous boundaries (for example with Community Networks).
- 7.10 To help to enable a person centred, outcome based approach to delivery of care, we should seek ways of ensuring continuity of involvement for providers and other professional staff.

8. Care Homes for Older people in Swansea:

- 8.1 We currently commission care home provision from:
 - Seven City and County of Swansea Local Authority care homes for older people (this includes long term care, respite care and convalescence beds)
 - 'There are currently approximately 30 vacancies within 'in-house' care homes for older people, it will be important to maintain this level of vacancies during the review period to ensure that options are available in terms of restructuring the current provision in line with future demand'.
 - 41 care homes for older people in the independent sector in Swansea and

- Approximately 50 other independent sector and Local Authority run care homes throughout the country.
9. **Drivers for Change regarding Care homes for Older People**
- 9.1 There are significant upwards pressures regarding demographic changes and increases in demand and frailty. We are currently forecasting a 1.4 million overspend in this area. This position principally relates to there being 74 more placements in the system than at the end of the previous financial year, figures of 752 compared to 678.
- 9.2 The reasons behind this increase principally relate to two significant changes from financial years, 2010 / 2011 and 2011 / 2012. In the former years there were 366 discharges from the system the following year 317. The difference is explained by the reduction in deceased cases from 280 to 232.
- 9.3 There has been a reduction in new placements in those homes from 88 in 2010 / 2011 to 52 in 2011 / 2012. In totality we admitted slightly less people into residential care/nursing care between the 2 years. 455 in 10/11, 447 in 11/12.
- 9.4 We are also admitting more people under Transitional Placement Agreements. This is where the authority is fully liable for the costs in instances where even though the client might have assets to pay for care until family members gain the appropriate authorisation to manage their finances the authority is liable for the full cost.
- 9.5 As an illustration we admitted 50 people on this basis in 10/11, 75 in 11/12. Also for the first quarter of the current financial year we admitted 26 people on this basis as opposed to 14 for the first quarter of 11/12. This in line with increased application of the Mental Capacity Act.
- 9.6 We appear to be experiencing some impact associated with bed closures in the Health services which explain increasing incidences of emergency admissions to care, where in the past hospital admission would have been an alternative. Whilst not all emergency admissions result in long term placements the vast majority circa 75% do.
- 9.7 The recent need to develop a contingency plan around the impact of the Southern Cross Care Homes inability to remain financially viable (due to their reliance on private equity) has raised awareness of the volatility of the wider market in which we operate. In-house provision cannot be seen in isolation but must be viewed within the wider market place.

10. **Current response to issues arising**

- 10.1 We are currently undertaking an exercise to review patient journeys through the system to understand patterns and trends. This has

commenced with auditing a snapshot of 37 referrals for Residential care received in the 2nd week of August.

- 10.2 We are working to establish an acceptable fee level with external providers, this is associated with the legal challenges made to other authorities e.g. The Pembrokeshire Judgement.
- 10.3 We have convened a budget management group that has identified a strategy to manage the upward pressures on this budget: Maximising the income generation from collection of fees and charges, Introduction of charges on properties, accurate financial information and assessment and recovery of debt.
- 10.4 We are developing alternative forms of care and pathways to reduce emergency admissions and some admissions made from hospitals, so that people who don't need to enter long term care are provided with emergency support in their own homes or with temporary rehabilitative care in a care setting.
- 10.5 We also need to consider how the budget of in house care is managed or potentially aggregated with the budget for external placements.
- 10.6 We now have systems in place in respect of Abacus and the Fair Access to Care Database to accurately inform future commissioning of long term care for older people. We need to ensure we develop systems to effectively shape the market. This will be related to work with ABMU who are the other main commissioners and has been identified as one of the priority areas by the Western Bay Regional Board.

11. Next Steps

- 11.1 In the longer term we would like to explore alternative ways of delivering 24hour care to older people in Swansea. Some of the delivery options we would like to also explore are:
 - Keep in-house
 - Social Enterprise
 - Cooperatives
 - Develop arms length company
 - Open procurement routes
 - Partnership with not for profit sector.
- 11.2 In the medium term we should undertake an exercise to look at the position of local authority homes in the market and the options that are available regarding remodelling current service provision. We currently have a significant number of vacancies in the local authority homes for both long term and respite care. We need to review whether these care homes are fit for purpose both now and in the future and whether

decommissioning some of them would enable reinvestment in more appropriate models of 24 hour care.

- 11.3 We therefore need to establish a future plan for each of the 7 local authority residential homes in the context of the current market. This work will need the active involvement of elected members and require some dedicated project management time.
- 11.4 However, due to current financial pressures we need to consider making some immediate changes to how we resource and commission care in local authority homes.

12. **Financial Implications**

- 12.1 Any financial implications will be identified in subsequent reports as a result of the further analysis.

13. **Legal Implications**

- 13.1 There are no legal implications associated with this report.

14. **Conclusion**

- 14.1 Due to increasing demands current service models are no longer sustainable. This is most evident in respect of Domiciliary Care and Residential Care for Older People. There is an urgent need to review the current arrangements and develop a business case to remodel current service provision.

Background Papers:

None.

Appendices:

- Appendix 1. Commissioning plan for older people
- Appendix 2. Summary of progress on the TASS programme

Commissioning Plan

Older People's Services

**2011 – 2014
(current year 2011)**

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INTRODUCTION

The Older People's Services Commissioning Plan sets out how services are meeting or will meet the priorities that are contained within the City & County of Swansea Commissioning Framework for Adult Services 2011- 2014. The framework provides a statement of intent for the commissioning of social care services for adults over the next 3 years. It sets our vision for how to achieve better outcomes for adults and who use our services in Swansea; including older people, younger people with a physical disability or have a sensory impairment, people with a learning disability, people who are affected by mental illness and carers.

The strategic plan for Adult Social Services identifies three pillars for transformation which are

- Reshaping and remodelling our services
- Refocusing on communities and
- Redesigning the operating model for assessment and care management.

The Commissioning Framework highlights priorities to achieve the desired outcomes for each of the above pillars in the context of commissioning. This commissioning plan will consider the 15 priorities identified in the commissioning framework within the reshaping and remodelling services pillar and focus on those that are most relevant for Older People's Services.

Included in the 15 priorities are

- Priority 1 -The range of services we commission or direct people towards will be person centred; outcome focused and can be purchased by individuals themselves or on their behalf via the Local Authority.
- Priority 2 - Services we commission will be flexible and responsive and will provide value for money, be affordability and the cost will be transparent.
- Priority 15 - Workforce issues will need to be addressed across the system to encourage and support recruitment and retention within the care sectors, to ensure staff are skilled and supported to work differently and to maximise efficiencies through more integrated working.

These priorities are inherent when commissioning any service and therefore will not have specific actions identified to meet them in individual service area plans. These priorities form the foundation on which the commissioning of quality services are built and will underpin the actions described in this plan. In particular, ongoing work regarding the most appropriate business model for the future of services directly provided by the Local Authority and work to develop the use of Direct Payments will also contribute to meeting Priority 1.

Individual service areas within Adult Services are increasingly realising the benefits of working together and opportunities for collaborating are being sought. This is contributing to meeting Priority 13 i.e. the sharing of services across Adult Services where appropriate, will enable a more effective use of resources focused on the individuals' needs and staff skills required to meet needs as opposed to the service user grouping.

This commissioning plan sets out how we will begin to address the relevant identified priorities for the remodelling of services. It identifies what each priority means for older people, the outcomes we wish to achieve for service users and their families and carers, an assessment of our current position and actions we can begin to take to implement our strategy. It focuses mainly on the first year of the Adult Services Commissioning Framework and is based on work that has been undertaken to date through various established commissioning activities, planning groups, partnership and consultative arrangements including those involving service users and carers and the relevant work streams within the TASS programme. This plan also builds on existing related strategies and plans including the Older People's Services Options Appraisal 2005 and Development Statement which involved consultation with stakeholders as part of their development. Consultation on this plan has begun and will continue and over time the plan will detail further consultation arrangements throughout the duration of the framework. Future commissioning intentions and the development of these plans will be shaped by the outcome of such consultation. As plans develop they will also detail how their content will be communicated to all stakeholders, how any identified risks will be assessed and managed and account for progress against actions given.

Each service area will have commissioning groups who are responsible for the development, implementation and maintenance of the commissioning plans for the duration of the framework. This work will be guided by the WAG Fulfilled Lives Supportive Communities Commissioning Guidance and Good Practice 2010 and commissioners will be responsible for ensuring good commissioning practices are embedded across all Adult Services. Much of the work to deliver on the actions within the plan will be taken forward by these groups but also within relevant TASS work streams and existing forums and working groups etc. The governance framework for the oversight of the plans is described in the Commissioning Framework.

CONTEXT FOR OLDER PEOPLE'S SERVICES

Currently within the City and County of Swansea Social Services supports 3645 older people (aged 65 and over). Social Services commissions or provides a wide range of services to older people who meet the eligibility criteria. The Commissioning Framework includes detail of the **types and level of service to older people** but in summary;

Activity 2010 / 2011		Budget 2011/12
Assessments Completed by ACM teams	7859 of 6695 people	£3.3million
Assessment completed by Domiciliary Care Assessment Service (DCAS)	611	£1.7 million
Hours delivered by DCAS	1195 per week (Sept 10)	
Domiciliary Care hours delivered by Local Authority long term service	2950 per week (Sept 10)	£4 million
Domiciliary Care hours delivered by	15137 per week	£8 million

Independent Sector	(Sept 10)	
Service Users receiving community meals	255	£250,000
Funded Service Users in Care Homes		
• Residential Care LA funded placements in Local Authority run care homes	188 (@31/3/11)	£3.7 million
• LA funded placements in Independent sector care homes (NB NHS funds nursing element of support for self funding service users data unknown)	330 (@31/3/11)	£9.9 million
• Nursing Care (nursing element funded by NHS, residential element LA funded)	348 (@31/3/11)	
• NHS funded Continuing Health Care (CHC)	390	-
Service Users funded in extra care	37	£493,000
Service Users supported in day services	748	£901,000

Source: Activity figures from WAG Statistical returns PM2, budget outturn figures 2010/11.

NB Budget figures do not take into account income and are approximations in some areas where these are an aggregation of a range of services, some shared and serving younger adults also.

Additionally the department funds a range of third sector organisations such as Age Concern, Care & Repair, The Carers Centre, Crossroads and the Alzheimer's Society to provide preventative services as well as commissioning services such as respite care from them. The Local Authority also commissions Housing Related Support Services for Older people which it funds through Supporting People Grant funding programme to assist in achieving the overarching aims in the Health Social Care and Wellbeing Strategy. This is detailed in the Supporting People Operational Plan annually.

The key implication for older people's services of the principles and priorities detailed in the Commissioning Framework for Adult Services 2011-2014 is the need to **continue to manage the balance of care between residential forms of care and support to people in the community; working towards increasing the proportion of people supported at home.** Information from the Residential Care Fair Access to Care Services group indicates that in 2010/11 86% of all care home admissions arose following either a hospital admission or emergency placement in response to a crisis (e.g. approximately there were approximately 12 people per month for whom the lack of a rapid response services had been a significant factor to long term care home admission). A significant proportion of these admissions were potentially avoidable.

The commissioning plan will focus on steps to reduce reliance on residential and nursing care by providing a range of outcome focussed community based services and services that prevent the need for older people who are at high risk of requiring long term care or face inappropriate admission or unnecessarily prolonged stays in hospital stays. Rapid response services and early effective interventions, services

that aim to maximise independence through rehabilitation and reablement and better management of transition between hospital and home (or long term care) including elements of interim (or transitional) care and post acute care and convalescence will all be features of the commissioning plan.

This however needs to be achieved at a time of increasing demand due to a continuing increase in the older population, and particularly a predicted 10% increase over the next five years in the type of needs (such as living with dementia, continence problems and frequent falls) that often lead to care home admissions (source: daffodilcymru.org.uk).

Ensuring that services are appropriately configured to match demand will have **resource implications**. Whilst traditional long term residential care is in less demand this needs to be considered in the context of generally increasing demand for services with an increasingly older population. Coincidentally the recent introduction of the WAG Charging Measure for community based services, limiting the amount any individual can be charged for care and support, will impact on the level of income the Local Authority was able to generate previously (this is estimated to be in around £830,000 in the current year) and consequently affecting the level of resource available.

It is intended that measures detailed in the commissioning plan that are aimed at reducing admissions to care homes, by providing more appropriate alternatives, will create savings which can contribute to covering the cost of the impact of the challenge of local changes in demography.

The **current pattern of commissioning** of domiciliary care and residential care (which are the major areas of spend on older people's services) is as follows;

Domiciliary care for older people:

We currently commission domiciliary care from

- In-house, long term domiciliary care service
- In-house, Domiciliary Care Assessment Services for short term care and reablement
- 8 independent sector agencies to provide long term domiciliary care. For 2010/11 they delivered 9612 hours of care per week to 892 service users at a cost of £7 million a year (10,180 hours per week of care were planned to be delivered but some care was not required e.g. due to hospitalisation).
- 3 agencies in extra care settings
- 3 agencies providing domiciliary care respite for carers.

Care Homes for Older people in Swansea:

We currently commission care home provision from

- 7 City & County of Swansea Local Authority care homes for older people providing 220 bed spaces
- 39 care homes for older people in the independent sector in Swansea providing approx 1400 bed spaces
- Approximately 140 independent sector providers throughout the country.

This is in line with The National Assistance Act 1948 (Choice of Accommodation) Directions 1993.

The main aim is to have a range of quality providers to meet service user's needs. A market analysis of provision for adult services is detailed in an Appendix to the Commissioning Framework.

There is a culture of and support for **relational contracting** with independent providers within social services in Swansea including use of well established provider forums, training and development initiatives and multi agency task and finish groups responsible for working on specific jointly agreed operational and strategic priorities.

Arrangements for **collaboration and partnership** will vary and may not necessarily be with the Abertawe Bro Morgannwg University Health Board (ABMU) or public sector partners within the ABBU footprint. Whilst we seek to develop a greater degree of collaboration and integration within the Swansea ABBU locality, for example with development of an integrated Community Resource Manager for Intermediate Care and Local Authority Occupational Therapy (OT) services, a significant partner of the LA OT Service is the Housing Renewals section of the City and County of Swansea (CCoS).

We have recently agreed a 3 year plan of development with the ABBU locality to develop a rapid response service, increasing integration of reablement services and a possible model of step down care for people discharged from hospital who are initially unable to go home. We also agreed in principle increased integration and a joint assessment and care management service for people resident in care homes and an aspiration for a joint commissioning budget under the possible framework of a Section 33 agreement. We will need to develop a strategy with health colleagues to improve some of the health services such as continence management and falls that are often comparatively underfunded but are crucial causative factors behind the need for long term care.

The local partnership for Community Equipment, which is due to become a Section 33 agreement between CCoS, Neath Port Talbot County Borough Council (NPTCBC) and ABBU, specifically excludes Bridgend County Borough Council and the Bridgend Locality of ABBU.

The Collaborative partnership, between NPTCBC and CCoS, for provision of the Community Alarm Service ended in March 2011. Collaboration currently exists between CCoS and Carmarthenshire Council, which also collaborates in turn with Pembrokeshire, Ceredigion, Powys and NPTCBC. The previous Telecare Strategy, which came to an end in 2011 has failed to remain sustainable as a collaborative strategy, due to failure to secure resources and is now driven by separate Health and Social Care funding streams.

ADULT SERVICES COMMISSIONING FRAMEWORK 2011 – 2014 PRIORITIES

Commissioning Framework Priority (from Adult Services Commissioning Framework April 2011)				
3. Investment in services that provide a Rapid Response to manage urgent unplanned care needs and provide support in a crisis that helps to keep people at home and is accessible on a 24 hour basis. Where this includes healthcare needs we will work collaboratively with health partners and prioritise work to jointly develop intermediate care and reablement services.				
Where we are now				
The Local Authority does not currently provide or commission a rapid response service although intermediate care services include an admission avoidance scheme via the Community Resource Team in the ABMU HB Swansea Locality. The draft 3 year collaborative plan with the ABMU HB includes development of rapid response services including links to out of hours health services.				
Outcome we want to achieve/Description of service that will meet this priority				
The outcome for the service user will be <ul style="list-style-type: none">• Delivery of care and support to ensure their immediate needs are met as fully as possible for a short period and an escalation of their need is prevented where possible• Avoidance of the need for admission to a care home or hospital (unless absolutely necessary) and• Assurance that their longer term care needs will have been considered and should they continue to need support they will be referred onto the most appropriate service.				
The service will be accessed via a robust multi-disciplinary Emergency Duty Rota which will respond within 4 hours to individuals who experience a rapid change in their circumstances affecting their ability to cope at home. Support available will include; <ul style="list-style-type: none">• Domiciliary care provision that will assess needs and provide specialist care and intensive short term support at home for a period of up to two weeks• Rapid access to appropriate equipment and adaptations to enable individuals to remain at home• Access to convalescence beds in all Local Authority care homes for up to a maximum of three weeks.				
Actions				
Work with ABMU to improve Emergency Duty rota arrangements		Timescale	Person(s) responsible	Finance (and other resources)
Definition of demand requirements/level of need		Jun 11	GP	GP/KG
		July 11	GP	JC/VG

Evaluate current pilots (convalescent beds)	July 11	GP	GP/VG	
Identify cost requirements for rapid access to equipment and submit to Management of Integrated Community Equipment (MICE)	Aug 2011	GP	GP/PL	
Extend provision of convalescent beds in Local Authority care homes on an incremental basis (based on the outcome of the evaluation of the pilots) (Links to Priority 9)	Sept 11	GP/VG		
The viability of transferring resources from the external residential care budget to support development of the service to be considered or alternative funding/resources to be identified	Aug 11	GP/HR		
Remodel the use of resources within the in house domiciliary care service to create capacity to provide the domiciliary care element	Sept 11	GP	JC/GP	
Agreement to be reached with all stakeholders on the operational criteria of a service and agreement over a pilot phase.	Dec 11	GP	GP/PL/JC	
Establish a pilot for the domiciliary care element of the Rapid Response Service	Mar12	GP	JC/GP	

Commissioning Framework Priority (from Adult Services Commissioning Framework April 2011)
4. Develop a short term reablement and enablement domiciliary service which is aimed at increasing people's abilities to remain as independent as possible. This service will focus on recovery as a strategy for managing demand and will be evaluated in terms of its success in increasing people's independence and move on to lower levels of support.
Where we are now
A short term assessment and reablement domiciliary care service, the Domiciliary Care Assessment Service (DCAS), provided via the Local Authority Home Care service has been established and operational for 2 years. The level of provision has been

increasing over that time (e.g. expenditure on carers in the assessment and reablement service increased by 15% despite an overall reduction in spending on in house provision) and the level of service is subject to constant review to ensure that demand is suitably matched by capacity to respond quickly and effectively. The service is being evaluated as part of its ongoing development to review its effectiveness in meeting its objectives.

Outcome we want to achieve/Description of service that will meet this priority

Continue to develop the established short term reablement domiciliary care service (DCAS) to be focused on actively helping a person to regain skills, confidence and independence, following a specific period of illness, injury or other deterioration in ability. This will be an enabling and rehabilitative service that will be provided for up to six weeks. It will work closely with the rapid response service and ABMU led Community Resource Team. It will also provide continuous assessment of an individual's longer term needs for care and support and help manage the demand for longer term care in the community or in residential care.

The outcome for the service user will be

- Achieving or maintaining their independence wherever possible
- Reducing the potential for the need for residential care
- Improved health and social functioning
- Maximisation of the capabilities that they have (as opposed to being limited by those they don't) and the
- Regaining skills that may have been lost as a consequence of poor health, disability, impairment or going into hospital or residential care or gain new skills and the confidence to use them to maintain or increase independence.

Actions to deliver the service	Timescale	Person(s) responsible	Finance (and other resources)	Progress/Update
Ensure the development of DCAS is progressed in the context of related developments particularly those that draw on the resources of the directly provided Home Care Services e.g. rapid response service (Link to priority 3)	Ongoing	PL	GP/PL/JC	
Continuous improvement of internal processes and those that interface with independent sector long term care providers to maximise efficiency	Ongoing	PL	PL/JC	

Complete a demand analysis to determine optimum future size of DCAS service	Jun 11	PL	JG	
Complete business audit of current process of assessing and delivering domiciliary care, including DCAS, and identify improvements	Aug 11	PL	GW	
Evaluate the effectiveness of the current DCAS service (link to action above)	Sep 11	PL	JG	
Report the outcome of the service evaluation to the Care at Home Group	Sep 11	PL	JG	
Continue to redeploy resources flexibly from directly provided long term provision to short term service				

Commissioning Framework Priority (from Adult Services Commissioning Framework April 2011)
5. Domiciliary care contracts will be evaluated in terms of success in meeting the outcomes of the Local Authority and individuals and support packages will be commissioned accordingly.
Where we are now
In terms of long term domiciliary care provision for people in their own homes we currently invest heavily in care packages with the independent sector as well as some remaining provision via the directly provided Home Care Service (although this service is being disinvested incrementally as current service users exit the service). New packages of care commissioned on an individual basis in terms of time and task time tables of care and the service specification is broadly described in terms of and mostly monitored against service inputs and outputs.

Introduction of improved demand management processes such as Fair Access to Care Services groups, changes in care management practices and DCAS plus the ceasing of differentiated rates for care (particularly the added premium for half hourly calls) well as the introduction of shorter call times has reduced expenditure on externally provided long term domiciliary care packages and overall there has been a reduction in packages purchased (there has been a more significant change in care hours purchased than numbers of service users receiving support) e.g. there were 350 'new' packages of long term domiciliary care commissioned in first half of 2010/11 (includes restarted packages as well as new service users) compared to 250 in the second half of the year. The reported impact on service providers includes more frequent need for re-referral to Social Services for

reassessment and review, loss of experienced care staff as their working patterns and income has been adversely affected (e.g. increased gaps between calls and payment only for contact time etc).

Resources for internal long term care provision continue to reduce also. Overall expenditure on the in house provision for domiciliary care for older people fell by 6.8% between 2009/10 and 2010/11, including expenditure on care staff within in the long term service reducing by 27%.

A successful small outcomes orientated locality service pilot with an established independent sector provider was completed in 2009.

Outcome we want to achieve/Description of service that will meet this priority

The outcomes for the service user and their families and carers will include the potential for more flexibility in the services they receive with more emphasis on remaining as independent as possible and the opportunity to have a more influence in defining their individual outcomes thus offering more choice and control over the care they receive.

Long term domiciliary care will be of a good quality, provide service users with continuity of support, be based on the principles of person centred care and be flexible and cost effective. Care packages will be commissioned on the basis of outcomes rather than a time and task specification and will interface effectively with DCAS as appropriate to maximise service users' potential for reablement over time.

Locality based working, use of complementary technology, appropriate outcomes orientated care and support planning and risk management and more effective joint working with health and other agencies in the locality, including community services will support successful service delivery.

A majority of packages will be provided by the independent sector and any long term directly provided provision will be for specialist services.

Actions	Timescale	Person(s) responsible	Finance (and other resources)	Progress/Update
Undertake further work on alternative models of service delivery that are centred on outcomes	Sep 2011	PL	AW/MF/KD	

Analyse and review the impact of cost price banding and shorter call times on care delivery and agency sustainability	Oct 2011	PL	AW/MF/KD	
Monitoring and analysis of packages of care in order to improve responsiveness of service	Dec 2011	PL	JG DPCs	
Work with care providers to analyse costs of providing care	Oct 2011	PL	AW/MF/KD	
Explore more effective joint working with health and other agencies in the locality, including community services	Dec 2011	PL	GP	
Link to revised care planning and review practices with a view to supporting commissioning for outcomes on an individual basis	In line with timescales for this work	PL	PL/NA	
Ensure developments in the DCAS service reflect the outcomes focus to long term care to ensure effective transition between services (Link to Priority 4)	In line with timescales for this work			
Agree what is needed to support the workforce to undertake outcome focussed working e.g. training and support planning	March 2012	PL	HJ/VL	
Ensure service provision reflects the principles of person centred care	Sept 2012	PL	NA	
Review and re-specify the service within the domiciliary care Framework Agreement	Sept 2012	PL	AW/MF/KD	
Pilot a cluster model of service provision on a locality basis	Mid 2012	PL	MF/NA/KD	
Introduce consistent call monitoring arrangements across all domiciliary care provision	Nov 2012	PL	J Cove	

Work with all care providers to develop further innovative solutions on key priorities and requirements for future service provision	Mar 2013	PL	AW/MF/KD	
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Commissioning Framework Priority (from Adult Services Commissioning Framework April 2011)

6. Further investment will be made in assistive technology to help people to maintain control over their lives, contribute to their independence and manage risk more effectively.

Where we are now:

Joint Telecare Strategy, developed in partnership with Health and other colleagues resulted in a number of Telehealth initiatives being implemented and over 800 people locally benefiting from installation of Telecare sensors, in addition to basic lifeline telephones. This represents approximately 10% of the 8000 users of the Community Alarm service in Swansea. This time limited strategy, funded by the Welsh Government ended in March 2011. Plans to embed a sustainable future for Telecare have faltered because of resource constraints and await the introduction of a charging regime in 2011 to enable further investment.

Outcome we want to achieve/Description of service that will meet this priority

The outcomes for service users and their families will include increased safety and security, reassurance and peace of mind through more options for supporting vulnerable people to manage the risks of living in their own homes, while still remaining as independent as possible.

Assistive Technology (AT) will become an integral component of all service development priorities. We will use the lessons learned from the original Telecare Pilot to ensure effective use of the technology and achieve further service integration with the Community Equipment Service to achieve greater economies of effort and resources. The use of AT can be tailored to a variety of individual service user's needs with the potential to be linked to rapid response services when necessary.

Actions	Timescale	Person(s) responsible	Finance (and other resources)	Progress/Update
Continue to seek collaborative investment from ABMU Health Board (resources and process)	Ongoing	PL	EO	
Continue to collaborate with All Wales LIN to achieve further national developments	Ongoing	PL	DP	

Ensure developments compliment developments in rapid service services (Link to Priority 3)	Ongoing	PL		
Reintroduce charging regime to enable further investment in Telecare	Jul 11	PL	DP	
Integrate Community Alarm and Telecare Service with Community Equipment Service	Dec 11	PL	LT/DP	
Develop training and awareness raising of possibilities of AT and embed in practice and processes	Jun 12	PL	DP	
Evaluate previous Telecare Strategy using Swansea University	Dec 12	PL	EO	

Commissioning Framework Priority (from Adult Services Commissioning Framework April 2011)

7. The reshaping of day services to meet a wide range of needs from complex to reablement and also the development of links to other community activities and universal services (including access to advice and information to better support people with lower level needs). These services would be a positive choice for those receiving a direct payment as well as those receiving the service via the local authority.

Where we are now

Day service provision for older people in Swansea has largely been focussed on Local Authority day centres and social centres. In 2009 all the needs of all older people using day service provision were reviewed and this information is being used to reconfigure day service provision. The approach adopted is to develop a more tiered approach to day service provision with an expansion of low cost/no cost day opportunity groups based in the community, which can be linked to higher dependency and/or reablement focussed day centres. Currently the service includes;

- Day opportunity groups across Swansea run by the LA and voluntary sector but the North and far West of Swansea have limited provision.
- Day service provision for people living with dementia is patchy and inequitable across Swansea. There are 2 dementia day centres commissioned from the Alzheimer's Society and the Swansea Carers' Centre and work has commenced on developing 'step up' dementia day centres and voluntary sector run dementia day opportunities e.g. a pilot 'step up' dementia day services in Norton Lodge and 'Singing for the Brain' initiative.

- | |
|---|
| <ul style="list-style-type: none"> • An information centre at Norton as a source of information and advice on community resources and activities for all stakeholders e.g. citizens, carers, Assessment Care Management (ACM) staff. • Reduced investment in residential respite services via the closure of a designated respite care home has been reinvested in day respite support including a more robust 'respite at home' service. A Short Break Bureau has been established to co-ordinate this work and to promote new models of service e.g Adult Family Placement. |
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Outcome we want to achieve/Description of service that will meet this priority

The outcomes for service users and their families and carers will include more equitable access to a wider range of services that actively support individuals to participate more easily in the community, less likelihood of reduced social isolation and loss of confidence and more flexible respite support for carers to help people to remain living at home.

Day service Services will be provided on a tiered approach with a core and cluster model of day services, with a range of open access community based day opportunities linked to a smaller number of day centres for people (meeting the eligibility criteria) with complex needs (including dementia) and/or those who have lost confidence in social and domestic activities and might benefit from reablement support.

Day opportunities will map community support & services in the locality and act as an information centre for older people, carers and staff. Commissioned services will dovetail with all open access day opportunities, especially those run by external community groups and agencies especially for people who are physically able, but socially isolated older people.

There will be a consistent charging policy for services.

Actions	Timescale	Person(s) responsible	Finance (and other resources)	Progress/Update
Review transport arrangements for day services	Oct 11	VG		
Review charging policy for day services	Oct 11	VG		
Map and increase the number of open access day opportunities	Sep 12	PL	VG/JT	
Remodel current social centres into day opportunity groups	Sep 12	PL	VG/JT	
Complete individual reviews of service users to determine needs and most appropriate service	Dec 12	PL	VG/JT	

Expand day service provision for people living with dementia to cover areas currently not served i.e. North & far west.	Aug 12	PL	VG	
Review building based day centres to determine whether they are cost effective, sustainable and in the right places.	Aug 12	PL	VG	
Develop a model of reablement support within day centres linked to day opportunities and other community based activities	Mar 13	PL	VG/JT	
Expand day service provision for people living with dementia, especially those with more advanced dementia wishing to remain in their own homes	Jan 12	PL	VG	

Commissioning Framework Priority (from Adult Services Commissioning Framework April 2011)

8. Build on the experience of current extra care schemes to explore options to meet the future demand for accommodation with care and support; including sheltered housing schemes, dementia care services. Ensuring a key feature of the provision of extra care will be the avoidance of the need of residential care through the capacity to increase support when needed.

Where we are now

Sustaining two established extra care settings in Swansea for older people. Commissioning a small number of packages in the independent sector (extra care services) for older people who have purchased homes in this setting. There are plans to review the role of the current extra care provision and agree the future level, type, location and size of extra care services for older people in Swansea.

Outcome we want to achieve/Description of service that will meet this priority

The outcomes for service users and their families and carers will include the opportunity to remain living safely in the community with access to 24 hour care and support in an enabling environment that can also provide opportunities for socialisation as well as tenancy support and other services so service users can live independently for as long as they wish to and are able to and offer an alternative to residential care.

Extra care settings will provide high quality housing and onsite responsive, flexible care and support that enables residents to retain their independence for longer than maybe possible in other accommodation in the community. The need to move to a care home should only be appropriate where a resident may wish to move from the locality or 24/7 nursing care is required.

Actions	Timescale	Person(s) responsible	Finance (and other resources)	Progress/Update
Complete 3 year contract review for Hazel Court (including analysis of schemes self evaluation 2011) in cooperation with Supporting People	Dec 2011	KD		
Research evaluation of Extra Care for Older People	Dec 2011	KD		
Reconfiguration (working with provider to develop) the Hazel Court service based on the outcome of above contract review	March 2012	PL	PL/KD	
Reconfigure the specification (including the extra care element) at Gorseinon Integrated Care and Support Scheme in cooperation with service provider (Link to Priority 7)	March 2012	PL	PL/KD	
Liaise with Supporting People regarding opportunities arising from plans for development or redevelopment within Housing	Throughout 2011/12	PL	PL/KD/AE	
Identifying and agreeing the role of Social Care services in the development of extra care schemes	2012/13	PL	AE	

Commissioning Framework Priority (from Adult Services Commissioning Framework April 2011)

9. Long term residential care home places will be commissioned where it is a positive planned choice; best meets the individuals' needs and provides value for money. People will have undergone a reablement process proportionate to their circumstances before this option is considered.

Where we are now

The majority of long term care home placements for older people are commissioned from the independent sector plus some residential care provided via 7 Local Authority run homes however the use of these homes is changing on an incremental basis to more specialist care such as dementia care and short term support or convalescence.

The introduction of the FACS group for residential care, improvements in financial assessment processes (information management, charging and collaboration between financial assessments and care management) has had an impact on stabilising placement numbers, especially the requirement for funding by the LA. During 10/11 the number of the independent sector care home placements remained constant compared to a 10% increase the previous year.

In terms of collaboration Social Services has a history of partnership working with providers to improve quality and achieve value for money e.g. a working groups has worked to analyse costs of providing care and how fees are calculated including a 3 year plan and strategy. The principles of person centred care have also been promoted across the sector; including:

- A range of successful programmes in line with the My Home Life agenda
- A quality assurance tool for assessing quality of care against person centred standards
- Piloting of observational audit techniques to improve quality of care
- Establishing a pilot volunteering programme to promote community integration in care homes.

The LA has also had initial discussions on joint ventures with ABMU HB such as joint care management, commissioning and budgets for people in long term care and development of a 'step down' residential care assessment service. There is also liaison with other LAs on development of a standard framework agreement for care.

Outcome we want to achieve/Description of service that will meet this priority

The outcome for the services user and their family or carers will be that if individuals are unable to go home immediately following their stay in hospital to ensure that a care home placement is only considered as a long term option after the potential for rehabilitation has been addressed and where appropriate reablement services have been provided. Service users who do require a place in a care home can be offered a choice of accommodation and experience a well managed transition to life into a care home well that provides a sense of community, good care and continues to promote and maintain an individuals identity and quality of life though promoting shared decision making.

There will be a diverse supply of care homes which provide a quality accommodation, person centred, relationship based care for people who cannot be supported to live at home long term and within these care homes, a citizen centred culture and sense of community will be promoted that benefits residents health and well being. Local care homes will be able to offer security in terms of financial viability and sustainability and offer cost effective alternatives to other forms of support.

Older People who are considering a care home will be supported by a joint service with ABMU HB that assesses the long term care needs of people who are discharged from hospital and that dovetails with robust community services aimed at reducing emergency

admissions into care. Also an integrated approach with ABMU HB to the care management and review of residents in care homes in the City and County of Swansea.

With the drive to support a greater proportion of older people at home for longer care home services will need to provide for those with the most complex care needs and role of some existing services, particularly traditional residential care including those run by the LA will need to be redefined to meet these needs.

Actions	Timescale	Person(s) responsible	Finance (and other resources)	Progress/Update
Continue to develop and improve initiatives associated with 'My Home Life' project	Ongoing	GP	NA	
Monitor the market to ensure that any risks are appropriately managed as part of ongoing contract management processes	Ongoing	GP	PF	
Work with service providers to understand key priorities and requirements for future service provision via provider forums	Ongoing	GP	PF	
Continue to engage with work on an All Wales basis on a common contract framework agreement	Ongoing	GP	PF	
Pilot co-location of Care Home Team with ABMU nurse assessors	Sept11	GP	LJ/KG	
Work with care providers to analyse costs of providing care	Oct 11	GP	PF/AW	
Develop a residential care assessment service with the ABMU HB ensuring appropriate links with other developments in reablement services (Link to Priority 4)	Nov 12	GP	VG/JC	
To reconfigure current in house long term residential services to meet the levels of need identified	Nov 12	GP	VG	

Commissioning Framework Priority (from Adult Services Commissioning Framework April 2011)				
10. Increase the number and capacity of community based tenancy accommodation locally, in order to support a wide range of needs including people with complex health needs and those who have had to be accommodated away from Swansea, frequently in high cost residential care.				
Outcome we want to achieve/Description of service that will meet this priority				
See Priority 8 – Extra care will be the model in terms of accommodation with care and support for older people				
Actions	Timescale	Person(s) responsible	Finance (and other resources)	Progress/Update

Commissioning Framework Priority (from Adult Services Commissioning Framework April 2011)				
11. Increase capacity and variety in dementia care services to meet growing need. These will be founded on a person centred strengths based model of care, promote human rights and the independence and emotional well being of service users and endeavour to support them to remain in their own home. Services will be more integrated with health, will better support carers and include more intensive and responsive services.				
Where we are now				
<p>The learning derived from involvement in two recent national service and workforce improvement agency initiatives to trial tools to support person centred dementia care and outcomes focussed assessment and care management has been utilised to increase dementia care services including designated dementia services in two LA care homes including the provision of a dementia respite unit and grant funded development of a multi-agency higher dependency residential care unit for 7 people living with dementia within a local authority residential care home. The aims of this work include developing a model of good practice which can be disseminated across the whole care home sector locally and to test the theory that people living with dementia are unnecessarily admitted to nursing care homes as a result of their behaviour, when their behaviour may be due to inappropriate care and/or living environments.</p> <p>There is no specialist provision with regard to domiciliary care for people living with dementia care but this will need to be addressed the work associated with meeting Priority 5.</p> <p>There are 2 dedicated day centres for people with dementia and more work is being progressed e.g. Partnership work with the Alzheimer's Society has on the development of person centred dementia day services (see Priority 7).</p>				

<p>The Local Authority has signed up to a Dementia Outcome Agreement with the WAG.</p> <p>Outcome we want to achieve/Description of service that will meet this priority</p> <p>The outcomes for service users and their families and carers will be greater availability and experience of more person centred practice in services they can benefit from with more effective focus on the social care needs of people living with dementia promoting and maintaining the independence and well being of people living with dementia for longer. The promotion of their human rights, treatment with dignity and respect and increased opportunity to express choice and control in their lives will also be a benefit.</p> <p>Working in partnership with health, voluntary and independent sector agencies to a shared value base, the Local Authority will provide services to people living with dementia and their carers which are person centred and not risk averse approaches to supporting people living in their own homes and in care homes. There will be a better understanding of how to best support people living with dementia to remain in their own home including support for carers, within available resources and development of a model of good practice for a higher dependency residential care service in all care homes. There will be increased quality of residential care home provision for people living with dementia in order to meet the projected future demographics and decreasing the amount of inappropriate nursing care placements.</p>				
Actions	Timescale	Person(s) responsible	Finance (and other resources)	Progress/Update
A multi-agency steering group will be set to establish terms of reference and a programme of meetings and associated work activities will take place	Under discussion May 2011 – date to be decided		NA/LJ	
The co-location and joint working of staff from the different stakeholder agencies will be explored and implemented as appropriate	Under discussion May 2011 – to be concluded		SF	
A positive risk benefit policy will be developed and incorporated into guidance and training	Sep 11	GP	NA	

Develop policies and procedures to extend the offer of Direct Payments to people living with dementia if this is in their best interests	Oct 11	GP	MH	
A model of strengths based person centred dementia care will be developed and piloted in residential and day dementia care services	Mar 12	GP	NA	
Higher dependency residential care model for people living with dementia incrementally disseminated across the care home sector.	Mar 12	GP/VG	NA/PF/VL	
The 'Singing for the Brain' day opportunity piloted in 2010/11 will be evaluated and built upon if it has proved to be successful.	Mar 12	VG	NA	
Unified Assessment procedures and recording will be revised to become more person centred and outcome focussed	Mar 12		CR/NA	
Provision of relevant training, support and coaching in person centred care across the sector	Mar 12		NA	
A person centred quality assurance framework will be developed in partnership with key stakeholders, including an observational audit tool	Jun 12		NA	
We will establish a pilot specialist domiciliary service for people with dementia. We will find out where good practice is taking place, including evidence from research findings	Jun 12		JC/NA	

APPENDIX 2

UPDATE ON THE TRANSFORMATION OF ADULT SOCIAL SERVICES (TASS) PROGRAMME

The Transformation of Adult Social Services Programme was developed to address increased demands within a context of decreasing resources and a challenging improvement agenda by generating innovative ideas across key stakeholders including service users and citizens which would lead to transformational change.

As further collaborations develop eg; Healthy Cities, integration with Health, Sustainability Project, Western Bay Board, the governance/communication arrangements will need to be reviewed.

There are three main pillars to the programme all of which have associated work streams, which have evolved over the previous two years.

1. SERVICE REMODELLING

Where we were

- Traditional building based, one size fits all Services
- Staff who were used to doing for, instead of doing with users.
- Services were often over subscribed with waiting lists or under capacity
- Reviews of individual users was undertaken to assess the appropriateness of services.
- Buildings were often not fit for purpose
- Only critical maintenance of buildings was undertaken
- The fabric and décor of the buildings was frequently criticised
- Work commenced on the development of a Business Plan to explore an alternative vehicle to deliver services
- A report to Cabinet recommended that a review of in house services should be undertaken to ascertain if target savings could be achieved without recourse to 'out sourcing'.

Where we are now:

- Using the learning from the LATC Business Planning process to help inform us on appropriate service remodelling
- Development of Commissioning plans informs commissioning / decommissioning/service reconfiguration
- Successful decommissioning of two respite Care Homes, a number of social centres, remodelling of traditional care home beds into rehab placements and introduction of a Swansea wide home care assessment and reablement service.
- The beginnings of a Specialist Dementia Service in certain localities e.g. (Care Homes and Day Service)
- Development of a Rapid Response Service in conjunction with Care Management Staff and District Nurses
- The development of locality working across Adult Services and move away from large traditional buildings
- Implementation of Person Centred Dementia component of the Corporate Outcomes Agreement 2010 – 2013.
- Links with Collaborative Communities to develop small scale Social Enterprises
- Creation of development post funded by Coastal to create alternative service models eg. Supported employment
- Developing Integrated Services with Health
- Incorporating the Sustainability report findings into the Reshaping and Remodelling of Services.
- Increasing concerns about the sustainability of independent sector domiciliary care market
- Increasing concerns about the condition of our buildings both internally and externally
- Still overly reliant on traditional services for older people
- Only critical maintenance of buildings is undertaken
- The fabric and décor of the buildings is frequently criticised.

Where we want to be:

- To have reshaped and remodeled services both internally and externally and integrated where appropriate.
- To have access to capital investment for new builds
- All services to become more personalized and relationship centered.
- Services will be flexible, innovative, effective and better value for money.
- New models of provision will be sustainable.
- To create less reliance on social services by signposting to universal services
- Increase in Direct Payments and citizen directed support.

2. REDESIGN OF OPERATING MODEL

Where we were

- A website that was no longer fit for purpose and did not provide information and advice in a way that supported people to reflect on their needs and identify their own solutions where appropriate
- Staff spending a large percentage of their time inputting data rather than working with citizens and communities to plan and achieve good outcomes
- A very bureaucratic approach to assessment and care management based on service user deficits rather than strengths and passing people between teams rather than giving them a designated care co-ordinator
- A tendency to slot people into services rather than identify creative and more cost effective solutions
- A tendency to put in a long term care package straight after a period of ill health or disability, which could undermine rather than promote their independence
- Resources allocated in an inconsistent and potentially unfair way, with little transparency or appropriate reviewing
- Rigid and inflexible time and task based Care Plans that did not always address the needs of the day.

Where we are now

- Team leaders and frontline staff are now more engaged through the work of the Assessment and Care Management (ACM) Development & Performance Group
- Health have committed to be a member of the TASS Board and have joint leads for the 3 pillars
- Members of Network 50+ have been recruited to support development work around case recording
- Domiciliary Care Process is being simplified via business process re engineering approach
- website development is progressing to support self assessment & signposting
- The ACM process has been reviewed and a new model agreed
- The Unified Assessment has been revised and templates should now be embedded in PARIS
- Out come Focused Carers assessments, including carers self assessment are being developed
- Paul Thomas experiment has concluded and lessons learned embedded
- A resource Allocation System is being considered (IORN) having discounted the RAS system as too bureaucratic
- A Choice and Positive Risk Framework has been development and implemented
- Rolling programme of person centred thinking training
- An on-line referral to Intake Team has been developed
- We are one of the lead authorities across Wales in relation to adopting a transformational change to embrace Citizen Directed Support and are regularly invited to consultation events by the Welsh Government.

Where we want to be

- We want to embed the following 9 stage approach to our operating model:
 - Managing the front door - better up front information and sign posting to support people in finding their own solutions. This would include web based self assessment tools and access to a directory of community resources, and supported self assessment via the Intake Team. (This will require resourcing in terms of ICT development days).
 - Initial engagement with citizens to follow the 'exchange model' assessment process through person centred thinking and outcome focussed conversations with users and carers, including essential health screening (this will require training, coaching and effective supervision as well as practice guidance).

- Working with individuals, families and communities to identify where natural networks of support can be supported and strengthened, and where possible avoid the inappropriate use of services and Social Services resources. (this will require training, coaching and effective supervision as well as consistent and comprehensive access to information and advice about community resources).
- When appropriate, offering a period of reablement in order to maximise the independence of people in need of support. (this will require effective partnership working with ABMU HB).
- Ensuring the fair and consistent allocation of resources to meet people's long term needs following a period of reablement or enablement (this will require a fair and consistent approach to FACS or any future guidance on eligibility and possibly and ICT based tool linked to PARIS).
- Develop holistic and person centred Support Plans rather than just Care Plans, that build on the strengths of individuals, families and communities.
- Apply clear and effective positive risk management to support person centred Support Plans screening (this will require training, coaching and effective supervision as well as practice guidance).
- More 'join up' between UA Support Plans and Service Delivery Plans developed by provider agencies – developing this in collaboration with service users and provider agencies (this will require ICT development days and other associated costs).
- Ensure regular and consistent outcome focussed service user and carer Reviews, including feedback to contract monitoring and commissioning. This will include an intelligent analysis of unmet needs (this will include training, coaching and effective supervision and also ICT development days).

3. REFOCUSING ON COMMUNITIES

Where were we

- Social work staff were spending a higher proportion of their time inputting data into computers than with service users.
- There was a default position of everyone being given a package of care rather than being linked into community resources.
- Social work staff no longer knew what was going on in local communities.
- Community development approaches were fragmented across the council and non-existent in Adult social Services
- There were patches of partnership working.

Where we are now

- There is a community Pillar steering group that brings key stakeholders together.
- The 5 GP networks are linked into by planning officers, operational staff and 3rd sector.
- A Local Area Coordination (LAC) Strategy is being developed and will link in with the Welsh (LAC) network.
- 5 Community connector posts are being created from existing resources to take forward the LAC approach.
- Volunteering and Reciprocity schemes are being explored.
- There are a variety of social / day opportunities that service users are moving into from traditional building based services.
- Review SLAs/contracts with voluntary organisations to refocus resources to support service users or potential service users in volunteering activities.
- Testing out joint working with SCVS, Communities First and Social Services in a number of communities e.g. Clase, Pontardulais, Sketty, Plasmari to identify gaps, opportunities and use of existing groups and facilities.

CENTRAL LOCALITY

- A weekly carers group has been set up.
- 56 referrals received for alternative provision
- SAIL/DIAL and the Citizens Alliance are using Cwmbwrla Day Centre and providing a welfare benefits advice service
- Local volunteering opportunities have been arranged and referrals to the Voluntary Sector.

NORTH LOCALITY

- Use of Gorseinon as a base for services has developed.
- Links with Gower College and Life Long continue to be made.
- Development of Forge Fach and Forget-me-Not Club (as part of Service Remodelling) to support move on and prevention.

WEST LOCALITY

- Increased numbers attending the Day opportunity groups.
- Arrangements made with University Volunteers to link in.
- Education and vocational courses offered to both service users and the local community.
- Local networking and links with local resources continue to develop.

Where we want to be

- Fully implement a Local Area Co-ordination strategy.
- To be an integral part of a corporate community development approach.
- Consensus that the 5 GP networks should form the hubs for joined up working across all agencies.
- Develop opportunities to test out mutual support systems, time-banking, cooperatives and mutual societies.
- Have a workforce skilled to be able to implement all of the above.

CABINET (10)

Labour Councillors:

Nicholas S Bradley	William Evans
June E Burtonshaw	David Phillips (Leader)
Mark C Child	J Christine Richards (Deputy Leader)
Sybil E Crouch	Rob C Stewart
C Ryland Doyle	Mitchell Theaker

Officers:

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Phil Roberts	Corporate Director (Regeneration & Housing)
Reena Owen	Corporate Director (Environment)
Richard Parry	Corporate Director (Education)
Phil Hodgson	Corporate Director (Social Services)
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Mike Hawes	Finance
Lee Wenham	Head of Marketing, Communications & Scrutiny
Patrick Arran	Head of Legal, Democratic Services & Procurement – Electronic and hard copy
Rod Jones	Deputy Head of Legal, Democratic Services & Procurement - Electronic only
Huw G Evans	Head of Democratic Services
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