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Am unrhyw ymholiad yn ymwneud â'r agenda hwn cysylltwch â Sharon Hughes
(Rhif Ffôn: 01443 864281 Ebst: hughesj@caerphilly.gov.uk)

Dyddiad: Dydd Mercher, 25 Medi 2019

Annwyl Syr/Fadam,

Bydd cyfarfod **Pwyllgor Craffu Polisi ac Adnoddau** yn cael ei gynnal yn **Ystafell Sirhywi - Tŷ Penallta, Tredomen, Ystrad Mynach** ar **Dydd Mawrth, 1af Hydref, 2019** am **5.30 pm** i ystyried materion a gynhwysir yn yr agenda canlynol. Gall cynghorwyr a'r cyhoedd sy'n dymuno siarad am unrhyw eitem wneud hynny drwy wneud cais i'r Cadeirydd. Mae croeso i chi hefyd ddefnyddio'r Gymraeg yn y cyfarfod. Mae'r ddau gais hyn yn gofyn am gyfnod rhybudd o 3 diwrnod gwaith, a bydd cyfieithu ar y pryd yn cael ei ddarparu os gofynnir amdano.

Mae pob cyfarfod Pwyllgor yn agored i'r Wasg a'r Cyhoedd. Gofynnir i arsylwyr a chyfranogwyr ymddwyn gyda pharch ac ystyriaeth at eraill. Sylwer y bydd methu â gwneud hynny yn golygu y gofynnir i chi adael y cyfarfodydd ac efallai y cewch eich hebrwng o'r safle.

Yr eiddoch yn gywir,

A handwritten signature in black ink, appearing to read 'Christina Harrhy'.

Christina Harrhy
PRIF WEITHREDWR DROS DRO

AGENDA

Tudalennau

- 1 I dderbyn ymddiheuriadau am absenoldeb
- 2 Datganiadau o Ddiddordeb.

Atgoffi'r Cynghorwyr a Swyddogion o'u cyfrifoldeb personol i ddatgan unrhyw fuddiannau personol a/neu niweidiol mewn perthynas ag unrhyw eitem o fusnes ar yr agenda hwn yn unol â Deddf Llywodraeth Leol 2000, Cyfansoddiad y Cyngor a'r Cod Ymddygiad ar gyfer Cynghorwyr a Swyddogion.

A greener place Man gwyrddach

Correspondence may be in any language or format | Gallwch ohebu mewn unrhyw iaith neu fformat



I gymeradwyo a llofnodi'r cofnodion canlynol:-

- | | | |
|---|--|--------|
| 3 | Pwyllgor Craffu Polisi ac Adnoddau a gynhaliwyd ar 9fed Gorffennaf 2019. | 1 - 4 |
| 4 | Ystyried unrhyw fater a gyfeiriwyd at y Pwyllgor hwn yn unol â'r drefn galw i mewn. | |
| 5 | Rhaglen Waith y Dyfodol Pwyllgor Craffu Polisi ac Adnoddau. | 5 - 14 |
| 6 | I dderbyn ac ystyried yr adroddiadau* Cabinet canlynol:-
<ol style="list-style-type: none">1. Adolygiad o'r Cynllun Corfforaethol (2018-2023) 2019 – 10fed Gorffennaf 2019;2. Ystyried Cais Galw i Mewn - Newidiadau Arfaethedig mewn Ffioedd a Thaliadau – 10fed Gorffennaf 2019;3. Y Lluoedd Arfog - Cynllun Gwarantu Cyfweiliad – 10fed Gorffennaf 2019;4. Blaenraglen Waith y Cabinet – 10fed Gorffennaf 2019;5. Blaenraglen Waith y Cabinet – 18fed Medi 2019. | |

**Os oes aelod o'r Pwyllgor Craffu yn dymuno i unrhyw un o'r adroddiadau Cabinet uchod i gael eu dwyn ymlaen ar gyfer adolygiad yn y cyfarfod, cysylltwch â Sharon Hughes, 01443 864281, erbyn 10.00 a.m. ar ddydd Gwener, 30ain Medi 2019.*

I dderbyn ac ystyried yr adroddiadau Craffu canlynol:-

- | | | |
|---|--|---------|
| 7 | Alldro Cyfalaf 2018/19. | 15 - 24 |
| 8 | Gwasanaethau Corfforaethol a Chyllid Amrywiol – Adroddiad Monitro Cyllideb 2019/20 (Cyfnod 4). | 25 - 34 |
| 9 | Rhaglen Gaffael (2018–2023) a Llywodraethu Gwybodaeth – Diweddariad. | 35 - 72 |

Cylchrediad:

Cynghorwyr M.A. Adams, Mrs E.M. Aldworth, K. Etheridge, Mrs C. Forehead, Miss E. Forehead, L. Harding, G. Johnston, G. Kirby (Is Gadeirydd), C.P. Mann, B. Miles, J. Pritchard (Cadeirydd), J. Ridgewell, R. Saralis, Mrs M.E. Sargent, J. Taylor a L.G. Whittle

A Swyddogion Priodol

SUT FYDDWN YN DEFNYDDIO EICH GWYBODAETH

Bydd yr unigolion hynny sy'n mynychu cyfarfodydd pwyllgor i siarad/roi tystiolaeth yn cael eu henwi yng nghofnodion y cyfarfod hynny, weithiau bydd hyn yn cynnwys eu man gweithio neu fusnes a'r barnau a fynegir. Bydd cofnodion o'r cyfarfod gan gynnwys manylion y siaradwyr ar gael i'r cyhoedd ar wefan y Cyngor ar www.caerffili.gov.uk. ac eithrio am drafodaethau sy'n ymwneud ag eitemau cyfrinachol neu eithriedig.

Mae gennych nifer o hawliau mewn perthynas â'r wybodaeth, gan gynnwys yr hawl i gael mynediad at wybodaeth sydd gennym amdanoch a'r hawl i gwyno os ydych yn anhapus gyda'r modd y mae eich gwybodaeth yn cael ei brosesu. Am wybodaeth bellach ar sut rydym yn prosesu eich gwybodaeth a'ch hawliau, ewch i'r Hysbysiad Preifatrwydd Cyfarfodydd Pwyllgor Llawn ar ein gwefan <http://www.caerffili.gov.uk/Pwyllgor/Preifatrwydd> neu cysylltwch â Gwasanaethau Cyfreithiol drwy e-bostio griffd2@caerffili.gov.uk neu ffoniwch 01443 863028.



POLICY AND RESOURCES SCRUTINY COMMITTEE

MINUTES OF THE MEETING HELD AT PENALLTA HOUSE, YSTRAD MYNACH ON
TUESDAY, 9TH JULY 2019 AT 5.30 P.M.

PRESENT:

Councillor J. Pritchard - Chair
Councillor G. Kirby - Vice-Chair

Councillors:

M. Adams, Mrs E.M. Aldworth, K. Etheridge, Miss E. Forehead, L. Harding, C.P. Mann, Mrs B. Miles, J. Ridgewell, R. Saralis, Mrs M.E. Sargent, J. Taylor, L. Whittle

Cabinet Members:

C. Gordon (Corporate Services), Mrs B. Jones (Finance, Performance and Governance)

Together with:

S. Harris (Interim Head of Business Improvement Services), L. Lucas (Head of Customer and Digital Services), R. Tranter (Head of Legal Services and Monitoring Officer), M. Williams (Interim Head of Property Services), C. Forbes-Thompson (Scrutiny Manager), R. Barrett (Committee Services Officer)

1. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillors Mrs C. Forehead and G. Johnston.

2. DECLARATIONS OF INTEREST

There were no declarations of interest received at the commencement or during the course of the meeting.

3. MINUTES – 28TH MAY 2019

RESOLVED that the minutes of the Policy and Resources Scrutiny Committee held on 28th May 2019 (minute nos. 1 - 10) be approved as a correct record and signed by the Chair.

4. CALL-IN PROCEDURE

There had been no matters referred to the Scrutiny Committee in accordance with the call-in procedure.

5. POLICY AND RESOURCES SCRUTINY COMMITTEE FORWARD WORK PROGRAMME

Cath Forbes-Thompson (Interim Head of Democratic Services) presented the report, which outlined details of the Policy and Resources Scrutiny Committee Forward Work Programme (FWP) for the period July 2019 to April 2020, and included all reports that were identified at the Scrutiny Committee meeting on 28th May 2019.

Members considered the forward work programme and agreed that a report on a Commercial Strategy be scheduled for the meeting on 1st October 2019, and that a 6-month update on the Transformation Strategy be added to the meeting for 12th November 2019. The Committee also agreed that a report on Sickness Absence be added to the Forward Work Programme (with a date to be confirmed).

Subject to the foregoing amendments, it was unanimously agreed that the Policy and Resources Scrutiny Committee Forward Work Programme be published on the Council's website.

6. CABINET REPORTS

None of the Cabinet reports listed on the agenda had been called forward for discussion at the meeting.

REPORTS OF OFFICERS

Consideration was given to the following report.

7. YEAR END PERFORMANCE REPORT FOR CORPORATE SERVICES 2018/19

The Cabinet Member for Finance, Performance and Governance introduced the report, which provided Members with a performance update for the Corporate Services Directorate during 2018/19. The report set out the performance of each team within Corporate Services over the last twelve months, as well as defining the challenges ahead, the key objectives and priorities for the next twelve months and the areas where performance could be improved.

Members were reminded that during 2018/19, Corporate Services was amalgamated with Education to form the Education and Corporate Services Directorate, and that it was important to consider the performance in the context of a period of significant transition. The Scrutiny Committee were asked to note the evidence of strong performance right across Corporate Services, much of which has been achieved through excellent team working and support from across the function. Members were asked to consider the content of the report and, where appropriate, question and challenge the levels of performance presented.

Heads of Service for the Corporate Services Directorate were in attendance and invited questions from Members regarding performance across their individual service areas.

Corporate Finance

Reference was made to future challenges facing the Corporate Finance team, particularly the reduction in the Benefits Administration grant, uncertainty around New Burdens funding and the effect on Universal Credit. Officers explained that many funding streams are only committed year on year and that there are implications around the wider aspect of the grant of Universal Credit.

A Member expressed concerns regarding the significant demands on finance staff arising from the ongoing austerity programme and the need to make continual savings. Officers explained that Heads of Service are continually reviewing and monitoring the situation but that

the situation is reflective of the cost-saving measures occurring across the Authority.

Corporate Policy

Reference was made to the Wellbeing Objectives in 6 key areas of work within the 5-year Corporate Plan. A Member suggested that it would be helpful to have greater information on these areas in future Annual Performance reports, together with details of the Scrutiny Committees that these have been reported to.

Clarification was sought on the new fixed-term Transformation Manager posts within the Corporate Policy Unit. Officers explained that details of these had been included in the Future Caerphilly Transformation Strategy report presented at the last meeting, which focused on the new **#TeamCaerphilly** model of working, and offered to forward the job descriptions to the Member following the meeting.

A Member referred to the deletion of a Policy Officer post from the structure and expressed concerns that this would place additional pressure on other staff. Officers explained that this deletion had been agreed by full Council as part of the Medium-Term Financial Plan savings; however, Welsh Government has provided funding to backfill lost capacity by local authorities in relation to implications assessment planning around Brexit. This funding will allow for the creation of a fixed term post to focus on Brexit and share the workload of the Policy Team.

People Services

Clarification was sought on how performance against the Council's Communications and Engagement Strategy can be measured. It was confirmed that further information on the measurement tools used for the Council's digital communication channels would be circulated to Members following the meeting.

The Committee discussed authority-wide compulsory redundancies and the predominance in schools in 2018/19 (26 out of 31 cases) and clarification was sought on the reasons for this. Officers explained that the majority of these cases relate to the closure of Cwmcarn High School, but that these can also be due to budget pressures in schools, and that posts can reflect the numbers on roll. The Officer confirmed that he would discuss this matter further with the Director and respond to Members in due course.

Across Health and Safety, the Scrutiny Committee noted the drop in fire risk assessments over the last two years as a result of them taking longer to produce, and sought further information on the increase in processing time. The Cabinet Member for Corporate Services explained that a presentation on this topic had recently been delivered to the Corporate Health and Safety Committee, but gave assurances that all due processes are being followed in regards to fire safety and that he would ask Officers to provide this detail to Members following the meeting.

A Member referred to the Council's communication in the event of situations such as road resurfacing works and suggested that it would be helpful for a greater period of notice when cascading this information to residents. Officers confirmed that they would highlight this issue with the relevant departments.

Property Services

Concerns were expressed regarding the significant number of overdue tasks associated with Fire Risk Assessments in schools. Officers explained that this issue is cyclical in nature in that older assessments will be closed out but then new ones arise, so it is likely that there will always be a number of overdue tasks. However, it is also the case that many tasks have been outstanding for some time and the Statutory Maintenance Board is focused on improving the situation. Relevant building managers have been reminded to promptly action housekeeping tasks and to instruct physical works where required. The situation is being closely monitored and an escalation procedure is in place where progress is unacceptable. Significant progress is expected in Autumn 2019.

Customer and Digital Services

The Committee discussed performance across Procurement Services and the increase in local Welsh Purchasing Consortium Supplier spend. Members sought clarification on future work for local WHQS contractors after the programme is concluded in 2020. Officers explained that upon completion of the contract in 2020, there will be opportunities for contractors to bid for ongoing work in other areas. A Member asked what percentage of contracts are awarded to SMEs (small to medium sized enterprises) and it was confirmed that further information would be circulated to the Committee following the meeting. Members also discussed payment of the living wage, and Officers explained that the Council can only encourage such payments between its contractors and staff, as it is unable to legally enforce this matter.

In discussing the Contact Centre Service, Members expressed a need for service requests to be followed through to their conclusion with the relevant service area. Officers explained that they are looking to improve the recording element via the Abavus programme and that once the Council's Customer and Digital Strategy has been implemented, customers will be able to follow the progress of their request.

Legal and Democratic Services

The Committee discussed the continuing challenges faced by Legal Services arising from the increasing number of active child welfare cases. A Member queried what percentage of the budget is allocated to the Council's Child Care Solicitors, and Officers confirmed that they would circulate this information to Members following the meeting.

A Member referred to the charges levied for Community and Town Councils during elections/by-elections, and made particular reference to the charge for the provision of polling cards. Officers confirmed that they would make enquiries with the Electoral Services Manager regarding this matter and respond to the Member in due course.

Sickness Absence in 2018/19 for Corporate Services

The Committee discussed sickness absence across Corporate Services and suggested that it would be useful for the 2017/18 sickness levels to be provided for comparison. Officers confirmed that they would arrange for this information to be circulated to Members following the meeting. A Member congratulated Property Services on their successful drive to reduce levels of sickness absence (from 7.2% in 2016/17 to 2.6% in 2018/19) and suggested that these measures could be adopted as an example of good practice

The Cabinet Member for Corporate Services emphasised to Members that sickness absence continues to be treated as a priority, and that sickness levels are beginning to decrease across the authority. He reminded the Scrutiny Committee that over 80% of the Council's workforce lose no time through sickness, and that there are long-term cases where the Council needs to offer its support to its employees. Overall, the situation is improving, and the Cabinet Member confirmed that he would ask the Head of People Services to circulate some more recent data to the Committee in this regard.

Having fully considered the report, the Scrutiny Committee noted its contents and the progress made against performance objectives within the Corporate Services Directorate for 2018/19.

The meeting closed at 6.25 p.m.

Approved as a correct record and subject to any amendments or corrections agreed and recorded in the minutes of the meeting held on 1st October 2019, they were signed by the Chair.

CHAIR



POLICY AND RESOURCES SCRUTINY COMMITTEE – 1ST OCTOBER 2019

SUBJECT: POLICY AND RESOURCES SCRUTINY COMMITTEE FORWARD WORK PROGRAMME

REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND CORPORATE SERVICES

1. PURPOSE OF REPORT

1.1 To report the Policy and Resources Scrutiny Committee Forward Work Programme.

2. SUMMARY

2.1 Forward Work Programmes are essential to ensure that Scrutiny Committee agendas reflect the strategic issues facing the Council and other priorities raised by Members, the public or stakeholders.

3. RECOMMENDATIONS

3.1 That Members consider any changes and agree the final forward work programme prior to publication.

4. REASONS FOR THE RECOMMENDATIONS

4.1 To improve the operation of scrutiny.

5. THE REPORT

5.1 The Policy and Resources Scrutiny Committee forward work programme includes all reports that were identified at the scrutiny committee meeting on 9th July, 2019. The work programme outlines the reports planned for the period October 2019 to April 2020.

5.2 The forward work programme is made up of reports identified by officers and members. Members are asked to consider the work programme alongside the cabinet work programme and suggest any changes before it is published on the council website. Scrutiny committee will review this work programme at every meeting going forward alongside any changes to the cabinet work programme or report requests.

5.3 The Policy and Resources Scrutiny Committee Forward Work Programme is attached at Appendix 1, which presents the current status as at 9th September 2019. The Cabinet Work Programme is attached at Appendix 2. A copy of the prioritisation flowchart is attached at appendix 3 to assist the scrutiny committee to determine what items should be added to the

forward work programme.

5.4 **Conclusion**

The work programme is for consideration and amendment by the scrutiny committee prior to publication on the council website.

6. **ASSUMPTIONS**

6.1 No assumptions are necessary.

7. **LINKS TO RELEVANT COUNCIL POLICIES**

7.1 The operation of scrutiny is required by the Local Government Act 2000. The Local Government Wales Measure 2011 and subsequent Statutory Guidance include requirements to publicise the work of scrutiny committees. The operation of scrutiny committee forward work programmes was agreed following decisions by Council in October 2013 and October 2015.

7.2 **Corporate Plan 2018-2023.**

Scrutiny Committee forward work programmes contributes towards and impacts upon the Corporate Well-being Objectives by ensuring that the Executive is held to account for its Corporate Objectives, which are:

Objective 1 - Improve education opportunities for all

Objective 2 - Enabling employment

Objective 3 - Address the availability, condition and sustainability of homes throughout the county borough and provide advice, assistance or support to help improve people's well-being

Objective 4 - Promote a modern, integrated and sustainable transport system that increases opportunity, promotes prosperity and minimises the adverse impacts on the environment

Objective 5 - Creating a county borough that supports a healthy lifestyle in accordance with the sustainable Development Principle within the Wellbeing of Future Generations (Wales) Act 2015

Objective 6 - Support citizens to remain independent and improve their well-being

8. **WELL-BEING OF FUTURE GENERATIONS**

8.1 The Forward Work Programmes contribute to the following Well-being Goals within the Well-being of Future Generations Act (Wales) 2016 by ensuring there is an effective scrutiny function and that council policies are scrutinised against the following goals:

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

9. EQUALITIES IMPLICATIONS

9.1 There are no specific equalities implications arising as a result of this report.

10. FINANCIAL IMPLICATIONS

10.1 There are no specific financial implications arising as a result of this report.

11. PERSONNEL IMPLICATIONS

11.1 There are no specific personnel implications arising as a result of this report.

12. CONSULTATIONS

12.1 There are no consultation responses that have not been included in this report.

13. STATUTORY POWER

13.1 The Local Government Act 2000, The Local Government (Wales) Measure 2011.

Author: Mark Jacques, Scrutiny Officer

Consultees: Richard Edmunds, Corporate Director for Education and Corporate Services
Robert Tranter, Head of Legal Services/ Monitoring Officer
Lisa Lane, Head of Democratic Services and Deputy Monitoring Officer, Legal Services
Councillor James Pritchard, Chair Policy and Resources Scrutiny Committee
Councillor Gez Kirby, Vice Chair Policy and Resources Scrutiny Committee

Appendices:

Appendix 1 Policy and Resources Scrutiny Committee Forward Work Programme
Appendix 2 Cabinet Forward Work Programme
Appendix 3 Forward Work Programme Prioritisation Flowchart

Appendix 1 - Forward Work Programme - Policy & Resources

Date	Title	Key Issues	Author	Cabinet Member
1st October 2019				
	Capital Outturn 2018/19	Ensuring capital spend is within approved allocations.	Harris, Stephen	Cllr. Jones, Barbara
	Corporate Services & Miscellaneous Finance - Budget Monitoring - Period 4	To ensure members are aware of any issues in respect of services overspending.	Harris, Stephen	Cllr. Jones, Barbara;
	Procurement and Information Services	Summarise work on the implementation of the Council's Programme for Procurement (Strategy) and the Code of Practice, Ethical employment in Supply chains agreed in May 2018. Including associated key performance indicators information. Summarise GDPR work since last update to P&R Scrutiny (4 July 2018), together with planned work to assure information going forwards. Also detailed appendices providing stats.	Evans, Ian;	Cllr. Gordon, Colin J;
12th November 2019				
	Treasury management half year report 2019/20	Ensuring level of investment income on target to budget for 2019/20 and advise of borrowing for 2019/20.	Harris, Stephen	Cllr. Jones, Barbara
	Transformation Strategy – 6th month update		Harris, Stephen	
	Sickness /Absence	Effectiveness of the Wellbeing Strategy	Donovan, Lynne;	Cllr. Gordon, Colin J;
	Commercial Strategy		Harris, Stephen	Cllr. Jones, Barbara;
11th December 2019				
	Draft Savings proposals	To ensure members are given the opportunity to scrutinise the Cabinet's Draft Budget proposals for 2020/21.	Harris, Stephen	Cllr. Jones, Barbara;
14th January 2020				
	Update on Reserves	Ensuring Authority is open and transparent about what reserves are held for and why.	Harris, Stephen	Cllr. Jones, Barbara;
	Whole Authority Budget Monitoring	Ensuring budget monitoring reports are presented and members are given the opportunity to see how spend is progressing against budget to ensure services spend within Council approved limits.	Harris, Stephen	Cllr. Jones, Barbara;
	Treasury Management Strategy	To ensure members have the opportunity to ask questions and propose changes for Full Council to consider in respect of the TM Strategy.	Harris, Stephen	Cllr. Jones, Barbara;
	Caerphilly County Borough Council's Strategic Equality Plan 2020-2024	To seek approval of the Strategic Equality Plan 2020-2024 to be formally adopted as Council Policy.	Cullinane, Anwen	Cllr. Jones, Barbara;

25th February 2020				
	Treasury management – Period 9	Ensuring level of investment income on target to budget for 2019/20 and advise of borrowing for 2019/20.	Harris, Stephen	Cllr. Jones, Barbara;
1st October 2019				
	Information Item - Treasury Management Outturn 2018/19	To advise members of the actual audited outturn position for 2019/20, in accordance with CIPFA best practice.	Harris, Stephen	Cllr. Jones, Barbara;
	Information Item - Discretionary Rate Relief Application	To advise members of the proposal to award 100% discretionary rate relief and the financial implications of doing so.	Harris, Stephen	Cllr. Jones, Barbara;
14th January 2020				
	Information Item - Write off Debts	To comply with Financial Regulations	Harris, Stephen	Cllr. Jones, Barbara;
	Information Item - Capital budget monitoring 2019/20 -Period 7	To ensure members are aware of any issues in respect of capital expenditure.	Harris, Stephen	Cllr. Jones, Barbara;
	Information Item - Capital Strategy 2020/21	To ensure members have an opportunity to call this report to the Agenda if they wish to ask questions and raise comments /or changes prior to Council approval.	Harris, Stephen	Cllr. Jones, Barbara;
	Information Item - Corporate Services & Miscellaneous Finance - Budget Monitoring - Period 7	To ensure members are aware of any issues in respect of services overspending.	Harris, Stephen	Cllr. Jones, Barbara;
	Information Item - Performance Management – 6 month update			

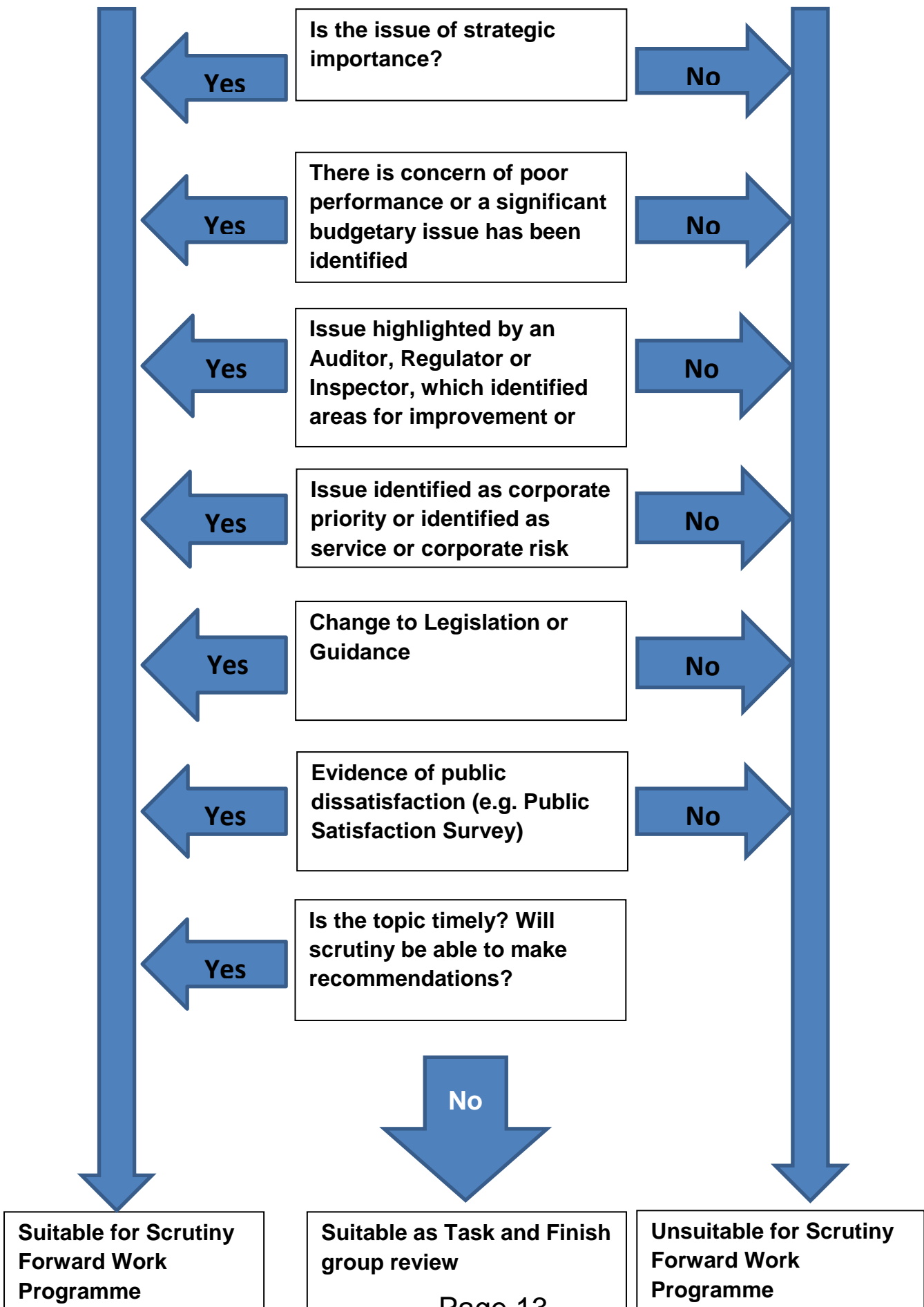
Appendix 2 - Forward Work Programme - Cabinet

Date	Title	Key Issues	Author	Cabinet Member
02/10/19	Updated Code of Corporate Governance and Terms of Reference	To approve the updated code	Harris, Stephen R	Cllr. Jones, Barbara
02/10/19	Authorisation of Officers in Public Protection- EU Exit	To inform Cabinet of changes to the legislation required as a result of the UK's exit from the European Union to ensure a seamless transition of Public Protection functions after this event. The Monitoring Officer will amend the constitution to reflect this change.	Hartshorn, Robert	Cllr. Stenner, Eluned
02/10/19	Pentrebane Street, Caerphilly - Possibe use of CPO Powers	This report seeks Cabinet approval to instigate CPO proceedings on three freeholders of properties at Pentrebane Street that are identified for demolition to facilitate a mixed use regeneration scheme in partnership with Linc Housing Association. A mixture of Welsh Government Targeted Regeneration Investment funding, WG Social Housing Grant and Linc's own finances have been identified to fund the demolition and redevelopment.	Kyte, Rhian	Cllr. Morgan, Sean
02/10/19	National Development Framework Consultation Response	To seek Cabinet approval for a response to the consultation on the National Development Framework.	Kyte, Rhian	Cllr. Stenner, Eluned
02/10/19	ERDF 4.4 Funding opportunities - The Lawn Industrial Estate, Rhymney and Ty Du, Nelson	This report outlines the opportunities open to the Council to bid for additional ERDF monies for for each of these live European funded employment new build projects. The report requests the necessary match funding be made available to secure these additional funds.	Kyte, Rhian	Cllr. Morgan, Sean
16/10/19	Annual Improvement Report 2018/19	To present the Annual Improvement Report for 2018/19	Harris, Stephen R	Cllr. Jones, Barbara
16/10/19	Annual Performance Report 2018	To discuss and present the draft Annual Performance Report	Roberts, Ros	Cllr. Jones, Barbara
16/10/19	Corporate Volunteering	To consider our options for the establishment of a Corporate Volunteering Scheme on a Directorate or Whole Organisation basis.	Peters, Kathryn	Cllr. Cuss, Carl J.

16/10/19	Land at Pontymister Industrial Estate	The matter has been consulted on with local Risca members and 2 of the 5 members have raised objections to the proposed sale principle. While any development would be subject to planning considerations, the scrutiny committee's views are being sought on the principle of the sale prior to consideration by cabinet.	Williams, Mark	Cllr. Phipps, Lisa
16/10/19	Free Swim Initiative	Changes to Grant Funding to deliver the Welsh Government Free Swimming Initiative	Reynolds, Jeff	Cllr. George, Nigel
30/10/19	Future Management Arrangements - Cwmcarn Drive	For Cabinet to consider a partnership agreement with NRW in respect of future management arrangements for the re-opening of the forest drive.	Kyte, Rhian	Cllr. Morgan, Sean
30/10/19	Chartist Gardens - Development Options	To seek approval of the development proposal and associated financial model prior to submitting scheme for planning approval.	Couzens, Shaun; Williams, Mark	Cllr. Phipps, Lisa
30/10/19	Respite Care Provision	Possible relocation of current respite facilities to a bespoke facility dependent on funding from WG	Williams, Jo	Cllr. Cuss, Carl J.
13/11/19	20/21 Draft Budget Proposals	To discuss the draft budget proposals	Harris, Stephen R	Cllr. Jones, Barbara
13/11/19	Proposed Use of Reserves	To consider proposals for the use of reserves.	Harris, Stephen R	Cllr. Jones, Barbara
13/11/19	Integrated Wellbeing Hubs	To provide an update to Cabinet	Street, Dave	Cllr. Cuss, Carl J.
13/11/19	(9) Structured programme of service reviews to be agreed	Strategic Action Plan - item to be agreed.	Harris, Stephen R	Cllr. Jones, Barbara
13/11/19	(11) Commercial and Investment Strategy to be drafted and approved by Cabinet	Strategic Plan - item to be approved	Harrhy, Christina	Cllr. Jones, Barbara
27/11/19	Renewable Energy Generation - Tredomen Campus	To present a basket of options to Cabinet for achieving carbon neutrality at the Tredomen Campus	Williams, Mark	Cllr. Morgan, Sean
11/12/19	Cabinet Forward Work Programme	For discussion and update	Tranter, Robert J.	Cllr. Jones, Barbara
15/01/20	Community Asset Transfer Policy to be finalised and approved by Cabinet (16-#Team Caerphilly Strategic Action Plan)	Approval by Cabinet of Community Asset Transfer Policy	Harris, Stephen R	Cllr. Phipps, Lisa

15/01/20	Community Sport - Regional agenda	To consider future delivery options for community sport on a regional (pan "Gwent") basis.	Lougher, Jared	Cllr. George, Nigel
15/01/20	Develop a Consultation and Engagement Framework to support empowered communities to come on this journey with us. - (17- #Team Caerphilly Strategic Action Plan)		Harrhy, Christina	Cllr. Jones, Barbara
29/01/20	Strategic Equality Plan		Cullinane, Anwen	Cllr. Jones, Barbara
12/02/20	Heads of the Valleys Masterplan	The report is seeking the view of members prior to its presentation to Cabinet, where Cabinet will be asked to endorse the Draft Masterplan as the basis for a public consultation exercise.	Kyte, Rhian	Cllr. Stenner, Eluned
11/03/20	EAS Business Plan		Cole, Keri	Cllr. Marsden, Philippa
	Hafodyrynys Air Quality Direction - Compulsory Purchase Order Process	To obtain Cabinet agreement on the Compulsory Purchase process on Hafodyrynys Road.	Godfrey, Maria	Cllr. Stenner, Eluned

Scrutiny Committee Forward Work Programme Prioritisation



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POLICY AND RESOURCES SCRUTINY COMMITTEE – 1ST OCTOBER 2019

SUBJECT: CAPITAL OUTTURN 2018/19

**REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND
CORPORATE SERVICES**

1. PURPOSE OF REPORT

- 1.1 To provide information to Members relating to the capital outturn for the 2018/19 financial year.

2. SUMMARY

- 2.1 The report provides details of actual capital expenditure for the 2018/19 financial year and slippage that has been requested to be carried forward into 2019/20.

3. RECOMMENDATIONS

- 3.1 Members are asked to note the contents of this report.

4. REASONS FOR THE RECOMMENDATIONS

- 4.1 To advise Members of the outturn of the 2018/19 Capital Programme.

5. THE REPORT

- 5.1 The approved Capital Programme for the 2018/19 financial year totalled £69.45m, consisting of £13.65m for the General Fund and £55.80m for the Housing Revenue Account (HRA). During the year specific grants, slippage and contributions were received for various service areas taking the total available capital resources for 2018/19 to £120.74m. This is summarised in the table below: -

	General Fund £000s	HRA £000s	Total £000s
Approved 2018/19 Budget	13,652	55,801	69,453
Slippage Brought Forward from 2017/18	27,404	0	27,404
In Year Grants, Contributions	9,797	(170)	9,627
S106 Funding	4,139	0	4,139
Revenue Contribution to Capital Outlay (RCCO)	4,794	0	4,794
Other Funding	5,026	294	5,320
Total:-	64,812	55,925	120,737

5.2 The following table provides a summary of the 2018/19 outturn against each service area: -

Capital Programme	Revised Estimated Target Spend £000s	Outturn Capital Spend £000s	Variance £000s
Community & Leisure Services	3,674	1,572	2,102
Corporate Finance	3,079	-	3,079
Corporate Services	12,995	1,890	11,105
Economic Development & Regeneration	168	123	45
Education	9,768	5,568	4,200
Infrastructure	17,243	11,065	6,178
Land Reclamation	2,145	0	2,145
Private Housing	4,952	2,229	2,723
Property Services	3,612	1,802	1,810
Public Protection	877	652	225
Social Services	4,548	1,364	3,184
Urban Renewal	1,751	388	1,363
General Fund Total: -	64,812	26,653	38,159
HRA Total: -	55,925	51,972	3,953
Total Capital Programme: -	120,737	78,625	42,112

5.3 The 2018/19 Housing Revenue Account (HRA) underspend of £3.95m will be carried forward into the 2019/20 financial year to support the ongoing programme of works to meet the Welsh Housing Quality Standard (WHQS).

5.4 The General Fund variance of £38.16m can be split between schemes that are ongoing or have been delayed in 2018/19 (slippage), ring-fenced budgets and schemes that have resulted in overspends as at 31 March 2019.

- 5.5 **Slippage:** Schemes to the value of £14.56m have been slipped into 2019/20 as a result of an ongoing program of works and delays in contractual arrangements. Appendix 1 sets out the schemes where slippage has occurred.
- 5.6 **Ring-fenced budgets:** As at 31 March 2019, a number of ring-fenced budgets remained unspent to the value of £23.62m. These budgets relate to specific grants, contributions and Section 106 monies or earmarked revenue funding transferred to a capital reserve. Appendix 2 provides a breakdown of the £23.62m.
- 5.7 **Overspends:** As at 31 March 2019, overspend of £17.3k were reported. Further details are provided in Appendix 3.

6. ASSUMPTIONS

- 6.1 The details set out in the report are based on actual expenditure between 1st April 2018 and 31st March 2019.

7. LINKS TO RELEVANT COUNCIL POLICIES

- 7.1 The contents of this report are in accordance with the Budget Strategy agreed by Council at its meeting on the 22nd February 2018.
- 7.2 Prudent financial management contributes to the following Well-being Goals within the Well-being of Future Generations Act (Wales) 2015:-
- A prosperous Wales.
 - A resilient Wales.
 - A healthier Wales.
 - A more equal Wales.
 - A Wales of cohesive communities.
 - A Wales of vibrant culture and thriving Welsh Language.
 - A globally responsible Wales.

8. WELL-BEING OF FUTURE GENERATIONS

- 8.1 Effective financial management is a key element in ensuring that the Well-being Goals within the Well-being of Future Generations Act (Wales) 2015 are met.

9. EQUALITIES IMPLICATIONS

- 9.1 This report is for information purposes, so the Council's Equalities Impact Assessment (EqIA) process does not need to be applied.

10. FINANCIAL IMPLICATIONS

- 10.1 As detailed throughout the report.

11. PERSONNEL IMPLICATIONS

11.1 There are no personnel implications arising from this report.

12. CONSULTATIONS

12.1 There are no consultation responses that have not been reflected in this report.

13. STATUTORY POWER

13.1 Local Government Acts 1972 and 2003.

Author: N. Akhtar – Group Accountant- Treasury Management & Capital
E-mail: akhtar@caerphilly.gov.uk

Consultees: R. Edmunds - Corporate Director of Education and Corporate Services
S. Harris - Interim Head of Business Improvement Services & Acting S151 Officer
A. Southcombe – Finance Manager, Corporate Finance
Cllr B. Jones - Deputy Leader and Cabinet Member for Finance, Performance and Governance

Appendices:

Appendix 1 – 2018/19 Slippage

Appendix 2 – 2018/19 Ring-fenced Budgets

Appendix 3 – 2018/19 Overspend

Background Papers:

Budget Monitoring Reports 2018/19

Capital Outturn Report 2017/18

Appendix 1: 2018/19 Slippage

Service Area	Scheme	Outturn Position 31/03/2018 £000s	Comments
Community & Leisure Services	Cemeteries	952	Ongoing works at Caerphilly cemetery
Community & Leisure Services	Various Capital Schemes	65	Ongoing delivery of programme (Sports pitches and Countryside)
Corporate Services	Various Capital Schemes	60	Ongoing delivery of programme (IT Services and Customer Services)
Economic Development	Cwmcarn Subway Feeder Rd	13	Works programmed for summer 2019
Education	Health & Safety Regulatory Works	206	Works programmed for summer 2019
Education	Basic Needs Accommodation	235	Works programmed for summer 2019
Education	Asset Management	923	Works programmed for summer 2019
Education	Various Capital Schemes	142	Ongoing delivery of programme
Infrastructure	Infrastructure Retaining Walls	392	Ongoing delivery of programme
Infrastructure	Highways reconstruction	1,475	Ongoing delivery of programme
Infrastructure	Various Capital Schemes	24	Ongoing delivery of programme
Infrastructure	A472 Drainage Nelson	563	Works to commence 2019/20
Infrastructure	Land Drainage- Corporate	292	Ongoing delivery of programme
Infrastructure	Land Drainage	116	Ongoing delivery of programme
Infrastructure	Corporate Maintenance Tips Mines Spoils	403	Works to commence in 2019/20
Infrastructure	Monmouth & Brecon Canal.	334	Ongoing delivery of programme
Infrastructure	Salix Street lighting Programme	1,000	Ongoing delivery of programme
Infrastructure	Passenger Transport Capital	382	Ongoing delivery of programme
Private Housing	Disabled Facility Grants	411	Ongoing delivery of programme
Private Housing	Home Imp Grants/Misc.	97	Ongoing delivery of programme
Private Housing	Home Repair Grant	484	Ongoing delivery of programme

Property Services	Corporate Asset Management	68	Ongoing delivery of programme
Property Services	Demolition Pontllanfraith School	1,035	Ongoing delivery of programme
Property Services	Former Meals On Wheels Pengam	221	Scheme under review
Public Protection	Various Capital Schemes	25	Ongoing delivery of programme
Public Protection	Ty Llwyd Landfill Site	200	Drainage solution at design stage. Works to commence in Autumn 2019
Social Services	Children's Centre Complex Needs	3,069	Scheme at design stage
Social Services	Various Capital Schemes	115	Ongoing delivery of programme
Urban Renewal	Various Capital Schemes	241	Ongoing delivery of programme
Urban Renewal	ERDF schemes	1,016	Ongoing delivery of programme (Ty Du and Lawns Industrial Estate)
Total General Fund Slippage 2018/19: -		14,559	
HRA	WHQS	3,953	Ongoing delivery of programme
Total Slippage 2018/19: -		18,513	

Appendix 2: 2018/19 Ring-fenced Budgets

Service Area	Scheme	Outturn Position 31/03/2018 £000s	Comments
Community & Leisure Services	Playground Reinstatement	321	S106 carried forward
Education	Asset Management (s106)	188	S106 carried forward
Infrastructure	Various s106 Schemes	481	S106 carried forward
Urban Renewal	Risca s106	9	S106 carried forward
Community & Leisure Services	Ty Duffryn	769	Under review
Community & Leisure Services	RCDF Grant	2	Funding to be carried forward to support project
Corporate Finance	Earmarked capital budgets	1,604	Earmarked funding for future schemes as per January 2019 Reserves Report
Corporate Services	Corporate Projects	11,045	Funding to be carried forward to support new capital projects as per January 2019 Reserves Report
Corporate Finance	Unallocated Amounts (Underspends Given up)	1,474	Cumulative underspends. 54% earmarked to fund 2018/19 (slippage); 2019/20 and 2020/21 capital programmes
Economic Development	Cwmcarn Forest Campsite Drainage	35	Works to commence April 2019
Education	Asset Management Schools	2,425	Capital maintenance Grant received in March 2019 that is to be carried forward into 2019/20 to progress scheme
Education	Various Funding for Education Schemes	80	Works ongoing
Infrastructure	Various Schemes	724	Earmarked funding for historical liabilities & grant funded schemes

Infrastructure	Various- Land Reclamation Funding for liabilities	2,145	Earmarked funding for historical liabilities at land reclamation sites
Private Housing	Home Improvement Loans	1,461	WG loan funding
Private Housing	Various Schemes	270	Various Grant Breaches funding
Property Services	Penallta House Car Park Extension	142	Use of funding under consideration
Property Services	Newbridge Leisure Centre Refurbishment	344	Works to commence April 2019
Urban Renewal	Various Schemes	97	Funding to progress a number of capital schemes
Total Ring Fenced Budgets 2018/19:-		23,616	

Appendix 3: 2018/19 Overspend

Service Area	Scheme	Outturn Position 31/03/2018 £000s	Comments
Community & Leisure Services	RCDF- Peoples Landscape	(6)	Late submission of grant return. Overspend to be claimed in 2019/20
Economic Development	Cwmcarn Forrest TAIS (Tourism Amenity Investment Support)	(3)	Costs to be funded from revenue in 2019/20 along with additional expenditure due to project overrun
Infrastructure	Various Schemes	(8)	Overspend to be funded from 2019/20 capital budget allocations
Total Overspend 2018/19:-		(17)	

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POLICY AND RESOURCES SCRUTINY COMMITTEE – 1ST OCTOBER 2019

**SUBJECT: CORPORATE SERVICES & MISCELLANEOUS FINANCE 2019/20
BUDGET MONITORING REPORT (PERIOD 4)**

**REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND CORPORATE
SERVICES**

1. PURPOSE OF REPORT

1.1 To inform Members of projected revenue expenditure for the Directorate of Corporate Services and Miscellaneous Finance for the 2019/20 financial year.

2. SUMMARY

2.1 The report projects the anticipated final outturn for the Directorate of Corporate Services and Miscellaneous Finance based upon expenditure and income trends for the first four months of the financial year.

3. RECOMMENDATIONS

3.1 Members are requested to note the contents of the report.

4. REASONS FOR THE RECOMMENDATIONS

4.1 To ensure that Members are informed of the projected financial position for the Directorate of Corporate Services and Miscellaneous Finance.

5. THE REPORT

5.1 Corporate Services

5.1.1 The Directorate of Corporate Services is currently forecasting an underspend of £1,515k for the 2019/20 financial year, full details of which are provided in Appendix 1.

5.1.2 Members are advised that the projected outturn for Education & Lifelong Learning is a net overspend of £162k, consequently overall the projected outturn position for Education and Corporate Services is an underspend of £1,353k. The full details with regards to the Education & Lifelong Learning position will be reported to Education for Life scrutiny committee on 24th September 2019.

5.1.3 There is an anticipated underspend on Chief Executive and Director of Education & Corporate Services of £43k, due in the main to the budget being held at a Deputy Chief Executive scale pending the outcome of the ongoing Senior pay disciplinary process.

5.1.4 The anticipated net underspend of £256k in Corporate Finance relates in the main to delays in

appointing to vacant posts together with savings from maternity leave after taking into account the funding from reserves for an apprentice.

5.1.5 There is an anticipated net underspend of £703k in Digital Services, after taking into account the agreed use of reserves. This consists of:-

- A projected underspend of £54k on Procurement which relates in the main to vacancies still to be filled pending a revised structure being developed, offset by reduced levels of income.
- Customer First – a net £163k underspend, after agreed use of reserves for Thoughtonomy and apprentices. This is due in the main to vacancies still to be filled pending a revised structure.
- IT Services - £444k underspend which is due in the main to vacancies still to be filled pending a revised structure.
- Central Services - £42k underspend due in the main to vacancies still to be filled pending a revised structure.
- Once the various restructures within Digital Services have been finalised the outturn forecast will be reviewed and updates will be provided in future budget monitoring reports.

5.1.6 Legal & Governance is projecting a net underspend of £113k after allowing for the following to be ring-fenced and transferred to earmarked reserves: -

- Projected underspend on Members related expenditure of £41k. This is due in the main to underspend on Members related Allowances which is partly off-set by increased costs on Members' superannuation costs.
- Projected underspend of £75k on Electoral Services. The Electoral Services underspends in non-election years are ring-fenced to fund overspends in election years.
- Agreed funding from reserves to fund an apprentice for a fixed term.

The net underspend of £113k for Legal & Governance is due in the main to delays in filling vacant posts.

5.1.7 There is an anticipated underspend of £62k in Business Improvement Services consisting of the following:-

- Management – Projected underspend of £14k.
- Projected small underspend in the Policy Team
- Projected underspend of £48k in the Equalities and Welsh Language Team due in the main to delays in appointing to Translator posts and reduced external translation costs.
- Projected small overspend in the Performance Management Unit.
- The budget responsibilities of the Community Safety Partnership budget has transferred to Public Protection.

5.1.8 There is a projected net underspend of £231k for People Services mainly consisting of:-

- Human Resources projected net underspend of £68k due in the main to staff on maternity and career break offset with reduced income levels, after taking into account the agreed use of reserves for a member of staff.
- CMT Support underspend of £14k due in the main to staff not being at the top of their grades after a revised grading structure was agreed.
- Communications Unit is projecting a small net underspend of £1k, after taking into account the agreed use of reserves for an apprentice. Income levels will be closely monitored in year.
- A projected net underspend of £148k for Health & Safety, which includes:-
 - Occupational Health underspend of £34k due in the main to salary savings due to delays in recruitment to the revised structure.

- Health & Safety £114k due in the main to salary savings due to delays in recruitment to the revised structure after taking into account the agreed use of reserves for fire officer and an apprentice. There is also a forecast saving on food audits, which are managed by procurement, together with potential vehicle hire savings.

5.1.9 For Property Services (who report to the Communities Director) there is a net projected underspend of £89k, consisting of the following: -

- Management - £2k overspend due to various non salary related items.
- Energy - £8k underspend due mainly to a temporary reduction in hours of a member of staff.
- Estates - £40k overspend due mainly to a reduction in the anticipated level of fee income, which has been partially offset by staff vacancies/reduced hours. This is after taking into account the agreed use of reserves for a member of staff. The income levels will be monitored closely in year to try to mitigate the anticipated overspend.
- Non – operational Properties - £5k underspend mainly due to reduced utility costs being incurred.
- Corporate Facilities - £4k underspend mainly due to savings on NNDR, cleaning and income received, partially offset by additional maintenance costs. The additional income relates to MTFP savings in advance for 2020-21
- Maintenance – Projected £7k underspend mainly due to the cost of delays in filling vacant posts and increased fee income, partially offset by additional maintenance costs. These will be monitored closely in year to try to mitigate the anticipated overspend. Many of these costs are one offs and once the backlog is cleared the rate of expenditure should reduce significantly.
- Building Consultancy – Projected £107k underspend due in the main to delays in filling vacant posts together with increased fee income. These will be monitored closely in year.

5.1.10 There is a projected underspend of £18k on Housing Services which consists of the following:-

- General Fund Housing is expected to show a £1k underspend at this stage, although there are some offsetting over and underspends contributing to this position which includes an increase in Bed & Breakfast accommodation offset by staff turnover variations.
- This service area includes a statutory duty for Temporary Accommodation which is demand led and difficult to predict but trends are showing an annual increase in the need for this service evidenced by the increase in B&B accommodation
- The service, however, has received growth in the RSG settlement of £560k during 2017/18 & 2018/19 as a driver from Welsh Government to prevent homelessness however, about £220k (40%) of this growth is committed to pay Housing Benefits charges where some of our temporary accommodation does not meet full Housing Benefit eligibility unlike other housing providers. This commitment is likely to increase as B&B placements continue to increase and clients are staying longer. The remaining allocation will be utilised throughout the year as resources are identified to meet our statutory duty. Any underspend will be requested to be carried forward and retained for this service although MTFP requirements could affect this.
- The temporary accommodation for families at Ty Fesen is assumed to be fully financed but this includes a £20k renewal fund that will be transferred to earmarked balances at year end. A renewal fund for Ty Croeso also exists for future repairs and maintenance.
- Private Sector Housing is expected to show a £17k underspend at this stage. The main concern for this budget is the Agency Income Fee which has under-recovered in previous years. The fee income has historically been generated from the private housing capital programme which has reduced substantially over the years. This has recently been supplemented by additional fee income from the allocation of WHQS works to leasehold properties, but this is only received on completion of the works, and is unlikely to be sustainable once the WHQS has been achieved in 2020. Furthermore, a recent review of Home Repair Grants and the newly introduced loan scheme has showed a slow take up

last year which could mean a further reduction on this fee income this year if the pattern remains the same. Again this is an area that is difficult to predict, although it is anticipated that access to the scheme will increase as it becomes more widely known. There is a projected underspend in salaries which will offset this overspend due to long term sickness and a HRA contribution for WHQS work.

5.1.11 The following table provides a summary of progress in delivering agreed 2019/20 savings for the Directorate of Corporate Services :-

Section	Agreed MTFP Savings £'000	Progress against Savings £'000	Variance £'000
Corporate Services.			
Corporate Finance	193.00	193.00	0.00
Corporate Policy	190.00	190.00	0.00
Health and Safety	83.00	83.00	0.00
Human Resources and Communications	120.00	120.00	0.00
Information Technology	358.00	349.50	8.50
Procurement and Customer Services	134.00	65.50	68.50
	1,078.00	1,001.00	77.00
Non-Corporate Services.			
Housing Services	133.00	133.00	0.00
Property Services	855.00	752.00	103.00
	988.00	885.00	103.00
Grand Total	2,066.00	1,886.00	180.00

5.1.12 The variance of £8.5k for Information Technology is due to a proposed reduction in rented vans and agenda distribution to members not being achieved. This shortfall will be met by other in-year savings within Digital Services.

5.1.13 The variance of £68.5k for Procurement & Customer Services is due to these savings not being achieved in year. Savings were found within the rest of Digital Services where workforce planning could be utilised.

5.1.14 The variance of £103k for Property Services, is due in the main to the savings on the one-off reduction in maintenance not being achieved and the income for Ty Duffryn being slightly lower than anticipated. These shortfalls will be met by other in-year savings in the service area.

5.2 Miscellaneous Finance

5.2.1 There is an overall projected underspend of £465k in Miscellaneous Finance.

5.2.2 There is a projected net underspend of £400k on Capital Financing budgets which is due to the following:-

- £460k underspend due to assumed General Fund borrowing in 2019/20 being deferred to 2020/21, this includes the 21st Century Schools LGBI and prudential borrowing; and £20m of supported borrowing allocations.

- £60k overspend due to temporary loans raised in 2019-20 to cover cashflow as a result of deferring the borrowing.

5.2.3 There is a projected overspend of £382k on the IT replacement strategy. This will be funded from the IT replacement reserve.

5.2.4 There is a projected overspend of £61k on the Trade Union budget. We are currently in discussions with Trade Union colleagues to review and update our Facilities Agreement to ensure that equitable support arrangements are in place.

5.2.5 There is a projected overspend of £9k on the Class 1A NI savings, this is due in the main to a reduced take-up of the GASS car scheme.

5.2.6 The remaining projected underspend for Miscellaneous Finance consists of the following: -

- Subscriptions - £9k
- Careline - £1.6k
- Carbon Management Scheme - £3.8k
- Miscellaneous Items - £120k – in the main due to a rebate from the “Cremation Services Joint Committee”.

5.2.7 The following table provides a summary of progress in delivering agreed 2019/20 savings for Miscellaneous Finance:-

Section	Agreed MTFP Savings £'000	Progress against Savings £'000	Variance £'000
Miscellaneous Finance	1,027.00	889.00	138.00
Grand Total	1,027.00	889.00	138.00

5.2.8 The variance of £138k is due to the following:-

- £9k due to a reduced take-up of GASS cars.
- £129k on the IT replacement Strategy – This will be funded by the IT replacement reserve.

5.3 Use of Reserves

Members will recall that at its meeting on the 30th July 2019, Council was informed that a further financial provision of £31k was required to fund the salary costs of the substantive Chief Executive Officer for August and September 2019. This additional provision has been funded from Corporate Services Reserves and is required to allow the Senior Officer Pay investigation process to be concluded.

6. ASSUMPTIONS

6.1 Assumptions linked to this report were detailed in the budget report to Council on 21st February 2019.

6.2 The projected outturn position is based on actual income and expenditure details to the end of July 2019, together with data used to forecast future income and expenditure, following discussions with Managers.

7. LINKS TO RELEVANT COUNCIL POLICIES

7.1 The contents of this report are in accordance with the Budget Strategy agreed by Council at its meeting on 21st February 2019.

7.2 Effective financial planning and financial control contribute to the following Well-being Goals within the Well-being of Future Generations (Wales) Act 2015: -

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

8. WELL-BEING OF FUTURE GENERATIONS

8.1 Effective financial management including the effective utilisation of external grant funding is a key element in ensuring that the Well-being Goals within the Well-Being of Future Generations (Wales) Act 2015 are met

9. EQUALITIES IMPLICATIONS

9.1 This report is for information purposes, so the Council's Equalities Impact Assessment (EqIA) process does not need to be applied.

10. FINANCIAL IMPLICATIONS

10.1 As detailed throughout the report.

11. PERSONNEL IMPLICATIONS

11.1 There are no direct personnel implications arising from this report.

12. CONSULTATIONS

12.1 There are no consultation responses that have not been reflected in this report.

13. STATUTORY POWER.

13.1 Local Government Acts 1972 and 2003 and the Council's Financial Regulations.

Author: D. Roberts, Principal Group Accountant, Financial Advice & Support
roberda@caerphilly.gov.uk Tel: 01443 863342

Consultees: R. Edmunds – Corporate Director for Education & Corporate Services
S. Harris – Interim Head of Business Improvement Services and Acting S151 Officer
M. Eedy – Finance Manager

R Tranter – Head of Legal Services
L Donovan – Head of People Services
L Lucas – Head of Customer & Digital Services
C HARRY, Interim Chief Executive
Lesley Allen, Principal Accountant, Housing
Shaun Couzens, Chief Housing Officer
D Street, Corporate Director Social Services
Mark S Williams, Interim Corporate Director Communities
Mark Williams, Interim Head of Property
A. Southcombe, Finance Manager Corporate Services
Jane Southcombe, Finance Manager, Education, Lifelong Learning and Schools
Cllr B. Jones, Deputy Leader/Cabinet Member for Finance, Performance & Governance
Cllr C. Gordon, Cabinet Member for Corporate Services
Cllr L. Phipps, Cabinet Member for Homes & Places
Cllr J Pritchard, Chair of P&R Scrutiny
Cllr G Kirby, Vice Chair of P&R Scrutiny

Appendices:
Appendix 1

Corporate Services & Miscellaneous Finance 2019/20 Budget Monitoring Report
(Period 4)

CORPORATE SERVICES DIRECTORATE	Original Estimate 2019-20	Revised Estimate 2019-20	Anticipated Outturn 2019-20	Anticipated Variance 2019-20
SUMMARY				
CHIEF EXECUTIVE	202,343	202,343	196,548	5,795
DEPUTY CHIEF EXECUTIVE/DIRECTOR CORPORATE SERVICES & EDUCATION	168,129	168,129	129,959	38,170
CHIEF EXECUTIVE & DIRECTOR OF EDUCATION & CORPORATE SERVICES	370,472	370,472	326,507	43,965
CORPORATE FINANCE				
Financial services & Internal Audit	2,079,893	2,079,893	1,822,553	257,340
Approved Use of Reserves - Apprentice	(27,728)	(27,728)	(26,552)	(1,176)
	2,052,165	2,052,165	1,796,001	256,164
DIGITAL SERVICES				
IT Services	3,786,891	3,786,891	3,342,702	444,189
Central Services	382,239	382,239	340,289	41,950
Procurement	289,665	289,665	236,236	53,429
Customer First	1,263,132	1,263,132	1,197,592	65,540
Approved Use of Reserves - Apprentice	(62,994)	(62,994)	(60,646)	(2,348)
Agreed Use of Reserves for Customer First			(100,000)	100,000
	5,658,933	5,658,933	4,956,173	702,760
LEGAL & GOVERNANCE SUPPORT				
Legal & Democratic Services	1,140,124	1,140,124	999,131	140,993
Approved Use of Reserves - Apprentice	(27,728)	(27,728)	0	(27,728)
Members Allowances	1,724,937	1,724,937	1,683,995	40,942
Ringfenced to Earmarked Reserves			40,942	(40,942)
Electoral Services	333,543	333,543	258,811	74,732
Ringfenced to Earmarked Reserves			74,732	(74,732)
	3,170,876	3,170,876	3,057,611	113,265
BUSINESS IMPROVEMENT SERVICES				
Management	127,611	127,611	113,959	13,652
Policy	558,024	558,024	557,328	696
Equalities	413,128	413,128	364,961	48,167
PMU	221,127	221,127	221,964	(837)
Community Safety Partnership	45,653	0	0	0
	1,365,543	1,319,890	1,258,212	61,678
PEOPLES SERVICES				
Human Resources	1,471,511	1,471,511	1,403,466	68,045
Approved Use of Reserves - Managing Attendance Officer	(31,225)	(31,225)	(31,225)	0
Health & Safety	945,331	945,331	779,481	165,850
Approved Use of Reserves - Apprentice/Fire Officer	(90,668)	(90,668)	(72,782)	(17,886)
Communications Unit	360,572	360,572	357,494	3,078
Approved Use of Reserves - Apprentice	(24,138)	(24,138)	(22,038)	(2,100)
CMT Support	131,823	131,823	117,576	14,247
	2,763,206	2,763,206	2,531,972	231,234
TOTAL CORPORATE SERVICES	15,381,195	15,335,542	13,926,476	1,409,066
PROPERTY SERVICES				
Management	320,073	363,293	365,329	(2,036)
Energy	140,325	140,325	132,449	7,876
Estates	133,058	133,058	173,382	(40,324)
Approved Use of Reserves - Asset Manager	(29,749)	(29,749)	(29,712)	(37)
Non Operational Properties	114,856	114,856	109,383	5,473
Facilities	2,263,151	2,250,551	2,246,619	3,932
Maintenance	1,984,349	1,956,862	1,950,390	6,472
Building Consultancy	(198,506)	(201,639)	(308,795)	107,156
	4,727,557	4,727,557	4,639,045	88,512
HOUSING SERVICES				
General Fund Housing	1,289,212	1,289,212	1,288,161	1,051
Private Housing	323,376	323,376	306,582	16,794
	1,612,588	1,612,588	1,594,743	17,845
TOTAL NON- CORPORATE SERVICES	6,340,145	6,340,145	6,233,788	106,357
TOTAL SERVICES	21,721,340	21,675,687	20,160,264	1,515,423

<i>MISCELLANEOUS FINANCE</i>	Original Estimate 2019-20	Revised Estimate 2019-20	Anticipated Outturn 2019-20	Anticipated Variance 2019-20
MISCELLANEOUS FINANCE				
Staff Related Costs				
Pension Contribution - Former Authorities Ongoing	1,155,689	1,155,689	1,155,689	0
Recharge to Education - Former Authorities	(179,629)	(179,629)	(179,629)	0
	976,060	976,060	976,060	0
Statutory Benefit Schemes				
Council Tax RS	14,746,611	14,746,611	14,395,000	351,611
Ringfenced to Earmarked Reserves			351,611	(351,611)
DHP Rent allowances	49,301	49,301	49,301	0
DHP Rent Rebates	443,711	443,711	443,711	0
DHP Income	(493,012)	(493,012)	(493,012)	0
General Rent Allowances	23,156,581	23,156,581	23,702,226	(545,645)
Rent Rebates	27,279,064	27,279,064	27,542,526	(263,462)
Rent Allowance War Widow Concessions	25,000	25,000	25,000	0
Housing Benefit Subsidy	(50,435,645)	(50,435,645)	(51,244,752)	809,107
	14,771,611	14,771,611	14,771,611	0
Levies Upon the Council				
Coroner	236,487	236,487	236,487	0
Archives	209,092	209,092	209,092	0
Fire Service Authority	8,882,264	8,882,264	8,882,264	0
	9,327,843	9,327,843	9,327,843	0
Capital Financing				
Debt Charges (Principal Repaid)	2,492,141	2,492,141	2,492,141	0
Debt Charges (Interest Payments)	8,342,451	8,342,451	7,941,784	400,667
Debt Charges (Debt Management Exp's)	45,563	45,563	45,563	0
Income from External Investments:	(800,000)	(800,000)	(800,000)	0
Rescheduling Discounts	0	0	0	0
Earmarked for specific funds/balances	734,912	734,912	734,912	0
CERA (Capital Expenditure funded from Revenue Account)	3,330,436	3,330,436	3,330,436	0
	14,145,503	14,145,503	13,744,836	400,667
Corporate and Democratic Core Costs				
Bank Charges	194,251	194,251	194,251	0
Income from HRA	(32,673)	(32,673)	(32,673)	0
Income from DLO/DSO	(13,947)	(13,947)	(13,947)	0
External Audit Fees	429,903	429,903	429,903	0
Income from HRA	(72,308)	(72,308)	(72,308)	0
Income from DLO/DSO	(30,866)	(30,866)	(30,866)	0
Subscriptions	110,736	110,736	101,520	9,216
	585,096	585,096	575,880	9,216
Grants to Voluntary sector				
Assistance to Voluntary sector	183,637	183,637	183,637	0
	183,637	183,637	183,637	0
Private Finance Initiative				
PFI Schools	2,293,465	2,293,465	2,293,465	0
PFI SEW	3,805,550	3,805,550	3,805,550	0
	6,099,015	6,099,015	6,099,015	0
Other				
NNDR - Authority Empty Properties	0	0	0	0
Welsh Language	0	0	0	0
Free School Meal Grant	302,409	302,409	302,409	0
Counsel Fees	314,720	314,720	314,720	0
Careline	15,900	15,900	14,300	1,600
Carbon Management Scheme	3,846	3,846	0	3,846
Carbon Energy Tax	239,711	239,711	239,711	0
IT Replacement Strategy	6,006	6,006	387,785	(381,779)
IT Replacement Reserve			(381,779)	381,779
PV Panel Maintenance	2,048	2,048	2,048	0
PV Panels Income	(57,600)	(57,600)	(57,600)	0
Risk Management Contribution	(456,511)	(456,511)	(456,505)	(6)
Class 1A NI	(100,000)	(100,000)	(90,840)	(9,160)
City Deal	306,200	306,200	306,200	0
Matched Funding for Community Schemes	15,000	15,000	15,000	0
Targeted Rate Relief Scheme	221,425	221,425	221,425	0
Miscellaneous Items	6,208	6,208	(113,850)	120,058
Trade Union Facilities	27,728	27,728	88,768	(61,040)
	847,090	847,090	791,792	55,298
TOTAL MISCELLANEOUS FINANCE	46,935,855	46,935,855	46,470,674	465,181
EXPENDITURE TO DIRECTORATE SUMMARY	68,657,195	68,611,542	66,630,938	1,980,604

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POLICY AND RESOURCES SCRUTINY COMMITTEE – 1ST OCTOBER 2019

**SUBJECT: PROGRAMME FOR PROCUREMENT (2018-2023) AND
INFORMATION GOVERNANCE UPDATE**

**REPORT BY: CORPORATE DIRECTOR FOR EDUCATION AND
CORPORATE SERVICES**

1. PURPOSE OF REPORT

1.1 To provide Members with an update and assurance in relation to:

1.1.1 The Council's Programme for Procurement, which was endorsed by the Cabinet in May 2018;

1.1.2 That governance of information across the Council is effective, particularly in light of data protection reform during May 2018; &

1.1.3 To inform Members about requests for information received under the Freedom of Information Act 2000 (FOI) and associated legislation during 2018 calendar year and the first half of 2019 calendar year.

2. SUMMARY

2.1 In February 2019 and as part of the new structure within Customer and Digital Services, the Council's Corporate Procurement and Information Governance divisions amalgamated into Procurement and Information Services. The transition into the new division has been successful and officers within the division are working closely and receiving positive feedback on our performance. Therefore, a decision was made to submit a joint update report to Members in relation to the Programme for Procurement, Information Governance and FOI requests.

2.2 The Council is committed to ensuring it achieves value for money from its third party procurement expenditure currently circa £220 million per annum. It also recognises the value of using Procurement to support its wider cultural, social, economic and environmental objectives in a way that offers real long-term benefits to the community we serve and the people of Wales whilst balancing the issues of Value for Money.

2.3 The Programme for Procurement is a living strategy, which evolves over time in order to adapt to our ever-changing environment and the developing Procurement landscape as a result of Brexit and the Welsh Government's re-positioning of the National Procurement Service.

- 2.4 The Council continues to maximise use of its information resources to benefit service delivery in a time of shrinking public funds, rapid technological change and greater collaborations with other partners. An Information Governance work programme has been developed to realise the ambitions of the Council's new Customer and Digital Strategy, and key aspects of the work programme are referenced in this report.
- 2.5 This environment presents exciting opportunities, but fast change presents greater risks to information than ever. The Council must manage this risk effectively to avoid losing the trust of service users and financial penalties for breaches of data protection legislation, which was reformed in May 2018 and provides greater protection than ever before. This report will outline key steps taken to reduce information risk, including activity listed in the Information Governance work programme.
- 2.6 Freedom of information and other information access rights continue to be served by the Council, and this report provides data on volumes of requests and how they are handled.

3. RECOMMENDATIONS

- 3.1 It is recommended that the content of this report be noted.

4. REASONS FOR THE RECOMMENDATIONS

- 4.1 To inform Members of progress on the Council's Programme for Procurement (2018-2023), Information Governance and security of Council information.

5. THE REPORT

PROGRAMME FOR PROCUREMENT (2018-2023)

- 5.1 The Programme for Procurement defines what is meant by Procurement and our current capability status following the last Welsh Government Fitness Check undertaken in 2014. It details a clear structure for Leadership and Governance and highlights the tools that facilitates the discipline within the Council. Please refer to **Appendix 1** for a copy of the Programme for Procurement ('Programme').
- 5.2 The Programme has four (4) strategic themes that supports the Council's Well Being Objectives and the Wellbeing and Future Generations (Wales) Act 2015, namely Culture, Economics, Environment and Social.
- 5.3 Each theme is supported by a number of strategic goals, which tackles critical areas such as sustainability, fair payment, social and economic regeneration, carbon reduction and reduction of plastics within the supply chain. The Programme details how the Council will endeavour to achieve the goals by specific timescales. A five (5) year timescale was set for the delivery of the Programme; however, a number of key goals are far reaching and may well take the Council beyond 2023. In addition, the Council signed up to the Code of Practice: Ethical Employment in Supply Chains in November 2017 ('CoP'). The Programme supports the principles set out within the CoP. Key Performance Indicators (KPIs) have been developed and incorporated within the Programme to demonstrate how effectively the Council is achieving against the goals. Please refer to **Appendix 2** for an update on the latest KPIs, supporting narrative and case studies.

- 5.4 Officers from Procurement have been instrumental and play an active role within the Public Services Board, WLGA and Regional Heads of Procurement Forums together with a number of other public sector procurement agencies across Wales. Caerphilly Officers are working with the WLGA and other Councils across Wales to jointly determine the future strategy and delivery arrangements for Local Government procurement collaboration in Wales. "Investing in Local Government Procurement to Deliver for Future Generations". The Information and Procurement Manager is currently the lead on the Public Services Board, Procurement Delivery Group, Deputy Chair to the WLGA all Wales Procurement Network and the South East Wales Procurement Group. Officers within Procurement and the wider Customer and Digital Services are currently supporting Welsh Government's education technology programme, which will be the subject of a future report.
- 5.5 Close working relationships will continue with colleagues within regeneration, business support and Caerphilly business forum to further explore opportunities for local businesses and SMEs. Jointly run business networking events that cover business funding and procurement opportunities have been undertaken with further events planned over the coming months. These networks and relationships will be important moving forward as the Council further develops sourcing strategies that considers aspects such as supply voids, foundational economy and social value initiatives.
- 5.6 Delivery of the Programme will be priority for the next twelve (12) months with key areas such as centralised invoice payments, no order no payment, sustainability and alternative delivery models being explored. Procurement will be seeking opportunities to lead on collaborative arrangements via WLGA and other forums to become a 'centre of excellence' for specific commodities. This will bring challenges in relation to future resourcing and particular expertise but this will also be a huge opportunity with the ability to generate income.
- 5.7 Continued efforts to expand the use of electronic invoicing across the supply base in anticipation of forthcoming regulation mandating this within the Public Sector (in April 2020). This is a key challenge due to the fact that the authority still operates a decentralised invoice payment model. This will need to be reviewed in 2019. Contract visibility is proving a challenge therefore Officers will embark on a training programme to ensure Officers across the Council input contracts within the Contracts Management Module in line with policies and procedures.
- 5.8 To ensure we are able to monitor contractor commitment to social clauses we aim to adopt an appropriate recording and monitoring system that ensures where social benefits are being included in contracts they are being delivered e.g. TOMS methodology (or equivalent). This is also being discussed collaboratively with Welsh Government and WLGA Heads of Procurement Network.
- 5.9 The Council's approach to reviewing long term contracts is to challenge terms and conditions where appropriate with a view of reducing the cost of the provision and understanding the risk associated.
- 5.10 Due to the number of key projects and initiatives within Customer and Digital Services an Officer has been identified as a dedicated resource for programme and project management. Aspects of the Programme for Procurement will be incorporated within the plan to be agreed in due course.

6. INFORMATION GOVERNANCE

MAXIMISING INFORMATION ASSETS

- 6.1 The Council's new Customer and Digital Strategy harnesses opportunities for change to benefit service delivery. One of the strategic themes is leadership, and this involves a focus on information use, privacy and security. An Information Governance work programme has been developed to realise these ambitions.
- 6.2 The Information Governance work programme aims to achieve stakeholder confidence in the Council's use of information, integration of data to improve the customer experience, effective management of records to support services, compliance with information rights legislation, proactive use of data to enhance decision-making, and will foster re-use of data assets internally and externally.
- 6.3 The experienced Information Governance Stewards across all service areas have a pivotal role to play, led by the Information Governance Unit, in supporting their Heads of Service (in their capacity as Information Asset Owners) to make best use of valuable information assets.

MINIMISING INFORMATION RISK

- 6.4 The current environment presents exciting opportunities, but rapid change presents risks to the confidentiality, integrity and accessibility of the Council's information. This is recognised in the 2019/20 Annual Governance Statement, which cites the following as one of three areas requiring steps to ensure sound governance:

'GDPR - Work is still ongoing to deal with some legacy issues and to embed good practices across the authority, this will continue into 2019/20 as will the monitoring of the GDPR landscape.'

The Council must manage this risk effectively to avoid losing the trust of service users and financial penalties for breaches of data protection legislation, which was reformed in May 2018 and provides greater protection than ever before.

- 6.5 The Information Risk Management process continues to provide the Senior Information Risk Owner (SIRO) with timely information in order to assure the security of the Council's information in the Annual Governance Statement, and to identify areas for improvement.
- 6.6 Information risk management has been reinforced during 2019 with the IT security function now reporting to the Information Governance Manager, allowing for reciprocal learning and awareness raising across both teams, with strong links between Information Governance and Digital Services maintained under the leadership of the SIRO. The Council also achieved Cyber Essentials Plus, a Gold award in the IASME Governance standard, and renewed its ISO27001 accreditation for information security during 2019.
- 6.7 Mandatory eLearning on data protection for all staff and elected members together with awareness raising activities such as the Council's Go Digital events has led to increasing numbers of requests for advice from staff and elected members on how to handle personal information lawfully and transparently. Data Protection Impact Assessments (DPIAs) are becoming embedded in the Council's work processes, ensuring risks to privacy are considered and mitigated at the earliest possible stage, and providing evidence of the data protection principle of accountability. In addition, procedures, a Record of Processing activities, privacy notices and contracts continue

to be updated to ensure compliance with data protection legislation.

- 6.8 Reduction of information risk reduces likelihood of data breaches, but breaches do occur from time to time and the Council must identify them immediately and take action to try to prevent negative consequences for data subjects and to report to the Information Commissioner breaches that meet the statutory threshold for self-reporting. All data breaches, no matter how minor, are investigated so that trends can be monitored and steps can be taken to improve working practices.
- 6.9 Records Management that complies with the section 46 Statutory Code of Practice under Freedom of Information legislation is the bedrock upon which reduction of information risk rests. The Records Management team has been reinforced, and is focusing attention on rationalising the council's information holdings in all formats (hard copy and electronic), as well as maintaining information asset registers that will encourage re-use of Council information assets.
- 6.10 2018 saw the introduction of a one (1) year Information Governance service level agreement (SLA) with schools, with the Council's DPO performing a contracted function for all Council schools. The SLA was welcomed by all schools, and all schools except one agreed to sign up to a further three (3) year SLA to 2022 to enable time for focused attention on each school.

ACCESS TO INFORMATION RIGHTS

- 6.11 Freedom of Information and other information access rights continue to be served by the Council, and this report provides data on volumes of requests and how they are handled for the 2018 calendar year and the first half of 2019.
- 6.12 Engineering and Transport, Public Protection and Corporate Finance received the most Freedom of Information requests during the period; please refer to **Appendix 3** of this report. Social Services and Education also receive a substantial number of requests compared to other service areas. Number of requests has increased again each year, continuing previous trends, which is challenging for service areas to address. The Council achieved 84% compliance in the 2018 calendar year with the statutory 20 working days for response, and 81% compliance in the first half of 2019; please refer to **Appendix 4** of this report. Note that these percentages differ from those reported to Performance Management Unit (PMU), as PMU calculates performance cumulatively across quarters in a financial year, whereas this report calculates the average of each quarter in a calendar year. Discussions have taken place with all Directors and key managers at Senior Management Teams, as well as with Information Governance Stewards with a view to improving compliance across all services. Opportunities to utilise new technology to facilitate FOI responses are also being explored.
- 6.13 In 2018 77% of FOI requests were responded to in full, with a further 7% partially responded to, which is consistent with previous years; please refer to **Appendix 5** of this report. 10.5% requests were refused in full due to an exemption applying, and 2.8% were refused due to the time taken to respond exceeding the statutory fees threshold. In 2019, there are similar trends, with 72.6% FOI requests were responded to in full, and a further 9.8% responded to in part. 12.7% requests were refused in full due to an exemption applying, and 4.8% were refused due to the time taken to respond exceeding the statutory fees threshold.
- 6.14 The most common exemptions used are 'information accessible by other means', for example via a website or a local library; 'personal information of third parties', and 'information intended for future publication'; please refer to **Appendix 6** of this report.

- 6.15 Eleven (11) appeals were made to the Council on FOI in 2018. Appeals are considered by an appropriate senior officer, usually the Chief Executive. In 2018 one (1) appeal was upheld, three (3) partly upheld, five (5) not upheld and two (2) ongoing. None were referred to the ICO. In the first half of 2019, fourteen (14) appeals have been made to the Council, with three (3) appeals upheld, two (2) partially upheld, seven (7) not upheld and two (2) ongoing. One (1) appeal was referred to ICO, the result of which is awaited.
- 6.16 People Management and Social Services continue to experience the largest volumes of data protection subject access requests (SARs) (see Appendix 2). The Council experienced a 46% increase in SAR requests received from 2017 to 2018 (see Appendix 4), which may be explained by the introduction of GDPR raising awareness of data subject rights amongst both staff and the public. 2019 is on course to also experience an increase in number of requests received.

7. ASSUMPTIONS

- 7.1 No assumptions have been made when producing this report.

8. LINKS TO RELEVANT COUNCIL POLICIES

- 8.1 Effective Procurement and Governance of the Council's information underpins all Council activities. Using the Council's information assets to maximum effect in a secure, lawful manner will help service areas to achieve the Council's Wellbeing Objectives outlined in the Corporate Plan 2018-2023 and the seven Well-being Goals of the Future Generations Act (Wales) 2015:

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

- 8.2 Procurement is seen as one of the activities that can assist public bodies to achieve these goals. Information Governance is a key part of the Council's corporate governance arrangements and is reflected in the Annual Governance Statement section of the Council's Statement of Accounts. The new Customer and Digital Strategy under the strategic theme of leadership also involves a focus on information use, privacy and security.

9. WELL-BEING OF FUTURE GENERATIONS

- 9.1 The activities documented in this report contribute to the Well-being Goals and Objectives as set out in Section 8 above. They are also consistent with the five ways of working as defined within the sustainable development principle in the Act. Effective management of the Council's third party spend and information will ensure reliable, high quality information is held which can be shared with partner organisations to ensure a joined up approach to providing services and preventing problems. Reliable information also ensures that decisions are more robust now and in the long-term and preservation of the Council's historic record means that current and future generations can hold the Council to account for its decisions and learn from previous activities.

10. EQUALITIES IMPLICATIONS

- 10.1 This report is for information purposes only, so the Council's full Equality Impact Assessment process does not need to be applied. The continued strengthening of the Council's Procurement and Information Governance arrangements will however benefit all Council stakeholders.
- 10.2 The Council provides FOI information in the format that the applicant requests and this combined with Welsh language responses to FOI requests made in Welsh contributes to compliance with the Council's Strategic Equality Objective 4 – Improving Communication Access and the Council's Welsh Language Standards Compliance Notice.

11. FINANCIAL IMPLICATIONS

- 11.1 There are no financial implications in relation to the Programme for Procurement.
- 11.2 In relation to Information Governance monetary penalties can be levied for data breaches of up to the equivalent of €20million or 4% of global annual turnover, in addition to compensation claims from people affected by data breaches.
- 11.3 Ongoing improvements to the Council's records management arrangements will require funds for secure disposal of hard copy records when they reach the end of their retention period. These funds are currently under consideration by appropriate Officers.

12. PERSONNEL IMPLICATIONS

- 12.1 The Programme for Procurement and Information Governance Work Programme has implications on Officers workloads within Customer and Digital Services and Council wide.

13. CONSULTATIONS

- 13.1 Consultation has been undertaken and responses have been incorporated within the report.

14. STATUTORY POWER

- 14.1 UK Public Contracts Regulations 2015
- 14.2 Freedom of Information Act 2000
- 14.3 Environmental Information Regulations 2004
- 14.4 General Data Protection Regulations 2016
- 14.5 Data Protection Act 2018

Authors: Ian Evans, Procurement and Information Manager,
evansi1@caerphilly.gov.uk

Joanne Jones, Corporate Information Governance Manager/Statutory
DPO, jonesjk@caerphilly.gov.uk

Consultees: Elizabeth Lucas, Head of Customer and Digital Services/SIRO – lucasej@caerphilly.gov.uk
Cllr Colin Gordon, Cabinet Member for Corporate Services – gordocj@caerphilly.gov.uk
Ed Edmunds, Director of Education and Corporate Services – edmunre@caerphilly.gov.uk
Christina Harray, Interim Chief Executive – harrhc@caerphilly.gov.uk
Dave Street, Director Social Services – streed@caerphilly.gov.uk
Mark S Williams, Interim Corporate Director Communities – willims@caerphilly.gov.uk
Robert Tranter, Head of Legal Services and Monitoring Officer – trantrj@caerphilly.gov.uk
Lynne Donovan, Head of People Services – donovl@caerphilly.gov.uk
Steve Harris, Interim Head of Business Improvement Services and S151 Officer – harristr@caerphilly.gov.uk

Cabinet members: Cllr David Poole, Leader of Council - davidpoole@caerphilly.gov.uk
Cllr Carl Cuss, Cabinet Member for Social Care and Wellbeing - carlcuss@caerphilly.gov.uk
Cllr Nigel George, Cabinet Member for Neighbourhood Services nigelgeorge@caerphilly.gov.uk
Cllr Barbara Jones, Deputy Leader and Cabinet Member for Finance, Performance and Governance - barbarajones@caerphilly.gov.uk
Cllr Philipps Marsden, Cabinet Member for Education and Achievement - philippamarsden@caerphilly.gov.uk
Cllr Sean Morgan, Deputy Leader and Cabinet Member for Economy, Infrastructure, Sustainability & Wellbeing of Future Generations Champion - seanmorgan@caerphilly.gov.uk
Cllr Lisa Phipps, Cabinet Member for Homes and Places - lisaphipps@caerphilly.gov.uk
Cllr Eluned Stenner, Cabinet Member for Environment and Public Protection - elunedstenner@caerphilly.gov.uk

P & R Scrutiny: Cllr James Pritchard, Chair of Policy and Resources Scrutiny Committee - jamespritchard@caerphilly.gov.uk
Cllr Gez Kirby, Vice-Chair of Policy and Resources Scrutiny Committee - gezkirby@caerphilly.gov.uk

Appendices:
Appendix 1 Programme for Procurement;
Appendix 2 Programme for Procurement Key Performance Indicators, Supporting Narrative and Case Studies;
Appendix 3 Number Requests Under the Freedom of Information Act and Environmental Information Regulations by Directorate/Service Area Involvement;
Appendix 4 Number Subject Access Requests Under Data Protection Legislation by Directorate/Service Area Involvement;
Appendix 5 Number Requests Under the Freedom of Information Act and Environmental Information Regulations;
Appendix 6 Number Subject Access Requests (SARs) – Data Protection Act;
Appendix 7 Outcomes of Requests under the Freedom of Information Act (FOI) and Environmental Information Regulations (EIR);
Appendix 8 Use of Exemptions (FOI) and Exceptions (EIR).

Caerphilly County Borough Council

Programme for Procurement 2018 - 2023

■ Culture ■ Economic ■ Environment ■ Social



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1. Introduction

The Council has set out its vision for developing and managing the living environment that it aspires to create for the residents and businesses of Caerphilly County Borough Council in its Well-being Objectives.

The procurement function will support the Authority's Well-being Objectives and Welsh Government's programme for Governance with its Programme for Procurement.

The Council is committed to ensuring it achieves value for money from its third party procurement expenditure – circa, £170,000,000 per annum. It also recognises the value of using procurement to support its wider Cultural, Social, Economic and Environmental objectives, in ways that offer real long-term benefits to the community it serves and the people of Wales, whilst balancing the issues of value for money

Our Programme for Procurement needs to be a living strategy, flexible, adaptable and alive to the changing environment; modular in nature so that it is easy to review and update annually in line with developments in the procurement landscape. Our approach will be continuous improvement to bring about real change and to improve the lives of those who live and work within our borough.

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The Programme for Procurement will build on the Authority's success to meet the overarching Well-being objective.

2. Definition of Procurement

Procurement is defined as the process whereby organisations meet their needs for goods, services, works and utilities in a way that achieves value for money on a whole life basis in terms of generating benefits not only to the organisation, but also to society and the economy, whilst minimising damage to the environment. (1)

The Procurement function within Caerphilly County Borough Council is a centralized team of procurement professionals. Welsh Governments fitness check concluded that the function was ***“Mature with an overall maturity rating of developing towards advanced”***.

(1) Procuring the Future, 2006

3. Procurement Leadership and Governance Structure

The leadership and governance structure for procurement within Caerphilly County Borough Council is: -

Leadership through Cabinet Members and the Cabinet Member for Corporate Services.

- A Corporate Procurement Unit, which sits within the Corporate Services directorate.
- A professionally qualified Head of Procurement who oversees all procurement activities over £75,000, reporting to the Director for Corporate Services
- Clearly defined processes and procedures along with formal delegation of authority in respect of procurement activities embodied in Standing Orders for Contracts, the Procurement Code of Practice and Financial Regulations.
- All procurement over £10,000 to be managed via the Proactis Procurement electronic system. A fully transparent electronic procurement system which is in place for all procurement over £10,000 with built in procedures and controls which are aligned to predetermined authorization criteria. All procurements under £10,000 are devolved for efficiency of process: with common and repetitive spend being managed by pre-established arrangements which have been set up for such purposes.

Strategic Theme – Culture

Strategy – the Council will manage all third party influenceable spend (including Commissioning) via open, fair and transparent procurement, applying the principles of the UK Procurement regulations. The Wellbeing and Future Generations Act (Wales) 2015, Social Services Act and WG Public Procurement Policy where applicable. Officers will work within the established governance structures of the Council with a clear understanding of the rules and regulations and the standards expected. Our approach will be one of continuous improvement with the goal of influencing the real change that the Council aspires to bring to the lives of those living and working in the county borough. The Authority will apply a category approach based on directorate plans. The Authority’s Supply Positioning Model, Appendix A will be used to plot financial value of the requirement against market risk to assist in the decision making process whilst determining away forward.

Strategic Goals (what we want to achieve)	Steps already taken towards strategic goal	What success looks like/will be measured by?	How to be achieved	When
Officers will work within the principles of the Authority’s Customer Service Standard for all customers	This is a new Standard to be adopted across the service area.	A uniform approach to servicing customer needs evidenced by annual customer survey scores. Measurement: by corporate score card.	Officer training and development. Standards to be embedded into the procurement processes Results monitored, measured and reported to SMT. Annual reviews	Implement December 2017. Yearly reviews.
Party spend will be procured via National, Regional and local arrangements. Collaboration will be embraced where appropriate. Alternative delivery models considered when appropriate.	5 year procurement plan in place.. Use of collaboration where applicable and benefits are deliverable to the Authority. Limited outsourcing and partnering approaches in place.	An agreed Gwent programme for procurement which supports National, Regional and Local procurement. Measurement by corporate score card Authority wide spend analysis tools which reports spend activity. With annual reviews. Develop collaborative working models with external (third party providers) where appropriate. To develop areas such as Information transparency – data sharing with providers. A understanding of collaborative models options to create financial	All Wales programme for procurement. WLGA Sourcing strategy. Collaboration – Developing new models for integrating and partnering with external contractors and service providers. Fit for purpose contracting models The right model for the right environment	Start 2017 with Annual reviews 2025 Phased approach required resource risk and knowledge risk to the type of contracting required,

		<p>benefits</p> <p>Explore alternative collaboration models such as Virtual joint venturing, labour and process fluidity, operating/collaboration model fluidity</p> <p>Measurement: within service improvement plan</p>		
Project risk profiling and mitigation through the development and use of Supplier Positioning models, Dunn and Bradstreet searches and other risk mitigation strategies	Discrete qualitative approaches such as supplier audits, risk registers, heat maps etc.	<p>A developed set of quantitative risk metrics such as Total Cost of Risk at the supply chain, category and supplier level.</p> <p>Total risk mitigation investment across the supply chain.</p> <p>The right price of risk transfer to suppliers, customers and third-parties such as insurance companies.</p> <p>Measurement: as part of service improvement plan and Key performance indicators</p>	<p>Manage procurement risk in a comprehensive, continuous manner with regular monitoring and assessment of high risk factors.</p> <p>Risk mitigation and support via engagement with financial services companies</p>	2025 – Need to understand this is a large change and will require a phased and control approach
Page 47 We will be in touch with and promote the Management of Procurement in the age of social transparency	Traditional procurement process, electronic and paper based. Limited exposure to social media reactions	<p>A robust process and appropriate contracts documentation that mitigates against inappropriate social media and customer interactions</p> <p>Measurement: within service improvement plan</p>	<p>Effective communications and transparent processes. Policy/wording in the tendering process documentation prohibiting disclosure of information via social media or by other means</p>	phased approach to 2020
A modern, flexible and innovative procurement function staffed by procurement professionals with the knowledge, skills and expertise needed to challenge the status quo and support the business operations of the future across all disciplines	<p>Limited and reducing resource with limitations in knowledge of legal and finance so heavily reliant on others in these disciplines.</p> <p>Buying consortium dysfunctional and not value for money.</p> <p>Utilisation of the EU Directives Light Touch Regime (LTR), wider increased</p>	<p>A more rounded procurement capability with commercially skilled Procurement officers able to take balanced risk decisions that are supportive of change.</p> <p>Procurement specialists with broader financial toolset so that they are able to assess wider</p>	<p>Targeted development and support aligned to the business need.</p> <p>Training to include Self funding, direct borrowing, third party financing etc. Risk management and</p>	Phased approach to 2023

	<p>use of Dynamic Purchasing Systems (DPS), Soft market engagement, market engagement activities</p>	<p>organisational issues. Procurement and finance to understand the different ways of financing each aspect of the supply chain for large complex project. Longer term stability in contracts that are flexible in nature. Service user, community and market place consultation / research to redefine needs and create opportunities for delivering social value Measurement: through the service improvement plan and customer feed back</p>	<p>profiling. Full engagement with market and stakeholders prior to tendering to establish appropriate and proportionate contracts. Wider use of innovative procurement tools, such as LTR and DPS processes</p>	
<p>Where appropriate include Social Benefit Clauses in the Contract Terms and Conditions</p> <p>Page 48</p>	<p>Applied Community Benefits Clauses in relevant contracts (Core and Non Core).</p>	<p>The establishment of a recording and monitoring system that ensures that where social benefits have been included in contracts, they are being delivered. More locally focused procedures for below threshold contracting. Measurement: through the service improvement plan.</p>	<p>Establish and define appropriate clauses, KPIs and recording and monitoring system – Wider use of CMM to Contract Manage. Adapt procedures to allow for a minimum number of quotations to be requested from local businesses alongside others.</p> <p>Ensure application of Future Generations Act (Wales) is considered where appropriate.</p> <p>Review TOM's Methodology is embedded where appropriate.</p>	<p>2017 with Annual reviews to ensure social benefits remains fit for purpose and in line with Wellbeing and Future Generations Act (Wales) 2015.</p>

Strategic Theme – Economic

Strategy – The Council will leverage the value of its third party spend to bring greater social and economic regeneration to the communities we serve. We will work to identify opportunities for local businesses to work with us; we will explore every opportunity to bring innovation into our procurement processes and practices in order to achieve better outcomes and greater social value for all our customers.

Constant drive for best value, taking a whole life approach which will explore opportunities for circular and foundation economies.

A circular economy is an alternative to a traditional linear economy (make, use, dispose) in which we keep resources in use for as long as possible, extract the maximum value from them whilst in use, then recover and regenerate products and materials at the end of each service life. The Foundational Economy is a grand name for those business activities that we use every day and see all around us. It includes businesses like retail, care and food industries. We need to consider the wider application of such activities as mitigating effects of Brexit by establishing a secure basis of supply through our local economy.

Strategic Goals (what we want to achieve)	Steps already taken towards strategic goal	What success looks like/will be measured by?	How to be achieved	When
Build on our electronic systems to further streamline and improve processes and procedures to make the experience of doing business with the Council as efficient, easy and uncomplicated as possible. Our electronic procurement systems will be developed as dynamic information highways with information flowing into and out of the organisation, providing all parties with timely information that helps make our business interactions easier and more efficient. Development of the Council's Passport to Trade solution will form part of this process	Our eTendering system is already used for 60% of the Authority's tenders. A single corporate end to end eProcurement system has been in place for many years. All orders are sent to suppliers electronically and an increasing number of invoices are being received electronically. A fully integrated comprehensive Contracts Management system is in use. Use of Dynamic Purchasing Systems (DPS) and other methodologies such as Passport to Trade to reduce the burden on bidders through the use of technology.	Procurement requirements are proportionate and do not create unnecessary barriers to small or medium enterprises, social enterprises, and voluntary groups. Annual KPI's showing that the percentage of expenditure with local suppliers continues to reflect positively (subject to procurement activity in a given year aligning with the strengths of the local supply base). Robust system to manage and support full supply chain information flow. Innovative use and development of new technologies. Ease of use for suppliers. Measurement: through service improvement plan and key performance indicators reported to SMT via corporate scorecard	Through investment of time and resource and Closer working with our technology supply partners to embrace more agile and mobile solutions. Potential extension of the principles introduced through the DPS process to develop a Passport to Trade solution that minimises the need for suppliers to submit Pre Qualifying information in successive tender bids.	phased approach to 2025
Alongside the more traditional emphasis on cost	Implementation of the CCBC	% of spend with the local supply chains	Robust social and	By 2020

<p>and compliance in commercial decision making, we will more actively embrace wider factors such as economic development and social benefits.</p>	<p>Community Benefits Model. Provision of supplier relationship support to help local suppliers prepare for doing business with us. The Authority's commitment to developing and supporting the local economy. Other supportive tools such as Pre Qualification Questionnaires and evaluation methodologies. Forward Works Plans already in place. .</p>	<p>monitored and benchmarked on an annual basis. Suitable and simplified KPI's developed and tested to ensure that measures taken are cost effective for both suppliers and for the Council. All contracts will be future mapped to identify where social value and well-being goals lie giving a better understanding of our contracts on the Forward Work Plans to ear mark suitable contracts. Closer working links with commissioning. Measurement though the service improvement plan and corporate scorecard KPI's</p>	<p>economic methodologies that can evidence results. Commitment to the supply chain. Community Benefits Tool kit supporting the Community Benefits Model (WG Community Benefits Calculator where relevant). Contract Management. Future Mapping of Forward Work Plans. Evaluate and apply if appropriate. TOM's Methodology to ensure robust performance measure.</p>	
<p>Develop methodologies that demonstrate that the work undertaken by procurement creates and delivers greater value to the organisation when weighed against the financial cost of the function. Create a meaning of value which incorporates but is not dominated by savings.</p>	<p>Limited appreciation and reporting of value. Established directorate work programmes and annual feedback. Entrenched view of the value that the procurement discipline delivers</p>	<p>Organisational acceptance that 'value' is more than savings. A more balanced understanding of supply chain value. Development of outcome based on commissioning.</p>	<p>Through closer working with Finance and other senior stakeholders and providing evidence to support a redefined understanding of value outcome based contracting.</p>	<p>2018</p>
<p>Increased use of analytical expertise and data management to help achieve a target of 90% of spend with suppliers that we have contracts with.</p>	<p>Detailed knowledge of spend profile from Spike Cavell spend analysis. Currently developing more interactive spend analysis with Proactis tools. Access to current and historic spends analysis used to drive directorate plans which are in development Use of D&B financial assessment tool</p>	<p>Spend analysis and forward work programmes used to help identify significant areas of spend that needs to be better managed e.g. total value of "off contract" uncontrolled spend. Increased value of spend in the local economy - Categories of spend identified that could be bought locally. Promote this to the local supply chain and helped develop to be able to bid. Take a no purchase order, no payment approach.</p>	<p>Proactis spend analysis, Robotic technologies Understanding and Training. Proactis spend analysis reporting tools. Introduce clear process and procedures for raising</p>	<p>2025 Progressive approach required. Work to start 2018</p>

		Automatic payment process. Measured through service improvement plan and corporate score card KPI's	orders. Utilize systems to bring about automatic/lean payment systems.	
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Strategic Theme – Environment

Strategy - The Council will recognise environmental issues and address them through the procurement process and procedures. We will strive to develop the procurement function in a way that balances economic and social values in equal measure, embracing sustainable development and putting The Well-being and Future Generations (Wales) Act 2015 at the heart of all procurement decisions. The Well-being and Future Generations Act defines Sustainable Development in Wales as: "The process of improving the economic, social, environmental and cultural well-being of Wales by taking action, in accordance with the sustainable development principle, aimed at achieving the well-being goals". We will do all we can to help the Council in its efforts to balance the five ways of working needed for Public Bodies to achieve the seven well-being goals set out in the Act.

Strategic Goals (what we want to achieve)	Steps already taken towards strategic goal	What success looks like/will be measured by?	How to be achieved	When
Responsible business through procurement activity that works to help and not hinder the duty of care incumbent on us to be fair and considerate in all aspects of our business activities.	Adoption of the Ethical Employment in Supply Chains Code of Practice and commitment to The Future Generations Act.	Full implementation of the CCBC Ethical Employment in Supply Chains Code of Practice Action Plan. Tangible evidence that procurement activity is supportive of The Well-being and Future Generations (Wales) Act. Development of a circular economy as an alternative to the traditional linear economy of make, use and dispose. Measurement through service improvement plan	Include a copy of our Policy on Ethical Employment in all procurements along with appropriate supporting requirements in the tender documentation. Developing Pre-Qualification Questionnaires, Tender Quality criteria and Evaluation Methodologies that take account of the needs of Future Generations and the need to keep resources in use for as long as possible, extracting the maximum value from them whilst in use, then recovering and regenerating them at the end of each service life so that they go on to be of value in a different form.	2020
Develop an understanding and strengthen procurement capacity to realise the value of utilising sustainability strategies in the way we do	A standard pre tender Sustainable Risk Assessment process adopted and applied to all appropriate	A more robust Sustainability Risk Assessment incorporated into the pre-sourcing phase of procurements with a	Review of the standardised approach already adopted and the development of	2018

business	procurements.	greater emphasis on the need for sustainable alternatives to be specified within a broader definition of product requirements. Measured though service improvement plan	more bespoke Sustainable Risk Assessments that addresses the need to promote sustainable alternatives in procurements prior to being issued to the market.	
Understand and manage the impact of globalisation and the consequences for our supply chains	Adoption of Ethical Employment in Supply Chains CoP Action Plan.	Developed buyers that are supply chain/market specialists who understand their area of expertise and are capable of maximising or minimising the impacts that trading in globalised markets can have on our supply chains, Contract Managers capable to ensuring that throughout the life of a contract it delivers the outcomes intended. Measured though service improvement plan	Education and training in respect of implementation of the EESC CoP Action Plan and integration of the Code objectives into procurement standard documentation. Recognition of the need to actively review and manage contracts.	2020

Strategic Theme – Social

Strategy – The Council will use its procurement processes to foster positive social change where appropriate. The Council has adopted the Ethical Supply Chain Code of Practice and we will apply this to foster fair working conditions for all. In addition to this we will embrace all current and future legislation or political change brought about by the Brexit process that will assist in delivering more social value to our communities. The Well-being of Future Generations Act requires public bodies in Wales to think about the long-term impact of their decisions, to work better with people, communities and each other, and to prevent persistent problems such as poverty, health inequalities and climate change. As required by the Act, we will work as far as we are able in the arena of public procurement to achieve all of the goals that we are able to influence, not just one or two.

Strategic Goals (what we want to achieve)	Steps already taken towards strategic goal	What success looks like/will be measured by?	How to be achieved	When
Adopt all elements of the Ethical Supply Chains Code of Practice, ensuring that in all our procurement activity that we meet the commitments documented in the Caerphilly Code of Practice Commitments 'Action Plan'. Page 54	Code of Practice adopted and Commitments Action Plan produced.	Full acceptance and implemented Ethical Supply Chains Action Plan - Possible new KPI - % of contracts that have social value outcomes included? Awarding of contracts taking into consideration Modern Slavery, Blacklisting, False Self Employment and Unfair use of zero hour contracts. Acknowledgement of the importance of the many outcomes required, not just best price. Measured through the service improvement plan	WG Ethical Supply Chains Policy, CCBC Action Plan. Development of tender documentation.	December 2018
Develop robust measures of social benefits to be able to track the success of outcomes achieved through procurement activities	We have been proactive in many areas including requirements for apprentices, local recruitment and training; packaging of contracts to make more attractive to local SMEs and VCSE's and pre-tender market engagement/ consultation. WG community Benefits tracker used. Limited or no measurement in place generally.	Recognition within the Council that social benefits have a positive impact on communities and are to be valued. Customer satisfaction evidenced through surveys and case studies. Reported and Measured through the service improvement plan	Robust policy, terms and conditions and effective monitoring to ensure delivery. Review TOM's Methodology and apply where applicable.	2018
Where appropriate, ask bidders to detail and	Some use of weighting to date	Bid evaluation model in use capable of	Development of	2018

demonstrate the social value outcomes and measures that they can deliver when providing the goods, services and works specified. Where appropriate, include weightings in the tender evaluation model to assess the social value offers submitted by bidders	where core benefits are concerned. Lack of enthusiasm in the organisation for this type of approach	quantifying and valuing that element of social value that is inherent in a suppliers tender bid. Greater acceptance of the value that more locally based trading arrangements can have on sustainability in our communities Measured through our service improvement plan	appropriate weighting models for use in the tender process and evaluations	
Business support to form an integral part of the procurement process	Steps taken towards the use of pre tender technical dialogue meetings with the supply chain and client departments to understand market trends and strategies.	Standardised collaborative approach from clients and the supply chain to evidence social value. Measured through service improvement plan and corporate score card KPI's	More intelligent and dynamic engagement with market participants	2018 with annual review

Appendix A

Strategic Critical

Strategic Security

High supply risk

Strategic Security might be goods obtained from a monopoly supplier or items with a very tight or 'bespoke' specification. These items are critical to the operation, but are low in cost. For most councils this will include materials and parts used in property maintenance governed by old specifications and also some contract services such as specialist teachers and carers where there is a very high specification but a low demand.

Strategic Critical are categories that are high cost and either have a specialist nature or are sourced from a difficult market in which there are relatively few supplies or suppliers. These are critical to the overall profitability, competitiveness or capability of an organisation to deliver services. In most councils this will include a significant amount of spend on waste and outsourcing and social care, where specifications are tight and there is a supply shortage. From that base data, Caerphilly selected the categories that they felt were Strategic Critical to them. These are the categories that are of strategic importance to Caerphilly and have a high potential cost of replacement should they no longer be available. Caerphilly added a number of categories that did not appear in this quartile in the exercise carried out in the 10 LA's in the South East. These were included on that bases that they were of strategic importance due to the potential risk to health and reputation (e.g. food & drink) in the event of a supply chain problem.

Supply Positioning Model (Kraljic)

Low cost

High cost

Tactical Acquisition categories will be of low value and with a low business exposure because they have no special quality, safety, reliability or environmental implications and there are probably many suppliers in the market able to meet the demand. For the most authorities, this would include stationery items, IT consumables and some catering supplies.

Tactical Profit categories are of relatively high cost but where there are no quality, safety, reliability or environmental issues and where there are likely to be plenty of suppliers. Purchases here are unlikely to contribute directly to the provision of services and often include items such as vehicles, contract services, IT equipment and utilities.

Tactical Acquisition

Tactical Profit

Low supply risk

Appendix B - Procurement Strategy Key Performance Indicators (KPI's)

The Key Performance Indicators (KPIs) listed below will be used to demonstrate how effectively the Council is achieving against the Strategic Goals. The KPIs will be subject to refinement by the Head of Procurement during the term of the Strategy.

1. Demonstrate that the Principals of the Customer Service Standards are being met via Annual Customer Surveys
2. % of Annual Corporate Spend with Suppliers based:
 - Locally, Caerphilly Borough;
 - Regionally, Cardiff Capital Region City Deal;
 - within Wales.
3. % Corporate Spend Channelled through Collaborative Arrangements
4. % Contracts Tendered Electronically across the Council
5. Spend via Purchase Card
6. e-Invoicing – No. of Suppliers participating
7. e-Invoicing – Value of Transactions
8. No. Contracts that include Community Benefits and/or Social Value Clauses
 - Core Clauses in Contracts, Measured via National Themes, Outcomes and Measurers (TOMs) Framework (or equivalent);
 - Non-Core Clauses.
9. No. Suppliers signed up to the Welsh Government Code of Practice, Ethical Employment in Supply Chains
10. % of PDR's undertaken in Procurement

Appendix 2 - Procurement KPIs, Supporting Narrative and Case Studies.

Procurement continues to actively support local businesses and SMEs our statistics, comparators and KPIs continue to demonstrate good success in supporting the local economy through the work undertaken by the team whilst meeting the challenges of the MTFP as demonstrated below:

Title	16/17	17/18	18/19
% of Contracts tendered electronically across the Council	58	95	97
% of 'Local Suppliers' Awarded Contracts (former 'WPC' definition) <i>Source Decision and Information Page</i>	90	94	89
e-Invoicing – Number of Suppliers Participating	31	34	34
e-Invoicing – Value of Transactions	£1,516,811	£5,546,367	£6,279,283.20
Amount of annual Corporate Spend (incl. Schools) with Procurement Cards	£1,079,102	£1,258,984	£1,279,494.69

The Council agreed the definition of local as “suppliers within the region of the old Welsh Purchasing Consortium area” (the Old WPC area consists of Caerphilly, Bridgend, RCT, Merthyr, Monmouth, Torfaen, Blaenau Gwent, Vale of Glamorgan, Swansea, Cardiff, Neath Port Talbot, and Newport). However, consideration has been given to align the definition to the ‘Cardiff Capital Region (City Deal)’. Using our ‘Spend Analysis Tool’ the Council can breakdown and compare expenditure across different criteria as demonstrated in the following Tables:

Title	16/17	17/18	18/19	% of Total Spend (£219m)
spend with Caerphilly based Suppliers	£46m	£50m	£59m	27%
spend with definition of local 'WPC' Suppliers	£105m	£116m	£140m	63%
spend with 'City Deal' based Suppliers	£98m	£112m	£134m	61%
spend with Suppliers across Wales	£107m	£120m	£143m	65%
Total Spend (source Spikes Cavell)	£188m	£196m	£219m	-

Supplier development and support – **No. of Procurement Clinics to date = 2020** (commenced in 2011/2012).

Procurement continues to support the Council's WHQS programme. A particular challenge during the programme was that the Council's use and set up of framework agreements was failing to provide sufficient contractors to meet our requirements and therefore progression of the programme was stalling. A Welsh Audit Office (WAO) report in June 2017 raised concerns that the Council were probably not going to meet the deadline of completing the WHQS works by March of 2020.

Procurement Services implemented the Dynamic Purchasing System (DPS) for the provision of General Builders, which has effectively been very successful in bringing the programme back on track and provided the following benefits:

- 91 Contractors on the DPS, 85 Contractors are defined as local (WPC);
- Out of 85 Contractors 27 are Caerphilly based;
- 70 Contracts with an est. pre tender estimate value of £34.2 million awarded to Welsh Contractors and 25 awarded to Caerphilly based Contractors.

The above-mentioned DPS demonstrates that the Council continues to take advantage of the new flexibilities of the UK Public Contract Regulations 2015 and have implemented further DPS for Transport Services, particular Waste Streams, Reactive & Planned Maintenance and Grounds Maintenance Services in 2018/19. In essence, this is a Passport to Trade initiative, which endeavours to reduce duplication for suppliers together with a standardised and streamlined approach to the procurement process.

No. Suppliers signed up to **Ethical Employment Code of Practice** = 24 (predicated on spend data 2018/19 via Atamis and mapped against the TISC database).

100% of PDRs undertaken in Procurement.

A special '**Plastics Challenge**' group lead by Procurement has been established to look at how the council can reduce the use of problematic plastics across the whole organisation. Some of the key actions achieved to date include:

- i. The main council offices in Penallta House has been awarded 'Surfers Against Sewage Plastic Free Champions' status and has also gained 'Plastic Free Approved Status.'
- ii. CCBC has signed up to support the 'Refill Scheme', which encourages participating cafes, bars, restaurants, banks and other businesses to invite people to fill up their water bottles for free by downloading an App for their phone to identify where to Refill.
- iii. The group along with the Town Centre Management Team is working closely with the local business community in main town centres to encourage more shops to sign up to plastic free commitments.
- iv. The restaurant at Penallta House is encouraging customers to buy reusable cups and extra charges will be introduced in the near future for the purchase of drinks in non- reusable cups. Many plastic items have also been removed (spoons, bags, stirrers, forks, etc.) from the restaurant and across school kitchens.
- v. Improved recycling facilities have been placed on each floor within the workplace for staff to increase their recycling activities (paper, food, plastics etc.)
- vi. Attended meetings with local voluntary groups and town centre businesses to promote the work the Plastics challenge group are undertaking and see how we can assist them in taking their challenge forward so the whole authority benefits.

Appendix 2 – Case Studies

Maximising the Local Pound – S D James Construction Ltd

S D James Construction Ltd is a local SME based in Blackwood. The company was established in 2010 and is a family run business consisting of two Managing Directors – Simon and Desmond James.

S D James Construction Ltd specialises in all aspects of general building and was successful on being appointed onto the Councils Housing Repair Operations (HRO) arrangement – Lot 1 that was established off the Dynamic Purchasing System (DPS) for the Provision of General Builders. The purpose of the HRO arrangement is to support the Councils in-house workforce providing a planned and reactive maintenance service in relation to general building works.

HRO Total Estimated Framework Value: £6 million

HRO Framework Duration: 6 Years

As part of the HRO framework arrangement successful contractors are required to deliver a series of community benefits. Since commencement of the contract on 01/10/2018 S D James Construction have delivered the following:

Total contract spend (to date): £1,872,500.00 (£1,097,000 – goods, services & overheads and £775,500 – staff and labour)

Contractor Deliverables			Comments
Targeted Recruitment & Training	No. staff retained	4	All staff retained reside within the borough
	No. new FT employees	9	All new employees recruited reside within the borough
	No. Apprenticeships	3	Apprenticeships – 1 x Plasterer, 2 x Plumber (via DPR Plumbing – Subcontractor of S D James Construction)
	No. accredited training opportunities	4	1 x NVQ Level 6 in Management & Health & Safety 3 x NVQ Level 3 Site Supervision All employees also received CAT B Asbestos training
Supply Chain Initiatives	% spend with businesses in Wales	100%	All supplier expenditure for this contract is with Builders Merchants based within the Caerphilly Borough. These include Robert Price Builders Merchants, Denman & Sons, Hughes Forest and Plumb Wales
	% spend with businesses in Caerphilly	100%	
	% subcontractors paid within 30 days	100%	
Community Initiatives	No. community initiatives / projects supported	5	Armed Forces Day - £4,500 donation Abercarn Mini Rugby - £1,200 annual sponsorship Markham Senior Rugby - £2,000 annual sponsorship Caerphilly Food Bank Appeal - £500 gift voucher In-kind labour - £4,500
Environmental Initiatives	Environmental Initiatives	3	Car share scheme, consolidated material deliveries and trackers on company vehicles.

Maximising the Local Pound – Lightning Solutions Wales Ltd

Lightning Solutions Wales Ltd is a local SME based in Merthyr Tydfil. The company was established in 2008 and is run by Managing Director Ben Smith. Lightning Solutions Wales Ltd specialises in all aspects of electrical work and was successful on being appointed onto the Councils Housing Repair Operations (HRO) Support Framework – Lot 1. The purpose of the HRO arrangement is to support the Councils in-house workforce providing a planned and reactive maintenance service in relation to general building works.

HRO Total Estimated Framework Value: £4 million

HRO Framework Duration: 4 Years

As part of the HRO framework arrangement successful contractors are required to deliver a series of community benefits. Since commencement of the contract on 01/10/2018 Lightning Solutions Wales Ltd have delivered the following:

Total contract spend (to date): £1,118,424.00 (£756,867,64 – goods, services & overheads and £361,556 – staff and labour)

Contractor Deliverables			Comments
	No. new FT employees	15	All new employees recruited all live local to Caerphilly
	No. Apprenticeships	1	Apprenticeships – 1 x Electrician
	No. accredited training opportunities	31	All employees received CAT B Asbestos training, Aico Fire Alarm Training, 18 TH Edition Electrical Training
Supply Chain Initiatives	% spend with businesses in Wales	100%	All supplier expenditure for this contract is local with Key components from Robert Price Builders Merchant and Seren Electrical
	% spend with businesses in Caerphilly	100%	
Community Initiatives	No. community initiatives / projects supported	3	Bedlinog Rugby Club - £5,000 annual sponsorship Community Activity Gaming Event Vale of Glamorgan - £500 donation Caerphilly Food Bank Appeal - £500 gift voucher
Environmental Initiatives	Environmental Initiatives	1	Trackers on company vehicles.

Maximising the Local Pound – Creobuild (UK) Ltd

Creobuild (UK) Ltd is a local SME based in Aberdare. The company was established in 2015 and is run by Managing Director Gareth Williams. Creobuild (UK) Ltd are a civil engineering and building company who specialises in all aspects of construction and building works and was successful on being appointed onto the Councils Welsh Housing Quality Standard (WHQS) Dynamic Purchase System (DPS) for General Building. The purpose of the DPS is to facilitate the council's immediate requirements by running mini competitions, to undertake packages of external works to council's housing stock in accordance with the WHQS Programme.

Total Estimated DPS Value: £16 million

DPS Framework Duration: 3 Years

As part of the DPS arrangement successful contractors are required to deliver a series of community benefits. Since commencement of the contract on 01/04/2017 Creobuild (UK) Ltd have delivered the following:

Total contract spend (to date): £1,650,000.50 (£1,200,000.00 – goods, services & overheads and £450,000 – staff and labour)

Contractor Deliverables			Comments
Page 62 Targeted Recruitment & Training	No. staff retained	9	All those retained live local to Caerphilly of those 6 live within the Caerphilly Borough
	No. new FT employees	17	All new employees recruited all live local to Caerphilly of those 9 live within the Caerphilly Borough
	No. Apprenticeships	5	4 x Groundwork, 1 x Carpenters
	No. accredited training opportunities	100	CAT B Asbestos training x 10 employees, Asbestos Awareness x 30 employees, Working at Height x 30 employees, COSHH Awareness x 30 employees
Supply Chain Initiatives	% spend with businesses in Wales	100%	All supplier expenditure for this contract is local with Key components from Robert Price Builders Merchant, and other materials purchased from New Tredegar Building Supplies, Risca Builders Merchants, Terry Howells Builders Merchants and skip hire from Caerphilly Skips and New Tredegar Skips
	% spend with businesses in Caerphilly	100%	
Community Initiatives	No. community initiatives / projects supported	2	Sponsorship of local Young Motor Cross Competitor, Free Use of plant on local community project
Environmental Initiatives	Environmental Initiatives	2	Trackers on company vehicles, Van / Car Sharing of employees travelling to site

Welsh Local Multiplier: On completion of the Welsh Government community benefits measurement tool using the information above, the Welsh local multiplier shows the relative impact of this contract on Wales. For every £1 spent, the value of **£2** has been reinvested in the Welsh economy. This figure is based on whether the contract was spent on a contractor based in Wales and then how much the contractor re-spent the contract income. These two figures are added together and divided by the contract value to create a ratio showing how much was spent on the contract to create the added income for the Welsh Economy.

Maximising the Local Pound – E.ON Energy

Provision of Energy efficiency measures to domestic properties at Lansbury Park Caerphilly.

Total Estimated Value: £1.9 million

Contract Duration: 18 Weeks

Total contract spend (to date): £1,916,385.00 (£1,303,142.00 – goods, services & overheads and £613,243 – staff and labour)

Contractor Deliverables			Comments
Targeted Recruitment & Training	No. Staff retained	16	Trainee Plasterer, Trainee Carpenter, Trainee Insulation Board Installer, Labourer
	No. new FT Employees	4	
	No. Apprenticeships	2	2 Apprentices on the project
	No. Accredited training opportunities	4	1 x University 3 x College (HND)
Supply Chain Initiatives	% spend with businesses in Wales	100%	All supplier expenditure for this contract is with Builders Merchants based within the Caerphilly Borough. These include Robert Price Builders Merchants, Denman & Sons, Hughes Forest and Plumb Wales
Community Initiatives	No. community initiatives/projects supported	3	Use of mobile meeting space, Sponsorship of local rugby team, Sponsorship of Caerphilly 10k run
Environmental Initiatives	Environmental Initiatives	2	All subcontractors and employees lived within 15 miles of site, Staff car sharing,

Maximising the Local Pound – Milk Contract

Woosnam Dairies is a local SME and traditional family owned dairy company, based in the Caerphilly Borough. Established in October 1978 by husband and wife Donald & Sian Woosnam, the company has gone from strength to strength to become one of the areas most popular independent retail dairies. With the demise of Dairy Farmers of Britain in the early part of 2009 Caerphilly Council was left without a supplier for its supply of fresh milk and Woosnam Dairies were contacted to ascertain if they could temporarily support the Council whilst a new contract arrangement was being developed. Due to the increase in business as part of the interim arrangement Woosnam Dairies recruited an additional member of staff to assist with the additional demand. During the interim arrangement Woosnam Dairies worked closely with the Council's Business Development Team and Supplier Relationship Officer to develop a business plan and relevant policies and procedures that would assist them moving forward. Having gained experience of public sector tendering and in accordance with their business plan to grow year on year Woosnam Dairies tendered for numerous contracts over the years, most recently the National Procurement Services Milk arrangement and were successful on securing a contract In 2017. This was the largest and most complex tender ever faced by Woosnam Dairies and they attended several Procurement Clinics with the councils Supplier Relationship Officer to assist them moving forward with the tender. The Dairy were successful in gaining a place on the framework and have since won work with Merthyr Council, Rhondda Cynon Taff Council, Newport Council and Aneurin Bevan University Health Board whilst also keeping their contract with Caerphilly Council.

Total Estimated Value: £1.6 million

Contract Duration: 4 Years (3 Years Plus 1)

Contractor Deliverables			Comments
Targeted Recruitment & Training	No. Staff retained	2	2 x Drivers
	No. new FT Employees	10.5	9 x Drivers 1.5 Administrative Staff
Supply Chain Initiatives	% spend with businesses in Caerphilly	100%	All supplier expenditure for this contract is local with Woosnam Dairies being based within the County Borough
	% contractors paid within 30 days	100%	All payments were paid within required payment terms
Community Initiatives	No. community initiatives/projects supported	2 Per Year	As part of Woosnam Dairies commitment to recycling in the community, they offer local schools the opportunity to take part in a Milk Carton Recycling Scheme. This scheme is to help encourage schools reduce their impact on the environment by recycling the cartons they have their milk in.
Environmental Initiatives	Environmental Initiatives	1	The milk carton recycling scheme was launched by Caerphilly County Borough Council's Plastics Challenge group with the help of Woosnam Dairies to encourage schools to reduce their impact on the environment. Schools are evaluated on their efforts, as part of the scheme, and the best performers awarded. The scheme has also seen plastic milk bottles replaced with paperboard cartons, which contain 69% less plastic than standard polyethylene bottles.

Appendix 3

Number of requests under the Freedom of Information Act and Environmental Information Regulations by directorate/service area involvement

Note that a single request can involve more than one directorate/service area

	Total 2016		Total 2017		Total 2018		1 st Qtr. 2018		2 nd Qtr. 2018		3 rd Qtr. 2018		4 th Qtr. 2018		Total 2019 to end qtr 2		1 st Qtr. 2019		2 nd Qtr. 2019	
	Single	Multi	Single	Multi	Single	Multi	Single	Multi	Single	Multi	Single	Multi	Single	Multi	Single	Multi	Single	Multi	Single	Multi
Chief Executive	0	1	0	2	1	9	0	3	1	1	0	3	0	2	3	1	1	1	2	0
Deputy Chief Executive (no longer reported separately)	0	1	0	0																
Engineering & Transport	94	39	85	25	100	5	29	12	23	12	26	15	22	11	50	12	28	6	22	6
Planning & Regeneration	64	52	96	50	49	37	18	10	12	3	13	15	6	9	21	12	7	8	14	4
Public Protection (includes Policy and Performance)	121	51	137	44	106	56	21	13	29	11	29	18	27	14	53	16	32	7	21	9
Community & Leisure	71	29	67	44	87	50	18	10	18	10	29	15	22	15	51	11	29	8	22	3
Corporate Finance	111	55	152	46	98	57	18	18	28	11	31	15	21	13	58	23	35	12	23	11
Housing	43	42	56	50	62	38	22	13	13	6	13	12	14	7	30	20	19	7	11	13
ICT/ Digital Services from 2018	62	24	52	16	49	19	10	8	12	3	18	3	9	5	21	8	14	5	7	3
Legal & Governance	23	33	26	23	29	39	2	14	17	5	3	8	7	12	14	11	5	8	9	3
People Management	65	44	84	39	65	39	17	10	19	7	15	11	14	11	47	16	23	10	24	6
Performance & Property (Property only from 2018)	26	30	16	34	23	30	5	8	9	6	4	10	5	6	12	15	8	6	5	9
Education	70	38	106	38	93	31	29	8	22	8	25	6	17	9	45	12	21	7	24	5
Social Services	122	47	128	45	94	33	20	10	33	4	23	9	18	10	50	20	29	10	21	10
Procurement	34	29	11	15	6	25	1	7	1	4	3	9	1	5	7	5	3	3	4	2
Health and Safety	9	11	3	11	1	9	1	5	0	1	0	2	0	1	1	4	1	2	0	2
Communications	4	12	4	14	5	18	3	8	0	3	0	4	2	3	7	4	2	1	5	3
Customer 1st	6	7	2	5	7	11	1	3	1	2	3	2	2	4	0	2	0	1	0	1

Note: Education and Social Services have designated staff that co-ordinate requests for the whole of their Directorates. Requests attributed to these departments may have been handled by different service areas within the respective Directorates.

Appendix 4

Number of Subject Access Requests under data protection legislation by directorate/service area involvement

Note that a single request can involve more than one directorate/service area

	Total 2016	Total 2017	Total 2018	1 st Qtr. 2018	2 nd Qtr. 2018	3 rd Qtr. 2018	4 th Qtr. 2018	Total 2019 to end qtr 2	1 st Qtr. 2019	2 nd Qtr. 2019
Chief Executive	2	0	3	1	2	0	0	0	0	0
Deputy Chief Executive (no longer reported separately)	0	0								
Social Services	32	26	35	7	5	13	10	24	11	13
Housing	5	5	12	1	4	4	3	5	2	3
Education	14	9	4	2	1	0	1	4	2	2
Public Protection (includes Policy and Performance)	11	7	17	6	2	2	7	5	3	2
Community & Leisure	1	1	6	3	2	0	1	2	1	1
Engineering & Transport	1	0	5	1	0	1	3	1	1	0
Planning & Regeneration	6	8	10	2	1	3	4	1	0	1
ICT/ Digital Services from 2018	1	0	0	0	0	0	0	0	0	0
Corporate Finance	2	4	4	1	1	0	2	1	1	0
Legal & Governance	2	0	4	1	1	1	1	1	1	0
People Management	28	27	42	16	7	12	7	18	11	7
Performance & Property (Property only from 2018)	1	3	4	0	2	0	2	5	2	3
H&S	10	0	1	1	0	0	0	1	1	0
Procurement	0	1	0	0	0	0	0	0	0	0
Communications			1	1	0	0	0	0	0	0
Customer First			1	0	0	0	1	1	1	0

Note: Education and Social Services have designated staff that co-ordinate requests for the whole of their directorates. Different service areas within the respective directorates may have handled requests attributed to these departments.

Appendix 5

Number of requests under the Freedom of Information Act and Environmental Information Regulations	Total 2016	Total 2017	Total 2018	1 st Qtr 2018	2 nd Qtr 2018	3 rd Qtr 2018	4 th Qtr 2018	Total 2019 to end qtr 2	1 st Qtr 2019	2 nd Qtr 2019
Number of requests received that fulfil the definition of a request (Freedom of Information Act 2000 & Environmental Information Regulations 2004) Note: excludes requests which were subsequently withdrawn	1086	1,219	1,296	305	337	346	308	687	380	307
Of these the number which fully or mostly fall under the Freedom of Information Act (FOI)	1068	1,199	1,239	296	330	318	295	671	374	297
Of these the number which fully or mostly fall under the Environmental Information Regulations (EIR)	18	20	57	9	7	28	13	16	6	10
Number of requests received that have been processed in full within the normal legal compliance time i.e. 20 working days	888 (83%)	979 (83%)	1,067 (84%)	238 (79%)	304 (91%)	284 (84%)	241 (80%)	547 (81%)	289 (77%)	258 (86%)
The number of FOI/EIR requests where the 20 working day deadline has been extended as permitted by legislation	0	0	0	0	0	0	0	0	0	0
Number of FOI & EIR requests on hold at the time of compiling statistics awaiting a response from applicant (fees or clarification)	20	35	25	4	4	9	8	13	6	7
Number of requests received that have not been processed in full within the normal legal compliance deadline i.e. 20 working days (inc. those still outstanding)	178 (17%)	205 (17%)	204 (16%)	63 (21%)	29 (9%)	53 (16%)	59 (20%)	127 (19%)	85 (23%)	42 (14%)

Note: the requests out for clarification have not been included in the compliance calculation as they are currently “on hold” and therefore the clock has stopped ticking.

Appendix 6

Number of Subject Access Requests (SARs) – Data Protection Act	Total 2016	Total 2017	Total 2018	1 st Qtr 2018	2 nd Qtr 2018	3 rd Qtr 2018	4 th Qtr 2018	Total 2019 to end qtr 2	1 st Qtr 2019	2 nd Qtr 2019
Number of requests received that fulfil the definition of a request	90	83	121	32	24	36	29	61	30	31
Number of requests received that have been processed in full within the normal legal compliance time*	53 (59%)	60 (72%)	87 (72%)	23 (72%)	22 (92%)	22 (61%)	20 (69%)	48 (79%)	22 (73%)	26 (84%)
Number of requests received that have not been processed in full within the normal legal compliance time*	97 (41%)	23 (28%)	34 (28%)	9 (28%)	2 (8%)	14 (39%)	9 (31%)	13 (21%)	8 (27%)	5 (16%)
Potential SARs i.e. requests have been received but the required paperwork has not been submitted to activate the request	30	44	36	4	8	14	10	20	8	12

* calendar days until 25 May 2018, when GDPR introduced the new timescale of 1 calendar month, with the potential to extend in certain circumstances.

Appendix 7

Outcomes of requests under the Freedom of Information Act (FOI) and Environmental Information Regulations (EIR)	Total 2016	Total 2017	Total 2018	1st Qtr 2018	2nd Qtr 2018	3rd Qtr 2018	4th Qtr 2018	Total 2019 to end qtr 2	1st Qtr 2019	2nd Qtr 2019
Number of requests where all information requested has been provided	821	896	994	244	257	263	230	499	276	223
Number of requests where part of the information requested has been provided (*includes requests where part of the information was refused as the costs would exceed the appropriate limit)	82	95	93	20	36	19	18	67	42	25
Number of requests where the applicant has been informed that the information requested is not held (advice and assistance provided)	25	38	30	4	10	12	4	15	8	7
Number of requests withdrawn by applicant	4	9	1	0	0	1	0	6	5	1
Number of requests refused as they were considered vexatious	0	0	0	0	0	0	0	0	0	0
Number of requests refused as they were considered repeated	0	0	0	0	0	0	0	0	0	0
Number of requests refused in full as the costs would exceed the appropriate limit (see above and below*)	16	39	36	9	10	7	10	33	21	12
Number of requests refused in full (*includes requests where the information was refused as the costs would exceed the appropriate limit)	108	118	136	27	32	37	40	87	45	42
Number of request on hold at time of compiling statistics awaiting response from applicant (clarification)	20	35	25	4	5	9	8	13	6	7
Number of requests outstanding at time of compiling statistics	30	37	27	9	2	8	8	26	11	15

Appendix 8

Use of Exemptions (FOI) and Exceptions (EIR) Note that a single request can cite more than one specific exemption / exception as a reason for refusal	Total 2016	Total 2017	Total 2018	1st Qtr 2018	2nd Qtr 2018	3rd Qtr 2018	4th Qtr 2018	Total 2019 to end qtr 2	1st Qtr 2019	2nd Qtr 2019
For requests under the Freedom of Information Act, number which cited an exemption as a reason for refusal:										
S.(21) - Information provided by other means	60	81	82	16	28	20	18	53	31	22
S.(22) - Information intended for future publication	26	22	29	7	5	8	9	9	3	6
S.(23) - Information supplied by, or relating to, bodies dealing with security matters	0	0	0	0	0	0	0	0	0	0
S.(24) - National security	0	0	0	0	0	0	0	0	0	0
S.(25) - Defence	0	0	0	0	0	0	0	0	0	0
S.(26) - International relations	0	0	0	0	0	0	0	0	0	0
S.(27) - Relations within the United Kingdom	0	0	0	0	0	0	0	0	0	0
S.(28) - The economy	0	0	0	0	0	0	0	0	0	0
S.(29) - Investigations and proceedings conducted by public authorities	0	1	3	0	2	1	0	3	0	3
S.(30) - Law enforcement	10	5	7	4	0	0	3	1	0	1
S.(31) - Court records, etc	0	0	1	0	0	0	1	0	0	0
S.(32) - Audit functions	0	0	0	0	0	0	0	0	0	0
S.(33) - Parliamentary privilege	0	0	0	0	0	0	0	0	0	0
S.(34) - Formulation of government policy, etc	0	0	0	0	0	0	0	0	0	0
S.(35) - Prejudice to effective conduct of public affairs	0	0	0	0	0	0	0	0	0	0
S.(36) - Communications with Her Majesty, etc. and honours	0	0	0	0	0	0	0	0	0	0
S.(37) - Health and safety	0	0	0	0	0	0	0	0	0	0
S.(38) - Personal information of third parties	24	25	24	3	8	5	8	18	9	9

	Total 2016	Total 2017	Total 2018	1st Qtr 2018	2nd Qtr 2018	3rd Qtr 2018	4th Qtr 2018	Total 2019 to end qtr 2	1st Qtr 2019	2nd Qtr 2019
S.(40(1)) – Transfer to SAR	1	1	0	0	0	0	0	0	0	0
S.(41) - Information provided in confidence	0	1	1	0	0	1	0	1	1	0
S.(42) - Legal professional privilege	0	1	1	0	0	0	1	0	0	0
S.(43) - Commercial interests	5	5	0	0	0	0	0	4	3	1
S.(44) - Prohibitions on disclosure	0	0	0	0	0	0	0	0	0	0
FOI Refusal – costs	43	64	36	9	10	7	10	33	21	12
FOI Neither confirm nor deny	1	2	2	0	0	2	0	3	2	1
Refused – repeated	0	0	0	0	0	0	0	0	0	0
For requests under the Environmental Information Regulations, number which cited an exception as a reason for refusal:										
R. 12 (3) (a) - Exempt personal data	0	3	1	0	1	0	0	3	1	2
R. 12 (4) (a) – Do not hold	0	0	0	0	0	0	0	0	0	0
R. 12 (4) (b) - Manifestly unreasonable	1	1	1	1	0	0	0	0	0	0
R. 12 (4) (c) - Too general	0	0	0	0	0	0	0	0	0	0
R. 12 (4) (d) - Work in progress / incomplete data	0	0	0	0	0	0	0	0	0	0
R. 12 (4) (e) - Internal communications	0	0	0	0	0	0	0	0	0	0
R. 12 (5) (a) - Adverse effect on international relations, defence, national security or public safety	0	0	0	0	0	0	0	0	0	0
R. 12 (5) (b) - Adverse effect on course of justice or conduct of inquiries	0	0	0	0	0	0	0	0	0	0
R. 12 (5) (c) - Adverse effect on intellectual property rights	0	0	0	0	0	0	0	0	0	0
R. 12 (5) (d) - Impinges on confidentiality of a public authority's work	0	2	0	0	0	0	0	0	0	0
R. 12 (5) (e) - Impinges on confidentiality of commercial or industrial information	0	0	0	0	0	0	0	0	0	0
R. 12 (5) (f) - Adverse effect on interests of person who provided the information	0	0	1	0	1	0	0	1	0	1
R. 12 (5) (g) - Adverse effect on protection of environment to which information relates	0	0	0	0	0	0	0	0	0	0
R. 12 (6) (1)(b) Accessible by other means	1	6	1	0	0	1	0	1	0	1

