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Date: 1st October 2014

Dear Sir/Madam,

A meeting of **Council** will be held in the **Council Chamber - Penallta House, Tredomen, Ystrad Mynach** on **Tuesday, 7th October, 2014** at **5.00 pm** to consider the matters contained in the following agenda.

Yours faithfully,

A handwritten signature in blue ink that reads 'Chris Burns'.

Chris Burns
INTERIM CHIEF EXECUTIVE

A G E N D A

- 1 To receive apologies for absence.
- 2 Mayor's Announcements.
- 3 Presentation of Awards.
- 4 Declarations of interest.
Councillors and Officers are reminded of their personal responsibility to declare any personal and/or prejudicial interest(s) in respect of any item of business on this agenda in accordance with the Local Government Act 2000, the Council's Constitution and the Code of Conduct for both Councillors and Officers.

To approve and sign the following minutes: -

- 5 Council held on 22nd July 2014 (minute nos. 1 - 16)(attached)

To receive and consider the following reports from the meetings of Cabinet held on 17th September

A greener place Man gwyrddach



and 1st October 2014

- 6 Annual Performance Report 2013/14 - 17th September 2014
- 7 Caerphilly County Borough Local Development Plan (First Review) Up to 2031 - Population and Household Growth Options - 1st October 2014
- 8 Local Development Plan - Annual Monitoring Report 2014 - 1st October 2014
- 9 Workforce Flexibilities/Discretions under the Local Government Pension Scheme 2013 (As Amended) - 1st October 2014

To receive and consider the following reports: -

- 10 Proposed Amendments to Scrutiny Committee Agenda - Democratic Services Committee - 17th September 2014
- 11 Social Media Protocol for Elected Members - Democratic Services Committee - 17th September 2014
- 12 Implementation of Electronic Voting and Web Casting of Full Council Meetings - Democratic Services Committee - 17th September 2014
- 13 Annual Letter from the Public Services Ombudsman for Wales 2013/14 Report - Standards Committee 23rd September 2014
- 14 Local Authorities (Standing Orders)(Wales)(Amendment Regulations) 2014 - Changes to the Council's Constitution

To receive and answer questions received under Rules of Procedure 10(2) which may have been submitted after the preparation of the agenda

Circulation:

All Members And Appropriate Officers



COUNCIL

MINUTES OF THE MEETING HELD AT PENALLTA HOUSE, YSTRAD MYNACH ON TUESDAY 22ND JULY 2014 AT 5.00PM

PRESENT:

Councillor D.G. Carter - Mayor
Councillor L. Gardiner - Deputy Mayor

Councillors:

M. Adams, Mrs E.M. Aldworth, H.A. Andrews, Mrs K.R. Baker, Mrs G. Bevan, J. Bevan, P.J. Bevan, L. Binding, Mrs A. Blackman, Mrs P. Cook, C.J. Cuss, H.W. David, H.R. Davies, D.T. Davies, R.T. Davies, N. Dix, C. Durham, C. Elsbury, Mrs C. Forehead, Miss E. E. Forehead, J.E. Fussell, Mrs J. Gale, N. George, C.J. Gordon, R.W. Gough, D.M. Gray, Mrs P. Griffiths, D.T. Hardacre, C. Hawker, A.G. Higgs, K. James, M.P. James, G. Jones, Ms J.G. Jones, S. Kent, G. Kirby, Ms P. Leonard, A. Lewis, K. Lloyd, C.P. Mann, S. Morgan, Mrs G. Oliver, Mrs R. Passmore, D.V. Poole, D.W.R. Preece, M.J. Prew, J. Pritchard, J.A. Pritchard, A. Rees, D. Rees, K.V. Reynolds, J.E. Roberts, R. Saralis, S. Skivens, Mrs E. Stenner, Mrs J. Summers, J. Taylor, L.G. Whittle, T.J. Williams, R. Woodyatt

Together with:-

S. Rosser (Interim Chief Executive), S. Aspinall (Acting Deputy Chief Executive), D. Street (Director of Social Services), G. Williams (Interim Head of Legal Services and Monitoring Officer), M. Williams (Head of Community and Leisure Services), Colin Jones (Head of Performance and Property), Lynne Donovan (HR Service Manager - Customer Services), Steve Harris (Acting Head of Corporate Finance), A. Price (Interim Deputy Monitoring Officer), D. Price (Parks and Outdoor Facilities Manager), H. Morgan (Senior Committee Services Officer)

Also Present Non Jenkins (Wales Audit Office) and Ian Davies (PricewaterhouseCoopers)

1. APOLOGIES

Apologies for absence were received from Councillors Miss L. Ackerman, A.P. Angel, D. Bolter, W. David, D. Havard, G.J. Hughes, G. Johnston, Mrs B.A. Jones, Mrs D. Price, Mrs M.E. Sargent and Mrs N. Scammell (Acting Director of Corporate Services).

Members were advised that Councillor D. Bolter is currently in hospital following a period of illness and extended their best wishes for a speedy recovery.

2. MAYOR'S ANNOUNCEMENTS

The Mayor referred to the many events and visits that he and the Deputy Mayor have undertaken since the last meeting and made specific reference to the unveiling of the Wales National Mining Memorial and Gardens in Senghenydd by Prince Charles and the Duchess of Cornwall. Members wished to place on record their appreciation to the role played by the Senghenydd Memorial Committee in developing the site which commemorates the victims of the mining Senghenydd Colliery Disaster 100 years ago. He also referred to the journey of six fire engines that are being taken to Serbia through the auspices of the South Wales Fire Authority.

3. PETITIONS

The Mayor received the following petitions presented by Members on behalf of local residents and indicated they would be referred to the appropriate Directorate for attention:-

- (i) request to improve the safety at the junction on the exit road from Penmaen Housing Estate, Oakdale onto the B4251 - Councillors Mrs J. Summers and R. Saralis;
- (ii) request for a crossing patrol at the road adjacent to Graig-y-Rhacca Primary School - Councillors Mrs E. M. Aldworth and Mrs J. Gale.

PRESENTATIONS

4. Best Young Enterprise Company in Wales 2014

Members were advised that pupils from Heolddu Comprehensive School recently won the award for Best Young Enterprise Company in Wales 2014. Their company, Hexaphone, made up of six year 12 pupils, has already won the Gwent regional heats and along the way picked up additional prizes for Best Trade Stand and Most Innovative Product.

Their winning product 'Handy Stand' allows for easy hands-free viewing of mobile phones and tablet devices. The Hexaphone Team was responsible for the entire product development, from design, manufacturing, marketing and sales.

Julie Hovestadt and the Hexaphone Team, Ryan Williams-Griffiths, Georgia Sutcliffe, Lucy Roach, Callum Pascoe and Callum Rosser came forward to show their award and Members wished to place on record their appreciation for their hard work and dedication to the project.

5. Home Office - Lord Ferrers Award

It was then noted that the Community Safety Wardens have been recognised by the Home Office and awarded the Lord Ferrers 'Employer Supported Policing' Award. The award was presented for the excellent work done by the Community Safety Officers in supporting Gwent Police to tackle crime, disorder and antisocial behaviour in the county borough.

Kathryn Peters, Paul Wallen, Alan Davies, Mark Griffiths and Morgan Davies received the award on behalf of the service. Members wished to place on record their appreciation to all those involved in achieving the award.

6. ROYAL BRITISH LEGION - PRESENTATION OF CERTIFICATE

The Mayor announced that the Royal British Legion have presented the Council with a 'Certificate of Thanks' for all the support that has been given in the fundraising efforts for the Welsh Memorial in Flanders campaign, primarily by selling pin badges to staff, with the money raised going towards the campaign. He advised that in total they have raised £8,000 which will pay for a memorial to be built on an area of land in Belgium to commemorate the people of Welsh descent who lost their lives in World War 1.

7. DECLARATIONS OF INTEREST

Mr Rosser advised that with regards to item 9(2) - Recruitment of Interim Chief Executive he would be required to declare an interest in the third of the recommendations detailed within the report. With regards to item 9(3) - Interim Management Costs, and subject to the content of the debate, certain Officers present may be required to declare an interest and leave the meeting.

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

8. COUNCIL - 10TH JUNE 2014

RESOLVED that subject to it being noted that Councillor C. Hawker had been present at the meeting and is recorded as having given apologies, the following minutes be approved as correct records and signed by the Mayor.

Council held on 10th June 2014 (minute nos. 1 - 17 on page nos. 1 - 10).

9. ANNUAL IMPROVEMENT REPORT BY WALES AUDIT OFFICE

Non Jenkins (Wales Audit Office) gave an overview of the content of the Annual Improvement Report (AIR). She highlighted the key messages, areas for improvement and weakness identified and in providing a summary of the work undertaken advised that three improvement reports are received each year from Wales Audit Office. One is a forward looking report that asks if we comply with the legislation, the second is a backward looking report which looks at the performance for the previous financial year and the third, and final, is the AIR which summarises all the regulator work and the findings throughout the year.

It was noted that the recommendations for improvement made in the first and second reports have already been presented to Members and that there are already monitoring processes to take forward the proposals for improvement recommended by the Wales Audit Office. The findings have previously been debated and many of the proposed areas of improvement have been addressed, although it was acknowledged that there are still improvements that could be made which will continue to be taken forward through the action plan. Those identified within the AIR have already been progressed and incorporated within the plan.

Members were advised of the process in place to monitor and track proposals that are made for improvement by Wales Audit Office and were assured that there is a robust process in place for following up on the suggested improvements. Regular reports are presented to Corporate Management Team, Cabinet and the Audit Committee detailing progress on the proposals. The AIR recognises the steady progress that has been made and acknowledges the mechanisms in place to track and monitor proposals and the improvements to performance management and the scrutiny process.

Following a query on the fee, it was noted that the financial audit fee for 2012/13 is currently expected to be higher than the agreed fee set out in the Annual Audit Outline due to the additional work required in respect of senior officers pay and asset valuation.

Following consideration and discussion, it was moved and seconded that the Annual Improvement Report be accepted and the process for the routine monitoring of any outstanding proposals be noted. By a show of hands this was unanimously agreed.

RESOLVED that the Annual Improvement Report be accepted and the process for the routine monitoring of any outstanding proposals be noted.

REPORTS REFERRED FROM CABINET

Consideration was given to the following reports referred from Cabinet.

10. CORPORATE PLAN 2013-2017

Cabinet considered this report on 16th July 2014 and in endorsing its content recommended its acceptance by Council.

Members were advised that the Corporate Plan sets out the Priorities for 2013-2017 and the Improvement Objectives for 2014-2015. Whilst there is no requirement to publish a corporate plan, it is the chosen vehicle for publishing the Council's longer-term priorities and includes its Improvement Objectives. The Improvement Objectives were published by the end of June as part of discharging the Council's statutory duty. Subject to the agreement of Council, the Plan, including the Improvement Objectives, will be published by the end of July 2014.

It was noted that there are two errors on page 5 of the Plan which need to be corrected - number of residents should read around 180,000 and not around 170,000 and the number of Cabinet Members should read 10 and not 9.

The Head of Performance and Property explained that following a review of aspirations, Cabinet decided on a revised set of priorities and to retain the same Improvement Objectives as last year. Reference was made to the 9 priorities and following several queries, explanations were given on the proposed priorities and as to how they will be achieved. It was explained that where possible the long term aspirations, priorities and Improvement Objectives are designed to have a connection and link to each other. There are also connections to the Single Plan and Caerphilly Delivers which are joint partnership documents dealing with the long term priorities for the whole of the county borough.

Following consideration and discussion, it was moved and seconded that subject to the minor amendments required to the document, the recommendation from Cabinet be approved. By a show of hands this was unanimously agreed.

RESOLVED that subject to the minor amendments required and for the reasons set out in the report, the Corporate Plan for 2014/15 be approved.

11. REVISED BUSINESS PLAN FOR THE DELIVERY OF THE WELSH HOUSING QUALITY STANDARD (WHQS) BY 2019/2020

The report, which advised Members of a revised Business Plan in respect of the delivery of the WHQS programme, and sought approval for the Housing Revenue Account (HRA) to prudentially borrow up to £55m, was considered by Cabinet on 16th July 2014. In endorsing its content Cabinet recommended its acceptance by Council.

It was explained that the Business Plan is a working document and is constantly updated to reflect any changes in the original assumptions to ensure that it remains viable. As such, and as a result of the need to release the Major Repairs Allowance (WG annual grant) it has become necessary to amend the latest Business Plan to remove the £12m General Fund borrowing contribution and increase the HRA level of unsupported borrowing. To maintain the £200m of spend that is needed to achieve the WHQS by 2019/20, the Business Plan requires £55m of unsupported borrowing solely from the HRA compared to the original Council decision of £39.3m. The business plan remains viable with £55m of HRA borrowing.

Following consideration and discussion, it was moved and seconded that the recommendation from Cabinet be approved. By a show of hands (and in noting that there were three abstentions) this was agreed by the majority present.

RESOLVED that for the reasons set out in the report, unsupported borrowing for the Housing Revenue Account (HRA) of £55m be drawn upon to ensure WHQS can be achieved by 2019/20 and the Major Repairs Allowance (MRA) can be released by Welsh Government.

REPORT REFERRED FROM SCRUTINY COMMITTEE

12. ANNUAL DIRECTOR'S REPORT ON THE EFFECTIVENESS OF SOCIAL CARE SERVICES 2013/14

Consideration was given to the report that informed Members of the key messages identified in the preparation of the fifth Annual Director's Report on the Effectiveness of Social Care Services. This report was considered by the Health Social Care and Well Being Scrutiny Committee on 17th July 2014 who endorsed its content and recommended its acceptance by Council.

Members were advised that the annual report is a summary outlining the effectiveness of how the county borough delivers Social Services to its citizens and the various consultation activities that have been undertaken in order to assist in the process of evaluating the effectiveness of social care services were outlined. It provided details on areas in which the Directorate does well, issues for further development and the key priorities for continued improvement into the future.

Members were advised that in 2013/14 the Directorate set itself a number of overarching and specific divisional priorities. The progress achieved in relation to these priorities were detailed within the document, as were the number of priority areas for development in 2014-15. Detailed Service Improvement Plans have also been developed in order to deliver the priorities for 2014/15 as identified within the report.

It was moved and seconded that the recommendation from the Health Social Care and Well Being Scrutiny Committee be approved. By a show of hands this was unanimously agreed.

RESOLVED that for the reasons contained in the report, the contents of the Annual Director's Report on the Effectiveness of Social Care Services 2013-14 be noted and the key priorities for action by the Corporate Director Social Services be approved.

REPORTS OF OFFICERS

Consideration was given to the following reports.

13. PROVISION OF BYE-LAWS FOR PARKS, PLEASURE GROUNDS, PUBLIC WALKS AND OPEN SPACES

Consideration was given to the report which advised of the completion, and Ministerial approval, of Bye-laws for Parks, Pleasure Grounds, Public Walks and Open Spaces and sought approval for their implementation.

Members were advised that the last occasion the bye-laws were updated covering parks, pleasure grounds, public walks and open spaces was 1999. Prior to this revision many of the bye-laws had not been updated for many years and originated from the previous urban district councils. The approved byelaws (as appended to the report) are set against the changing lifestyles of residents and visitors to parks, pleasure grounds and open spaces and the adoption of new areas including housing estates, commercial developments and the establishment of community partnership facilities.

It was noted that the proposed byelaws will be different in several areas to the Welsh Government "model bye laws" and specifically to the reduction in the upper age limit for using play equipment from 14 (WG model) to 12 (play industry standard) and the opening times. A query was raised in relation to the variation in the opening hours and it was noted that experience has shown that a more flexible approach to opening hours is most beneficial for the users. Reference was also made to the erection of signage and it was noted that there will be a cost to provide signs to inform the public and users of the areas/facilities and it is proposed that a phased approach would be adopted.

It was moved and seconded that the recommendation in the report be approved. By a show of hands this was unanimously agreed.

RESOLVED that the up-to-date Bye-laws covering Parks, Pleasure Grounds, Public Walks and Open Spaces as appended to the report be approved and implemented immediately.

14. RECRUITMENT OF INTERIM CHIEF EXECUTIVE

Mr Rosser advised that he would be required to declare an interest in the third of the recommendations detailed in the report (as it relates to an extension to the current contract of the Interim Chief Executive) and requested that the first two recommendations be dealt with before he is required to leave the meeting. This was agreed by those present.

Consideration was then given to the report and the minutes of the Appointments Committee held on 17th July 2014 (a copy of the Minutes had been circulated to each Member).

Members were reminded that the Council is required by law to have in place a Chief Executive/Head of Paid Service, and Mr Rosser explained the process that had been followed to advertise for an Interim Chief Executive as a result of the decision taken at Council on 10th June 2014.

It was noted that following the advertisement, 13 applications had been received. From an analysis of the applications against the requirements in the job description and person specification, 5 candidates were shortlisted to be brought forward to the recruitment process. Prior to the informal stage of the process one of the shortlisted candidates reconsidered their position and withdrew and a further candidate withdrew just prior to the interviews taking place. As a result the Appointments Committee interviewed 3 candidates for the role and recommended to Council that Christopher Burns be offered the position of Interim Chief Executive and Head of Paid Service of the Council, on an interim basis for a period of twelve months at the agreed advertised salary.

With the exception of recommendation 8.3, it was moved and seconded that the recommendations within the report and within the minutes of the Appointments Committee be approved. By show of hands this was unanimously agreed.

RESOLVED that: -

- (i) the progress outlined in appointing an Interim Chief Executive be noted;
- (ii) Christopher Burns be offered the position of Interim Chief Executive and Head of Paid Service of the Council, on an interim basis for a period of twelve months at the agreed advertised salary.

At this point Mr Rosser declared an interest and left the meeting for this item.

It was moved and seconded that recommendation 8.3 be considered and proposed that there be an extension to the current contract of the Interim Chief Executive (subject to agreement) to bridge any timing gap in the ability of the candidate appointed to take up the post. The exact length of the extension be delegated to the Leader to determine (subject to this not being beyond the 31st October 2014). By a show of hands this was unanimously agreed.

RESOLVED that there be an extension to the current contract of the Interim Chief Executive (subject to agreement) to bridge any timing gap in the ability of the candidate appointed to take up the post. The exact length of the extension being delegated to the Leader to determine (subject to this not being beyond the 31st October 2014).

15. INTERIM MANAGEMENT COSTS

It was noted that subject to the content of the debate it may be necessary for certain of the Officers present to declare an interest and leave the meeting. This was subsequently not required.

Consideration was given to the report which had been prepared following a request for a more detailed report on the additional costs of interim arrangements. The Interim Chief Executive advised that following the suspension of three senior officers, the Council has had to put in place interim arrangements for the management of the Authority, including an Interim Chief Executive and various acting up positions. These costs are in addition to the salary costs of the suspended officers. The report also detailed all of the main areas of cost - salaries of suspended officers, costs of Interim Chief Executive, acting up arrangements in CMT/Governance, other acting up arrangements and other associated costs (legal/audit costs).

Mr Rosser advised that the most significant element of cost is the salary costs associated with the suspension of the three senior officers. As previously reported, the Council has taken external legal advice about the employment procedures and all Council employees have to be paid in line with their employment contracts and this includes full payment whilst on suspension. Additional legal/audit costs have also been incurred over the recent period, albeit that these do not all directly relate to the suspensions/interim management arrangements.

It was noted that provision has been made in the accounts and/or budgets to finance all the costs. The costs of the suspended staff are being met from reserves whilst all other costs are being met from the base budgets. The position is subject to regular review and any significant changes will be reported to Members as appropriate.

It was moved and seconded that the recommendation in the report be approved. By a show of hands this was unanimously agreed.

RESOLVED that the content of the report be noted.

16. QUESTIONS UNDER RULE OF PROCEDURE 10(2)

There were no questions submitted under Rule of Procedure 10(2).

Approved as a correct record and subject to any amendments or corrections agreed and recorded in the minutes of the meeting held on 7th October 2014 they were signed by the Mayor.

The meeting closed at 6.35pm

MAYOR



COUNCIL - 7TH OCTOBER 2014

SUBJECT: ANNUAL PERFORMANCE REPORT 2013/14

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

-
- 1.1 The attached report, which was considered by Cabinet on 17th September 2014, seeks Members' views on the Authority's Annual Self-Assessment, the Performance Report 2013/2014.
 - 1.2 At the Cabinet meeting Members received a summary of the Council's performance in terms of the Improvement Objectives it set itself for 2013/14. It was noted that 5 of the 6 Council Improvement Objectives had been delivered successfully and only one (I.O.5 - Investment in Council homes to transform lives and communities) had not delivered the whole of the planned outcome but it was noted this is a much longer term objective than the others. The main setback had been the deferment of the environmental projects until the latter end of the WHQS Programme, which impacted on a number of the original planned actions. Members were informed that whilst pages 20 and 21 of the draft report state that approximately 65 of the homes had been assessed as fully compliant with WHQS, this figure had now increased to 108, which means that the target had been exceeded.
 - 1.3 Members were advised that the Council's performance against other local authorities, using the Welsh Government's National Strategic Indicators and Public Accountability Measures, had been mixed. Of the 44 indicators used to create the national picture, 30 improved upon the 2012/13 results, 3 maintained the maximum performance level of 100% and 11 declined. Sixteen of the indicators are in the "Upper Quarter" in Wales including 7, which are the best (1st) in Wales.
 - 1.4 Following consideration and discussion, it was moved and seconded that the recommendation set out below, be approved. By a show of hands this was unanimously agreed.

RECOMMENDED that for the reasons contained in the officer's report, the Annual Performance Report 2013/14 be accepted.

- 1.5 Members are asked to consider this recommendation.

Author: S.M. Kauczok, Committee Services Officer

Appendices:

Appendix: Report to Cabinet on 17th September 2014 - Agenda item 5.

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CABINET – 17TH SEPTEMBER 2014

SUBJECT: ANNUAL PERFORMANCE REPORT 2013/14

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

1. PURPOSE OF REPORT

- 1.1 To present to Cabinet the Authority's Annual Self-Assessment called the Performance Report for 2013/14 and to seek the views of Members prior to its presentation to Council on the 7th October.

2. SUMMARY

- 2.1 The Performance Report is a statutory requirement under the Local Government (Wales) Measure 2009 and an important part of the Council's Performance framework. The Council is required to assess its own performance and provide the public with a balanced picture of that performance.
- 2.2 In addition the report must show how the council performed against the Improvement Objectives it set itself for 2013/2014.

3. LINKS TO STRATEGY

- 3.1 The Annual Performance Report contributes towards the Single Integrated Plan, called 'Caerphilly Delivers'. The Annual Performance Report also links to the council's stated priorities:

- Peoples social care needs are identified and met in a timely and appropriate way
- Children and Adults are safeguarded from abuse
- Improve standards across all year groups particularly key stage 3 and 4
- Identify vulnerable groups of learners and develop interventions to ensure needs are met
- Reduce the gap in attainment between pupils in advantaged and disadvantaged communities
- Promote the benefits of an active and healthy lifestyle
- Invest in our Council Homes and their communities to transform lives
- Affordability - Deliver a medium term Financial Plan aimed at ultimately providing a period of stability that helps the authority to have a range of services in the future that are sustainable

The Council formally adopted the above priorities on June 2014. The priorities reflect the council's contribution to the delivery of the Single Integrated Plan together with manifesto commitments made by the ruling administration.

4. THE REPORT

- 4.1 The Council has a statutory duty to publish its Performance Report no later than the 30th October each year. Full details of the plan are attached as Appendix 1 to this report. Upon approval by Council, this report will be published on the Council's internet site and made available in hard copy

at key council offices and our libraries.

- 4.2 Whilst the document is kept in as plain a language as possible it can be classed as a technical document and so a summary of this plan will also be made more widely available to the public by the end of November.
- 4.3 The report primarily includes; A Director's position statement from each of our four directorates; financial statements, progress and achievements made against our 6 Improvement Objectives and performance statistics with progress comments against the National Strategic Indicators and Public Accountability Measures (as prescribed by the Welsh Government) for 2013/14 for Local Authorities.
- 4.4 Detailed appendices of the Council's performance against its Improvement Objectives, using Ffynnon dashboards were scrutinised at Spring / Summer Scrutiny meetings and will be put online so a full picture of performance is provided.
- 4.5 **What does the Annual Improvement report tell us?**
- 4.5.1 In accordance with the Local Government Measure 2009 the Annual Performance Plan is focussed, but not limited to, the council's delivery of its Improvement Objectives. The Improvement Objectives were revised in 2013/14 down from 8 to 6 and the Performance Report reflects that.
- 4.5.2 The council's Improvement Objectives (I.O.) for 2013/2014 were:

I.O.	Description	Status
I.O.1	Ensure children and young people who are looked after are supported to achieve their full potential.	Successful
I.O.2	Improve job opportunities by implementing the Council's Passport Scheme.	Successful
I.O.3	Develop an effective and accessible Youth Service that supports the personal and social development of young people	Successful
I.O.4	Improve Awareness, access, variety and use of leisure community and sporting facilities	Successful
I.O.5	Investment in Council homes to transform lives and communities	Partially Successful
I.O.6	Improve the availability of private and public sector housing to reduce the number of residents who may become homeless	Successful

The judgements above were made internally based upon whether the individual IO's had delivered the outcomes set. The judgements were scrutinised and validated via each individual scrutiny held across the Summer 2014. Five of the six Improvement Objectives have been delivered successfully and only one (I.O.5) has not delivered the whole of the planned outcome. Although over 600 homes were improved internally some slippage did arise at the end of the year but around 200 properties had been brought forward from 2014/15 to expand the internal works programme and ensure there would be continuity of work for the in house workforce. The main setback was the deferment of the environmental projects until the latter end of the WHQS Programme, which impacted on a number of the original planned actions.

- 4.5.3 On a national picture the council's performance against other local authorities in Wales, using the Welsh Government's National Strategic Indicators and Public Accountability Measures, has been mixed. Of the 44 indicators used to create the national picture 30 improved upon 2012/13 results, 3 maintained the maximum performance level of 100%, and 11 declined.
- 4.5.4 Sixteen of the indicators are in the "Upper Quarter" in Wales including 7 which are the best (1st) in Wales, which are:
- The percentage of final statements of special education needs issued within 26 weeks

excluding exceptions. (1st in Wales)

- The percentage of pupils in local authority care in any local authority maintained school aged 15 at the preceding 31st August who leave compulsory education, training or work based training without an approved qualification. (1st in Wales)
- The percentage of adult clients who are supported in the community during the year. (maintained 1st in Wales)
- The percentage of young people formerly looked after with whom the authority is in contact at the age of 19. (1st in Wales)
- The percentage of first placements of looked after children during the year that began with a care plan in place. (1st in Wales)
- The percentage of eligible, relevant and former relevant children that have pathway plans as required. (1st in Wales)
- The percentage of young carers known to social services who were assessed (1st in Wales)

4.5.5 Seventeen of the indicators are in the “Middle Quarters” and these include:

- The percentage of municipal waste sent to landfill (11th in Wales).
- The percentage of A,B & C roads that are in overall poor condition (10th in Wales).
- The percentage of food establishments, which are ‘broadly compliant’ with food hygiene standards (9th in Wales).
- The percentage of carers of adults who were offered an assessment of review of their needs in their own right during the year (15th in Wales).
- The percentage of pupils assessed at the end of key stage 2 achieving the Core Subject Indicator, as determined by teacher assessment. (14th in Wales)

4.5.6 Ten of the indicators are in the “Lower Quarter” and these include:

- The percentage of pupils aged 15 at the preceding 31 August in schools maintained by the local authority who achieved the L2 threshold including a GCSE grade A*-C in English or Welsh first language and maths. (20th in Wales).
- The percentage of pupils assessed at the end of key stage 3, in schools maintained by the local authority, achieving the core subject indicator, as determined by teacher assessment. (18th in Wales).
- Percentage of pupil attendance in primary schools (18th in Wales).
- Percentage of pupil attendance in secondary schools (19th in Wales).
- The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 or over (22nd in Wales).
- The percentage of adult protection referrals completed where risk has been managed (19th in Wales).
- The average external qualifications points score for 16 year old looked after children, in any local authority maintained learning setting (20th in Wales).
- Average number of calendar days taken to deliver a disabled facilities grant (19th in Wales)

Details of Caerphilly’s performance in relation to Wales for all 44 indicators is included in the Performance Report.

4.5.7 Directors have used the Performance Plan to reflect on the performance of their individual directorates:

- Directorate of Corporate Services: pages 14-29
- Directorate of Education and Lifelong Learning: pages 30-47
- Directorate of the Environment: pages 48-66
- Directorate of Social Services: pages 67-84

5. EQUALITIES IMPLICATIONS

- 5.1 The Local Government Measure 2009 includes 'fairness' in its definition of improvement. The legislation also requires organisations to consider 'fairness' when setting priorities. There are 'no protected characteristics' to consider in the actual publishing of the Councils Performance Report and the report will be available in accordance with the Councils Welsh Language policy and in different formats and fonts on request.

6. FINANCIAL IMPLICATIONS

- 6.1 There are no financial implications of this report.

7. PERSONNEL IMPLICATIONS

- 7.1 There are no direct Personnel implications arising from this report.

8. CONSULTATIONS

- 8.1 The Performance Report has been collated via contributions made by all directorates across the council. All Heads of Service have contributed and been consulted on their relevant section. All other comments resulting from consultation have been incorporated into this report.

9. RECOMMENDATIONS

- 9.1 That Cabinet recommends to Council they accept the Annual Performance Report 2013/14.

10. REASONS FOR THE RECOMMENDATIONS

- 10.1 There is a statutory duty on the authority to publish the Performance Report by the 30th October each year.
- 10.2 Council priorities are communicated and understood by all so that there can be the appropriate focus upon their delivery and recognition of the contribution they make to the Single Integrated Plan.

11. STATUTORY POWER

- 11.1 Local Government Act 2009.

Author: Ros Roberts and Lisa Howse Performance Management
Consultees: Colin Jones, Head of Performance & Property Services
Stuart Rosser, Interim Chief Executive
Sandra Aspinall, Acting Deputy Chief Executive
Liz Lewis, Community Focused Schools co-ordinator
Sian Pugh, Training Performance Officer
Dave Street, Corporate Director Social Services
Lianne Dallimore, Lead Collaboration Project Officer
Nicole Scammell, Acting Director of Corporate Services
Cllr. D. Hardacre, Cabinet Member for Performance, Property & Asset Management
Angharad Price, Interim Deputy Monitoring Officer/Barrister

Appendices:
Appendix 1 Final Year Performance Report 2013/14
Appendix 2 Improvement Objectives 2013/14



Annual Performance Report 2013/14 (Draft) V11

To be considered by Council on 7th October 2014



A greener place Man gwyrdach



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Overall statutory performance analysis	How we performed against the Welsh Government's: National Strategic Indicators (NSI) and Public Accountability Measures (PAM) and how we compared to the rest of Wales	85
Outcome Agreements 2013-2016	Summary of our assessment for the 5 outcome agreements we hold with Welsh Government	88
How we collaborate to improve	Assessment of our work with our partners during 2013/14	90

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Our Single Plan – Caerphilly Delivers	Information about our medium term plan for Caerphilly that we share with our Local Service Board partners	100
Council Priorities 2013-17	List of our Council Priorities for 2013-17 and Improvement Objectives for 2014/15	101
How to contact us	Our contact details to help you seek further information or explanation, or if you wish to give feedback, comments or complaints about this Report, or become more involved in our consultation activities	103
Appendix A	Progress Reports about our Improvement Objectives for 2013/14	

This Performance Report is Caerphilly County Borough Council's publication of its end of year performance information and data in relation to its activities and should be considered as the Council's second stage report prepared under Part 1, Section 15 of the Local Government Measure 2009 – Wales Programme for Improvement. This discharges our duties under Sections 2(1), 3(2), 8(7) and 13(1) of the measure.

This publication is available in Welsh, and in other languages and formats on request.

Mae'r cyhoeddiad hwn ar gael yn Gymraeg, ac mewn ieithoedd a fformatau eraill ar gais.

Foreword

**Council Leader:
Cllr. Keith Reynolds**



I am pleased to present our Performance Report for 2013/14, which reviews the council's performance in key areas identified for improvement over the last year.

We continually strive to do things better and raise standards in the way we deliver services to our residents, and while there are undoubtedly tough times ahead financially, we remain committed to delivering value for money services to the highest possible standard.

It is pleasing to note that as a council we are performing very well in a number of key areas, and I would like to thank our workforce and members for their ongoing commitment to delivering on these key priority areas.

We also acknowledge that there are some areas in need of further improvement, and we remain focussed on addressing these areas moving forward.

I would like to thank everyone who has been and continues to be involved in the ongoing improvement process, and I look forward to seeing the organisation achieve further positive results in the future, as we strive to deliver efficient and effective council services to all sections of our community.

**Cllr Keith Reynolds
Leader of Caerphilly County Borough Council**

Introduction

This report aims to provide an insight into how we have performed during the year. However the Authority is very diverse and provides many services so our evaluation of how well we have delivered those services provides an overview of what we have done well, what has not gone so well and where we need to do better. This is our self-evaluation for 2013/14.

When we ask whether we are making a difference to the communities we serve, in compliance with legislation and addressing the priorities that are important to our citizens, we use the activities below to help us. The following list is not exhaustive, but has been provided to give you an idea of some of the key things that the authority does each year to check whether we are doing things as best we can:

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- ✓ We use complaints, compliments and wider consultation to gather feedback and intelligence from our citizens and communities. For example, the citizens forum, viewpoint panel, youth forum, bi-ennial Household Survey, as well as operational intelligence from our partnership work with, the Police, Fire and Rescue, the Health Board, Volunteer Groups, Youth Justice Board, Contractors and other stakeholders.
- ✓ External regulators assess us and inspect our Services to ensure we are compliant with statutory legislation and local policies. For 2013/14 our regulators were; Wales Audit Office, Price Waterhouse Coopers, Estyn and CSSIW.
- ✓ Each Service Area produces an annual Service Plan, against which it reports and monitors its service delivery activities and improvements throughout the year. It has its own 'Performance Scorecard' to monitor, analyse and report performance information throughout the year.
- ✓ Services maintain and monitor a Risk Register, which monitors things that could impede service delivery.
- ✓ Many of our Services form part of wider partnership or collaborative groups, where they produce partnership strategies, plans and programmes which they use collectively to monitor their activities and progress.
- ✓ Services maintain and monitor financial statements of accounts.
- ✓ The authority has in place several tiers of information reporting between officers and councillors, such as Scrutiny, Cabinet and Audit Committee. Our Audit Committee routinely monitors various aspects of service performance and finance.
- ✓ Our employees are engaged in annual appraisals, which we call Performance Development Reviews.
- ✓ The Welsh Government (WG) and European Commission, monitor activities and outcomes delivered against specific grant funded activities.

How will the Report be structured?

The authority continually monitors and reviews its levels of service delivery against a mass of information, including citizen feedback, in order to determine its position in meeting certain legislative requirements and delivering quality and efficient services to our citizens and their communities.

This report mainly focuses on giving the reader, an assessment of council performance, achievements and areas for improvement during the reporting year 2013/14.

For ease of reading, under the section **Our Performance**, we have provided an assessment by each Directorate for 2013/14. Each Directorate assessment will include the following information:

- ✓ Introductions and setting the context including financial information
- ✓ Customer satisfaction
- ✓ The Directorate's overall annual performance statement
- ✓ Financial information and analysis relating to the Directorate for 2013/14
- ✓ Assessment of our progress with our 2013/14 Improvement Objectives for the Directorate
- ✓ Analysis of National Strategic Indicators (NSI) and Public Accountability Measures (PAM) for the Directorate for 2013/14
- ✓ Evaluation of other performance information captured during the year about the directorate

We hope you enjoy reading about how your Authority is working to make a difference to you and your community and welcome any comments or feedback that you may wish to make. If you want to get involved the section called 'How to Contact us' on page 103 will tell you how you can do that.

Authority Finance Summary

The authority plans and approves its budgets on a 3 year medium-term planning principle, which gives consideration to historical trends and spending patterns, national and local initiatives and access to multiple funding sources, some of which change year-on-year.

Our main principles to date have been to safeguard service provision and jobs and to provide improvements to our communities, its people, our infrastructure and surrounding countryside, whilst ensuring a prudent approach to financial decisions. In recent years, we have faced financial constraints that have, in some service areas, changed the way we do things (sometimes referred to as planned savings and disinvestments). However, the financial position has worsened, the council had been working on an anticipated reduction in Welsh Government funding of 1.34% for each of the next 2 financial years and a savings requirement of £13.4 million. However, the Minister for Local Government has suggested that the position is now likely to be much worse and has asked local authorities to start planning for reductions of up to 4.5%. In the worst-case scenario this could result in a savings requirement of **£30.1m** over the 2015/16 and 2016/17 financial years. We are currently consulting with the public asking how you can help shape the services in light of these extremely challenging financial circumstances. If you would like to take part in the consultation you can do so by going to the following link: [Caerphilly Consultation](#)

The authority manages two main categories of finances - **revenue** (every-day running costs for services) and **capital** (specific costs for updating and maintaining key assets and implementing major new projects).

The table opposite provides a summary of revenue budgets and revenue expenditure for the period 2012/13 to 2014/15.

Expenditure (£m)	2012/13		2013/14		2014/15
	Budget	Spend	Budget	Spend	Budget
Corporate Services	56.32	53.02	70.05	56.98	69.12
Education & Lifelong Learning	125.52	123.89	128.24	128.90	127.24
Environment Services	59.72	58.87	60.53	59.94	57.44
Social Services	73.67	73.50	78.65	76.74	78.23
Total Net (£m)	315.23	309.28	337.47	322.56	332.03

Revenue:

Where does our money come from?

Income (£m)	2012/13		2013/14		2014/15
	Budget	Actual	Budget	Actual	Budget
Revenue Support Grant	207.27	207.27	218.74	218.74	217.20
Business Rates (share)	46.36	46.36	54.38	54.38	55.38
Council Tax	52.21	53.72	53.94	55.21	56.34
Other Grants	9.39	9.39	10.41	10.41	1.91
Contribution from Reserves	0	0	0	0	1.20
Total Net (£m)	315.23	316.74	337.47	338.74	332.03

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The table opposite, summarises the key cost pressures and investments that were included in the 2013/14 revenue budget.

Service Area	Amount	Description
All	£4.3m	Whole Authority cost pressures including inflationary increases and revenue support for the Council's Capital Programme
Social Services	£1.2m	Additional funding to meet the increasing demand for services.
Corporate Services	£0.18m	Welfare Reform Implementation Costs

As part of its Medium-Term Financial Plan (MTFP) the authority had already achieved savings in advance of the 2013/14 financial year totalling £5.213m. This enabled a balanced budget to be delivered for 2013/14 with no requirement for further savings made during the year.

Capital Expenditure varies year-on-year and budgets are allocated from specific funding sources. The following table provides a summary of capital budgets and capital expenditure for the period 2012/13 to 2014/15: -

Capital (£m)	2012/13		2013/14		2014/15
	Budget	Spend	Budget	Spend	Budget
Education	25.81	10.86	22.51	7.05	1.42
Highways	12.04	9.14	10.96	6.54	4.83
Housing Stock (Public)	21.59	14.32	14.65	14.65	27.50
Private Housing Grants	4.03	4.03	3.85	3.73	2.47
Social Services	1.08	0.46	1.23	1.10	0.30
Community & Leisure	1.42	0.72	4.37	2.05	0.94
Other	18.26	14.77	22.94	18.02	3.50
Total (£m)	84.23	54.30	80.51	53.14	40.96

The 2013/14 capital under-spend of £27.37m is due in the main to delays in progressing schemes. This was similar to the situation at the end of 2012/13. The under-spend will be carried forward into the 2014/15 financial year to ensure that schemes can be completed.

Further details of Council finances are available on our webpage: [Caerphilly Finances](#)



Customer Care

We have been carrying out a range of activities and consultations to ensure our citizens help shape our services and we know what the public's satisfaction is with our services. For example we introduced a new mobile customer service centre, which will make accessing council services much easier for thousands of Caerphilly county borough residents and this hit the road for the first time in July 2014. The vehicle will visit a number of the county borough's more rural towns and villages on a weekly basis, and will offer a wide range of council services including: -

- Residents can pay council tax/rent
- Council tax enquiries
- Requesting a council housing repair
- Applying for an older person's travel pass or disabled persons parking badge (Blue Badge)
- Searching for a job with the council
- Submitting requests, for example, reporting a pothole, missed bin collection, etc.

We are introducing our new website which will go live in October 2014. It has been designed to be used on tablets and smart phones and reflects the increasing use of these devices.

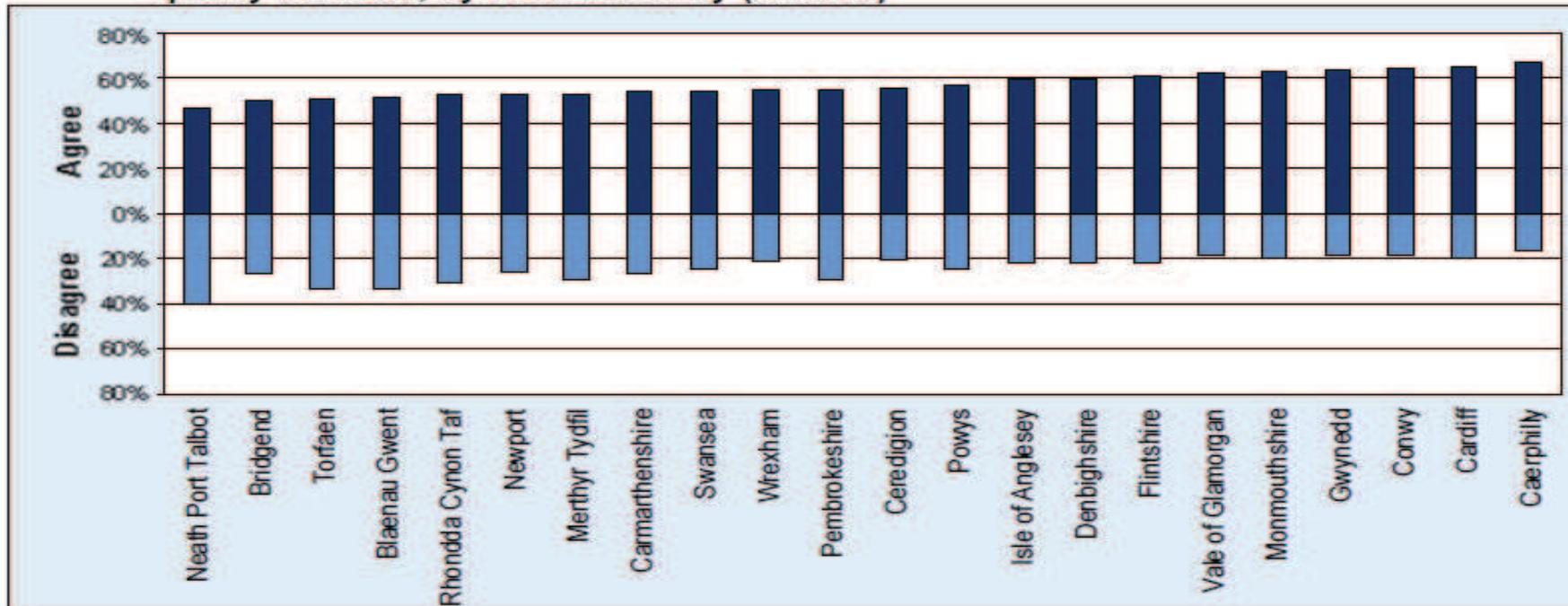
We opened a new 3-storey library in Caerphilly's town, which is being used to deliver wider council services. For example we have integrated other agencies into the library such as the police who will have a regular surgery throughout the week.

Every other year we carry out a borough wide satisfaction survey called the 'Household Survey', which we send to 10,000 houses on a random basis and make the survey available on the Internet. Due to the volume and cost of the survey we carry this out every other year and last year we reported the results in the council's performance report. The survey will be held again next year but in the interim we carry out more local Customer care surveys. During 13/14 we dealt with nearly a million customer contacts, nearly 200,000 from customers visiting our 6 customer care centres. The results to date are:

- 97% described the staff as either helpful or very helpful,
- 97% described the staff as either friendly or very friendly
- 94% thought that staff were knowledgeable and 97% were either satisfied or very satisfied with the service provided.
- However satisfaction with email responses was not as high and this is something we need to analyse and improve upon.

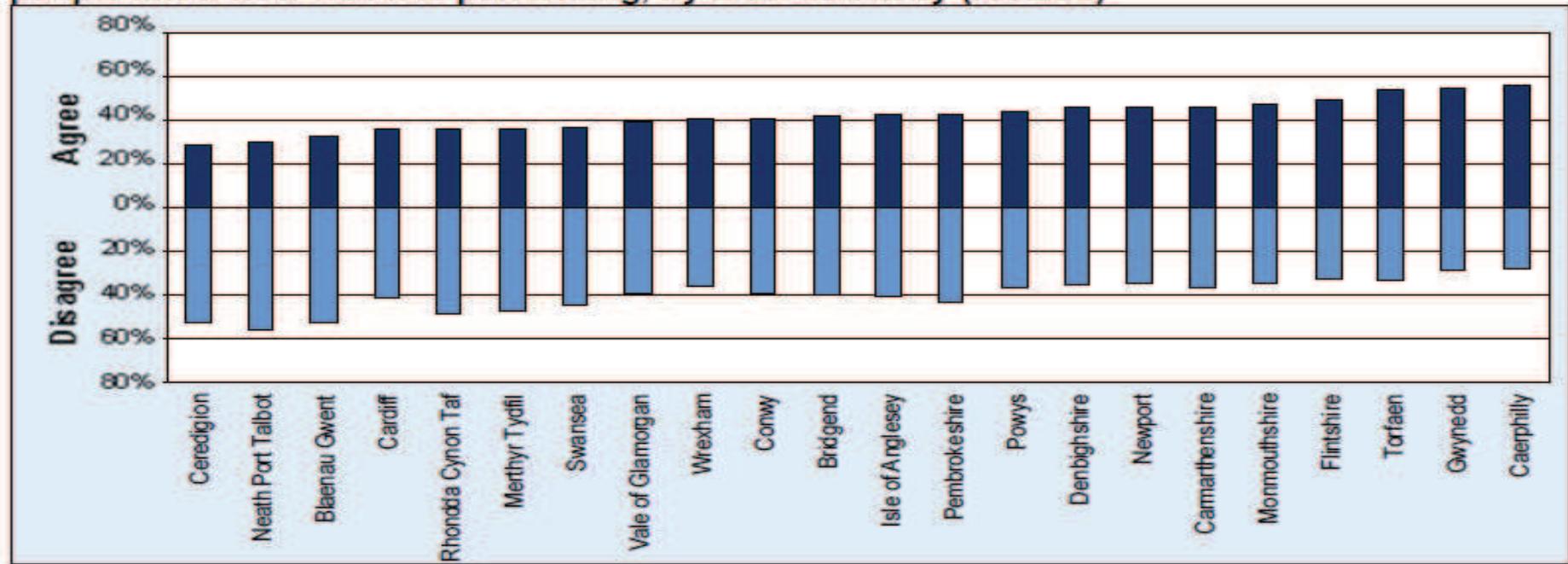
The **National Survey for Wales** is a face-to-face survey of people across Wales and is commissioned by Welsh Government. Each year 14,500 people aged 16 and over are asked for their opinions on a wide range of issues affecting them and their local area. Respondents are selected at random to ensure the results are representative as part of this survey. People were asked whether they thought their council provided high quality services and pleasingly Caerphilly came out top with 66% as shown below:

Chart 12: Proportion of people who agree or disagree that their council provides high quality services, by local authority (revised)



People were asked how well they thought the Authority was, at letting them know how well the Authority is performing. Caerphilly came in top with just over half at 56%. Although this is a top rating it does leave a large segment of respondents (44%) who think we could be better at communicating performance so we will continue to look at ways to improve this; both in accessing information, style and frequency.

Chart 13: Proportion of people who agree or disagree that their council is good at letting local people know how well it is performing, by local authority (revised)



Full details of the National Survey for Wales is available by clicking on the following link: [Stats Wales](#)

Promoting Equalities and the Welsh Language

We work to ensure that everyone in our communities is able to get the services they need without being prevented by barriers that someone else would not face and we are therefore committed to ensuring that everyone in Caerphilly County Borough is able to obtain fair and equal access to services and employment, by engaging with people to understand their needs and delivering services that meet them.

In 2012, the Council produced a Strategic Equality Plan, which includes 7 strategic equalities objectives developed through engagement and consultation, to ensure that we are fulfilling our duties in respect of the Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 and the Welsh Language (Wales) Measure 2011 (including ongoing duties under previous legislation. The plan, together with more information and the annual reports on our performance in terms of equalities can be found by clicking on the following link: [Caerphilly Equalities](#).

The Council's Equalities Statement

This Council recognises that people have different needs, requirements and goals and we will work actively against all forms of discrimination by promoting good relations and mutual respect within and between our communities, residents, elected members, job applicants and workforce. We will also work to create equal access for everyone to our services, irrespective of ethnic origin, sex, age, marital status, sexual orientation, disability, gender reassignment, religious beliefs or non-belief, use of Welsh, BSL or any other language, nationality, responsibility for any dependents or any other reason which cannot be shown to be justified.

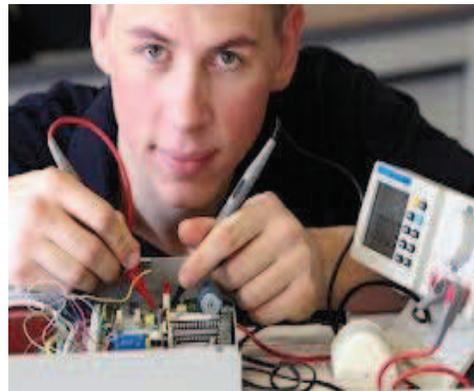


↑ PASSPORT TO EMPLOYMENT

SC231	SOCIAL CARE
MC578	MECHANIC
CA923	CATERING
HE447	HEALTH
EN190	ENGINEER
MN361	MANAGER

CAERPHELLY PROGRAMME

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CO₂ CARBON MANAGEMENT



Directorate of Corporate Services

Director's Statement of Overall Performance for 2013/14

**Nicole
Scammell**

Acting Director of
Corporate Services



The Directorate of Corporate Services is made up of a number of services. This includes Housing and Customer Services, and services which have an internal role, such as Human Resources, Legal & Democratic Services, Corporate Finance & Procurement, Performance Management & Property Services, and IT Services. We have up to 1100 employees across this directorate helping to support services and citizens in a wide range of ways.

Within our **Housing Service**, following the outcome of the Housing Stock Transfer Ballot, the Welsh Housing Quality Standard (WHQS) is now a major flagship programme for us involving a budgeted spend of circa £200m between 2012 and early 2020. Achieving the WHQS is something that we view as a catalyst to achieving its wider strategic objective of transforming homes, lives and communities.

During 2013/14, the team completed 189 Disabled Facilities Grants (DFG), 263 major works of adaptation for council tenants, 1,234 minor works of adaptation, 103 home improvement grants and 127 minor works grants. We were successful in reducing waiting times for all the above services, with customer satisfaction levels of 99%. However, we recognise that we have some way to go to improve compared to the all Wales average and our position in Wales for the average number of calendar days it takes us to deliver a DFG. We responded to 432 service requests in relation to the private rented sector and maintained the planned programme of inspection within the county borough's 186 houses in multiple occupations. By direct action, 35 long-term, empty, private houses were brought back into beneficial use. There are currently 10,900 Council owned houses and 1,260 garages. We let on average 900 of these houses each year. We have 34 sheltered housing schemes and 15 tenants and residents associations. We also provide services to 400 leaseholders.

Last year we completed over 37,026 repairs, with over 89% of these repairs completed within target times. Our telephone surveys (20% sample) show high level of satisfaction from tenants with our services.

Our **Communications Unit** has worked hard to promote the work undertaken by the Authority at all levels. This work has been reflected in a number of positive outcomes as reported in the 2013 Household Survey and the 2014 National Survey for Wales (as mentioned on page 10 & 11).

Digital and social media channels have been implemented very successfully. We recognised that the organisation needed to change the way it communicates in light of financial constraints, technological developments and the way in which people are consuming news and information in the new digital landscape.

During 2013/14 the **Customer Service** Centres dealt with 116,000 customer enquiries and handled 278,000 payments with a total value of £29.7million. During 2013 the Contact Centre handled 131,000 phone calls, 53,000 emails and web forms and processed £3.7million of payments. Self-service requests on our web site for services delivered by our Contact Centres have risen by 7% but the numbers are still low. The number of on-line Housing Benefit applications and Change of Circumstance notifications has increased significantly during the year helping to reduce the processing time applicants. The number of payments received via the website was 16% higher in 2013/14 than in 2012/13. Growth in the number of payments made via our automated payment telephone line was more modest at a 3.7% increase on the previous year. This evidence illustrates that citizens are beginning to make greater use of the less expensive and more available service access channels. We have introduced strategies for Communications and Citizen Engagement and now new strategies for Customer Services and ICT are needed.

A key challenge within **Finance** now and in subsequent years is the need to continue to provide financial information and lead as a service area in respect of the challenges of the Medium Term Financial Plan (MTFP) and reduction to the Authority's capital programme. Recent news from Welsh Government has led to a much increased financial savings target. These savings will impact on service delivery.

Changes in the Housing and Council Tax Benefit systems as a consequence of the Government's Welfare Reform Bill and the plan to introduce Universal Tax Credit continue to present major challenges that are impacting upon our staff and processes. A further reduction in staffing alongside the introduction of the Spare Room Subsidy, the new Council Tax Reduction Scheme has had an impact on the service. The average number of days taken to process new claims and change in details for 2013/14 was 11.58 days as compared to 10.68 days in the previous year. Housing Benefits and Council Tax Reduction is a front line service therefore a fast and efficient service is crucial to residents but reducing resources is likely to affect performance at some point especially in a year with significant welfare reform change.

Our **Electoral Services** preparation has begun for the massive changes that are being made to Registration Services. Previously registration was household based and applications to register were taken at face value. Registration will now become individual based and the identity of each applicant has to be verified (normally with the Department of Work and Pensions (DWP)). This process is currently underway and the authority has recently matched the register with the DWP and achieved an 84.9% match rate. The service must publish an Electoral Register annually along with monthly updates to that register. The introduction of individual electoral registration could increase the costs of operating a registration service. This is something that we are trying to manage in light of the financial constraints affecting the Authority.

Within **Property Services**, the Ystrad Mynach Centre for Sporting Excellence was completed on the former site of Ystrad Mynach Hospital. Professional and community teams will be able to use the new complex – boasting artificial pitches, floodlights and stands – with Newport Gwent Dragons using it as their new training base. This will offer the local community, use of a world-class facility that compliments our efforts

to encourage greater sporting participation across all age groups within the area. However we have a significant amount of work required to review our asset base as a consequence of the MTFP.

During 13/14 the first Phase of the £20m St Ilan 3-18 years Welsh Medium campus was handed over and design of Phases 2 & 3 was completed and tendered. Numerous other smaller projects were designed and delivered for example the 400k new hall and reception at Hendre Infants which joins together what were two separate buildings and provides a much needed central meeting space. However, we face challenges going forward with the commercial aspects of legacy projects, which were bid for during the recession.

Our **Human Resource Service** works with a range of partners to develop and expand the Caerphilly Apprenticeship and Traineeship Scheme. Although the passport scheme funding ends in December 2014, since it's launch it has helped give people who are unemployed skills, experience and guidance into employment through a different range of avenues. The scheme has been very successful and opportunities are arising to develop further. For further information see page 18 on the Improvement Objective relating to the Passport Scheme.

A range of workforce policies will be required to downsize the Authority's staff as a consequence of the MTFP savings requirements. These will be implemented in the Autumn 2014.

2013/14 Financial information and analysis for the Directorate of Corporate Services

The Directorate of Corporate Services continues to deliver within the confines of its allocated budget on a consistent basis and has made further savings and efficiencies over the past year in order to manage cost pressures and a shortfall in external funding.

Corporate Services (including Miscellaneous Finance budgets and the Housing Revenue Account (HRA) reported a 2013/14 underspend of £13.07m.

- Core Corporate Services budgets accounted for £1.03m of the reported underspend and this arose in the main from a number of vacant posts that were withheld as part of agreed savings in advance of the 2014/15 financial year. Additional income was also generated during the year through one-off grant funding and within the Corporate Property portfolio savings were generated through the vacation of some premises and a reduction in maintenance and energy costs.
- Budgets in Miscellaneous Finance underspent by £3.6m with the most significant variations being the following: -
 - We used internal resources to part-fund our Capital Programme, which resulted in an under-spend of £705k on external debt charges.
 - Returns on investments were better than anticipated resulting in an additional £103k of investment income.
 - Net release of the impairment from Icelandic Banks sale of debt of £1.39m.
 - Medium-Term Financial Plan savings in advance of £703k.
- The Housing Revenue Account (HRA) underspend totals £8.44m and is due in the main to lower than planned revenue contributions to the Welsh Housing Quality Standard (WHQS) capital programme. This was anticipated throughout the year as it became apparent from housing stock surveys that a high level of previously achieved works had already been carried out (40% of the programme) and 5% of properties refused the work.

The Council will face unprecedented financial challenges during the coming years due to the extent of anticipated cuts in Welsh Government funding for Local Authorities. This funding currently accounts for 65.4% of the total resources available to the Council and there will inevitably be a significant impact on the range of services provided as measures are agreed to address the financial shortfall.

Improvement Objective – Improve job opportunities by implementing the Council’s Passport Scheme (IO 2)

In 2013/14 we said we would:

- Improve unemployment by implementing the Council’s Passport scheme to create employment and training opportunities
- Help more young people aged 16-24 and support them into sustainable employment.

 We have assessed this objective and judged it to be **Successful** for the year 2013/14. This is because we have created more than 175 work experiences and provided 68 job opportunities with 25 apprenticeships. More importantly all 100% of participants who went through the process said it made them feel more work ready.

We had 533 young people referred to the programme up until 31st March 2014 and of the participants, 77% achieved a positive outcome, by that we mean they have gone onto further education or employment following the Passport Programme.

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The Caerphilly Passport Programme was officially launched on 5th April 2013 by the Deputy Minister for Skills, the Leader of Caerphilly County Borough Council and the Acting Chief Executive of the Council and over the last 12 months there has been a significant amount of activity undertaken in terms of the Programme delivery with many milestones being met, changes being made as a result of experience gained from delivering the programme and challenges overcome.

In addition to European Social Fund audits we have had the programme independently evaluated by a company called Wavehill with both participants and employers, to follow them through the Programme as case studies for further qualitative feedback.

In conclusion the Passport Programme has had a positive impact on the local economy, social and environmental wellbeing within the County Borough.

By being able to use the Jobs Growth Wales placements there has also been an opportunity to support small local businesses by creating capacity for them via the placement so the business can be grown to support the trainee at the end of the placement

What did we do well and what difference did it make?

In addition to exceeding the targets for providing work experiences, job opportunities and apprenticeships, of those who participated in the scheme, 77% achieved a 'positive outcome'. By this we mean that the participant has either gained employment or gone onto further education following successful completion of the Passport Programme.

Evaluation shows that for those that took up the support:

- 85% found the employability training useful or very useful
- 80% of those who have worked with the programme say they have been changed by their Passport experiences, feeling more confident, happier and more experienced
- 90% said they were more confident about their own abilities
- 91% said they were helped by the coaching/mentoring they received
- 71% said without Passport they would still be unemployed.

Page 34 What did not go well?

Although we have exceeded our formal target requirements the Jobs Growth Wales funding element ends in December 2014, so we have not set further local targets, as this will impact what we can deliver. We are continuing with this as a Council Priority for 2014/15 however there is no funding option to continue after this time so we are exploring possible regional activity to enable us take this forward.

Where do we need to do better?

There are no areas in the sense of poor performance where we need to do better. However as noted above funding will end in December 2014 so we are meeting with Cardiff City Council, Blaenau Gwent and Torfaen as with the SEWDR (South East Wales Directors of Regeneration) to explore the regional opportunities for setting up and sharing the success of this programme. If this should commence we can then look to provide more placements for eligible young people in the future.

Improvement Objective – Investment in Council homes to transform lives and communities (IO 5)

In 2013/14 we said we would:

- Work with tenants to actively involve them in achieving the Welsh Housing Quality Standard (WHQS) by running the Caerphilly Homes Task Group (CHTG)
- Implement the actions from our Communications Strategy, which helps develop a clear brand identity for the WHQS programme
- Ensure that communities benefit from clauses in contracts awarded to improve the standards of housing that include targeted recruitment and training to create employment and training opportunities for local people.
- Implement environmental improvement programmes to ensure that our Council estates are safe and attractive environments to live in, complimenting quality houses
- Select one supplier on a 10-year contract to supply our materials ensuring improved efficiency and our commitment to the local economy. A managed 10 year arrangement will enable a long-term relationship to be developed, helping to sustain local jobs
- Develop a programme of Community Engagement with residents to identify the priorities for improvement from the their point of view.
- Launch a Community Improvement Fund of up to £5000 per project to support local people to make environmental improvements.
- Ensure Council estates are linked to the wider countryside areas of open green space by enhancing public rights of way or the creating new access routes.
- Encourage residents to volunteer to assist in the maintenance of environmental improvements.
- Provide Training for Tenant Liaison Officers so they are able to signpost tenants to other forms of support and benefits.
- Ensure there is greater alignment and coordination between WG programmes such as Communities First, Families First and Supporting People and key strategic CCBC initiatives such as the Caerphilly Passport Programme to maximise the social and economic impact
- Establish a "Lives and Communications" working group with input from a number of sources, such as Communities First, Families First, Groundwork Caerphilly and GAVO to help ensure increased resources are ploughed into those areas that need it the most.



We assessed the Improvement Objective and concluded we were **Partially Successful** in its delivery in 2013/14. Over 600 homes were improved internally and approximately 65 homes were assessed as fully compliant with WHQS. Some slippage did arise at the end of the year but around 200 properties had been brought forward from 2014/15 to expand the internal works programme and ensure there would be continuity of work for our in house workforce. The main setback was the deferment of the environmental projects until the latter end of the WHQS Programme, which impacted on a number of the original planned actions.

What did we do well and what difference did it make?

- The number of homes that have achieved WHQS standard during the year was approximately 65. In excess of 600 properties benefitted from internal improvements undertaken by the in house workforce.
- The overall tenant satisfaction level was 92%, well above our target of 80%.
- We have implemented a Communications Strategy action plan, which includes activities to increase methods of engaging informal with tenants, for example at community events and through social media.
- Tenants continue to be actively involved through the CHTG, the group meets every 6 weeks to review and make recommendations on the overall strategic direct and allocation of WHQS and Housing Services resources. This group is a consultative group relating to all public housing services. It monitors WHQS progress and service improvement commitment and ensure WHQS is consistent with the council's regeneration strategy. The Repairs and Improvement Group has been established to ensure that repairs and WHQS improvement works are carried out to a high standard and that tenants are getting value for money. The Caerphilly Service Improvement Monitors (CSIMS) was set up to monitor the service provided to tenants and feedback the results. The CSIMS are looking at the experience tenants have had with WHQS.
- In June 2013 the supply partner contract was awarded to a local company - Robert Price. This is a 10-year contract to supply all materials for the in house workforce and key building components for contractors. Community benefits and targeted recruitment and training is a key element of this contract. Robert Price has taken on several young people from the council's Passport Programme, taking one through to permanent employment. The next 12 months will see more changes, which include supplying all products for reactive maintenance within the housing service. There are challenging times ahead, but Robert Price is committed to working with the council to achieve the targets set.
- The Community Improvement Fund was launched in April 2013. Since it's launch, over a dozen applications have been received from community groups and voluntary organisations. The CHTG has approved 3 in total because some of the applications required planning permission or failed to demonstrate that their activities would benefit the wider population of tenants and residents.
- Our tenant liaison officers have received a series of awareness and training sessions throughout the year to enhance their ability to help support and sign post tenants to services that may help meet their needs.
- Informal links have been developed between programmes such as Communities First, Families First and Supporting people as well as other initiatives such has the Caerphilly Passport programme.

What did not go well?

- We were unable to make any progress on the implementation of the Environmental Improvement programme. The programme has now been put back to 2019/20. A number of actions relating to this programme, such as introducing programmes to help ensure council estates are safer and attractive environments to live in, our council estates are linked to the wider countryside areas and establishing a “Lives and Communities” working group will now also be deferred to later in the programme.
- The nature of the work is such that there will always be variances from what was originally planned and achieved due to unforeseen events and the impact on peoples live has to be taken into account. The programme is subject to adjustment during the year and can involve contract slippage, and/or work being brought forward from future years. This is reflected in the number of homes compliant with WHQS for both internal and external elements and the percentage of internal works completed within timescales where we have failed to reach our targets for the year.

Where do we need to do better?

- There was some slippage into April/May 2014, but additional properties were added to the original 2013/14 programme. Experience over the year has shown that only limited reliance can be placed on the stock condition database and that the individual property survey is the only means to determine the full scope of work needed. The timing of the surveys are therefore critical to maintaining continuity of work for both the in house work force and contractors.
- Due to the small number of Improvement Fund applications being approved we are now producing new promotional material to encourage applications. A feature has been included in the Caerphilly Homes Tenants Newsletter and result posts are being made on social media. Members of the team will become more proactive during 2014/15 in promoting the fund at community events and helping organisations complete the application forms in an attempt to ensure greater take up.

Improvement Objective – Improve the availability of private and public sector housing to reduce the number of residents who may become homeless (IO 6)

In 2013/14 we said we would:

- Offer housing grant assistance to vulnerable households
- Enforce minimum standards within the private rented sector
- Engage with private sector landlords via the landlord forum and the opportunities that will present themselves as a result of the impending mandatory licensing scheme for Welsh landlords and managing agents
- Complete the active Renewal Area at Llanbradach
- Provide major and minor works of adaptation to private sector residents
- Support mortgage rescue schemes with a range of Partners
- Provide financial assistance to between 15 - 20 homeowners to enable direct payments to prevent repossession
- Work regionally with local authorities in Gwent on "Houses into Homes" scheme to increase the number of long-term empty private sector properties returned to beneficial use. This will enable landlords to renovate empty run-down residential properties and return them to use as homes for sale or rental
- Contribute towards the alleviation of homelessness in the borough through the provision of new homes developed in partnership with our housing association partners, including supported and temporary accommodation
- Consider the Impact of welfare reform on council housing tenants and work proactively with tenants affected by the reform, by providing advice and assistance, to minimise the risk of financial hardship and the threat of homelessness
- Use the housing advice service to promote social lettings accommodation as an alternative form of accommodation to traditional social housing
- Continue to support for the bond scheme to facilitate access into the private rented sector for people unable to find a deposit and advance rent to allow them to rent privately
- Set up a working group to agree a new administration system for Discretionary Housing Payments used to top up rent shortfalls. The group have agreed to award payments for a maximum of 3 months, whilst also assisting claimants in securing more affordable accommodation
- Secure the provision of more suitable emergency accommodation
- Return more empty properties back into beneficial use
- Work in collaboration with Registered Social Landlords to improve the provision of affordable housing



We assessed this Improvement Objective and concluded we were **Successful** in its delivery in 2013/14. The reason for this is because we have successfully completed all of our actions, and we have met all our performance targets.

What did we do well and what difference did it make?

- By the end of the year we had 731 enquiries, with 135 minor Works Grant applications approved.
- We have taken action to ensure the minimum standards are enforced within private sector housing to encourage high standards of accommodation, repair and good management where properties fall below minimum standards.
- Our Landlord forum celebrated its 6th anniversary and continues to expand its knowledge.
- An exit strategy has been put in place for Llanbradach to meet the formal termination date when the renewal area status ends.
- We continue to improve on the time it takes us to make minor and major works of adaptations to private sector homes.
- The mortgage rescue partnership with Shelter, Citizens Advice Bureau and the two housing associations continues and we are now exploring private rental models for certain mortgage cases.
- £10,000 was obtained to assist mortgage rescue cases; we used this money to assist 8 households this year.
- We are continuing to make use of the “Houses to Homes” loans as a viable option for bringing empty homes back into use.
- There are currently three homeless projects in the pipeline, which when completed, will provide 36 units of supported accommodation for young people.
- The rents team made good progress on the target to visit tenants in their homes who are affected by welfare reform. We have exceeded our target for the amount of additional income generated for tenants as a result of the made.
- We are drafting proposals for staffing arrangements with a view to setting up an in-house social letting agency to improve access to private rented accommodation for people in housing need.
- There has been continued support for the bond scheme. The scheme continues to be an essential partner for us to work alongside and direct potentially homeless people into affordable accommodation.
- The working group set up to manage discretionary housing payments has been very effective in administering payments based on new criteria.
- Ty'r Fesen, the short-term accommodation for families' scheme in Caerphilly opened in April 2013 providing 13 units of emergency accommodation. Ty Croseo was also refurbished to provide a 10 bed emergency homeless supported accommodation for single people aged over 25 years.
- We continue to bring long term empty properties back to use via the use of loans, on-going grants, advice and guidance for owners and, if need be, the use of legislative powers to enforce the sale or compulsory purchase of properties.

- Our housing association partners obtained funding from Welsh Government to commence work on the building of 140 units of affordable housing.

What did not go well?

Generally, we are satisfied with the level of performance made throughout the year against this improvement objective, although we narrowly failed to meet one target in respect of waiting times for Disabled Facilities Grants. The target was, however, extremely challenging and we were still able to increase performance by 2.27% to a level that improved upon the 2012/13 figure by almost 7 days.

Where do we need to do better?

Homelessness will continue to be a long-term issue for us as increasing numbers of people struggle to maintain their tenancies or repay their mortgages. Coupled with changes to homelessness legislation, we will need to develop smarter ways of working with organisations and homelessness applicants to prevent instances of homelessness occurring, rather than dealing with the fallout, as can often be the case currently.

Additional information on our Improvement Objectives can be found in Appendix A

Analysis of National Strategic Indicators (NSI) and Public Accountability Measures (PAM) for 2013/14 - Corporate Services

Our performance key shows:		
Current year results compared to previous year results		 Worse than the previous year
		 Same as the previous year
		 Better than the previous year
		 Performance maintained at the best it can be
		N/A Data not available or comparable – see individual comments for explanation

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Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
HHA 013	The percentage of all potentially homeless households for whom homelessness was prevented for at least 6 months. (NSI) Improvement Direction: Higher result is better	88.2%	11 th out of 22	85%	90.7%		We have been advise by the Welsh Government not to compare this across Wales
	Homelessness was prevented for 235 of the 259 potentially homeless households in 2013/14, which is a higher percentage than both our 2013/14 target and our previous performance last year.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
PSR 002	The average number of calendar days taken to deliver a Disabled Facilities Grant. (NSI) Improvement Direction: Lower result is better	299	13 th out of 22	284	292	19 th out of 22	239
	It took 55,229 calendar days (41 weeks) to deliver 189 Disabled Facilities Grants (DFGs) in 2013/14, compared to 52,009 calendar days (42 weeks) to deliver 174 DFG's in 2012/13. A number of complex DFGs were completed during the year, which takes longer to undertake. Despite this our performance still improved from last year although we have now dropped from 13 th to 19 th in Wales. It is clear, however, that unlike ourselves, many Authorities do not treat the first point of client contact as the starting point for the Performance Indicator and so the national figures cannot be compared as it is unlikely they are reported on a like for like basis.						
PSR 004	The percentage of private sector dwellings that had been vacant for more than 6 months at 1 April that were returned to occupation during the year through direct action by the local authority. (NSI) Improvement Direction: Higher result is better	3.07%	16 ^h out of 22	3.6%	3.83%	19 th out of 22	9.23%
	During 2013/14, there were 35 vacant private sector dwellings that were returned to occupation. This was an improvement in both numbers and percentage terms compared to last year. The introduction of the national Houses into Homes programme created conflicting resource implications when first introduced during 2012/13. Our performance during 2013/14, shows that we have now overcome this problem, although we remain 19 th out of 22 nd in Wales. The provision of additional resources to support this function and further improve the number of houses returned to beneficial use is, however, currently under consideration.						

Evaluation of other performance information captured during 2013/14 - Corporate Services

- ☺ This year we have awarded 145 contracts to local suppliers. Although this is not as many as the 185 contracts awarded last year, the amount spent with local suppliers was 55.11%, which is more than in 2012/13 when we spent 54%.
- ☺ We collected 96.40% of all council tax due in the year. This is the same performance as last year.
- ☺ 200 of our council buildings have been made suitable and reasonably accessible for disabled members of the public.
- ☺ When visiting our Customer First Centres, 86.49% of customers were seen within 10 minutes, this is better than the 84.80% reported in 2011/12.
- ☺ When asked, 98.2% of customers visiting our Customer First Centres said that they were satisfied with the service they had just received.
- ☺ 85.64% of calls made to our Contact Centres were answered within 20 seconds. This is better than last year when 75.13% of calls were answered in the same timescales
- ☺ Our workforce remains broadly representative of the County Borough population in terms of the percentage of our employees that are disabled or from an ethnic minority.
- ☺ When asked how satisfied they were with the length of time taken to complete grant work, 96% of recipients said that they were satisfied. 99% of grant recipients also said that they were satisfied with the quality of the work undertaken.
- ☺ At the end 2013/14, 1.24% of our Housing Stock was empty; this meant that out of 10,884 properties, 135 were empty.
- ☺ 91.3% of tenants were satisfied with the Housing Allocations and Letting Service we provide. This is almost the same as last year when 91.5% were satisfied.
- ☺ The average number of days that all homeless households spend in Bed and Breakfast accommodation was 30 days in 2013/14. This is lower than the 39 days it took in 2012/13.
- ☺ 53.20% of the gross internal area (GIA) of our local authority buildings are in good or satisfactory condition, this is improving as last year the figure reported was 52.91%.

-  During 2013/14, 93.2% of undisputed invoices were paid within 30 days. This was not as good as the 94.20% reported for the previous year and there were no obvious or apparent reasons identified for the dip in performance. However, our service continues with significant effort, to meet our target of 95%.
-  We also experienced an increase in the number of 'calendar days' taken to make payments (undisputed invoices) to small and medium enterprises during the year and reported 14.26 days compared to the 12.78 days taken during the previous year. Again, there were no obvious or apparent reasons identified for the dip in performance against our target of 13 days.
-  It takes an average of 11.58 days to process new Housing Benefit and Council Tax claims and changes events, this is not as good as last year when it took 10.28 days. Although we have failed to improve, we feel this is still a good performance as we have had a reduction in staffing levels and the Welfare Benefit changes has had a detrimental impact on performance.
-  76.52% of homelessness presentations are decided within 33 working days, this is less than the 78.67% reported last year. In the majority of cases homelessness decisions are made within the recommended 33 day timescale. Certain cases, however, require consultation with medical and mental health professionals before decisions can be made – delays as a result of this exercise are, unfortunately, beyond our control. It should also be noted that although there was no increase in the number of homeless presentations from the previous year, the number of legal reviews of our decisions fell from 14 in the previous year to 6 during 2013/14. This indicates a substantial improvement in respect of the quality of decision making within the Homelessness Team.
-  The level of tenant satisfaction of those who moved into a new home has dropped to 71.08%, below the 73.13% satisfaction level in 2012/13. The Repairs and Improvement Group is reviewing the current 'relet standard' and changes should be implemented from April 2014. The relet standard sets the minimum condition that a property should be in before a new tenant takes up occupation. It should also be noted that these figures rely on new tenants completing and returning the survey cards we send out. Response levels are currently low as in quarter 4 we had a response rate of only 28% (49 out of a total of 173 new tenants).
-  The number of Freedom of Information requests we receive continues to rise. In 2012/13 we received 811 requests and responded to 75% within 20 days. In 2013/14 the number of requests increased to 1130 requests and we responded to 802 of these within 20 days (70.97%).
-  In 2013/14 we failed to improve our sickness absence levels with the figure increasing slightly from 4.08% to 4.18%.

Directorate of Education and Lifelong Learning

Director's Statement of Overall Performance for 2013/14

Sandra Aspinall

Acting Deputy Chief
Executive
&
Director of
Education and
Lifelong Learning



The Directorate of Education and Lifelong Learning is committed to helping the Council achieve its aspirations and contribute to the goal that:

“Every child should have the best start in life, and the opportunity to achieve success as a young person and as an adult”

There are a diverse range of services, which help the Directorate to achieve this vision with our 90 Schools, an **Additional Learning Needs** and **Social Inclusion Service** to help secure equality of access to statutory education for all children and young people. Our **Library Services** also provide 18 libraries throughout the borough, offering a wide range of services linked with a large network of community centres providing residents with a wide range of publically accessible facilities and resources. **Adult Community Learning** provides quality-learning experiences across the authority, with courses and programmes of learning open to all post 16 learners. The **Youth Service** is a statutory education provider, comprising of over 200 staff and provides services, which engage with young people on a regular basis.

In July 2012 we received an Estyn’s inspection of education services for children and young people and we were identified as requiring follow-up through Estyn monitoring. In January 2014 our progress was reviewed against the five recommendations arising from the inspection, and to check our overall performance against our post-inspection action plan.

The findings from the monitoring visit were positive and concluded that we, the “*authority has moved swiftly to address the recommendations from the 2012 Estyn inspection*” and that we had “established better foundations to continue the drive for improvements in attainment and achievement for all learners”.

As a result of the monitoring visit the judgment was made that we made sufficient progress in relation to the recommendations following the inspection of July 2012 and that as a result, “*Her Majesty’s Chief Inspector of Education and Training in Wales is removing the local authority from further follow-up activity*”.

The monitoring visit praised:

- The introduction of a comprehensive target setting process that links school performance targets to the progress of individual learners.
- The review of 14-19 learning, commenting on the strong focus on improving the curriculum and outcomes for vulnerable learners
- The authority, in partnership with the regional school improvement service, has significantly improved processes to support, challenge and intervene in its secondary schools.
- Positive progress has been made with self evaluation and target setting

However it identified that:

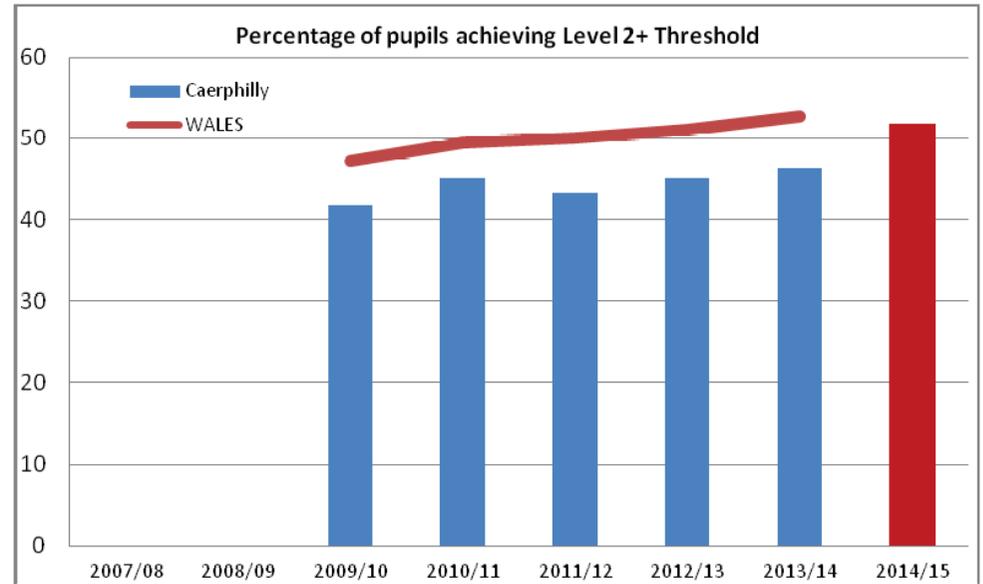
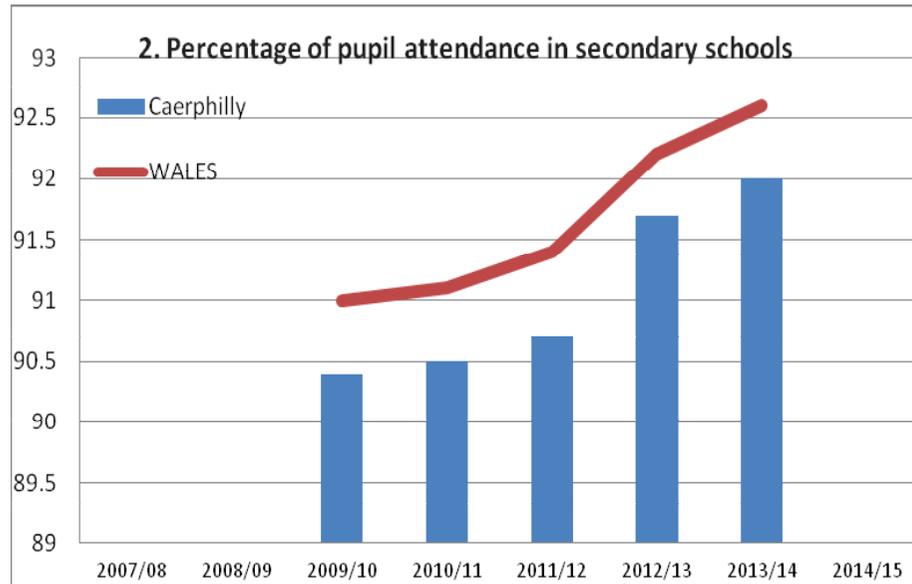
- We need to improve performance at Key Stage 4 across a range of indicators in order to improve the outcomes for our young people as “, *the local authority’s improvement strategies to date have not yet impacted significantly on outcomes at key stage 4*”. We will have a better understanding of our position following the publication of examination results in August 2014.
- We need to continue to progress with the secondary school rationalization programme. Since the monitoring visit we have made significant progress in this area as a secondary rationalisation programme is underway and an informed consultation process has been conducted in the Upper Rhymney Valley in relation to the proposals for a 3-19 school.

As a result of the recommendations and the Directorates own Self Evaluation we will continue to focus on improving the attainment of learners on all indicators particularly at Key Stage 3 and 4.

You can view the whole Estyn report and the letter we received following our monitoring visit by visiting www.estyn.gov.uk and searching for inspection information at Caerphilly County Borough Council. Or by going directly to [Estyn Caerphilly Inspections](#)

General Performance Summary

This has been a busy year for the Directorate and below we detail some of our achievements and areas we want to improve upon. We have improved attendance within primary and secondary schools, by a small percentage building on the 2012/13 attendance rate of 93.2% at primary, and 92% at secondary. Further progress has been made during 2013/14 in attendance,, however as the graph shows we are not improving as quickly as the rest of Wales. In 2013/14 at secondary level we achieved 92%, where as the Welsh average was 92.6%.



Data shows there has been no permanent exclusions in primary schools for two consecutive years, and at secondary the positive downward trend that has taken place for the last 8 years has been maintained. At both primary and secondary there has been a decrease in the number of fixed term exclusions as well as a reduction in the number of days lost due to exclusions.

For attainment, there has been an increase across all Key Stages in Maths, Welsh and English and positively the % gap between the % of boys and % of girls achieving the Core Subject Indicator (CSI) which includes English/Welsh, Maths and Science has reduced considerably from 8% to 4% at Key Stage 4. Pupils achieving the Level 2+ Threshold (5 GCSE's A*-C inc English/Welsh and Mathematics) improved by 1.3%, with an ambitious target for further improvement set for 2104/15.

At Key Stage 4 performance is adequate and key indicators are ranked between 17th in Wales (Level 1 threshold) and 21st (Level 2 threshold and Capped Points Score). Although the performance is improving, the rate of improvement means that the position of the authority within Wales is being maintained. Performance in the earlier years (Foundation Phase) is good, continuing to be above the Welsh average for all indicators.

At Key Stage 2, in English / Welsh, performance in speaking and listening and reading are above the national averages, but writing is slightly below. At Key Stage 3, speaking and listening, reading and writing results are lower than those nationally, and secondary schools are being challenged to show improvements in this area.

Other services we provide to help a young persons well-being were judged as good by Estyn. Schools engage in a range of effective programmes, and there is a range of activities and programmes to help young people gain new skills and get involved in volunteering opportunities. High quality Child Protection training is mandatory for all service areas working with children and young people and there is good support for learners in understanding how to keep them safe. There has been effective dissemination of specialist practice of Internet Safety for children and all schools are fully engaged in a range of high quality sport programmes and out of school hour's leisure activity resulting in increased levels of participation.

In relation to the planning of school places, the percentage of primary places unfilled has dropped slightly. However the percentage of secondary surplus places has increased by approximately 2% to 18.6%. The reason being that phase 1 of Welsh Medium development at the former St. Ilan site was successfully completed and opened for pupils in September 2013. This caused a temporary rise in surplus places, which we expect to reduce once Ysgol Gyfun Ty Gwnidy has provision for each year group in place. The site for the development of a new school for Islwyn West has been identified and we now have the go ahead to proceed with developments. These projects will again help us to continue the reduction in secondary surplus places.

Adult Education Basic Skills enrolments increased from 1046 in 2012/13 to 1463 in 2013/14. This was due in part to extra funding from Families First to deliver more family learning courses and workshops. We were pleased that the number of learners achieving basic skills qualifications rose from 259 in 2012/13 to 278 in 2013/14 and that the number of learners in the Family Learning programme achieving their individually set targets rose from 368 in 2012/13 to 384 in 2013/14. We also delivered a wider and greater range of vocational courses from 35 in 2011/12 to 58 in 2012/13 and the numbers that attended those vocational courses rose from 458 to 743 in 12/13 with 87% gaining qualifications. However in order to deliver the service on a reduced budget, changes to the structure of delivery and the usage of premises will need to be realigned to deliver services, Adult Community Learning is facing significant reductions to the budget in 2014/15 academic year.

In 2013/14 the youth service engaged over 7,800 young people. Following the Estyn visit there has been a focus on improving the number of accredited outcomes for children and young people. The number of young people achieving national accreditations increased from 70 in 2012/13, to 399 in 13/14, highlighting the percentage of young people engaged and achieving qualifications has moved from 1% to 5%. Local accreditations also increase from 628 young people in 2012/13, to 2331 in 2013/14. This highlights that the percentage of young

people engaged achieving qualifications moved from 7% to 29%.

In 2013/14 we refurbished and enhanced Pengam, Deri, Rhymney, Blackwood, Aberbargoed, and Bedwas Libraries. We introduced new Library facilities at Bargoed, Risca, Abercarn, Newbridge, and Caerphilly with an investment of £13 million in building improvement works through Council, private sector, and Welsh Government monies. We have worked proactively with the Council's Customer Services team, third sector bodies, and local community groups to co-locate and jointly deliver services within the library buildings to offer residents a mix of additional services under one roof. We have also provided new and improved spaces in Library buildings for children, young people, adults and learners to allow them to use all the different services offered by the libraries, which has resulted in increased visitor numbers of 893,603 in 2013/14. The adoption of free wireless computing where achievable and the Introduction of new 'Library Link' Housebound Library Service vehicles has also encouraged more residents to engage with the services on offer, providing greater equality of access for all.

For 2014/15 we want to focus on the following areas:

- Improve standards of attainment, particularly at Key Stage 2 in literacy, Key Stage 3 in bringing all core subjects closer to the national average and Key Stage 4 at the Level 2+ threshold.
- The new standardised Reading Test for Wales makes evidencing progress more difficult in the short-term, as we do not have any previous information to base improvements upon. Now the testing process is established, and we have some information on pupil levels we will be able to provide support schools and learners who need it the most.
- For children and young people with emerging needs, we have developed some highly effective interventions, which are mainly aim at improving literacy skills. We are also working with groups of identified learners to improve literacy and numeracy skills to ensure that children and young people can access all of the curriculum and give them the best chance to achieve their potential.
- We are going to review the services we have in place for learners that are Educated Other than At School (EOTAS), to ensure that we are providing them with appropriate support with all areas of their education.
- The authority has a small number of schools in difficult circumstances and this could impact results within those schools, and affect the overall results of the authority. Identified schools will receive additional support from the Education Achievement Service and plans will be put in place to ensure performance is closely monitored.
- We want to continue to reduce the rate of fixed term exclusions as well as the number of days lost due to fixed term exclusions, particularly those that last either 6 days or more. We are also continuing to target improved attendance rates and a reduction in unauthorised absences.
- We want to improve on the number of residents using our libraries and improve our marketing of the facilities we offer. We also want to establish coherent reading and digital enablement plans for the County Borough that fit within our financial planning constraints.
- We will put the new Youth Service Strategy into action to ensure that we are supporting the delivery of positive outcomes for our young people.

- We will continue to make progress on our plan for 21st Century Schools with the aim of securing a reduction in secondary schools surplus places and ensuring our school buildings are up to standard.

2013/14 Financial information and analysis for the Directorate of Education & Lifelong Learning

Overall the Directorate including Schools reported an over-spend of £662k for the 2013/14 financial year. This includes an over-spend of £1.985m by Schools, which will be funded from brought forward School balances, and an under spend on central Education & Lifelong Learning of £1.323m.

The transport budget which is managed by the Engineering Division, Directorate of Environment (with variances ring fenced to Education), has reported a £109k overspend on its core budget. This overspend will be funded from the Transport Equalisation Account set up at the end of 2012/13 (recognising the variance in the number of school days that fall in the financial year due to the timing of the Easter Holidays – 195 days in Academic Year).

The Directorate's position excluding Schools is an under-spend of £1.323m. This represents an under-spend in all 3 Service Areas - Planning & Strategy £311k, Learning Education & Inclusion £533k and Lifelong Learning £479k.

In summary the most significant variances (over £100k) were as follows: -

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Description	(Over)/ Under £000
Relief/Supply Cover	221
Additional Support (Primary & Secondary)	(314)
SEN Out-of-County Recoupment	590
Early Years Central Team	213
Community Education	168

The Relief/Supply Cover budget funds the school costs of sickness in the Special Resource Bases and maternity leave. The nature of this budget means that there is always a level of uncertainty each year.

The overspend on Additional Support (Primary & Secondary) is closely linked to an increase in Statements around ASD (Autistic Spectrum Disorder), which is a national trend.

The underspend on the Recoupment budget (Special Educational Needs and Looked After Children), is significant. These placements are expensive and whilst the level of spend on the Additional Support budget has increased, this cost is significantly less than the cost of a child placed in an Out-of-County School on either a daily or residential placement.

In 2013/14 a significant element of staff time with our Early Years Team has been directed towards the priorities of the Flying Start agenda. This intervention will have a positive impact on the transition for children from Early Years provision into Schools in specific areas of the borough.

The main element of the underspend in Community Education is a one-off variance of £83k in relation to the Genesis II Project, which ran from October 2008 to September 2013. This follows clarification from Welsh Government around the eligibility of match funding expenditure included in previous claims. This saving offsets an overspend position in 2012/13.

Improvement Objective – Develop an effective and accessible Youth Service that supports the personal and social development of young people (IO 3)

In 2013/14 we said we would:

- Undertake a comprehensive review of the Youth Service to identify areas of best practice and areas for development. Following the review we would implement appropriate recommendations to improve the service.
- Implement a data management system and use data analysis techniques to make evidence based decisions that inform service improvements
- Deliver a wide range of formal and non-formal accreditation opportunities across all youth service provision by ensuring that we work collaboratively with other services delivering to this age group.
- Work closely with schools and other agencies to identify vulnerable groups and maximise the use of additional resources to provide support to learners
- Put in place improvement strategies and specific actions to improve outcomes for learners, especially at key stages 3 and 4 to ensure that pupils gain formal qualifications prior to leaving statutory education.
- Develop multi-agency working with schools to target identified young people to improve attainment and increase the percentage of young people achieving 5 GCSE's A*- C, including English and Maths, in order to increase the opportunities to progress into further education or employment.

 We assessed this Improvement Objective and concluded we were **Successful** in its delivery in 2013/14. The reason for this is over the past 12 months the Welsh Government has made significant steps in producing strategic guidance for services that impact on young people. The publication of the Youth Engagement and Progression Framework (2013), which supports the Welsh Government Programme for Government, identifies that intensifying youth engagement and employment, is a priority for Wales. The framework aims to help all young people overcome the challenges they face so that they have the opportunity to make positive progression beyond compulsory education at 16. The development of this framework and the National Youth Work Strategy for Wales (2014) reinforces our aims to introduce a strong data management system to allow us to make informed decisions, and align services. They also provide guidance on the development of tracking systems, to provide early identification information on young people regarding their attainment and engagement.

At a local level, the development of a Caerphilly Youth Service Strategy, which was circulated for consultation between April and June 2014, provides a local interpretation of these national documents and highlights important areas for action. It is clear from the information provided that this is an evolving process with developments taking place continuously. It is essential for us to prioritise this work in order to continue shaping future services that can benefit all our young people.

What did we do well and what difference did it make?

We completed our action plan including undertaking a comprehensive review of the Youth Service, which identified areas of best practice and areas for development and shared this with the relevant audiences including Elected Members in Scrutiny Committee in September 2013. The recommendations have been included within the draft Caerphilly Youth Service Strategy as priorities for action.

In working closely with schools and other agencies to identify vulnerable groups, and maximise the use of additional resources to provide support to learners, we established a link between Youth Service and EOTAS (Educated Other than at School) to ensure a seamless transition between formal, non-formal and informal learning.

Page 54 An Information Sharing Protocol has been developed and is currently in the final stages of completion. Once it has been signed it will become a working document for the Directorate. Connecting Communities as a service has become an integral part of Community Education and together with the management team is now organising joint programmes that will benefit schools and young people.

The “Raising Aspirations” project, funded by Families First was established to support targeted young people, and their families, with the young people receiving group based support with the aim of improving their attainment and achieving the level 2 Threshold. As a result of this project it highlighted the benefits of youth work to support learning and has resulted in the “Youth Workers in Schools” bid to Welsh Government in partnership between the Youth Service and Communities First in November 2013. The funding has now been granted to employ a youth worker and a family worker in 4 schools, to work with young people to actively encourage them to engage in education, employment, training or enrichment activities to develop and enhance their learning. This approach of a youth worker, family worker and school, working together based on the school site will be unique to Caerphilly, and aims to collectively support the attainment of young people. These actions contribute to delivering a wide range of formal and non-formal accreditation opportunities to this age group.

The New and Expectant Parents project has supported a number of Key Stage 4 learners through formal accreditation, successfully gaining GCSE’s in a number of subjects.

To date adult enrolments in basic skills and those engaged in basic skill training has increased on last year although this figure cannot be formally finalised until September 2014.

What did not go well?

During our annual peer observations of youth clubs, a small number of youth clubs (5/20) were found to be performing under the level we would expect. Processes have now been put in place to, provide support and raise standards, in order to ensure that we are providing a high quality service to young people.

The percentage of 16 years olds who are not in Education, Employment or Training improved on last year from 5.9% to 4.4% and this is a much better performance this year. However we did not reach our target of 4%. Although this is a challenging local target it is still higher than the all Wales average performance of 3.7%.

What do we need to do better?

Attracting young people to more traditional forms of youth work provision (i.e. youth clubs) is becoming ever more challenging as there is a variety of alternative activities such as games consoles and tablet devices being used to occupy their time. The wide spread increase in use of social media by young people, combined with increasing parental anxiety regarding community safety (i.e. attendance of evening based activities) highlights the need to reflect on the way in which we engage young people. We need to ensure schools continue to engage in activities that can complement the curriculum and enrich activities in and around the school day. Our challenge is to maintain and improve the quality of youth service provision within the boundaries of the Medium Term Financial Plan. We need to develop a new bid for European funding 2014-20 and apply for extension funding to bridge the gap between existing and new European Social Fund projects.

Additional information on our Improvement Objectives can be found in Appendix A

Analysis of National Strategic Indicators (NSI) and Public Accountability Measures (PAM) for 2013/14 - Education & Lifelong Learning Services

Our performance key shows:			
Current year results compared to previous year results			Worse than the previous year
			Same as the previous year
			Better than the previous year
			Performance maintained at the best it can be
		N/A	Data not available or comparable – see individual comments for explanation

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Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
EDU 002i	The percentage of pupils (including those in LA care) in any local authority maintained school, aged 15 as at the preceding 31 August who leave compulsory education, training or work base learning without an approved external qualification. (NSI) Improvement Direction: Lower result is better	0.42%	17 th out of 22	0.4%	0.39%	14 th out of 22	0.3%
	Our year on year performance has improved. 9 of the 2,280 pupils aged 15 at the 31st August 2013 in our schools left with no qualifications compared to 9 of the 2,155 pupils aged 15 at the 31 st August 2012. Our performance compared to the rest of Wales has also improved between the 2 years.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
EDU 002ii	The percentage of pupils in local authority care in any local authority maintained school, aged 15 as at the preceding 31 August who leave compulsory education, training or work base learning without an approved external qualification. (NSI) Improvement Direction: Lower result is better	6.1%	16th out of 22	6.25%	0%	1 st out of 22	2.0%
	All of our 25 pupils in care left school last year with qualifications. Education Safeguarding Officers ensured that all our young people within this cohort remained engaged in education or training. Our performance for 2013/14 means we are now first in Wales for this area of service. This is a huge improvement on our previous position of 16 th in Wales for 12/13.						
Page 57 EDU 003	The percentage of pupils assessed at the end of key stage 2, in schools maintained by the local authority, achieving the core subject indicator, as determined by teacher assessment. (NSI) Improvement Direction: Higher result is better	82.7%	14 th out of 22	83%	84.2%	14 th out of 22	84.6%
	1,639 of the 1,946 pupils assessed at the end of key stage 2 achieved the core subject indicator. In terms of percentages this was an improvement on last years performance.						
EDU 006 ii	The percentage of pupils assessed, in schools maintained by the local authority, receiving a teacher assessment in Welsh (first language) at the end of key stage 3. (NSI) Improvement Direction: Higher result is better	11%	11 th out of 22	11%	11.4%	11 th out of 22	17%
	236 children were assessed in Welsh (first language) at the end of key stage 3.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
EDU 011	The average point score for pupils aged 15 at the preceding 31 August, in schools maintained by the local authority. (NSI) Improvement Direction: Higher result is better	429.7	17 th out of 22	415	455	20 th out of 22	505.3
	2,280 pupils aged 15 at 31 August 2013 gained 1,037,296 points (which is the total value of all the scores of all qualifications gained). Our performance has improved on both last year and our 13/14 target, although our performance compared to the All Wales Average and our position in Wales remains disappointing.						
Page 58 EDU 015 a	The percentage of final statements of special education need issued within 26 weeks, including exceptions. (NSI) Improvement Direction: Higher result is better	76.4% *	13 th out of 22	95%	90.6%	9 th out of 22	69.6%
	* 2012/13 result was calculated incorrectly and has now been amended to the figure shown above. There has been a natural rise due to the nature of this years group of children. Of the 85 statements including exceptions 76 were issued within the 26wks. Both our performance and our position in Wales improved during 13/14 for this area.						
EDU 015 b	The percentage of final statements of special education need (SEN) issued in 26 weeks, excluding exception. (NSI) Improvement Direction: Higher result is better	100%	1 st out of 22	98%	100%	1 st out of 22	96.6%
	Over the last 3 years all statements that exclude exceptions (100%) have been issued on time within 26 wks. This year the number of exceptions for medical reasons has significantly reduced following the appointment of a full time paediatrician. 43 statements were issued in 2013, compared to 15 in 2012. We remain 1 st in Wales for this area of service.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
EDU 017	The percentage of pupils aged 15 at the preceding 31 August in schools maintained by local authority who achieved the L2 threshold including a GCSE grade A* - C in English or Welsh first language and maths. (NSI) Improvement Direction: Higher result is better	45.1%	19 th out of 22	50%	46.3%	20 th out of 22	52.5%
	Of the 2,280 pupils aged 15 at 31st August 2013, 1,055 achieved the level 2 threshold, including GCSE A*-C in English or Welsh (as a1st language) & Maths compared to the 971 out of 2,155 pupils in 2012/13. Our performance has improved on last year, although our performance compared to the All Wales Average and our position in Wales remains disappointing						
Page 59 EDU 004	The percentage of pupils assessed at the end of key stage 3, in schools maintained by the local authority, achieving the core subject indicator, as determined by teacher assessment. (PAM) Improvement Direction: Higher result is better	68.4%	18 th out of 22	75%	73.5%	18 th out of 22	77.2%
	There were 2,076 children assessed at the end of key stage 3 and 1,526 achieved the core subject indicator. This is an improvement on our 2012/13 performance but our position in Wales remains the same.						
EDU 016 a	Percentage of pupil attendance in primary schools (PAM) Improvement Direction: Higher result is better	93.18%	18 th out of 22	93.4%	93.21%	18 th out of 22	93.7%

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
	Of the 4,518,522 possible primary school sessions, children missed 306,601 across Caerphilly in 2013/14. Slightly higher than the previous year with a difference of 3,279 in comparison with 303,322 missed in 2012/13. However this was out of a possible 4,449,206 possible sessions, 69,316 less than in 2013/14. This means that we performed slightly better in percentage terms between the 2 years.						
EDU 016 b	The percentage of pupil attendance in secondary schools (PAM) Improvement Direction: Higher result is better	91.7%	19 th out of 22	92%	92%	19 th out of 22	92.6%
	There were 3,152,587 possible secondary school sessions in 2013/14 and of those pupils missed 251,528. This was an improvement on 2012/13 where pupils missed 271,170 out of 3,257,097 sessions.						
CL 001b	The number of visits to public Libraries during the year, per 1,000 population. (NSI) Improvement Direction: Higher result is better	5,012	17 th out of 22	4,800	5,974	9 th out of 22	5,851
	1,069,535 members of the public visited our public libraries in 2013/14, a rise of 173,513 visits on 12/13 visits (896,022). The opening of the new Caerphilly Library in January 2014 contributed to the improved performance for the year, along side a significant rise in the number of unique virtual visitors to the Library Webpages. We are now also performing above the Welsh average in this sector and we have also improved our position in Wales between the 2 years.						

Evaluation of other performance information for the year 2013/14 – Education & Lifelong Learning Services

-  There were improvements in literacy for targeted pupils in Year 11
-  The performance of learners at the Foundation Phase continues to perform above the Welsh average for all indicators, including the Foundation Phase Indicator (known as the Core Subject Indicator at additional Key Stage), which in Caerphilly was 86.9%, ranking us 9th in Wales, compared to the national average of 85.2%.
-  ESTYN highlighted a need to improve the accredited outcomes of young people's learning, the youth service has strengthened their focus on this outcome which has resulted in 96% increase in local accreditation (6249 in 12/13 to 7848 in 13/14) and a 209% increase in national accreditations (129 in 12/13 to 399 in 13/14)
-  A detailed review of the Free Schools Meals process has been undertaken and achieved, resulting in a £200k saving for 2014/15.
-  During 2013-14 seven Libraries across the County Borough participated in the Authority's Digital Friday initiative with more than 700 residents supported to improve their online skills. Nearly half of those supported required assistance with job-seeking online with a high proportion of repeat attendees – some 1500 individuals support the delivery of the Council's DWP Universal Credit Pilot – Digital Inclusion and Digital Friday's roll out
-  The County Borough Library Service has completed its refurbishment and modernisation programme for the Authority's Public Library building network. During 2013-14 Aberbargoed Library reopened, Newbridge Library relocated to the town's Institute and Memorial Hall, Bedwas Library underwent an internal and partial external makeover with the inclusion of a public DDA accessible toilet, and the Caerphilly town facility moved to a new purpose built multi-use site at the Twyn. In excess of £13 million pounds have been invested in the Council's Public Library network since 2006
-  Our data shows we need to continue to work with primary schools to improve the Year 6 reading ages. This will ensure that children are able to access the curriculum effectively as they make the transition to comprehensive school.
-  We need to further refine the targeted literacy intervention provided by the specialist teachers in order to ensure children and young people achieve their own personal targets.
-  Work with secondary schools to improve the identification of young people at risk of becoming NEET (Not in Education, Employment or Training) and provide support to them to encourage them into an appropriate learning pathway is starting to take place. Tracking outcomes for pupils who are educated other than at school to ensure they continue into education, employment or training is also a priority.

-  The number of fixed term exclusions that are 6 days or longer are too high and we want to reduce this and ensure that all exclusions are reported using the correct documentation processes
-  We need to analyse the Additional Learning Needs review and undertake the appropriate actions.
-  We must engage more of the youth population. The Youth Service can now monitor engagement at ward level, which allows managers to identify where targeted support is needed to increase engagement.
-  We need to undertake further work to develop the Library Services, in providing basic skills and the delivering wider reader agenda. During 2013-14 some 40 members of frontline staff received introductory training in basic skills awareness.
-  We have made significant progress on secondary rationalisation however it remains a priority as we work towards securing a reduction in secondary schools surplus places.

Directorate of Environment

Director's Statement of Overall Performance for 2013/14

Sandra Aspinall

Acting Deputy Chief
Executive



The Directorate of the Environment consists of 4 core service divisions, namely, Community and Leisure Services, Engineering and Transport, Public Protection, Planning and Regeneration. This directorate delivers a diverse range of statutory and local services to our community. During 2013/14, we operated within a revenue budget of £60.53m and a capital budget of £15.4m, and employed up to 2300 staff.

Overall, and despite ever increasing financial pressures, we continue to see borough wide improvements to the environment, our infrastructure, community facilities and service provision much of which, has only been achievable by encouraging wider community and citizen engagement. Some of our key priorities and highlights experienced in 2013/14 are listed on the following pages. If you would like to know more about the performance of a particular area, the details of who to contact are listed at the back of this report.

Community & Leisure

Our **waste collection services** compare favourably when benchmarked against other Local Authorities. A report from the Welsh Local Government Association (WLGA) ranked the service in Caerphilly the 9th lowest cost authority when compared with the other local authorities across Wales on a per household basis. High recycling levels (always in the upper quartile) are being consistently achieved. The Waste Framework Directive set a target that by 2020 recycled waste shall be increased to a minimum of 70% by weight. The Welsh Government reported that we were 2nd highest in Wales (jointly with Bridgend) for re-use/recycling/composting rates in 2012/13 with the statutory target of 52% being exceeded at a rate of 57.1%.

Performance of the **Parks & Bereavement Service** is good overall although trees were greatly affected and playing fields suffered during the year due to adverse weather conditions. This affected the provision of outdoor sports facilities for Rugby and Football, which resulted in a reduction in the number of users to our outdoor sports facilities.

The **Sport & Leisure Service** is performing well against national, regional and corporate performance measures, with the only exception being our School Swimming Programme, which requires additional resources to secure improvement.

The National Strategic Indicator (NSI), LCS002b (the number of visits to local authority sport and leisure facilities during the year per 1,000 population where the visitor will be participating in physical activity) is highlighted red against last year's performance due to a change in the way another service areas data is collected and this data contributed to the overall figure.

The Sport & Leisure Service play a leading role in driving a regional working partnership, which includes Caerphilly, Newport, Monmouthshire, Torfaen and Blaenau Gwent. This partnership, known as CORL (Chief Officer Regional Leisure) enables shared expertise, resources and benchmarking to drive the service performance.

Engineering Services

Our **Engineering and Transport Services** have had a busy year completing the following works:

- Bargoed Town Centre Regeneration.
- Waterproofing to the Trinant Viaduct
- Relining works on Monmouthshire & Brecon Canal
- Design for two key highway improvement schemes progressed namely - A467/A472 Crumlin junction and the A468/A469 Pwll-y-pant junction in the Caerphilly Basin.

A main focus during 13/14 has been the development of our highway asset management strategies. Our highway network is the largest and most used asset that we own and is valued at around £1.75 billion. Consequently the operation and maintenance of such a large and ageing asset continues to be extremely challenging. Poor weather conditions such as flooding, freezing and snow that have a significant impact on the service area. Much of our work is reactive and extremely difficult to plan. Due to budget difficulties there has been a drive to minimise the effects that limited budgets can have by utilising more preservation techniques. In 2013/14, 13.4% of the principal road network was re-surfaced. There was 75.9km of carriageway resurfaced in 2013/14 compared to 70.9km in 2012/13. There were also 9,293 potholes filled last year compared to 8,927 the previous year.

Results from our most recent household survey indicate an upward trend in the public's view of our highways. Considering the challenges faced it is evident that performance continues to be good in this area. There has been a significant step change in public views between 2011 and 2013 relating to winter maintenance (up 23%), condition of road surfaces (up 15%), condition of pavement surfaces (up 11%) and drainage (up 9%) along with other improvements made in signs and road markings and highway management. Similarly, the survey indicated a positive trend for local bus services: Overall satisfaction (up 2%), provision of transport information (up 2%), the state of bus stops, shelters (up 6%).

2013/14 saw the creation of the Cardiff Capital Region Board and the decision by Welsh Government to lead on delivering of strategic transport improvements. The regional transport consortia, SEWTA, ceased operation and local authorities in the region are now seeking new ways to engage with the new Cardiff Capital Region Board and Welsh Government to assist with the strategic transport agenda for the south

east Wales region. The future is uncertain at this point, but it is likely to bring some significant challenges for local authorities in how their priorities can be achieved going forward.

Street lighting was further improved during 13/14 when a further £75,000 Local Authority Energy Fund (LAEF) funding was obtained which enabled us to install a further 1,000 Cosmopolis energy efficient lamps adding to the 2,000 installed over previous years. Customer satisfaction levels for street lighting were recorded at an impressive 89%.

Bus route changes across the county borough have been implemented following a 27% reduction in funding from Welsh Government. Despite the reductions the impact on passengers has been minimal. Wide consultation was undertaken with the community to seek views on the changes to services implemented. Should any further reductions in service be necessary, consultation will form an important part in identifying changes in order to keep the impact to a minimum.

Public Protection Services

We were the first **Catering Service** in Wales to achieve the statutory (WG) compliance to the Healthy Eating in schools measure and we are currently achieving above our set target in primary and secondary paid meal uptake. However we are still working towards our free school meal uptake target. We were the 1st Authority in Wales to meet the WG Appetite for Life compliance in both Primary and Secondary Schools.

Our **Environmental Health team** investigated all notifications of infectious diseases and we introduced and implemented a new infectious disease notification system. Our targets of inspecting 100% of high-risk food businesses to assess food hygiene and safety and 100% of high risk health and safety inspections was achieved during 13/14. The implementation of the Food Hygiene Rating Scheme in November 2013, which introduced the mandatory display of hygiene ratings has been very successful. Food businesses hygiene standards have improved with the percentage of premises being broadly compliant with food safety requirements increasing from 87% to 92%.

The **Health Improvement Team** continued to strategically lead and deliver the local response to Health Challenge Wales and Change 4 Life Interventions. Such work involves initiatives around the most prevalent health challenges including, smoking, obesity, physical activity, alcohol, illegal drugs and also the health issues associated with mental health, cardiovascular and coronary heart disease, diabetes, chronic obstructive pulmonary disease and cancers. We are leading the way in recruiting and training community health champions. 38 community members were recruited and trained in 13/14 bringing the total trained to date to 82. All our playgrounds and schools across our county borough are now smoke free and all healthy early years settings have received our 'young lungs at play' stickers to display.

The **Enforcement Officers** were very active in protecting the environment particularly in relation to anti-littering and anti-dog fouling campaigns, resulting in 239 Fixed Penalty Notices being served for littering and 47 for dog fouling. Several prosecutions were also taken for non payment of fines and for fly-tipping offences.

The number of criminal complaints investigations and prosecutions handled by **Trading Standards** has increased markedly since the economic downturn. 2013/14 saw a noticeable increase in criminal investigations related to home improvements and building work. Several prosecutions were successful. We introduced a further 20 'No Cold Calling' zones across the county borough, including 12 zones covering non-warden controlled OAP complexes.

The proposed introduction of a regional Trading Standards Service for Gwent with Caerphilly as the lead authority represents a key challenge for the service. A robust and viable model for the Regional service is key with sufficient staffing and stable budgets to ensure statutory responsibilities are met and vulnerable consumers and legitimate businesses receive the advice & protection they require.

As a result of demands on the service our focus is on high-risk activities and we are not achieving all medium risk, or many low risk inspections within Environmental Health and Trading Standards.

The **Registration Service** has continued with a project to digitise the indexes for Births, Deaths and Marriages from 1837 to present time. This reduces back office time in locating historic certificates and enables customers to search indexes via our Website. Tremendous progress has been made with this mammoth task and by the end of March 2014; the index to all marriage records and births up to 1940 had been completed. Our Registration Service is meeting the national target of 98% of births and stillbirths registered within statutory timeframes. For deaths, we registered 96% within the statutory timeframe compared to an average of 93% across the rest of Wales and 85% across England and Wales.

The **Community Safety Service** is currently performing well with all community safety partners contributing to the overall partnership outcomes, which are detailed in the Safer Caerphilly scorecard. The anti social behaviour (ASB) 4 Strike Process continues to work well with over a 99% drop off rate between Strike 1 and 4 throughout 2013-14. The ASB Victim Service continues to develop with family support now offered to channel referrals. Mediation is also provided for neighbour disputes. A total of 332 referrals were received throughout 2013-14. The latest Household survey result shows that 64% of households strongly or tend to agree that the Police and CCBC are dealing with ASB and crime issues in their area. This is an increase on previous years. Re-offending rates for CCBC have decreased to 8.67% during 2013-14 compared to 9.83% during 2012-13.

Community Safety Wardens recently won a Lord Ferrers award for 'Employer Supported Policing' for the work they undertake alongside colleagues at Gwent Police in working to tackle crime, disorder and anti-social behaviour in Caerphilly county borough.

Regeneration and Planning Services

There are nine service areas within Regeneration and Planning and the following identifies some key highlights from 2013-14;

The **Countryside & Landscape Service** has successfully managed and run the Rural Development Programme and is now well placed to continue the rural programme in the next round starting in 2015. During the year over 10,000 trees were planted through the PLANT initiative, which has involved local schools and residents. Parc Cwm Darran achieved Green Flag Status and a wide variety of over 50 events, either undertaken or supported by the service, have been run throughout the County Borough, including walking, biodiversity and seasonal events at countryside locations across the County Borough. As a result of these and other activities, visitor numbers at country parks increased by 20% in 2013-14, with over 1 million visitors recorded.

However, there have been some difficult land management issues with regard to bio-security, notably the outbreak of phytophthora at Parc Cwm Darran but also with other invasives and diseases. To comply with a Statutory Plant Health Notice issued by NRW we had to prepare and undertake a felling plan for some 10 acres of infected larch woodland within Parc Cwm Darran. The felling works were all undertaken, primarily by an external forestry company by 31st March 2014 to comply with the Notice. The numbers of trees felled ran into thousands and we are now sizing and logging the wood to have a range of saleable timber. We will now need to consider what to do longer term with the felled area and this is being investigated currently. As far as possible, the wildlife was protected during the works and provision made to adapt the felled site for biodiversity.

Our **Strategic & Development Planning team** secured Heritage Lottery Fund for Butetown, Tredegar totalling £134,000 and this will progress the plan for improvements in the area.

Our education for **Sustainable Development** work has led to 67% of schools in the county borough (61 of 91) achieving Green Flag status under the Eco Schools scheme. Eleven schools have achieved a Platinum Award by maintaining their Green Flag status for at least 8 years.

A partnership project to improve the River Sirhowy has resulted in salmon spawning up stream of Blackwood for the first time in over 100 years.

Maes Yr Onn Farm, the totally “off grid” farmhouse at Manmoel, a project supported by the RDP Sustainable Energy Team, won the prestigious Royal Town Planning Institute award for Wales.

During the year, the general economy has started to improve, but officers from our **Business Enterprise Support** have noticed a definite lag when compared to other more prosperous areas of the UK. All funding for grants has been fully used during the year (LIF, UK Steel Start Up Grant, Business Development Grant and GO2 Website Grant). Local Investment Fund targets for job creation, safeguarded and social enterprises created were all exceeded.

ICT consultations also exceeded target, which reflects an upsurge in interest in the business community with respect to engaging with technology. However, there is a decline in interest and uptake of technology towards the northern end of the County Borough and this will need to be addressed as a priority for the year ahead.

Many local businesses have a desire to improve via the use of technology, but they are not aware of what is available to them and also, they do not have access to superfast broadband, this remains an issue and a priority for us and Welsh Government.

Town Centre management continues to work well in our 4 main towns (Bargoed, Blackwood, Caerphilly and Risca) and was successfully introduced in Ystrad Mynach during 2013/14. However, there has been a reduction in the number of visitors to the town centres, but plans are in place to try to address this in 2014. An ongoing concern is that core budgets to undertake improvement and maintenance works are under extreme pressure and may be lost.

The team secured additional EU funding for Newbridge and Bargoed – over £3m to be spent in 14/15. This enables further improvements to build on existing projects, such as the opening of Retail Plateau Morrisons store and associated car parking in 13/14 and securing ODEON as cinema operators in Bargoed as part of Bargoed Retail Plateau Phase 2.

Page 68 Issues for ongoing attention include, the letting of the unit shops adjacent to Morrisons, Bargoed, which has been very difficult due to the current economic climate. Officers do however have a key anchor tenant willing to sign Heads of Terms for 2 of the larger units. There is also a need to secure the overall budget required to build the proposed cinema in this new complex. Build contractors submissions are not within budget and, hence the scheme has been delayed.

With regards to **Tourism**, a number of new events were delivered and existing events enhanced, which drew thousands of people together from within and outside our borough, including the Caerphilly 10k run (23rd June), the Big Cheese weekend (27th July 2013), the BBC Proms in the Park (7th September), and the Tour of Britain cycle race (19th Sept). The Council's core events programme generates a gross economic impact of £2.2m for the economy of Caerphilly County Borough sustaining up to 50 jobs and are staged with the support and partnership of external organisations to generate activity and footfall in our primary town centres. The town centre events are responsible for driving a significant level of footfall in our town centres including contributing 3% of the annual footfall figures for Caerphilly town.

Tourism now brings in £103m (a 6.2% increase from 2012) with 1.67m visitors during the year (an increase of 4%). The number of visitors to Llancaiach Fawr, Winding House Museum, Cwmcarn and Visit Caerphilly was 550,810 nearly 30% above target.

The Industrial Property Portfolio continues to operate at the highest occupancy levels, particularly compared to the private sector. Overall, 97% of all our industrial units and offices were occupied, 2% above target for the year.

2013/14 Financial information and analysis for the Directorate of the Environment

The Directorate continues to deliver services within its allocated budgets and has generated some significant savings and efficiencies over the past year to help manage cost pressures and to support the Authority's Medium-Term Financial Plan. Savings and efficiencies have no doubt been delivered with some impact on front-line services, but have been necessary to prevent unnecessary costs and to find improved ways of using the resources available to the Directorate.

The 2013/14 outturn position for the Directorate of the Environment was an overall underspend of £589k on a net revenue budget of £60.53 m. The budget under-spend is attributed to a range of services: -

- Regeneration and Planning reported an underspend of £808k, which was due to staff posts being vacant, reduced operational costs and increased income generation, particularly in relation to tourist visitor centres and industrial properties.
- Public Protection Services reported an overall underspend of £115k including underspends in relation to Trading Standards & Licensing (£39k), Environmental Health (£34k) and Catering (£42k). These underspends are mainly due to a combination of staff vacancies, reduced operational costs and income generation in schools catering, partly offset by an over-spend in relation to pollution control issues.
- Community and Leisure Services underspent by £255k. This includes a £36k underspend in relation to waste and cleansing due to staff vacancies offset by overspend in relation to gully waste charges, Civic Amenity site costs and reduced Sustainable Waste Management Grant. There is a £343k underspend in relation to Parks, Cemeteries and Outdoor Facilities and an overspend of £124k for Leisure services primarily due to reduced income in relation to swimming pools and increased staffing costs.
- Engineering and Transportation Services had an overspend of £611k, primarily due to ongoing pressure on our road infrastructure leading to increased road maintenance and a requirement to invest in winter maintenance vehicles.
- The Direct Labour and Direct Service (DLO/DSO) operations have overall reported healthy cash profits of £215k.
- Other miscellaneous overspends within the Directorate amounted to £193k.

Two of the biggest budgets within the Environment relate to our highways assets and the management of waste. We have focused on continuing to increase the amount of waste we recycle to reduce the amount of waste going to landfill. The cost of land filling waste continues to increase as landfill gate fees and landfill tax increases. Further, European fines for exceeding landfill directive targets are substantial and this

would be a significant financial cost if not addressed. However we are performing well against the Welsh Government statutory recycling targets and those that divert waste from landfill. For 2013/14 we achieved a recycling and composting rate of 57.6% against a Welsh Government target of 57.5%.

Prosiect Gwyrdd is a collaboration project with four other authorities, which by April 2016 will divert waste from landfill to energy from a waste incineration plant. This will significantly reduce our residual waste disposed to landfill and also the overall cost of managing residual waste, as the cost of waste disposal through Prosiect Gwyrdd is significantly less than current landfill disposal costs. This will also remove the risk of not meeting European Landfill diversion targets.

The highway asset is the largest authority asset valued at around £1.75 billion. Although the authority has benefited from additional funding secured under the Welsh Government's "Local Government Borrowing Initiative" of £8.4 million spread over three years 2012/13 to 2014/15, the highway asset overall continues to deteriorate. Key focus has been placed on ensuring the main strategic arteries consisting of the A, B and C road network have received priority for preservation to limit any further deterioration but there is still a significant budget shortfall to try and achieve a steady state maintenance regime. However, Caerphilly compares well to other authorities in Wales in relation to the condition of its highway network.

The focus on resurfacing changed in 2013/14 where a significant amount of the A, B and C road network had received treatment over previous years, resources were diverted to the unclassified network which accounts for 65% of the overall highway within the authority. The strategy of preservation has continued to work well and the developed Highway Asset Management tools and techniques have been utilised effectively to allocate resources appropriately.

Improvement Objective (13/14) – Improve awareness, access, variety and use of leisure, community and sporting facilities (IO 4)

In 2013/14 we said we would:

- Build a Centre for Sporting Excellence in Ystrad Mynach. This will be developed with a programme of activities for the use of both professional sporting bodies and the local community.
- Develop a Leisure Facilities Strategy to inform priority investment in sports and leisure facilities
- Engage with schools and parents to ensure that children have the opportunity to learn to swim by the age of 11 years
- Retain users by developing and implementing a scheme that rewards customer loyalty
- Grow a skilled and enthusiastic workforce, which includes coaches, tutors and volunteers
- Introduce a programme to identify and support those who are more able and talented in sport
- Promote the well-being benefits of being physically active
- Introduce a 5 a-side soccer arena in Risca.

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We assessed this Improvement Objective and concluded we were **Successful** in its delivery in 2013/14. The reason for this is that we have made good progress during the year with all our actions and much of our evidence shows that improvements have been made.

What did we do well and what difference did it make?

- The Centre for Sporting Excellence in Ystrad Mynach is now complete and we have established partnership agreements with the Newport Gwent Dragons, the Welsh Rugby Union and Cardiff City Football club with regards to the use of these facilities.
- A new 5 a-side soccer arena in Risca was opened in October 2013 by the Minister for Culture and Sport and is well used by both the school and the community.
- Also in October 2013 we launched a customer incentive scheme called SmartRewards. Customers and staff have positively received this. By 31st March 2014 we had over 11,000 more Smartcard holders than a year ago, with 112,797 Smartcard holders in total at the year-end. Our Leisure Centres have seen a rise in customers with a record number of direct debit memberships, almost a 19% (18.8%) increase on 2012/13.
- According to the School Sport Survey undertaken by Sport Wales, the percentage of school pupils participating in sport 3 times a week has significantly improved in the 2 years since the last survey was completed in 2011. Years 3 to 6 school pupils and years 7 to 11 pupils who said they participate in sport 3 times a week increased by 14% and 9% respectively between the two surveys.

- The number of adults who took part in WG's Free Swim programme rose by more than 8% or 3,500 in 2013/14 compared to 2012/13.
- 2013/14 was a fantastic year for the number of people who took part in Sports Caerphilly activities. Over 87,000 people took part during the year which was almost 9,000 more people than in 2012/13 and also above the number achieved during the Olympic year 2012. This was largely due to a partnership approach where we targeted to work more closely with some of the National Governing Body's of Sport to increase visitor participation and also due to the Sport Relief Mile event held at Caerphilly Castle in March 2014.

What did not go well?

- Major refurbishments at 2 of our swimming pools during the year had an effect on our visitor numbers and free swim targets during the first half of the year 2013/14. Measures were put in place to reduce the impact of this and performance levels improved month on month as a result.
- We are continuing to implement our swimming programme for children and engagement with this programme is good. However, we need to improve pupil performance if we are to meet the national targets set out by WG. The percentage of children who are able to swim a minimum of 25 meters at age 11 years is 58%, which is significantly lower than the national target to reach 91% by 2020. We are also the lowest performing local authority within the 'Gwent' region by some way.

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What do we need to do better?

- Our swimming programme needs a radical overhaul if we are to meet the targets set by WG. For this to improve we need to introduce specialist teachers and intensive swimming lessons but this is dependent on further resources and funds becoming available.
- Community Sports Club participation is below the national average and we need focus more on increasing community engagement in such clubs`.
- Whilst progress is pleasing we recognise that significantly more is required within current resources to improve the quality of life and health of our residents.

Additional information on our Improvement Objectives can be found in Appendix A

Analysis of National Strategic Indicators (NSI) and Public Accountability Measures (PAM) for 2013/14 - Environment Services

Our performance key shows:		
Current year results compared to previous year results		 Worse than the previous year
		 Same as the previous year
		 Better than the previous year
		 Performance maintained at the best it can be
		N/A Data not available or comparable – see individual comments for explanation

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Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
LCS 002b	The number of visits to local authority sport and leisure facilities during the year per 1,000 population where the visitor will be participating in physical activity. (NSI) Improvement Direction: Higher result is better	7,715	14 th out of 22	8,184	7,554	17 th out of 22	8,954
	The numbers reported for this measure declined slightly in 2013/14 when compared to 12/13 and we did not hit our 13/14 target. However, there were still 1,352,274 visits to the authority's sports and leisure facilities during 13/14. Although not in the description this measure records visits to both leisure centre and parks (indoor and outdoor facilities). In 13/14 there were 1,252,956 visits to leisure centres compared to 1,219,135 visits in 12/13 and 99,318 visits to park facilities in 2013/14. However, the way Welsh Government require this measure to be counted means it is not representative of all park visits, nor leisure centre visits, during the year as certain categories of visits are excluded by WG in the above data.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
PLA 006b	The number of additional affordable housing units provided during the year as a percentage of all additional housing units provided during the year. (NSI) Improvement Direction: Higher result is better	42.02%	11 th out of 22	*	41.62%	7 th out of 22	37%
	<p>Whilst we have maintained a proportion (42%) of affordable housing at the same level over the past two years, it should be noted that the actual numbers provided were: 144 out of 346 units in 2013/14 compared to 108 out of 257 in 2012/13.</p> <p>House building rates are linked to economic conditions; therefore this year's increase in economic circumstances is partly due to improvements in economic conditions. Affordable housing is linked to overall house building rates and provision of Welsh Government grants.</p> <p>*No formal target was set for this measure for 2013/14 as the Authority does not have direct control over the development of additional affordable housing.</p>						
THS 007 Page 74 	The percentage of adults aged 60+ who hold a concessionary bus pass. (NSI) Improvement Direction: Higher result is better	88.4%	6 th out of 22	90%	89.6%	4 th out of 22	84.3%
	Of the 42,198 60+ population in Caerphilly 37,822 have concessionary bus passes. Our aspiration was to reach our target of 90%, but despite best efforts to promote uptake, the ultimate result is determined by citizen applications. Performance for 2013/14 still improved on 2012/13 and we are doing better than the all Wales average						
STS 006	The percentage of reported fly tipping incidents cleared within 5 working days. (NSI) Improvement Direction: Higher result is better	99.05%	3 rd out of 22	99%	99.12%	3 rd out of 22	95.03%
	Our response rates have improved between 2013/14 when compared to 12/13 and our levels of performance exceeded our target for 13/14. The Authority issued Personal Digital Assistants (PDA's) to cleansing crews, so the figure is far more accurate than in previous years, with almost all incidents of fly tipping now recorded. There were 2,609 fly tipping incidents reported in 2013/14 and of those 2,586 were cleared in 5 days. This was 930 more reported incidents compared to 2012/13, 1,679 and 923 more cleared compared to the 1,663 cleared in 5 days in 2012/13.						
WMT 004b	The percentage of municipal wastes sent to landfill. (NSI) Improvement Direction: Lower result is better	42.01%	10 th out of 22	40%	38.49%	11 th out of 22	37.72%

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
	Target exceeded for 13/14 and performance also improved on previous year as we sent less municipal waste to landfill than in 12/13 in terms of tonnage and percentage of waste landfilled. 37,481 tonnes of the 97,366 municipal waste collected was sent to landfill in 2013/14. In 2012/13 of the 98,431 tonnes of municipal waste was collected and 41,103 tonnes was landfilled.						
WMT 009b	The percentage of municipal waste collected by local authorities and prepared for reuse and/or recycled, including source segregated bio wastes that are composted or treated biologically in another way. (NSI) Improvement Direction: Higher result is better	57.07%	3 rd out of 22	57.5%	57.61%	5 th out of 22	54.33%
	In 2013/14 of the 97,366 tonnes collected 56,085 tonnes was recycled, 87 tonnes less than in 2012/13. However, in percentage terms this was still better than both the target we set ourselves and our performance last year.						
STS 005b	The percentage of highways inspected of a high or acceptable standard of cleanliness (PAM) Improvement Direction: Higher result is better	97.4%	7 th out of 22	97%	97.9%	11 th out of 22	96.8%
	Out of the 1,596 inspections of our highways during 2013/14, 1,563 were identified as having or being of a high or acceptable level of cleanliness. This was a slight improvement over the levels reported in 12/13 and is better than the all Wales average.						
THS 012	The percentage of A, B & C roads that are in overall poor condition. (PAM) Improvement Direction: Lower result is better	8.6%	8 th out of 22	8.3%	8.8%	10 th out of 22	13.2%

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
	Our survey result for 2013/14 shows a marginal worsening in the level of quality of the roads within our borough, when compared to the result obtained in 12/13. Also, we did not meet our target in 13/14. During the year we surveyed 513km of our A, B & C roads, of which, 45km were reported to be in poor overall condition (worse than or equal to a standard known as the RED threshold). This compares 42km out of 487km reported in 12/13. . It should be noted that local authorities are currently working with Welsh Government on these measure's as they do not fully take into account the use of preventative maintenance techniques that are being widely used. Maintaining our roads at a sufficient standard continues to be a challenge for the authority, despite cyclical maintenance, annual surveys, routine inspections, and responsive repairs.						
PPN 009	The percentage of food establishments, which are 'broadly compliant' with food hygiene standards. (PAM) Improvement Direction: Higher result is better	87.26%	11 th out Of 22	80%	92.06%	9 th out of 22	90.33%
	Our results show an improvement in 'compliance' in 2013/14 when compared to 12/13 and the result was well above our anticipated target for 13/14. For 13/14, the result represents 1,369 of the 1,487 establishments in Caerphilly Borough were broadly compliant. Due to the food hygiene-rating scheme, most businesses are now keen to get a high food hygiene rating and officers are working closely with poor performing businesses to assist them in improving their rating.						

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Source: Data Unit Wales – How did we do? 2013-14 Performance Information version dated 20/21 August 2014

Evaluation of other performance information for the year 2013/14 - Environment

Community & Leisure Services

-  Our customer satisfaction results are improving across our services. From our most recent survey, 82% of survey respondents were satisfied with the condition of their local park and play facilities. This exceeds the target of 65% for 2013/14 and is also over 20% better than the results from the previous biennial Public Services Survey (2011/12), when the result was 60.7%. Also, 99% of respondents were satisfied with our Sport and Leisure Service. This is higher than the target we set ourselves of 93% for 2013/14 and also exceeds the 2012/13 customer satisfaction survey results for this service when we achieved 90% satisfaction. Also, consultation with stakeholders and bereaved families resulted in an overall satisfaction rate of 94% with our Bereavement Services.
-  Our 'clean up' campaigns (local campaigns involving authority staff and community volunteers where joint efforts help to clean up unkempt areas while also attracting media interest with the aim of preventing problems recurring) encourage people to take pride in their local environment; helping Caerphilly county borough to become an even cleaner and greener place to live, work and visit. During 2013/14 we undertook 13 clean up campaigns. This was 9 more than we planned for in 2013/14 and 3 more than we completed in 2012/13. In May and June 2013 we worked in partnership with McDonald's to clean up the areas around Glan yr Afon, Newbridge and Cliff Road, Blackwood. March 2014 saw a clean up campaign take place on Caerphilly Mountain.
-  In 2013/14 it cost us less per household to collect domestic refuse. During the year we collected 25,515 tonnes of domestic refuse from 77,614 properties and this cost almost £1.5m. However, the average cost of these refuse collections, per household, was £19.32 – less than last year and our 2013/14 target of £21.12. The average cost per tonne of domestic refuse collected also declined in 2013/14. This reduced by almost £20.00 to £58.77 in 2013/14 compared to the average cost per tonne collected in 2012/13 of £77.92.
-  We retained the Green Flag Award status at 3 of our parks in 2013/14 and these were; Morgan Jones Park in Caerphilly, Waunfawr Park in Crosskeys, The Wern, woodland park in Nelson. The Green Flag Award Scheme is a national accreditation standard given to the best parks and green spaces in the country.
-  1,296,503 visits were made to our Leisure Centres during the year ended March 2014. However, we lost the use of the swimming pool in Newbridge Leisure Centre for 3 months and the swimming pool at Risca Leisure Centre for a further 1-month due to essential maintenance at both the centres. Due to these temporary closures by September 2013 we were more than 50,000 visits down on our predicted target for the whole year. However a strong recovery during the second half of the year has meant that we were only 7,000 visits off target at the year-end. It is also important to note that even with the temporary pool closures, during 13/14 the service has had in excess of 18,500 more visits in 13/14 (1,296,503) compared to 12/13 (1,277,952).

-  We recycled just over 445 tonnes from our council offices and buildings in 2013/14. Whilst this was less than in 2012/13 (605 tonnes) and our 13/14 target (650 tonnes) we believe that we have actually recycled less because we have put in place more effective waste minimisation practices in our offices, such as setting up the paperless office and having better printing protocols. These initiatives have affected the actual volume of waste created for possible recycling; meaning that essentially we have produced less waste.

Engineering Services

An extract from our 2013 Household Survey shows:

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-  65% of households were very, fairly satisfied with the Neighbourhood Road Network for - Highway Management (59% in 2011).
 -  69% of households were very, fairly satisfied with the Neighbourhood Road Network for - Winter Maintenance (46% in 2011).
 -  63% of households were very, fairly satisfied with the Neighbourhood Road Network for - Pavement surfaces (52% in 2011). Even though this was a significant increase, and despite investments, the result is considered to be average.
 -  43% of households were very, fairly satisfied with the Neighbourhood Road Network for - Road surfaces (28% in 2011). Even though this was a significant increase, and despite investments, the result is still considered to be low.
 -  85% of households were very, fairly satisfied with the Local Bus Service overall (83% in 2011).
 -  82% of households were very, fairly satisfied with the Local Bus Service - Provision of public transport information (80% in 2011).
 -  79% of households were very, fairly satisfied with the Local Bus Service - State of bus stops, shelters (73% in 2011).
 -  83% of households were very, fairly satisfied with the Local Bus Service - Frequency of busses (83% in 2011) with 81% satisfied with timeliness of busses (81% in 2011). This result however, is perceived to be good, in light of Welsh Government finance and service cut-backs experienced during the year, as well as some impact from the authorities medium term financial plan proposals at the start of the year.

Other local performance shows:

-  The average time taken to rectify highway surfaces defects for 13/14 was 25.75 days, (against our target of 28 days). This was an improvement over the 26.9 days for 12/13.
-  The percentage of dangerous incidents repaired within 24 hrs (Highways) was 99% in 13/14 (against a target of 99%). The result for 12/13 was 98%. However, there were 2,312 incidents reported for 13/14, compared to 3,506 incidents reported for 12/13.

 2.7% of our footways were resurfaced in 13/14 (against a target of 3%). Compared to 2.81% for 12/13.

Public Protection Services

An extract from our 2013 Household Survey shows:

-  76% of households felt that that the levels of crime have got better or stayed the same in their community in the last 2 years (new measure for 2013).
-  64% of households strongly or tended to agree that the Police and Caerphilly CBC are dealing with anti-social behaviour and crime issues that matter in this area (58% in 2011).
-  69% of households felt that the levels of anti-social behaviour have got better or stayed the same in their community in the last 2 years (new measure for 2013).
-  95% of households felt there is an issue affecting the appearance of their neighbourhood, streets and local town for
- Dog Fouling (86% in 2011).

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Other local performance shows:

-  In 2013/14 our primary school meal-take up was 42% compared to 38% in 2012/13. Overall, meal uptake has significantly improved despite the implementation of the Appetite for life scheme in our schools. The latest result shows that we achieved our 2013/14 target of 42%.
-  In 2013/14 our secondary school meal-take up remained at 50% for the second year, despite the implementation of the Appetite for life scheme in our schools (healthy meals), meeting our target of 50%.
-  We have improved the number of CCTV camera patrols undertaken in town centres to 20,358 for 13/14 (against a target of 14,000). Our result in 2012/13 was 15,695.
-  We increased the Total Number of Community Safety Wardens (CSWs) visits to hotspot locations within Caerphilly County Borough to 5,729 in 2013/14 (against our target of 3,700). Our result in 2012/13 was 4,651.
-  The percentage of food establishments which are broadly compliant with food hygiene standards, improved in 2013/14 to 92% when compared to the 87% reported in 2012/13.

-  100% of new businesses identified and high risk rated premises for animal health were subject to an inspection during the year. 100% of significant breaches for animal health were also rectified.
-  Trader and business satisfaction with service delivery (for Trading Standards) remained at 100% and consumer satisfaction levels increased from 96% in 2012/13 to 100% last year.
-  100% of customers surveyed by the Registration Service stated they were satisfied with the overall level of service with 92% stating they were very satisfied.
-  Targets for test purchase attempts of age-restricted products were met, 51 attempts for alcohol and 28 for other products. Only 4 sales were made of alcohol to children under the age of 18 showing a marked decrease in sales compared to previous years.
-  The percentage of licences and registrations issued within target times generally improved last year. Overall 92% were issued by the target date with 100% achieved for Hackney Carriage and Private Hire vehicles and licensed premises.
-  In 2013/14 the level of service users satisfaction with service delivery for our Licensing Services that were deemed fairly or very satisfied, reduced to 85.5% compared to the 99% achieved in 2012/13 (and missed our target of 90%).
-  We experienced a reduction in the number of enforcement actions issued for Dog Fouling (61 in 2013/14 compared to 123 in 2012/13) and attribute this partly to having 2 less officers this year compared to last year and our campaigns/directed interventions are now showing some positive signs in our communities.
-  Only 59% of medium-risk trading standards inspections and 58% of medium-risk food inspections were completed in 13/14, as resources were diverted to other areas such as criminal complaints and investigations and, in particular a marked increase in problems associated with animal health.

Regeneration and Planning Services

An extract from our 2013 Household Survey shows:

-  72% of households felt very, fairly satisfied with the appearance of the streets in their neighbourhood and local town centre (59% in 2011).
-  62% of households felt very, fairly satisfied with their local town centre for – Shopping (58% in 2011).
-  71% of households felt that the Quality of Life has got better or stayed the same in their local town centre (64% in 2011).

-  28% of households felt very, fairly satisfied with their local town centre for – entertainment (23% in 2011).
-  68% of households felt that there is an issue affecting the appearance of their neighbourhood streets and local town for – pavements, walkways and thoroughfares (79% in 2011). Although this is not really a good result, it is an improvement between surveys.

Other local performance shows:

-  Building Control customer satisfaction (rating service good or better) was 97.6% for 2013/14, an improvement over the 92.5% achieved in 2012/13
-  The percentage of householder planning applications determined during the year within 8 weeks was 89.8% for 13/14, compared to the 87.9% reported in 12/13.
-  There were 36 new business start-ups supported by the Authority (Business Enterprise Services - grants) in addition to 77 reported in 12/13.
-  There were 134 jobs created (by grants in the County Borough) and 1086 jobs safeguarded (by Grant Schemes) in 13/14 in addition to the 139 and 1130 reported in 12/13.
-  There has been a continued increase in the levels of customer satisfaction - Arts Development to 88% in 13/14 compared to the 68% reported in 11/12 and 65% in 9/10.
-  There has been 5 consecutive years increase in the 'total number of visitors' to CCBC key visitor venues. This reached 550,810 in 13/14 for Cwmcarn, The Winding House, Llancaiach Fawr and the Caerphilly visitor centre.
-  We retained the Green Flag Award status at 2 of our country parks: Cwmcarn Fforest Drive and Parc Cwm Darrren, near Deri.
-  The number of visitors however, at two of our key attractions: Llancaiach Fawr and the Winding House Museum, has seen a slight reduction between 2013/14 and 2012/13, despite wider marketing and publicised activity and event campaigns.
-  For 3 consecutive years, we have seen a reduction in the number of people visiting our town centres of: Caerphilly, Bargoed and Blackwood.
-  There are 847 km of public rights of way across the authority, of which, random sampling is taken each year to assess the percentage of rights of way, which are considered easy to use by members of the public. For 13/14, this was considered to be 73%, a reduction when compared to the 84% reported for 12/13, but similar to that reported in 11/12.

Directorate of Social Services

Director's Statement of Overall Performance for 2013/14

Dave Street

Director Social
Services



In 2013-14 the Mental Health Measure was implemented as required in **Adult Services**. There is new guidance being issued in respect of Continuing Health Care and with partners we have successfully attained funding from the Intermediate Care Fund for a small team of multi-agency staff to provide training for all staff on the new guidance, which has clear timelines for assessments.

Improving the timeliness of assessments has been a consistent priority for us. Feedback from individuals in respect of the timeliness of assessments illustrates this is only part of the process and can be dependent on individual circumstances. Practices are continually developing in relation to engagement with people regarding completion of assessments and during 2013 different forms of recording were being considered by our Systems Thinking and Redesign Team (START) to inform future practice.

To safeguard vulnerable people, the joint Protection of Vulnerable Adults (POVA) Coordinator post, funded by Caerphilly county borough Council and ABUHB was evaluated in 2013 and is now a permanent jointly funded position. This post continues to facilitate the sharing of skills between Health and Social care practitioners who are employed to protect vulnerable adults. It also provides essential nursing knowledge to the POVA Team to enhance the POVA advice service, and the coordination of referrals and completion of investigations.

Our Local Carers Strategy and the Gwent Partnership Carers Information & Consultation Strategy was launched during 2013 and work started in earnest on the first year of a 3 year action plan. This first year has seen the production of an e-learning tool for staff with regards to raising awareness of Carers needs, identifying solutions and the support available. This will be available from Autumn 2014. A General Practitioner (GP) Local Enhanced Service has also been developed in recognition of the central role played by a GP in identifying and supporting Carers. In 2013-14, a total of 56 General Practices have signed up to this service. A significant commitment during the year has been given to helping identify Carers and to support them through the provision of information and advice. Information stands have been set up at various events and posters have been displayed in prominent locations throughout the borough and in health settings.

For Children's Services, one of our priorities in 2013/14 was to review the assessment document and business process on the IT system known as the Integrated Children's System (ICS). This has now been completed and the assessment document has been updated on the system following consultation and in partnership with other local authorities. It has been updated to clearly record parents/child's views and the parenting assessment completed on a family when/if required.

A fundamental requirement of all assessment and care planning undertaken is that the child or young person, together with their family, is involved in the planning to meet their agreed needs. Wherever appropriate to do so, children and young people are seen alone during the assessment and all relevant family members are encouraged to participate in this activity.

A key priority identified for 2013-14 was the establishment of a Sixteen Plus Team incorporating the Leaving Care Service. The new Team has been operational since September 2013 and responds to young people assessed as being at risk of becoming homeless. The Personal Advisor Service was brought in house and funding has been secured to recruit a fourth Personal Advisor on a permanent basis from 1st April 2014. In addition, a Homelessness Protocol has been developed with Housing Services. The protocol has ensured improved relationships between Housing and Children's services and is working to prevent young people being placed in Bed and Breakfast by ensuring appropriate support is offered. The Sixteen Plus Service is now responsible for the 'Shout Out Group' for looked after children and young people. This group meets on a monthly basis with set themes to discuss and activities.

The key priority for Children's Services in 2013-14 was to ensure that Personal Education Plans for all looked after children were in place within statutory timescales. Through working in partnership with our Education colleagues and the Independent Reviewing Service, performance for 2013-14 has continued to improve to 95%.

Concluding the review of services for disabled children and young people was a key priority for Children's Services in 2013-14. As planned, Blackwood Resource Centre transferred back to Children's Services and significant improvements continue to be implemented as a result. During the year discussions have commenced with Education, Health and third sector partners to scope the possibility of further improvements for children and young people through the integration and co-location of key services. These proposals will continue to be developed in 2014-15.

The new purpose built residential unit for children and young people called Ty Ni was completed and opened in October 2013. Ty Ni offers additional bed capacity including a semi-independent flat aimed at supporting independent living skills. Feedback from young people who live there has been very positive.

In summary, 2013-14 was extremely challenging for everyone working within Social Care in Caerphilly county borough. The impact of the financial climate is well known and staff have done well to make savings of over £2million pounds whilst minimising the impact on front line services delivery. The continuing financial challenges, demographic pressures and the preparation for the Social Services & Wellbeing (Wales) Act means that 2014-15 will be an extremely challenging year for all of us delivering Social Services in Caerphilly County Borough Council.

Despite this we are confident to report that this Social Services Directorate continues to perform well and that we have continued to deliver improvements to people's lives and begun our journey to transform the way we deliver our services.

Although we have had to make some hard decisions in 2013-14, through strong leadership, effective stewardship and commitment from all teams, we have continued to deliver efficient, effective and safe services to the residents of Caerphilly county borough while maintaining a balanced budget.

We continue to be confident that with the support of everyone involved in the delivery of social care services we will be able to meet these challenges and ensure that our services continue to meet the needs of some of the most vulnerable members of our communities.

2013/14 Financial information and analysis for the Directorate of Social Services

The Directorate of Social Services has a strong track record of managing expenditure within its approved budget. This has continued during the 2013/14 financial year with the Directorate reporting an under-spend of £1.91m against an approved budget of £78.65m. This level of underspend is higher than in previous years and is largely due to a number of savings being delivered in advance of the 2014/15 financial year to address budget cuts arising from reductions in Welsh Government funding.

Around £900k of the 2013/14 underspend can be attributed to vacancy savings across the Directorate's Management, Fieldwork & Administration staffing structure with many posts held vacant in anticipation of savings requirements for the 2014/15 financial year.

An under-spend of £705k occurred against childcare placement budgets. This is a very volatile budget area and an under-spend of this size could be easily eradicated by a small change in the number of placements. An underspend of £98k also occurred as a result of the provision of respite care for children within the Blackwood Resource Centre being brought in-house.

Total spending on packages of care for adults was largely in line with budget provision other than an underspend of £268k within the in-house Home Care service and £70k against contracts with voluntary organisations. Much of these underspends relate to savings made in advance of the 2014/15 budget strategy. These underspends were partially offset by overspends of £107k in respect of costs associated with the North Resource Centre in Rhymney and £290k in respect of costs associated with the termination of leases for buildings previously occupied by Social Services.

Other budgets across Social Services reported a net underspend of £265k

The financial outlook is challenging with Social Services savings of £2.06m already approved for the 2014/15 financial year. Budget reductions for future years will also impact on the Directorate and work is already underway to develop a range of savings proposals to meet anticipated savings targets.

Improvement Objective – Ensure children and young people who are looked after are supported to achieve their full potential (IO 1)

In 2013/14 we said we would:

- Recruit and support sufficient foster carers to provide placements for looked after children and improve placement stability.
- Carry out a review of the Gwent Adoption Service to ensure adoptive placements are available for children for whom adoption is the plan.
- Monitor all looked after children (LAC) and ensure that each child has a personal education plan in place, to ensure that all LAC have the opportunity to achieve well in school.
- Build on the existing leaving care team by developing a 16 Plus Team and ensure the Council remains in contact with and supports the children leaving care.
- Contribute to the development of a single, integrated Adoption Service for Gwent.

 We assessed this Improvement Objective and concluded we were **Successful** in its delivery in 2013/14. The reason for this is that we have made positive progress in supporting our children and young people over the last 12 months.

What did we do well and what difference did it make?

- Formally launched the new 16 Plus Service in September 2013.
- Implemented the revised Homeless Protocol for 16/17 year olds in partnership with Housing and the Third Sector.
- Confirmed commitment to the development of the South East Wales Adoption Service (SEWAS), which will now become fully operational in 2014.
- Improved performance in respect of completion of reviews for Looked After Children – 97.50% compared to 96.50% for the same period last year.
- % Of LAC with a personal education plan in place has increased to 95.20% compared to 85.40% last year.
- The average external qualification points score for LAC is 238 compared to 157 last year.
- % Of eligible children that have pathway plans has increased to 100% compared to 99.30% last year.
- We recruited an additional 23 Foster Carers, this has had a positive effect on improving placement choice.

What did not go well? What do we need to do better?

SCC/033f – Percentage of former LAC in education/ training/ employment at age 19:

Members will clearly focus on the need to encourage young people to gain employment or engage in education and training. However, the number of young people that fall into this PI category is very small –30 young people, so the percentage can be distorted by small variations. The reality is that the current cohort of young people, 18 out of 30 young people that this PI relates to, have particular issues in their lives or such complex needs or high levels of vulnerability that they are unable to engage. However, we continue to be in regular contact with the individual young people concerned and continue to offer support and advice to assist them to enter education, training or employment. Furthermore, the remaining young people are in contact with the 16 Plus Service and are actively being encouraged to engage in meaningful daytime activities.

SCC/004 – Percentage of LAC who have had more than 3 placements during the year:

Out of a total of 275 looked after children, 26 had more than one placement during the year. There are a number of issues relating to the data informing this PI including: a planned return home to family or a move to an adoptive placement is counted as a move for the purposes of this PI despite the fact that it ends the period of the child being looked after and is therefore a positive move. In addition, all Looked After Children on 1st April are automatically counted as having had one placement move even if they are in long term and stable placements. As a result our performance of 9.50% is actually very positive and remains under the Welsh average of 10%.

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Additional information on our Improvement Objectives can be found in Appendix A

Analysis of National Strategic Indicators (NSI) and Public Accountability Measures (PAM) For 2013/14 - Social Services

Our performance key shows:		
Current year results compared to previous year results		 Worse than the previous year
		 Same as the previous year
		 Better than the previous year
		 Performance maintained at best it can be
		N/A Data not available or comparable – see individual comments for explanation

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Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
SCA 001	The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 or over (NSI) Improvement Direction: Lower result is better	9.32 days	20 th out of 22	8 Days	11.99 Days	22 nd out of 22	4.70
	There were a total of 158 delays for Social Services reasons in 2013/14 compared to 121 in 2012/13. In 2013/14 our performance declined to 11.99 days compared to 9.32 days the previous year. Our position in Wales has decreased from 20 th to 22 nd . We are also above the all Wales average of 4.70 days. This indicator is post-populated with information, which is taken from the HOWIS (Health of Wales Information Service) system, operated by the Local Health Board, and consequently the information cannot be validated.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
SCA 002a	The rate of older people (aged 65 or over) supported in the community per 1,000 population aged 65 or over at 31 March (NSI) Improvement Direction: Higher result is better	151.67	1 st out of 22	145	120.97	3 rd out of 22	74.48
	Although the rate of older people has reduced slightly, we continue to be a top performing authority. The service continues to focus on the signposting of people to community-based services, increasing the use of frailty services, volunteers and community connectors. The WG guidance for this PI does not include these services. 3,738 were supported in 2013/14 compared to 4,524 in 2012/13. In 2013/14 our performance declined slightly to 120.97 compared to 151.67 the previous year. Our position continues to be significantly above the Welsh average.						
SCA 002b	The rate of older people (aged 65 or over) whom the authority supports in care homes per 1,000 population aged 65 or over at 31 March (NSI) Improvement Direction: Lower result is better	19.41	7 th out of 22	21	17.57	6 th out of 22	19.84
	In 2013/14 there were 543 older people supported in care homes compared to 579 in 2012/13. In 2013/14 our performance has improved slightly to 17.57 compared to 19.41 the previous year. Our position has improved from 7 th to 6 th in Wales. We are performing slightly better than the All Wales Average.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
SCA 019	The percentage of adult protection referrals completed where the risk has been managed (NSI) Improvement Direction: Higher result is better	89.3%	18 th out of 22	90%	90.59%	19 th out of 22	94.45%
	Of the 340 adult protection referrals completed in 2013/14, 308 referrals had their risk managed. The remaining are as a result of the alleged victims, not wishing to proceed with the POVA process, and therefore managing the risks themselves. Our position in Wales has gone from 18 th to 19 th in Wales and we are also below the all Wales average.						
SCA 007	The percentage of clients with a care plan at 31 March whose care plans should have been reviewed during the year (PAM) Improvement Direction: Higher result is better	93.4%	3 rd out of 22	95%	92.72%	4 th out of 22	81.1%
	Our position in Wales has gone from 3 rd to 4 th , and we continue to perform well above the all Wales average.						
SCA 018a	The percentage of carers of adults who were offered an assessment or review of their needs in their own right during the year (PAM) Improvement Direction: Higher result is better	90.0%	13 th out of 22	90%	88.24%	15 th out of 22	85.8%

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
	There were 1,454 carers aged 18+ known to social services in 2013/14 and 1,283 were offered assessments or reviews in their own right. We performed slightly worse than last year. Our position in Wales has gone from 13 th to 15 th , but we are still above the all Wales average.						
SCA 020	The percentage of adult clients who are supported in the community during the year (PAM) Improvement Direction: Higher result is better	91.87%	1st out of 22	90%	91.9%	1 st out of 22	86.33%
	Out of the 7,676 adult clients, 7054 were supported either in the community in 2013/14 and performed slightly better than last year. Our position remains 1 st in Wales and above the all Wales average.						
SCC 002	The percentage of children looked after at 31 March who have experienced one or more changes of school, during the period or periods of being looked after, which were not due to transitional arrangements, in the 12 months to 31 March. (NSI) Improvement Direction: Lower result is better	6.0%	1st out of 22	8%	8.3%	2 nd out of 22	13.8%

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
	Out of the 218 looked after children of compulsory school age, 18 children experienced 1 or more changes of school in 2013/14 compared to 14 out of 232 children in 2012/13. As a result we have gone from 1 st to 2 nd in Wales, but we are still performing better than the all Wales average.						
SCC 004	The percentage of children looked after on 31 March who have had three or more placements during the year. (NSI) Improvement Direction: Lower result is better	6.9%	5 th out of 22	6.2%	9.4%	13 th out of 22	8.3%
Page 92 	Of the 276 looked after children 26 had 3 or more placements during the year. Compared to 21 out of the 304 in 2012/13. Although performance has got worse there are particular issues regarding WG data requirements. On the 1st April all LAC children are counted as having had 1 placement move even if they are in long-term placements. A planned return home, or a move to an adoptive placement are also counted despite ending the child's period of being looked after. Our position in Wales has gone from 5 th to 13 th and we are performing worse than the all Wales average.						
SCC 011b	The percentage of initial assessments that took place during the year where there is evidence that the child has been seen alone by the Social Worker. (NSI) Improvement Direction: Higher result is better	36.9%	13 th out of 22	45%	42.7%	13 th out of 22	42.9%

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
	Compared to the 1,998 initial assessments completed in 2012/13, 1,804 were completed in 13/14. Of those there was evidence that 770 children were seen alone by a social worker compared to 737 in 2012/13. We remain 13 th in Wales and are slightly below the all Wales average.						
SCC 033d	The percentage of young people formerly looked after with whom the authority is in contact at the age of 19. (NSI) Improvement Direction: Higher result is better	100%	1 st out of 22	100%	100%	1 st out of 22	93.4%
Page 93 ★	All of the 19 yr olds formerly looked after, were still in contact by the Authority in 2013/14. We have maintained our position as 1 st in Wales out of the 22 local authorities and we are also above the all Wales average.						
SCC 033e	The percentage of young people formerly looked after with whom the authority is in contact, who are known to be in suitable, non-emergency accommodation at the age of 19. (NSI) Improvement Direction: Higher result is better	95.8%	11 th out of 22	95.8%	93.3%	9 th out of 22	92.7%
	Out of the 30 young people, 28 were in suitable non-emergency accommodation at the end of 2013/14. We performed slightly worse than last year, but have improved from 11 th to 9 th in Wales and are performing above the all Wales average. It should be note that each year, the cohort of 19 year olds change, which impacts on the % figures, reported. In 2012/13 there were 24 19 year olds. Of those 23 were in suitable non-emergency accommodation. Therefore in 2013/14 the drop in % terms equates to 1 young person.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
SCC 033f	The percentage of young people formerly looked after with whom the authority is in contact, who are known to be engaged in education, training or employment at the age of 19. (NSI) Improvement Direction: Higher result is better	75%	5 th out of 22	75%	60%	9 th out of 22	54.8%
☹️	Out of 30 young people, 18 are engaged in education, training & employment. The remaining young people are in contact with the 16 Plus Service and are actively being encouraged to engage in meaningful day time activities. We performed slightly worse than last year and have gone from 5 th to 9 th in Wales. However, we are still performing above the all Wales average. Again it should be noted that the cohort of 19 year olds change on an annual basis thereby impacting the % reported. In 2012/13 there were 24 19 year olds. Of those 18 were engaged in education, training and employment. It could be therefore, that performance has remained static in 2013/14.						
SCC 037	The average external qualifications point score for 16 year old looked after children, in any local authority maintained learning setting. (NSI) Improvement Direction: Higher result is better	157	20 th out of 22	198	238	15 th out of 22	262
😊	27 Looked after children aged 16, received 6,428 points with an average point score of 238.07 (All 2280 pupils aged 15 on the 31st August attained 1,037,296 points with an average score of 454.95). Our performance has improved compared to last year and we have moved from 20 th to 15 th in Wales. However, we are performing slightly below the all Wales average of 262.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
SCC 041a	The percentage of eligible, relevant and former relevant children that have a pathway plans in place. (NSI) Improvement Direction: Higher result is better	99.3%	11 th out of 22	99%	100%	1 st out of 22	89.2%
	All of the 145 eligible, relevant and former relevant children had pathways plans in place as required. In 2013/14 our performance improved to 100% compared to 99.3% the previous year. Our position in Wales has increased from 11 th to 1 st . We are still above the all Wales average of 89.2%.						
Page 55 SCC 001a	The percentage of first placements of looked after children during the year that began with a care plan in place. (PAM) Improvement Direction: Higher result is better	100%	1 st out of 22	100%	100%	1 st out of 22	90.9%
	For the past 5 years 100% of 1st placements for looked after children have begun with care plans in place. There has been a decrease in the looked after children population with 92 first placements in 2013/14 compared to 122 in 2012/13. We have maintained our position as 1 st in Wales out of the 22 local authorities and we are also performing above the all Wales average.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
SCC 011a	The percentage of initial assessments that took place during the year where there is evidence that the child has been seen by the Social Worker. (PAM) Improvement Direction: Higher result is better	67.5%	20 th out of 22	60%	77.3%	15 th out of 22	78.9%
	Of those 1,804 initial assessments completed in the year, 1,394 had evidence to show the child had been seen by a social worker. We have performed better than last year and have gone from 20 th to 15 th in Wales. However, we are still performing slightly below the all Wales average.						
SCC 025	The percentage of statutory visits to looked after children due in the year that took place in accordance with regulations. (PAM) Improvement Direction: Higher result is better	74.0%	17 th out of 22	90%	95.5%	2 nd out of 22	85.3%
	There were 1,501 statutory visits to Looked After Children due in the year and 1,434 took place in accordance with regulations. This is an improvement on last year's performance, as a result we have moved from 17 th to 2 nd in Wales and performed above the all Wales average.						

Ref	Description	2012/13		2013/14			
		Our Result	Position in Wales	Target	Our Result	Position in Wales	All Wales Average
SCC 030a	The percentage of young carers known to social services who were assessed during the year. (PAM) Improvement Direction: Higher result is better	96.9%	14th out of 22	95%	100%	1 st out of 22	85.9%
	All of the 65 young carers known to social services in 2013/14 received assessments. This is an improvement on last year's performance, as a result we have moved from 14 th to 1 st in Wales and performed above the all Wales average.						
Page 97 SCC 045	The percentage of reviews of looked after children, children on the child protection register and children in need carried out in line with the statutory timetable. (PAM) Improvement Direction: Higher result is better	90.6%	8th out of 22	87%	96.6%	3 rd out of 22	89.6%
	A total of 2131 children had their care plans reviewed within the statutory timescales. Of those children 2207 plans are due for review in the year. Of the 2,207 children 649 were looked after children of which 633 had plans reviewed, 523 were on the child protection register with 519 having plans reviewed and 1,035 were children in need, 979 of those had their plans reviewed. This is an improvement on last year's performance, as a result we have moved from 8 th to 3 rd in Wales and performed above the all Wales average.						

Source: Data Unit Wales – How did we do? 2013-14 Performance Information version dated 20/21 August 2014

Evaluation of other performance information captured for 2013/14 - Social Services

-  At the end of 2013-14, there were no service users awaiting personal care for more than 14 days.
-  Out of a total number of 7410 assessments in Adult Services, 5495 were started on time. Whilst this represents an improvement on last years figure, it is below our target and therefore remains a priority for the directorate.
-  Despite an improvement in 2013/14 in the number of delayed transfers of care (DTC) for social care reasons compared to 2012/13. It is recognised that performance on DTC is not as good as it could be and will remain a priority for the Directorate. The information supporting this indicator is taken from the HOWIS system operated by the Local Health Board and consequently the information cannot be validated.
-  At the end of 2013-14, we recruited 23 Foster Carers compared to 18 the previous year. We also exceeded our target by placing 47% of our children with Caerphilly Foster Carers.
-  A key priority identified for 2013-14 was the establishment of a 16 Plus Team incorporating the Leaving Care Service and responding to young people assessed as being in need due to the risk of homelessness. The new team has been operational since September 2013.
-  A key priority in 2013-14 was to ensure that Personal Education Plans for all looked after children were in place within statutory timescales. Through working in partnership with our education colleagues and the Independent Reviewing Service, performance for 2013-14 has continued to improve to 95%, compared to 85% the previous year.

Summary of Performance for 2013/14

For the National Strategic Indicators and Public Accountability Measures

It is important for the Welsh Government to understand how well local authorities are performing. As a way gauging local authority performance the Welsh Government uses a set of national performance indicators and the set for 2013/14 included 44 of these national measures. These measures are called National Strategic Indicators (NSI) and Public Accountability Measures (PAM). These 44 indicators cover the main areas of Government Policy, Social Services, Education and the Environment. The following summary shows how we performed against these indicators, how we compared to the other 21 local authorities in Wales and whether we achieved the standards (targets) we set ourselves against these indicators. For full details, all the NSI and PAM data is reported with analysis in each of the directorate sections of this report.

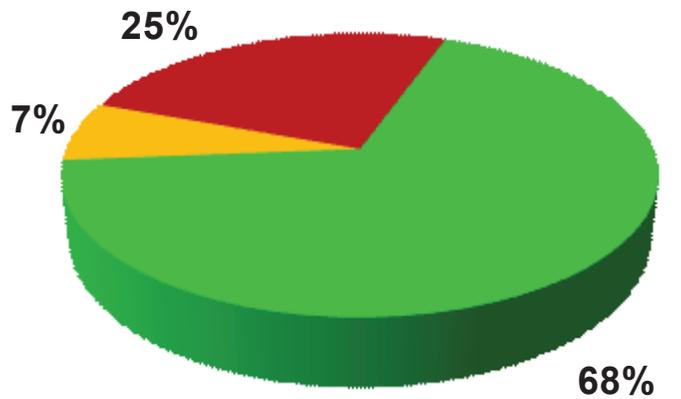
In 2013/14, 30 of the 44 national indicators improved on their previous year's performance and 11 deteriorated compared to 2012/13. As in 2012/13, 3 indicators maintained performances of 100%. Of the 30 indicators that improved, 13 moved up the Welsh ranking, 8 maintained their positions and 8 dropped in rank compared to the rest of Wales. Of the 3 indicators maintaining a performance of 100%, each maintained a position of 1st in Wales (2 indicators in Social Services and 1 in Education). Of the 11 indicators that deteriorated, they also fell in their Welsh ranking positions. 4 of our Education indicators are in the top 10 in Wales and 8 are in the bottom 10. 13 of our Social Services indicators are in the top 10 and 7 are in the bottom 10. 2 of our 3 Corporate Services indicators are in the bottom 10 and both are ranked 19th in Wales. 5 of our Environment indicators are in the top 10 in Wales and 3 are in the bottom 10.

We had 17 indicators that did not meet our 2013/14 targets, although 7 improved on 2012/13 performances; such as the percentage of adults aged 60+ who hold a concessionary bus pass, which is 4th in Wales and the percentage of final statements of special educational need issued within 26 weeks (including exceptions) is 9th in Wales and in the upper middle quarter. There are occasions when it is not appropriate to set targets for indicators. For example, the indicator that measures Affordable Housing. For a full explanation as to why, please refer back to page 87.

	How did we perform when comparing 2013/14 to 2012/13?				How did we perform compared to Wales in the 4 quarters?					How did we perform against our Targets?		
	Improved	Declined	Maintained	Non-comparable	Upper	Upper Middle	Lower Middle	Lower	N/A	Met Target	Missed Target	No target set
Corporate	3	0	0	0	0	0	0	2	1	2	1	0
Education	11	0	1	0	2	4	1	5	0	8	4	0
Environment	6	3	0	0	3	3	2	1	0	5	3	1
Social Services	10	8	2	0	11	3	4	2	0	11	9	0
Total	30 (68%)	11 (25%)	3 (7%)	0 (0%)	16	10	7	10	1	26	17	1
<i>Source: 'Data Unit Wales – How did we do? 2013-14 Performance Information version dated 20/21 August 2014'</i>										<i>Source: Internal</i>		84

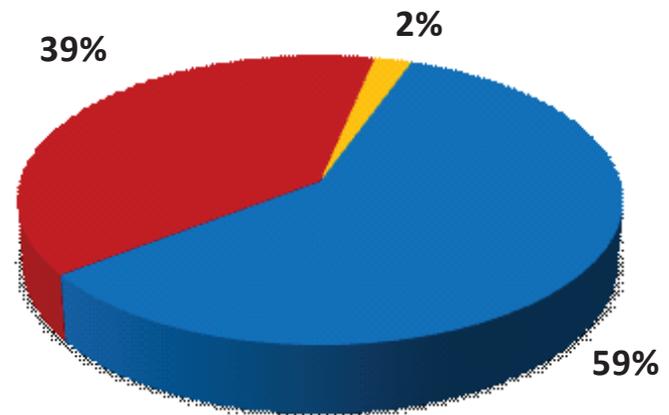
Caerphilly's 2013/14 performance compared to Wales in Quarters (NSI and PAM)

Our performance compared to 2012/13



■ Improved ■ No Change ■ Decline

Our 2013/14 performance against our targets

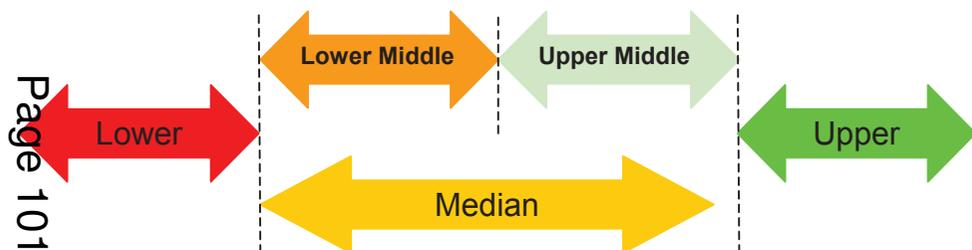


■ Target was met ■ Target was not met ■ No Target Set

Measuring Performance Statistics and comparing positions of achievement

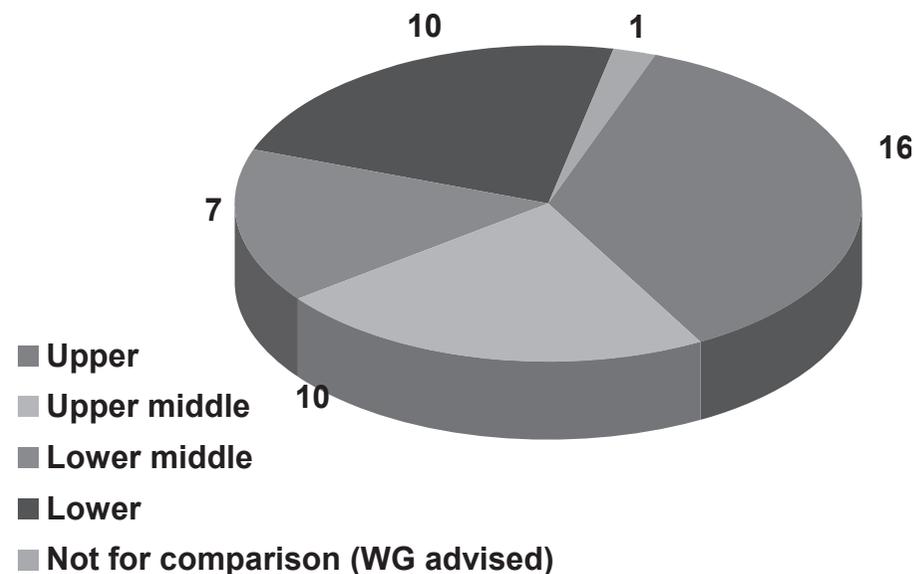
When the Welsh Government and Data Unit Wales analyse, report and rank performance data for the 22 local authorities in Wales, they often compare them against each other using quartiles or quarters. Quoting who is in the upper quarter, middle upper quarter, lower middle quarter and lower quarter. The data for each of the 22 local authorities has simply been split into 4 quarters to show where each local authority sits compared to the rest of Wales.

Where quartiles are used, the upper middle and lower middle quarters become the median. Giving an indication of the 'best 25%', the 'worst 25%' and those who are in the mid-range (average performers) or median. This is also done by ranking each indicator for each LA out of 22. The chart below illustrates the 'quarter' v's 'quartile' representation:



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Our performance compared With the rest of Wales 2013/14



1 of the 44 indicators moved 3 quarter positions from the lower quarter to the upper quarter and 4 moved up 2 quarter positions. 2 Education Indicators moved from the lower quarter to the middle upper, 2 from Social Services moved from the middle lower to the upper quarter and the percentage of statutory visits to looked after children that took place in accordance with regulations moved 3 quarter positions from the lower to the upper as well as improving its position in Wales from 17th to 2nd place between the years. 5 indicators moved up 1 quarter position, 28 maintained their 2012/13 quarter positions, 4 moved down 1 and 1 indicator dropped 2 quarter positions. It has been advised by the Welsh Government that the indicator that measures the percentage of all potentially homeless households for whom homelessness was prevented for at least 6 months is not compared across local authority boundaries this year. The Wales Audit Office found in 2013 that there was a wide disparity in the way local authorities were interrupting the nationally prescribed guidance used for collection of this performance indicator.

Of the 16 indicators that we have in the upper quarter 2 belong to Education, with 3 of their remaining indicators in the middle upper quarter, 1 in the middle lower and 5 in the lower quarter. The Environment has 3 indicators in the upper quarter, 3 in the middle upper, 2 in the middle lower and 1 in the lower quarter. Social Services have 11 of their 20 indicators in the upper quarter, 3 in the middle upper, 4 in the lower middle and 2 in the lower quarter. Of the 3 indicators belonging to Corporate services, 2 are in the lower quarter with the 3rd Homelessness prevention indicator not being comparable across Wales for 2013/14.

Outcome Agreement 2013-16

We hold a 3-year agreement with the Welsh Government (WG) that started in 2013. Our agreement is to improve in the five key areas listed below as chosen from a list of WG national priorities. Summary details of the agreements and our progress in the year 2013/14 are set out below. The Welsh Government will be reviewing our self-assessment of the agreements and if they agree with our assessments, this will lead to the allocation and payment of grant funding of £1.8m, if successful.

Strategic Theme (AS SET BY WG)	Broad Outcome (Area of focus)	Main Projects/Programmes (Specifically what we will do)	Service Self-assessment for 2013/14 (How we think we performed)
1. Growth and sustainable jobs	Supporting the economy and business	<ul style="list-style-type: none"> ● Bargoed town centre regeneration ● Re-development and improved landscape/facilities in the local environment and to its infrastructure ● Digital inclusion programme 	<p>Successful 18 of the 20 agreed targets were met or exceeded. Further evidence shows that we have helped to increase the vitality and viability of 2 town centres.</p>
2. Education	Improving early years	<ul style="list-style-type: none"> ● Expansion of the Flying Start programme 	<p>Successful Of the 45 pieces of evidence we met or exceeded 34 of our targets. Under the 'what difference have we made' section of the agreement we met 19 of the 21 targets. The Flying Start programme is on track and now being fully delivered in 18 areas across the borough</p>

Strategic Theme (AS SET BY WG)	Broad Outcome (Area of focus)	Main Projects/Programmes (Specifically what we will do)	Service Self-assessment for 2013/14 (How we think we performed)
3. Welsh homes /supporting people	Welsh homes – Improving quality	<ul style="list-style-type: none"> • Welsh Housing Quality Standard (WHQS) 	<p>Partially Successful</p> <p>We have not met 6 of our 9 key targets for 13/14. The number of homes complaint with the WHQS did not reach its target by some way due to programme slippage</p>
4. Safer communities for all	Improving safety in communities	<ul style="list-style-type: none"> • Reduce incidents of anti-social behaviour and reduce the fear of becoming a victim of anti-social behaviour for residents • Reduce crime and the fear of crime for the residents of the county borough • Reduce the harm caused to communities through substance misuse 	<p>Partially Successful</p> <p>We have met 7 out of 11 of our key targets for 13/14. Early interventions for anti-social behaviour continues to show positive results and we supported 332 victims of crime and anti-social behaviour during the year. We raised the profile/use of support available for domestic abuse/violence.</p>
5. Tackling poverty	Tackling worklessness and raising household income	<ul style="list-style-type: none"> • Implement Passport Programme • Implement the Tackling Poverty action plan • Implement the Get Caerphilly Online programme • Implement scheme to help tenants with financial, job and energy saving advice • Supporting people to implement a new scheme to help vulnerable people with claimant appeals 	<p>Successful</p> <p>We exceeded or achieved 8 out of 10 of our key targets. Our main success criteria was met with more people in employment via the passport scheme, 533 young people referred to the programme up to March 2014.</p>



Collaboration

We have for many years realised the benefits of collaborative working with other local authorities and other public services throughout Wales, providing better services and choice for our citizens.

Collaborative working is a strong feature in Central Government's plans. We only enter into collaborative work when the business case shows it is the right thing to do or, we can improve the service and choice available to the public at little or no extra cost or make efficiency savings by sharing resources. Our collaborative working is varied and below we list a few examples of some of the work we have carried out with our partners as well as some longer-term joint working which supports our performance report.

Corporate Services

Minister's praise for joint scheme

The Minister for Finance has praised Caerphilly, Merthyr Tydfil and Rhondda Cynon Taf county borough councils for their collaborative public procurement work on a town centre regeneration project. Jane Hutt AM, Welsh Government Minister for Finance, heaped praise on the three local authorities for their partnership work on the River Taff Central Link and Penderyn Square project in Merthyr Tydfil. The Minister labelled the joint initiative a 'shining example of what can be done through collaboration and professional procurement.'

The River Taff link and Penderyn Square project is part of the ongoing regeneration of Merthyr Tydfil town centre, and was undertaken by a team including trainees provided by Value Wales' Trainee Procurement Executive Programme, which is part of the European-funded Home Grown Talent Project. The Home Grown Talent Project aims to raise procurement skills and capability across Wales by providing trainees with mentoring and workplace opportunities in different parts of the public sector.

2,500 Caerphilly residents helped to Get Online

The 'Get Caerphilly Online' campaign reached a major milestone recently, by successfully supporting its 2,500th client in Caerphilly county borough to use the Internet. However, now over 4,000 people have been helped

Learning any new skill can be a daunting prospect, but this campaign aims to take that fear away so that getting online is easy whether a client is a complete beginner or someone who just needs a refresher or a confidence boost.

Get Caerphilly Online is a partnership between existing initiatives supported by the Welsh Government Communities 2.0 programme, Caerphilly Borough Council and Get IT Together - a nationwide digital inclusion programme run by national charity Citizens Online with support from BT, Nominet Trust, Communities 2.0 and a variety of local partners.

Turning a problem into a resource – Contract signed with Viridor

Prosiect Gwyrdd, a consortium between five South Wales councils, has signed a contract with Viridor to create green energy from the rubbish remaining after recycling and composting.

The project is a partnership between Caerphilly County Borough Council, The County Council of the City and County of Cardiff, Monmouthshire County Council, Newport Council and the Vale of Glamorgan Council, whom together produce 40% of the total municipal waste of Wales. Together the partner councils have made a commitment to find the best environmental, cost effective and practical solution for waste after recycling and composting has been maximized in each area.

Prosiect Gwyrdd has signed a contract with Viridor that will save the partner authorities £11m in the first year of operation and £500m over the lifetime of the contract compared to current arrangements. During the commissioning stage of the contract, the partner Councils will start sending waste from September 2015 with the full service starting on 1st April 2016.

Education & Lifelong Learning

Giving young people a PASSPORT to employment

An innovative training and employment scheme in Caerphilly county borough was launched on Friday 5th April 2013 by the Deputy Minister for Skills, Jeff Cuthbert.

The Caerphilly PASSPORT Programme, aimed at ensuring young people have the right skills to get a job, has been developed by the Caerphilly Local Service Board, consisting of Caerphilly County Borough Council, Gwent Police, Aneurin Bevan Health Board, Caerphilly Business Forum and the Voluntary Sector. The innovative programme is aimed at addressing local skills gaps by providing employment opportunities for young people. £372,000 funding has been awarded to the programme through the Welsh Government's Local Service Board (LSB) initiative, which is backed by the European Social Fund and aims to maximise the impact of public services through collaborative projects. See page 18 for further information.

Education Achievement Service

The five local authorities of Blaenau Gwent, Caerphilly, Monmouthshire, Newport and Torfaen have formed an Education Achievement Service (EAS), which is designed to raise education standards in South East Wales.

Standards in schools have got progressively worse and recent secondary school banding information revealed that South East Wales had the highest number of schools in the lower bands. This information highlights the underperformance in schools, and the need for a significant shift in the way that education services are structured to support improvement. It also shows where the greatest need is in the region and where the EAS will need to focus its resources.

The EAS has been created by the five local authorities, in order to raise education standards. By working together as part of an integrated service to support and challenge schools effectively, enhance front line services and make the most of the available resources, progress will take place quickly and effectively.

The service will intensely monitor, support and challenge schools. Benefits of the service include increased capacity to support schools that require challenge, using data more effectively to focus on outcomes, identifying good practice across schools that can be used to improve outcomes, more efficient administration and facilitating professional learning communities.

Environment

Flagship facility for future stars

A top class sports facility, which is to be used by elite sports teams and community groups, has been built in Ystrad Mynach on the site of the former Ystrad Mynach Hospital. Caerphilly County Borough Council's new £6.8m Rugby/Football Centre for Excellence, which features 3G rugby and football pitches and a gymnasium, has been completed and as part of the usage for the complex, key partners such as Gwent

Dragons, Welsh Rugby Union (WRU) and Cardiff City Football Club will share use of the facility during the day between Monday and Friday, while community clubs will have use of the Rugby/Football Centre for Excellence in the evenings and at weekends.

The Gwent Dragons senior team and WRU Dragons Region Age Grade and Coach Development Structure have already signed up to use the facility, resulting in the Dragons' coaching team and players, and WRU Dragons Region Age Grade management being based at the site. Cardiff City Football Club's Community Foundation will deliver their advanced development centres for the more able and talented players within Caerphilly county borough from the Ystrad Mynach centre.

There are also ambitious plans to attract big name autumn international touring teams such as New Zealand, South Africa and Australia to use the Centre of Excellence as a training base, in collaboration with accommodation provided by local hotels with an appropriate level of quality leisure facilities. In addition, it is hoped the WRU and FA of Wales will host future junior and under 20/under 21 internationals at Ystrad Mynach.

Caerphilly joins innovative partnership to tackle scams

Caerphilly County Borough Council's Trading Standards team joined forces with others from across the UK to form an innovative 'National Scams Hub', which aims to prevent residents from falling prey to scams.

Caerphilly is one of 27 Trading Standards teams from across the UK to become a member of the 'Hub', which collectively receives intelligence about scam victims across the country from so-called 'suckers lists', before passing referrals on to each local council. Trading Standards Officers from Caerphilly County Borough Council will then pay a visit to all Caerphilly county borough residents on the list, and advise them against falling victim to scams, with the ultimate aim of stopping them being targeted by scammers.

Safer Caerphilly strikes out anti-social Behaviour

For the first quarter of 2013/14, all of the people in Caerphilly county borough who reached the first stage of Safer Caerphilly's '4 Strikes and you're out' warning system didn't get to strike 4, the final stage before court action.

The extremely well established "4 Strikes" process has been developed by the Safer Caerphilly Community Safety Partnership and allows early intervention when anti-social behaviour first becomes a problem. Strike 1 and 2 see warning letters sent to the home address of the perpetrator, strike 3 sees multiagency intervention to deter individuals from continuing to act in an anti-social way, while strike 4 could see the person involved being granted with an Anti-Social Behaviour Order (ASBO) from the courts.

In 2012/13, 99.06% of people who were served with an initial warning letter did not reach strike 4 of the anti-social behaviour process. For the first quarter of 2013/14, there have been no incidents which have seen a person advance from strike 1 to strike 4.

The Safer Caerphilly Community Safety Partnership is a joint, statutory partnership between Caerphilly County Borough Council, Gwent Police, Aneurin Bevan Local Health Board, South Wales Local Fire and Rescue Authority and Wales Probation Trust.

Partners tackle hate crime

Partner agencies joined forces to tackle hate crime in Caerphilly county borough.

Figures released during Hate Crime Awareness Week, showed that between January 2012 and January 2013 there were 141 reports of hate crime and hate incidents in the borough.

A hate crime or incident is an offence committed against a person or property because they are seen as being different in some way; race, religion, disability, age, sexual orientation or gender identity. Incidents or offences can come in a number of different forms, from abusive behaviour and language, to graffiti or bullying.

The Hate Crime and Incident Mapping Report showed that during a 12-month period verbal abuse and threats accounted for 48% of hate crime in the county borough, and that 70% of all victims were subjected to some form of racial abuse.

Caerphilly County Borough Council is working closely with partners including Gwent Police, the Crown Prosecution Service, local colleges, and the Youth Offending Service as part of a multi-agency Community Cohesion Forum and specifically the Caerphilly Hate Crime Group to raise awareness and encourage victims to report incidents of hate crime in the area.

Social Services

The **South East Wales Adult Placement 'Shared Lives' Scheme** is a partnership venture with Blaenau Gwent, Torfaen, Newport, Monmouth and Merthyr Tydfil local authorities. Caerphilly is the host of this scheme. Across the six counties, approved adult placement carers provide a number of services for a range of vulnerable adults with learning disabilities, physical disabilities, and mental health problems or for older people. There are three main services provided. Long-term care offers an individual a permanent placement within a carer's home. Respite offers short term stays in a carer's home and sessional support involves taking individuals out into the community, or visiting them in their own home to encourage social contact and independence. The overall aim of the scheme is to promote independent living within the local community. Each placement is tailored to meet the specific needs of the individual and it utilises the skills and knowledge of each carer to help improve and promote independence for those that access the scheme.

The Community Resource Team (CRT), which underpins the **Gwent Frailty Programme**, continues to develop alternative ways of working to prevent unnecessary admission to hospital, or emergency respite placement, and aid timely discharge from hospital. The team has piloted a

number of new ways of working with the Medical assessment unit in Ysbyty Ystrad Fawr, which has seen significant improvements in patient flow and allowed medical governance to be managed. A specific Occupational Therapy post has been established to coordinate this work and improve outcomes for individuals. The scheme continues to receive a high level of praise for their work.

The **Gwent Wide Adult Safeguarding Board** is a multi agency partnership comprising of statutory representatives from the 5 Local Authorities, Gwent Police, Wales Probation Trust, Care and Social Services Inspectorate Wales (CSSIW) and the Aneurin Bevan Local Health Board (ABLHB). The Board is currently chaired by Caerphilly. This arrangements will continue for 3 years to ensure consistency and enable the Board to build on the recent work undertaken to ensure the implementation of the Social Services and Well-being (Wales) Bill and the focus on prevention, with appropriate outcomes that can measure the impact made by the Board.

The **South East Wales Safeguarding Children Board** (SEWSCB) continues to develop effective partnership working involving the key statutory agencies of Health, the Police, Probation and the 5 Gwent Local Authorities together with third sector partners. The work of the Board is underpinned by a set of sub-groups taking lead responsibility for key areas of safeguarding business. In addition, each Local Authority area has established a Learning and Review Group where operational issues can be considered and thematic audits undertaken. The audit theme for 2013-14 was 'Neglect' and the key learning will be developed into an action plan for the Board moving forward into 2014-15.

The plans to develop a **Regional Adoption Service** in order to meet the requirements of the Social Services and Well-being (Wales) Bill continued to make considerable process throughout 2013-14. Early in the year, it was agreed that Blaenau Gwent County Borough Council would host the new service on behalf of the Gwent Local Authorities and the new service name was agreed as the South East Wales Adoption Service (SEWAS). With considerable support from Council Officers including Finance and Human Resources, funding was confirmed and staff transfers into the new service to place. The new service has been fully operational from 1st April 2014.

A **Children and Young People Partnership Board** has been established by ABUHB in partnership with the 5 Local Authorities to provide strategic direction to the development and delivery of co-ordinated services for vulnerable children, young people and their families. Although still in its infancy, the Partnership has identified key priorities for its future work including a review of services for emotional well-being and mental health across the region.

Joint Workforce Development Team

In my report for 2013-14 I made reference to the fact that the integration programme between Caerphilly and Blaenau Gwent Social services departments did not proceed as intended. However, one aspect of the work that did proceed was the establishment of a joint workforce development team. Over the year we have appointed a Joint Team Manager for the service and are now offering courses to staff across both Councils, and to the independent and third sector in both areas. This joint service has had a considerable impact on the way we deliver training and has not only allowed us to increase our capacity to offer training courses but has allowed us to utilise our training budgets in a more effective way.

Reviewing our Services (Self-Assessment)

The Council has a wide range of ways to assess its performance in asking the question ‘how good are we?’ and how do we know? The process starts with each service implementing a detailed plan called a ‘Service Improvement Plan’ this identifies the improvements the service wants to make that year, in line with the available budget. This year we have piloted a new ‘self-evaluation’ process where we identify and evidence where we have strengths and more importantly where we need to improve and each service participates in this improvement process.

Performance scorecards: Each service has electronic ‘cards’, which capture key performance data for the service. This is analysed and reviewed regularly at different levels throughout the organisation. Our Audit committee monitors aspects of performance and we continue to lead the way with our use of PAN Wales performance software in monitoring performance. Our risk registers; complaints and consultations also form part of our self-assessment.

Improvement Objectives: The Council also sets a series of Improvement Objectives each year. These are chosen from where our data shows us that we need to improve, or based on what the public have told us is important to them. Each objective has an action plan that we use to monitor how we are performing. At the back of this document (Appendix A) shows an example of this.

Scrutiny: Our councillors also scrutinise the services we provide and our performance. This is called “Scrutiny” and there is one for each Directorate; Education for Life, Health, Social Care and Well-being, Living Environment and Policy and Resources. In addition our Audit Committee oversees finance and performance matters.

Customer Services: We have a range of methods to find out how our customers think we are doing and some of these are noted on page 9. These range from a formal Household Survey to smaller more instant feedback routes, such as asking about our customers’ feelings in our face-to-face contact centres. We also conduct exit polls from our contact centre and have re-launched our complaints process to make it more accessible to the public.

Other types of Assessment

Different Directorates have different types of inspectorate bodies, Our Education directorate for example are inspected by ESTYN. A whole Authority assessment was undertaken this year, which is detailed in the section relating to Education.

The Care and Social Services Inspectorate Wales (CSSIW) regulates Social Service performance and a detailed self - assessment called the ‘**Annual Directors Report on the Effectiveness of Social Care Services**’ is available by clicking here: [Caerphilly Annual Directors Report for Social Services](#)

What our Regulators told us about our Service's in 2013/14

Our Regulators concluded in their Annual Improvement Report in 2014 the following summary assessment:

- In 2012-13 the Council made steady progress in delivering improvements in most of its priority areas but some key challenges remained
- The Council's evaluation and reporting of performance for 2012-13 improved but underpinning arrangements need to be strengthened
- The Council is involved in a range of collaborations and, historically, its financial planning has been sound but in 2013-14 it failed to discharge some of its improvement planning duties under the Measure
- During 2013-14 we found that a combination of a number of weaknesses inevitably led to governance failings at the Council and whilst it is making encouraging progress in improving its governance arrangements, it is too early to conclude whether these improvements can be sustained
- Given the uncertainty around the sustainability of its improved governance arrangements, the Auditor General is not yet able to conclude whether the Council is likely to comply with its requirement to make arrangements to secure continuous improvement for 2014-15

The full report can be accessed from: [WAO Caerphilly Reports](#) or from the contact details on page 103

Special Inspection January 2014

In September 2013, the Auditor General conducted a special inspection into the Council's corporate governance arrangements, which concluded in January 2014. This was to follow up the findings of the Appointed Auditor who issued a *Report in the Public Interest* in March 2013. This report highlighted failures in governance arrangements and inadequacies in the processes followed by the Council to set the pay of chief officers. There was also a desire to follow up the wider governance issues highlighted in last years Annual Improvement Report. The Special Inspection was published in January 2014 and can be found on the Wales Audit Office's website. The main recommendations for improvement are detailed below:

The Council must show it:

R1	Clarifies, in an easily understandable format, governance and decision-making roles, specifically of the Cabinet; Chief Executive; Corporate Management Team; corporate directors; scrutiny committees; and Audit Committee.
R2	Ensures that appropriate documentation is maintained of all decisions made, and by whom to provide further assurance that decision- making is undertaken appropriately and transparently.

R3	Continues to implement the Improving Governance Programme Board action plan to enhance governance arrangements for the future.
R4	Strengthens its risk management processes further to embed risk management across the Council. Specifically there should be: <ul style="list-style-type: none"> • more frequent review of the corporate risk register by Corporate Management Team; • explicit action planning for the key risks identified; • more oversight of, and consistency in, approach to directorate risk registers; • clarification of the role and remit of the Risk Management Group; and • enhanced training for Audit Committee members.
R5	Clarifies roles and responsibilities for whistle-blowing procedures and ensures that the new policy is updated to reflect recent legislative changes.
R6	Reassesses its expectations of the Internal Audit service and puts in place a programme for its Internal Audit service to address the findings of this inspection.
R7	Ensures that the actions identified to improve the HR function and workforce planning are implemented.
R8	Emphasises the importance of following appropriate procurement procedures and ensures that relevant key performance indicators are set for the procurement function

The Council has established an Improving Governance Programme Board and implemented the majority of actions that we identified to improve governance based on the recommendations above. We have made good progress but are still working on areas to improve. Our Improving Governance Board reports its progress to our Audit Committee and our updates can be found on the Councils Website.

The Wales Audit Office reviews a range of topics, some are national studies and others are local to the authority or region. Below are some of the studies that took place in the year

Planned Work Programme 2013/14	Position	National Study and Improvement Studies 2013/14
Corporate Assessment – Has the council complied with improvement legislation?	Completed	Safeguarding Children
Data Quality Review – How accurate are our systems for recording performance indicators?	Completed	Welfare Reform
Assessment of Performance – How we performed in the year 2013-14	Completed	Delivering with less
Gwent wide - sustainability of Social Services	Not completed	
Follow-up review of the Human Resources function	Completed	

Future Local Government Work planned for 2014/15 is:

Managing the Financial Challenge

Annual Governance Statement

Scrutiny Arrangements

Performance Management arrangements

The WAO will be following up on our previous Corporate Governance Inspection in the autumn of 2014 to monitor what progress has been made since the special inspection of January 2014.

The Wales Audit Office is the overseeing regulator for the whole Authority. Reports from the relevant inspectorates can be accessed from the websites listed below: www.wao.gov.uk. Wales Audit Office can be contacted by e-mail at info@wao.gov.uk or by writing to WAO, 24 Cathedral Road, Cardiff, CF11 9LJ

Other Regulatory News

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We explain more about our progress against our **ESTYN** inspection recommendations within the EDUCATION Section of our Performance Report. However we are pleased to note that in January 2014 ESTYN reviewed our progress against the remaining two out of the five recommendations arising from the inspection, and to consider the overall performance of the authority against its post-inspection action plan.

Their findings were “*The authority has moved swiftly to address the recommendations from the 2012 Estyn inspection. During a period of significant change of senior management, the council has demonstrated a strong commitment to improve its education services for children and young people. The Leader, together with the Cabinet Member for Education and Lifelong Learning, the Interim Chief Executive, the Director of Education and Lifelong Learning and the regional consortia school improvement service, have ensured that this work has progressed well. The authority has established better foundations to continue the drive for improvements in attainment and achievement for all learners*” The full report can be accessed at: [Estyn Caerphilly Inspection Report](#)

The **Care Social Services Inspectorate Wales** known as CSSIW carries out analysis of our yearly self-assessment, known as the Directors Report. This is where we assess what we are good at and where we need to improve. At the time of going to print we had not received our formal feedback from CSSIW as this is due in October 2014 but will be reported with more details about our Social Care Services at the following website: [CSSIW Caerphilly Inspection Report](#)

‘CAERPHILLY DELIVERS’ – the Local Service Board Single Integrated Plan

In 2004 Caerphilly County Borough Council (CCBC), key partners and stakeholders implemented a strategy called the ‘Community Strategy’. The Community Strategy was a long-term plan (10-15 years) and various Strategic Partnerships were established to deliver the strategy. These Partnerships were:

- Health, Social Care and Well-being Partnership
- Children and Young People’s Partnership
- Safer Caerphilly Community Safety Partnership
- Living Environment Partnership
- Regeneration Partnership

These Partnerships evolved and developed over the years, and had a proven track record of success. During 2011, the Chairs of the above Partnerships and the Caerphilly Local Service Board (LSB) identified that there was a need and an opportunity to improve the Caerphilly Community Strategy Partnership structure, reduce bureaucracy, re-prioritise and focus on enhancing how we deliver changes in the community in partnership with other organisations. Recessionary pressures and reduction in public spending at a national level also accelerated the requirement for change.

This work programme complemented the publication (on 19th June, 2012) by Welsh Government of “Shared Purpose – Shared Delivery: Guidance on how to integrate Partnerships and Plans”. This document provided statutory guidance and required LSB’s to rationalise their respective Partnership “landscapes” and produce a **Single Integrated Plan**. Caerphilly LSB endorsed and approved its Single Integrated Plan, which is entitled “**Caerphilly Delivers**” at its meeting on 17th April, 2013.

“**Caerphilly Delivers**” replaced a number of previous plans that were previously required to produce, such as the Health, Social Care and Well-Being Strategy, Children and Young People’s Plan, and the Community Safety Plan. “**Caerphilly Delivers**” outlines a determined commitment by all involved to accelerate change, strengthen partnership working, multi-agency collaboration, and be accountable for its delivery, via a “rationalised partnership landscape”.

Implemented from April, 2013, “**Caerphilly Delivers**” is a high level partnership strategy builds on the proven record of successful partnership working between all sectors involved in delivery of services to our communities. The Plan is premised on the LSBs primary objective of “Tackling the Impact of Poverty” and in doing so acknowledges the synergies, inter-relationships and complexities of tackling the “causes and symptoms” of poverty.

In order to realise its “vision”, the LSB has identified the following Outcomes:

- Prosperous Caerphilly

- Safer Caerphilly
- Healthier Caerphilly
- Learning Caerphilly
- Greener Caerphilly

These Outcomes, aligned to one of the key Welsh Government anti-poverty programmes, i.e. the Communities First outcomes, will each be achieved by the delivery of a number of Priorities and supporting action plans, established under each Outcome. The Lead Officer (from a partner organisation) for each Outcome, working with their Delivery Officers, have established Priorities to be delivered to achieve their respective Outcomes using “Results Based Accountability” methodologies identifying “*where we are now; what we have done so far; what we are going to do; and how we will know we are making a difference*”.

During 2013-14 the transition to the new “rationalised partnership landscape” has been reinforced via the “**Caerphilly Delivers**” Performance Framework, with each Lead Officer, working through the Delivery Group and the Leads Group, being responsible and held to account by the LSB for the delivery of action plans to achieve each priority, and its identified outcomes. Outcome scorecards are used to monitor progress and delivery, reporting by use of Highlight/Exception Reports, from the Delivery Group, to the Leads Group, onwards to the LSB, who in turn are scrutinised, via CCBC’s Scrutiny Work Programme, by the CCBC Policy & Resources Scrutiny Committee and also by the Caerphilly LSB Standing Conference (a stakeholder network).

For further information about “**CAERPHILLY DELIVERS**” – *the Caerphilly LSB Single Integrated Plan*, please visit the Caerphilly Local Service Board website at: <http://your.caerphilly.gov.uk/communityplanning/content/caerphilly-local-service-board>

Council Priorities 2013-17 and Improvement Objectives 2014/15

We have selected 8 priorities for the next four years to run from 2013-17. These are our **Council Priorities** and they were chosen for a wide range of reasons. Some because we wanted to perform better and some containing projects and areas of work that would be financially or politically important, for example, Manifesto commitments from the current administration. These 4-year priorities have been used as a basis for setting our more short-term focused Improvement Objectives. Having Improvement Objectives and Priorities does not replace nor stop us carrying out all the many other things that we do, but in this time of financial constraint it is helpful to concentrate on a set of specific outcomes, focusing our efforts to make specific improvements more quickly.

Our **Improvement Objectives** detail the improvements we intend to make for our citizens over the year. In 2010, legislation required Council's to identify areas for improvement and called these 'Improvement Objectives'. Here at Caerphilly Council we have always set 'areas for improvement' however our Improvement Objectives are sometimes a little different from our overall Council priorities in that they are based specifically on areas of unmet need from the public's point of view and where we want to place our focus in a shorter time frame. More importantly they are based on outcomes (or what difference these make for the public) and are often carried out in collaboration with our other partner organisations.

Our priorities 2013-17 and our Improvement Objectives 2014/15 are listed in the table below. Further details about these can be found in our Corporate Plan 2014-17 (Priorities) and our Improvement Plan 2014/15 (Improvement Objectives). Both Plans can be found on our website at www.caerphilly.gov.uk

	Council Priorities 2013-17 (Medium term priorities)	Improvement Objectives 2014/15 (Short term priorities)
Social Services	<ol style="list-style-type: none"> 1. Peoples social care needs are identified and met in a timely and appropriate way 2. Children and adults are safeguarded from abuse 	IO1 - Ensure children and young people who are looked after are supported to achieve their full potential.
Education	<ol style="list-style-type: none"> 3. Improve standards across all year groups particularly key stage 3 and 4 4. Identify vulnerable groups of learners and develop interventions to ensure needs are met 5. Reduce the gap in attainment between pupils in advantaged and disadvantaged communities 	1O3 - Develop an effective and accessible Youth Service that supports the personal and social development of young people
Environment	<ol style="list-style-type: none"> 6. Promote the benefits of an active and healthy lifestyle 	IO4 - Improve awareness, access, variety and use of leisure, community and sporting facilities.
Corporate Services	<ol style="list-style-type: none"> 7. Invest in our council homes and their communities to transform lives 	<p>IO5 - Investment in council homes to transform lives and communities</p> <p>1O6 - Improve the availability of private and public sector housing to reduce the number of residents who may become homeless</p>
	<ol style="list-style-type: none"> 8. Affordability - deliver a medium term financial plan aimed at ultimately providing a period of stability that helps the authority to have a range of services in the future that are sustainable 	
		IO2 - Improve job opportunities by implementing the Council's Passport Scheme

How to contact us

Your views and opinions on the content of our performance reports and the priorities that we set each year are important to us. We welcome your input so that we can continue to provide meaningful information that helps inform you of the service focus, ensuring that we are working on the things that are important to making a difference to you, our citizens and our communities.

Please contact us by: Email: PMU@caerphilly.gov.uk OR by Web link: [Caerphilly weblink](#) and follow the instructions on screen:

Alternatively, please contact:

Ros Roberts

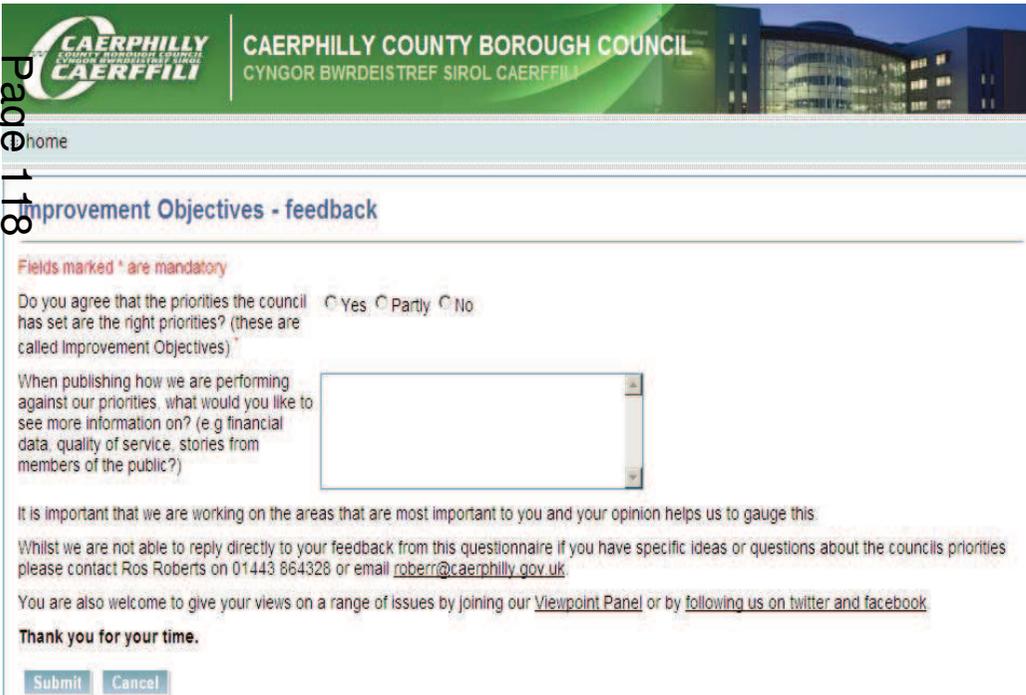
Performance Manager
Corporate Performance Management Unit
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This document is also available in different languages and formats upon request. Further information can also be found on our website: www.caerphilly.gov.uk

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The screenshot shows the header of the Caerphilly County Borough Council website with the logo and name in Welsh and English. Below the header is a navigation bar with a 'home' link. The main content area is titled 'Improvement Objectives - feedback'. A red note states 'Fields marked * are mandatory'. The first question is 'Do you agree that the priorities the council has set are the right priorities? (these are called Improvement Objectives) *' with radio buttons for 'Yes', 'Partly', and 'No'. The second question is 'When publishing how we are performing against our priorities, what would you like to see more information on? (e.g financial data, quality of service, stories from members of the public?)' followed by a text input field. Below the form, there is a message: 'It is important that we are working on the areas that are most important to you and your opinion helps us to gauge this. Whilst we are not able to reply directly to your feedback from this questionnaire if you have specific ideas or questions about the councils priorities please contact Ros Roberts on 01443 864328 or email roberr@caerphilly.gov.uk. You are also welcome to give your views on a range of issues by joining our [Viewpoint Panel](#) or by [following us on twitter and facebook](#). Thank you for your time.' At the bottom are 'Submit' and 'Cancel' buttons.

Appendix A: Annual Performance Report 2013/14

The Improvement Objectives for 2013/14 were:

IO 1 - Ensure children and young people who are looked after are supported to achieve their full potential

IO 2 - Improve job opportunities by implementing the Councils Passport Scheme

IO 3 - Develop an effective and accessible youth service that supports the personal and social development of young people

IO 4 - Improve awareness, access, variety and use of leisure, community and sporting facilities

IO 5 - Investment in Council homes to transform lives and communities

IO 6 - Improve the availability of private and public sector housing to reduce the number of residents who may become homeless

The following pages, outline key operational activities (actions and performance measures) that were selected and used during 2013/14, to drive and determine changes as planned in our Improvement Objectives.

Action (RAG) keys:

	Un-successful: No, little progress/achievements
	Partially Successful: Some progress/achievements
	Fully Successful: Good progress/achievements

Performance (RAG) keys:

Current year RESULTS compared to our TARGETS		Well below
		Marginally below
		Better than

A greener place to live, work and visit
Man gwyrddach i fyw, gwerthio ac ymweld



Improvement Objective 1:**Ensure children and young people who are looked after are supported to achieve their full potential****In 2013/14 we wanted to:**

1. Recruit and support sufficient foster carers to provide placements for looked after children and to improve the placement stability
2. Carry out a review of the Gwent Adoption Service to ensure adoptive placements are available for children for whom adoption is the plan
3. Monitor all looked after children (LAC) and ensure that each has a personal education plan in place, to ensure that all LAC have the opportunity to achieve well in school.
4. Build on the existing leaving care team by developing a 16+ team and ensure the council remains in contact with and supports the children leaving care

Our priority actions, progress and achievements were:

Title	Comment	RAG	Overall Status
1. To recruit and support sufficient foster carers to provide placements for Looked After Children (LAC) and to improve placement stability.	Recruiting foster carers for LAC continues to be a priority. Marketing campaigns target potential foster carers who are able to care for children, particularly sibling groups and older children. The Placement Unit plays a critical, active role in ensuring that placements for children and young people meet these priorities.	⬆️	Complete
	Regular Out of Authority meetings review placements made with Independent Fostering Agencies and where opportunities exist and where appropriate plan for those children in placement be matched to in house carers.		
	The target to recruit 25 additional foster carers relates to the timeframe of the Improvement Objective and proportionately has been exceeded in 2013/14.		
2. Carry out a review of the Gwent Adoption Service to ensure adoptive placements are available for children for whom adoption is the plan.	The review of the Gwent Adoption Service has taken place, as a result of the review it has been agreed that a single integrated Adoption Service for Gwent should be developed. Refer to action 5.	⬆️	Complete
3. To monitor all looked after children (LAC) and ensure that each child has a personal education plan in place, to ensure that all LAC have the opportunity to achieve well in school.	Processes now set up to ensure Personal Education Plans for LAC are in place. As at March, we had 95.20% of LAC receiving a personal education plan within the first 20 school days. These are also addressed via regular LAC reviews. As at March, we carried out 97.50% of LAC reviews within the timescale. Although the planned end date is 31st March 2014, this is an ongoing priority of the division to regular monitor LAC and their personal education plans.	⬆️	Complete
4. Build on the existing leaving care team by developing a 16+ team and ensure the Council remains in contact with and supports the children leaving care.	The 16+Team was officially launched in September 2013. Following a period of transfer of cases, the team have now assumed responsibility for all LAC aged 16+ years and their work with vulnerable young people has already received credit from CSSIW. The percentage of eligible young people with Pathway Plans in place has increased to 100% in 2013/14 and the percentage of young people 'in contact at age 19 yrs' has been maintained at 100%. Supporting young people Looked After, Leaving Care and/or facing homelessness will continue to be a priority for the Division going forward in 2014/15.	⬆️	Complete
5. Contribute to the development of a single, integrated Adoption Service for Gwent	Work continued throughout 2013/14 to develop a regional Adoption Service covering the five Local Authorities in Gwent. Everything is in place for the new service called the South East Wales Adoption Service (SEWAS) to be fully operational on 1st April 2014.	⬆️	Complete

The following tables show what has changed as a result of our actions during 2013/14:

How much have we done?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
The % of pupils in local authority care aged 15, who leave compulsory education, training or work based learning without an approved external qualification	Annual Indicator.	0.00	0.00		6.06
% Of Children placed with Caerphilly Foster Carers.	Local annual indicator.	47.00	40.00		44
% of LAC that began with a care plan in place	Final - 92/92	100.00	100.00		100
% of LAC with a plan for permanence at due date	Final - 67/67	100.00	100.00		100
The Number of Foster Carers recruited.	Local indicator. New for 13/14	23.00	25.00		N/A

How well did we do it?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
% of LAC achieving the Core Subject Indicator at KS3	Final - 6/14	42.90	33.33		34.6
% of LAC achieving the Core Subject Indicator at KS2	Final - 10/14	71.40	64.28		58.3
Average external qualifications points score for LAC	Final - 6428/27	238.10	198.00		157

Is anyone better off?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
% Of Children placed with adoptive families during the financial year.	13/276 Local indicator.	4.70	3.00		
% of former LAC in contact at age of 19	Final - 30/30	100.00	100.00		100
% of former LAC in educ/training/employment at 19	Final - 18/30	60.00	75.00		75
% of former LAC in suitable accommodation at 19	Final - 28/30	93.30	95.80		95.8
% of LAC who have had more than 3 placements during the year	Final - 26/276	9.40	6.20		6.9

Improvement Objective 2:**Improve job opportunities by implementing the Council's Passport Scheme****In 2013/14 we wanted to:**

- Implement the Council's Passport Scheme to create employment and training opportunities

Our priority actions, progress and achievements were:

Title	Comment	RAG	Overall Status
2. Action to meet jobs growth Wales target	Our targets have been achieved but further allocation has been given to the team due to volumes of participants waiting to come through the passport model.	⊖	Complete
3. Evaluation tender for project evaluation developed and let	Evaluation Tender was completed and Wavehill was the company chosen to evaluate the success of the project. The evaluation started with use of case studies and interviews and has identified some positive key messages and areas to develop. Evaluating further case studies will continue to the end of the project in December 2014.	⊖	Complete
4. Implementation of MIS system for report and monitoring of trainees	A Performance Management module has been purchased as part of our existing system and is being used by the team to help monitor and track the outcomes of trainees.	⊖	Complete
5. Passport model reviewed and documented	There has been a continuous review of the passport model and any changes are agreed through team meetings, working group and the project board.	⊖	Complete

The following tables show what has changed as a result of our actions during 2013/14:

How well did we do it?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
% of participants that now feel they are more 'work ready' from being on the Passport Programme	From survey of each participant at the end of their work experience.	100.00	80.00		N/A
Create at least 150 work experiences opportunities each year	Year end result	176.00	150.00		N/A
Create at least 25 apprenticeship opportunities	Year end result	25.00	25.00		N/A
Create at least 40 employment opportunities	Year end result	68.00	40.00		N/A

Is anyone better off?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
% of positive outcomes achieved	Positive outcomes are: participants who have gained employment or gone onto further Education following successful completion of the Passport Programme.	77.00	70.00		N/A
Reduce NEETS - percent of 16 year olds who are not in education, employment or training (NEET)	The Welsh Government's Tackling Poverty Action Plan, published in July 2013, sets a target that the proportion of 16 to 18 year olds not in education, employment or training reduces to 9 per cent by 2017.	4.40	4.00		5.9

Improvement Objective 3:**Develop an effective and accessible Youth Service that supports the personal and social development of young people****In 2013/14 we wanted to:**

1. We will undertake a comprehensive review of the Youth Service to identify areas of best practice and areas for development. Following the review appropriate recommendations will be implemented in order to improve the service.
2. We will implement a data management system and use data analysis techniques to make evidence based decisions to inform service improvements
3. Deliver a wide range of formal and non-formal accreditation opportunities across all youth service provision by ensuring that we work collaboratively with other services delivering to this age group
4. Work closely with schools and other agencies to identify vulnerable groups and maximise the use of additional resources to provide support to learners
5. Put in place improvement strategies and specific actions to improve outcomes for learners especially at key stages 3 and 4 in order to ensure that pupils gain formal qualifications prior to leaving statutory education.
6. Develop multi-agency working with schools to target identified young people to improve attainment and increase the percentage of young people achieving 5 GCSE's A*-C, including English and Maths, in order to increase the opportunities to progress into further education or employment.

Our priority actions, progress and achievements were:

Title	Comment	RAG	Overall Status
1. We will undertake a comprehensive review of the Youth Service to identify areas of best practice and areas for development. Following the review appropriate recommendations will be implemented in order to improve the service.	A review of the Youth Service completed and recommendations shared with Senior Management Team, Corporate Management Team and Elected Members in Scrutiny Committee in September 2013. The recommendations have been included within the draft Caerphilly Youth Service Strategy as priorities for action.	-	Complete
2. We will implement a data management system and use data analysis techniques to make evidence based decisions to inform service improvements	Youth Service managers identified the data required to make informed decisions on the future development of personal and social education. Improved information around attendance and the quality of premises is now being collected. A data management system is now in place and is being continually evaluated to ensure that it is an appropriate tool to monitor youth service engagement.	-	Complete
3. Deliver a wide range of formal and non-formal accreditation opportunities across all youth service provision by ensuring that we work collaboratively with other services delivering to this age group	An Accreditation Officer now in place and has increased the number of young people accessing formal and no formal accreditation. Youth workers can also offer qualifications including Duke of Edinburgh, ASDAN, Childrens University, Agored Cymru and local accreditations	-	Complete
4. Work closely with schools and other agencies to identify vulnerable groups and maximise the use of additional resources to provide support to learners	Community Education Managers have established an alignment between Youth Service and EOTAS (Educated Other than at School) to ensure a seamless transition between formal, non-formal and informal learning. The Information Sharing Protocol has been developed and is currently in the final stages of completion. Connecting Communities are now organising joint programmes that will benefit schools and young people. The joint funding application with Communities First was submitted to Welsh Government in November 2013 and the funding has been granted to employ a youth worker and a family worker, in 4 schools to work with young people using a youth work methodology to actively encourage them to engage in education, employment, training or enrichment activities to develop and enhance their learning.	-	Complete
5. We will put in place improvement strategies and specific actions to improve outcomes for learners especially at key stages 3 and 4 in order to ensure that pupils gain formal qualifications prior to leaving statutory education	Community Education Managers have established an alignment between Youth Service and EOTAS (Educated Other than at School) to ensure a seamless transition between formal, non-formal and informal learning. The New and Expectant Parents project has supported a number of Key Stage 4 girls through formal accreditation, successfully gaining GSCE's in a number of subjects.	-	Complete
6. Develop multi-agency working with schools to target identified young people to improve attainment and increase the percentage of young people achieving 5 GCSE's A*- C, including English and Maths, in order to increase the opportunities to progress into further education or employment	The "Raising Aspirations" project has highlighted the benefits of youth work to support learning and has resulted in a bid to WG, together with Communities First, for "Youth Workers in Schools". This approach of a youth worker, family worker and school, working together based on the school site will be unique to Caerphilly, and aims to collectively support the attainment of young people.	-	Complete

The following tables show what has changed as a result of our actions during 2013/14:

How much have we done?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
Number of young people achieving national accreditation (non-formal and formal)		399.00	160.00		129
Adult Basic Skills enrolments in an academic year	Data is for academic year 2012/2013 ending August 31st 2013.	1463.00	1046.00		1046
Number of young people achieving local accreditation (non-formal and formal)	Information is reported on the previous academic year.	2331.00	1200.00		1188

How well did we do it?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
99. % local inspections of selected youth service projects and clubs graded as adequate or above (wording revised 13-14)	A small number (5) of youth clubs were found to be performing under the expected level during the peer assessment process. Interventions were put in place to raise standards, provide support and increase resources	75.00	85.00		N/A
% of pupil attendance in secondary schools	This result is for the Academic Year 12/13	92.00	92.00		91.70

Is anyone better off?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
% of 16 year olds who are not in education, employment or training (NEET) in October	The Welsh Government's Tackling Poverty Action Plan, published in July 2013, sets a target that the proportion of 16 to 18 year olds not in education, employment or training reduces to 9 per cent by 2017.	4.40	4.00		5.9
% of new and expectant parents engaged by the service achieving a formal accreditation (pre-16)	New indicator for 13/14 Information is reported on the previous academic year.	100.00	80.00		
% of new and expectant parents engaged by the service achieving a non-formal accreditation (pre and post-16)		100.00	60.00		
% of pupils (including those in local authority care) in any local authority maintained school, aged 15 as at the preceding 31 August who leave compulsory education, training or work based learning without an approved external qualification		0.40	0.40		0.42 (9 / 2155)

Improvement Objective 4:**Improve awareness, access, variety and use of leisure, community and sporting facilities****In 2013/14 we wanted to:**

1. Build a Centre for Sporting Excellence in Ystrad Mynach. This will be developed with a programme of activities for the use of both professional sporting bodies and the local community
2. Develop a Leisure Facilities Strategy to inform priority investment in sports and leisure facilities
3. Engage with schools and parents to ensure that children have the opportunity to learn to swim by the age of 11 years
4. Retain users by developing and implementing a scheme that rewards customer loyalty
5. Grow a skilled and enthusiastic workforce, which includes coaches, tutors and volunteers
6. Introduce a programme to identify and support those who are more able and talented in sport
7. Promote the well-being benefits of being physically active
8. Introduce a 5 a-side soccer arena in Risca

Our priority actions, progress and achievements were:

File	Comment	RAG	Overall Status
1. Build a centre for sporting excellence in Ystrad Mynach	Official launch of new facility May 2014.		Complete
2. Develop a programme of activities at the centre for sporting excellence for the use of both professional sporting bodies and the local community	Organisations are being invited to use the new facility which will result in a broad programme of activities to support excellence.		Complete
3. Develop a Leisure Facilities Strategy (to inform priority investment in sports and leisure facilities)	The draft Leisure Facilities Strategy is in circulation for consultation.		In Progress
4. Engage with schools and parents to ensure children are provided the opportunity to learn to swim by the age of 11 years (through the delivery of the Learn 2 Swim scheme)	The new Learn 2 Swim programme has been introduced in all our Swimming Pools. This will contribute to more pupils being able to swim.		In Progress
5. Develop and implement a scheme that rewards customer loyalty	The Smart Rewards scheme is fully operational and aiding retention.		Complete
6. Grow a skilled and enthusiastic workforce, which includes coaches, tutors and volunteers	Volunteers donated almost 8,000 hours of their time which contributes significantly to the delivery of sport in our schools and communities.		Complete
7. Introduce a programme to identify and support those who are more able and talented in sport	The new Centre for Sporting Excellence will support this programme, however, the MAT (More Able & Talented) Scheme has improved in quality and sustainability.		In Progress
8. Promote the well-being benefits of being physically active	The improved use of Social Media has contributed to promoting the service to residents.		In Progress
9. Introduce a 5 a side soccer arena in Risca	The building is complete and is very well used by both the School and the Community.		Complete

The following tables show what has changed as a result of our actions during 2013/14:

How well did we do it?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
Number of Visitors to Sport Caerphilly Activities	This is a fantastic year in terms of participation. This final number is 8540 above what was achieved in 2012-2013 and above what was achieved in 2012 (Olympic Legacy year). This is largely due to a target approach working with National Governing Body's of sport and the Sport Relief Mile event at Caerphilly Castle.	86629.00	81000.00		78089
Number of visits to indoor sport facilities (Leisure Centres)	The strong recovery from 3 months lost usage at Newbridge pool and a months pool closure at Risca has resulted in turning round a 52,000 visits off target in September to only 7,000 off target at the end of the year. Even with the pool closure the service has had more actual visitors this year compared to last year.	1296503.	1303510.		1277952
Number of free swim sessions - adults aged 60 yrs and above	Target achieved. Performance on target and above last years actual even with the closures at Newbridge pool for 2 months and Risca pool for a month.	42544.00	42708.00		41871
Number of free swim sessions - children aged 16 yrs and under	Period 6 Feb/Mar - with closures at Risca and Newbridge leisure centres pools resulting in lower free swim numbers for children. Also, Caerphilly LC pool was closed for 2 weeks in December. A turnaround from almost 4,000 swim off the target in September (month after pool closures) to only 3,200 off target.	24710.00	27963.00		27415
Number Smartcard Holders	Achieved target.	112797.0	112000.0		101211

Is anyone better off?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
Number of people participating in the health referral scheme	Achieved target. An increased number of cases with more complex requirements, which can take longer has meant that less overall referrals can be dealt with per year, due to limited instructor time.	910.00	880.00	↑	982
% Pupils in school years 3-6 who report participation in a Sports Club	It is evident that while there appears to be a high number of pupils engaged in clubs outside of school, we have not achieved the overly ambitious target and there needs to be a focus on increasing community engagement.	78.90	88.00	↓	84
% Pupils in school years 7-11 who report participation in a Sports Club	It is evident that while there appears to be a high number of pupils engaged in clubs outside of school, we have not achieved the overly ambitious target and there needs to be a focus on increasing community engagement.	69.50	73.00	↓	68
% Pupils achieving level 5 in KS3 PE assessments	Standards continue to improve in Physical Education.	82.30	83.50	↓	Not recorded.
% Children age 11 yrs able to swim 25 meters	The 58% achieved this year is well under the National target of 91% by 2020. The programme needs a radical overhaul if it is to meet the National Targets set out by Welsh Government. Caerphilly are the lowest performing LA within the Gwent region by some way. For this to improve we need to introduce specialist teachers and intensive swimming lessons but this is dependent on resources becoming available.	58.00	91.00	↓	Not recorded
% School years 3 - 6 participating in sport 3 times per week	This is an increase of 14% from 2011. School Sport Survey Results are biennial.	41.00	30.00	↓	26
% School years 7 - 11 participating in sport 3 times per week	This is an increase of 9% from 2011. School Sport Survey Results are biennial.	38.00	35.00	↓	29
% Young People attending 30 or more sessions in an academic year	We are just below target. Result 1.65% increase on last year and a 5.6% increase over the past 5 years. This indicator is being measured across the region.	7.96	8.00	↓	6.31

Improvement Objective 5:**Investment in council homes to transform lives and communities****In 2013/14 we wanted to:**

1. work with tenants to actively involve them in achieving the Welsh Housing Quality Standard (WHQS) by running Caerphilly Homes Task Group
2. Implement actions from the Communications Strategy, which is designed to cover the first three year period with monitoring and evaluation of its achievements. It will also set in place development of a clear brand identity
3. The Community will benefit from clauses in contracts that will help local people receive training and gain employment. contracts given to improve the standards of housing will include targeted recruitment and training to create employment and training opportunities for local people
4. Implement environmental improvement programmes that will mean that our Council estates will be safe and attractive environments to live in, complimenting quality houses
5. Select one supplier on a 10 year contract to supply our materials ensuring improved efficiency and our commitment to the local economy. A managed 10 year arrangement will enable a long-term relationship to be developed, helping to sustain local jobs.
6. Develop a programme of community engagement with residents to identify the priorities for improvement from the residents point of view
7. Launch a community Improvement Fund of up to £5,000 per project to support local people to make environmental improvements
8. Ensure Council estates are linked to the wider countryside areas of open green space by enhancing public rights of way or the creation of new access routes.
9. Encourage residents to volunteer to assist in the maintenance of environmental improvements
10. Provide training for Tenant Liaison Officers so they are able to signpost tenants to other support and benefits
11. Ensure there is greater alignment and coordination between WG programmes such as Communities First, Families First and Supporting People and key strategic CCBC initiatives such as the Caerphilly Passport Programme to maximise the social and economic impact
12. Establish a 'Lives and Communications' working group with input from a number of sources, such as Gavo, to help ensure increased resources are ploughed into those areas that need it the most.

Our priority actions, progress and achievements were:

Title	Comment	RAG	Overall Status
01. The WHQS programme is subject to management and monitoring at a number of levels including work stream lead officers, WHQS project managers, project board, Caerphilly Homes task group / Cabinet sub committee.	Action completed. A programme structure is in place and needs to be sustained.		Complete
02. Procure and award works contracts - Internal and external works contracts at tender stage due to be awarded by December 2013	This action is incomplete. Contract awards remain on hold causing ongoing programme slippage. Report to CHTG (May 2014) and Cabinet (June 2014)		In Progress
03. Procure and award works contracts - DLO Sub Contract	Action completed, Sub Contract Framework is operational and was awarded Sept 13.		Complete
04. Procure and award works contracts - small lots arrangements are under consideration	Action partially completed. Pre Qualification Questionnaire completed, contractors awarded to value bands - first tender anticipated May 2014.		In Progress
05. Develop an engagement plan as a prelude to environmental programme working with residents on the council's housing estates. Commitment has been given to develop priorities for environmental improvements working with residents on the council's housing estates	Action incomplete. No progress due to environmental programme being deferred to 2019/20.		Not Started
06. Additional staff resources need to be recruited to strengthen the WHQS team and manage the large increase in the volume of works	Action partially completed. Staff resources remain under review. Approval given to appoint some additional resources. Appointment of environmental officers deferred. New critical areas are Tenant Liaison Officers, Clerk of the Works and Surveyors.		In Progress
07. We will work with tenants to actively involve them in WHQS by running Caerphilly Homes Task Group (CHTG) and other key work groups.	Action completed. Tenants are actively involved through the CHTG, the Repairs and Improvement Group, the Caerphilly Service Improvement Monitors (CSIMS) and the Older Persons Group. They have all met on a number of occasions during 13/14. The CHTG meets every 6 weeks to review and make recommendations on the overall strategic direction and allocation of WHQS and Housing Service resources. The group is a consultative group relating to all public housing services, monitors WHQS progress and service improvement commitments, ensures WHQS is consistent with the council's regeneration strategy. The group makes recommendations to Policy and Resources/ Cabinet as appropriate. The Repairs and Improvements Group meets every two weeks has been established to ensure that all repairs and WHQS improvement work is carried out to a high standard and that tenants are getting value for money. Members are involved in the planning, programming, procurement, design, specification, selection and monitoring for all repair and improvement works. Caerphilly Service Improvement Monitors (CSIMS) was set up to monitor the service provided to tenants and feedback the results. The CSIMS are looking at the experience tenants have had with their WHQS		Complete
08. Implement actions from Communications Strategy, which is designed to cover the first three-year period with monitoring and evaluation of its achievements. It will also set in place development of a clear brand identity.	Action completed. A communications strategy action plan is required for 2014. Actions implemented during the year included activities to increase methods of engaging informally with tenants, e.g. community events, social media etc. Work is also ongoing to develop a consistent brand for Caerphilly Homes, with the production of numerous communications materials to support work of housing service. Work has also commenced in reviewing the existing structure and content of Caerphilly Homes Internet pages.		Complete

Title	Comment	RAG	Overall Status
09. The community will benefit from clauses in contracts that will help local people receive training and gain employment. Contracts given to improve the standards of housing will include targeted recruitment and training to create employment and training opportunities for local people.	Action partially completed. Progress made in respect of supply partner contract. Further action dependant on decisions regarding internal and external works contracts. Reports on the latter to CHTG (May 2014) and Cabinet (June 2014).		In Progress
10. We will implement environmental improvement programmes that will mean that our Council estates will be safe and attractive environments to live in, complimenting quality houses.	Action incomplete. No progress was made due to the uncertainty that arose over the environmental programme. The timing of the latter has been put back to 2019/20 and the related actions are now likely to be deferred to later in the programme.		Not Started
11. We will select one supplier on a 10-year contract to supply materials ensuring improved efficiency and our commitment to the local economy. This will enable a long-term relationship to be developed, helping to sustain local jobs and provide consistent high quality materials for our homes.	Action completed. The supply partner contract was implemented in June 2013 following a competitive tender process. Robert Price, a local SME was awarded the 10-year contract, and have implemented a local supply chain (for many product ranges) providing local jobs for local people. Community benefits and targeted recruitment and training is a key element of this contract. Robert Price have taken on several young people from the council's Passport Programme, taking one through to permanent employment. This contract is supplying all materials required for the WHQS programme and is an integral part of the programme, a partner at the heart of our delivery. Many new processes and procedures have been implemented in order to achieve a much more streamlined operation, working towards Just-In-Time principles. Since implementing the contract, some 300 properties have been updated using materials purchased via the supply partner, thus supporting the council in continuing to ensure that once the standard is met, it is maintained. The next 12 months will see more changes, which includes supplying all products for reactive maintenance. There are challenging times ahead, but Robert Price are committed to working with the council to achieve the targets set.		Complete
12. Following the appointment of the supply partner, we will review the systems and invest in technology to maximise efficiencies.	Action incomplete. Action will need to be rolled forward into 2014/15.		In Progress
13. We will develop a programme of community engagement with residents to identify the priorities for improvement from the resident's point of view.	Action incomplete. No progress was made due to the uncertainty that arose over the environmental programme. The timing of the latter has been put back to 2019/20 and the related actions are now likely to be deferred to later in the programme.		Not Started
14. We will launch a Community Improvement Fund of up to £5000 per project to support local people to make environmental improvements.	Action completed. The fund was launched in April 2013. Since its launch, over 15 applications have been received from community groups and voluntary organisations. The CHTG has approved only 3 in total because some of the applications required planning permission or failed to demonstrate that their activities would benefit the wider population of tenants and residents. In order to promote the availability of the fund to communities, new promotional material has been developed in order to encourage applications. A feature of the fund was included in the Caerphilly Homes Tenants' Newsletter and regular posts have been made on social media. Members of the team will become more proactive during 2014/15 in promoting the fund at community events and helping organisations complete the application forms in attempt to ensure greater take up.		Complete

Title	Comment	RAG	Overall Status
15. Ensure Council estates are linked to the wider countryside areas of open green space by enhancing public rights of way or the creation of new access routes. The access issues will be incorporated as part of the development of the environmental programme.	Action incomplete. No progress was made due to the uncertainty that arose over the environmental programme. The timing of the latter has been put back to 2019/20 and the related actions are now likely to be deferred to later in the programme.	-	Not Started
16. Encourage residents to volunteer to assist in the maintenance of environmental improvements. This will be part of the engagement process with residents to secure active involvement in project implementation and ongoing maintenance.	Action incomplete. No progress was made due to the uncertainty that arose over the environmental programme. The timing of the latter has been put back to 2019/20 and the related actions are now likely to be deferred to later in the programme.	-	Not Started
17. Provide training for tenant liaison officers (TLOs) so they are able to signpost tenants to other support and benefits.	Action completed. A series of awareness and training sessions have been held for the tenant liaison officers throughout the year in order to enhance their ability to help support and sign post tenants to services that may help meet their needs. 3 days of intensive awareness sessions were held in April 2013 and a further 2 days in June 2013. Topics covered included benefits, mental health, disabilities, drug and alcohol abuse, debt, POVA, Safeguarding Children, Home Safety, Communities First, the Family Information Service, Team around the Family and Health Improvement. Further awareness sessions will be scheduled throughout 2014/15 to ensure that TLO's are able to offer a holistic support and sign posting service to tenants based on the most up to date information.	+	Complete
18. Ensure there is greater alignment and coordination between WG programmes such as Communities First, Families First and Supporting People and key strategic CCBC initiatives such as the Caerphilly Passport Programme to maximise the social and economic impact.	Action partially completed. Informal linkages developed but a new working group unlikely to be established due to the deferment of environmental programme.	-	Partially Completed
19. A "Lives and Communications" working group will be established with input needed from a number of sources, such as Communities First, Families First, Groundwork Caerphilly, GAVO etc to help ensure increased resources are ploughed into those areas that need it the most.	Terms of Reference considered at WHQS Project Board in Nov 13. No further progress made due to the uncertainty that arose over the environmental programme. The timing of the latter has been put back to 2019/20 and the related actions are now likely to be deferred to later in the programme.	-	In Progress

The following tables show what has changed as a result of our actions during 2013/14:

How well did we do it?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
Number of homes brought to WHQS as recorded on annual return to Welsh Government (The number of houses that have achieved WHQS standard in the year)	Awaiting confirmation of final figures for 2013/14. The original target published at the beginning of 2013/14 (of 891) was incorrect, the actual target should have been 80 homes.		80.00		63.00
Number of organisations making successful applications to the Community Improvement Fund (Number of local residents who use the Community Improvement Fund which will make environmental improvements to their external surroundings)		3.00	10.00	Red	N/A
The number of local people that have received training as a result of a contract containing a community benefit clause	Only one contract awarded to date for supply partner that requires training opportunities as part of community benefits plan. Similar requirements will be imposed on the works contracts currently subject to due diligence. This figure includes the number of Jobs Growth Wales opportunities and unwaged work experience opportunities.	5.00	5.00	Green	N/A

Is anyone better off?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
The number of residents who volunteer to assist in the maintenance of environmental improvements to compliment quality housing	12 applications have been received for grant support under the Community Improvement Fund (CIF). Two CIF applications approved at CHTG Sept 13. A third application approved Dec 13. However, two of the three approved applications cannot be delivered.	1.00	10.00	Red	N/A
% of tenants whose homes have been improved internally through the WHQS programme are satisfied with the completed works (The percentage of tenants who's house meets the WHQS standard that are satisfied)	Customer satisfaction surveys have recommenced for the 2013/14 programme. A survey form was finalised following consultation with tenants and the tenant liaison officers. Postal survey and Caerphilly Service Improvement Monitors (CSIMS) face-to-face surveys carried out.	92.00	80.00	Green	
The number of local people who have gained employment as a result of a community benefit clause	Only one contract awarded to date for supply partner that requires training opportunities as part of a community benefits plan. Similar requirements will be imposed on the works contracts currently subject to due diligence. This figure includes the number of Jobs Growth Wales opportunities and unwaged work experience opportunities.	1.00	10.00	Red	N/A

Improvement Objective 6:**Improve the availability of private and public sector housing to reduce the number of residents who may become homeless****In 2013/14 we wanted to:**

1. Offer housing grant to vulnerable households
2. Enforce minimum standards within the private rented sector
3. Engage with private sector landlords via a vibrant landlord forum and the opportunities that will present themselves as a result of the impending mandatory licensing scheme for Welsh landlords and managing agents
4. Successful completion of the active renewal areas at Llanbradach and Senghenydd
5. Provide major and minor works of adaptation to private sector residents
6. Support for mortgage rescue with a range of partners
7. Secure funding to assist an estimated 15 to 20 homeowners over the next 12 months, helping us to intervene with direct payments to prevent repossession
8. Work regionally with local authorities in Gwent on Houses into Homes scheme to increase the number of long term empty private sector properties returned to beneficial use. This will enable landlords to renovate empty run-down residential properties and return them for use as homes for sale or rental
9. Contribute towards the alleviation of homelessness in the borough through the provision of new homes developed in partnership with our housing association partners, including supported/temporary accommodation
10. Consider the impact of welfare reform on council housing tenants and work proactively with tenants affected by the reform, by providing advice and assistance, to minimise the risk of financial hardship and the threat of homelessness
11. Use the housing advice service to promote social lettings accommodation as an alternative form of accommodation to traditional social housing
12. Continue to support the bond scheme to facilitate access into the private rented sector for people unable to find a deposit and advance rent
13. Set up a working group to agree a new administration system for discretionary housing payments used to top up rent shortfalls. The group has agreed to award payments for a maximum time of 3 months, and assist claimants to secure more affordable accommodation
14. Secure the provision of more suitable emergency accommodation
15. Return more empty properties back into beneficial use
16. Work in collaboration with Registered Social Landlords to improve provision

Our priority actions, progress and achievements were:

Title	Comment	RAG	Overall Status
01. Maintaining the provision of Disabled Facilities Grants in line with demand and improving operational practices to continue the reduction in waiting times.	Action completed. Waiting time in first half of 2013/14, 5.1% lower than in 2012/13 (283.7 days compared with 299 days). Waiting time for 2013/14 to end of Q4 is 292.22 days, 2.27% lower than in 2012/13. Annual target 284 – see evidence table, indicator number 5. Completion date Mar 2014.		Complete
02a. Amendment to procurement practices in respect of Minor Works of Adaptation in an effort to further reduce waiting times for clients.	Action completed. Amended practices piloted during Q1. Formally implemented in Q2. Completed Sept 2013.		Complete
02b. Consider the redirection of recommendations for minor works of adaptation for RSL tenants to the RSL's themselves, thereby increasing available funding for private sector recipients.	Action completed. Piloting a procedure for redirection of referrals relating to RSL tenants to be undertaken during Q1. Amended procedure fully implemented in Q2. Completed Sept 2013.		Complete
03. Develop a Caerphilly landlords website to act as a one-stop-shop for local private landlords for support and information. It will bring together an array of information and will link in our existing council web based services to private landlords.	Action completed. Website launched on 21st October 2013 - http://caerphillyprivatelandlords.co.uk/about-us/		Complete
04. Set up an in-house, social lettings agency (SLA) to improve access to private rented accommodation for people in housing need.	Action partially completed. Work on-going. We have met with Carmarthenshire CC SLA manager and have drafted proposals for staffing arrangements. SLA progression will be subject to members' approval. Completion date Mar 2014. A report is expected to go to Policy & Resources scrutiny committee in early 2014/15.		Partially Complete
05. Reconfigure the housing advice section to enhance its focus on homelessness prevention. Recruit a homelessness prevention officer	Action completed. Physical office moves have taken place. A homeless prevention officer recruited and in post since March 2013. Housing pathways interviews have been set up to direct clients to more detailed case specific officers and take preventative homelessness actions. Completion date April 2013.		Complete
06. Improve the emergency accommodation planning for young homeless people (16/17yrs) by transferring the responsibility for the function from social services and partner agencies into one coordinated service hosted by the housing advice centre.	Action completed. Officer in post Oct 2013. Responsibility for the emergency accommodation planning for young homeless people (16/17yrs) has successfully been transferred from social services and partner agencies into one coordinated service hosted by the housing advice centre.		Complete
07. Offer housing grant assistance to vulnerable households to enable them to live safely and independently. (minor works grants)	Action completed. Grants awarded in accordance with the private sector housing renewal strategy. At the end of Q4, we had received 731 enquiries, with 135 Minor Works Grant applications approved. Completion date March 2014.		Complete
08. Where required we will enforce legislation to encourage high standards of accommodation, repair and good management in the private rented sector where properties fall below minimum standards.	Action completed. Where appropriate we take action to ensure that minimum standards are enforced. At the end of Q4, we had responded to 432 service requests. Completion date March 2014.		Complete
09. We will increase engagement with private sector landlords via continuous improvement of a vibrant landlord forum.	Action completed. Landlord forum recently celebrated its 6th anniversary and continues to expand its knowledge on the local Private Rented Sector scene in readiness for the changes due to be introduced by the Housing Bill. Caerphilly private sector landlord website launched on 21st October 2013 - http://caerphillyprivatelandlords.co.uk/about-us/ Completion date Mar 2014.		Complete

Title	Comment	RAG	Overall Status
10. Implement an exit strategy for the renewal area in Llanbradach.	Action completed. The exit strategy at Llanbradach has worked to plan to meet the formal termination date of 20th April, when the renewal area status terminates.		Complete
11. Offer assistance to those people in threat of losing their home due to mortgage arrears by working with a range of partners under our mortgage rescue scheme.	Action completed. Mortgage rescue partnership with Shelter, CAB and the two housing associations continues and we are now exploring a private rented model for certain mortgage rescue cases. In terms of the model, we are developing independent financial advice and a mechanism to manage properties through the social lettings agency. Independent mortgage adviser appointed on a case-by-case basis to visit and examine in detail the possibility of a mortgage rescue option for 8 clients. In the majority of cases, the level of mortgage arrears and value of the property excludes the option for mortgage rescue.		Complete
12. Funding has been secured to assist an estimated 15 to 20 homeowners with mortgage arrears over the next 12 months; this will enable us to intervene with direct payments to prevent repossession.	Action completed. £10k was obtained to assist mortgage rescue cases. We have used this money to assist 8 households this year. Whilst requests for assistance continue to be received, many affected households are applying too late for this type of help. A comprehensive mortgage rescue brochure has been developed and circulated to relevant teams and partners to mitigate this.		Complete
13. Consider the impact of welfare reform on council housing tenants and work proactively with tenants affected by the reform, by providing advice and assistance, to minimise the risk of financial hardship and the threat of homelessness.	Action completed. Reports on specific actions to mitigate the impact of the welfare reform changes on tenants will be presented to CHTG in January and March 2014. This will include: January - Tenancy review panel terms of reference and procedure, and financial assistance to assist tenants to move. March - Arrears processes and update on impacts of welfare reform. The rents team is making good progress on the target to visit tenants in their homes who are affected by welfare reform. The amount of additional income generated for tenants because of these visits has exceeded its quarterly target. Funding for the support posts, however, has only been secured until March 2015. Although this action has been completed, the visits to tenants will continue during 2014/15.		Complete
14. Continued support for the bond scheme to facilitate access into the private rented sector for people unable to find a deposit and advance rent.	Action completed. The Caerphilly bond scheme continues to be an essential partner for us to work alongside and direct potentially homeless households into affordable accommodation. 66 bonds have been placed this year. On the introduction of the Housing Bill and the discharge of homelessness duty to the Private Rented Sector, there will be a greater than ever need to maintain this partnership. We have further developed the homelessness prevention service by appointing a admin/clerk officer and a tenancy sustainability officer.		Complete
15. Set up a working group to agree a new administration system for discretionary housing payments used to top up rent shortfalls. The group have agreed to award payments for a maximum time of 3 months, and assist claimants to secure more affordable accommodation.	Action completed. The working group has been very effective in the administering discretionary housing payments (DHP) based on the new criteria. The DHP allocation increased ten-fold during the year to accommodate the increase in potentially homeless households due to welfare reform. Housing associations now attending meetings, which take place quarterly.		Complete

Title	Comment	RAG	Overall Status			
16. Secure the provision of more suitable emergency accommodation for people who find themselves homeless.	Action completed. Ty'r Fesen, the short-term family scheme in Caerphilly town centre, opened in April 2013, providing 13 units of accommodation. Ty Croeso has been refurbished to provide a 10 bed emergency homeless supported accommodation for single people aged over 25 years. Ty Croeso handover to the appointed support provider (The Wallich) planned for May/June 2014.		Complete			
17. Contributing towards the alleviation of homelessness in the borough through the provision of new homes developed in partnership with our housing association partners, including supported / temporary accommodation.	Action completed. There are currently three homeless projects in the pipeline, which will, once completed, provide 36 units of supported accommodation for young people (built to meet temporary accommodation standards). Planning has been approved for the Maes y Derwen scheme, which will provide 18 units of supported accommodation. United Welsh Housing Association is currently working with the contractor appointed to deliver the project. The project will take between 12 and 18 months to complete. The nomination agreement between the council and the housing association requires 50% of new developments to be allocated to homeless applicants.			Complete		
18. Work regionally with local authorities in Gwent on "Houses into Homes" scheme to increase the number of long-term empty private sector properties returned to beneficial use. This will enable homeowners to renovate empty run-down residential properties and return them to beneficial use.	Action completed. We are continuing to make use of the Houses Into Homes loans as a viable option for bringing empty properties back into use. We have currently paid out on 5 separate loans valuing in total £291,893.52 and which will provide 13 units of accommodation. Further loan funding totalling £34,549.02 has been drawn down from the central pot in anticipation of the completion of 2 further loans, which will provide 2 further units of accommodation.				Complete	
19. Improving the quality and availability of housing by returning more long-term (6 months and over) empty properties back into beneficial use.	Action completed for 2013/14. This action is an annually recurring action. Work will continue to bring back long term empty properties into use. This will be carried out via the use of loans, on-going grants, advice and guidance for owners and, if need be, the use of legislative powers to enforce sales or compulsory purchase properties. We will continue to work in partnership with United Welsh Housing Association to offer support, advice and other help to owners of empty properties. In conjunction with Empty Homes Wales, we took part in a scheme "#loveyoureptyhome" which provided advice to owners of empty homes, highlighted problems that occur due to properties being left empty and promoted the services we may be able to provide to assist in bringing the properties back into use.					Complete
20. Improve the provision of good quality, affordable housing by working in collaboration with our housing association partners.	Action completed. In 2013/14, our housing association partners will draw down funding from Welsh Government to commence work on the building of 140 units of affordable housing. Construction of these units is currently at different stages of development and we expect some of these units will not be delivered until 2014/15.					

The following tables show what has changed as a result of our actions during 2013/14:

How much have we done?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
The number of council tenants affected by welfare reforms who were visited in their own homes and provided with advice and support to minimise the impact of the changes	The total amount of tenants visited and engaged with during April 2013 to March 2014 amounted to 1666. Face-to-face support has been provided to tenants: <ul style="list-style-type: none"> • Assistance in completing Discretionary Housing Payment Applications; • Referrals to CAB for money and debt advice appointments; and • Referrals for fast-track employment support to Job Centre Plus 	1666.00	1500.00	↑	N/A
The number of council tenants referred for money and debt advice as a direct result of face to face support on the impact of welfare reforms	A partnership model for provision of money and debt advice is being piloted with the Caerphilly County CAB and key data on the pilot is being collected. The demand for the CAB debt clinics continue to increase. A full review and outcome report has been undertaken of the debt clinic provision.	335.00	120.00	↓	N/A

How well did we do it?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
The average number of calendar days taken to deliver a Disabled Facilities Grant	Qtr 4 figure - a number of complex DFGs were completed in Q4 which take longer to undertake. Also, several adaptations that had been delayed by clients were also completed, which also increased the average time taken. This years cumulative figure for year is 292.22 Last years cumulative figure for the year was 299, so although we did not reach our target for this year, we have achieved a 2.27% increase in our performance compared to 2012/13.	302.80	284.00	+	296
The average number of calendar days taken to deliver low cost adaptation works in private dwellings where the Disabled Facilities Grant process is not used	Qtr 4 figure. Cumulative figure for year is 39.37 days.	38.17	40.00	↑	39

Is anyone better off?

Title	Comment	Actual	Target	RAG	Result 12 Months Ago
The percentage of all potentially homeless households for whom homelessness was prevented for at least 6 months	Qtr 4 figure. Cumulative figure for year is 90.73%, which exceeds the target of 85%. The drop in performance in Q4, can be explained by the fact that there were more cases in Q4 where homelessness was not preventable and those clients were in priority need and requiring immediate emergency accommodation. This is reflected in our B&B figures which are in the low 40s now - the highest they've ever been. In addition, the welfare reform cuts for housing benefit to under 35s has started having effect and affordability of accommodation in the private rented sector.	84.78	85.00		82.22
Percentage private sector dwellings returned to occupation that had been unoccupied for more than 6 months due to direct action from CCBC	Quarterly cumulative - target apportioned over each quarter.	3.83	3.60		3.10
The value of financial savings generated for tenants as a direct result of face to face support on the affect of welfare reforms	The total value of savings generated for tenants as a direct result of face to face visits for the year, amounts to £458,709.27. This does not include savings generated for tenants as a direct result of signposting only savings that can be quantified.	458709.2	150000.0		N/A



COUNCIL - 7TH OCTOBER 2014

**SUBJECT: CAERPHILLY COUNTY BOROUGH LOCAL DEVELOPMENT PLAN
(FIRST REVIEW) UP TO 2031 - POPULATION AND HOUSEHOLD
GROWTH OPTIONS**

**REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151
OFFICER**

- 1.1 The attached report was presented to Cabinet on 1st October 2014.
- 1.2 The recommendations of Cabinet will be reported at the meeting.

Author: H. Morgan, Senior Committee Services Officer

Appendices:

Appendix 1 Report to Cabinet – 1st October 2014 (agenda item no XXX refers).

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CABINET – 1ST OCTOBER 2014

SUBJECT: CAERPHILLY COUNTY BOROUGH LOCAL DEVELOPMENT PLAN (FIRST REVIEW) UP TO 2031: POPULATION AND HOUSEHOLD GROWTH OPTIONS

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

- 1.1 The attached report, which sought to obtain the views of elected members on the proposed level of population and household growth to be included in the Preferred Strategy, to underpin the first review of the Caerphilly County Borough Local Development Plan up to 2031, was considered by the Regeneration and Environment Scrutiny Committee on 16th September 2014. It seeks the views of Cabinet before it is referred to Council for determination.
- 1.2 The report detailed key assumptions that determine the future level of population and housing growth to be accommodated in the county borough, in particular the level of births, deaths and net migration. Members were informed of the stakeholder engagement undertaken to date for the review of the LDP and how this work has influenced the population and household growth scenarios presented for consideration in this report.
- 1.3 The Committee's views were sought on the use of population and household growth scenario M as a basis for the preparation of the Preferred Strategy, which will be considered by Council in early 2015.
- 1.4 Members raised a number of queries in regards to the report, in particular section 4.33 which detailed the land use implications of Scenario M, which recommended an annual house-building rate of 600 dwellings per annum, equating to 12,000 new dwellings over the plan period. Officers confirmed that all existing land allocations would be revisited to ensure they were still appropriate to the Caerphilly County Borough Local Development Plan.
- 1.5 Following detailed discussion on the content of the report, the Regeneration and Environment Scrutiny Committee unanimously recommended to Cabinet that for the reasons contained therein:-
 - (i) Population and Household Growth Scenarios A, B, E, H and M be subject to further consideration by stakeholders as part of the pre-deposit public consultation stage of the review process;
 - (ii) Population and Household Growth Scenario M be used as the Preferred Growth Option and as a basis to underpin the Preferred Strategy for the Caerphilly County Borough Local Development Plan (First Review) up to 2031.
- 1.6 Members are asked to consider the recommendations.

Author: R. Barrett, Committee Services Officer, Ext. 4245

Appendices:

Appendix 1 Report to Regeneration and Environment Scrutiny Committee on 16th September 2014 – Agenda Item 15



REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE – 16TH SEPTEMBER 2014

**SUBJECT: CAERPHILLY COUNTY BOROUGH LOCAL DEVELOPMENT PLAN
(FIRST REVIEW) UP TO 2031: POPULATION AND HOUSEHOLD
GROWTH OPTIONS**

REPORT BY: ACTING DEPUTY CHIEF EXECUTIVE

1. PURPOSE OF REPORT

- 1.1 To provide elected members with an understanding of the key assumptions that determine the future level of population and housing growth to be accommodated in the county borough through the first review of the Caerphilly County Borough Local Development Plan up to 2031.
- 1.2 To obtain the views of elected members on the level of population and household growth that should be included in the Preferred Strategy in order to inform the amount of housing land that will need to be released up to 2031 through the review process.
- 1.3 To inform elected members of the stakeholder engagement undertaken to date for the review of the LDP and outline how this work has influenced the population and household growth scenarios presented for consideration in this report.
- 1.4 To seek the Scrutiny Committee's views of the use of population and household growth scenario M as a basis for the preparation of the Preferred Strategy which will be considered by Council in early 2015.
- 1.5 To make recommendations to Cabinet and thereafter Council in respect of 1.1 to 1.4 above.

2. SUMMARY

- 2.1 The Council has a statutory duty to prepare and review a Local Development Plan for its area to provide the policy framework for the development and use of land within the County Borough. On 23 November 2010, the Council formally adopted the Caerphilly County Borough Local Development Plan up to 2031(LDP) and has since been monitoring the progress of the plan through its Annual Monitoring Report (AMR).
- 2.2 Following the recommendations of the 2013 AMR, the Council resolved on 8 October 2013, to roll forward the LDP to cover the plan period up to 2031 and to commence work on the review of the plan.
- 2.3 Participation and public consultation is essential for effective community and stakeholder engagement in this process. Early discussion on the updated evidence base, alternative strategic options, preferred strategy and related proposals is critical for building consensus in respect of how the plan should be reviewed to meet the county boroughs future development needs.

- 2.4 Fundamental to the review of the LDP for the County Borough is the amount of new development that needs to be planned for up to 2031.
- 2.5 National planning policy states that the starting point for considering how much housing should be accommodated within Local Development Plans should be the Welsh Government household projections. However local authorities are able to deviate from these projections if they have the evidence to support this.
- 2.6 Concerns are raised however regarding the appropriateness of the assumptions used in the WG projections in respect of migration. There nine different scenarios were initially tested to examine the potential impact of different migration assumptions on household growth, however further to early stakeholder involvement a further 4 scenarios have also been tested. On balance it is considered that Population and Household Growth Scenarios E, H and M are the more desirable, realistic and robust options to inform the level of Population and Household Growth up to 2031 and should be used to inform the Preferred Strategy to be considered by the Council in October 2014 and thereafter to be subject of public consultation in the new year.
- 2.7 If members accept the recommendation contained in this report, the revised LDP will need to make provision for the development of 450 to 600 dwellings per annum.

3. LINKS TO STRATEGY

- 3.1 The Single Integrated Plan **Caerphilly Delivers** has been prepared by the LSB and represents a determined commitment by all partners to accelerate change, strengthen partnership working, multi-agency collaboration, and accountability for delivery.
- 3.2 **Caerphilly Delivers** has been developed based on 4 key principles of:
- **Sustainable development** where we promote social justice and equality of opportunity and enhance the natural and cultural environment and respect its limits
 - **Equalities and Welsh language** where we all promote and mainstream equalities and the Welsh language in accordance with our legislative requirements and strategic equality objectives.
 - **Early intervention and prevention goals** with the aim of either preventing matters from getting worse or occurring in the first place, by identifying those in greatest need from their vulnerability, their risk of becoming vulnerable or from otherwise becoming disadvantaged.
 - **Community cohesion** where people from different backgrounds enjoy similar life opportunities, understand their rights and responsibilities and trust one another and are trusting of local institutions to act fairly.
- 3.2 The Local Development Plan is the statutory framework for the development and use of land within the County Borough. It provides the policy framework for the development and conservation needs of the County Borough and is used by the Council to guide and control development. In order to realise the long term Strategic Vision for the county borough the LDP (1st Review) will facilitate the delivery of the land use elements of the five key outputs of Caerphilly Delivers, as follows:
- **Prosperous Caerphilly** - The LDP (1st Review) will seek to increase the economic prosperity of the people and communities of the county borough through the provision of land for employment opportunities, supported by appropriate housing and ancillary facilities and services (including community and health facilities, recreation, leisure etc). Further it will seek to facilitate the provision of a modern, integrated and sustainable transport system that increases opportunity, promotes prosperity and protects the environment; where public transport, walking and cycling provide real travel alternatives.
 - **Safer Caerphilly** - The LDP (1st Review) will seek to make Caerphilly County Borough a clean, green, safe and pleasant place to live and work with decent public services. It should enhance the vibrancy and diversity of local communities, in order to ensure good

health and social cohesion. It will facilitate the creation of new developments, which help to enhance social cohesion so that people feel safe and secure and it should deliver high quality design that deters opportunities for crime and anti social behaviour.

- **Learning Caerphilly** - The LDP (1st Review) will recognise the importance of modern education facilities and the role that they play in up skilling the population. It will therefore need to protect existing facilities and make adequate provision for sufficient land to be released to enable the improvement of education facilities throughout the county borough.
- **Healthier Caerphilly** - The LDP (1st Review) will contribute to improving public health, by promoting land use developments that contribute to healthy lifestyles and well-being. The plan will therefore make provision for a transportation network that increases the opportunities for walking and cycling and provide a policy framework for the protection and enhancement of recreation and leisure facilities to ensure that they are accessible for all.
- **Greener Caerphilly** - The LDP (1st Review) will protect the environment as a whole whilst balancing the need for new development with the need to conserve valuable resources. Further it will underpin all development with the principle of good design, that meets a diversity of needs; which uses resources efficiently; and which makes adequate provision for recycling and waste management and ensure that new development minimises emissions of greenhouse gases as far as is practically possible in order to mitigate the effects of climate change. Finally it will seek to ensure that resources are used efficiently making the best use of our valuable assets.

4. THE REPORT

- 4.1 The Council has a statutory duty to prepare and review a Local Development Plan for its area to provide the policy framework for the development and use of land within the County Borough. On 23 November 2010, the Council formally adopted the Caerphilly County Borough Local Development Plan up to 2021(LDP) and has since been monitoring the progress of the plan through its Annual Monitoring Report (AMR).
- 4.2 Following the recommendations of the 2013 AMR, the Council resolved on 8 October 2013, to roll forward the LDP to cover the plan period up to 2031 and to commence work on the review of the plan.
- 4.3 An important feature of the development plan review process is the emphasis on identifying and testing realistic strategy options to deliver the Vision and Objectives of the plan over the plan period.
- 4.4 As the Council already has an adopted plan, there is a need to assess whether the existing Development Strategy for the county borough remains appropriate within the context of the revised plan period up to 2031, and also remains robust within the changing regional context.
- 4.5 Participation and public consultation is essential for effective community and stakeholder engagement in this process. Early discussion on the updated evidence base, alternative strategic options, preferred strategy and related proposals is critical for building consensus in respect of how the plan should be reviewed to meet the county boroughs future development needs.
- 4.6 The Delivery Agreement, Agreed February 2014 (DA) outlines how the Council intends to engage with stakeholders throughout the review of the plan. In line with the DA, a series of targeted stakeholder events took place throughout the spring of 2014, as follows:

29 April 2014
9 May 2014
9 June 2014
23 June 2014

LDP Focus Group
Event with Members of Standing Conference
Stakeholder Event - Developer Workshop
General Consultation Bodies - Workshop

4.7 The purpose of this work was to:

1. Test the existing Adopted LDP development strategy against alternative scenarios to determine if it remains appropriate moving forward;
2. Obtain targeted stakeholder views in respect of the alternative scenarios for population and household growth;
3. Obtain targeted stakeholder views in respect of the development of alternative strategic options; and
4. Inform the Preferred Strategy that will be subject of a further report to Council in January 2015.

The summary of the stakeholder feedback obtained to date through these mechanisms is outlined in Appendix 1 to 3. The Draft Notes of the LDP Focus Group are attached at Appendix 4.

4.8 The comments and observations made, has helped to inform this report in terms of presenting options in respect of the scale of future population and household growth to be accommodated in the county borough up to 2031, for consideration by elected members. Further, this work has provided an indication of the stakeholders' initial views regarding the appropriateness, or otherwise, of alternative spatial options to deliver this growth.

4.9 This report provides an overview of the Population and Household Growth Scenarios that have been considered through this early engagement process. Five preferred growth options are presented for the consideration of members, one of which is highlighted as being the most robust to take forward as part of the consultation on the Preferred Strategy, namely Scenario M the Moderate average household size change and SE Wales migration (10 years), which equates to a need for 600 dwellings per annum up to 2031.

POPULATION & HOUSEHOLD GROWTH OPTIONS

4.10 Fundamental to the review of the LDP for the County Borough is the amount of new development that needs to be planned for up to 2031. Of critical importance is the future number of households that the plan will need to make provision for. This clearly influences the number of dwellings that will need to be provided over the plan period and the level of new jobs that will need to be created. Appendix 5 outlines a set of frequently asked questions and answers, concerning the need for new housing in the county borough.

4.11 National planning policy states that the starting point for considering how much housing should be accommodated within Local Development Plans should be the Welsh Government household projections. However local authorities are able to deviate from these projections if they have the evidence to support this.

4.12 The latest Welsh Government Population and Household Projections have a 2011 base date and are based on short-term trends for the five years preceding 2011. Whilst this is an appropriate timeframe to inform the projections, the plan period for the review of the LDP runs up to 2031, and therefore some caution needs to be exercised in determining the likely level of growth anticipated for Caerphilly County Borough over a 20 year period based on 5 year trends.

4.13 Population growth is determined by the number of births and deaths in an area, referred to as natural change, and the number of people moving in to, and out of an area, both from elsewhere in the UK and from overseas, referred to as migration.

4.14 The assumptions used to inform the 2011-based projections for both births and deaths are considered realistic. The number of births is expected to decline over the plan period, and although people are living longer, the number of deaths is expected to increase due to the

post war baby boom. Therefore whilst the assumptions are based on short-term trends, they also accord with long-term trends.

- 4.15 Concerns are raised however regarding the appropriateness of the assumptions used in the WG projections in respect of migration. Since the late 1990s migration in the County Borough has been positive and the population decline that had been experienced in earlier decades has been halted. The last 5-years migration rates have however been affected by the recession, and Caerphilly County Borough has experienced a short-term trend of out-migration that is not reflective of longer-term trends. It is therefore considered appropriate to examine alternative assumptions in respect of longer term trends for migration, in order to examine what impact this could have on the future number of people and households in the County Borough.
- 4.16 Nine different scenarios were initially tested to examine the potential impact of different migration assumptions as follows:
- Scenario A : WG 2011 based Principal Projection
 - Scenario B - Ten-Year Average Migration Projection
 - Scenario C - Zero Net Migration Projection
 - Scenario D - Average Migration for SE Wales - 5 year average
 - Scenario E - Average Migration for SE Wales - 10 year average
 - Scenario F - Moderate Migration - 5 year average
 - Scenario G - Moderate Migration - 10 year average
 - Scenario H - Dwelling led - 10 year average completions
 - Scenario I - Dwelling led, continuation of adopted LDP housing requirement
- 4.17 However as a consequence of stakeholder input to the process a further four scenarios have subsequently been tested in response to important issues raised, specifically: 1) the impact of the reducing average household size up to 2031, 2) the need to test a jobs led scenario where people migrate into the area for jobs and the population increases as a result; and 3) the change in household membership rates which would increase the number of single person households in the county borough. Consequently the following scenarios have also been tested:
- Scenario J - Jobs-led
 - Scenario K - Household membership type change and SE Wales migration (10 years)
 - Scenario L - Long term average household size change and SE Wales migration (10 years)
 - Scenario M - Moderate average household size change and SE Wales migration (10 years)
- 4.18 BR3: Population and Housing Growth Options Background Paper (July 2014) discusses each of these options in considerable detail, and concludes that growth options A, B, E, H and M should be subject to further consideration by stakeholders as part of the pre-deposit public consultation stage of the review process.
- 4.19 These five alternative growth options provide clearly different growth scenarios for Caerphilly County Borough up to 2031, and these are summarised below.
- 4.20 By way of context, it is important to note that the 2011 Census indicated that the population of Caerphilly County Borough was 178,800 equating to 74,500 households. To further aid understanding, it is also helpful to note that the Adopted LDP required a minimum of 8,625 dwellings to be developed up to 2021, requiring the development of 575 dwellings a year, but actually made provision for 10,269 new dwellings to allow for flexibility and choice.
- 4.21 Scenario A: WG 2011 based Principal Projection assumes the re-establishment of the long-term trend of loss of population toward the end of the plan period through out-migration and a significant decline in the working age population. This would increase the population of the county borough by 4,500 people by 2031 to 183,300 (79,908 households) and require an

annual house-building rate of 280 dwellings per annum. This would equate to 6,160 new dwellings over the plan period.

- 4.22 Scenario B - Ten-Year Average Migration Projection assumes the main driver for population change is natural change (births and deaths) , although migration makes a small contribution to the overall population growth. This assumes no increase in population from 2028 onward and a decline in the working age population. This would increase the population by 5,850 people by 2031 to 184,650 (80,478 households) and require an annual house-building rate of 310 dwellings per annum. The dwelling requirements associated with this option would be low when compared to historic housebuilding rates. This would equate to 6,820 new dwellings over the plan period.
- 4.23 Scenario E - Average Migration for SE Wales - 10 year average assumes population growth would be due to a combination of natural change and in-migration leading to a sustained increase in population throughout the plan period. This scenario results in a slight decrease in the working age population. This would increase the population by 13,450 people by 2031 to 192,250 (83,093 households) and require an annual house-building rate of 450 dwellings per annum. This would equate to 9,845 new dwellings over the plan period.
- 4.24 Scenario H - Dwelling led - 10 year average completions assumes population growth would be due to a combination of natural change and in-migration leading to a sustained increase in population throughout the plan period. This scenario results in a slight decrease in the working age population. This scenario would increase the population by 14,200 people by 2031 to 193,000 (83,637 households) and require an annual house-building rate of 475 dwellings per annum. This would equate to 10,450 new dwellings over the plan period.
- 4.25 Scenario M – Moderate Average Household Size Change and SE Wales Migration (10 Yr Average). As the 2001-2011 change in average household size declined at a much slower rate than had occurred in the previous decade (1991-2001), it is appropriate to consider the impact on households if a long term AHS rate of decline is used rather than assuming a rate based on the trends of the last 10 years. In this scenario a moderate AHS has been applied to the Scenario E (*Average Migration for SE Wales – 10yr average*) projection. This would result in the AHS reducing from 2.39 in 2011 to 2.21 by 2031. This reduction has a direct impact on the number of houses to be provided. This scenario would increase the population by 13,450 people by 2031 to 192,250 and require an annual house-building rate of 600 dwellings per annum. This would equate to 12,000 new dwellings over the plan period.
- 4.26 On balance it is considered that Scenario M is the most desirable, realistic and robust option to inform the level of Population and Household Growth up to 2031, for the following reasons:
- The assumptions in respect of births and deaths are realistic having regard for both long and short-term trends;
 - The migration rates that informs this options are realistic and achievable having regard for long-term trends;
 - The Average Household Size reducing to 2.21 over the plan period is realistic when long term trends are take into account;
 - The house building rates of 600 dwellings per annum are realistic having regard to the long-term trends in the county borough;
 - The level of house building proposed is achievable over the plan period having regard for economic cycles within the plan period;
 - This option recognise the need to retain and attract younger working age people in the county borough in order to ensure the future economic prosperity of the area; and
 - This level of growth would help retain and sustain services and facilities. In particular, Scenario H will help sustain school provision over the plan period.
- 4.27 Early stakeholder engagement indicated that
- It would not be desirable to plan on the basis of short-term trends that reflect a period of economic recession; and

- It would not be acceptable to plan for a declining, ageing population as this would adversely impact on the ability of the area to sustain services, facilities and economic growth.
- There was a broad consensus that growth (housing and employment) needs to occur in the county Borough.
- Growth needs to be supported by appropriate infrastructure, including improvements to the road network between New Tredegar and Pontlottyn, consideration of a bypass for Maesycwmmmer and South East Caerphilly. Further consideration is required in respect of the railway network and in particular Machen to Newport, Risca to Newport, Nelson to Dowlais Top and the impact of the electrification of the railways to improve connectivity.
- Flexibility, is key to deliverability.
- New housing needs to cater for all sections of society but in particular affordable housing and housing for an ageing population needs to be prioritised.
- There is the need and desire to improve prospects for the young, providing employment and training so that they remain in the County Borough.
- The Heads of the Valleys Regeneration Area requires additional assistance to help boost home building.
- Any significant growth in the Southern Connections Corridor will result in the release of greenfield sites. The development of such sites needs to be undertaken sensitively to mitigate any landscape and ecological impacts.
- Improvements to the centre of Caerphilly through the creation of the South East By-pass are required to help alleviate the air quality issues in the centre of town.
- Development should be targeted at both the Southern Connections Corridor and Northern Connections Corridor.
- Transport links in all three strategy areas are in need of improvement if the Heads of the Valleys Area is to attract employment and housing growth.

4.28 The potential land use implications of meeting Scenario **M** now needs to be considered.

4.29 BR3: Population and Housing Growth Options Background Paper (April 2014) provides the methodology for determining the existing housing land supply at 2011 i.e. the base date for the plan. In summary, an allowance is made for sites with planning permission that had not been started, housing completions, units under construction, demolitions, windfalls and contributions from small sites and empty homes brought back into beneficial use.

4.30 Taking this existing land supply into account, there is already provision for approximately 5079 new dwellings as at 2011.

4.31 The additional land that would need to be identified to meet scenario M is thus calculated by subtracting the total housing land supply figure i.e. 5079 from the dwelling requirement (which includes 10% over-allocation to allow for flexibility and choice) to give a dwelling requirement figure for each scenario.

4.32 This dwelling requirement is then translated into land, based on an average density for housing development of 35 dwellings per hectare.

4.33 The land use implications of Scenarios M is therefore as follows:

- Scenario M would require the release of approximately 231 ha of additional land for housing development up to 2031 to accommodate an additional 8100 dwellings. This would make provision for a total of 12,000 dwellings over the plan period.

4.34 In order to help visualise how much land this is on the ground, it is useful to note that the Cwm Calon development in Ystrad Mynach is approximately 27 ha, Ty Du in Nelson is approximately 19 ha, Oakdale Plateau 1 is approximately 30 ha, whilst Bedwas Colliery is approximately 36 ha.

5. EQUALITIES IMPLICATIONS

- 5.1 Stakeholder engagement has been undertaken in line with the Agreed DA, which has full regard for the Citizens Engagement Strategy and the Equalities Strategy of the Council.

6. FINANCIAL IMPLICATIONS

- 6.1 There are no new financial implications.

7. PERSONNEL IMPLICATIONS

- 7.1 None

8. CONSULTATIONS

- 8.1 All comments received have been incorporated in the report.

9. RECOMMENDATIONS

- 9.1 Members are asked to provide their comments on the proposal that Population and Household Growth Scenarios A, B, E, H and M should be subject to further consideration by stakeholders as part of the pre-deposit public consultation stage of the review process.
- 9.2 Members are further asked to provide their comments on the proposal that Population and Household Growth Scenario M be used as the Preferred Growth Option and as a basis to underpin the Preferred Strategy for the Caerphilly County Borough Local Development Plan (First Review) up to 2031 prior to this being presented to Cabinet and Council for approval.

10. REASONS FOR THE RECOMMENDATIONS

- 10.1 Scenarios A, B, E, H and M are the most realistic and robust options to test as part of the stakeholder engagement as part of the pre-deposit public consultation stage of the review process.
- 10.2 Scenario M is the most desirable, realistic and robust option to be used as the Preferred Growth Option to underpin the Preferred Strategy for the Caerphilly County Borough Local Development Plan (First Review) up to 2031.

11. STATUTORY POWER

- 11.1 Part 6 Planning and Compulsory Purchase Act 2004.
- 11.2 Town and Country Planning (Local Development Plan)(Wales) Regulations 2005.

Author: Rhian Kyte, Team Leader, Strategic and Development Plans
Consultees: P. Elliott, Head of Regeneration & Planning
G. Williams, Interim Head of Legal Services/ Monitoring Officer
S. Aspinall, Acting Deputy Chief Executive
Cllr K. James, Cabinet Member for Regeneration, Planning and Sustainable Development

Appendices:

- Appendix 1 Summary of Stakeholder Feedback from LDP Focus Group and Standing Conference Event
- Appendix 2 Summary of Developer Panel Feedback (LDP Developer Panel – Engagement Event)
- Appendix 3 Summary of Stakeholder Panel – General Consultation Bodies Workshop Feedback (Caerphilly County Borough Local Development Plan (First Review) up to 2031 Stakeholder Event 23 June 2014 - Llancaiach Fawr)
- Appendix 4 Notes of LDP Focus Group Meeting (29.04.2014)
- Appendix 5 Frequently Asked Questions

Background Papers:

BR3: Population and Housing Growth Options Background Paper July 2014

[made available in the resource library]

Reports to Council 23rd November 2010 and 8th October 2013

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Summary of Stakeholder Feedback from LDP Focus Group and Standing Conference Event

Population and Household Growth

A summary of the views of each of the events is outlined below. However, there were common themes that were raised in each of the discussions. These included the need for growth to occur, the need to ensure that the appropriate infrastructure and industry are provided to support that growth. Additionally, planning for growth was supported, as long as this was undertaken in a sustainable fashion. Overall, Scenario E (with infrastructure improvements) or H was deemed the most suitable to inform public consultation on the Preferred Strategy.

Summary of comments:

- § Modest growth is needed in order to retain the balance between the economically active & ageing population.
- § There is a need to retain a balance between the economically active & ageing population.
- § Need to try to increase the younger profile of population.
- § Need to maintain population that is currently living in the county borough.
- § The modest growth scenario was felt to best achieve the corporate objectives of the Council in terms of the delivery of services and facilities and in order to sustain the area (Schools / Town Centres / Transport/ Social Services etc).
- § Growth is good and planning for decline is unacceptable.
- § Need to make the county borough an attractive place to live – especially noting the proximity to Cardiff.
- § Housing growth can only be sustained through transport improvements.
- § Transport is key, as is electrification of railways to improve connectivity to jobs and services. East/West link improvements are essential;
- § Need to build housing that people can afford.
- § Flat based apartments required for young that are affordable – however the price between house and flats are similar.
- § Need to provide a wide range of housing that would be flexible and grow/contract as households change.
- § Need to attract entrepreneurs to locate and invest here.
- § County borough cannot be viewed as one – southern part of the borough needs to be dealt with differently to the north
- § Poor opportunity for residents – need to reverse
- § Need to rationalise land and re-align employment allocations within the borough based on need.
- § Housing needs to be aligned geographically in terms of housing and employment and business opportunities.

- § Growth scenarios should be aspirational as well as reflect the different strategies.
- § Need to plan for success i.e. plan for economic growth.
- § Recognition that economic growth is dependent on issues and market forces outside of the county borough.
- § Two higher options (H and E) were the only ones that sought to retain (or gain) an element of the younger population.
- § Middle option provides for a degree of constraint, and therefore environmental mitigation.

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**LDP Developer Panel – Engagement Event
9th June 2014**

Attendees:

Mark Harris	- Home Builders Federation
Darren Parker	- RPS
Keith Warren	- Asbri Planning
Daniel Hodgekiss	- Persimmon Homes
Gareth Williams	- NLP
Christine Sullivan	- SLP
Zoe Abberly	- Barton Wilmore
Richard Price	- Barratt Homes

Facilitators:

Rhian Kyte, Victoria Morgan, Adeline Santos.

1) Welcome and Introductions

RK welcomed partners to the event and provided a short presentation to set the scene for the review of the LDP and where CCbC are in the review process.

2) Growth Options

VM gave a presentation to the group of the work undertaken to date in respect of the proposed Population and Household Growth Projections (attached).

Key observations from the Stakeholder group:

- § Fundamental to assess the household composition and size and its impact on future average household size – scenarios should consider longer term trends on average household size and also other possible changes in household membership.
- § There needs to be a labour forecast - projected employment and jobs growth and its impact on population levels.
 - All existing scenarios appear to be planning for an decline in economic activity.
- § WG highlight the need to increase house building across Wales, and the need for LPAs to ensure that they have a 5-year land supply.
- § The demand side of Household growth needs to be looked at independently from supply.
- § Flexibility required for deliverability.
- § Agreed that the WG projections in respect of fertility and mortality are acceptable.
- § Policies need to plan for growth – not managed decline.

- This needs to be set out clearly in Background Paper.
- § Caerphilly Basin is very attractive
 - Growth needs to be spread - infrastructure improvements will assist.
- § Need to factor in the Metro line , electrification and city regions in terms of potential impact on Migration patterns.
- § On face value, moderate growth is not favourable, however the group welcome the opportunity to comment on the draft background paper in due course.
- § Mismatch between population growth in the past and future projections (based on strategy of brownfield development).
- § Growth scenario 10,11,12 is required
- § Demand is not just about where developers want to build it's also about building where people want to live
- § Agreement on the methodology to be used to underpin the projections is critical. Whilst the group may not agree with the assumptions factored into the projections if the methodology is agreed then that will save considerable time in the future.

Way forward:

- § Compile a growth model based on an economic strategy that encourages growth.
- § Factor in reducing AHS to revert to past long-term trends and changes in household type.

There was a discussion concerning the need to address the issue of the 5,000 un-attributable people that appeared in CCBC between the 2001 and 2011 Census This has been an issue elsewhere and officers attention was drawn to South Worcestershire Examination Report, where a similar problem occurred.

The Group were thanked for their input and it was agreed that the Council would:

- 1) Test some alternative scenarios to reflect the comments made and assess what impact they would have on the projections;
- 2) Circulate the draft background paper to the group for comment;
- 3) Continue to work with the group with a view to obtaining agreement on the methodology to be used to underpin the projections.

**Caerphilly County Borough Local Development Plan (First Review) up to 2031
Stakeholder Event 23 June 2014
Llancaiach Fawr**

Meeting Notes

Attendees:

Candice Coombs	Welsh Government
Rebekah Stephens	Welsh Government
Cllr. J Criddle	Blackwood Town Council
Ryan Greaney	Brecon Beacons National Park Authority
Cllr. J Hughes	Rhymney Community Council
Caren Richards	Cardiff City Council
Matthew Sharp	Newport City Council
Rebekah Stephens	Welsh Government
Stephen Thomas	Torfaen County Borough Council
Matthew Todd-Jones	Dwr Cymru/Welsh Water
Justin Waite	Merthyr Tydfil County Borough Council
Vic Warren	Council for the Protection of Rural Wales
Clive Williams	Aneurin Bevan Health Board
Cllr. D Williams	Rhymney Community Council
Jill Edge	Monmouthshire County Council

Facilitators from Strategic & Development Plans Team, Caerphilly**Welcome and Introductions**

Cllr James welcomed partners to the event and introduced the planning team (Rhian Kyte, Victoria Morgan, Kelly Collins, Ian Mullis and Timothy Norton).

Presentation: LDP First Review

The purpose of these sessions will be to obtain stakeholder input into the development of the alternative strategic options that will in turn inform the Preferred Strategy that will be subject of statutory public consultation in October 2014/November 2014.

The stakeholder feedback obtained through these mechanisms will serve to inform the Council of the appropriateness, or otherwise, of alternative spatial options and will help to determine the scale of future population and household growth that would result in the most sustainable future for Caerphilly County Borough up to 2031.

The Strategy that will be subject of consultation will be reported to Council in October 2014 (7.10.14).

The Call for candidate sites has taken place and submitted sites are in the process of being assessed. Approximately 170 sites have been received through this process.

Future Population and Household Growth up to 2031 – Facilitated Discussion

The groups discussed in depth how they would like to see Caerphilly County Borough grow and develop, and whether they would like to see the population decrease or to plan for growth.

The main outcomes from this facilitated discussions showed that all agreed that population increase can be positive, and that through growth there is the opportunity to create new housing that meets the needs for all. However, this should be balanced against providing opportunities for the young, and increasing their prospects so that they stay in the county borough. An increase in appropriate industry as well as infrastructure is key, as is balancing environmental factors against growth.

Overall, with regard to social, economic and environmental considerations, there needs to be a consistent approach between the LDP and other, complementary, strategies, particularly the Capital Region. In light of this, although growth in Caerphilly County Borough needs to be stimulated, the role of other LAs, particularly Cardiff, needs to be recognised. Therefore, ambition must be tempered by realism. Care must be taken to ensure that Caerphilly does not become regarded as an overspill for Cardiff.

Presentation on Facts and Figures: Future Population and Household Growth

A detailed presentation was given in respect of the assumptions that underpin population and household projections, in particular trends related to births, deaths and migration were outlined to aid the discussion.

Building on work undertaken with other stakeholders, 5 population & household growth scenarios were outlined as follows:

- Scenario 1 -Welsh Government Principal Projections
- Scenario 2 –Ten-Year Average Migration Projection
- Scenario 3 – Average Migration for SE Wales
- Scenario 4 – SE Wales migration - long term AHS decrease
- Scenario 5 – SE Wales migration - moderate AHS decrease

Facilitated discussion on Preferred Growth Scenarios

The issues raised by each group are outlined below:

Group 1

Future Population and Household Growth up to 2031

The point was made that the level of population and household growth to be planned for should be dependent on the level of economic growth that can be achieved. In other words, employment, rather than housing, should be the determining factor. What type of employment does the Council want to attract?

There is a need to look at additional scenarios when forecasting population growth, including jobs-led. The Council is undertaking a jobs-led scenario.

A key factor in planning for growth is what it will cost. Growth is beneficial if it aids in sustaining, rather than pressurising, facilities, particularly with regard to an ageing population. Housing affordability remains an issue – housing diversification is fine if affordability is addressed.

The question was asked whether growth in Caerphilly should be seen to satisfy its own ends or whether the strategy should be based on its role within the wider region. The view was given that Caerphilly needs to try and take advantage of Cardiff-based prosperity.

The Heads of the Valleys continues to experience economic decline. This is a key issue within the context of the County Borough that needs to be addressed. Improvements to the transport structure in the HOVRA may help. There could also be opportunities to maximise the HOVRA's potential as a tourist destination.

Viability and deliverability are key issues for an LDP. There can be a conflict between deliverability and aspiration – a balance needs to be realised.

Preferred Growth Scenario

The LDP should plan for issues and places, not numbers, although it is assumed that it shouldn't plan for decline. It is hard to look at the numbers without knowing what they mean.

Scenario 1 is not realistic or sensible.

Additional scenarios are necessary – a jobs-led one, and one factoring in the influence of Cardiff.

Why is the existing strategy not working? How does an ageing population fit in with the dwelling requirement? The Council could look at affordable housing requirements in each strategy area.

Scenarios 2 and 3 – is it realistic to assume that the economy will still be in recession over half of the plan period?

More analysis is needed on migration figures. The LHMA should be referred to in terms of determining those areas in greatest need.

Scenario 5 was generally felt by the group to be the most reasonable, within the context of the numbers presented.

Preferred Spatial Option

The group's thoughts regarding each option are as follows:

Option 1

Why repeat a strategy that hasn't worked up until now? The supply of brownfield sites has been largely exhausted, although there may be capacity for 300/400 units in Risca following the completion of the flood alleviation works.

Option 2

Focusing development on sites in the HOVRA would be undeliverable without significant public subsidy. Transport infrastructural improvements may help make the area more attractive to developers, but this in itself would rely on public money.

Option 3

Targeting development to the NCC and the creation of a Maesycwmmmer Bypass may help push development further north.

Option 4

Large-scale release of greenfield land in the SCC, and the development of a South Eastern Bypass, would be the most viable option from the perspective of developers but carries with it environmental concerns and would have no benefit to the HOVRA.

Option 5

Targeting development to the NCC and SCC could bring about development of a Maesycwmmmer Bypass and phase one of a South Eastern Bypass. Development in NCC could have benefits to the HOVRA.

The preferred order of options was:

- First – option 5;
- Second – option 3;
- Third – option 4;
- Fourth – option 1;

Group 2

Future population and household growth up to 2031

What time of place do we want to create?

- Economic growth & employment creation is key – economic growth strategy
- We need to provide somewhere to live – need to consider ageing population & relevant support
- Need to provide affordable housing – either adapt current stock or provide new builds. Caerphilly has a current Council Housing Stock that will be subject to an Investment Programme e.g. in HOVRA. However the need is in the south of the Borough.
- Ideally, more builds > price of new homes decreases.
- Want housing development in HOVRA to be diverse – however, viability and attracting developers is an issue. There is a line where developers won't go north.
- Incentives for house builders in the North (e.g. smaller % affordable housing threshold).

- However, we are trying hard to encourage developers to the North (i.e. Zero CIL Charge) – is this enough? We need WAG incentives and employment creation to attract workers/developers.
- Need to link HOVRA with a core road/links to the M4 - At the moment, accessibility is poor and public transport costs are high (for commuters).
- Regeneration of HOVRA will create opportunities for development.
- Need accessibility without harming the environment – environmental constraints have restricted land availability.
- Need office development & a job industry – these need to be close to the M4 (hence why HOVRA unattractive).
- Need to consider South Wales Metro and link it with the Valleys as well as Cardiff, Newport & Swansea – this will help attract a new worker population.
- Farming & food production needs to be considered.

Do we want to plan based on short or long-term trends and why?

- We need to base population growth projections on 2011 population (census) and 2008 migration figures.

What do short and long term trends in terms of household formation and size, past house-building rates, migration, housing need, and economic growth suggest?

- Inward migration is good as it adds to the economy
- CCBC has a lot of in-migration from the region but not a lot of immigration from outside Wales.

What are the implications for planning for an ageing, declining population? What impact will that have on the economy, social services, facilities (schools, libraries, leisure centres), town centres, public transport, etc.?

- Support needs such as residential/medical care
- Have specific housing requirements – we want to maintain people in their own environment (in terms of care).
- However, under-occupation of family homes is counter-productive
- We need to give residents options to move if they wish (e.g. 1-bed flats or sheltered accommodation) – this can add to the housing mix in the borough.
- However, CCBC doesn't have enough flats available apart from Government or Council owned.
- We have an ageing population with lower income and higher vacancy rates, which leaves a 'worklessness' population that is stuck in poverty.

What are the implications of planning for growth?

- Growth is necessary but it can't be continuous – it has to stop eventually.
- We need to keep our Greenfield land and encourage re-development of available brownfield.

Are we planning to attract economically active people into the area? If so what do we need to do to achieve this - where will they live/work? What facilities and services do they need?

- Employment creation – economic growth strategy

- However, it is difficult for youngsters/workers in HOVRA – we need to upskill the population across the Heads of the Valleys (including neighbouring authorities such as RCT).
- We need to sort out employment in the HOVRA to encourage worker spend.

Preferred growth scenario with reasons why – facilitated discussion

General Discussion

- Registered GP population hasn't grown by the projected amount since 1990s – is there another growth option based on this?
- There has been underestimation of population since Poll Tax introduced.
- Need to focus growth within the boundary but also be aware of the need for cross-boundary cooperation
- What age can 'working-age' be defined as nowadays – people are living longer?
- Concern that, even with an average of 450 homes/year, young people will still be unable to afford housing.
- Until we build over-average, we will still be looking at this issue in 10 years time – we should control development and ensure developers build within limited time periods (e.g. by way of planning conditions).
- We need to be building more housing than average, i.e. 530 homes needed to achieve affordable housing need – however, a plan for 20 years can't necessarily achieve this.
- CCBC is concentrating on upgrading the existing affordable housing stock so unable to build many new at present.
- We need growth that delivers affordable housing
- We need growth that delivers employment opportunities
- At what point will we be unable to accommodate new builds because of environmental constraints? – Restricting land in the south (e.g. Risca).
- We can't base economic growth on housing provision only.
- School rationalisation will release some brownfield sites but we are looking at Greenfield release.

Scenario 2

- Not spreading growth to valleys – instead house building will be concentrated in Cardiff.
- However, to achieve a 5-year land supply we need lower figures such as these.
- WAG commented that 5-year land supply requirement isn't necessarily all down to land allocation – there are other factors

Scenario 3

- Focus should be somewhere between 3&4 – we need to build more houses than we think.

Scenario 4

- Discussion with regards to 'average household size' not being a good enough basis for scenario 4
- CPRW thought this was over-provisional (although the previous LDP over-allocated) – this may be unachievable (e.g. 5 year housing supply).
- Over-providing may have a detrimental impact on services – unsustainable.

- It was noted that the statistics used were based on the LMHA survey and the development-industry fed into this.
- However, WAG commented that there is unattributed growth for 5,000 people that hasn't been factored into these population trends – RK to discuss further.
- One of the participants questioned whether scenario 4 was realistic for 2031 as a reversal of trends.
- WAG commented that we wouldn't want household projections are large as they are in 2031.
- Others favoured this option and commented that we need to take the 'mid-point' and take this forward as a 'best guess' option.
- Aneurin Bevan HB commented that we should use an average household size between 2 figures in order to get a range – however, existing figure for AHS was based on the survey results.

Preferred Option

- The majority preferred Option 4 or 5 – these would be key to promoting growth, delivering affordable housing & encouraging inward migration.
- It should be noted that CPRW disagreed/objected to this scenario as it is 'over-provisional' – preferred scenario 1 or 2.

Alternative spatial scenarios for growth

Advantages	Disadvantages	General Comments
Scenario 1		
<ul style="list-style-type: none"> • Most viable – the market is in the SCC • Developer's choice • Could be some ripple effect upwards towards NCC (evidence of this in past e.g. Ystrad Mynach Hospital & College – regeneration). 	<ul style="list-style-type: none"> • Brownfield allocation would prevent ripple effect across valleys region (not good for regeneration of HOVRA). • Lose sites to Cardiff as not enough suitable land for development (e.g. Greenfield land). 	<ul style="list-style-type: none"> • SLA or VILL need to be factored in to development • We will eventually find developers if we dictate where to go (i.e. NCC and HOV) – although this will displease larger developers/be unattractive.
Scenario 2		
<ul style="list-style-type: none"> • HOV regeneration (ripple effect upwards) • Encourage developers/new builds in HOVRA • Good for 	<ul style="list-style-type: none"> • Heavily reliant on public subsidy • Release of sites in HOV won't be able to facilitate infrastructure delivery if viability comes into play 	<ul style="list-style-type: none"> • Public transport is usually from 'Cardiff-upwards' – why not across the borough (NCC)? • Metro & upgrading

<p>environment – protect Greenfield in SCC</p> <ul style="list-style-type: none"> • Following existing discussed rail line • Growth & jobs • Preferred option IF we had the money 	<ul style="list-style-type: none"> • If no road built then strategy would fail – need to undertake feasibility study • Not deliverable – market (private housing) not attracted to HOVRA 	<p>existing lines will need to be factored in</p> <ul style="list-style-type: none"> • Council should dictate where we/the community wants development and take charge – shouldn't be developer led • We need partnership with developers to work out a strategy • The purpose of a plan-led system is to gain control – however this is subject to deliverability/viability issues •
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Scenario 3

<ul style="list-style-type: none"> • Constrain development in South • Pontllanfraith & Oakdale brownfield school sites could be development opportunities (brownfield) • Open up railway line from Nelson-Merthyr – this would make Nelson an attractive place to live • Crumlin station to be built = good accessibility/solve bottleneck issues • Bypass would help alleviate 	<ul style="list-style-type: none"> • Reliant on strategic site in Maesycwmmmer (for the bypass) • Strategic site owned by multiple landowners – difficulties in securing land • Developer would need to finance part of the bypass (release of the Greenfield land will help fund this) – will be an issue if there isn't enough developer money to fund the bypass • Greenfield loss 	
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<p>bottleneck/traffic issues in Maesycwmmmer</p> <ul style="list-style-type: none"> • Good interim for the 2031 period before we consider other sites (e.g. HOVRA) as it will establish development and road infrastructure beforehand • CIL receipt can help fund bypass 		
Scenario 4		
<ul style="list-style-type: none"> • Environmental benefits (remove congestion from the centre) • Massive site by Train Station in Caerphilly – central, remove highly contaminated site, good accessibility • Bring disused Machen railway line back into use • CIL receipts – could generate revenue to be used for northern regeneration in the future • Balance between good sites (Greenfield) & difficult sites (remediation) 	<ul style="list-style-type: none"> • Conflict between 40% affordable threshold and CIL charge in SCC – needs consideration • Doesn't initially benefit HOVRA but could fund development through CIL receipts 	
Scenario 5		
<ul style="list-style-type: none"> • Crumlin & Nelson railway lines opened 	<ul style="list-style-type: none"> • Building houses where people want to live 	<ul style="list-style-type: none"> • Is a dispersal strategy across the NCC more

<ul style="list-style-type: none"> • Equitable growth – win-win for most parties • Smaller releases of land in Caerphilly could encourage developers to move northwards (ripple effect) • Lower affordable housing threshold may encourage developers to go northwards 	<p>drives prices up</p> <ul style="list-style-type: none"> • There is an affordable market in the south but this is lacking in the north 	<p>viable than releasing strategic site/s in the centre of the Borough?</p>
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LDP FOCUS GROUP
Meeting 9.30am, 29th April 2014
Conference Room, Business & Technology Centre, Tredomen Park.

Notes of Meeting

Present

Councillors

Attendees:

Cllr Andrews	Leader
Cllr Carter	Chair of the Planning Committee
Cllr David	Vice-Chair of the Planning Committee
Cllr Havard	Sustainable Development Advisory Panel Representative
Cllr James	Cabinet Member for Regeneration, Planning & Sustainable Development
Cllr Mann	Leader of the Majority Opposition
Cllr R Passmore	Cabinet Member for Education and Lifelong Learning
Cllr D Poole	Cabinet Member for Community and Leisure Services
Cllr K Reynolds	Deputy Leader
Cllr J Taylor	Cabinet Member for A nominated member of the Majority Opposition

Apologies

Cllr G Jones	Cabinet Member for Housing (Deputy Leader)
Cllr D Rees	Nominated member representing the Independents
Cllr T Williams	Cabinet Member Highways, Transportation & Engineering

Officers

Attendees: P Cooke- Team Leader, Sustainable Development & Living Environment

P Elliott - Head of Regeneration & Planning
R Hartshorn- Head of Public Protection
C Jones - Head of Performance and Property

J Rogers - Principal Solicitor for Planning, Land and Highways
T Shaw - Head of Engineering Services
T Stephens - Development Manager, Planning

Apologies S Couzens - Head of Housing Services
L Jones - Acting Head of ICT and Customer Services
M Donovan - Assistant Director Our Schools Our Future
J Williams - Assistant Director Social Services

Facilitators: R Kyte – Team Leader, Strategic Planning
V Morgan – Principal Officer, Strategic Planning
K Collins - Principal Officer, Strategic Planning
A Santos – Senior Officer, Strategic Planning

1. Introduction

2. Apologies

Apologies given and noted above.

3. Notes of Meeting – 19th July 2013

Cllr Mann raised the issue over female representatives on the Focus Group.

Notes approved as an accurate record of the meeting.

4. Terms of Reference of the Group

Revised Terms of Reference formally approved.

5. Update on LDP First Review

An important feature of the development plan process is the emphasis on identifying and testing realistic strategy options to deliver the Vision and Objectives of the plan over the plan period.

As the Council already has an adopted LDP there will be a need to assess whether the existing Development Strategy for the county borough remains appropriate within the context of the revised plan period and also within the changing regional context.

In order to test the existing strategy against alternative scenarios a series of stakeholder meetings and events will be undertaken throughout the spring of 2014 in line with the Agreed Delivery Agreement (February 2014) as follows:

<u>29 April 2014</u>	<u>LDP Focus Group</u>
30 April 2014	PDM
9 May 2014	Event with Members of Standing Conference
12 May 2014	Stakeholder Event (Developer Workshop)
22 July 2014	Report to Council – Feedback on Stakeholder Event and Council Decision on Growth Options

The purpose of these sessions will be to obtain stakeholder input into the development of the alternative strategic options that will in turn inform the Preferred Strategy that will be subject of statutory public consultation in October 2014/November 2014.

The stakeholder feedback obtained through these mechanisms will serve to inform the Council of the appropriateness, or otherwise, of alternative spatial options and will help to determine the scale of future population and household growth that would result in the most sustainable future for Caerphilly County Borough up to 2031.

The Strategy that will be subject of consultation will be reported to Council in October 2014 (7.10.14).

The Call for candidate sites has taken place and submitted sites are in the process of being assessed. Approximately 170 sites have been received through this process.

6. Future Population and Household Growth

A detailed presentation was given in respect of the assumptions that underpin population and household projections, in particular trends related to births, deaths and mortality were outlined to aid the discussion.

In order to consider the impact of different assumptions of future population and household growth, nine separate scenarios have been considered as follows:

Scenario A : WG 2011 based Principal Projection

Scenario B - Ten-Year Average Migration Projection

Scenario C - Zero Net Migration Projection

Scenario D - Average Migration for SE Wales - 5 year average

Scenario E - Average Migration for SE Wales - 10 year average

Scenario F - Moderate Migration - 5 year average

Scenario G - Moderate Migration - 10 year average

Scenario H - Dwelling led - 10 year average completions

Scenario I - Dwelling led, continuation of adopted LDP housing requirement

Officers have considered each of the options in detail, and growth options A, B, E & H were highlighted to the Focus Group as the more realistic and robust options for consultation purposes as part of the pre-deposit public consultation stage. Consideration of these options will serve to inform the Preferred Strategy up to 2031 at the later stage of the review process.

There was a discussion concerning the use of the WG Principal Projection for planning purposes. The group were advised that the Principal Projection is the starting point for consideration and that using local evidence alternative scenarios are also acceptable subject to the availability of robust evidence. This approach has recently been reinforced by a advisory letter from WG.

The Group was split into two to discuss the options. The following Notes outline the discussion in each group:

Session 1: Population

Group 1

§ A broad discussion was had regarding in-migration, house prices, increasing longevity, transportation, improving the perception of

the borough and external factors including increased development along the M4 corridor and in particular the North of Cardiff.

§ It was noted that there is a need to retain a balance between the economically active & ageing population.

§ Discussion was had to the rationalisation of land and the need to re-align employment allocations within the borough based on need.

Group 2

§ Need to try to increase the younger profile of population.

§ Need to maintain population that is currently here, and to add industry.

§ Transport is key, as is electrification of railways.

§ County borough cannot be viewed as one – southern part of the borough needs to be dealt with differently to the north

Session 2: Preferred Growth Scenario

Group 1

§ The group identified the need to achieve modest growth in order to retain the balance between the economically active & ageing population

§ The modest growth scenario was felt to best achieve the corporate objectives of the Council in terms of the delivery of services (Education / Schools / Social Services etc)

§ The Group concluded that growth is good and that planning for decline is unacceptable

Group 2

§ Need to make it an attractive place to live – especially noting our proximity to Cardiff.

§ Attract small industry – get entrepreneurs to locate and invest here.

§ Cardiff is a key link

§ Housing growth can only be sustained through transport improvements.

§ Poor opportunity for residents – need to reverse this.

§ Need to build housing that people can afford.

§ Flat based apartments required for young that are affordable – however the price between house and flats are similar.

§ Need to provide a wide range of housing that would be flexible and grow/contract

§ CCB can't be seen in isolation.

Session 3: Spatial Options discussions

A functional analysis has been undertaken of the county borough as part of the work on the review and it is considered that the existing broad strategy areas remain valid.

Five potential spatial options should be tested for consideration at pre-deposit public consultation stage. Consideration of these options will in turn serve to inform the revised Preferred Strategy up to 2031 at the later stage of the review process.

The various alternative spatial options provide clearly different spatial development scenarios in respect of future new housing and employment development; each of which will have different environmental, social and economic outcomes for Caerphilly County Borough up to 2031.

Many of the component parts of the spatial options will be common to each of the strategies, specifically the future direction for the Principal Towns and Local Centers, the need for the school rationalisation process to be reflected and the need to ensure that the strategic infrastructure to support any new development is fit for purpose.

In particular all options will need to consider the Council's need for improvements to the strategic transportation infrastructure, in particular:

- opportunities to maximise the use of public transport to improve connectivity throughout the county borough;
- opportunities for the reopening of rail lines, specifically: the Caerphilly Machen / Newport rail line; and a passenger service on the Cwmbargoed line to Dowlais;
- provision of new stations, in particular at Crumlin;
- an increased provision of Park & Ride where practicable;

In terms of the Strategic Highway infrastructure there is a need to consider the need or otherwise for:

- a strategic highway corridor for the Upper Rhymney Valley to link New Tredegar and Pontlottyn;
- a Maesycwmmmer Bypass; and for
- a SE Bypass for Caerphilly.

RK outlined are the key components for each of the Spatial Options that serve to highlight the different approach to development across the county borough. The five options considered were:

- **Spatial Option1: Continuation of the Adopted LDP Preferred Strategy**
- **Spatial Option 2: Targeting Growth to the Heads of the Valleys Regeneration Area and the Northern Connections Corridor**
- **Spatial Option 3: Targeting Growth to the Northern Connections Corridor**
- **Spatial Option 4: Targeting Growth to the Southern Connections Corridor**

- Spatial Option 5: Targeting Growth to the Northern and Southern Connection Corridors

The Group were then asked to consider each option and identify one component for each strategy that they strongly supported and one that they strongly opposed. The table below indicates the views of the two groups:

Spatial Option 1- Continuation of the Adopted LDP Preferred Strategy.

	Group 1	Group 2
Components Support	Generally supported all components, in particular components 4 & 6	All key components
Components Oppose	It was noted that whilst component 3 is supported (Development opportunities in HOVRA), this is difficult to deliver	<i>Viability of schemes</i>

Spatial Option 2 - Targeting growth to the Heads of the Valleys Regeneration Area.

	Group 1	Group 2
Components Support	The group strongly supported component 3, public sector intervention required to deliver the necessary infrastructure. This was seen as integral to the success of the HOVRA	All key components
Components Oppose	There were no specific components that were opposed	<i>Viability of schemes</i>

Spatial Option 3 - Targeting Growth to the NCC

	Group 1	Group 2
Components Support	Component 5, Maesycwmmer Bypass was strongly supported and was seen as a vital infrastructure link. Component 7, the reallocation of suitable surplus employment land	Partial support of 5 – improvements to infrastructure required.

	was also supported	
Components Oppose	There were no specific components that were opposed	11- Release of some Greenfield sites & Agricultural lands. 7 - Loss of all integral and available employment sites.

Spatial Option 4 -Targeting growth to the SCC

	Group 1	Group 2
Components Support	The Group were generally in support of targeting development to reflect the role & function of individual settlements	5 – improving rail network to facilitate opening of Caerphilly – Machen – Newport rail line 7 – supporting Caerphilly Castle & tourism opportunities.
Components Oppose	The Group felt that targeting substantial development solely to the SCC was not balanced and was tailored to developers and not the community within the County Borough. They felt that this option signalled that we are giving up hope on attracting development to the NCC & HOVRA.	9 – this would impact the SCC severely 4 – would need to be done sensitively, if at all.

Spatial Option 5- Targeting growth to the NCC and SCC

	Group 1	Group 2
Components Support	Component 2, targeting development to both the NCC & SCC was perceived as a more balanced approach to development Component 4, improving the strategic highway infrastructure was also supported but there was more of a bias towards the Maesycwmmmer bypass as this was perceived as a more strategic objective	Improvements to infrastructure.

	with the potential to also improve connectivity to the HOVRA.	
Components Oppose	There were no specific components that were opposed	There were no specific components that were opposed

Overarching themes

- Infrastructure is required against all spatial options to improve resilience. Relief Road in HOVRA estimated to be approx £50 million.

On balance, what is the groups preference for the five options?

	Group 1	Group 2
Spatial Option 1: Continuation of the Adopted LDP Preferred Strategy.		
Spatial Option 2: Targeting growth to the Heads of the Valleys Regeneration Area.	This would be a desirable option – however not viable and unrealistic without significant public subsidy / Regeneration / European funding	This would be the desirable option – however not viable.
Spatial Option 3: Targeting Growth to the NCC		
Spatial Option 4: Targeting growth to the SCC		
Spatial Option 5: Targeting growth to the NCC and SCC	This appeared to be the most preferable option with a bias towards the Maesycwmmmer bypasss	This is the most desirable spatial option, with modifications to include those aspects highlighted in the ‘support’ fields above for other Spatial Options.

The group were thanked for their input.

Meeting closed 12.30.

Frequently Asked Questions

Question 1: Why do we need to develop any more new houses in Caerphilly County Borough?

- 1) The Population is expected to increase up to 2031 and therefore more houses will be required.
- 2) There is an existing shortage of affordable housing within the county borough to meet existing housing need. This has to be addressed, particularly in the south where house prices make it difficult for people to meet their basic housing need. (Latest figures indicate an existing shortfall of 530 affordable homes per annum - 2011).
- 3) The need for more affordable homes will increase over the plan period if new homes are not delivered.
- 4) There is a need to diversify the housing stock so that there is a wider range and choice of housing and housing tenures available to meet the needs of different sections of our community, in particularly the elderly, first time buyers, single person households.
- 5) The diversification of the housing stock will encourage younger and more affluent members of the population to remain in the county borough and will also attract people into the area.
- 6) For every £1 of spending on housing construction it is estimated that £2.60 gross output will be generated across the economy as a whole¹
- 7) There are long-term positive benefits in terms of health and related economic outcomes from ensuring that decent quality homes are provided for all irrespective of income.¹
- 8) Even if the number of people in the county borough stayed the same, we would need more houses.

Question 2: Why do you think we would need more houses for the same number of people in the future?

- 9) We would need to build more housing for the same number of people because we know that:
 - a. Households are getting smaller – albeit at a slower rate than anticipated. So the same amount of people form more households and therefore need more houses.
 - b. The type of household is changing – e.g 1 person households are expected to increase by 19.5% over the plan period.

¹ The Role of Housing in the Economy : A Final Report by Regeneris Consulting and Oxford Economics 2010

- c. We have an existing housing need for additional affordable housing

Question 3: Why are households changing?

- 10) 1 person households are expected to increase by 19.5% over the plan period as people live longer or choose to live alone;
- 11) Lone parent households (1 adult, 1 child) are expected to increase significantly over the plan period as the marriages break down and single people have children;
- 12) Larger households - 5+ person (1 adult, 4+ children), 5+ person (no children), 4 person (no children) are expected to increase significantly over the plan period.
- 13) Some of the larger households are likely to indicate concealed households as:
 - a. First Time Buyers are forced out of the housing market due to issues of affordability;
 - b. More students stay at home to study, instead of moving away (tuition fees);
 - c. Elderly relatives living with children as a consequence of ill health or lack of appropriate housing to accommodate their needs. Why are household sizes getting smaller and changing?

Question 4: Do you know roughly what the Average Household Size (AHS) is in Caerphilly?

- 14) In 2008, AHS was 2.31 and this was projected to drop to 2.03 by 2025?
- 15) The 2011 household based projections indicate that in 2011 Caerphilly AHS was 2.39 in 2011 and expected to decrease to 2.27 by 2031.
- 16) The Adopted LDP assumed an AHS of 2.2 over the plan period, significantly lower than that projected for 2031.

Question 5: Why do you think the local planning authority needs to have regard to Average Household Size and how it is likely to change?

- 17) AHS impacts directly on the number of houses that are needed over the plan period.
- 18) Different size households, require different size homes.
- 19) Different types of household, need different types of housing i.e. students, elderly, lone parents, young couples, families with children all have differing needs and aspirations.
- 20) The more the AHS declines, the more housing is required for the same number of people.

Question 6: Other than AHS what do you think are the other main factors that influence population change and thus housing need?

- 21) Natural change - the difference between deaths and births
- 22) Net migration - the difference between those moving in and those moving out of an area

Question 7: Which of these do you think planning can influence?

- 23) For planning purposes there is a fundamental difference between these two factors, in that:
 - a. natural change is largely uninfluenced by actions of the planning authority;
 - b. whereas migration can be directly affected, for example by the provision of additional land for housing.

Question 8: Who do you think decides how much growth we should take over the plan period?

- 24) It is a policy decision for the Council to determine, in consultation with relevant stakeholders, i.e. residents, development industry, utility providers, other public bodies etc the level of growth that should be provided for over the plan period
- 25) The starting point when considering housing provision should be the latest Welsh Government projections which are the 2011-based projections
- 26) The Local Planning Authority is then required to consider if they are appropriate using all available evidence, such as alternative longer term trends, desirable levels of migration, household formation and size, past housebuilding rates, housing need, economic growth.
- 27) The level of growth proposed will be the subject of full statutory public consultation and is open to challenge and scrutiny through a formal examination process.

Other Considerations

Before we consider what level of growth the county borough should seek to accommodate up to 2031, we need to consider how we see the county borough in 2031.

- 28) Our Vision for Caerphilly is therefore extremely important. What type of place do we want to create?
- 29) Who do we want to live here?
- 30) Do we want to plan based on short or long term trends and why?
- 31) What are the implications of planning based on short term trends?
- 32) What are the implications of planning based on long term trends?
- 33) What do short and long term trends in terms of household formation and size, past housebuilding rates, migration, housing need, and economic growth suggest?
- 34) Ultimately each different set of assumptions factored into a projection will result in a different population and household growth scenario
- 35) Are we planning for a declining, ageing population or something else?
- 36) What are the implications for planning for an ageing, declining population? What impact will that have on the economy, social services, facilities (schools, libraries, leisure centres), town centres, public transport, etc.?
- 37) What are the implications of planning for growth?
- 38) What are the implications of different levels of growth – low, moderate, high?
- 39) Are we planning to attract economically active people into the area? If so what do we need to do to achieve this - where will they live/work? What facilities and services do they need?

- 40) How does our growth strategy fit with our neighbouring local authority strategies and aspirations?
- 41) What do we need to do to deliver the preferred growth option: who, when how?
- 42) What is the environmental capacity of the county borough, can it accommodate further growth?
- 43) Can the infrastructure of the area support further growth , if not what do we need to do to accommodate it?
- 44) The Council in its consideration of these matters needs to ensure that the evidence to support its preferred option is robust and can withstand public scrutiny and challenge.



COUNCIL - 7TH OCTOBER 2014

SUBJECT: LOCAL DEVELOPMENT PLAN - ANNUAL MONITORING REPORT 2014
REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

- 1.1 The attached report was presented to Cabinet on 1st October 2014.
- 1.2 The recommendations of Cabinet will be reported at the meeting.

Author: H. Morgan, Senior Committee Services Officer

Appendices:

Appendix 1 Report to Cabinet – 1st October 2014 (agenda item no XXX refers).

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CABINET – 1ST OCTOBER 2014

SUBJECT: LOCAL DEVELOPMENT PLAN – ANNUAL MONITORING REPORT 2014

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

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- 1.1 The attached report, which outlined the contents of the Caerphilly County Borough Local Development Plan 2014 Annual Monitoring Report (AMR) was considered by the Regeneration and Environment Scrutiny Committee on 16th September 2014. It seeks the views of Cabinet before it is referred to Council for determination.
 - 1.2 The conclusions of the 2014 Annual Monitoring Report were outlined to Members, with the 2014 AMR recommendations as follows:-
 - R1 The 2014 Annual Monitoring Plan has indicated that substantial progress has been made in implementing the Caerphilly County Borough Local Development Plan up to 2021 and that the Development Strategy is being effective.
 - R2 That limited greenfield release be considered on sites that are acceptable in planning terms in order to address the lack of a five year land supply in the short term.
 - R3 That the First Review of the Caerphilly County Borough Local Development Plan continue to be progressed in line with the Welsh Government and Council Agreed Delivery Agreement (13th February 2014).
 - 1.3 Members raised concerns with regard to Recommendation 2 of the Annual Monitoring Report, particularly in view of the impact this could have on the release of greenfield sites within the Authority. Officers confirmed that any such potential releases would be determined on their individual merit following a detailed assessment of the sites against the Caerphilly County Borough Local Development Plan and taking into account all other planning and material considerations.
 - 1.4 Following discussion on the content of the report, the Regeneration and Environment Scrutiny Committee considered and noted the findings of the 2014 Annual Monitoring Report and the implications of the recommendations detailed therein and unanimously recommended that:-
 - (i) The 2014 Annual Monitoring Report be referred to Cabinet for consideration;
 - (ii) The 2014 Annual Monitoring Report be submitted to the Welsh Government before the deadline of 31st October 2014.
 - 1.5 Members are asked to consider these recommendations.

Author: R. Barrett, Committee Services Officer, Ext. 4245

Appendix 1: Report to Regeneration and Environment Scrutiny Committee on 16th September 2014 – Agenda item 15

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REGENERATION AND ENVIRONMENT SCRUTINY COMMITTEE – 16TH SEPTEMBER 2014

SUBJECT: LOCAL DEVELOPMENT PLAN – ANNUAL MONITORING REPORT 2014

REPORT BY: ACTING DEPUTY CHIEF EXECUTIVE

1. PURPOSE OF REPORT

- 1.1 For members to consider the findings and recommendations of the Caerphilly County Borough Local Development Plan 2014 Annual Monitoring Report (AMR).
- 1.2 To recommend that the 2014 Annual Monitoring Report be approved by Cabinet and thereafter Council.
- 1.3 To recommend to Cabinet and thereafter Council that the 2014 Annual Monitoring Report be submitted to the Welsh Government (WG) in order to satisfy the Council's statutory requirements.
- 1.4 Glossary of terms used in this Report

LDP	Caerphilly County Borough Local Development Plan up to 2021 (Adopted November 2010)
2014 AMR	Caerphilly County Borough Local Development Plan 2014 Annual Monitoring Report
WG	Welsh Government
SEA/SA	Strategic Environmental Assessment /Sustainability Appraisal

2. SUMMARY

- 2.1 It is a statutory requirement that the Council submits an Annual Monitoring Report to the Welsh Government that monitors whether or not the LDP is being implemented successfully. The overall purpose of the AMR is to identify whether the LDP Strategy, or any the Strategy Policies are not being implemented and if they are not identify steps to rectify this.
- 2.2 This is the third AMR to be prepared for Caerphilly County Borough Local Development Plan (LDP) and it monitors the period from 1st April 2013 to 31st March 2014. The Council is required to submit the 2014 AMR to WG by the 31st October 2014.
- 2.3 Monitoring of the plan for 2013/14 indicates that no new Strategy Policies have been triggered. No intervention is necessary at this time, as all policies will be reassessed as an integral part of the LDP Review
- 2.4 The 2014 AMR also includes the results of the SEA/SA monitoring, which is required by the SEA Directive and national guidance. The SEA/SA monitoring found an overall positive change in the state of the environment, meaning that the environmental position has improved slightly

since the adoption of the LDP in 2010.

- 2.5 The 2014 AMR is also required to include information relating to 12 mandatory indicators, which are specified by Welsh Government. These indicators are included in Appendix 5 of the 2014 AMR.
- 2.6 An overview of the LDP Monitoring Data for the 2014 AMR provides an interesting insight into the implementation of the LDP over the monitoring period. Of particular note for 2013/14 is the following:
- The annual house-building rate decreased slightly over the period from 390 to 344 dwellings in the previous year.
 - The housing land supply figure decreased from 3.5 to 2.9 years using the Welsh Government preferred residual method.
 - The average house price fell from £97,272 to £94,272.
 - Unemployment fell from 9% to 8.4%.
 - The number of residents in employment increased from 73,700 to 78,700.
 - There was a general drop in commuting rates as a percentage of all commuting both in terms of out commuting for work, but a slight rise in out commuting generally from 45.9% to 50%.
 - Vacancy rates in the Principal Towns of Caerphilly and Risca/Pontymister decreased over the period whereas vacancy rates in, Blackwood, Bargoed increased. Vacancy rates in Ystrad Mynach remained the same.
 - Footfall in the Principal Town Centres declined by 19.48%, a significant increase from the previous years figure of 7.38%
 - The number of schools over subscribed in terms of the school rolls increased from 4 to 5.
 - The use of aggregates within the construction industry continued to fall.
 - The amount of new development on brownfield sites increased.
- 2.7 The 2014 AMR concludes that substantial progress has been made in implementing the Caerphilly County Borough Local Development Plan up to 2021 and that the Development Strategy is being extremely effective.
- 2.8 It is important to note that the 2013 AMR triggered the first review of the LDP in October 2013 as a consequence of its findings. These issues remain the same for the 2014 AMR. Consequently the 2014 AMR recommends that the First Review of the Caerphilly County Borough Local Development Plan continues to be progressed in line with the Welsh Government and Council Agreed Delivery Agreement (13 February 2014).

3. LINKS TO STRATEGY

- 3.1 The Council has a statutory duty to prepare and review a Local Development Plan for its area to provide the policy framework for the development and use of land within the County Borough. On 23 November 2010, the Council formally adopted the Caerphilly County Borough Local Development Plan up to 2021(LDP) and has since been monitoring the progress of the plan through its Annual Monitoring Report (AMR).
- 3.2 The submission of the 2014 AMR to Welsh Government is a statutory procedure associated with the Adopted LDP. The LDP has, through its preparation, incorporated the Council's land use objectives and the AMR monitors whether the LDP, and therefore the Council's Land Use Objectives, are being successfully implemented.

4. THE REPORT

Background

- 4.1 The Council formally adopted the Caerphilly County Borough Local Development Plan (LDP) on the 23 November 2010. Following the adoption of its LDP, the Council has a statutory obligation, under section 61 of the Planning and Compulsory Purchase Act 2004 to keep all matters under review that are expected to affect the development of its area. Further, section 76 of the Act requires the Council to produce information on these matters in the form of an Annual Monitoring Report for submission to the Welsh Government. The 2014 AMR monitors the period from 1st April 2013 to 31st March 2014 and it is required to be submitted to WG by the 31 October 2014.
- 4.2 Whilst the LDP was adopted in November 2010 and runs up to 2021, the base date of the plan is 2006. There have been many changes that will impact on the successful implementation of the LDP since this date, the most notable of which are:
- The downturn in the global economy, which has impacted on the commercial and housing property markets;
 - The identification and availability of sites for development within the region through the preparation of local development plans, most notably Cardiff City and Newport City given their proximity to the Southern Connections Corridor;
- 4.3 Given the changes in the Welsh Economy and the changes in the regional context, the 2014 AMR once again considers whether the Development Strategy that underpins the LDP remains valid; and will assess whether or not the Strategy Policies contained in the LDP are being effective in delivering the Development Strategy and meeting the objectives of the plan until such time as the LDP is formally reviewed.
- 4.4 It is important to note that the 2013 AMR triggered the first review of the LDP in October 2013 as a consequence of its findings. The issues highlighted within the 2013 AMR that triggered the first review of the LDP remain the same for the 2014 AMR.
- 4.5 The Town and Country Planning (Local Development Plan) (Wales) Regulations 2005 and the LDP Manual (available on the Welsh Government web site) specify what the 2014 AMR is required to include as follows:
- An Executive Summary
 - Review of changes to national and regional policy and guidance and their implications for the LDP.
 - SEA/SA Monitoring based on the SEA/SA Monitoring Framework (LDP Appendix 18).
 - LDP Monitoring based on the LDP Monitoring Framework (LDP Appendix 19).
 - Statutory Indicators.
 - Recommendations on the course of action in respect of policies and the LDP as a whole.

In addition to the above the 2014 AMR also considers external influences which impact on the implementation of the LDP but which are very much outside of the Council's control. Nevertheless the Council should consider whether or not a change in its policy framework could serve to alleviate some of the issue raised by these external factors.

- 4.6 Copies of the full 2014 AMR entitled "Caerphilly County Borough LDP Third Annual Monitoring Report 2014" together with the background statistical tables have been placed in the resource library for members' information.

Report of Findings

External Influences

4.7 The 2014 AMR considers the external factors that have had, or could have, an influence on the implementation of the plan and thus on development in the County Borough. These include changes in:

- National policy or legislation;
- External conditions;
- Local Considerations

National policy and Legislation

4.8 The 2014 AMR is required to identify documents, at national and regional level, that may have implications for the policies in the LDP and to assess them to identify their implications. Welsh Government has published the following key policy and guidance documents between 1st April 2013 and 31st March 2014:

- Planning Policy Wales, Edition 6, February 2014
- Technical Advice Note (TAN) 21: Waste, 2014
- Technical Advice Note (TAN) 23: Economic Development, 2014

4.9 The changes in national policy and guidance have not resulted in any significant changes that need to be addressed in the short term.

External Conditions

4.10 The downturn in the economy continues to have a marked effect on house building rates and therefore on the delivery of affordable housing. Viability continues to be an issue in overall house building and this has an adverse impact on the levels of affordable housing that can be delivered through the planning system

4.11 If recommendations regarding the introduction of a regional planning tier are taken forward in the Planning White Paper, some matters such as housing numbers, transport infrastructure and the location of strategic employment sites will be determined regionally in the future.

4.12 All neighbouring local planning authorities are well advanced with the preparation of their respective development plans providing a local policy framework for development decisions within the region

4.13 The Cardiff LDP identifies land for the provision of 41,000 dwellings, including 18,000 on greenfield sites in north Cardiff; and Newport LDP allocates 10,350 dwellings, 1,540 of which are in the east of Newport on the boundary with Risca / Pontymister. This provision could undermine the development strategy for the Southern Connections Corridor, which advocates new development on brownfield land

Local Considerations

4.14 The 2013 AMR (2012-13) recommended that an early review be instigated in light of the following significant local considerations. Specifically:

- The lack of a five-year housing land supply is a matter of concern that needs to be addressed, as the evidence available indicates that it is unlikely that this position will improve in the next few years; and
- The need to identify suitable sites for new schools as a consequence of the Council's ambitious school rationalisation programme.

4.15 The LDP is currently under review with an anticipated adoption date of October 2017.

Strategic Environmental Assessment/Sustainability Appraisal Monitoring

4.16 The Strategic Environmental Assessment Directive requires local authorities to undertake

Strategic Environmental Assessment (SEA) as part of the preparation of the LDP. In addition to this the LDP Regulations requires a Sustainability Appraisal (SA) to be undertaken. In preparing the LDP the council undertook joint SEA and SA and produced and published its SEA/SA Report in conjunction with the LDP.

- 4.17 The SEA Directive also requires that the council monitor the state of the environment through monitoring the sustainability objectives set out in the SEA/SA Report. This forms an integral part of the AMR and is contained in Section 4.

LDP Policy Monitoring

- 4.18 The LDP Monitoring considers each of the 22 Strategy Policies against the LDP monitoring Framework to identify whether the policies are being effective and to identify any policies that are not being implemented. The Framework consists of 29 Indicators (overarching measures considered against time related targets) and 53 Factors (specific measures considered against a fixed Trigger Point). Both the Indicators and Factors are statistical measures relating to the delivery of a specific Strategy Policy and consideration of the Indicators and Factors will indicate whether the Policies are being implemented. Where an indicator does not meet a target, or a factor reaches a trigger point, it could indicate that the policy is not being implemented.

- 4.19 An overview of the LDP Monitoring Data for the 2014 AMR period provides an interesting insight into the implementation of the LDP over the past 12 months. Of particular note for 2013/14 is the following:

- The annual house-building rate decreased slightly over the period from 390 to 344 dwellings in the previous year.
- The housing land supply figure decreased from 3.5 to 2.9 years using the Welsh Government preferred residual method.
- The average house price fell from £97,272 to £94,272.
- Unemployment fell from 9% to 8.4%.
- The number of residents in employment increased from 73,700 to 78,700.
- There was a general drop in commuting rates as a percentage of all commuting both in terms of out commuting for work, but a slight rise in out commuting generally from 45.9% to 50%.
- Vacancy rates in the Principal Towns of Caerphilly and Risca/Pontymister decreased over the period whereas vacancy rates in, Blackwood, Bargoed increased. Vacancy rates in Ystrad Mynach remained the same.
- Footfall in the Principal Town Centres declined by 12.1%
- The number of schools over subscribed in terms of the school rolls increased from 4 to 5.
- The use of aggregates within the construction industry continued to fall.
- There was an increase in customer satisfaction with the countryside recreation on offer in the county borough.

- 4.20 Section 5 of the 2014 AMR provides a detailed analysis of the success of the plan to date against the monitoring indicators and factors in terms of delivering sustainable development. The findings are summarised in the Table below:

LDP Monitoring Summary Table

Strategy Policy	
SP1, SP2, SP3, SP4, SP5, SP6, SP7, SP8, SP9, SP10, SP11, SP12, SP17, SP18, SP19, SP20, SP21	Policy is being met or exceeded. No intervention required.
SP10, SP16, SP22	Policy is not delivering as anticipated but is delivering sufficiently and does not require intervention measures.
SP13, SP14, SP15	Policy is failing to deliver as anticipated and intervention measures should be considered.

- 4.21 Monitoring of the plan for 2013/14 indicates that no new Strategy Policies have been triggered. No further intervention is necessary at this time, as all policies will be reassessed as an integral part of the LDP Review.
- 4.22 Given the importance of housing delivery to the strategy there is a need to consider the following key policies as part of the 2014 AMR.
- SP14 Total Housing Requirements
 - SP15 Affordable Housing Target
- 4.23 The 2012/13 JHLAS indicates that the housing land supply has fallen to 2.9 years using the residual method. Where the land supply is less than 5 years, TAN 1 states that local authorities must take steps to increase the supply of housing land. This may include reviewing the development plan, releasing land in its ownership, expediting planning applications or securing the provision of infrastructure for particular sites.
- 4.24 The review of the adopted LDP has begun and this will look in-depth at the identification of additional development land to satisfy the 5-year land supply requirements of TAN1. However in the intervening period there could be a need to release limited greenfield sites in the short term to address the supply issue.
- 4.25 Further the Council should seek to release housing land in its control to the market and should ensure that planning applications are expedited as far as is practical to make land readily available for development.
- 4.26 No further intervention is necessary at this time, as all policies will be reassessed as an integral part of the First Review of the LDP along with all other policies contained within the plan.

Statutory Indicators

- 4.27 The LDP Manual requires that the AMR include information relating to 12 specific indicators. The information in respect of these is already contained within the LDP and SEA/SA monitoring frameworks and has been taken into account through the monitoring process.
- 4.28 The LDP Regulations also require that the AMR sets out information in respect of housing delivery in the County Borough since the Adoption of the plan. In particular the Regulations require that the AMR includes:
- The housing land supply taken from the current Housing Land Availability Study; and
 - The number (if any) of net affordable and general market dwellings built in the LPA's area

Information must be provided for the period in respect of which the AMR is made; and the period since the LDP was first adopted or approved. This information is set out in the table below:

New Dwelling Completions Private /Affordable Split and Housing land Supply								
	2007 JHLAS	2008 JHLAS	2009 JHLAS	2010 JHLAS	2011 JHLAS	2012 JHLAS	2013 JHLAS	
	Apr 2006 - Mar 2007	Apr 2007 - Mar 2008	Apr 2008 - Mar 2009	Apr 2009 - Mar 2010	Apr 2010 - Mar 2011	Apr 2011 - Mar 2012	Apr 2012 - Mar 2013	Total
Private Sector	835	554	265	189	241	275	236	2595

H.A. Public	17	102	122	111	117	115	108	692
Total	852	656	387	300	358	390	344	3287
Land Supply (Residual method)	17.3*	22.5*	21.2*	14.2*	4.3	3.5	2.9	
Figures taken from Joint Housing Land Availability Studies * Figures realised under the Caerphilly UDP (LDP Adopted November 2010)								

- 4.29 Housing land availability information is monitored for the period April to end of March annually through the Joint Housing Land Availability Study (JHLAS).

AMR Conclusions & Recommendations

- 4.30 The AMR concludes that whilst the LDP Development Strategy remains sound, the downturn in the economy has had a marked effect on house building rates. Viability continues to be an issue in overall house building and this has an adverse impact on the levels of affordable housing being delivered through the planning system.
- 4.31 The lack of a five-year land supply is a matter of concern that needs to be addressed, as the evidence available indicates that it is unlikely that this position will improve in the next few years. There could be a need to release limited greenfield sites in the short term to address the supply issue. The first review of the LDP will further address the land supply issue through the allocation of sites that are capable of being delivered in viable parts of the county borough.
- 4.32 The 2014 AMR recommendations are therefore as follows:

Recommendations

- R1 The 2014 Annual Monitoring Plan has indicated that substantial progress has been made in implementing the Caerphilly County Borough Local Development Plan up to 2021 and that the Development Strategy is being effective.
- R2 That limited greenfield release be considered on sites that are acceptable in planning terms in order to address the lack of a five year land supply in the short term.
- R3 That the First Review of the Caerphilly County Borough Local Development Plan continue to be progressed in line with the Welsh Government and Council Agreed Delivery Agreement (13 February 2014).

5. EQUALITIES IMPLICATIONS

- 5.1 There are no direct implications associated with this report. However any future review of policies and proposals contained within the LDP will require an equalities impact assessment to be carried out.

6. FINANCIAL IMPLICATIONS

- 6.1 There are no new financial implications as a consequence of this report.

7. PERSONNEL IMPLICATIONS

- 7.1 There are no direct personnel implications as a result of this report.

8. CONSULTATIONS

- 8.1 All comments have been taken into account in the Committee Report.

9 RECOMMENDATIONS

- 9.1 To consider and note the findings of the 2014 Annual Monitoring Report and the implications of the recommendations contained therein.
- 9.2 To recommend that the 2014 Annual Monitoring Report be referred to Cabinet and Council for consideration.
- 9.3 To recommend to Cabinet and thereafter Council that the 2014 Annual Monitoring Report be submitted to the Welsh Government before the deadline of 31 October 2014.

10. REASONS FOR THE RECOMMENDATIONS

- 10.1 To comply with the requirements of the Planning and Compulsory Purchase Act 2004, the LDP Wales Regulations 2005 and the SEA Directive.
- 10.2 To comply with the requirements of the Planning and Compulsory Purchase Act 2004, the LDP Wales Regulations 2005 and the SEA Directive.
- 10.3 To comply with the requirements of the Planning and Compulsory Purchase Act 2004, the LDP Wales Regulations 2005 and the SEA Directive

11. STATUTORY POWER

- 11.1 The Planning and Compulsory Purchase Act 2004 requires the Council to prepare and keep under review a Local Development Plan for the County Borough to act as a single framework for the control and use of land within its administrative boundary.
- 11.2 The Local Government Act 1998. The Local Government Act 2003. The Town and Country Planning (Local Development Plan) (Wales) Regulations 2005.

Author: Rhian Kyte, Team Leader, Strategic and Development Plans
kyter@caerphilly.gov.uk

Consultees: Cllr Ken James, Cabinet Member For Regeneration, Planning & Sustainable Development
Cllr Tudor Davies, Chairman, Regeneration & Environment Scrutiny Committee
Sandra Aspinall, Acting Deputy Chief Executive
Pauline Elliott, Head of Regeneration and Planning
Gail Williams, Interim Head of Legal Services/ Monitoring Officer
Mike Eedy, Finance Manager, Environmental Finance Group
Colin Jones, Head of Performance & Property

Background Papers:

Caerphilly County Borough LDP Annual Monitoring Report 2014

[made available in the resource library]

Caerphilly County Borough LDP Annual Monitoring Report 2014 – Background Tables

[made available in the resource library]

Report to Council 23rd November 2010



COUNCIL - 7TH OCTOBER 2014

SUBJECT: WORKFORCE FLEXIBILITIES/DISCRETIONS UNDER THE LOCAL GOVERNMENT PENSION SCHEME 2013 (AS AMENDED)

REPORT BY: INTERIM ACTING DIRECTOR OF CORPORATE SERVICES

1. PURPOSE OF REPORT

- 1.1 To request that Council review their decisions in relation to the pension discretions under the Local Government Pension Scheme 2013 as amended (LGPS). The changes proposed are so that both Early and Flexible Retirement schemes can be enacted.

2. SUMMARY

- 2.1 Members will note that a report was presented before them in June 2014 asking the Council to make a decision on the 6 pensions discretions that the Council has the freedom to agree under the Local Government Pension Regulations 2013 (as amended). One of these discretions relates to whether the Council will allow employees to take advantage of flexible retirement. It should be noted that a common feature of the schemes are that there will be no automatic right for individuals to access these schemes, they will be entirely at the Council's discretion and subject to a viable business case.
- 2.2 Cabinet is considering the introduction of both Early and Flexible Retirement Schemes to help achieve savings as part of the Medium Term Financial Plan. These are part of a wider range of measures to maximise our flexibility in reducing our workforce.
- 2.3 In order to be able to implement the Schemes in line with the proposals, Council decisions are required in both cases to make amendments to the pensions discretions.

3. LINKS TO STRATEGY

- 3.1 The Scheme links to the People Management Strategy and therefore to all other strategies, including all equality strategies, policies and procedures, that relies on employees to deliver the strategy and service provision.
- 3.2 The introduction of a Flexible and Early Retirement Schemes also allows the Council to contribute to the savings required under the Medium Term Financial Plan.

4. THE REPORT

Flexible Retirement

- 4.1 Members were presented with a report in June 2014 requiring the Council to make a decision on the 6 pension's discretions that the Council has the freedom to agree under the LGPS. One of these discretions relates to whether the Council will allow employees to take

advantage of flexible retirement. At the time the report was presented, the decision on whether the Council was to introduce a Flexible Retirement Scheme had not been finalised so the Council did not agree to allow flexible retirement. However, it was noted that if the Council decided to adopt a Flexible Retirement Scheme, there was a need to revisit this discretion at a later date.

- 4.2 Attached as an Appendix 1 is a draft Flexible Retirement Scheme, which is to be considered by Cabinet on the 1st of October 2014. In order to allow the Scheme to be put in place, Members are required to revisit the decision made in June and adopt the discretion to allow a Flexible Retirement Scheme to be adopted.
- 4.3 If it is agreed to allow flexible retirement, under the LGPS Regulations 2013 (As Amended) the Scheme will not come into operation for one month after it has been agreed by Council (due to the requirement to notify Torfaen Pensions). If Council agree to adopt the discretion in relation to flexible retirement, the revised list of discretions will be published on the Council's website in line with our duty under the LGPS.

Early Retirement

- 4.4 The LGPS provide for the immediate payment of pension benefits if:
- The employee is a member of the LGPS and has 3 months' membership or has transferred other pension rights into the LGPS; and
 - The Employer certifies retirement is by reason of redundancy or business efficiency; and
 - The employee is aged 55 or over at the date of leaving.
- 4.5 Under the Council's current Redundancy Scheme there is no provision for an employee to retire on the grounds of business efficiency. If introduced, this discretion would provide flexibility to allow early retirement and thus potentially avoid redundancy costs.
- 4.6 It would also allow employees to access pension benefits should they be retired on the grounds of business efficiency. This is an alternative to redundancy and would give the Council greater flexibility in managing its workforce in the current financial climate.
- 4.7 The attached Early Retirement Scheme at Appendix 2 is to be considered by Cabinet on the 1st of October 2014. This requires Council to approve the use of the discretion to allow retirement in the interests of business efficiency. It should also be noted that in line with the Council's Redundancy Scheme, there would be no augmentation of service (i.e. no additional membership of the LGPS awarded).

Business Cases and Approval

- 4.8 All applications presented for Early and Flexible Retirement will be the subject of a thorough approval process. Heads of Service will be required to evidence that the business cases are viable in terms of financial scrutiny, and that the service is able to manage the continuity of the service delivery after the individuals departure. There will be no automatic right for individuals to access these schemes, they will be entirely at the Council's discretion subject to a viable business case.
- 4.9 Members may also be assured that where applications for Early Retirement incur a pension strain cost to the employer, as per our Constitution, applications will require approval from the Pensions Discretionary Compensation Committee (as per current arrangements).

5. EQUALITIES IMPLICATIONS

- 5.1 There are a number of Equalities implications that must be recognized in order for a full and proper consideration of the options to be made. It is likely that despite these issues, difficult decision will have to be made; however these implications must be recognized and understood as part of the process.

- 5.2 The Senior Policy Officer (Equalities and Welsh Language) and HR officers have ensured that equalities considerations have been taken into account when drafting or revising the policies, and amendments/additions made where relevant and appropriate. Each business case underpinning the scheme will be assessed separately and the equality implications considered on a case by case basis.

6. FINANCIAL IMPLICATIONS

- 6.1 The financial implications will depend on the number of employees who apply to take flexible or early retirement. Whilst there are no quantifiable financial implications for the Authority in introducing the proposed schemes, there will be financial implications in individual cases.
- 6.2 A common feature of the schemes proposed for introduction, are that viable and robust business cases in the Authority's interest would be required, prior to approval. The key features being the level of cost and the payback period to realise the financial saving.

7. PERSONNEL IMPLICATIONS

- 7.1 The personnel implications will depend on the number of employees who apply to take flexible or early retirement, and their individual cases.
- 7.2 The availability of the schemes will provide the authority with greater flexibility. It reduces the risk of having to declare compulsory redundancies, as we seek to downsize the workforce in a reasonably short timeframe.

8. CONSULTATIONS

- 8.1 The Early and Flexible Retirement Scheme have been consulted upon with the Council's recognised trade unions and Members of the Policy and Resource Scrutiny Committee, prior to seeking Cabinet approval. The Report reflects the input from the Consultees listed at the end of the Report.

9. RECOMMENDATIONS

- 9.1 That Council reviews its previous decision with regard to its discretion to permit flexible retirement and changes this to allow employees to take advantage of flexible retirement in line with scheme approved.
- 9.2 That Council approves the use of its discretion in the LGPS, to allow the retirement on the grounds of business efficiency (Early Retirement). It also approves that consistent with its redundancy arrangements, there would be no augmentation of service (i.e. no added years awarded to LGPS Membership) applied to retirements on the grounds of business efficiency.

10. REASONS FOR THE RECOMMENDATIONS

- 10.1 To help the Council meet the required savings levels under the Medium Term Financial Plan and allow Managers to be able to plan their service delivery.

11. STATUTORY POWER

- 11.1 Local Government Pension Scheme Regulations 2013.
Local Government Act, 1972.

Author: Gareth Hardacre, Head of Workforce & OD
Consultees: Chris Burns - Interim Chief Executive
Sandra Aspinall - Acting Deputy Chief Executive/Director of the Environment
Nicole Scammell - Acting Director of Corporate Services
Dave Street - Director of Social Services
Cllr Christine Forehead - Cabinet Member for HR and Constitutional Affairs
Gail Williams - Interim Head of Legal Services and Monitoring Officer
Dave Thomas - Senior Policy Officer, Equalities and Welsh Language
Council's Recognised Trade Unions
Pensions Manager, Greater Gwent Pensions Fund.

Background Papers:
Local Government Pension Regulations 2013 (As Amended)
Report to Council 10th June 2014

Appendices:
Appendix 1 Report to Cabinet 1st October 2014 including Draft Flexible Retirement Scheme and
Draft Early Retirement Scheme



CABINET – 1ST OCTOBER 2014

SUBJECT: WORKFORCE FLEXIBILITIES

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

- 1.1 This report is seeking the approval of Cabinet on the draft policy details and options for a range of schemes to allow workforce flexibility to meet the challenges of the Medium Term Financial Plan (MTFP). Policy & Resources Scrutiny Committee has considered proposals to establish new arrangements for the introduction of Early Retirement, Flexible Retirement, Voluntary Severance and Redundancy Schemes. It should be noted that a common feature of the schemes are that there will be no automatic right for individuals to access these schemes, they will be entirely at the Council's discretion and subject to a viable business case.
- 1.2 Members of Policy & Resources Committee considered the reports at its meetings on the 3rd of June 2014 and 5th of August 2014. Having considered the content of the reports, P & R Scrutiny Committee endorsed the principle of introducing the schemes.
- 1.3 Policy & Resources Scrutiny recommended to Cabinet that the schemes be adopted subject to the following criteria.
1. **Early Retirement Scheme**
The scheme utilises a provision within the LGPS regulations that permits CCBC as the employer to allow a retirement on mutual grounds in the interests of the efficiency of the service. This is a discretion that exists within the Pension regulations, which CCBC has not to date exercised, and requires Council approval. Cabinet is therefore requested to recommend to Council that this discretion is exercised.
 2. **Flexible Retirement Scheme**
The scheme be approved with the following criteria:
 - Where there is a reduction in hours, this be to a minimum of 40% of contract hours;
 - Where there is a reduction in grade, this be to a minimum of 2 grades;
 - The period of flexible retirement is time limited to 6 months (extended by 3 months in exceptional circumstances only).

The scheme utilises a provision within the LGPS regulations that permits CCBC as the employer to allow flexible retirement. This is a discretion that exists within the Pension regulations, which CCBC has not to date exercised, and requires Council approval. Cabinet is therefore requested to recommend to Council that this discretion is exercised.
 3. **Voluntary Severance Scheme**
The scheme be approved with the following criteria:
 - Severance payment is set at the level of 60% of a years salary;
 - Recommendation to cap the severance payment at the top of the Hay Grade C scale (£53,533) i.e. the maximum possible severance payment would be £32,120.

4. **Redundancy Scheme**

The scheme be approved to include the revised wording with regard to the payments to employees.

1.4 It is stressed that there is no intention to have a general application of these various options or to issue a blanket invitation to staff to be considered for any of the schemes. They are merely options which the council needs to have in place should the necessity arise in some service areas as the impact of the impending budget reductions takes effect the next few years.

1.5 Members are invited to consider the reports and the above recommendations.

Author: Gareth Hardacre, Head of Workforce and Organisational Development

Appendices:

Appendix 1	Report to P&R Scrutiny – 3rd of June 2014
Appendix 2	Report to P&R Scrutiny – 5th of August 2014
Appendix 3	Draft Early Retirement Scheme
Appendix 4	Draft Flexible Retirement Scheme
Appendix 5	Draft Voluntary Severance Scheme
Appendix 6	Revised Redundancy Scheme

**POLICY AND RESOURCES SCRUTINY COMMITTEE –
3RD JUNE 2014**

SUBJECT: PROPOSED CHANGES TO THE COUNCIL'S RETIREMENT AND SEVERANCE ARRANGEMENTS

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

1. PURPOSE OF REPORT

- 1.1 To consult with Members on the principles contained with the proposed introduction of an early retirement scheme by mutual consent on the grounds of business efficiency.

2. SUMMARY

- 2.1 Members will be aware that Cabinet on the 30th April 2014 gave permission to work up detailed proposals for a range of workforce planning tools to assist with managing the Medium Term Financial Plan.
- 2.2 Contained within the attached scheme documents are draft arrangements for the introduction of an early retirement scheme. These will be effective for all employees who are members of the Local Government Pension Scheme (LGPS).

3. LINKS TO STRATEGY

- 3.1 These workforce measures link to the People Management Strategy and therefore to all other strategies, including all equality strategies, policies and procedures, which rely on employees to deliver the strategy and service provision. Being able to balance our budgets to meet the challenges of the Medium Term Financial Plan will require a reduction in our workforce budgets.

4. THE REPORT

- 4.1 There are a number of valid reasons why exploring additional flexibilities in its Workforce Strategies would be of value to the Council. These include (but are not limited to):
- Be an effective means to reduce capacity
 - Help to avoid redundancies and the associated strain on Fund pension costs and redundancy payment/compensation costs
 - Enable the employer to retain or attain a balanced age profile within the workforce
 - Enable the transfer of skills/knowledge
 - Offer the opportunity of better succession planning and mentoring
 - Facilitate the retention of expertise, knowledge and contacts
 - Offer an acceptable solution to staff who are currently a blockage to promotion or

reorganisation

- Help alleviate stress or 'burn out'
- Improve morale
- Assist staff to ease down into retirement and make a gradual adjustment to life without paid employment

4.2 Officers have worked up detailed proposals for consultation. Specifically permission is sought to explore in more detail proposals in relation to an Early Retirement Scheme (Appendix 1)

4.3 Due to changes in the LGPS arrangements from the 1st of April 2014, additional flexibility is being sought allowing early retirement options. Once details of the scheme are finalised through the consultation process, a final check will be made with Torfaen Pensions to ensure that the scheme can operate as intended.

4.4 Proposals brought forward would require modification to the Council's Discretionary arrangements and Retirement and Redundancy arrangements under the Local Government Pension Scheme. This will ultimately require Council Approval, once the details of the policies have been agreed.

5. EQUALITIES IMPLICATIONS

5.1 This report is requesting approval to develop arrangements in line with the principles laid down; as such the Council's Equalities Impact Assessment (EqIA) process does not need to be applied at this stage. A Policy will have potential equalities implications, and this will be considered when a formal policy is brought forward for approval.

6. FINANCIAL IMPLICATIONS

6.1 Whilst there are no quantifiable financial implications for the Authority in introducing a scheme, there may be financial implications in individual cases. A common feature of the schemes proposed for introduction, are that viable and robust business cases in the authorities interest would be required, prior to approval.

7. PERSONNEL IMPLICATIONS

7.1 The introduction of this scheme will have personnel implications for the authority and individuals as laid out in the scheme details. The additional flexibility of such a scheme will assist with the need to reduce our headcount.

8. CONSULTATIONS

8.1 Consultation has been undertaken with management, employees and Trades Unions. In addition Torfaen Pensions have been consulted to ensure that the arrangements are permissible under the new scheme.

8.2 The Trades Unions are supportive of the principles involved. The Trades Unions would like for us as the employer to provide support with financial advice. However given the legal and financial issues involved it is not proposed that we provide this assistance directly. This will be a responsibility of the individual employee.

9. RECOMMENDATIONS

9.1 That Members consider the detail provided in the attached draft scheme, and provide their views for consideration by Cabinet as part of the consultation process.

10. REASONS FOR THE RECOMMENDATIONS

- 10.1 To provide additional flexibility in managing our workforce more effectively in the current financial climate.

11. STATUTORY POWER

- 11.1 Local Government Pension Scheme Regulations 2014
Local Government Act 1972

Author: Gareth Hardacre, Head of Workforce & OD
Consultees: Corporate Management Team
Pensions Manager, Torfaen County Borough Council
Cabinet Member for HR & Constitutional Affairs
Trade Unions

Appendices:
Appendix 1 – Draft Early Retirement Scheme

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POLICY AND RESOURCES SCRUTINY COMMITTEE – 5TH AUGUST 2014

SUBJECT: WORKFORCE FLEXIBILITIES

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

1. PURPOSE OF REPORT

- 1.1 This report is seeking the views of Members of Policy and Resources Scrutiny Committee on the draft policy details and options for a range of schemes to allow workforce flexibility to meet the challenges of the Medium Term Financial Plan (MTFP), prior to referral to Cabinet.

2. SUMMARY

- 2.1 On the 30th April 2014, Cabinet gave permission to develop detailed proposals for a range of workforce planning tools. These proposals are to assist the Council, Members and Officers with managing the challenges of the MTFP. Members will also be aware from the report to Cabinet on 16th July 2014, that the financial predictions previously provided by Welsh Government have significantly worsened. The impact is likely to be that the Council will need to downsize the workforce in greater numbers than previously estimated and in a shorter timescale.
- 2.2 Contained within the attached report and documents are draft proposals for the introduction of a Flexible Retirement Scheme, Voluntary Severance Scheme, Redundancy Scheme (which includes both Voluntary and Compulsory Redundancy situations), along with the Early Retirement Scheme, which Committee considered on 3rd June 2014.
- 2.3 It should be noted that Wales Audit Office has conducted a recent review of severance packages and payments. There is a duty on the Council as a public body to ensure that the severance arrangements and costs are proportionate and defensible against public scrutiny. There is also the need to ensure that the costs of severance (by whichever means) are not so excessive as to necessitate the departure of greater numbers of employees in order to recover the costs.

3. LINKS TO STRATEGY

- 3.1 These workforce measures link to the People Management Strategy and therefore to all other strategies, including all equality strategies, policies and procedures, which rely on employees to deliver the strategy and service provision.
- 3.2 Being able to balance the Council's budget to meet the challenges of the MTFP will inevitably require a reduction in the workforce.
- 3.3 Members are reminded of the strategies such as the Passport Programme to address the

demographic profile of the Council with 30% of employees being over 50 years old. (See Appendix 1).

4. THE REPORT

- 4.1 Members will be aware that Cabinet on 30th April 2014, gave permission to develop detailed proposals for a range of workforce planning tools to assist with managing the MTFP. The intended date of implementation for these schemes is 1 January 2015.
- 4.2 This Report and the attached Appendices set out proposals for the introduction of a Flexible Retirement Scheme (Appendix 3), Voluntary Severance Scheme (Appendix 4), Redundancy Scheme (Appendix 5) along with the Early Retirement Scheme (Appendix 6), which was considered previously by Committee on 3rd June 2014.
- 4.3 In addition to the above, the 85 Year Rule arrangements can still be used to provide flexibility within the workforce. However, this option will begin to taper off from 2016 and will be removed totally in 2020. The amount of actuarially reduction in 85 year rule cases is specific to each employee, based on their age and length of service. There may be a cost to the Council in 85 year rule cases. This is again dependent on the individual's personal circumstances.
- 4.4 When considering this report and the options in the schemes, Members are reminded to review the demographic profile of the workforce in Appendix 1 and consider the potential opportunities this may create in the light of the Medium Term Financial Plan requirements.
- 4.5 Those employees who are not members of the Local Government Pension Scheme (LGPS) would not benefit from the parts of the schemes where there is an enhancement to pension. However, they will be able to access the voluntary severance scheme and they will also be entitled to receive a payment in accordance with the proposed Redundancy Scheme.
- 4.6 The introduction of the proposed schemes will be underpinned by a business case methodology i.e. each application will need to be supported by a business case for each individual employee. The business case will ensure that careful consideration is given to whether the service can still be effectively delivered if the business case is agreed and whether the savings can be achieved in a short timescale in order to balance the budget of the Authority. Consideration will also need to be given as to whether the service can make the business case to allow an employee to leave, when there are pension costs attached which can be significant.
- 4.7 The Council's recognised Trade Unions have been consulted and provided with the same information as the Scrutiny Committee on the schemes. There is broad agreement on the implementation of the schemes, but there are a number of specific details in the schemes on which recommendations from Members are sought prior to the referral to Cabinet.
- 4.8 The following paragraphs summarise the key areas where Elected Members' views are sought.

Flexible Retirement Scheme (Appendix 3)

Principles

- 4.9 Members have previously considered and supported the development of a Flexible Retirement Scheme. The Flexible Retirement Scheme will allow an employee to reduce their hours and / or their grade by an agreed amount and draw part, or all of their pension in the final year(s) of their employment. Whether the pension is actuarially reduced will be dependent on the employee's age and length of service. When the employee takes an actuarial reduction, then there could still be a small cost to the Authority. However, this is

significantly less than paying a pension 'top up'. Three examples of flexible retirement scenarios can be seen in Appendix 2 regarding a reduction of 20% of hours on a full time equivalent salary.

- 4.10 It is recognised that due to the nature of how Flexible Retirement works, it will have limited impact in achieving the savings required in the MTFP. It is recognised, however, that where it is necessary for services to meet ongoing efficiency savings, this may be a viable option that will contribute to the saving, as Flexible Retirement is a means of supporting workforce planning and ensuring key skills, knowledge and experience are not lost when the employee retires.
- 4.11 There is potential for the Flexible Retirement scheme to be considered to be discriminatory as it applies only to employees over 55. The availability of access to pension benefits derives from the Local Government Pensions Regulations and therefore the Council will make all reasonable efforts to offer its employees a flexible benefits package that is the most advantageous possible and, on the balance of probabilities, the package would have the desired beneficial effect on recruitment and retention. The arrangements could not be achieved in any less discriminatory way.

Options for Members' Consideration and Recommendation.

Time periods

- 4.12 A recommendation is sought on the flexible retirement period and whether this should be time limited.
- 4.13 If the period of flexible retirement is not time limited, an employee may need to be made redundant at a later date. This would incur further costs to the Council in terms of possible pension top up and redundancy pay.
- 4.14 Should there be a recommendation to time limit the flexible retirement period then a subsequent recommendation on the length of that period is required. If the period of time can be agreed at the beginning of the flexible retirement period, then the handover can be structured. Without an agreed timeline the service area will be unable to plan the workforce effectively, ensure knowledge and skills are passed effectively to other employees and identify when potential savings can be made.
- 4.15 Therefore, it is recommended that the period of flexible retirement is time limited with the maximum period an employee can work flexibly being 6 or 12 months. There is also the opportunity for this to be a longer time period. Discussions with the Trade Unions have identified that 6 months would be reasonable, having regard to the revised budgetary position that the Council is facing. Officers support this view and both parties feel that it should be possible to pass on the skills and knowledge of the postholder to a successor within a 6 month time frame. It would also be more effective in the context of the MTFP to support the Council to achieve the required savings targets within a limited timeframe.
- 4.16 However, Members may wish to consider whether there is a need to include an option to extend the period of flexible retirement by a further 3 or 6 months in exceptional cases.

Reduction in Contract Hours

- 4.17 A further element of the Flexible Retirement Scheme that needs to be considered is a reduction in hours. Recommendations are therefore sought on the percentage of hours reduction.
- 4.18 The reduction in hours could be a minimum of 20%, 40% or 60%, for example. For employees working full time this would be one, two or three day reduction. The recommendation from officers, with the support of the Trade Unions, is that this should be a

minimum of 40% of the employee's contractual hours.

Grade

- 4.19 A further consideration within the Flexible Retirement Scheme is the opportunity to reduce the grade of employees instead of or in addition to a reduction in hours. In terms of grade, consideration needs to be given to a permitted maximum level of reduction, for example, one, two or more grades. The recommendation to Members, endorsed by the Trade Unions is a reduction of two grades without the need for a reduction in hours. This reduction of grade will not be subject to the Council's salary protection as per the Redeployment Policy.

Voluntary Severance Scheme (Appendix 4)

Principles

- 4.20 Members will recall that they have previously agreed to a Voluntary Severance Scheme being developed at the Scrutiny meeting held on 4 December 2013, when considering the workforce strategies for the Medium Term Financial Plan. The proposed scheme at Appendix 4, will allow employees to voluntarily leave the employment of the Council with a lump sum payment as compensation for their employment ending. Any employee applying to leave under this Scheme will not enter the Council's Redeployment Pool, thus reducing the costs to the Council. There will be no pension release costs to the Council as the employee will not have been declared redundant. (A declaration of redundancy triggers pension release to any LGPS member over 55 years of age, which the council has to fund). Employees aged 55 and over are able to access their pension, but this may be on an actuarially reduced basis, in accordance with the Pension Regulations.
- 4.21 The proposed Voluntary Severance Scheme is likely to provide the quickest opportunity for services to make budgetary savings in accordance with the MTFP. The business cases will need to cover the cost of the severance payment within the year of the employee leaving. However, any decisions with regard to voluntary severance will need to be balanced with the ability to continue to provide a required level of service.

Options for Members' Consideration and Recommendations

Level of Severance

- 4.22 A recommendation is sought on what level of severance payment should be offered within the scheme. Options include whether this payment should be a percentage of annual salary e.g. 50%, 60% or 70% etc, or an alternative value. It should be noted that the payments may be made gross it is compensation for loss of office rather than a Payment in Lieu of Notice. There is a £30,000 exemption available for termination payments with regard to the payment of Income Tax and National Insurance. A balance is needed between making the payment attractive enough to encourage volunteers but also it being affordable to the Council, whilst supporting the continuation of service delivery.
- 4.23 From an officer perspective, the recommendation would ideally be a voluntary severance payment of 50% but a maximum of 60% of an employee's salary could still achieve the MTFP savings. The Trade Union perspective would be to secure the best outcome for their members but there is an understanding by the Trade Unions of the unprecedented financial challenges the Authority faces.
- 4.24 The levels suggested above i.e. 50% or 60%, would allow savings to be delivered within a year of being agreed. This scheme could provide the most opportunities to downsize the organisation more quickly to meet the MTFP requirements.

Maximum Payment

- 4.25 A further recommendation is sought from Members as to whether to cap the voluntary severance payment, e.g. the maximum payment to be held at the top of the Hay Grade C scale i.e. £53,533. The practical effect of a cap of this nature would result in any officers employed on a higher grade would have a maximum of the percentage agreed under the scheme paid at the top of the Hay C grade. This could avoid a potential criticism where this could be viewed as a benefit to more Senior Officers. This is supported by the Trade Unions.

Redundancy (Appendix 5)

Principles

- 4.26 If other options of early / flexible retirement and voluntary severance are exhausted, then the Council is in the position of having to consider invoking a redundancy situation. The Redundancy Scheme will give employees the opportunity to volunteer for redundancy rather than automatically invoking a formal selection process for compulsory redundancy. This may in turn allow savings to be made in a more timely manner and also limit the numbers of compulsory redundancies.
- 4.27 Employees are at risk of compulsory redundancy if a service area has to downsize significantly and there are not enough volunteers to leave under one of the other schemes or if a decision is made to no longer deliver a service and those employees cannot be redeployed.
- 4.28 Members should note that whether employees volunteer for redundancy or are made compulsory redundant, in accordance with the Council's Scheme, they currently attract the same level of payment.
- 4.29 The redundancy payment is based on the Statutory Redundancy Calculator and depends on the employee's age and service. For employees aged 55 and over, their pension would be automatically released at an unreduced rate, which is a cost to the Council and they would also receive a payment up to a maximum of 30 weeks at their weekly occupational salary level. For employees under 55 years of age, there are no pension release costs and the redundancy payment is made based on the Statutory Redundancy Calculator multiplied by two up to a maximum of 60 weeks at their weekly occupational salary level
- 4.30 The wording of the payments agreed by the Council in 2010 was not clear in terms of the amounts paid to those employees who were over 60 and can access their pension at an unreduced rate, without a cost to the Authority. Members should note the wording within the proposed scheme regarding single and double redundancy has been clarified to ensure that it complies with the Equality Act 2010 and to make it easier for employees to understand. The Trade Unions are supportive of this approach.
- 4.31 It is important to bring to Members attention that in section 193 of the Trade Union and Labour Relations (Consolidation) Act 1992 provides that depending on the number of employees to be made compulsorily redundant, the Council needs to notify the Redundancy Payments Service and undertake a full redundancy consultation exercise. This would impact on the timelines of how quickly the savings could be achieved. If between 20 and 99 employees are being made compulsory redundant, the minimum consultation period is 30 days. For 100 employees or more, the minimum consultation period is 45 days.
- 4.32 Prior to being made compulsory redundant, an employee will also have up to 24 weeks in the Council's Redeployment Pool depending on their length of service, so these costs would need to be factored into any business case.
- 4.33 The Redundancy scheme could be considered to be discriminatory as it applies to those who are able to access pension benefits, which is based on age. However, the Council considers

that the scheme is a proportionate means of achieving a legitimate aim. The legitimate aims of the Council are staff retention, workforce planning and dignity as set out in the Council's People Strategy and Strategy for Older People.

- 4.34 As with the Flexible Retirement Scheme, the availability of access to pension benefits derives from the Local Government Pensions Regulations and therefore the Council will make all reasonable efforts to offer its employees a flexible benefits package that is the most advantageous possible and, on the balance of probabilities, the package would have the desired beneficial effect on recruitment and retention. The arrangements could not be achieved in any less discriminatory way.
- 4.35 The Council is also mindful that employees who are able to access their pensions would receive a windfall as they would otherwise receive both their pension and a contractual redundancy payment (this follows the Employment Appeal Tribunal case of *Loxley v BAE Systems* UKEAT/0156/08.) The Council has a legitimate aim of ensuring that older employees did not receive more than they could have earned had they remained employed until retirement age (this is in accordance with the case of *Kraft Food UK Ltd v Hastie* UKEAT/0024/1.)
- 4.36 There has been some debate with the Trade Unions recently as to the Redundancy Selection Criteria agreed within the Council. It would be helpful to review this at this time with the Trade Unions to clarify their concerns and negotiate an agreed criteria to propose to Cabinet.

Options for Members' Consideration and Recommendations

- 4.37 A recommendation is sought from Members to support the revised wording in the scheme with regard to the payments to those employees who are over 60 and can access their pension at an unreduced rate, without a cost to the Authority.
- 4.38 A recommendation is sought from Members to support consultation with the Trade Union to clarify their concerns with regard to the Redundancy Selection Criteria and negotiate an agreed criteria to propose to Cabinet.
- 4.39 Members may also wish to consider whether they would like officers to consult with the Trade Unions and draw up options for alternative levels of payment for redundancy to support the MTFP. This would involve a change to employee's terms and conditions.

5. EQUALITIES IMPLICATIONS

- 5.1 There are a number of Equalities implications that must be recognised in order for a full and proper consideration of the options to be made. It is likely that despite these issues, difficult decision will have to be made, however these implications must be recognised and understood as part of the process.
- 5.2 There is potential for certain elements of the proposed schemes to be considered as discriminatory, such as the flexible retirement scheme only applying to those employees over 55, the time limit on the flexible retirement scheme and the capping of voluntary severance payments at a certain amount. However, the proposed schemes are a proportionate means of achieving legitimate aims of the Council, specifically in this case staff retention, workforce planning and dignity as set out in the Council's People Strategy and Strategy for Older People.
- 5.3 The proposed schemes that link to the Council's strategies to address the skewed demographic profile of the Council with 30% of employees being over 50 years old could be considered discriminatory. However, the proposed schemes are a proportionate means of achieving other legitimate aims, as set out in the Council's People Strategy and Children and Young People's Plan as well as Equality Objective 6 of the Equality and Welsh Language

Objectives and Action Plan 2012-2016 to create a diverse workforce. There is a specific public interest in the Council ensuring this diversity, as it is one of the largest employers in the area.

- 5.4 The Senior Policy Officer (Equalities and Welsh Language) and HR officers have ensured that equalities considerations have been taken into account when drafting or revising the policies, and amendments/additions made where relevant and appropriate. Each business case underpinning the scheme will be assessed separately and the equality implications considered on a case by case basis.

6. FINANCIAL IMPLICATIONS

- 6.1 Whilst there are no quantifiable financial implications for the Authority in introducing the proposed schemes, there will be financial implications in individual cases. A common feature of the schemes proposed for introduction, are that viable and robust business cases in the Authority's interest would be required, prior to approval. The key features being the level of cost and the payback period to realise the financial saving.

7. PERSONNEL IMPLICATIONS

- 7.1 There are significant personnel implications. The introduction of the schemes will have personnel implications for the Authority and employees as laid out in the scheme details. The additional flexibility of such schemes will assist with the need to reduce headcount and help meet the requirements of the Medium Term Financial Plan.

8. CONSULTATIONS

- 8.1 Responses to date are reflected in the report. The Trade Unions have been consulted on the workforce strategies for the Medium Term Financial Plan and they have agreed to the broad principles of the schemes. Members are advised that this is an ongoing consultation process with the Trade Unions and further consultation will take place with them following recommendations from Members.

9. RECOMMENDATIONS

- 9.1 It is recommended that Policy and Resources Scrutiny Committee note the content of this report and provide their views on the options outlined in the report in order to inform the consultation process prior to the final schemes being drawn up and reported to Cabinet on 29 October 2014.
- 9.2 The recommendation from officers based on the consultation responses including the Trade Unions is:
- Flexible Retirement**
- 9.3 In line with paragraph 4.15, the recommendation for the period of flexible retirement is 6 months (with a 3 month extension in exceptional circumstances.)
- 9.4. In line with paragraph 4.18, the recommendation with regard to the reduction in hours is a minimum of 40% of the employee's contractual hours.
- 9.5 In line with paragraph 4.19, the recommendation is a reduction of two grades without the need for a reduction in hours.

Voluntary Severance

- 9.6 In line with paragraph 4.23, the recommendation is ideally a voluntary severance payment of 50% of an employee's salary with the cap set out at paragraph 9.7 below. (Members should note that 60% is achievable and preferred by Trade Unions as set out in 4.24)
- 9.7 In line with paragraph 4.25, the recommendation is to cap the voluntary severance payment at the top of the Hay Grade C scale i.e. £53,533.

Redundancy

- 9.8 In line with paragraph 4.37, a recommendation is sought from Members to support the revised wording in the scheme with regard to the payments to those employees who are over 60 and can access their pension at an unreduced rate, without a cost to the Authority.
- 9.9 In line with paragraph 4.38, a recommendation is sought from Members to support consultation with the Trade Union to clarify their concerns with regard to the Redundancy Selection Criteria and negotiate an agreed criteria for reference to Cabinet.
- 9.10 In line with paragraph 4.39, Members may also wish to consider whether they would like officers to consult with the Trade Unions and draw up options for alternative levels of payment for redundancy to support the MTFP.

10. REASONS FOR THE RECOMMENDATIONS

- 10.1 To provide the Council with additional flexibility to manage the workforce to support the achievement of the MTFP.

11. STATUTORY POWER

- 11.1 Local Government Pension Scheme Regulations 2014.
Local Government Act, 1972.

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Sandra Aspinall - Acting Deputy Chief Executive/Director of the Environment
Nicole Scammell - Acting Director of Corporate Services
Dave Street - Director of Social Services
Cllr Christine Forehead - Cabinet Member for HR and Constitutional Affairs
Gail Williams - Interim Head of Legal Services and Monitoring Officer
Angharad Price - Acting Principal Solicitor / Deputy Monitoring Officer
Lynne Donovan - HR Service Manager, Customer Services
Liz Rogers - HR Service Manager, Strategy and Operations
Dave Thomas - Senior Policy Officer, Equalities and Welsh Language

Appendices:-

Appendix 1 Passport Programme
Appendix 2 Flexible Retirement Scheme Example
Appendix 3 Flexible Retirement Scheme
Appendix 4 Voluntary Severance Scheme
Appendix 5 Redundancy
Appendix 6 Draft Early Retirement Scheme

DRAFT EARLY RETIREMENT SCHEME

Version:	Version 1- Draft 3 – August 2014
Scheme Ratified by:	Human Resources
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Area Applicable:	All Caerphilly Employees except school based employees unless the School Governing Body has adopted the Scheme.
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NOTE

WHEREVER THE DESIGNATION MANAGER IS USED THROUGHOUT THIS PROCEDURE, IT IS TAKEN TO MEAN HEAD OF SERVICE, LINE MANAGER, SUPERVISOR, OFFICER IN CHARGE, HEAD TEACHER OR ANYONE WHO HAS SUPERVISORY RESPONSIBILITY.

INTRODUCTION

1. Caerphilly County Borough Council is committed to providing its employees with more choice and flexibility with regard to whether they wish to retire early or stay in work beyond normal retirement age, making their transition from working life to retirement a smoother one for the employee and the Council.
2. The Council recognises that attracting and retaining a well-trained, well motivated and flexible workforce, with a wide range of skills and experience is essential to the provision of quality services.
3. Early retirement will allow employees to finish work early thus allowing them time to pursue other activities or enjoy their retirement.

SCOPE OF THE SCHEME

4. The Early Retirement Scheme applies to any employee where an early retirement by mutual consent on grounds of business efficiency opportunity has been identified, either by the employee or the organization, irrespective of whether they are on a fixed term or permanent contract. This does not include school based support employees unless the School Governing Body has adopted the Scheme.
5. The Council's recognised trade unions have been consulted on the Scheme.
6. The effective date of this scheme is ?? 2014. The scheme and guidelines will be used to deal with all flexible and early retirement situations.

GUIDING PRINCIPLES

7. With effect from 1st April 2014, the majority of employees' normal retirement age will be the same as their state pension age. This is referred to as normal pension age (NPA). Employees are able to find out their normal pension age by going to <https://www.gov.uk/calculate-state-pension>.
8. However, in accordance with the LGPS Regulations, an employee can retire and gain access to their LGPS pension benefits from age 55, without their employer's consent. Pension benefits may be actuarially reduced if benefits are drawn before NPA. However, under the 85 Year Rule, if a member's age and membership in whole years equalled 85 at age 60, the member was able to retire without a reduction in benefits. Employees, who joined the LGPS on or before 30th September 2006, may (under the protections put in place due to the removal of the 85 year rule) be subject to full or partial protection from reduction.
9. Early retirement by mutual consent on the grounds of business efficiency is where an employee decides to leave the Council before their normal pension age but after age 55. Employees will not receive a reduction in their pension benefits if they leave on this basis.
10. Heads of Service are required to draw up a Business Case to demonstrate that the Service Area is able to accommodate the request both operationally and

- financially. The business case should include details of the impact on service delivery and the benefit to the Service Area as well as the individual and any associated pension strain costs. This Business Case should be counter signed by the relevant Director. Where applications contain the requirement for the council to meet pension strain costs, final approval will need to be sought from the Pensions & Compensation Committee.
11. Applications for early retirement can take up to 6 - 8 weeks to process so employees should bear this in mind when making their application and allow adequate time if they have a specific date that they wish the retirement to take place on. If the business case is not viable for the Service Area, it may be possible to facilitate an early retirement by cross matching to a post within another Service Area.
 12. Viable business cases would be considered as an alternative to compulsory redundancies in a Service Area. This means that applicants who apply to access early retirement could be cross-matched against those at risk. In this circumstance, please seek further advice from your HR Business Partner Team.
 13. There is no automatic right for an employee's request for early retirement to be agreed.
 14. Heads of Service should contact their HR Business Partner Team to discuss any applications for early retirement by mutual consent on the grounds of the efficiency that they receive. This is especially important where an application cannot be supported. In this case, Heads of Service should seek advice, prior to notifying the employee that the application cannot be supported, to ensure that the case has been reasonably considered and all alternatives have been explored. When an application is not supported, employees must be given written reasons as to why the application cannot be accommodated by the relevant Manager/Head of Service.
 15. In all cases advice must be sought from your HR Business Partner Team, who will contact the Greater Gwent Pension Fund on the employee's behalf. The Greater Gwent Pensions Fund will not deal directly with employees about their pension benefits in relation to early retirement by mutual consent on the grounds of business efficiency, as employer consent is needed for the application to progress.
 16. Prior to making any application for early retirement by mutual consent on the grounds of business efficiency, employees need to ensure that they obtain all the necessary information about what pension benefits are payable, additional voluntary contributions, etc and other financial matters to inform their decision to take early retirement. Employees are advised to seek independent financial advice before making any decisions.
 17. Managers should be mindful of their obligations under Equalities legislation and in particular the requirement not to discriminate or treat employees differently on the grounds of age.

INTERPRETATION OF THE SCHEME

19. In the event of a dispute relating to the interpretation of this scheme the Head of Workforce and Organisation Development or the Human Resources Service Manager will make the final decision on interpretation.

REVIEW OF THE SCHEME

20. A review of this scheme and procedure will take place when appropriate. Any amendments will be consulted on with all the relevant parties. However, in the case of amendments relating to legislative requirements, the scheme will be amended and reissued.

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DRAFT FLEXIBLE RETIREMENT SCHEME

Version:	Version 1- Draft 8 – August 2014
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INTRODUCTION

1. Caerphilly County Borough Council is committed to providing its employees with more choice and flexibility with regard to whether they wish to retire early or stay in work beyond normal retirement age, making their transition from working life to retirement a smoother one for the employee and the Council.
2. The Council recognises that attracting and retaining a well-trained, well motivated and flexible workforce, with a wide range of skills and experience is essential to the provision of quality services.
3. Flexible retirement is a change from retiring at a specific age to a much more flexible approach so that employees can plan their retirement, financially and socially, and make a gradual adjustment at the end of their working lives. There are also benefits to the Council by retaining experienced staff with valuable skills and enabling better succession planning. Flexible retirement will allow employees to reduce their working hours thus allowing them time to pursue other activities.
4. It is important to note that flexible retirement applications must bear in mind the operational requirements of the service and will only proceed to Pensions Committee for approval if there is a viable business case approved by the Head of Service and Director confirming that the request can be accommodated and that there will be no disruption to the working of the Service Area.
5. The Scheme sets out how Managers and employees can work together to achieve flexibility for employees approaching retirement.

SCOPE OF THE SCHEME

6. The Flexible Retirement Scheme applies to any individual employee where a flexible retirement opportunity has been identified, either by the employee or the Council, irrespective of whether they are on a fixed term or permanent contract. This does not include school based support employees unless the School Governing Body has adopted the Scheme. This Scheme should not be used for groups of employees who wish to flexibly retire.
7. The Council's recognised trade unions have been consulted on the Scheme.
8. The effective date of this scheme is ?? 2014. The scheme and guidelines will be used to deal with all flexible retirement situations.

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GUIDING PRINCIPLES

9. With effect from 1st April 2014, the majority of employees' normal retirement age will be the same as their state pension age. This is referred to as normal pension age (NPA). Employees are able to find out their normal pension age by going to <https://www.gov.uk/calculate-state-pension>.
10. However, in accordance with the LGPS Regulations, an employee can retire and gain access to their LGPS pension benefits, from age 55, without their employer's consent.
Pension benefits may be actuarially reduced if benefits are drawn before NPA. It should be noted that the Council will not waive an employee's actuarial reduction if the benefits are drawn before NPA. However, under the 85 Year Rule, if a member's age and membership in whole years equalled 85 at age 60, the member was able to retire without a reduction in benefits. Employees who joined the LGPS on or before 30th September 2006, may (under the protections put in place due to the removal of the 85 year rule) be subject to full or partial protection from reduction. The '85 year rule' is being phased out with effect from 1st April 2016 and withdrawn completely from 1st April 2020.
11. Flexible retirement is a planned approach to retirement that involves an individual employee aged 55 or over to voluntarily
- Reduce their working hours in their existing post and/or
 - Move to a job on a lower grade
- whilst accessing their accrued pension benefits. However the benefits would be reduced because they are being paid early, subject to certain protections for pre 2014 members of the fund. Examples of the reductions applicable are shown as an Appendix.
12. Heads of Service are required to draw up a Business Case to demonstrate that the Service Area is able to accommodate the request both operationally and financially. The business case should include details of the impact on service delivery and the benefit to the Service Area as well as the individual and any associated costs. The business case will also include the employee's intended retirement date so that the Service Area can plan for the employee's eventual retirement. This date should not normally be more than 6 months in the future. In

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exceptional cases it is possible to extend this to 9 months. This Business Case should be counter signed by the relevant Director.

13. Applications for flexible retirement can take up to 6 – 8 weeks to process so employees should bear this in mind when making their application and allow adequate time if they have a specific date that they wish the new arrangement to take place on. If the business case is not viable for the Service Area, it may be possible to facilitate a flexible retirement by cross matching to a post within another Service Area. In this circumstance, please seek further advice from your HR Business Partner Team.
14. In the event that an application for flexible retirement is received from the Chief Executive, the application will be considered by full Council.
15. Employees, subject to the business case being viable and the Service Area being able to accommodate the flexible retirement, have a choice of whether to reduce hours or grade. The reduction in hours must be **at least** 40% of the employee's contractual hours immediately prior to the planned flexible retirement e.g. for a full time employee this will be one day a week, for a part time employee this will be 40% of their hours so someone working 30 hours would need to reduce their hours by 6 hours. The reduction in grade must be a **minimum** of two grades e.g. a Grade 5 to a Grade 3. If an employee decides to reduce their grade in order to take flexible retirement, they will be put on the top Spinal Column Point of the relevant grade.
16. There is no automatic right for an employee's request for flexible retirement to be agreed.
17. Heads of Service should contact their HR Business Partner Team to discuss any applications for flexible retirement that they receive. This is especially important where an application cannot be supported. In this case, Heads of Service should seek advice, prior to notifying the employee that the application cannot be supported, to ensure that the case has been reasonably considered and all alternatives have been explored. When an application is not supported, employees must be given written reasons as to why the application cannot be accommodated.
18. Employees will only be able to flexibly retire once so a number of reductions in hour or grade over a period of time will not be permitted. Any changes to an employee's contract as a result of an application for flexible retirement will be

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permanent and there is no automatic right to go back to full time hours or grade or for further reductions in hours or grade.

19. An employee retiring flexibly does not have to draw on all of the benefits they have built up at the point of flexible retirement. They have to draw
 - all of their pre 1st April 2008 benefits plus
 - all, some or none of their 1st April 2008 to 31st March 2014 benefits plus
 - all, some or none of their post 31st April 2014 benefits plus
 - any additional benefits in accordance with actuarial guidance issued by the Secretary of State. (Additional benefits are added years being purchased by the employee, AVCs (if the employee chooses to draw them), additional pension bought by APCs/SCAPS, additional pension bought by ARCs and additional pension awarded by the employer if they discretion has been adopted.)
20. There is no trial period for flexible retirement. Once it has been agreed, the decision cannot be reversed. This is, because of the direct impact upon the pension benefits.
21. Where an employee remains in post beyond age 65, flexible retirement remains a permissible option up until age 74.
22. Pension benefits must be drawn one day before reaching the age of 75.
23. Employees will remain in the pension scheme and accrue a second pension on the reduced hours or grade. unless the Council is informed in writing of the employee's decision to opt out of the Scheme. These benefits will become payable when the employee retires fully. Employees are also able to pay Additional Pension Contributions or Additional Voluntary Contributions to purchase additional pension benefits, if they so wish.
24. Prior to making any application for flexible retirement, employees need to ensure that they obtain all the necessary information about what pension benefits are payable, additional voluntary contributions, etc and other financial matters to inform their decision to take flexible retirement. In all cases advice must be sought from your HR Business Partner Team, who will contact the Greater Gwent Pension Fund on the employee's behalf. The Greater Gwent Pensions Fund will not deal directly with employees about their pension benefits in relation to flexible

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retirement applications as employer consent is needed for the application to progress. Employees are also advised to seek independent financial advice before making any decisions.

25. If an employee reduces their hours in the same job or obtains a new job by way of a flexible retirement application, all the conditions of their contract of employment will be retained, including recognition of continuous service for purposes of annual leave, sick pay and entitlement to the Council's long service award and for employment rights such as redundancy payments. However, although the entitlements will be retained the amount of the entitlement will be pro rata'd (apart from the Long Service Award) to the number of hours that the employee is working.
26. If an employee is not in the LGPS, or does not wish to draw their pension benefits, but wishes to reduce their hours in readiness for retirement, they should do so via a Flexible Working Request.
27. Managers should be mindful of their obligations under Equalities legislation and in particular the requirement not to discriminate or treat employees differently on the grounds of age.
28. It is also important to consider that as the Council's workforce begins to age, with possibly increased physical and medical issues or disabilities linked to age, that flexible retirement also benefits employees in helping to maintain a practical work-life balance, protecting income and pension for the employee and potentially reducing sickness absence to a minimum.

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INTERPRETATION OF THE SCHEME

30. In the event of a dispute relating to the interpretation of this scheme the Head of Workforce and Organisation Development or the Human Resources Service Manager will make the final decision on interpretation.

REVIEW OF THE SCHEME

31. A review of this scheme and procedure will take place when appropriate, and the Council retains the right to change the policy at any time. Any amendments will be consulted on with all the relevant parties. However, in the case of amendments relating to legislative requirements, the scheme will be amended and reissued.

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BENEFITS REDUCTION TABLE

Number of Years Paid Early	Pensions Reduction – Men	Pensions Reduction – Women	Lump Sum Reduction
0	0%	0%	0%
1	6%	5%	3%
2	11%	11%	6%
3	16%	15%	8%
4	20%	20%	11%
5	25%	24%	14%
6	29%	27%	16%
7	32%	31%	19%
8	36%	34%	21%
9	39%	37%	23%
10	42%	40%	26%
11	45%	44%	Not Applicable
12	48%	47%	Not Applicable
13	52%	50%	Not Applicable

NOTE

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1. You cannot receive your lump sum payment more than 10 years before your retirement date.
2. Figures provided by Government Actuary Department.
3. To calculate your normal pension age go to <https://www.gov.uk/calculate-state-pension> and then take the age that you wish to retire from your normal pension age to calculate how many years early you are retiring e.g. normal pension age is 67 and employee decides to retire at 61 they would be retiring 6 years early so a man would have a 29% reduction and a woman a 27% reduction.

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VOLUNTARY SEVERANCE SCHEME

Version:	Version 1- Draft 3 – August 2014
Scheme Ratified by:	Human Resources
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Review Year	2016
Impact Assessed	Yes

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INTRODUCTION

1. Caerphilly County Borough Council is committed to providing its employees with more choice and flexibility with regard to whether they wish to stay in work. Personal circumstances will differ, and there may be occasions where employees in areas affected by the need to downsize the workforce may wish to access voluntary severance opportunities.
2. The Council recognises that retaining a well-trained, well motivated and flexible workforce, with a wide range of skills and experience is essential to the provision of quality services. This will be a difficult balancing act when considering the staffing implications flowing from the Council's Medium Term Financial Plan.
3. A Voluntary Severance Scheme will allow the Council to offer employees, whose areas are affected by the need to downsize, a greater flexibility of options.

SCOPE OF THE SCHEME

4. This Scheme applies to all employees except those school based support/teaching staff for whom the Governing Body sets the local terms and conditions of employment.
5. The Council's recognised trade unions have been consulted on the Scheme.
6. The effective date of this scheme is ?? 2014. The Scheme and guidelines will be used to deal with all voluntary severance situations after this date.

GUIDING PRINCIPLES

7. When Service Areas are required to downsize their workforce, an individual employee or groups of employees may be identified as being at risk. Those employees would then fall under the Redeployment Policy, and all reasonable efforts will be made by the Council to redeploy the affected employee(s) into suitable alternative employment within the Council.
8. Whilst this process supports employees, and has historically been effective in securing alternative employment, this is not achievable in all cases. It is also recognised that the volumes of employees requiring the support of the Redeployment Policy, are anticipated to grow as a consequence of the requirements of the Medium Term Financial Plan. This in turn is likely to place this ability to successfully secure alternative employment, under further pressure.
9. A period of time in the redeployment period may be stressful, and place added pressures on the employee and us as the employer. Employees for

a whole host of personal reasons, may not wish to be placed in a position where they are in the redeployment pool. As a personal choice, they may prefer to access the Voluntary Severance Scheme, and leave our employment.

10. Where a Service Area has to downsize some individuals may not be directly at risk. However, for personal reasons they may volunteer to leave via a voluntary severance arrangement, allowing for the employee identified as at risk to be redeployed into their post, if they are deemed to be a suitable match. In addition, prior to identifying the actual detail of the individuals effected (particularly where this will cover larger employee groups rather than an individual post), Managers may wish to explore whether there are employees who would wish to volunteer. This may assist in reducing the timelines involved, and alleviate issues with concerned members of staff.
11. Heads of Service are required to draw up a Business Case to demonstrate that the Service Area is able to accommodate the voluntary severance request both operationally and financially. The business case should include the financial details of the severance payment and the benefit to the Service Area. The employee's termination date will be agreed as part of the business case process. The Business Case should be counter signed by the relevant Director.
12. Viable voluntary severance business cases would be considered as an alternative to the need for compulsory redundancies in a Service Area. This means that applicants who apply to access voluntary severance could be cross-matched against those at risk. If the business case is not viable for the Service Area, it may be possible to facilitate a voluntary severance arrangement by cross matching to a post within another Service Area.
13. There is no automatic right for an employee's request for voluntary severance to be agreed.
14. Heads of Service should contact their HR Business Partner Team to discuss any applications for voluntary severance that they receive. This is especially important where an application cannot be supported. In this case, Heads of Service should seek advice, prior to notifying the employee that the application cannot be supported, to ensure that the case has been reasonably considered and all alternatives have been explored. When an application is not supported, employees must be given written reasons as to why the application cannot be accommodated by the relevant Manager/Head of Service.

15. The value of individual severance payments will differ depending on the employee's length of service. However the means of calculating the severance payment will be consistent. The severance payment will be the equivalent of 60% at their current gross salary level. This payment will currently be capped at the top of HAY Grade C.
16. Managers should be mindful of their obligations under Equalities legislation and in particular the requirement not to discriminate or treat employees differently on the grounds of age.

INTERPRETATION OF THE SCHEME

17. In the event of a dispute relating to the interpretation of this scheme the Head of Workforce and Organisation Development or the Human Resources Service Manager will make the final decision on interpretation.

REVIEW OF THE SCHEME

18. A review of this scheme and procedure will take place when appropriate. Any amendments will be consulted on with all the relevant parties. However, in the case of amendments relating to legislative requirements, the scheme will be amended and reissued.

JANUARY 2015

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DRAFT REDUNDANCY SCHEME

Version:	Version 3- Draft 3 – August 2014
Scheme Ratified by:	Human Resources
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Review Year	2016
Impact Assessed	



SCOPE OF THE SCHEME

1. The Redundancy Scheme applies to any employee where a redundancy situation has been identified, irrespective of whether they are on a fixed term or permanent contract. This Scheme does not cover school based support employees.
2. The Council's recognised trade unions have been consulted on the Scheme.
3. The effective date of this scheme is ?? 2014. The scheme and guidelines will be used to deal with all redundancy situations after that date and supersedes all previous versions of the Scheme.

GUIDING PRINCIPLES

4. The Government's Statutory Redundancy Scheme allows for employees who lose their job via a redundancy situation to receive compensation for the loss of their job once they have accrued two year's continuous service with the employer. The details of the Statutory Scheme are as follows:
 - **0.5 week's pay for each full year worked when you are under 22 years of age.**
 - **1 week's pay for each full year worked when you are between 22 and 41 year's of age**
 - **1.5 week's pay for each full year worked when you are 41 years of age.**
5. Service is capped at 20 years with the maximum number of weeks that can be paid being 30 weeks. See attached table which shows how a redundancy payment is calculated based on an employee's age and service. Employees are also able to calculate their entitlement to a statutory redundancy payment at www.gov.uk/calculate-your-redundancy-pay
6. The weekly amount of statutory redundancy pay (April 2014) is capped at £464 per week for a full time employee. This amount increases every year in April.
7. The Local Government Pension Scheme Regulations, 2013 endorsed the changes introduced in the 2008 Regulations, with effect from 1st April 2014. The Regulations maintained the minimum age criteria in relation to employees retiring on the grounds of redundancy, interests and efficiency of the service and applications to release pension benefits early under Regulation 30 of the Local Government Pension Scheme (85 year rule). From that date, the minimum age increased from 50 to age 55 for all categories.
8. The Council's enhanced Redundancy Scheme also changed from that date and the main details are shown below. This means that the enhanced redundancy payment is calculated follows the same basis as the Statutory Calculator i.e an employee's age and service. However, it should be noted that a week's pay will not be capped at the statutory maximum but will reflect an employee's actual pay.

Reviewed 2014

Employees who do not have access to their Pension

- A redundancy payment based on the statutory calculator multiplied by two up to a maximum of 60 weeks.

Employees who are able to access their Pension

- A redundancy payment based on the statutory calculator up to a maximum of 30 weeks.
 - Will have immediate access to payment of their LGPS/TPS benefits
9. The only change in relation to applications for early release of pension benefits under Regulation 30 (85 rule) of the Local Government Pension Scheme is that the minimum age will change from 50 to 55. Applications, which require employer's consent, applies to staff between 55 - 60. Transitional protection is available under the LGPS to those staff who will be age 60 or over by 31st March, 2016 and meet the 85 year test.
10. If there is a change in Pension Regulations or any other relevant legislation including the basis of the calculation for statutory redundancy in the future, the Council reserves the right to change this Scheme to comply with any future legislation and Regulations.
11. If you have any queries, please do not hesitate to contact your Business Partner Team in Penallta House.

INTERPRETATION OF THE SCHEME

12. In the event of a dispute relating to the interpretation of this Scheme the Head of Workforce and Organisation Development or the Human Resources Service Manager will make the final decision on interpretation.

REVIEW OF THE SCHEME

13. A review of this scheme and procedure will take place when appropriate. and the Council retains the right to change the policy at any time. Any amendments will be consulted on with all the relevant parties. However, in the case of amendments relating to legislative requirements, the scheme will be amended and reissued.

2014

Statutory Redundancy Pay Table

To calculate the number of weeks redundancy pay, cross reference the your age and years of service and then multiply that number by the weekly salary. E.g. a person with a salary of £200 aged 22 with 4 years of service will be entitled to two weeks salary e.g. a total redundancy of £400.

17* - The table starts at age 17, as it is possible for a 17 year old to have 2 years service. Compulsory school leaving age can be 15^{3/4} or 15^{4/5} where a child is 16 before 1 September. Particular care should be taken when calculating an individual's redundancy pay when they joined as an employee below the age of 16.

61* - The table stops at age 61 because for employees age 61 and over, the payment remains the same as for age 61.

Statutory redundancy pay table																				
	Service (Years)																			
Age	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	
17*	1																			
18	1	1½																		
19	1	1½	2																	
20	1	1½	2	2½	-															
21	1	1½	2	2½	3	-														
22	1	1½	2	2½	3	3½	-													
23	1½	2	2½	3	3½	4	4½	-												
24	2	2½	3	3½	4	4½	5	5½	-											
	Service (Years)																			
Age	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	
25	2	3	3½	4	4½	5	5½	6	6½	-										
26	2	3	4	4½	5	5½	6	6½	7	7½	-									
27	2	3	4	5	5½	6	6½	7	7½	8	8½	-								
28	2	3	4	5	6	6½	7	7½	8	8½	9	9½	-							
29	2	3	4	5	6	7	7½	8	8½	9	9½	10	10½	-						
30	2	3	4	5	6	7	8	8½	9	9½	10	10½	11	11½	-					
31	2	3	4	5	6	7	8	9	9½	10	10½	11	11½	12	12½	-				
32	2	3	4	5	6	7	8	9	10	10½	11	11½	12	12½	13	13½	-			
33	2	3	4	5	6	7	8	9	10	11	11½	12	12½	13	13½	14	14½	-		
34	2	3	4	5	6	7	8	9	10	11	12	12½	13	13½	14	14½	15	15½	-	
35	2	3	4	5	6	7	8	9	10	11	12	13	13½	14	14½	15	15½	16	16½	
36	2	3	4	5	6	7	8	9	10	11	12	13	14	14½	15	15½	16	16½	17	
37	2	3	4	5	6	7	8	9	10	11	12	13	14	15	15½	16	16½	17	17½	
38	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	16½	17	17½	18	
39	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	17½	18	18½	

40	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	18½	19
41	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	19½
42	2½	3½	4½	5½	6½	7½	8½	9½	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½
43	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
44	3	4½	5½	6½	7½	8½	9½	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½	21½
45	3	4½	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
46	3	4½	6	7½	8½	9½	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½	21½	22½
47	3	4½	6	7½	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
	Service (Years)																		
Age	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
48	3	4½	6	7½	9	10½	11½	12½	13½	14½	15½	16½	17½	18½	19½	20½	21½	22½	23½
49	3	4½	6	7½	9	10½	12	13	14	15	16	17	18	19	20	21	22	23	24
50	3	4½	6	7½	9	10½	12	13½	14½	15½	16½	17½	18½	19½	20½	21½	22½	23½	24½
51	3	4½	6	7½	9	10½	12	13½	15	16	17	18	19	20	21	22	23	24	25
52	3	4½	6	7½	9	10½	12	13½	15	16½	17½	18½	19½	20½	21½	22½	23½	24½	25½
53	3	4½	6	7½	9	10½	12	13½	15	16½	18	19	20	21	22	23	24	25	26
54	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	20½	21½	22½	23½	24½	25½	26½
55	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22	23	24	25	26	27
56	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	23½	24½	25½	26½	27½
57	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25	26	27	28
58	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	26½	27½	28½
59	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	27	28	29
60	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	27	28½	29½
61+	3	4½	6	7½	9	10½	12	13½	15	16½	18	19½	21	22½	24	25½	27	28½	30

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COUNCIL - 7TH OCTOBER 2014

SUBJECT: PROPOSED AMENDMENT TO THE STANDARD SCRUTINY AGENDA
REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

- 1.1 The report was presented to the Democratic Services Committee on the 17th September 2014.
- 1.2 The report outlined proposals to amend scrutiny committee agendas to make them consistent with the new consultation arrangements for scrutiny committee forward work programmes as well as changes to the printing of scrutiny committee information reports. Members were advised of the costs associated with the printing of committee documents and the need to make savings in this area. It was noted that of the 105 information reports presented at scrutiny committee over the last 6 months only 4 were called in for discussion.
- 1.3 The Democratic Services Committee having fully considered the report were supportive of its recommendations but raised concerns in relation to the introduction of electronic rather than printed versions of information reports. Following a full discussion, the committee agreed an additional recommendation that electronic only publication of information reports be reviewed at the end of the financial year.
- 1.4 It was moved and seconded that the recommendation contained in the Officer's report and the additional recommendation be approved and Council informed of the endorsement of the Democratic Service Committee and by a show of hands this was unanimously agreed.
- 1.5 The Democratic Services Committee recommend to Council: -
 1. To remove the 'requests for reports agenda item' from the standard scrutiny committee agenda.
 2. To discontinue the printing of information reports and include advice on the agenda that copies of the reports are available electronically on the Council's website and Members Portal.
 3. The Monitoring Officer be given delegated powers to make the necessary amendments to the Council's Constitution.
 4. That the provision of only electronic information reports be implemented for a trial period with the transition reviewed at the end of the financial year.
- 1.6 Members are invited to consider the report and the above recommendations.

Author: E. Sullivan, Democratic Services Officer, Ext 4420.

Appendices:

Appendix 1 Democratic Services Committee Report - 17th September 2014 (Agenda Item. 4)

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DEMOCRATIC SERVICES COMMITTEE - 17TH SEPTEMBER 2014

SUBJECT: PROPOSED AMENDMENT TO THE STANDARD SCRUTINY COMMITTEE AGENDA

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES & SECTION 151 OFFICER

1. PURPOSE OF REPORT

- 1.1 To seek comments of Democratic Services Committee Members prior to the recommendation to Council, to amend the standard agenda format in order to reflect the recent changes to the process for the development of scrutiny forward work programmes and suggestions for change made by the Scrutiny Leadership Group.

2. SUMMARY

- 2.1 This report outlines proposals for scrutiny committee agendas to be amended and make them consistent with the new consultation arrangements for scrutiny committee forward work programmes. The report also suggests changes to the printing of scrutiny committee information reports in view of the low number of reports brought forward for discussion.

3. LINKS TO STRATEGY

- 3.1 The operation of scrutiny is required by the Local Government Act 2000 and subsequent Assembly legislation.

4. THE REPORT

- 4.1 The Scrutiny Improvement Action Plan was approved by full Council on 8th October 2013 and it contained a number of changes to the Council's established scrutiny committee arrangements.

Requests for Reports

- 4.2 The arrangements for development of scrutiny committee forward work programmes include formal consultation with the members of each scrutiny committee, officers, stakeholders and the general public. Following the consultation period, the work programme is agreed by the Scrutiny Leadership Group.
- 4.3 Since the introduction of the new forward work programme arrangements it has become apparent that the format of scrutiny committee agendas should be re-considered. At present the agenda includes a standing item whereby members of the committee can request reports for consideration on a future agenda. This agenda item is inconsistent with the new arrangements for developing forward work programmes as these are now produced on a rolling 12 week cycle.

- 4.4 In order to ensure that arrangements for requesting reports are clear and consistent with managing scrutiny committees forward work programmes, it is suggested that the standard item to request reports is removed from the scrutiny committee agendas.

Scrutiny Committee Information Reports

- 4.5 The Scrutiny Leadership Group recently considered how committee agendas could be improved.
- 4.6 At present reports for information are printed and included in the committee agenda pack. Information reports are not discussed at meetings unless a committee member specifically requests a report is brought forward for discussion. Scrutiny Leadership Group concluded that the reports are informative and help keep members up to date on issues but as they are only very occasionally brought forward for discussion the cost of printing information reports could not be justified.
- 4.7 The following table shows the number of 'for information reports' brought forward for discussion over the last 6 months:

Scrutiny Committee's Sept 2013 to April 2014	Number of Information Reports	Number of Reports Called Forward
Education for Life	17	0
Health Social Care & Wellbeing	10	1
Policy and Resources	38	3
Regeneration and Environment	45	2

- 4.8 As an alternative to printing information reports, it is proposed to continue to list the information reports on the agenda but not to print them for inclusion in the agenda pack. Councillors and members of the public would be advised on the agenda (members would also receive advice by email) that the reports are available electronically on the council's website (and Members Portal). Should a report be called forward for discussion, Democratic Services would provide members of the committee with printed copies of the report at the meeting.

5. EQUALITIES IMPLICATIONS

- 5.1 An EqIA screening has been completed in accordance with the Council's Strategic Equality Plan and supplementary guidance and no potential for unlawful discrimination and/or low level or minor negative impact have been identified, therefore a full EqIA has not been carried out.
- 5.2 Paper copies and alternate languages/formats would still be made available on request if required, as is current practice for all documents, in line with Equalities and Welsh language duties.

6. FINANCIAL IMPLICATIONS

- 6.1 There will be a small saving in the members printing budget if information items are only made available electronically.

7. PERSONNEL IMPLICATIONS

- 7.1 There are no personnel implications not contained in the report.

8. CONSULTATIONS

8.1 There are no consultation responses not contained in the report.

9. RECOMMENDATIONS

9.1 To recommend to Council that:

9.1.1 To remove the 'requests for reports agenda item' from the standard scrutiny committee agenda.

9.1.2 To discontinue the printing of information reports and include advice on the agenda that copies of the reports are available electronically on the Council's website and Members Portal.

9.1.3 The Monitoring Officer be given delegated powers to make the necessary amendments to the Council's Constitution.

10. REASONS FOR THE RECOMMENDATIONS

10.1 To make the arrangements in respect of report requests by scrutiny committee members consistent with the consultation on forward work programmes.

10.2 To reduce the cost of printing information reports.

11. STATUTORY POWER

11.1 Section 21 of the Local Government Act 2000

Author: Catherine Forbes-Thompson Scrutiny Research Officer
Consultees: Stuart Rosser, Interim Chief Executive
Nicole Scammell, Acting Director Corporate Services & Section 151 Officer
Gail Williams, Interim Head of Legal and Monitoring Officer
Angharad Price, Interim Deputy Monitoring Officer
Jonathan Jones, Democratic Services Manager
David A Thomas, Equalities and Welsh Language Officer
Cllr. Christine Forehead, Cabinet Member HR & Governance/Business Manager

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COUNCIL - 7TH OCTOBER 2014

SUBJECT: SOCIAL MEDIA PROTOCOL FOR ELECTED MEMBERS

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

-
- 1.1 The Draft Social Media Protocol for Member was considered by the Democratic Services Committee on 17 September 2014.
 - 1.2 Comments were made on 2 points in the Draft Protocol and it was agreed that these would be recorded in this report to Council.
 - 1.2.1 Concern was raised about paragraphs 2.1.5 and 2.1.6 which state that the members should not use social media during meetings and should use mobile devices sparingly and discreetly during meetings.

A difference of opinion arose in this regard with some Members in favour of the prohibition of social media use during meetings and other Members in favour of its use. The main concern expressed was that updating social media during a meeting would divert Members attention from the matter under debate which should be their primary focus.

The WLGA Guidance on Social Media states;

"Tweeting on meeting progress and receiving comments from the community can be helpful for transparency and engagement BUT excessive use of Twitter may give people the impression that you are not concentrating on the business in hand or are even relying on guidance from outside the meeting."

The then Local Government and Government Business Minister, Lesley Griffiths, made the following statement on 21 March 2014 on this topic;

"I am also very pleased nearly all County Borough Councils allow blogging and tweeting from their public galleries and Chambers. Social media is an evolving world and an excellent tool which should be embraced. There is no legislative barrier to councillors or the public using social media or filming during council meetings. Allowing filming and blogging is a matter for each Local Authority to decide for itself but I urge all Councils to give this matter serious consideration."

- 1.2.2 Concerns were also raised about paragraph 2.1.8.5 which states that members should be aware that any person they include as a contact on a social media site should be regarded, for the purposes of the Code of Conduct, as a close personal associate.

Guidance from the Public Ombudsman for Wales confirms the following;

"Close personal associates include people such as close friends, colleagues with whom you have particularly strong connections, business associates and close relatives. It does not include casual acquaintances, distant relatives or people you simply come in contact with through your role as member or your work in the local community. Close personal associates

can also include someone with whom you have been in dispute, or whom you may be regarded as having an interest in disadvantaging. For example, being a member of the same golf club as another person would not of itself constitute a close personal association but having that person as a weekly golf partner might well do. If you are in doubt, you should ask your Monitoring Officer."

This has to be translated into the associations that are made using social media and therefore contacts on a social media site should be regarded as close personal associates. There are clear benefits of using social media to communicate with members of the public but as described in the protocol different professional and personal sites can be used to differentiate between friends and constituents.

- 1.3 It was moved and seconded that the recommendation contained in the Officer's report be approved and Council informed of the endorsement of the Democratic Service Committee and by a show of hands this was agreed by the majority present.
- 1.4 The Democratic Services Committee recommend to Council that the Social Media Protocol set out in Appendix 1 of the Officer's report be adopted.
- 1.5 Members are invited to consider the report and the above recommendation.

Author: E. Sullivan, Democratic Services Officer, Ext 4420.

Appendices:

Appendix 1 Democratic Services Committee Report - 17th September 2014 (Agenda Item. 6)



DEMOCRATIC SERVICES COMMITTEE - 17TH SEPTEMBER 2014

SUBJECT: SOCIAL MEDIA PROTOCOL FOR ELECTED MEMBERS

REPORT BY: INTERIM HEAD OF LEGAL SERVICES AND MONITORING OFFICER

1. PURPOSE OF REPORT

- 1.1 To seek the views of the Democratic Services Committee on the draft Social Media Protocol for Elected Members set out in Appendix 1 to this report.
- 1.2 To recommend to Council the adoption of the Social Media Protocol.

2. SUMMARY

- 2.1 The draft protocol at Appendix 1 is intended to clearly set out how Elected Members ought to interact with social media both as Councillors and private individuals. In this respect, Part 2.1 of the Protocol refers to the use of social media by Elected Members.
- 2.2 The draft protocol seeks to restrict the use of social media by Elected Members during meetings as set out in part 2.1.5 of the protocol.

3. LINKS TO STRATEGY

- 3.1 As part of the Council's Communications Strategy, the Council recognises the opportunities that social media can deliver in terms of reputation enhancement, engaging with residents and other interested parties using their platform of choice, encouraging greater two-way dialogue and the insights that social media can provide. If managed appropriately the use of social media as a communications tool for elected members could benefit both the Council and stakeholders from all sections of the community.

4. THE REPORT

- 4.1 Social media is a collective term used to describe online media, which offer easy ways to publish content online and also to facilitate and participate in online conversations, which may invite the posting of comments or contributions or otherwise invite discussion.
- 4.2 Social media can involve social networks eg facebook; professional networks eg LinkedIn; content communities sites eg Flickr and Youtube; blogs eg via sites such as Wordpress and Blogger; micro-blogging sites eg Twitter.
- 4.3 Whilst it is recognised that social media can play an important part in the operation of a democratic society by offering positive opportunities for the Council to engage with the citizens of Caerphilly, it is apparent that the use of social media also presents the Council and elected members with certain risks and challenges and can potentially result in breaches of the Code of Conduct.

- 4.4 It is therefore important that elected members recognise the risks associated with social media and ensure it is not used in a way that breaches the Code of Conduct.
- 4.5 It is intended that the Councils Standards Committee will have regard to the Protocol when determining allegations of breach of the Code of Conduct involving the use of social media.
- 4.6 The draft protocol at Appendix 1 is intended to clearly set out how Elected Members ought to interact with social media both as Councillors and private individuals. In this respect, Part 2.1 of the protocol refers to the use of social media by Elected Members. The draft protocol also seeks to restrict the use of social media by Elected Members during meetings as set out in part 2.1.5 of the Protocol.
- 4.7 Members are asked to provide their views on the draft Protocol and to recommend to Council that the Protocol be adopted.

5. EQUALITIES IMPLICATIONS

- 5.1 There are no equalities implications in respect of this report

6. FINANCIAL IMPLICATIONS

- 6.1 There are none directly arising from this report

7. PERSONNEL IMPLICATIONS

- 7.1 There are none directly arising from this report.

8. CONSULTATIONS

- 8.1 The Report reflects the views of the listed consultees.

9. RECOMMENDATIONS

- 9.1 Subject to the views of the Democratic Services Committee to recommend to Council that the Social Media Protocol set out in Appendix 1 is adopted

10. REASONS FOR THE RECOMMENDATIONS

- 10.1 To provide Elected Members with guidelines when using social media.

11. STATUTORY POWER

- 11.1 Local Government Act 2000

Author: Gail Williams Interim Head of Legal Services and Monitoring Officer
Consultees: Stuart Rosser, Interim Chief Executive
Nicole Scammell, Acting Director of Corporate Services and Section 151 Officer
Councillor C Forehead, Cabinet Member HR & Governance/Business Manager
Angharad Price, Head of Democratic Services

Appendices:
Appendix 1 Draft Social Media Protocol



Caerphilly County Borough Council

Draft Social Media Protocol For Members

1. Introduction

1.1 Definition Of Social Media

- 1.1.1 Social media is a collective term used to describe online media, which offer easy ways to publish content online and also to facilitate and participate in online conversations, which may invite the posting of comments or contributions or otherwise invite discussion.
- 1.1.2 Social media can involve social networks (e.g. facebook); professional networks (e.g. LinkedIn); content communities sites (e.g. Flickr and Youtube); blogs (e.g. via sites such as Wordpress and Blogger); micro-blogging sites (e.g. Twitter). Social media can be accessed by a variety of digital equipment, such as laptops, smart-phones and tablets, which can also be used to capture audio-visual information.

1.2 Scope

- 1.2.1 This protocol is intended to set out clearly how Elected Members ought to interact with social media, both as County Councillors and private individuals. The Protocol provides guidance concerning the permissible use of social media by Elected Members during meetings.
- 1.2.2 The protocol does not relate to Officers of the Council who are covered by separate ICT policies.
- 1.2.3 The use of social media by Elected Members is covered by part 2.1 of the Protocol.
- 1.2.4 The use of social media by Elected Members during meetings is discussed in 2.1.5.

1.3 Background

- 1.3.1 Social media can play an important part in the operation of a democratic society by offering positive opportunities for the Council and its Elected Members to engage with the citizens of Caerphilly. For example, social media can be an efficient and cost effective way for the Council to keep in touch with residents and businesses. Elected Members can also effectively use social media to interact with constituents and support local democracy. It has been demonstrated that, when used effectively, social media can engage those who would not otherwise participate in local politics or interact with their Elected Members.
- 1.3.2 It is apparent that the use of social media also presents the Council and its Elected Members with certain risks and challenges. In particular, the use of social media by

Elected Members can potentially result in breaches of the Code of conduct. Therefore, it is important that Elected Members recognise the risks associated with social media and ensure that they do not use social media in a way which breaches the Code of Conduct.

- 1.3.3 It is intended that the Council's Standards Committee will have regard to the Protocol when determining allegations of breach of the Code of Conduct involving the use of social media.

2. Social Media & The Council

2.1 Use Of Social Media By Elected Members

- 2.1.1 It is likely that the use of social media by Elected members may include participation in Council sponsored media, such as blogs, use made in a private or seemingly private, capacity through a private account, anonymous participation with, or contribution to blogs, forums or other social media sites.
- 2.1.2 Members are bound by the terms and conditions of the individual social media sites. In addition, Members should recognise that their use of social media could be covered by the Code of Conduct, and it is likely that any failure to comply with the law and user agreements of the sites could constitute a breach of the Code of Conduct. In particular, Members should also avoid using social media in a way, which suggests bias and predetermination.
- 2.1.3 In addition to issues covered by the Code of Conduct, Members are reminded that their use of Social Media can have implications in general law, which for an Elected Member may have serious consequences.
- 2.1.4 It is suggested that the potential difficulties arising from the use of social media can be avoided if the information published by members is objective, balanced, informative and accurate. The effects of publishing information online can be long lasting, as access to online published content is pervasive and effectively published in perpetuity.
- 2.1.5 Members should not use social media during meetings. The restriction extends both to making contemporaneous comments on other individuals or issues and accessing social media during meetings.
- 2.1.6 In addition, Members should seek to avoid giving others the impression that they are not fully attentive to the proceedings of a meeting. This can be done by ensuring that mobile devices are used sparingly and discreetly during meetings.
- 2.1.7 Members should avoid using mobile devices to send or receive information which is not connected with the matters under consideration in the meeting. Use made of mobile devices to send or receive private messages or email during meetings ought to be reasonable and discreet. Chairs should reprimand any Member whose use of mobile devices during meetings is deemed to be excessive.
- 2.1.8 The following paragraphs of the Code of Conduct will apply to the use of social media and other online behaviour. The rights of Members under Articles 8 and 10 (Schedule 1) of the Human Rights Act 1998 have been considered.
- 2.1.8.1 Paragraph 5.4(a) "carry out your duties and responsibilities with due regard to the principle that there should be equality of opportunity for all people, regardless of their gender, race, disability, sexual orientation, age or religion".

Members should ensure that their use of social media does not breach the Council's principles of equality. Discriminatory statements are also likely to

be unlawful.

2.1.8.2 Paragraphs 5.4(b) "*show respect and consideration for others*".

Members should be aware that whilst political comments and the expression of political opinions and arguments are not stifled by the Code of Conduct, it is likely that personal remarks aimed at an individual could be seen as disrespectful and could constitute a breach of the Code.

Members are reminded that their use of social media could result in the libel of another individual. This also applies if a Member with a personal social media site allows any individual to publish libellous content on it.

2.1.8.3 Paragraph 5.4(c) "*not use bullying behaviour or harass any person*"

Members should be cautious when making personal comments about individuals and social media should never be used to review and discuss the performance of Council staff. The Council will not tolerate any anonymous use by members of social media, which is deemed to bully or harass any person.

Members who maintain a blog or networking site (such as Twitter) should be aware that the comments of others on those sites could be attributed to the member by association. Members should ensure that defamatory or obscene comments are removed from their personal sites.

2.1.8.4 Paragraph 5.5(a) "*disclose confidential information or information which should reasonably be regarded as being of a confidential nature, without the express consent of a person authorised to give such consent, or unless required by law to do so*".

Members should always be certain that information they discuss or disclose on social media sites is not confidential and that it is proper to do so. Members should remember that information placed on a website, whether anonymously or not, which could only have been obtained by a member is likely to fall under the Code.

Members should never publish the personal data of individuals on social media sites in breach of the Data Protection Act 1998.

Members should avoid breaching copyright by publishing images or text on a social media site, which is the intellectual property of another person.

2.1.8.5 Paragraph 10(2)(c)(1) *Personal interests "or any person with whom you have a close personal association"*.

Various terms are used to define online contacts and associations on various social media sites. These terms include "friends" (Facebook) and "followers" (Twitter). Members should be aware that any person they include as a contact on social media site should be regarded, for the purposes of the Code of Conduct, as a close personal associate. Members should be cautious that their use of social media sites does not give the perception that a conflict of interests exists. It is advisable that Members, when creating their own content on social media sites, seek to emphasise the distinction between business content and pages containing personal content.

2.1.8.6 Paragraph 12(1) Prejudicial interests "*...a member of the public with knowledge of the relevant facts would reasonably regard as so significant that it is likely to prejudice your judgement of the public interests*".

Members should be cautious that their use of social media sites does not give the perception that they have a prejudicial interest in any matter.

- 2.1.9 Elected Members are bound by the code of conduct if they use social media to conduct Council business or are representing the Council. However, an Elected Member could be open to allegations that he/she acted in breach the Code of Conduct if the use made of social media was inappropriate and that he/she was not conducting official business, but merely claiming or giving the impression that he/she was acting in an official capacity.
- 2.1.10 Anonymous use of social media by Members can also lead to a breach of the code where it can be demonstrated that a Member uploaded the site content and that they were acting in their capacity as a Member.
- 2.1.11 In order to determine whether a Member was acting in an official capacity, it would be necessary to consider the context of a Member's use of social media, taking into account such factors as:
- The public profile of a Member, which can result in a reasonable assumption being made that the Member was acting as a County Councillor
 - The privacy settings on her social media site or blog. It is a member's responsibility to ensure that appropriate privacy settings are in place. If constituents can access a Member's post they may make the reasonable assumption that the Member is acting in an official capacity;
 - Members should seek to enable other users of social media to avoid any misunderstanding over the official status, or otherwise; of the Member's contributions.
- 2.1.12 Members should avoid discussing council business on a personal social media site, or make remarks about others. It is not adequate for Members to subsequently claim that any disputed posts were made in a private capacity.

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COUNCIL - 7TH OCTOBER 2014

SUBJECT: IMPLEMENTATION OF ELECTRONIC VOTING AND WEBCASTING OF FULL COUNCIL MEETINGS

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

1. PURPOSE OF REPORT

- 1.1 To seek agreement to begin webcasting meetings of full Council.
- 1.2 To approve the draft 'Protocol for Webcasting of Council Meetings' attached at appendix 1.
- 1.3 To implement electronic voting.
- 1.4 That Members consider whether the style of minutes of webcast meetings should continue in their existing format or change to record only procedural matters and decisions made.
- 1.5 To agree consequential changes to the Council's constitution.

2. SUMMARY

- 2.1 The Council accepted a Welsh Government grant of £40,000 to implement the webcasting of council meetings and allow Members to attend meetings remotely. The decision to implement remote attendance was a matter for local choice within the provisions of the Local Government (Wales) Measure 2011 and therefore full Council agreed to preclude the implementation of remote attendance on 10th June 2014. The acceptance of the Welsh Government grant is dependant on the implementation of webcasting.
- 2.2 Full Council approved the recommendations resulting from the Wales Audit Office's Report in the Public Interest on 23rd April 2013. To ensure the recommendations were fully implemented, the Council approved an "Improving Governance Action Plan", including the following recommendations:
 - 'The electronic voting system available in the Council Chamber must be used for all council meetings held in the Council Chamber'.
 - 'The Council's intention to start webcasting council meetings is welcomed. In preparation for this new innovation Democratic Services should review its style of recording minutes to ensure consistency. Given the increased transparency that webcasting will provide it is acknowledged there maybe a difference in style between meetings that are webcast and those that are not'.
 - 'Following each meeting of full Council, the voting record (listing the way each Member has voted) must be published on the Council's website'.

2.3 This report sets out the framework for implementing webcasting and electronic voting.

3. LINKS TO STRATEGY

3.1 To ensure the Council complies with the terms of the Welsh Government's grant for webcasting and remote attendance. The implementation of webcasting will provide improved public engagement opportunities in the Council's decision making process

4. THE REPORT

4.1 A webcast is an unedited audio and visual recording of a meeting which is available via the Council's website to view either live or in an archive format. The Council Chamber has 3 fixed cameras and a new audio visual system which will enable the webcasting of a full Council meeting. The webcast recordings of council meetings will be available in date order on the Council's website for 18 months.

4.2 The Council has let a 3 year contract with Public-i, a leading webcasting supplier, for the hardware, software and electronic storage of webcast recordings. The equipment is installed in the Council Chamber and will be operated by a Democratic Services team member. All parts of a Council meeting will be recorded with the exception of discussions of 'exempt' reports which contain confidential information as defined by Schedule 12A of the Local Government Act 1972.

4.3 A 'Protocol for the Webcasting of Council Meetings' is attached as appendix 1. The appendix is outlines guidance for those attending full Council meetings (including Members, officers and members of the public) and associated procedures which will be included in the Council's constitution.

5. IMPLEMENTATION OF ELECTRONIC VOTING

5.1 Full Council approved a report on 11th March 2008 to amend the Council's Constitution to provide for voting to be undertaken electronically. The hardware and software to support electronic voting was unreliable and as such, it was not possible to implement the decision to move to electronic voting in the Council Chamber. The Audio Visual equipment has recently been replaced, therefore the Council is able to implement it's decision to use electronic voting at meetings of full Council.

5.2 The implementation of the electronic voting system for meetings held in the Council Chamber will improve transparency of decision making. Webcasting will provide a complete and unedited video and audio public record of council meetings where non exempt matters are discussed. The electronic voting system will also automatically display in the Chamber how each Member has voted and generate a hard copy of how each Member has voted. This record will subsequently be published on the Council's website the day after each meeting. Therefore, the minutes of webcast meetings need only to contain a record of procedural matters and decisions made. The current format of minuting meetings that are not webcast will continue unaltered.

6. PROCEDURE FOR VOTING

6.1 Members and Officers benches have an individual control panel containing a microphone, LCD screen and buttons to allow Members to vote 'Yes', 'No' or 'Abstain'. The electronic voting system has been configured such that only Members control panels have the ability to vote.

- 6.2 To ensure there is a consistent approach for the operation of electronic voting, it is recommended that the following procedure is adopted by Council:
- a. The Chief Executive or Monitoring Officer will confirm the motion to be voted upon and declare the outcome of the vote.
 - b. The vote will be open for 20 seconds and Members must cast their vote in this time. Members can change their vote while the vote is open, however, their vote cannot be altered once the vote has been closed.
 - c. The Chief Executive or Monitoring Officer will announce that the vote is closing and confirm the vote is closed after 20 seconds have passed.
 - d. The outcome of the vote will be displayed on television screens in the Chamber. The Chief Executive or Monitoring Officer will check the number of votes cast does not exceed the number of Members in attendance and then announce the outcome of the vote. The vote will only take effect once the outcome is confirmed by Chief Executive or Monitoring Officer.
- 6.3 Should the electronic voting system be unavailable or breakdown during a meeting, voting will revert to being undertaken by a show of hands.
- 6.4 The Mayor shall have the casting vote in the event that the vote is tied. The Mayor's casting vote shall be made verbally.

7. PERSONNEL IMPLICATIONS

- 7.1 An additional member of the Democratic Services Team will be required to operate the electronic voting and webcasting systems. These duties can be absorbed from the existing staffing compliment.

8. EQUALITIES IMPLICATIONS

- 8.1 Approving the recommendations of this report supports improved accessibility of Council proceedings for members and the public, regardless of individual circumstances and backgrounds. This report therefore supports the Council's Strategic Equality Objectives 3, 4, 5 and 7 (Physical Access, Communication Access, Engagement and Participation, Corporate Compliance).

9. FINANCIAL IMPLICATIONS

- 9.1 A Welsh Government grant of £40,000 has been received to assist with the implementation of webcasting. The grant is sufficient to meet the costs of webcast for 4 years. It is expected that the ongoing costs associated with webcasting will require additional resources.

10. CONSULTATION

- 10.1 This report was considered by Democratic Services Committee on 17th September 2014. The Committee endorsed recommendations a, b, c and e below. The Committee discussed whether the style of minutes of webcast meetings should record only procedural matters and decisions made. Changing the style of minutes to only record procedural matters and decisions made would ensure that there is no discrepancy between the written minutes and the webcast recording. That said, Members expressed concern that the change would not reflect debate and as a result be an incomplete written record of proceedings. It was moved and seconded that minutes of webcast meetings should continue in their existing format and by a show of hands this was unanimously agreed.
- 10.2 There are no consultation responses that have not been included in this report.

11. RECOMMENDATIONS

11.1 That Council approve:

- a. The implementation of webcasting meetings of full Council. It is anticipated that the system is tested over the next 2 months and implemented thereafter.
- b. The draft 'Protocol for Webcasting of Council Meetings' and in particular the change to the Council agenda, notices to be displayed inside and outside of the Council Chamber and the Mayor's announcement, attached at appendix 1.
- c. The implementation of electronic voting begins at the same time as webcasting begins subject to a successful trial over the next few meetings. In the interim, a trial of electronic voting is undertaken at meetings of full Council, however, Members continue to make decisions by a show of hands.
- d. That Members consider whether the style of minutes of webcast meetings should continue in their existing format or change to record only procedural matters and decisions made.
- e. Consequential amendments to the Council's constitution arising from the implementation of electronic voting and webcasting and delegate this responsibility to the Monitoring Officer.

12. REASONS FOR THE RECOMMENDATIONS

- 12.1 To implement electronic voting and webcasting of meetings of full Council.

22. STATUTORY POWERS

- 22.1 Local Government and Housing Act 1989, the Local Government Act 2000, Local Government Wales Measure 2011.

Author: Jonathan Jones, Democratic Services Manager
Tel 01443 864242, Jonesj16@Caerphilly.gov.uk

Consultees: Chris Burns, Interim Chief Executive
Sandra Aspinall, Acting Deputy Chief Executive
Dave Street, Corporate Director of Social Services
Nicole Scammell, Acting Director of Corporate Services and Section 151 Officer
Gail Williams, Interim Head of Legal Services and Monitoring Officer
Angharad Price, Interim Deputy Monitoring Officer
David Thomas, Senior Policy Officer (Equalities and Welsh Language)
Cllr Keith Reynolds, Council Leader
Cllr C Forehead, Cabinet Member for Human Resources and Governance/Business Manager
Members of the Democratic Services Committee

Background Papers:

Cabinet Report dated 16th April 2014 entitled 'Renewal of Audio and Visual Equipment for the Council Chamber

Appendices:

Appendix 1 - Protocol for the Webcasting of Council Meetings



PROTOCOL FOR THE WEBCASTING OF COUNCIL MEETINGS

INTRODUCTION

Purpose

This protocol provides guidance for those attending full Council meetings (including members, officers and members of the public) and associated procedures which will be included in the Council's constitution.

In addition, the protocol aims to ensure that the Council is compliant with its obligations under the Data Protection Act 1998 and the Human Rights Act 1998.

Webcasting

The Council has agreed it will webcast meetings of full Council held in the Council Chamber, Penallta House.

A webcast is an unedited audio and visual recording of a meeting which is available via the Council's website to view either live or in an archive format.

The main purpose of webcasting is to give members of the public the chance to view meetings as they happen without having to attend in person

The webcast recordings of council meetings will be available in date order on the Council's website for 18 months.

Webcasting Notices and Signage

It is important to ensure that those attending a meeting of full Council are aware that the meeting is being recorded and webcast. A notice will appear on the relevant meeting agenda and a sign will be displayed inside and outside of the Council Chamber to ensure those attending understand the meeting is being webcast.

The following notice will appear on the relevant agenda:

This meeting will be filmed and made available to view in live and archive form via the Council's website. The whole of the meeting will be filmed, except for discussions involving confidential or exempt items. The webcast will be available for 18 months from the date of the meeting at www.caerphilly.gov.uk

It is possible that the public seating areas could be filmed and by entering the Chamber you are consenting to being filmed and to the possible use of those images and sound recordings for webcasting purposes.

If you have any queries please contact the Democratic Services Manager by email jonesj16@caerphilly.gov.uk or telephone 01443 864242.

The following sign will be displayed inside and outside of the Council Chamber:

Webcasting Notice

Please note that Caerphilly County Borough Council will film this meeting and it will be made available to view in live and archive form via the Council's website.

It is possible that the public seating areas could be filmed and by entering the Chamber you are consenting to being filmed and to the possible use of those images and sound recordings for webcasting purposes.

If you have any queries please contact the Democratic Services Manager by email jonessj16@caerphilly.gov.uk or telephone 01443 864242.

Members and Officers Consent

There is a presumption that Members and officers give their consent to being filmed and for their images to be webcast.

Public Speakers

Representatives from other organisations or members of the public being presented or speaking at a meeting of full Council will be informed in advance that the meeting will be filmed and made available for viewing in live or archive format via the Council's website.

Announcement at Start of Meeting

At the start of each meeting to be filmed, an announcement will be made by the Mayor or Chair to the effect that the meeting is being webcast. The suggested announcement is as follows:

I would like to remind everyone present that this meeting is being filmed and made available to view in live and archive form via the Council's website. If you are seated in the public gallery it is possible that the cameras may capture your image and you are deemed to be consenting to being filmed and your image and sound recordings webcast.

Use of Microphones

Microphones must be turned on before speaking to ensure their voice is recorded and can be heard on the webcast recording.

Suspension of Recording

All parts of a Council meeting will be recorded with the exception of discussions of 'exempt' reports which contain confidential information as defined by Schedule 12A of the Local Government Act 1972.

The Mayor or Chair of the meeting has the discretion to request the termination or suspension of the webcast if in the opinion of the Mayor or Chair continuing to webcast would prejudice the proceedings of the meeting or, if the Mayor or Chair, on advice, considers that continued filming might infringe the rights of any individual. This would include:

- (i) Public disturbance or other suspension of the meeting;
- (ii) Exclusion of public and press being moved and supported under relevant legislation;
- (iii) Any other reason moved and seconded and supported by full Council.

Removal of Archive Recordings

Archived webcasts or parts of webcasts shall only be removed from the Council's website if the Monitoring Officer considers that it is necessary because all or part of the content of the webcast is or is likely to be in breach of any statutory or common law provision, for example Data Protection and Human Rights legislation or provisions relating to confidential or exempt information.

If the Monitoring Officer has decided to take such action the officer will notify all Councillors in writing as soon as possible to explain the reason(s) for the decision. It is anticipated, however, that meetings will be conducted lawfully and that the need to exercise this power will occur only on an exceptional basis.

Language

Webcast recordings will be broadcast in the language used in the Council chamber. Any requests for simultaneous translation will be considered by the Monitoring Officer if made at least 5 days prior to the meeting date.

Minutes of Council Meetings

The Council produces minutes of full council meetings and they are the formal record of Council meetings. Minutes of webcast meetings will only record procedural matters and decisions made. In the event that the webcasting equipment fails or webcasting is suspended during a meeting the minutes will also contain a summary of the debate preceding any decision.

Copyright

The webcasts and archived material and its copyright therein, remain the property of the Council, and the right to copy, issue, rent, perform, communicate or adapt any of the webcast or archived material is restricted as follows:

(i) Subject to (ii) and (iii) below, any person may copy and use webcast material or part thereof providing that the facility is not used in a way that otherwise breaks the law.

(ii) The use of any webcast involving the alteration or editing of the material which results in changing the message or context without the prior written approval of the Monitoring Officer is not permitted.

(iii) The use of webcast for commercial purposes involving re-use of the material is not permitted without the prior written approval of the Monitoring Officer.

Other Recording of Meetings

This protocol only applies to meetings of full Council and does not affect the Council's existing restrictions on photography, filing or recording of other Council meetings. No other form of photography, filing or recording of full Council meetings is permitted.

Code of Conduct

Members and officers are reminded that their code of conduct applies in meetings of full Council.

Managing Technical Faults

If a technical fault develops with the webcasting equipment, the Mayor or Chair will agree a short recess to enable the problem to be resolved. If after 15 minutes the problem still exists, the meeting can continue irrespective of it not being recorded.



COUNCIL - 7TH OCTOBER 2014

SUBJECT: ANNUAL LETTER FROM THE PUBLIC SERVICES OMBUDSMAN FOR WALES 2013-14

REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES AND SECTION 151 OFFICER

-
- 1.1 The attached report was presented to the Standards Committee on 23rd September 2014. The Annual Letter, received from the Public Services Ombudsman for Wales, provides a breakdown of all complaints received and investigated by his Office during 2013/14 and the response times to requests for information.
 - 1.2 The Standards Committee noted that there has been decrease in the number of complaints received by the Ombudsman compared with 2012/13 whilst the number of complaints investigated has remained at the same level. Both figures are below the local authority average. The figures show that the Ombudsman has received an above average number of complaints relating to Housing whilst there has been a noticeable drop in the number of complaints relating to Planning and Building Control.
 - 1.3 In relation to the number of Housing complaints, Members noted that the Ombudsman has stated that *"as with previous exercises the figures for 2013/14 have not been adjusted to take account of the transfer of housing stock. However it is noted that there is likely to be a higher proportion of Housing complaints where local authorities have retained their housing stock"*. In this respect the Members were reminded that this Authority has retained its housing stock.
 - 1.4 The Committee were informed that the second paragraph of the Annual Letter makes reference to "a noticeable increase in social services complaints". It was noted that whilst there has been an increase in Caerphilly, the Council is still below the Wales average. With regard to the new statutory social services complaints procedure, this was implemented in August. The new procedure reduces the numbers of stages prior to a referral to the Ombudsman from three to two. It is recognised that this change has the potential to increase the number of referrals to the Ombudsman and the relevant Officers are actively monitoring this issue.
 - 1.5 With regards to the data, it was noted that the graph on page 8 indicates that all responses were received more than four weeks after the request. This data relates to two complaints investigated by the Ombudsman. Following clarification with the Ombudsman it has been ascertained that the information is incorrect, one complaint was responded to within four weeks, the second was responded to within four weeks, but unfortunately the response was received one day late, hence is correctly referred to in the data. In the circumstances the Council has asked the Ombudsman to issue an amended Letter to reflect the correct response time
 - 1.6 The Standards Committee noted the content of the Annual Letter and were advised that it will be presented to Council.
 - 1.7 Members are asked to note the content of the Annual Letter, received from the Public Services Ombudsman for Wales.

Author: H. Morgan, Senior Committee Services Officer

Appendices:

Appendix 1 Report to Standards Committee – 23rd September 2014 (agenda item no 4 refers).



STANDARDS COMMITTEE – 23RD SEPTEMBER 2014

SUBJECT: ANNUAL LETTER FROM PUBLIC SERVICES OMBUDSMAN FOR WALES 2013-2014

REPORT BY: INTERIM HEAD OF LEGAL SERVICES AND MONITORING OFFICER

1. PURPOSE OF REPORT

- 1.1 To update the Standards Committee on the Annual letter (2013-2014) from the Public Services Ombudsman for Wales regarding complaints received and investigated by the Ombudsman. The report will also be placed before Council on the 7th October 2014.

2. SUMMARY

- 2.1 To inform Members of the Public Services Ombudsman for Wales Annual Letter 2013/14.

3. LINKS TO STRATEGY

- 3.1 The duty to oversee complaints received and investigated by the Ombudsman is within the terms of reference of this Committee.

4. THE REPORT

- 4.1 The Annual Letter setting out a clear and concise breakdown of all complaints received and investigated by the Public Services Ombudsman for Wales during 2013/14 in relation to Caerphilly was received in July 2014.
- 4.2 A copy of the Annual Letter is attached at Appendix 1 to the Report.
- 4.3 Members will note the second paragraph of the Annual Letter makes reference to "a noticeable increase in social services complaints". Members will note that whilst there has been an increase in Caerphilly, the Council is still below the Wales average. With regard to the new statutory social services complaints procedure, this was implemented in August. The new procedure reduces the numbers of stages prior to a referral to the Ombudsman from three to two. It is recognised that this change has the potential to increase the number of referrals to the Ombudsman. The relevant Officers are actively monitoring this issue.
- 4.4 Members will note that the data attached as an appendix to the Annual Letter includes a detailed breakdown of complaints received and investigated, and response times to requests for information.
- 4.5 This data is self-explanatory and therefore no further comment is offered other than to ask the Committee to formally note the following:

- 4.5.1 In relation to Caerphilly, there has been decrease in the number of complaints received by the Ombudsman compared with 2012/13 whilst the number of complaints investigated has remained at the same level. Both figures are below the local authority average.
- 4.5.2 The figures show that the Ombudsman has received an above average number of complaints relating to Housing whilst there has been a noticeable drop in the number of complaints relating to Planning and Building control.
- 4.5.3 In relation to the number of Housing complaints I would draw Members attention to the paragraph headed Housing Stock on page 3 of the Annual Letter, which states that “as with previous exercises the figures for 2013/14 have not been adjusted to take account of the transfer of housing stock. However it is noted that there is likely to be a higher proportion of Housing complaints where local authorities have retained their housing stock”. In this respect Members are reminded that this Authority has retained its housing stock.
- 4.5.4 The Ombudsman has dealt with one case by way of quick fix and voluntary settlement details of which are set out in the summary on page 9 of the Letter.
- 4.5.5 The Ombudsman has "upheld" one report against the Council and this figure is below the local authority average. This matter has been the subject of a Report to the Standards Committee on 10th June 2013 and Full Council on 11th June 2013.
- 4.5.6 Members attention is drawn to the response times of the Authority when responding to requests for information by the Ombudsman. Members will note that the graph on page 8 indicates that all responses were received more than four weeks after the request. This data relates to two complaints investigated by the Ombudsman. Following clarification with the Ombudsman it has been ascertained that the information is incorrect, one complaint was responded to within four weeks, the second was responded to within four weeks, but unfortunately the response was received one day late, hence is correctly referred to in the data. In the circumstances the Council has asked the Ombudsman to issue an amended Letter to reflect the correct response time.
- 4.5.7 Details of the Code of Conduct complaints for elected Members will be found at Section H of the appendix to the letter. There were no complaints where there was evidence of a breach, the Ombudsman decided not to investigate four, no action was necessary in respect of two and one was withdrawn.

5. FINANCIAL IMPLICATIONS

- 5.1 None.

6. PERSONNEL IMPLICATIONS

- 6.1 None.

7. EQUALITIES IMPLICATIONS

- 7.1 None.

8. CONSULTATIONS

- 8.1 This Report reflects the contents of the Annual Letter and therefore has been no formal consultation on the contents of this Report. A copy of the Report has been provided to the consultees listed below.

9. RECOMMENDATIONS

- 9.1 It is recommended that the Committee note the report. The report will be placed before Council on the 7th October, 2014.

10. REASONS FOR THE RECOMMENDATIONS

- 10.1 To satisfy the Council's statutory duties under the Public Services Ombudsman (Wales) Act 2005.

11. STATUTORY POWER

- 11.1 Public Services Ombudsman (Wales) Act 2005, Local Government Act 1974.

Author: Gail Williams, Interim Head of Legal Services/Monitoring Officer

Consultees: For information only

Chris Burns, Interim Chief Executive

Sandra Aspinall, Acting Deputy Chief Executive

Dave Street, Corporate Director, Social Services

Nicole Scammell, Acting Director of Corporate Services

Councillor Keith Reynolds, Leader of the Council

Councillor Chris Forehead, Cabinet Member, HR Governance/Business Manager

Chair of Standards Committee

Appendices:

Appendix 1 Annual Letter from Public Services Ombudsman

Background papers

Exempt Report to Standards Committee dated 10th June, 2013

Exempt Report to Council dated 11th June, 2013

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Our ref: MG/jm

Ask for: James Merrifield

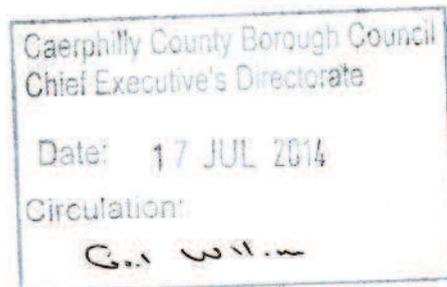
Your ref:

01656 644 200

Date: 15 July 2014

James.Merrifield@ombudsman-wales.org.uk

Mr Stuart Rosser
Interim Chief Executive
Caerphilly County Borough Council
Penallta House
Tredomen Park
Ystrad Mynach
Hengoed
CF82 7PG



Dear Mr Rosser

Annual Letter 2013/14

Following the recent publication of my Annual Report, I am pleased to provide you with the Annual Letter (2013/14) for Caerphilly County Borough Council.

Whilst health complaints have continued to rise, and remain the most numerous type of complaint, there has also been a noticeable increase in social services complaints. This suggests that service user discontent with social service provision is now beginning to manifest itself in a similar way to service users of health provision. My office will continue to monitor this area of growth, particularly in view of the changes to the Ombudsman's jurisdiction as a result of the Social Services and Well-being (Wales) Bill and the changes to the statutory social services complaints procedure. This growth is clearly a matter of concern, and I would urge local authorities to monitor trends in the complaints made to them in this area of service delivery.

In reference to the overall performance of county and county borough councils in Wales, my office has issued fewer reports, compared with 2012/13. There has also been a slight drop in the number of cases closed by way of 'quick fix' or 'voluntary settlement' - In view of the benefits to all parties in resolving certain types of complaints quickly and without the need for full investigation, I would encourage all Councils to be receptive to redress proposals from my office which would enable cases to be resolved in this way. Finally, the figures show that the largest number of complaints relate to 'Planning and Building Control' and 'Housing', followed by complaints about 'Children's Social Services' and 'Roads and Transport'.

I have issued nine Public Interest Reports during 2013/14, the majority of which related to health complaints. Some of these reports have identified serious failings in respect of clinical care provided to patients, and the lessons to be learnt from such reports are most relevant to health bodies. However, other public interest reports have identified failings in respect of making reasonable adjustments to accommodate a patient's deafness; acting in accordance with, or implementing guidelines; and, incomplete record-keeping. These are serious failings which could potentially occur within any public body or service provider, and I would therefore encourage you to review all public interest reports to identify any lessons which may apply to your Council.

In reference to the amount of time taken by public bodies in Wales in responding to requests for information from my office during 2013/14, whilst there has been an increase in the percentage of responses received within four weeks, 36% of responses from public bodies have taken more than 6 weeks. I have outlined my concerns in the Annual Report over the way in which complaints are handled, and have also previously referred to 'delay', and the consequences of it, in The Ombudsman's Casebook. Clearly, there remains work to do to ensure that public bodies are providing information promptly and I would encourage all bodies to consider whether their performance in this area warrants further examination.

In reference to your Council, there has been a decrease in the number of complaints received by my office, compared to 2012/13, whilst the number of complaints investigated has remained at the same level. Both figures are below the local authority average. The figures show that my office has received an above-average number of complaints relating to Housing, whilst there has been a noticeable drop in the number of complaints relating to Planning and Building Control. Although my office has issued one 'upheld' report against your Council, this figure is below the local authority average. However, it is disappointing to note that the response times for your Council indicate that all responses were received more than four weeks after they were requested.

The new Ombudsman will be taking up his post in August and I am sure he will be in touch at an appropriate time to introduce himself and possibly to discuss some of the above matters. Finally, following the practice of previous years, a copy of the annual letters issued to county and county borough councils will be published on the PSOW's website.

Yours sincerely



Professor Margaret Griffiths
Acting Ombudsman

Appendix

Explanatory Notes

Section A compares the number of complaints against the Council which were received by my office during 2013/14, with the local authority average (adjusted for population distribution) during the same period.

Section B provides a breakdown of the number of complaints about the Council which were received by my office during 2013/14. Section C compares the number of complaints against the Council which were received by my office during 2013/14, with the local authority average for the same period. The figures are broken down into subject categories.

Section D provides the number of complaints against the Council which were taken into investigation by my office during 2013/14. Section E compares the number of complaints taken into investigation with the local authority average (adjusted for population distribution) during the same period.

Section F compares the complaint outcomes for the Council during 2013/14, with the average outcome (adjusted for population distribution) during the same period. Public Interest reports issued under section 16 of the Public Services Ombudsman (Wales) Act 2005 are recorded as 'Section 16'.

Section G compares the Council's response times during 2013/14 with the average response times for all local authorities, and all public bodies in Wales during the same period. This graph measures the time between the date my office issued an 'investigation commencement' letter, and the date my office receives a full response to that letter from the public body.

Section H provides a breakdown of all Code of Conduct complaints received against Councillors during 2013/14. Finally, Section 'I' contains the summaries of all reports issued in relation to the Council during 2013/14.

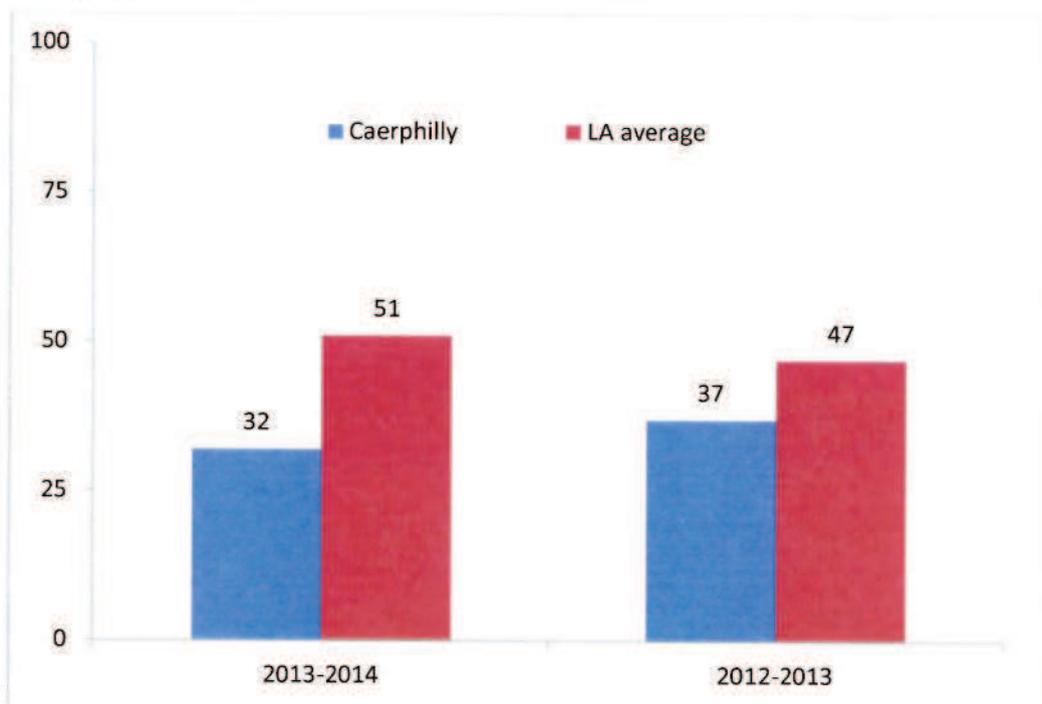
Housing Stock

As with previous exercises, the figures for 2013/14 have not been adjusted to take account of the transfer of housing stock. However, it is noted that there is likely to be a higher proportion of Housing complaints where local authorities have retained their housing stock.

Feedback

We welcome your feedback on the enclosed information, including suggestions for any information to be enclosed in future annual summaries. Any feedback or queries should be sent to james.merrifield@ombudsman-wales.org.uk.

A: Comparison of complaints received by my office with average, adjusted for population distribution

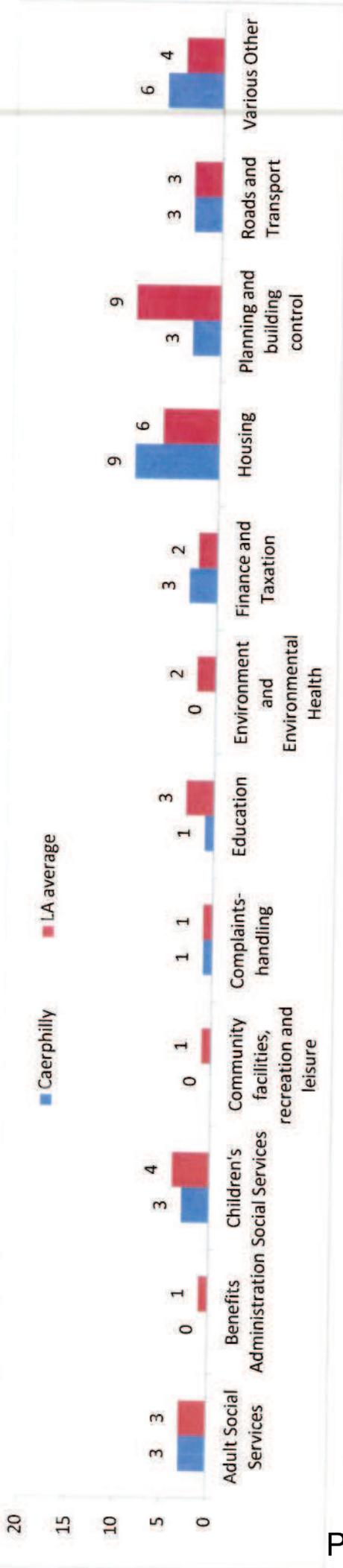


B: Complaints received by my office

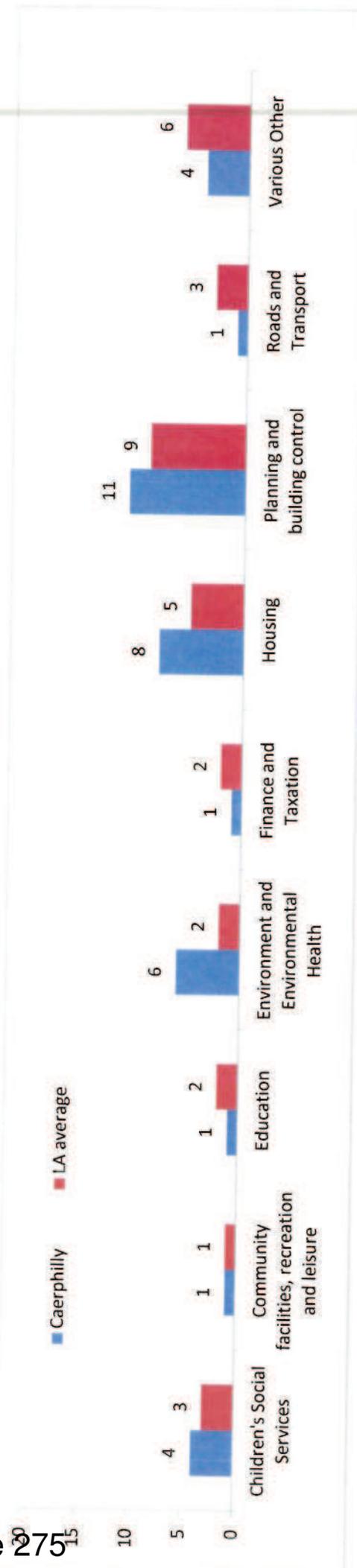
Subject	2013/14	2012/13
Adult Social Services	3	0
Children's Social Services	3	4
Community facilities, recreation and leisure	0	1
Complaints-handling	1	0
Education	1	1
Environment and Environmental Health	0	6
Finance and Taxation	3	1
Housing	9	8
Planning and building control	3	11
Roads and Transport	3	1
Various Other	6	4
Total	32	37

C: Comparison of complaints by subject category with LA average

2013/14



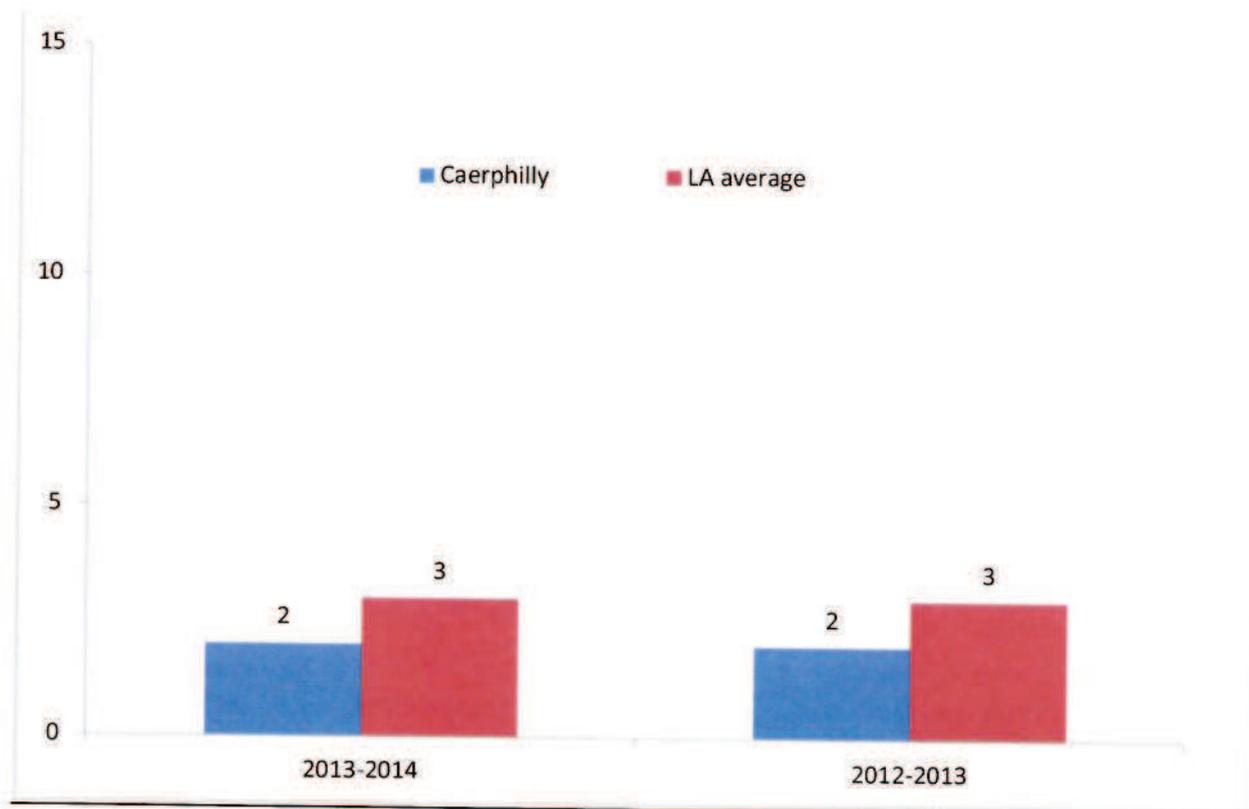
2012/13



D: Complaints taken into investigation by my office

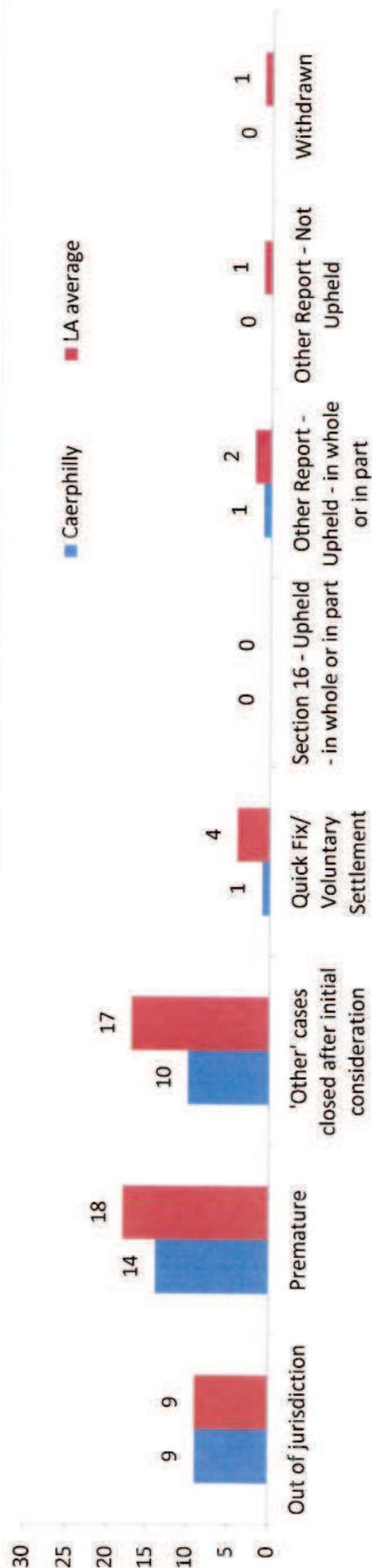
	2013/14	2012/13
Number of complaints taken into investigation	2	2

E: Comparison of complaints taken into investigation by my office with average, adjusted for population distribution

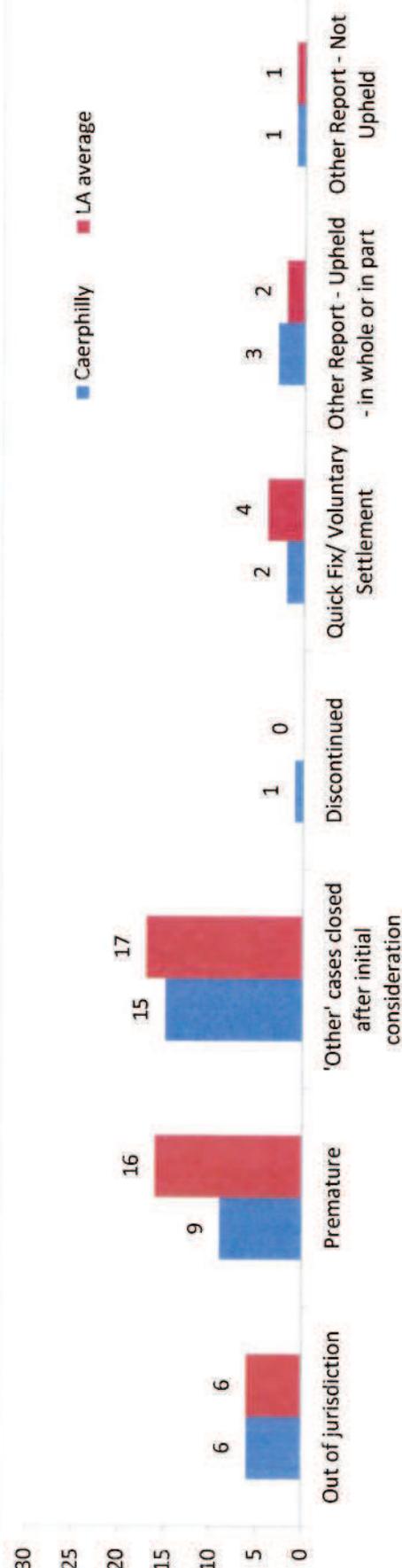


F: Comparison of complaint outcomes with average outcomes, adjusted for population distribution

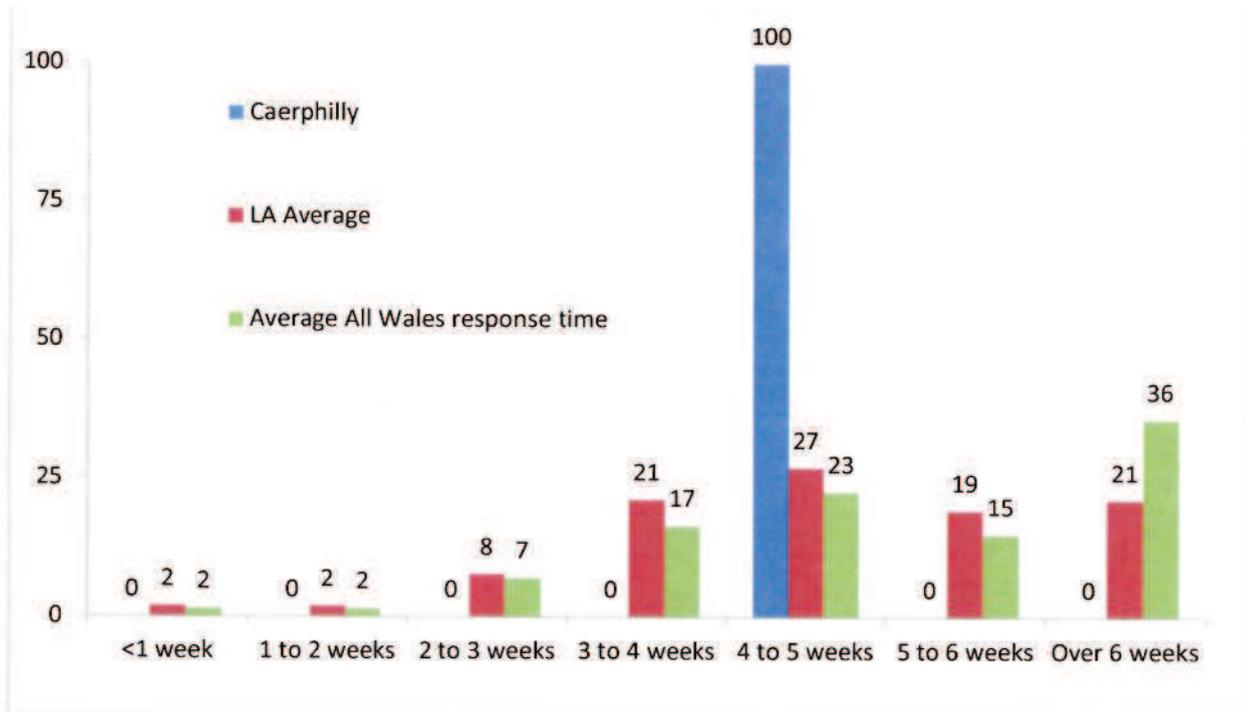
2013/14



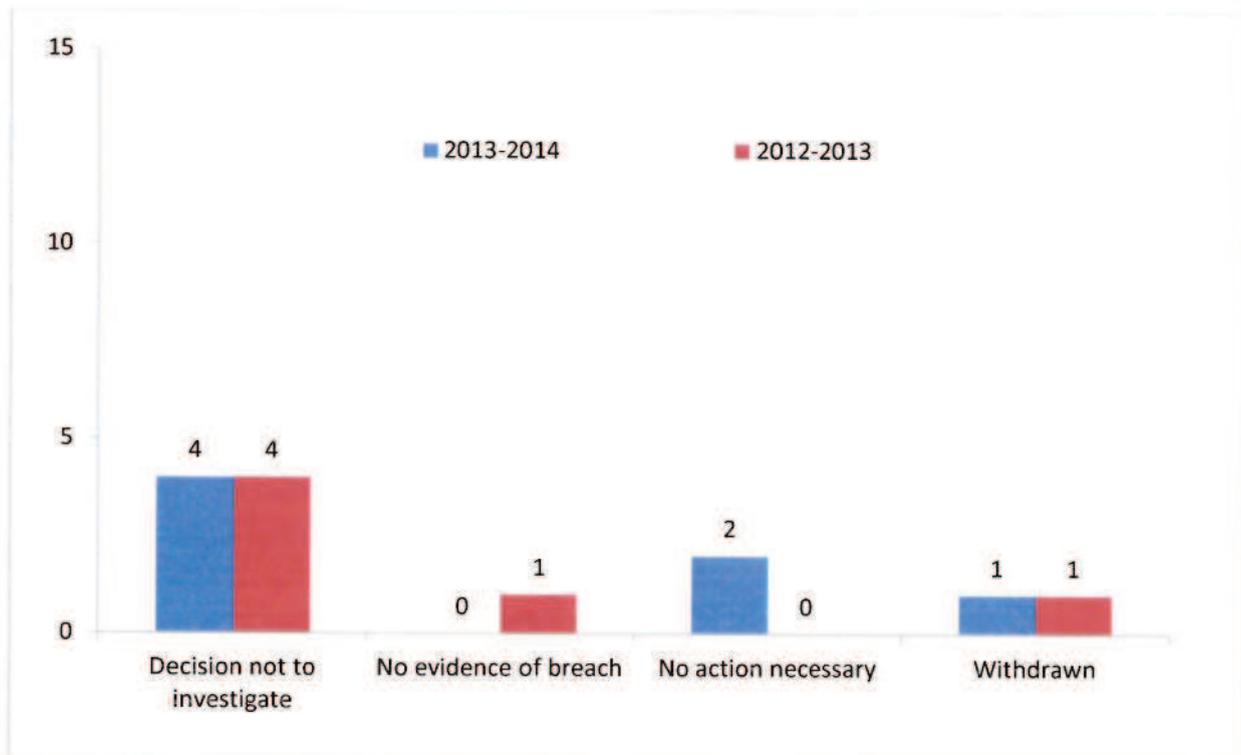
2012/13



G: Comparison of Council times for responding to requests for information with average LA and average All Wales response times, 2013/14 (%)



H: Code of Conduct complaints



I: Summaries

Housing

Quick fixes and Voluntary settlements

May 2013 – Repairs and maintenance - Caerphilly County Borough Council

Mrs A is a Council tenant. She complained to the Ombudsman about the Council's recharges for an emergency call out and the repair of an electrical socket that was hanging off her son's bedroom wall. She disputed that the cost of repair was her responsibility and queried why she had been charged for the cost of a call-out in an emergency situation.

The Ombudsman identified concerns about the Council's Recharges Guide for Council Tenants which did not make explicitly clear that, where a tenant uses its out of hours emergency service due to accidental damage, the call out charge will be recharged in addition to the cost of the repair. The Council's appeals and complaints correspondence also gave conflicting information about what Mrs A had been recharged for.

The Ombudsman contacted the Council to explain what he thought might be done to resolve the complaint quickly and the Council agreed to the following:

- waive the call out charges on this occasion;
- review its Recharges Guide for Council Tenants and its out of hours telephone message to make it clear that where a tenant uses the out of hours emergency service to repair accidental damage, the call out charge may be re-charged in addition to the cost of any repair.

Case reference 201204670

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COUNCIL – 7TH OCTOBER 2014

SUBJECT: LOCAL AUTHORITIES (STANDING ORDERS) (WALES) (AMENDMENT) REGULATIONS 2014 - CHANGES TO THE COUNCIL'S CONSTITUTION

REPORT BY: INTERIM HEAD OF LEGAL SERVICES AND MONITORING OFFICER

1. PURPOSE OF REPORT

- 1.1 To propose amendments to the Council's Constitution as shown in the track changed extracts at Appendix 1 (changes in italics) to this report, to reflect the additional requirements of the 2014 Regulations and as a result of a review of current procedures.
- 1.2 To ask Council to note the changes endorsed by the Investigating and Disciplinary Committee at its meeting on 15th September 2014 in relation to the disciplinary procedures forming part of its Terms of Reference as a result of changes introduced by The Local Authorities (Standing Orders) (Wales) (Amendment) Regulations 2014 ("the 2014 Regulations").
- 1.3 To seek approval for the Council's Interim Head of Legal Services and Monitoring Officer to make the changes to the Council's Constitution as identified in the track-changed extracts at Appendix 1, changes in italics.

2. SUMMARY

- 2.1 The 2014 Regulations came into force on 1 July 2014 and amended the Local Authorities (Standing Orders) (Wales) Regulations 2006 (the 2006 Regulations") relating to the process for appointing, dismissing and conducting disciplinary investigations of certain officers of authorities. They impose new requirements for procedures for determining the level of remuneration to be paid to chief officers.
- 2.2 The 2014 Regulations also make provision for certain amendments as a result of changes introduced by the Local Government (Wales) Measure 2011.
- 2.3 On 15th September 2014 the Investigating and Disciplinary Committee endorsed the recommendations in a Report received on proposed changes to the disciplinary procedures set out in its Terms of Reference (the background report refers).
- 2.4 This report seeks Council's approval to make the amendments to the Council's Constitution as shown in the track changed document at Appendix 1 (changes in italics) to this report, to reflect the additional requirements of the 2014 Regulations and as a result of the review of current procedures and additional amendments to deal with the matter raised at paragraph 2.2.

3. LINKS TO STRATEGY

- 3.1 The Council's Constitution governs the operation of the Authority and as such requires updating to reflect changes to legislative requirements.

4. THE REPORT

- 4.1 The 2014 Regulations came into force on 1st July 2014 and amended the 2006 Regulations relating to the process for appointing, dismissing and conducting disciplinary investigations of certain officers of authorities. They also impose new requirements for procedures for determining the level of remuneration to be paid to chief officers.
- 4.2 Under the 2014 Regulations, the role of Head of Democratic Services will be given the same status as the Head of Paid Service, Monitoring Officer and Chief Finance Officer as regard the process under which authorities can take disciplinary action against them and how any allegation of misconduct is to be dealt with.

Further amendments are made to extend the protections given to officers in relation to whom disciplinary action is proposed where the officer was, but at the time of the proposed disciplinary action no longer is, an officer with protected status and the alleged misconduct, or, as the case may be, the reason for the proposal for dismissal, occurred during the period when the officer was an officer with protected status.

- 4.4 The 2006 Regulations made provision relating to the process for recruiting and appointing chief officers. Under the 2014 Regulations, where an authority now proposed to appoint a chief officer and it is proposed to pay the chief officer annual remuneration of £100,000 or more, the post must be publicly advertised. The only exception to this requirement is where annual remuneration for a chief officer role is £100,000 or more and the proposed appointment is to be made for a period of no longer than 12 months. This exception will be useful in emergencies or if there were unforeseen departures. The requirement for public advertisement is intended to ensure that able candidates from outside the organisation have the opportunity to gain the position if found to be the most suitable.
- 4.5 Additional provision is made in the 2014 Regulations relating to remuneration of chief officers' pay. Any decision to determine or vary the remuneration of chief officers (or those to be appointed) must be made by full Council, without the possibility of delegating it to a committee of the Council.
- 4.6 The posts of Monitoring Officer and Head of Democratic Services are now added to the list of those who are not subject to appointment or dismissal by the Head of Paid Service (or another officer designated to them) and whose appointment or dismissal should be conducted by a committee, and that any committee or sub-committee of the authority charged with this responsibility must include at least one member of the executive.
- 4.7 The amendments to the Council's Disciplinary Procedures required as a result of the 2014 Regulations and internal review have been endorsed by the Council's Investigatory and Disciplinary Committee, as previously mentioned, at its meeting held on 15th September, 2014.
- 4.8 In addition and in order to provide additional clarification, it is proposed that the Terms of Reference of the Investigation and Disciplinary Committee are slightly amended.
- 4.9 It is proposed that the Council approve the amendments to the Council's Constitution as set out in Appendix 1 using tracked changes (in italics) to conform with the amendments made by the 2014 Regulations and the review undertaken of current procedures in light of the 2014 Regulations.
- 4.10 The 2014 Regulations also provide for the deletion for the Mayor and Council Manager form of executive arrangements and alternative arrangements models. The Council does not exercise these arrangements and where there is reference to those options in the Council's Constitution it is proposed that these be deleted (Article 15 of the Council's Constitution refers set out at Appendix 2).

5. EQUALITIES IMPLICATIONS

5.1 There are none arising from this Report.

6. FINANCIAL IMPLICATIONS

6.1 None arising from this Report.

7. PERSONNEL IMPLICATIONS

7.1 The personal implications as set out in this report.

8. CONSULTATIONS

8.1 The views of the consultees have been reflected in this report.

9. RECOMMENDATIONS

It is recommended that:

9.1 Council note the implementation of the 2014 Regulations and approve the changes to the Council's Constitution set out in the tracked changed document at Appendix 1, changes in italics to conform with the 2014 Regulations and review of procedures.

9.2 Council authorise the Interim Head of Legal Services and Monitoring Officer to make the required changes to the Constitution.

10. REASONS FOR THE RECOMMENDATIONS

10.1 To give effect to the Local Authorities (Standing Orders) (Wales) (Amendment) Regulations 2014, which the Council is legally obliged to implement.

11. STATUTORY POWER

11.1 Local Authorities (Standing Orders) (Wales) (Amendment) Regulations 2014.
Local Government Act 1972.

Author: Mrs. G. Williams, Interim Head of Legal Services/Monitoring Officers
Consultees: Councillor C. Forehead (Cabinet Member for Human Resources & Governance/Business Manager)
Councillor K. Reynolds
Councillor B. Jones
Councillor G. Jones
Mr. C. Burns, Interim Chief Executive
Mrs. S. Aspinall, Acting Deputy Chief Executive
Mrs. N. Scammell, Acting Director of Corporate Services
Mr. D. Street, Corporate Director - Social Services

Appendices:

Appendix 1 Track Changed extracts of the Council's Constitution
Appendix 2 Extract of Article 15 of the Council's Constitution

Background Papers

1. Report to Investigating and Disciplinary Committee dated 15th September 2014
2. Local Authorities (Standing Orders) (Wales) (Amendment) Regulations 2006 as amended by the Local Authorities (Standing Orders) (Wales) Amendment Regulations
3. Explanatory Memorandum 2014 to the Local Authorities (Standing Orders) (Wales) Regulations (Amendment) Regulations 2014

Officer Employment Procedure Rules

References:

Chapter 2, The Local Government Act 2000 Part II: Guidance for County and County Borough Councils in Wales on Executive Arrangements, July 2001, Local Authorities (Standing Orders) (Wales) Regulations 2006 as amended by the Local Authorities (Standing Orders) (Wales) (Amendment) Regulations 2014.

Interpretation

For the purposes of these rules and Section (I) paragraph 6, of Part 3 of the Constitution:

<i>"Chief Officer"</i>	<i>has the same meaning as in the Local Authorities (Standing Orders) (Wales) Regulations 2006 namely the Head of Paid Service, the Monitoring Officer, a statutory chief officer mentioned in paragraph (a), (c) or (d) of section 2(6) of the Local Government and Housing Act 1989 (the 1989 Act) which for the Council's purposes includes the Director of Education, the Director of Social Services and the Chief Finance Officer (Section 151 Officer), a non statutory officer within the meaning of section 2(7) of the Local Government and Housing Act 1989, which for the Council's purposes includes the Deputy Chief Executive and all other Directors, and any reference to an appointment or purported appointment of a chief officer includes a reference to the engagement or purported engagement of such an officer under a contract of employment.</i>
<i>"Deputy Chief Officers"</i>	<i>has the same meaning as set out in section 2(8) of the Local Government and Housing Act 1989 which for the Council's purposes includes Heads of Service</i>
<i>"Head of Paid Service"</i>	<i>means the officer designated under Section 4(1) of the Local Government & Housing Act 1989 (designation and reports of Head of Paid Service).</i>
<i>"Chief Finance Officer"</i>	<i>means the officer having responsibility for the purposes of Section 151 of the Local Government Act 1972 (financial administration) for the administration of the Local Authority Financial affairs.</i>
<i>"Monitoring Officer"</i>	<i>means the officer designated under Section 5(1) of the Local Government and Housing Act 1989 (designation and reports of Monitoring Officer)</i>

“Head of Democratic Services” means the officer designated under section 8 of the Local Government (Wales) Measure 2011

“Assistants To Political Groups” has the same meaning as a person appointed in pursuance of Section 9 of the 1989 Act

“School Based Employees” has the same meaning as a person to whom regulations made under Section 35(4) and (5) of the Education Act 2002 (provision with respect to the appointment, discipline, suspension and dismissal of teachers and other staff of schools employed by the Local Education Authority

“remuneration” has the same meaning as Section 43(3) of the Localism Act namely:

- a. The Chief Officer's salary or, in the case of a chief officer engaged by the authority under a contract for services, payments made by the authority to the Chief Officer for those services;*
- b. Any bonuses payable by the authority to the Chief Officer*
- c. Any charges, fees or allowances payable by the authority to the Chief Officer*
- d. Any benefits in kind to which the chief officer is entitled as a result of the chief officer's office or employment*
- e. Any increase in or enhancement of the chief officer's pension entitlement where the increase or enhancement is as a result of a resolution of the authority and*
- f. Any amounts payable by the authority to the Chief Officer on the Chief Officer ceasing to hold office under or be employed by the authority, other than amounts that may be payable by virtue of any enactment.*

1. Recruitment and appointment

(a) Declarations

- (i)** The Council will draw up a statement requiring any candidate for appointment as an officer to state in writing whether they are the parent, grandparent, partner, child, stepchild, adopted child, grandchild, brother, sister, uncle, aunt, nephew or niece of an existing councillor or officer of the Council; or of the partner of such persons.

(ii) No candidate so related to a councillor or an officer will be appointed without the authority of the relevant chief officer or an officer nominated by him/her.

(b) Seeking support for appointment.

(i) The Council will disqualify any applicant who directly or indirectly seeks the support of any councillor for any appointment with the Council. The content of this paragraph will be included in any recruitment information.

(ii) No councillor will seek support for any person for any appointment with the Council.

2. **Recruitment of Head of Paid Service and Chief Officers (*including Head of Paid Service*)**

2.1 *The Council must take the steps set out in paragraph 2.2 below where*

(a) it proposes to appoint a Chief Officer and the remuneration which it proposes to pay to the chief officer is £100,000 or more per annum.

2.2 *The steps are to*

2.1 The Council will

(a) draw up a statement specifying:

(i) the duties of the officer concerned; and

(ii) any qualifications or qualities to be sought in the person to be appointed;

(b) make arrangements for the post to be *publicly* advertised in such a way as is likely to bring it to the attention of persons who are qualified to apply for it; and

(c) make arrangements for a copy of the statement mentioned *in paragraph 2.2 (a) above* to be sent to any person on request.

2.3 *Where paragraph 2.1 applies the Council is not required to take the step set out in paragraph 2.2 (b) if it proposes to appoint the Chief Officer for a period of no longer than 12 months*

2.4 Where a post has been advertised as provided in *paragraph 2.1 2.2 (b) above*, the Council must:-

(a) interview all qualified applicants for the post, or

(b) select a short list of such qualified applicants and interview those included on the short list.

2.5 Where no qualified person has applied, or if the Council decides to re-advertise the appointment, the Council may make further arrangements for advertisement in accordance with *paragraph 2(i)(b) 2.2 (b) above*.

3. **Appointment of Head of Paid Service**

The full council will make the appointment of the Head of Paid Service following the recommendation of a short list for such an appointment by a committee of the Council. That committee must include at least one member of the executive but must not comprise a majority of members of the executive.

4. **Appointment of Chief Officers, *and* Deputy Chief Officers, *and* Head of Democratic Services**

A committee of the Council will appoint *all Chief Officers (other than the Head of Paid Service) Deputy Chief Officers, and the Head of Democratic Services statutory chief officers and non-statutory chief officers*. That committee must include at least one member of the executive but must not comprise a majority of members of the executive.

[Note: this provision reflects the rules made in Assembly Regulations. It means that elected members will appoint Directors and Heads of Service only]

5. **Remuneration of Chief Officers**

The Council must determine the level and any change in level of the remuneration to be paid to a Chief Officer.

5. 6. **Other appointments**

- (a) **Officers other than those in (4) above.** Appointment of these officers (other than assistants to political groups) is the responsibility of the Head of Paid Service or his/her nominee, and may not be made by councillors. This process is covered by the Council's approved Recruitment and Selection procedures.
- (b) **Assistants to political groups.** Appointment of an assistant to a political group shall be made in accordance with the wishes of that political group.
- (c) **School based employees.** *Appointments of school based employees are made by the school in line with their own procedures.*

6. 7. **Disciplinary action - Head of Paid Service, Chief Finance Officer, (Section 151 Officer), Monitoring Officer and Head of Democratic Services**

- (a) Disciplinary action in relation to any of the Council's statutory officers named above *or any other officer referred to in paragraph 7(b) below* will be undertaken in accordance with the Disciplinary Procedure for Statutory Officers set out at Appendix A to these Rules.
- (b) *An officer in relation to whom disciplinary action is proposed where*
 - (i) *the officer was, but at the time of the proposed disciplinary action no longer is an officer referred to in paragraph 7(a) above and*
 - (ii) *the alleged misconduct or as the case may be the reason for the proposal for dismissal occurred during the period when the officer was an officer referred to in paragraph 7(a) above*

7. 8. Disciplinary action – Other Chief Officers (excluding statutory officers) and Deputy Chief Officers (excluding officers listed in paragraph 7 above)

(a) Disciplinary action in relation to any of the Council's other Chief Officers, *Deputy Chief Officers or any other officer referred to in paragraph 8(b) below* shall be undertaken in accordance with the Disciplinary Procedures for other Chief Officers set out at Appendix B to these rules.

(b) *An officer in relation to whom disciplinary action is proposed*

(i) *who was but at the time of the proposed disciplinary action no longer is an officer referred to in paragraph 8(a) above and*

(ii) *where the alleged misconduct or as the case may be the reason for the proposal for dismissal occurred during the period when the officer was an officer referred to in paragraph 8(a) above.*

8. 9. The terms of reference of the Investigating & Disciplinary Committee referred to in the Procedures are set out at Appendix C to these rules.

10. Disciplinary Action

(a) **Officers Other Than Those Referred To In paragraphs 7 and 8 above.**

The Disciplinary action in relation to these officers shall be undertaken in accordance with the Council's Ordinary Disciplinary Procedure.

(b) **Assistants To Political Groups**

Disciplinary action of an assistant to a political group shall be made in accordance with the procedures of that political group

(c) **School Based Employees**

Disciplinary action of a school based employee is taken by the school in line with their own procedures and not by the Council.

APPENDIX A

DISCIPLINARY PROCEDURE FOR STATUTORY OFFICERS

Approved by Council 21.3.13

CAERPHILLY COUNTY BOROUGH COUNCIL
DISCIPLINARY PROCEDURE FOR STATUTORY OFFICERS

1. Scope of Procedure

- 1.1(a) This Procedure applies to *all the following officers* "Statutory Officers" of the Council, namely the Head of Paid Service, the Monitoring Officer and, Chief Finance Officer (Section 151 Officer) *Head of Democratic Services and an officer in relation to whom disciplinary action is proposed where the officer was, but at the time of the proposed disciplinary action no longer is an officer referred to in this paragraph and the alleged misconduct or as the case may be the reason for the proposal for dismissal occurred during the period when the officer was an officer referred to in this paragraph*
- 1.1(b) *The officers referred to in 1.1(a) above are referred to collectively in this procedure as "Statutory Officers"*
- 1.2 This Procedure has been adopted by the Council for the purpose of dealing with disciplinary, capability and other similar issues in relation to Statutory Officers of the Council. For the avoidance of doubt, this Procedure also applies to a breakdown of trust and confidence between the Statutory Officer and the Authority.
- 1.3 Minor conduct issues can often be resolved informally. Formal steps will be taken under this Procedure if the matter is not resolved, or if informal discussion is not appropriate (for example, because of the seriousness of the allegation).
- 1.4 The objective of this Procedure is to:-
- (i) encourage employees to achieve and maintain acceptable standards of behaviour;
 - (ii) provide a fair and consistent method of dealing with alleged failure to maintain acceptable standards of behaviour;
 - (iii) minimise disagreements about disciplinary matters; and
 - (iv) reduce the need for disciplinary action and dismissals.
- 1.5 Save where alternative arrangements have been agreed in advance between the Council and the Chief Executive or the Statutory Officer, the steps set out in this Procedure should be followed. The parties recognise that it may be necessary to depart from the Procedure, from time to time, according to particular circumstances of a case. In such circumstances, both parties agree to give fair consideration to reasonable proposals to modify the Procedure accordingly.
- 1.6 This Procedure does not form part of a Statutory Officer's contract of employment and it may be amended at any time, subject to overall compliance with the Local Authorities (Standing Orders) (Wales) Regulations 2006 as amended by the Local Authorities (Standing Orders) (Wales) (Amendment) Regulations 2014.

- 1.7 Any disciplinary matters will be dealt with sensitively and with due respect for the privacy of any individuals involved. All individuals involved must treat as confidential any information communicated to them in connection with an investigation or disciplinary matter.

2. Roles and Responsibilities

- 2.1 Where it appears that an issue has arisen which, if proven, could result in disciplinary action being taken against a Statutory Officer, the matter will be referred to an Investigating and Disciplinary Committee (“Investigating and Disciplinary Committee”) for consideration.
- 2.2 The Investigating and Disciplinary Committee shall be responsible for conducting the preliminary investigation which is further referred to in paragraph 5 below.
- 2.3 The Investigating and Disciplinary Committee should:-
- (i) include no fewer than three elected members;
 - (ii) should not include any member with a direct personal involvement in the complaint;
 - (iii) should be politically balanced.
 - (iv) include a member of the Executive.
- 2.4 The Investigating and Disciplinary Committee shall appoint a chair person to oversee the function of the Committee (“Chair”).
- 2.5 The Investigating and Disciplinary Committee shall undertake a preliminary investigation into the allegations of conduct or capability, or other issues under investigation in order to determine whether a case to answer appears to exist which requires further consideration by a Designated Independent Person. The Investigating and Disciplinary Committee may choose to appoint a Chief Officer of the Council or an independent person to carry out the preliminary investigation on its behalf and whoever undertakes that role shall be referred to as the “Preliminary Independent Investigator” in this Procedure.
- 2.6 The Investigating and Disciplinary Committee shall be advised throughout by a suitable adviser who may be employed by or independent of the Council, (“the Independent Adviser”) who shall ordinarily be accompanied by a member of the Council’s HR Team, save in cases where a conflict of interest could arise, in which case the Chair shall appoint a nominee, who may be an external adviser.
- 2.7 Save where the Investigating and Disciplinary Committee is satisfied, following a preliminary investigation, that the issue requires no further action or can be resolved informally, the matter must be referred to a Designated Independent Person, who shall be responsible for determining the matter in accordance with paragraph 5 below.

3. Timescale

- 3.1 The Procedure does not generally incorporate prescriptive timescales as it is recognised that these could be impracticable to achieve in the circumstances of a particular case. Where time limits do apply, they are included within the relevant section of this Policy. However, it is implicit that all stages of the Procedure be

operated expeditiously by all parties in order to avoid unnecessary delay and prejudice to the interests of all parties.

4. Suspension

- 4.1 Suspension is not regarded as disciplinary action under this Procedure but as a neutral act which may be implemented where, in the opinion of the Investigating and Disciplinary Committee, it is believed that the Statutory Officer's continuing presence at work might compromise the investigation or otherwise impair the efficient exercise of the Council's functions.
- 4.2 Suspension may also be necessary if an allegation is such that, if proven, it would amount to gross misconduct.
- 4.3 In ordinary cases, power to suspend a Statutory Officer will rest with the Investigating and Disciplinary Committee. However, in cases which in the reasonable opinion of the Leader of the Council (or in his absence the Deputy) are urgent cases, the Leader of the Council (or in his absence his Deputy) shall have power to suspend a Statutory Officer.
- 4.4 Save in urgent cases, prior to imposing suspension in any case, the Investigating and Disciplinary Committee shall inform the Statutory Officer, in writing, of the reason for the proposed suspension and the Statutory Officer shall have the opportunity to make representations before a decision is taken.
- 4.5 In urgent cases, the Statutory Officer shall be informed of such reasons in writing within 2 working days and make representations to the Investigating and Disciplinary Committee, which shall be considered within 5 working days.
- 4.6 The necessity for the Statutory Officer to remain suspended should be reviewed at regular intervals and where possible lengthy periods of suspension should be avoided. Further specific consideration should be given as to whether alternative working arrangements might be implemented which could avoid the need for the Statutory Officer's suspension, whilst avoiding any compromise to the investigation or to the efficient exercise of the Council's functions.
- 4.7 Absence from duty during any period of suspension shall be on full pay.
- 4.8 Any suspension must not last longer than 2 months from the day on which it takes effect unless a Designated Independent Person has used their power to direct a continuation of the suspension after the expiry of that period.

5. Preliminary Investigation

- 5.1 The Chair of the Investigating and Disciplinary Committee will be responsible for informing the Statutory Officer, in writing, of the allegations or other issues under investigation. The date of this notification shall be the "Commencement Date" for the purpose of this Procedure.
- 5.2 The Chair of the Investigating and Disciplinary Committee shall be responsible for determining the arrangements for conducting a preliminary investigation, as set out in paragraph 2.2 above.
- 5.3 The Chair of the Investigating and Disciplinary Committee shall, where a decision has been taken to appoint another to conduct the preliminary investigation on its behalf, determine the terms of appointment of the Preliminary Independent

- Investigator, agree any remuneration payable to the Preliminary Independent Investigator (if appropriate), and provide facilities and all available information regarding allegations or other issues under investigation as are necessary to enable the Preliminary Independent Investigator to fulfil their role.
- 5.4 The Investigating and Disciplinary Committee or Preliminary Independent Investigator will be entitled to interview witnesses and carry out such enquiries as they deem necessary. This may include examining the Council's email, internet, and other IT systems, including the accounts of the Statutory Officer. The Statutory Officer shall fully cooperate with the Investigating and Disciplinary Committee or Preliminary Independent Investigator and shall make themselves available for such interviews and meetings and provide any relevant documentation or information as the Investigating and Disciplinary Committee or the Preliminary Independent Investigator deems necessary.
- 5.5 The Statutory Officer shall be given reasonable facilities and access to the Council's premises and systems as well as personal files/diary, etc. to allow them to prepare their responses on such terms as may be agreed by the Investigating and Disciplinary Committee or Preliminary Independent Investigator.
- 5.6 The Investigating and Disciplinary Committee or Preliminary Independent Investigator shall prepare a short report following their investigation which shall be submitted to the Chair of the Investigating and Disciplinary Committee for their consideration ("Preliminary Investigation Report") and it is expected that this will be done within 7 working days of the Commencement Date. A copy of the Preliminary Investigation Report shall be provided to the Statutory Officer within seven working days of receipt by the Chair of the Investigating and Disciplinary Committee.
- 5.7 The Statutory Officer shall, if they so wish, request further information and documents in relation to the Preliminary Investigation Report, within five working days of receipt by the Statutory Officer of the Preliminary Investigation Report.
- 5.8 Once the period for requesting further information has elapsed and any request for information and documents made under 5.7, the Chair of the Investigating and Disciplinary Committee shall summon a meeting of the Investigating and Disciplinary Committee.
- 5.9 Before determining whether the allegations or other issues warrant referral to the Designated Independent Person for further consideration. The Chair of the Investigating and Disciplinary Committee shall advise the Statutory Officer, in writing, that:-
- they are required to attend a meeting with the Investigating and Disciplinary Committee;
 - they may make oral representations to the Investigating and Disciplinary Committee at that meeting; and
 - they may put forward written representations and/or evidence, including written witness evidence, which they wish the Investigating and Disciplinary Committee to consider at this stage. Any such written representations, witness statements or supporting evidence must be submitted to the Chair of the Investigating and Disciplinary Committee at least three working days before the meeting. The Investigating and Disciplinary Committee will give careful consideration to the allegations or

other issues, the Preliminary Investigator's Report, supporting evidence and any representations put forward by the Statutory Officer before taking further action.

- 5.10 The Investigating and Disciplinary Committee shall decide within 1 month of the referral of the allegation to it whether:-
- (i) the issue requires no further formal action under this Procedure (in which case they will consider what other steps, if any, should be taken, for example a requirement for training) and would ordinarily lift any suspension immediately; or
 - (ii) there is a case to answer which requires further investigation and the issue should be referred to a Designated Independent Person, in which case the following paragraphs of this Procedure shall apply.
- 5.11 The Investigating and Disciplinary Committee shall inform the Statutory Officer of the decision, in writing, as soon as practicable.
- 6. The Role of the Designated Independent Person**
- 6.1 The identity of the Designated Independent Person must be agreed within one month of the decision to appoint a Designated Independent Person. If the Chair of the Investigating and Disciplinary Committee and the Statutory Officer (or their representative) have not agreed the appointment of a Designated Independent Person within that timeframe, the Council will appoint the individual nominated by the Welsh Government *Ministers*.
- 6.2 The Chair of the Investigating and Disciplinary Committee shall determine the terms of appointment of the Designated Independent Person, agree the Designated Independent Person's remuneration, procure the necessary facilities, including access to sources of information and people identified as relevant to the case and provide all available information about the allegations or other issues under investigation as shall be necessary to enable them to fulfil their role.
- 6.3 The Designated Independent Person should operate on the basis of a combination of independent investigation using their powers to access information, and a formal hearing, at which the allegations and supporting evidence (including evidence provided by witnesses) are presented by the Council's representative, and the Statutory Officer or their representative is able to present their case.
- 6.4 Once appointed, the Designated Independent Person will consider whether it is appropriate to terminate or continue any suspension arrangements within 2 months of the commencement of any suspension.
- 6.5 The Investigating and Disciplinary Committee must, after consulting the Designated Independent Person, attempt to agree a timetable within which the Designated Independent Person is to undertake the investigation. Where there is no agreement, the Designated Independent Person must set a timetable which they consider appropriate.
- 6.6 It will be the responsibility of the Designated Independent Person to carry out a further investigation into the allegations or other issues under investigation and to submit a report ("Investigation Report") to the Investigating and Disciplinary Committee:-

- (i) stating in their opinion whether (and if so, the extent to which) the evidence they have obtained supports any allegation of misconduct, or incapability or supports a need for action under this Procedure for some other substantial reason; and
- (ii) Recommending what, if any, disciplinary action or range of actions appears to be appropriate for the Council, through its Investigating and Disciplinary Committee, to take against the Statutory Officer having regard to all the circumstances of the case.

7. Receipt of the Designated Independent Person's Report

- 7.1 Within three working days of receipt of the Designated Independent Person's Report, the Chair of the Investigating and Disciplinary Committee, or his nominee, shall send a copy to the Statutory Officer.

8. Pre-Disciplinary Hearing Procedure

- 8.1 If the Investigation Report recommends disciplinary action is taken against the Statutory Officer, the Chair of the Investigating and Disciplinary Committee shall summon a meeting of the Investigating and Disciplinary Committee as a Disciplinary Hearing ("Disciplinary Hearing").

- 8.2 The Chair of the Investigating and Disciplinary Committee or their nominee shall give the Statutory Officer not less than ten working days written notice of the date of the Disciplinary Hearing with the Investigating and Disciplinary Committee. The notice shall include:-

- (i) the time and place of the Disciplinary Hearing;
- (ii) who will be in attendance at the Disciplinary Hearing including the members of the Investigating and Disciplinary Committee;
- (iii) a copy of the Designated Independent Person's Report and any supporting documentation (including any witness statements where relevant) and the allegations to be considered at the Disciplinary Hearing;
- (iv) confirmation that the Disciplinary Hearing is convened under this Procedure and could result in disciplinary action;
- (v) confirmation that the Statutory Officer may be accompanied at the Disciplinary Hearing by a trade union representative, an official employed by a trade union or a fellow work colleague ("Companion");
- (vi) confirmation that the Statutory Officer may ask any person to be present as a witness or adduce any documents or written statements in support of their response, provided full details of such witnesses and copies of any such documents or statements are provided to the Chair of the Investigating and Disciplinary Committee, or their nominee, at least five working days before the date of the Disciplinary Hearing, for distribution to all parties.

- 8.3 Within two working days, the Statutory Officer shall either agree the date for the Hearing or propose to the Chair or a nominee, a postponement for the date of

the Hearing for a period not exceeding ten working days setting out the reasons for the request. For the avoidance of doubt, the postponement includes any postponement due to the availability of the Statutory Officer's Companion. If the Statutory Officer requests a postponement, the Chair of the Investigating and Disciplinary Committee or their nominee and the Statutory Officer (or his representative) shall agree the date for the Hearing. If they cannot agree the date within one working day, the Chair of the Investigating and Disciplinary Committee, having taken appropriate advice, shall determine the date of the Disciplinary Hearing.

- 8.4 The Statutory Officer and their Companion must make every effort to attend the Disciplinary Hearing (whether reconvened or otherwise). Failure to attend without good reason may be treated as misconduct in itself. If the Statutory Officer fails to attend without good reason, or persistently fails to do so, the Disciplinary Hearing may proceed in their absence and a decision may be made based on the available evidence.
- 8.5 At least five working days before the date of the Disciplinary Hearing the Statutory Officer shall give to the Chair of the Investigating and Disciplinary Committee, or their nominee:-
- (i) Full details of any witnesses they wish to call;
 - (ii) Copies of any documents which they wish to refer to in support of their response;
 - (iii) Any written statements or submissions which they wish to submit; and
 - (iv) Details of the Companion they wish to bring to the Disciplinary Hearing.
- 8.6 The Chair of the Investigating and Disciplinary Committee or their nominee shall provide a copy of such documents and information to the Investigating and Disciplinary Committee as soon as reasonably practicable thereafter and no later than three working days prior to the Disciplinary Hearing.
- 9. The Investigating and Disciplinary Committee Hearing**
- 9.1 The procedure for the Disciplinary Hearing will be as follows:-
- (i) the Chair of the Investigating and Disciplinary Committee will explain the purpose of the Hearing and the procedure to be followed;
 - (ii) the Designated Independent Person, or their nominee will present the complaint and introduce evidence in support of the complaint, including the Designated Independent Person Report, documents and witness evidence either in person or in writing as previously notified;
 - (iii) the Statutory Officer or their Companion, and the Investigating and Disciplinary Committee and Independent Adviser, will have the opportunity to ask questions of the Designated Independent Person and/or his nominee, including direct questions to the witnesses;

- (iv) the Statutory Officer or their Companion will introduce evidence in support of their response to the allegations, including documents and witnesses as previously notified;
 - (v) the Designated Independent Person, or their nominee, and the Investigating and Disciplinary Committee and the Independent Adviser will have the opportunity to ask questions of the Statutory Officer and/or their Companion, including direct questions to the witnesses;
 - (vi) both sides will sum-up their presentations, commencing with the Designated Independent Person or his nominee.
- 9.2 The Statutory Officer's Companion can address the hearing, put and sum up the Statutory Officer's case, make representations on behalf of the Statutory Officer to any views expressed at the Disciplinary Hearing and confer with the Statutory Officer during the Disciplinary Hearing. The Companion does not, however, have the right to answer questions on the Statutory Officer's behalf. If the Statutory Officer's choice of companion is unreasonable, the Investigating and Disciplinary Committee may request that another companion be selected e.g. where the companion may have a conflict of interest or prejudice the Disciplinary Hearing.
- 9.3 The Disciplinary Hearing may be adjourned if the Investigating and Disciplinary Committee need to carry out any further investigations such as re-interviewing witnesses in the light of any new points which are raised at the Disciplinary Hearing. The Statutory Officer will be given a reasonable opportunity to consider any new information obtained before the Disciplinary Hearing is reconvened.
- 9.4 When the Investigating and Disciplinary Committee has heard all of the evidence submitted they will adjourn to consider what, if any, further action should be taken. The range of options available to them include:-
- (i) taking no further action;
 - (ii) recommending informal resolution or other appropriate procedures be followed;
 - (iii) referring back to the Designated Independent Person for further investigation and a further report;
 - (iv) taking disciplinary action against the Statutory Officer.
- 9.5 In the case of disciplinary action, the Investigating and Disciplinary Committee may impose the necessary penalty up to the maximum recommended by the Designated Independent Person and this can include the following:-
- (i) a recorded or oral warning;
 - (ii) a written warning;
 - (iii) a final written warning;
 - (iv) a final written warning accompanied by:-
 - (A) suspension on half pay or no pay for a specified period; and/or

- (B) relegation (i.e. reduction in salary) for a specified period and/or on specified terms; and/or
 - (C) demotion;
 - (v) dismissal (whether summary or on notice)
 - (vi) alternatively the Investigating and Disciplinary Committee may explore other alternatives such as but not limited to early retirement, secondment, or redeployment to a more junior post where there are issues relating to capability or loss of trust and confidence in the Chief Officer in their current role.
- 9.6 For the avoidance of doubt, the actions set out in paragraph 9.5 (iv) above shall only be applied in circumstances where the Investigating and Disciplinary Committee has decided that appropriate disciplinary action would include dismissal but that action short of dismissal would be more appropriate due to mitigating or other circumstances.
- 9.7 Written warnings will set out the nature of the misconduct, the change in behaviour required, the period for which the warning will remain active, and the likely consequences of further misconduct in that period.
- 9.8 All others present at the Disciplinary Hearing (other than the Independent Adviser) will withdraw while the Investigating and Disciplinary Committee consider their decision.
- 9.9 Where practicable, the decision of the Investigating and Disciplinary Committee will be delivered orally after an adjournment. However, in order to ensure that the Investigating and Disciplinary Committee shall be afforded sufficient time to fully consider their decision, their decision may be deferred and issued to the Statutory Officer in writing within five working days of the Disciplinary Hearing, or as soon thereafter as is reasonably practicable.
- 9.10 A letter will be sent out to the Statutory Officer which outlines the decision and the action, if any, to be taken and will set out the rights of appeal ("Decision Letter").
- 9.11 Where the Investigating and Disciplinary Committee has determined that dismissal or action short of dismissal is the appropriate action in the circumstances, the Council must approve that dismissal before notice of dismissal is given.

10. Appeal Process

- 10.1 This procedure provides for different arrangements for appeals against dismissal and appeals against action short of dismissal.

Appeals against dismissal

- 10.2 The Local Authorities (Standing Orders) (Wales) Regulations 2006 as amended by the Local Authorities (Standing Orders) (Wales) (Amendment) Regulations 2014 require any decision to dismiss the Council's Head of Paid Service by the Investigating and Disciplinary Committee shall be subject to approval by Full Council. In view of this requirement and to provide an appeals process, the

meeting of Full Council will fulfil the function of an appeal meeting if one is made. In these circumstances:

- (a) Where an appeal is made, the appeal will be considered by full Council following the procedure set out at 10.8 to 10.16 below; and
- (b) Where no appeal is made, the Full Council will consider the recommendation to dismiss by the Investigating and Disciplinary Committee and approve that decision or otherwise determine an alternative disciplinary penalty.

10.3 Where the case involves a Statutory Officer, other than the Council's Head of Paid Service, there is no requirement for Full Council to approve the dismissal. As a result of this, the Statutory Officer may appeal the decision of the Investigation and Disciplinary Committee to Full Council.

Appeals against action short of dismissal

10.4 A Statutory Officer (including the Council's Head of Paid Service) shall have the right to appeal the Investigating and Disciplinary Committee's decision to the Council's Appeals Committee. The Appeals Committee will consider the report of the Designated Independent Person and any other relevant information considered by the Investigating and Disciplinary Committee.

10.5 Any appeal must be made in writing to the Chair of the Appeals Committee or their nominee as set out in the Decision Letter within ten working days of the date of the Decision Letter including the grounds of appeal ("Notice of Appeal").

10.6 Within five working days thereafter the Statutory Officer must inform the Chair of the Appeals Committee of the following details in relation to the Notice of Appeal and provide the following information:

- (i) whether the Statutory Officer is to be accompanied at the appeal hearing by a Companion and if so by whom;
- (ii) whether they wish to call witnesses and if so, their names and the nature of the evidence they will provide;
- (iii) copies of any additional documents or information relevant to the appeal that was not provided at the Disciplinary Hearing;

10.7 The appeal hearing will normally take the form of a review of the decision taken by the Investigating and Disciplinary Committee.

10.8 The Appeals Committee will consider the appeal as soon as reasonably practicable after the Notice of Appeal has been received. It will invite the following persons to be present at an appeal hearing:

- (i) the Statutory Officer, who may be accompanied by a Companion; and
- (ii) the Chair of the Investigating and Disciplinary Committee or another member of the Committee if so nominated by the Chair, to explain their reasons for their decision and to answer any questions.

- 10.9 The Procedure for convening the Appeal Hearing will follow that set out above in relation to the Disciplinary Hearing.
- 10.10 The Appeals Committee shall be advised by an independent adviser who shall not usually be the same adviser who advised the Investigating and Disciplinary Committee.
- 10.11 The Appeals Committee may take into account any additional information which has become available in relation to the allegations or other issues under investigation following the Disciplinary Hearing.
- 10.12 The Appeals Committee may decide to uphold or dismiss the original decision of the Investigating and Disciplinary Committee or impose a different sanction, as long as it is no higher than originally recommended by the Designated Independent Person and within the range of penalties as set out in paragraphs 10.4 and 10.5.
- 10.13 The decision reached will be final and there is no further right of appeal.
- 10.14 If it is not practicable for the Appeals Committee to provide their decision orally at the conclusion of the appeal hearing, it will be notified to the Statutory Officer, in writing, within five working days of the date of the appeal hearing, or as soon thereafter as is reasonably practicable.

APPENDIX B

Disciplinary Procedure For Other Chief Officers

Approved by Council 21.3.13

CAERPHILLY COUNTY BOROUGH COUNCIL

DISCIPLINARY PROCEDURE FOR CHIEF OFFICERS

1. **Scope of Procedure**
 - 1.1(a) This Procedure applies to all Chief Officers, Deputy Chief Officers) of the Council *and any other officer referred to in paragraph 1.1(b) below* other than those designated as "Statutory Officers" namely the Head of Paid Service, the Monitoring Officer, Chief Finance Officer (Section 151 Officer) *and the Head of Democratic Services.*
 - 1.1(b) *An officer in relation to whom disciplinary action is proposed who was but at the time of the proposed disciplinary action no longer is an officer referred to in paragraph 1.1(a) above and where the alleged misconduct or as the case may be the reason for the proposal for dismissal occurred during the period when the officer was an officer referred to in paragraph 1.1(a) above. other than those designated as "Statutory Officers" namely the Head of Paid Service, the Monitoring Officer and Chief Finance Officer (Section 151 Officer)*
 - 1.1(c) *Reference to Chief Officer(s) in this procedure shall include the persons specified in paragraphs 1.1(a) and (b) above*
- 1.2 This Procedure has been adopted by the Council for the purpose of dealing with disciplinary, capability and other similar issues in relation to Chief Officers of the Council. For the avoidance of doubt, this Procedure also applies to a breakdown of trust and confidence between the Statutory *Chief Officer* and the Authority.
- 1.3 Minor conduct issues can often be resolved informally. Formal steps will be taken under this Procedure if the matter is not resolved, or if informal discussion is not appropriate (for example, because of the seriousness of the allegation).
- 1.4 The objective of this Procedure is to:-
 - (i) encourage employees to achieve and maintain acceptable standards of behaviour;
 - (ii) provide a fair and consistent method of dealing with alleged failure to maintain acceptable standards of behaviour;
 - (iii) minimise disagreements about disciplinary matters; and
 - (iv) reduce the need for disciplinary action and dismissals.
- 1.5 Save where alternative arrangements have been agreed in advance between the Council and the Chief Executive or the Chief Officer, the steps set out in this Procedure should be followed. The parties recognise that it may be necessary to depart from the Procedure, from time to time, according to particular circumstances of a case. In such circumstances, both parties agree to give fair consideration to reasonable proposals to modify the Procedure accordingly.
- 1.6 This Procedure does not form part of a Chief Officer's contract of employment and it may be amended at any time, subject to overall compliance with the Local Authorities (Standing Orders) (Wales) Regulations 2006 *as amended by the Local Authorities (Standing Orders) (Wales) (Amendment) Regulations 2014.*

- 1.7 Any disciplinary matters will be dealt with sensitively and with due respect for the privacy of any individuals involved. All individuals involved must treat as confidential any information communicated to them in connection with an investigation or disciplinary matter.

2. Roles and Responsibilities

- 2.1 Where it appears that an issue has arisen which, if proven, could result in disciplinary action being taken against a Chief Officer, the Chief Executive will be responsible for conducting the preliminary investigation which is further referred to in paragraph 5 below.

- 2.2 The Chief Executive shall undertake a preliminary investigation into the allegations of conduct or capability, or other issues under investigation in order to determine whether a case to answer appears to exist which requires further consideration by an Investigating and Disciplinary committee ("Investigating and Disciplinary Committee"). The Chief Executive may choose to appoint a Chief Officer of the Council or an independent person to carry out the preliminary investigation on its behalf and whoever undertakes that role shall be referred to as the "Preliminary Independent Investigator" in this Procedure.

- 2.3 Save where the Chief Executive is satisfied, following a preliminary investigation, that the issue requires no further action or can be resolved informally, the matter must be referred to the Investigating and Disciplinary Committee, which shall be responsible for determining the matter in accordance with paragraph 5 below.

3. Timescale

- 3.1 The Procedure does not generally incorporate prescriptive timescales as it is recognised that these could be impracticable to achieve in the circumstances of a particular case. Where time limits do apply, they are included within the relevant section of this Policy. However, it is implicit that all stages of the Procedure be operated expeditiously by all parties in order to avoid unnecessary delay and prejudice to the interests of all parties.

4. Suspension

- 4.1 Suspension is not regarded as disciplinary action under this Procedure but as a neutral act which may be implemented where, in the opinion of the Chief Executive, it is believed that the Chief Officer's continuing presence at work might compromise the investigation or otherwise impair the efficient exercise of the Council's functions.
- 4.2 Suspension may also be necessary if an allegation is such that, if proven, it would amount to gross misconduct.
- 4.3 Prior to imposing suspension in any case, the Chief Executive shall inform the Chief Officer, in writing, of the reason for the proposed suspension and the Chief Officer shall have the opportunity to make representations before a decision is taken.
- 4.4 The necessity for the Chief Officer to remain suspended should be reviewed at regular intervals and where possible lengthy periods of suspension should be avoided. Further specific consideration should be given as to whether alternative working arrangements might be implemented which could avoid the need for the

Chief Officer's suspension, whilst avoiding any compromise to the investigation or to the efficient exercise of the Council's functions.

4.5 Absence from duty during any period of suspension shall be on full pay.

5. Preliminary Investigation

- 5.1 The Chief Executive will be responsible for informing the Chief Officer, in writing, of the allegations or other issues under investigation. The date of this notification shall be the "commencement date" for the purpose of this Procedure.
- 5.2 The Chief Executive shall be responsible for determining the arrangements for conducting a preliminary investigation, as set out in paragraph 2.2 above.
- 5.3 The Chief Executive shall where a decision has been taken to appoint another to conduct the preliminary investigation on its behalf, determine the terms of appointment of the Preliminary Independent Investigator, agree any remuneration payable to the Preliminary Independent Investigator (if appropriate), and provide facilities and all available information regarding the allegations or other issues under investigation as are necessary to enable the Preliminary Independent Investigator to fulfil their role.
- 5.4 The Chief Executive or Preliminary Independent Investigator will be entitled to interview witnesses and carry out such enquiries as they deem necessary. This may include examining the Council's email, Internet, and other IT systems, including the accounts of the Chief Officer. The Chief Officer shall fully cooperate with the Chief Executive or Preliminary Independent Investigator and shall make themselves available for such interviews and meetings and provide any relevant documentation or information as the Chief Executive or Preliminary Independent Investigator deems necessary.
- 5.5 The Chief Officer shall be given reasonable facilities and access to the Council's premises and systems as well as personal files/diary, etc. to allow them to prepare their responses on such terms as may be agreed by the Chief Executive or Preliminary Independent Investigator.
- 5.6 The Chief Executive or the Preliminary Independent Investigator shall prepare a short report following their investigation which, where required, shall be submitted to the Chief Executive for their consideration ("Preliminary Investigation Report"). A copy of the Preliminary Investigation Report shall be provided to the Chief Officer within seven working days of receipt by the Chief Executive or where completed by the Chief Executive within seven working days of its completion.
- 5.7 The Chief Officer shall, if they so wish, make representations in relation to the Preliminary Investigation Report, within five working days of receipt by the Chief Officer of the Preliminary Investigation Report.
- 5.8 Before determining whether the allegations or other issues warrant referral to the Investigation and Disciplinary Committee for further consideration, the Chief Executive shall advise the Chief Officer, in writing, that:-
- they are required to attend a meeting with the Chief Executive;
 - they may make oral representations to the Chief Executive at that meeting; and

- they may put forward written representations or evidence, including written witness evidence, which they wish the Chief Executive to consider at this stage. Any such written representations, witness statements or supporting evidence must be submitted to the Chief Executive at least three working days before the meeting.
6. The Chief Executive will give careful consideration to the allegations or other issues, the Preliminary Investigator's Report, supporting evidence and any representations put forward by the Chief Officer before taking further action.
- 6.1 The Chief Executive shall decide whether:-
- (i) The issue requires no further formal action under this Procedure (in which case they will consider what other steps, if any, should be taken) and would ordinarily lift any suspension immediately; or
 - (ii) The issue should be referred to the Investigating and Disciplinary Committee, in which case the following paragraphs shall apply.
- 6.2 The Chief Executive shall inform the Chief Officer of the decision, in writing, as soon as practicable.
- 7. The Role of the Investigating and Disciplinary Committee and appointing an Investigator**
- 7.1 If the Chief Executive decides that the matter should be referred to the Investigating and Disciplinary Committee, it shall be its responsibility to appoint a Chief Officer of the Council, or an independent person, to carry out any further investigation required into the allegations or other issues as soon as practicable. This Investigator can be the same person who carried out the preliminary investigation.
- 7.2 The Investigating and Disciplinary Committee should:-
- (a) no fewer than three elected members;
 - (b) should not include any member with a direct personal involvement in the complaint;
 - (c) should be politically balanced; and
 - (d) should include a member of the Executive.
- 7.3 The Investigating and Disciplinary Committee shall appoint a chairperson to oversee the function of the Committee ("Chair").
- 7.4 The Investigating and Disciplinary Committee shall be advised throughout by a suitable adviser who may be employed by or independent of the Council, ("the Independent Adviser") who shall ordinarily be accompanied by a member of the Council's HR Team, save in cases where a conflict of interest could arise, in which case the Investigating and Disciplinary Committee shall appoint a nominee.
- 7.5 The Chief Executive shall determine the terms of appointment of the Investigator, agree the Investigator's remuneration (if appropriate), procure the necessary

facilities and provide all available information about the allegations or other issues under investigation as shall be necessary to enable them to fulfil their role.

- 7.6 The Chief Officer will be informed that the matter has been referred to the Investigating and Disciplinary Committee, the members of the Investigating and Disciplinary Committee and that an Investigator has been appointed who, subject to availability, may be the same person who carried out the preliminary investigation.

8. Responsibilities of the Investigator

- 8.1 It will be the responsibility of the Investigator to carry out a further investigation into the allegations or other issues under investigation and to prepare a report ("Investigation Report"):-

- (i) stating in their opinion whether (and if so, the extent to which) the evidence they have obtained supports any allegation of misconduct, or incapability or supports a need for action under this Procedure for some other substantial reason; and
- (ii) recommending what, if any, disciplinary action or range of actions appears to be appropriate for the Council, through its Investigating and Disciplinary Committee, to take against the Chief Officer having regard to all the circumstances of the case.

9. Pre-Disciplinary Hearing Procedure

- 9.1 Within seven working days of receipt of the Investigation Report, the Chief Executive, or their nominee, shall send a copy to the Chief Officer. If the Investigation Report identifies allegations of misconduct and a need for further action, the Chief Officer will be sent, in addition to the Investigation Report, written notice of the specific allegations to be considered by the Investigating and Disciplinary Committee at the Disciplinary Hearing and any supporting documentation.
- 9.2 The Chief Officer shall, if they so wish, request further information and documents relating to the allegations within five working days of receipt of the Investigation Report.
- 9.3 Any additional information and documentation requested would be provided by the Investigator, where relevant, within seven working days or such other time as appropriate in the circumstances.
- 9.4 Once the period for requesting further information has elapsed or once a response has been provided by the Investigator further to paragraph 9.3 above, the Head of People Management and Development or their nominee shall give the Chief Officer not less than ten working days written notice of the date of the Disciplinary Hearing with the Investigating and Disciplinary Committee. The notice shall include:-
- (i) the time and place of the Disciplinary Hearing;
 - (ii) who will be in attendance at the Disciplinary Hearing including the members of the Investigating and Disciplinary Committee;

- (iii) a copy of the Investigator's Report and any supporting documentation (including any witness statements where relevant) and the allegations to be considered at the Disciplinary Hearing;
- (iv) confirmation that the Disciplinary Hearing is convened under this Procedure and could result in disciplinary action;
- (v) confirmation that the Chief Officer may be accompanied at the Disciplinary Hearing by a trade union representative, an official employed by a trade union or a fellow work colleague ("Companion");
- (vi) confirmation that the Chief Officer may ask any person to be present as a witness or adduce any documents or written statements in support of his response, provided full details of such witnesses and copies of any such documents or statements are provided to the Chief Executive, or their nominee, at least five working days before the date of the Disciplinary Hearing, for distribution to all parties.

- 9.5 Within two working days, the Chief Officer shall either agree the date for the Hearing or propose to the Head of People Management and Development or their nominee, a postponement for the date of the Hearing for a period not exceeding ten working days setting out the reasons for the request. For the avoidance of doubt, the postponement includes any postponement due to the availability of the Chief Officer's Companion. If the Chief Officer requests a postponement, the Head of People Management and Development or their nominee and the Chief Officer (or his representative) shall agree the date for the Hearing. If they cannot agree the date within one working day, the Chair of the Investigating and Disciplinary Committee, having taken appropriate advice, shall determine the date of the Disciplinary Hearing.
- 9.6 The Head of People Management and Development or their nominee shall then formally give notice to the Investigating and Disciplinary Committee (and the Chief Officer if the Hearing has been postponed) of the date for the Disciplinary Hearing and shall submit a report to the Investigating and Disciplinary Committee, including the Investigation Report, supporting evidence and any representations provided by the Chief Officer.
- 9.7 The Chief Officer and their Companion must make every effort to attend the Disciplinary Hearing (whether reconvened or otherwise). Failure to attend without good reason may be treated as misconduct in itself. If the Chief Officer fails to attend without good reason, or persistently fails to do so, the Disciplinary Hearing may proceed in their absence and a decision may be made based on the available evidence.
- 9.8 At least five working days before the date of the Disciplinary Hearing the Chief Officer shall give to the Head of People Management and Development, or their nominee:-
- (i) Full details of any witnesses they wish to call;
 - (ii) Copies of any documents which they wish to refer to in support of their response;

- (iii) Any written statements or submissions which they wish to submit; and
 - (iv) Details of the Companion they wish to bring to the Disciplinary Hearing.
- 9.9 The Head of People Management and Development or their nominee shall provide a copy of such documents and information to the Chief Executive and the Investigating and Disciplinary Committee as soon as reasonably practicable thereafter and no later than three working days prior to the Disciplinary Hearing.

10. The Investigating and Disciplinary Committee Hearing

- 10.1 The procedure for the Disciplinary Hearing will be as follows:-
- (i) the Chair of the Investigating and Disciplinary Committee will explain the purpose of the Hearing and the procedure to be followed;
 - (ii) the Chief Executive, or their nominee (who may include the Investigating Officer) will present the complaint and introduce evidence in support of the complaint, including the Investigation Report, documents and witness evidence either in person or in writing as previously notified;
 - (iii) the Chief Officer or his Companion, and the Investigating and Disciplinary Committee and Independent Adviser, will have the opportunity to ask questions of the Chief Executive and/or their nominee, including direct questions to the witnesses;
 - (iv) the Chief Officer or their Companion will introduce evidence in support of their response to the allegations, including documents and witnesses as previously notified;
 - (v) the Chief Executive, or their nominee, and the Investigating and Disciplinary Committee and the Independent Adviser will have the opportunity to ask questions of the Chief Officer and/or their Companion, including direct questions to the witnesses;
 - (vi) both sides will sum-up their presentations, commencing with the Chief Executive or their nominee.
- 10.2 The Chief Officer's Companion can address the hearing, put and sum up the Chief Officer's case, make representations on behalf of the Chief Officer to any views expressed at the Disciplinary Hearing and confer with the Chief Officer during the Disciplinary Hearing. The Companion does not, however, have the right to answer questions on the Chief Officer's behalf. If the Chief Officer's choice of companion is unreasonable, the Chief Executive or his nominee may request that another companion be selected e.g. where the companion may have a conflict of interest or prejudice the Disciplinary Hearing.
- 10.3 The Disciplinary Hearing may be adjourned if the Investigating and Disciplinary Committee need to carry out any further investigations such as re-interviewing witnesses in the light of any new points which are raised at the Disciplinary Hearing. The Chief Officer will be given a reasonable opportunity to consider any new information obtained before the Disciplinary Hearing is reconvened.

10.4 When the Investigating and Disciplinary Committee has heard all of the evidence submitted they will adjourn to consider what, if any, further action should be taken. The range of options available to them include:-

- (i) taking no further action;
- (ii) recommending informal resolution or other appropriate procedures be followed;
- (iii) referring back to the Investigator for further investigation and a further report;
- (iv) taking disciplinary action against the Chief Officer.

10.5 In the case of disciplinary action, this can include the following:-

- (i) a recorded or oral warning;
- (ii) a written warning;
- (iii) a final written warning;
- (iv) a final written warning accompanied by:-
 - (A) suspension on half pay or no pay for a specified period; and/or
 - (B) relegation (i.e. reduction in salary) for a specified period and/or on specified terms; and/or
 - (C) demotion;
- (v) dismissal (whether summary dismissal or on notice); and
- (vi) alternatively the Investigating and Disciplinary Committee may explore other alternatives such as but not limited to early retirement, secondment, or redeployment to a more junior post where there are issues relating to capability or loss of trust and confidence in the Chief Officer in their current role.

10.6 For the avoidance of doubt, the actions set out in paragraph 10.5 (iv) above shall only be applied in circumstances where the Investigating and Disciplinary Committee has decided that appropriate disciplinary action would include dismissal but that action short of dismissal would be more appropriate due to mitigating or other circumstances.

10.7 Written warnings will set out the nature of the misconduct, the change in behaviour required, the period for which the warning will remain active, and the likely consequences of further misconduct in that period.

10.8 All others present at the Disciplinary Hearing (other than the Independent Adviser) will withdraw while the Investigating and Disciplinary Committee consider their decision.

10.9 Where practicable, the decision of the Investigating and Disciplinary Committee will be delivered orally after an adjournment. However, in order to ensure that the Investigating and Disciplinary Committee shall be afforded sufficient time to

fully consider their decision, their decision may be deferred and issued to the Chief Officer in writing within five working days of the Disciplinary Hearing, or as soon thereafter as is reasonably practicable.

- 10.10 The letter will outline the decision and the action, if any, to be taken and will set out the rights of appeal ("Decision Letter")

11. Appeal Process

- 11.1 The Chief Officer shall have the right to appeal the Investigating and Disciplinary Committee's decision, to the Appeals Committee. Any appeal must be made in writing to the Chair of Appeals Committee or their nominee as set out in the Decision Letter within ten working days of the date of the Decision Letter including the grounds of appeal ("Notice of Appeal").
- 11.2 Within five working days thereafter the Chief Officer must inform the Chair of the Appeals Committee of the following details in relation to the Notice of Appeal and provide the following information:
- (i) whether the Chief Officer is to be accompanied at the appeal hearing by a Companion and if so by whom;
 - (ii) whether they wish to call witnesses and if so, their names and the nature of the evidence they will provide;
 - (iii) copies of any additional documents or information relevant to the appeal that was not provided at the Disciplinary Hearing;
- 11.3 Having considered the Notice of Appeal, the Appeals Committee will determine whether the appeal hearing will take the form of a full re-hearing or a review of the decision taken by the Investigating and Disciplinary Committee.
- 11.4 The Appeals Committee will consider the appeal as soon as reasonably practicable after the Notice of Appeal has been received. It will invite the following persons to be present at an appeal hearing:
- (i) the Chief Officer, who may be accompanied by a Companion; and
 - (ii) the Chair of the Investigating and Disciplinary Committee or another members of the Committee if so nominated by the Chair, to explain their reasons for their decision and to answer any questions.
- 11.5 The procedure for convening the Appeal Hearing will follow that set out above in relation to the Disciplinary Hearing.
- 11.6 The Appeals Committee shall be advised by an independent adviser who shall not usually be the same Adviser who advised the Investigating and Disciplinary Committee.
- 11.7 The Appeals Committee may take into account any additional information which has become available in relation to the allegations or other issues under investigation following the Disciplinary Hearing.
- 11.8 The Appeals Committee may decide to uphold or dismiss the original decision of the Investigating and Disciplinary Committee or impose a different sanction within the range of penalties as set out in paragraphs 10.4 and 10.5.

- 11.9 The decision reached will be final and there is no further right of appeal.
- 11.10 If it is not practicable for the Appeals Committee to provide their decision orally, at the conclusion of the appeal hearing it will be notified to the Chief Officer, in writing, within five working days of the date of the appeal hearing, or as soon thereafter as is reasonably practicable.

Section I paras, 1,2,5,7,9,11,12,13,14,15,16	The Council	The Council, or the Chief Executive or any Director of the relevant Head of Service
<i>Section I, para 17</i>	<i>The Council</i>	<i>The Council</i>
Section I para 6	<p>(a) In relation to the appointment of Head of Paid Service, the Council, <u>but note</u> the provisions in I paras, 11-13 below, which must be exercised by the Council</p> <p>(b) A Committee of 9 Members (the Appointments Committee) shall discharge on behalf of the Council the appointment of a statutory Chief Officer, non-statutory Chief Officer and deputy Chief Officers (Directors and Heads of Service), and Head of Democratic Services and to determine any details relating to such appointments (<i>except remuneration of chief officers which must be determined by Council</i>)</p> <p>(c) In relation to applications for voluntary early retirement/redundancy a committee ("the Pension/Compensation Committee") of 7 Members to determine such applications and to approve the early release of pension benefits exercising the Council's discretionary powers under the Local Government Pensions Scheme Regulations</p> <p>(d) In relation to all other staff the Head of Paid</p>	<p>(b) All those matters within the Committee's Terms of Reference are delegated to that Committee.</p> <p>(c) All those matters within the Committee's Terms of Reference are delegated to that Committee.</p> <p>(d) The Chief Executive and any person</p>

	Service or his/her nominee	nominated by the Chief Executive
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MISCELLANEOUS FUNCTIONS (SECTION I)

EXTRACT FROM RESPONSIBILITY FOR FUNCTIONS

6. Appointment and dismissal of staff	Section 112 of the Local Government Act 1972 and sections 7 and 8 of the Local Government and Housing Act 1989, N.B. <i>The exceptions as set out in the Local Authorities (Standing Orders) (Wales) (Amendments) Regulations 2006 & 2014</i>
11. Power to appoint officers for particular purposes (appointment of "proper officers")	Section 270(3) of the Local Government Act 1972 (C42)
13a. Duty to designate an officer as the monitoring officer and to provide staff etc	Section 5(1) of the Local Government and Housing Act 1989
13b. <i>Duty to designate an officer as Head of Democratic Services to provide staff etc.</i>	<i>Section 8 of the Local Government Wales Measure 2011</i>
17. <i>Determination of level and any change in the level of remuneration to be paid to a Chief Officer</i>	<i>Regulation 7 of the Local Authorities (Standing Orders) (Wales) Regulations 2006 as amended by the 2014 amendment regulations</i>

APPENDIX C

Investigating & Disciplinary Committee

Terms Of Reference

1. **Primary Purpose**
 - 1.1 To deal with all matters of discipline relating to Statutory Officers and other Chief Officers employed by the Council *as Statutory Officers as defined in Procedure A and Chief Officers as defined in Procedure B. These officers are employed under Joint Negotiating Committee (JNC) terms and conditions, in accordance with the Disciplinary Procedures for Statutory Officers (attached Marked A) and the Disciplinary Procedure for Other Chief Officers (attached Marked B).*
 - 1.2 **Other**

To review and amend the said Disciplinary Procedures A & B from time to time having regard to any changes to the model procedures outlined in the JNC Conditions of Service for Chief Officers that may be implemented from time to time. *The JNC conditions are based on the Local Authorities (Standing Orders) (Wales) Regulations 2006 and associated amendments.*
2. **Membership**

The membership of the Committee is set out in the said Disciplinary Procedures A & B.
3. **Chair**

The Chair of the Committee shall be selected from the Members of the Committee by majority vote.
4. The Council at its meeting on the 8th May, 2014 agreed that the current restriction within Standards Orders which prohibits a meeting for sitting longer than four hours to be removed from the Investigating and Disciplinary Committee, subject to a requirement on the Committee to take appropriate breaks so as to ensure the comfort of those participating in the meeting.

Approved by Council
21.3.13

R4 added May 2014

Article 15 - Review And Revision Of The Constitution

References:

Sections 30 and 37, Local Government Act 2000

Chapter 7 and 8, The Local Government Act 2000 Part II: Guidance for County and County Borough Councils in Wales on Executive Arrangements, July 2001

15.01 Duty to monitor and review the constitution

The Monitoring Officer will monitor and review the operation of the Constitution to ensure that the aims and principles of the Constitution are given full effect.

15.02 Protocol for monitoring and review of constitution by monitoring officer

A key role for the monitoring officer is to be aware of the strengths and weaknesses of the Constitution adopted by the Council, and to make recommendations for ways in which it could be amended in order better to achieve the purposes set out in Article 1. In undertaking this task the monitoring officer may:

- (a) observe meetings of different parts of the member and officer structure;
- (b) undertake an audit trail of a sample of decisions;
- (c) record and analyse issues raised with him/her by members, officers, the public and other relevant stakeholders; and
- (d) compare practices in this authority with those in other comparable authorities, or national examples of good practice.

15.03 Change where there is a Cabinet form of Executive.

Changes to the constitution will only be approved by the full Council after consideration of the proposal by the Monitoring Officer.

15.04 Change within a mayoral form of executive.

Unless the change relates only to the operation of overview and scrutiny committees, any resolution of the full Council to approve a change will have no effect without the written consent of the mayor.

15.05 Change from a mayoral form of executive to another form of executive or to alternative arrangements, or from alternative arrangements to a mayoral form of executive.

The Council must take reasonable steps to consult with local electors and other interested persons in the area when drawing up proposals and must hold a binding referendum. The change will not take effect until the end of the mayor's term of office.

15.06 Change from a leader and cabinet form of executive to alternative arrangements, or vice versa.

The Council must take reasonable steps to consult with local electors and other interested persons in the area when drawing up proposals.

Note that: Significant changes will require the consent of the National Assembly (in accordance with Regulations and guidance in force from time to time).