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**Date: 7th October 2015**

Dear Sir/Madam,

A meeting of the **Cabinet** will be held in the **Sirhowy Room, Penallta House, Tredomen, Ystrad Mynach** on **Wednesday, 14th October, 2015** at **2.00 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

## AGENDA

	Pages
1 To receive apologies for absence.	
2 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 the 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: -	
3 Cabinet held on 30th September 2015.	1 - 6
To receive and consider the following reports on which executive decisions are required: -	

A greener place Man gwyrddach



4	Regulations of Investigatory Powers Act 2000 (RIPA Corporate Policy Review).	7 - 76
5	Corporate Safeguarding Children and Vulnerable Adults Policy.	77 - 116
6	CCBC Education Transport - MTFP 2015/18 Update.	117 - 126
7	Caerphilly Homes Communications Strategy & Implementation Plan.	127 - 150
8	Remodelling of Sheltered Housing Schemes.	151 - 176
9	Draft Savings Proposals for 2016/17.	177 - 212

**Circulation:**

Councillors Mrs C. Forehead, N. George, D.T. Hardacre, K. James, Mrs B. A. Jones, R. Passmore, D.V. Poole, K.V. Reynolds, T.J. Williams and R. Woodyatt,

And Appropriate Officers.



## CABINET

### MINUTES OF THE MEETING HELD AT PENALLTA HOUSE, TREDOMEN ON WEDNESDAY 30TH SEPTEMBER 2015 AT 2.00 P.M.

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#### PRESENT:

Councillor K.V. Reynolds - Chair

#### Councillors:

Mrs C. Forehead (HR and Governance/Business Manager), N. George (Community and Leisure Services), D.T. Hardacre (Performance and Asset Management), K. James (Regeneration, Planning and Sustainable Development), Mrs B. Jones (Deputy Leader and Cabinet Member for Corporate Services), R. Passmore (Education and Lifelong Learning), T.J. Williams (Highways, Transportation and Engineering) and R. Woodyatt (Cabinet Member for Social Services).

#### Together with:

C. Burns (Interim Chief Executive), C. Harray (Corporate Director Education and Community Services), D. Street (Corporate Director Social Services), N. Scammell (Acting Director of Corporate Services & S151).

#### Also in Attendance:

O. Ashton (RDP Delivery Manager), S. Couzens (Chief Housing Officer), P. Elliott (Head of Regeneration and Planning), C. Jones (Head of Performance and Property Services), D. Lucas (Principal Planner), R. Roberts (Performance Manager) and C. Evans (Committee Services Officer).

#### 1. APOLOGIES FOR ABSENCE

Apologies for absence had been received from Councillor D.V. Poole (Cabinet Member for Housing).

#### 2. DECLARATIONS OF INTEREST

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

#### 3. CABINET – 2ND SEPTEMBER 2015

RESOLVED that the minutes of the meeting held on 2nd September 2015 (minute nos. 1 - 5) be approved and signed as a correct record.

## **MATTERS ON WHICH EXECUTIVE DECISIONS WERE REQUIRED**

### **4. RURAL DEVELOPMENT PLAN (RDP) FUNDING 2014 – 2020**

The report provided Cabinet with an update on the Rural Development Programme (RDP) and sought the endorsement for the commencement of the RDP within Caerphilly and Blaenau Gwent County Boroughs.

Members noted that since the Cabinet meeting on 12th November 2014, amendments have been made following requests for further information and confirmation has been received from Welsh Government that it has met the required quality threshold. The Welsh Government has approved the Caerphilly and Blaenau Gwent Local Action Group (LAG) status including Caerphilly County Borough Council as the 'Administrative Body'. The European Commission has formally approved the Welsh Governments Wales RDP Programme and formal Funding approval letters have been received from the Welsh Government confirming that the LEADER budget allocation for the RDP in Caerphilly and Blaenau Gwent County Boroughs is £2,642,994.

Following consideration and discussion, it was moved and seconded that the recommendation in the report be approved. By a show of hands this was unanimously agreed.

RESOLVED that for the reasons contained in the report, the commencement of the RDP Programme in Caerphilly and Blaenau Gwent CBs be endorsed.

### **5. PROPOSED INSPECTION PROGRAMME FOR COUNCIL PROPERTIES**

The report, which proposed the introduction of regular property and tenancy inspections for Caerphilly Homes, was considered by the Caerphilly Homes Task Group on 17th September 2015 and Policy and Resources Scrutiny Committee on 14th July 2015.

The report outlined the existing inspection arrangements and considered the option of introducing more formal arrangements for regular property and tenancy inspections for Caerphilly Homes. It highlighted the potential benefits of a regular inspection programme to both tenants and Caerphilly Homes, the need for a structured approach and the proposed procedure to be implemented. Full details of the proposals were appended to the report.

Members noted that some tenant representatives raised concerns for the privacy of tenants and the inspection programme and standards and were assured that the inspections would be conducted by a variety of existing officers including Tenancy Enforcement Officers and Estate Management Officers, as part of their normal role and are intended to ensure that properties are being maintained to an acceptable standard, and identify any tenancy related issues, such as Health and Safety, Mental Health and Child Protection and signpost for support where required.

Following consideration of the report, and in taking into account the views of the Caerphilly Homes Task Group and Policy and Resources Scrutiny Committee, it was moved and seconded that the recommendations in the report be approved. By a show of hands this was unanimously agreed:-

RESOLVED that for the reasons contained in the Officers report:

- (i) regular property inspections be introduced for all Caerphilly Homes tenants, as per the proposed procedure outlined in section 4.4 of the Officers report;
- (ii) implementation of the proposal be reviewed, and further annual reports be submitted to the Caerphilly Homes Task Group, in order to monitor progress and evaluate the success of the procedure.

## **RECOMMENDATION TO COUNCIL**

### **6. LOCAL DEVELOPMENT PLAN 2015 ANNUAL MONITORING REPORT**

The report, which was considered by the Regeneration and Environment Scrutiny Committee on 15th September 2015, sought the approval of Cabinet of the Annual Monitoring Report prior to its presentation to Council and outlined the findings and recommendations of the Caerphilly County Borough Local Development Plan (LDP) 2015 Annual Monitoring Report (AMR).

Members were asked to note the overview of the LDP Monitoring Data for the 2015 AMR, which provided an insight into the implementation of the LDP over the monitoring period. For the first time, the AMR also provided information on the implementation of the Community Infrastructure Levy (CIL), which was introduced on 1st July 2014.

The 2015 AMR concluded that substantial progress has been made in implementing the LDP up to 2021. However, the 2013 AMR triggered the first review of the LDP in October 2013 as a result of these findings, and these issues remain the same for the 2015 AMR. The lack of a five-year supply is a matter of concern that needs to be addressed, as evidence 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 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.

The 2015 Annual Monitoring Report recommendations are as follows:-

- R1 The 2015 Annual Monitoring Plan has indicated that substantial progress has been made over the plan period in implementing the Caerphilly County Borough Local Development Plan up to 2021.
- R2 The 2015 Annual Monitoring Report has indicated that there is a continuing need to release limited greenfield sites in the short term to address the lack of a five year housing land supply.

Following consideration of the report, and in taking into account the views of the Regeneration and Environment Scrutiny Committee, Cabinet noted the findings of the 2015 Annual Monitoring Report and the implications of the recommendations detailed therein. It was moved and seconded that the recommendations in the report be approved. By a show of hands this was unanimously agreed.

RECOMMENDED to Council that for the reasons contained in the Officers report: -

- (i) the findings of the 2015 Annual Monitoring Report and the implications of the recommendations contained therein be noted;
- (ii) the 2015 Annual Monitoring Report be approved;
- (iii) the 2015 Annual Monitoring Report be submitted to the Welsh Government before the deadline of 31st October 2015.

### **7. BUTE TOWN CONSERVATION AREA APPRAISAL AND CONSERVATION AREA MANAGEMENT PLAN (CAA AND CAMP) FINAL DRAFT 2015**

The report, which was considered by the Regeneration and Environment Scrutiny Committee on 15th September 2015, sought the views and support of Cabinet on proposals to adopt the Bute Town Conservation Area Appraisal and Conservation Area Management Plan 2015

(CAA and CAMP) as supplementary planning guidance to the Caerphilly County Borough Local Development Plan up to 2021 (LDP), prior to consideration by Council.

Members were advised that Bute Town was first designated a Conservation Area on 20th October 1972. An Article 4 Direction for Bute Town has also been in place since 23rd April 1979. As a consequence of work associated with the bid for Heritage Lottery Funding for Bute Town, the Conservation Area has been reassessed, and on 11th February 2015 the Planning Committee resolved to extend and re-align the Conservation Area. They further resolved to replace the Article 4 Direction with a new, extended Article 4(2) Direction boundary, for the proper and sustainable management of the historic environment.

A Conservation Area Appraisal and Management Plan (CAA and CAMP) for Bute Town has now been produced which reflects the updated Conservation Area Boundary, and approval is sought to adopt this as supplementary planning guidance to the Caerphilly County Borough Local Development Plan up to 2021 (LDP). As this will supersede existing guidance, approval is also sought for the current 'Bute Town Conservation Area Design Guide' and 'Bute Town Conservation Area Enhancement Plan (August 2005)' to be consequently cancelled.

Following consideration and discussion, It was moved and seconded that the recommendations in the report be approved. By a show of hands this was unanimously agreed.

RECOMMENDED to Council that for the reasons contained in the Officers report: -

- (i) the Bute Town Conservation Area Appraisal and Conservation Area Management Plan 2015 (CAA and CAMP) be formally adopted as supplementary planning guidance to the Caerphilly County Borough Local Development Plan up to 2021 (LDP);
- (ii) the 'Bute Town Conservation Area Design Guide' and 'Bute Town Conservation Area Enhancement Plan (August 2005)' be consequently cancelled.

## **8. ANNUAL PERFORMANCE REPORT 2014/15**

The report sought the views of Cabinet on the Authority's Annual Self-Assessment called the Performance Report for 2014/15, prior to its presentation to Council on the 6th October 2015.

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.

In addition, the report highlighted how the council performed against the Improvement Objectives it set itself for 2014/2015. Members noted that the report referred to 5 Improvement Objectives, however there are 6 Improvement Objectives set by the Authority, of which, 4 have been successful and 2 have been partially successful, with only 1 being carried forward to 2015/16. Overall, it was noted that there is a mixed picture of performance across the Local Authority and against All Wales data, with some areas performing exceptionally well and others in need of further improvement.

Members discussed the report and noted a number of indicators in which Caerphilly CBC are 1st in Wales. Clarification was sought on an indicator in which there was a low percentage but was ranked to be 1st in Wales. Officers confirmed that this was a reverse indicator in which the lower the percentage, the better the performance.

Cabinet thanked the Officer for the detailed report and extended their gratitude and commendation to the Performance Management Unit, and all staff across the Authority, involved in this piece of work.

Following consideration and discussion, it was moved and seconded that the recommendation in the report be approved. By a show of hands this was unanimously agreed.

RECOMMENDED to Council that for the reasons contained in the Officers report, the Annual Performance Report 2014/15 be accepted.

The meeting closed at 2.38pm

Approved and signed as a correct record subject to any corrections made at the meeting held on 14th October 2015.

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CHAIR

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## CABINET – 14TH OCTOBER 2015

**SUBJECT: REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA CORPORATE POLICY REVIEW)**

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

- 
- 1.1 The attached report, which sought the views of Members on proposed changes to the Council's Corporate Regulation of Investigatory Powers Act (RIPA) Policy, was considered by the Policy and Resources Scrutiny Committee on 30th September 2015, prior to its presentation to Cabinet.
  - 1.2 The Council is under an obligation to comply with legislative requirements and is subject to the provisions of the Regulation of Investigatory Powers Act 2000, Protection of Freedom Act 2012, and the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) (Amendment) Order 2012 (S1 2012/1500). This report recommends changes to the Council's current Corporate RIPA policy to ensure that the policy remains fit for this purpose.
  - 1.3 Following a further internal review undertaken by the Council's Interim Monitoring Officer, it is proposed that the current Policy is reviewed in its entirety to strengthen the governance arrangements around the RIPA process, more adequately address the comments of the Inspector in 2012, address the changes made in relation to the Acquisition of Communications Data which is now dealt with via the National Anti-Fraud Network (NAFN), to reduce the number of Authorising Officers and to introduce a more formal training regime.
  - 1.4 Members were asked to formally note that this Policy is not intended for use in connection with the surveillance of its employees and were reminded that the surveillance of employees is currently suspended pending the implementation of a specific policy and there are no current plans to progress this issue. Officers gave assurances that the Policy had been thoroughly reviewed and that all associated procedures are and will continue to be stringently monitored.
  - 1.5 Following consideration of the report and in noting its contents, the Policy and Resources Scrutiny Committee unanimously recommended to Cabinet that for the reasons contained therein:-
    - (i) the contents of the Officer's report be noted;
    - (ii) the changes to the Council's Corporate Regulation of Investigatory Powers Act Policy be approved.
  - 1.5 Members are asked to consider the recommendations.

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

Appendices:

Appendix 1 Report to Policy and Resources Scrutiny Committee on 30th September 2015 –  
Agenda Item 11



## **POLICY AND RESOURCES SCRUTINY COMMITTEE – 30TH SEPTEMBER 2015**

**SUBJECT: REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA  
CORPORATE POLICY REVIEW)**

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

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### **1. PURPOSE OF REPORT**

- 1.1 To seek the views of Members of the proposed changes to the current corporate RIPA policy prior to referral to Cabinet for formal approval.

### **2. SUMMARY**

- 2.1 The Council is under an obligation to comply with legislative requirements and is subject to the provisions of the Regulation of Investigatory Powers Act 2000, Protection of Freedom Act 2012, and the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) (Amendment) Order 2012 (S1 2012/1500). This Report recommends changes to the Council's current corporate RIPA policy to ensure that the policy remains fit for this purpose.

### **3. LINKS TO STRATEGY**

- 3.1 The Council is under an obligation to comply with legislation requirements and this Report helps to do that. The RIPA policy promotes the wellbeing of the citizens of Caerphilly as a place where people can live in a high quality safe environment.

### **4. THE REPORT**

- 4.1 Members are reminded that RIPA provides a statutory mechanism for authorising covert surveillance and the use of a 'covert human intelligence source' (a 'CHIS') (e.g. undercover agents/informants) in circumstances that are likely to result in the obtaining of private information about a person for the purpose of preventing or detecting crime or of preventing disorder. RIPA also controls the acquiring of communications data by Local Authority staff. Its aim is to provide a balance between preserving people's right to privacy and enabling enforcement agencies to gather evidence for effective enforcement action.
- 4.2 With effect from 1st November, 2012, Local Authorities have only been able to authorise the use of directed covert surveillance under RIPA to prevent or detect criminal offences that are either punishable, whether on summary, conviction or indictment, by a maximum term of at least six months, imprisonment or an offence under:-

S146 Licensing Act 2003 (sale of alcohol to children)  
S147 Licensing Act 2003 (allow sale of alcohol to children)  
S147A Licensing Act 2003 (persistently selling alcohol to children)  
S7 Children and Young Persons Act 1933 (sale of tobacco etc. to persons under 18)

- 4.3 Since November 2012 Local Authorities have to obtain an order approving the grant or renewal of a RIPA authorisation from a Justice of the Peace (a District Judge or Lay Magistrate) at the Magistrates Court for directed surveillance, covert human intelligence source (CHIS) and communication data.
- 4.4 The Council's Corporate RIPA policy was reviewed in December 2012 following the changes in legislation referred to in paragraph 4.2 of the Report and the inspection undertaken by the office of the Surveillance Commissioner in October 2012.
- 4.5 Following the implementation of the new legislation the numbers of RIPA operations undertaken by the Authority reduced, and the main user is now Public Protection undertaking operations in the main in relation to under age sales of alcohol and tobacco. Members will be aware that the numbers and nature of the RIPA operations undertaken are reported routinely to the Audit Committee. For information there has been two operations undertaken since 1<sup>st</sup> April, 2015, both in relation to the supply of alcohol to minors. Both applications were judicially approved.
- 4.6 Following a further internal review undertaken by the Council's Interim Monitoring Officer, it is proposed that the current policy is reviewed in its entirety to strengthen the governance arrangements around the RIPA process more adequately address the comments of the Inspector in 2012, address the changes made in relation to the Acquisition of Communications Data which is now dealt with via the National Anti Fraud Network (NAFN) to reduce the number of Authorising Officers and to introduce a more formal training regime.
- 4.7 Finally, the revised Policy now incorporates guidance on the use of social networking sites and the internet as these are being used more commonly as an investigative tool.
- 4.8 Members are asked to note formally that this Policy is not intended for use in connection with the surveillance of its employees. Members are also reminded that the surveillance of employees is currently suspended pending the implementation of a specific policy and there are no current plans to progress this issue.
- 4.9 The revised draft Policy is attached at Appendix 1 for consideration by Members.

## **5. EQUALITIES IMPLICATIONS**

- 5.1 The proposed Policy complies with relevant legislation.

## **6. FINANCIAL IMPLICATIONS**

- 6.1 None arising from the Report.

## **7. PERSONAL IMPLICATIONS**

- 7.1 No additional resources required.

## **8. CONSULTATIONS**

- 8.1 The Report reflects the views of the Consultees.

## **9. RECOMMENDATIONS**

9.1 It is recommended that:-

- (i) Members note the contents of the Report;
- (ii) Provide comments on the proposed Corporate RIPA Policy prior to the draft Policy being referred to Cabinet for formal approval.

## **10. REASONS FOR THE RECOMMENDATIONS**

10.1 To ensure compliance with statutory requirements.

## **11. STATUTORY POWERS**

11.1 Regulation of Investigatory Powers Act 2000 and Regulations made under the Act, and the Protection of Freedoms Act 2012.

Author:

Consultees: Gail Williams, Interim Head of Legal Services/Monitoring Officer  
Chris Burns, Interim Chief Executive  
Nicole Scammell, Interim Director of Corporate Services  
Christina Harhy, Corporate Director – Education & Community Services  
Councillor C. Forehead, Cabinet Member for Human Resources & Governance  
Robert Hartshorn – Head of Public Protection  
Jacqui Morgan – Trading Standard & licensing Manager  
Kathryn Peters – Community Safety Manager

Appendix: Draft Corporate RIPA Policy (revised September 2012)

Background

Papers: Existing Corporate RIPA Policy

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**CAERPHILLY COUNTY BOROUGH COUNCIL**

**POLICY, PROCEDURES & FORMS**

**On**

**DIRECTED SURVEILLANCE**

**And use of**

**COVERT HUMAN INTELLIGENCE SOURCES**

**Under the**

**REGULATION OF INVESTIGATORY POWERS ACT 2000**

**As amended by The Protection of Freedoms Act 2012**

**Amended September 2015**

## CONTENTS

<b>A</b>	<b>Introduction &amp; Key Messages</b>
<b>B</b>	<b>Background</b>
<b>C</b>	<b>Changes to the RIPA process</b>
<b>D</b>	<b>What RIPA does and doesn't do - Surveillance</b>
<b>E</b>	<b>Types of Surveillance</b>
	1. Overt Surveillance
	2. Covert Surveillance
	3. Directed Surveillance
	4. Private Information
	5. Directed Surveillance Crime Threshold (in effect from 1.11.12)
	6. Surveillance must be necessary and proportionate
	7. Use of CCTV cameras
	8. Collaborative working
	9. Intrusive Surveillance
	10. Examples of different types of Surveillance
<b>F</b>	<b>Conduct &amp; Use of a Covert Human Intelligence Source (CHIS)</b>
	1. Who is a CHIS?
	2. What must be authorised
	3. European Convention on Human Rights (ECHR)
	4. Juvenile Source
	5. Vulnerable Individuals
	6. Test Purchases
	7. Members of the Public
	8. Noise
<b>G</b>	<b>Online Covert Activity</b>
	<b>1. Social Media &amp; Online Covert Activity Policy</b>
<b>H</b>	<b>Surveillance Devices &amp; Other Technical Equipment</b>
<b>I</b>	<b>Applications for Authorisation and Approval</b>
	<b>Stage One</b>
	1. Application Forms
	2. Grounds for Authorisation
	3. Necessary Proportionate, Collateral Intrusion & Confidential Material
	4. What does the "Necessary" mean
	5. What does the term "Proportionate" mean
	6. What questions should the Applicant address on proportionality
	7. What does the term "Collateral Intrusion" mean
	8. What does the term "Confidential Material" mean
	9. Guidance for Applicant – Directed Surveillance
	10. Guidance for Applicant - CHIS
	11. Guidance for Authorising Officers
	12. Additional Factors when Authorising a CHIS
	13. Duration of Authorisations
	14. Review and Cancellation
	15. Renewals
	16. Forms
	17. Urgent Authorisations
	<b>Stage Two - Approval By a Magistrate</b>
	18. Magistrates Approval



	19.	Application and Attendance
<b>J.</b>		<b>Acquisition of Communications Data</b>
	1.	What is Communications Data
	2.	Definition
	3.	Powers
	4.	Types of Data Available
	5.	Information About Use of Communication Services
	6.	Purpose
	7.	Application
<b>K.</b>		<b>Record Maintenance</b>
	1.	Universal Reference Number for Authorisations
	2.	Records maintained in the Service Area
	3.	Records maintained centrally by the SRO
	4.	Gatekeeper Role
	5.	Records maintained by SRO
<b>L</b>		<b>Oversight, Review &amp; Amendments</b>
	1.	Oversight procedures
	2.	Reviews
		• Amendments to Policy

### Appendix 1

Flow chart of Procedure

### Appendix 2

Details of Authorising Officers

### Appendix 3

#### Forms

Part A RIPA Forms

Part B Human Rights Act 1998 – Additional Forms

#### NOTE:

**This document must be read in conjunction with the Regulation of Investigatory Powers Act Codes of Practice issued by the Home Office on:**

- **Covert Surveillance & Property Interference 2014**
- **Covert Human Intelligence Sources 2014**
- **Acquisition and Disclosure of Communications Data ('Comms COP')**

**And in respect of CCTV**

- **The Information Commissioner's CCTV Code of Practice ('ICO CoP')**

**This document must also be read in conjunction with the Procedures and Guidance issued by the Office of Surveillance Commissioners (December 2014).**

**Copies of this document, application forms, Code of Practice and the Central Register of Trained Officers are maintained by Legal Services.**

**CAERPHILLY COUNTY BOROUGH COUNCIL  
POLICY & PROCEDURES  
REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA)**

**A. Introduction & Key Messages**

1. This Corporate Policy & Procedures Document is based upon the requirements of The Regulation of Investigatory Powers Act 2000 (RIPA) and Home Office's Code of Practices on "Covert Surveillance and Property Interference" and Covert Human Intelligence Sources". The Council takes responsibility for ensuring the RIPA procedures are continuously improved.
2. The authoritative position on RIPA is, of course, the Act itself and the associated Home Office Codes of Practice and any officer who is unsure about any aspect of this Document should contact, at the earliest possible opportunity, the Senior Responsible Officer, namely the Head of Legal Services ("SRO") for advice and assistance. Appropriate training and development will be organised by the SRO
3. The Codes of Practice are admissible as evidence in Court. The provisions of the codes, if relevant, must be taken into account by the Court.
4. Copies of this Document and related Forms will be placed on the Intranet.
5. The SRO will maintain and check the Corporate Register of all RIPA authorisations. It is the responsibility of the relevant Authorising Officer, however, to ensure the SRO receives a copy of the relevant Forms as soon as possible.
6. RIPA and this Document are important for the effective and efficient operation of the Council's actions with regard to covert surveillance and Covert Human Intelligence Sources. This Document will, therefore, be kept under review by the SRO. Authorising Officers must bring any suggestions for continuous improvement of this Document to the attention of the SRO at the earliest possible opportunity.
7. If you are in any doubt on RIPA, this Document or the related legislative provisions, please consult the SRO at the earliest opportunity.
8. The Council treats its statutory responsibilities under RIPA very seriously and expects Authorising Officers and applicants to do so also. Failing to adhere to this policy may result in disciplinary action being taken against Officers by the Council.

**B. Background**

The Human Rights Act 1998 requires the Council, and organisations working on its behalf, to have respect for the private and family life of citizens. However, in rare cases, it may be necessary for the Council to act covertly in ways that could interfere with an individual's rights.

The Regulation of Investigatory Powers Act 2000 (RIPA) provides a statutory mechanism for authorising directed surveillance and the use of a "covert human intelligence source" ("CHIS - e.g. an informer or undercover agent"). It aims to ensure that any interference with the individual's right to privacy under Article 8 of the European Convention is necessary and proportionate, and that both the public interest and the human rights of individuals are protected.

It also provides a mechanism for Council staff to access limited information from telecommunications companies which is covered in the Policy. All applications for the acquisition of communications data is dealt with through the National Anti-Fraud Network (NAFN), which acts as the Council's Single Point of Contact (SPOC).

It is important to note that the legislation does not just affect directly employed Council staff. All external agencies working for Caerphilly County Borough Council automatically become a public body under the Act for the time they are working for the council. It is essential therefore that all external agencies comply with RIPA too, and that work carried out by agencies on the Council's behalf be properly authorised by one of the Council's designated Authorising Officers.

*The Office of The Surveillance Commissioners (OSC)* can inspect the Council's policies and procedures and individual authorisations at any time. The OSC usually provide notice before an inspection, but can arrive unannounced. If the correct procedures are not followed the consequences can be serious. The evidence obtained may be ruled inadmissible. If officers are found to have acted in bad faith, a trial may be stopped as an abuse of process (R v Sutherland 2002 - police officers were found to have acted in bad faith in covertly recording conversations in the exercise yard between defendants and their solicitors). A complaint of maladministration might be made to the Ombudsman. The Council could be made the subject of an adverse report to the Surveillance Commissioner. A claim could be made leading to the payment of compensation by the Council. In any of these circumstances the Council is likely to receive adverse publicity.

**This document summarises the relevant provisions of RIPA, the Codes of Practice and government guidance. If in doubt as to the application of these provisions officers are asked to refer to the relevant Home Office Codes of Practice ([HHPs://www.gov.uk/government/organisations/home-office/series/ripa-codes](https://www.gov.uk/government/organisations/home-office/series/ripa-codes)) and to contact the Head of Legal Services if in any doubt as to how to apply the provisions.**

### C. Changes To The RIPA Process

The Protection of Freedoms Act 2012 came into force on 1st November, 2012 and requires all RIPA authorisations to obtain judicial approval by a court order before they can take effect.

The Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) (Amendment) Order 2012 also came into force on 1st November, 2012 and limits the authorisation of directed surveillance to criminal offences which carry a custodial sentence of at least six months or relate to the sale of tobacco and alcohol to children ("the directed surveillance crime threshold").

### D. What RIPA Does and Doesn't Do - Surveillance

RIPA does

- Require authorisation of directed surveillance
- Prohibit the council from carrying out intrusive surveillance
- Require authorisation of the conduct and use of CHIS
- Require safeguard for the conduct and use of a CHIS

RIPA does not

- Make unlawful conduct which is otherwise lawful
- Prejudice any existing power to obtain information by any means not involving conduct that may be authorised under the Act. For example, it does not affect the Council's current powers to obtain information via the DVLA or to obtain information from the Land Registry as to the owner of a Property.
- Apply to activities outside the scope of Part II of the RIPA, which may nevertheless be governed by other legislation, including the Human Rights Act. A public authority will only

engage RIPA when in performance of its 'core functions' - i.e. the functions specific to that authority as distinct from all public authorities.

**Legal advice should always be sought if there is any doubt as to whether the activity in question is a 'core function'.**

## E. Types Of Surveillance

"**Surveillance**" includes:

- Monitoring, observing, listening to persons, their movements, conversations, other activities or communications;
- Recording anything monitored, observed or listened to in the course of surveillance; (this includes filming audio recording or writing down)
- Surveillance by, or with, the assistance of a surveillance device (this would include the use of binoculars)

Surveillance can be by overt or covert

### 1. Overt Surveillance

Most of the surveillance carried out by the Council will be done overtly there will be nothing secretive, clandestine or hidden about it. In many cases, officers will be behaving in the same way as a normal member of the public (e.g. in the case of some test purchases), and/or will be going about council business openly. Similarly, surveillance will be overt if the subject has been told it will happen (e.g. where a noisemaker is warned that noise will be recorded if the noise continues, or where a premises licence for regulated entertainment is issued subject to conditions and the licensee is told that officers may visit without identifying themselves to check that the conditions are being met).

### 2. Covert Surveillance

Surveillance is covert if, and only if, carried out in a manner calculated to ensure that persons subject to the surveillance are unaware it is or may be taking place (Section 26(9)(a) RIPA.

RIPA regulates two types of covert surveillance - Directed Surveillance and Intrusive Surveillance - and the use of Covert Human Intelligence Sources (CHIS).

### 3. Directed Surveillance

Directed Surveillance is surveillance which

- Is covert surveillance; and
- Is not intrusive surveillance (see definition below - the Council must not carry out intrusive surveillance;
- Is not carried out as an immediate response to events which would otherwise make seeking authorisation under the Act unreasonable e.g. spotting something suspicious and continuing to observe it.

- Is undertaken for the purpose of a **specific investigation** or operation in a manner **likely to result in obtaining private information** about an individual (whether or not that person is specifically targeted for purpose of an investigation).
- Satisfies the directed surveillance crime threshold.

#### 4. **Private Information**

Private information in relation to a person includes any information relating to his private or family life. The fact that covert surveillance occurs in a public place or on business premises does not mean that it cannot result in the obtaining of private information about a person. Prolonged surveillance targeted on a single person may very well result in the obtaining of private information. Similarly, although overt town centre CCTV cameras do not normally require authorisation, if the camera is tasked for a specific operation, which involved prolonged surveillance on particular individual/s, authorisation may well be required. The way in which a person runs her/his business may also reveal information about her or his private life. In deciding whether certain covert surveillance does, or does not, require a directed surveillance authorisation the potential applicant officer must carefully consider the issue of private information. There are, for example, test purchase situations and covert inspection activities where it is unlikely that any private information will be obtained and therefore no authorisation is necessary. However, in the event of subsequent legal proceedings, such a decision could be subject to challenge. It is therefore recommended that a decision not to seek authorisation be made in consultation with an authorising officer and that the decision making process be documented in accordance with the relevant department's internal procedures. For the avoidance of doubt, only those officers authorised to be 'Authorising Officers' for the purpose of RIPA can authorise directed surveillance **IF AND ONLY IF**, the RIPA authorisation procedures detailed in the Policy are followed.

#### 5. **Directed Surveillance Crime Threshold (In Effect From 1 November, 2012)**

- The Council can only authorise use of directed surveillance under RIPA to prevent or detect criminal offences that are either punishable, whether on summary conviction or indictment, by a maximum term of at least 6 months' imprisonment.
- The Council may also continue to authorise the use of directed surveillance for the purpose of preventing or detecting specified criminal offences under s146, 147 or 147A of the Licensing Act 2003 or Section 7(1) of the Children and Young Persons Act 1933 (relating to the underage sale of alcohol and tobacco) where the necessity and proportionality test is met and prior court approval has been granted.

Examples of cases where the offence being investigated attract a maximum custodial sentence of six months or more could include more serious criminal damage, dangerous waste dumping and serious or serial benefit fraud. The Council may not authorise the use of directed surveillance under RIPA to investigate disorder that does not involve criminal offences or to investigate low-level offences which may include, for example, littering, dog control and fly-posting.

#### 6. **Surveillance Must Be Necessary & Proportionate**

RIPA provides that before granting an authorisation the Authorising Officer must be satisfied that the proposed surveillance is necessary for the prevention or detection of crime or the preventing of disorder and is proportionate to what is sought to be achieved by carrying it out. Surveillance will not be proportionate, if the information sought could reasonably be obtained by less intrusive means. In particular, the Authorising Officer must consider both the gravity of the conduct under investigation and whether all reasonable alternative methods of obtaining the necessary outcome have been considered - and why they were discounted.

**Council Officers can carry out "Directed Surveillance" IF AND ONLY IF the RIPA authorisation procedures are followed.**

**7. Use of CCTV Cameras**

The use of temporary covert CCTV cameras at specified locations, e.g. fly tipping 'hotspots', for the purpose of recording unlawful activities and obtaining photographic evidence of the suspect/s, carries with it not only the potential to obtain personal data about the alleged offender/s but also the likelihood of collateral intrusion in to the activities of members of the public using the area under surveillance. In such circumstances authorisation will be required for directed surveillance.

Overt CCTV cameras which are permanently sited for the purposes of, for example, monitoring traffic flow or public safety will not generally require RIPA authorisation. Members of the public should be made aware that such systems are in use e.g. clearly visible cameras or signage, through the provision of information and by undertaking consultation. Guidance on their operation is provided in the Surveillance Camera Code of Practice issued under the Protection of freedoms act 2010.

However, there may be occasions, when the Council wishes to use such CCTV cameras for the purposes of a specific investigation or operation or to target a specific person. In such circumstances (unless as an immediate response to events) consideration must be given as to whether authorisation for directed surveillance is required. For example, authorisation for directed surveillance is likely to be required if the Council wishes to make use of permanently sited overt CCTV cameras in circumstances where officers have received reports of unlawful trading and wish to use those existing CCTV systems to keep watch for such activities. However, authorisation would not be required where officers review existing CCTV footage of general filing in the area for evidence of past unlawful activity following such a report.

**8. Collaborative Working**

If the Council is acting on behalf of another agency, or vice versa, the tasking agency should normally obtain or provide the RIPA authorisation. Where the operational support of another agency (e.g. the Police) is foreseen this should be specified in the authorisation.

For example, if the Police wish to use the Council's CCTV cameras for one of their investigations, this must be agreed by an Authorising Officer. A copy of the Police RIPA authorisation form must be obtained and a copy retained in the departmental records and a copy provided to Head of Legal Services for noting in the Central Register.

A Council officer seeking an authorisation should be alert to any particular sensitivities in the local community and if necessary consult with a senior Police Officer to ensure that the proposed surveillance creates no conflict with the activities of other public authorities.

Where an individual or non-governmental organisation is acting under the direction of the Council they are acting as an agency of the Council and any directed or intrusive surveillance they undertake must be considered for authorisation.

**9. Intrusive Surveillance**

- Is covert
- Relates to residential premises and private vehicles; and

- Involves the presence of an individual on the premises or in the vehicle; or is carried out by a surveillance device. If a surveillance device is not on the premises or in the vehicle it is not intrusive, unless it consistently provides information of the same quality as if it was on the premises or in the vehicle
- Also includes directed surveillance under the ambit of the Regulation of Investigatory Powers (Extension of Authorisation Provisions Legal Consultations) Order 2013
- Can be carried out only by Police and other specified law enforcement agencies.

**Council officers must not carry out intrusive surveillance.**

10. **Examples Of Different Types Of Surveillance**

Surveillance will fall into one of four categories:

Type of Surveillance	Examples
<u>Overt</u>	<ul style="list-style-type: none"> <li>• Police Officer or Parks Warden on patrol.</li> <li>• Signposted town centre CCTV cameras (in normal use)</li> <li>• Recording noise coming from premises after the occupier has been warned that this will occur if the noise persists.</li> <li>• Some test purchases (where the test purchaser behaves no differently from a normal member of the public).</li> </ul>
<u>Covert</u> , but not requiring authorisation	<ul style="list-style-type: none"> <li>• Hidden CCTV cameras providing general traffic crime or public safety information</li> <li>• General observations forming part of the legislative functions of officers as opposed to pre-planned surveillance of a specific person or group</li> <li>• Some test purchases ( where the test purchaser behaves no differently from a normal member of the public.</li> </ul>
<u>Directed</u> - requires RIPA authorisation	<ul style="list-style-type: none"> <li>• Officers follow an individual over the course of the day, to establish whether he is working when claiming benefit.</li> <li>• Test purchases when the officer has a hidden camera or recording device to read information if this is likely to include information about the private life of a shop owner e.g. where he/she is suspected of running his business in an unlawful manner.</li> <li>• Covert cameras at a fly tipping hotspot.</li> </ul>
<u>Intrusive</u> - the Council cannot do this	<ul style="list-style-type: none"> <li>• Planting a listening device (bug) in a person's home or in their private</li> </ul>

	motorcar.
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Covert surveillance for any purpose other than the prevention or detection of crime should be conducted under other legislation, if relevant and RIPA authorisation should NOT be sought. This would include the surveillance for the ordinary functions carried out by all authorities such as employment issues, investigating long term sickness, contractual arrangements etc. The Council may only engage the use of RIPA when it is carrying out its "core functions" relating to enforcement. The disciplinary of an employee is not such a core function.

However, in exceptional circumstances, e.g. impact on public protection/safety, then it may be necessary to undertake covert directed surveillance other than by using RIPA. Under such circumstances, which should be rare, an application must be completed and the application must be clearly endorsed in red "NON RIPA SURVEILLANCE". The relevant application forms are set out in Part B of Appendix 3. The application must be submitted to a RIPA Authorising Officer in the usual way, who must consider it under the "necessity" and "proportionality" tests in the same fashion as they would a RIPA application. The normal procedures of timescales, reviews and cancellation must be followed:-

The SRO will keep a separate record of non- RIPA activities in the same manner as RIPA authorised activities.

Under no circumstances is this facility to be used to circumvent the usual procedures in relation to RIPA and Judicial Approval.

**Directed and Intrusive Surveillance are subject to the Covert Surveillance & Property Interference Code of Practice (CoP) issued under s 71 RIPA.**

## F. Conduct & Use Of A Covert Human Intelligence Source (CHIS)

### 1. Who Is A CHIS?

- A person is a CHIS if s/he establishes or maintains a personal or other relationship with a person for the covert purpose of obtaining information, or access to information, or covertly discloses information obtained by the use of such a relationship.
- A covert purpose is one calculated to ensure that one of the parties to the relationship is unaware of the purposes.
- The Regulation of Investigatory Powers (Covert Human Intelligence Sources: Relevant Sources) Order 2013 further defines a "relevant source" as a CHIS who holds a position or office within a police force or the Home Office and enhanced authorisation arrangements are in place for this type of source (previously known as "undercover officers").

### 2. What Must Be Authorised

The conduct or use of a CHIS requires authorisation

- **Conduct** of a CHIS = establishing or maintaining a personal or other relationship with a person for the covert purpose of (or incidental to) obtaining and passing on information.
- **Use** of a CHIS = actions inducing, asking or assisting a person to act as a CHIS.



**The Council can use a CHIS IF AND ONLY IF RIPA procedures are followed.**

### 3. **European Convention On Human Rights (ECHR)**

Authorisations for the use or conduct of a CHIS relate to the covert manipulation of a relationship to gain any information. ECHR case law makes it clear that Article 8 includes the right to establish and develop relationships. Accordingly, any manipulation of a relationship by a public authority is likely to engage Article 8, regardless of whether or not the public authority intends to acquire private information. The Council should consider an authorisation whenever the use or conduct of a CHIS is likely to engage an individual's rights under article 8, whether this is through obtaining information, particularly private information, or simply through the covert manipulation of a relationship. An authorisation will be required if a relationship exists between the subject and the CHIS, even if specific information has not been sought by the public authority.

**Legend Building** - when a relevant source is deployed to establish their 'legend/build up their cover profile, an authorisation must be sought under the 2000 Act if the activity will interfere with an individual's Article 8 rights. The individual does not have to be the subject of a future investigation. Interference with any individual's Article 8 rights requires authorisation under the 2000 Act.

### 4. **Juvenile Source**

Special safeguards apply to the use or conduct of juvenile sources (under 18). Only the Chief Executive can authorise the use of a juvenile source. Under no circumstances can a child under 16 years of age be authorised to give information against his or her parents.

### 5. **Vulnerable Individuals**

A vulnerable individual is a person who is or may be in need of community care services by reason of mental or other disability, age or illness and who is or may be unable to take care of himself or herself, or unable to protect himself or herself against significant harm or exploitation. A vulnerable individual should only be authorised to act as a source in the most exceptional circumstances. Only the Chief Executive can authorise the use of a vulnerable person as a CHIS

### 6. **Test Purchases**

If a source is to be asked to obtain information, provide access to information or otherwise to act for the benefit of the Council, then a CHIS authorisation for the use or conduct of that source will be required in advance of any such assignment which requires the source to establish or maintain a 'person or other relationship' for a covert purpose. In this context 'establish' simply means 'set up' (as distinct from 'maintain'), so that even a single transaction -e.g. in the case of a test purchase - may constitute a relationship. Repetition is not always necessary to give rise to a relationship, but whether or not a relationship exists depends on all the circumstances including the length of time of the contract between the seller and buyer and the nature of any covert activity. Some assignments are unlikely to require the source to establish a personal or other relationship for a covert purpose - e.g. if the source's assignment is limited to gathering factual information about the layout of commercial premises.

If a Council officer, or another person acting under the instructions of a Council officer, enters a shop in the normal course of business and purchases a product available for sale over the counter then a CHIS authorisation will not normally be required. However, unless the test purchaser is to be instructed not to enter in to any conversation with the shopkeeper then consideration must be given as to whether there is the possibility of a 'relationship' which would require a CHIS authorisation.

If an officer develops a relationship with a shopkeeper in order to obtain information about the source of the allegedly illegal products on sale, then the officer will require a CHIS authorisation.

If a Council officer, or another person acting under the instructions of an officer, uses any covert recording device (camera and/or audio) to record events in the shop then an authorisation will be required for directed surveillance.

## 7. **Members Of The Public**

The provisions of RIPA are not intended to apply in circumstances where members of the public volunteer information to the Council as part of their normal civic duties, or to contact numbers set up to receive information. Members of the public who volunteer information to the Council, whether anonymously - e.g. by means of a telephone line set up for that purpose or otherwise, will not normally be considered to be a CHIS. However, if a member of the public is asked to e.g. watch out for and diarise particular activities at specific times about another person with whom they have a relationship (whether personal or not) then this would amount to directed surveillance and a CHIS authorisation would be required.

## 8. **Noise**

Persons who complain about excessive noise, and are asked to keep a noise diary, will not normally be a CHIS, as they are not required to establish or maintain a relationship for a court purpose. Recording the level of noise \*(e.g. the decibel level) will not normally capture private information and therefore does not require authorisation. Recording sound with a DAT recorder on private premises could constitute intrusive surveillance unless it is done overtly - for example it will be possible to record sound if the noisemaker is warned that this will occur if the level of noise continues.

## G. **Online Covert Activity**

The use of the internet may be required to gather information prior to and/or during an operation, which may amount to directed surveillance. Alternatively an investigator may need to communicate covertly online, for example, contacting individuals using social media websites.

Whenever the Council intends to use the internet as part of an investigation, we must first consider whether the proposed activity is likely to interfere with a person's Article 8 rights, including the effect of any collateral intrusion. Any activity likely to interfere with an individual's Article 8 should only be used when necessary and proportionate to meet the objectives of a specific case.

Where it is considered that private information is likely to be obtained, an authorisation (combined or separate) must be sought. Where an investigator may need to communicate covertly only, a CHIS authorisation should be considered.

The use of disguised purchaser details in a single, overt, electronic purchase does not require a CHIS authorisation because no relationship is usually established at this stage.

Use of social media for the gathering of evidence to assist in enforcement activities must also comply with the policy set out below:

### **Social Media & Online Covert Activity Policy**

- It is not unlawful for a Council officer to set up a false identity, but it is inadvisable to do so for a covert purpose without authorisation. Using photographs of other persons without their permission to support the false identity infringes other laws.
- Where it is necessary and proportionate for officers pursuing an investigation to create a false identity in order to 'friend' individuals on social networks a CHIS authorisation must be

obtained. If such activity is likely to result in the obtaining of private information, a Directed Surveillance authorisation (combined with a CHIS authorisation or separate) must be obtained.

- Authorisation for the use and conduct of a CHIS is necessary if a relationship is established or maintained by a Council officer (i.e. the activity is more than mere reading of the site's content). Where activity is only carrying out a test picture a CHIS authorisation may not be necessary, but this should be confirmed with the Authorising Officer on a case by case basis.
- Where privacy settings are available, but not applied, the data may be considered open source and an authorisation is not usually required.
- Officers viewing an individual's open profile on a social network should do so as infrequently as possible in order to substantiate or refute an allegation.
- Where repeated viewing of open profiles on social networks is necessary and proportionate to gather further evidence or to monitor an individual's status, then RIPA authorisations must be considered as repeat viewing of "open source" sites may constitute directed surveillance on a case by case basis. Any decision not to seek authorisation be made in consultation with an authorising officer and that the decision making process be documented in accordance with the relevant department's internal procedures.
- Officers should be aware that it may not be possible to verify the accuracy of information on social networks and, if such information is to be used as evidence, take reasonable steps to ensure its validity.

## **H. Surveillance Devices & Other Technical Equipment**

A CHIS who is authorised to wear or carry a surveillance device, such as a recording device, does not require a separate directed surveillance authorisation, provided the device will only be used in the presence of the CHIS, even if this takes place inside a residential premise or private vehicle.

Each Division should maintain a register of all equipment that is used for surveillance work. This equipment could include surveillance vehicles, cameras, video recorders and binoculars. Specific individuals should be given responsibility for issuing the equipment from the storage location. Every time each item of equipment is issued for surveillance purposes a record should be made of the following:

- Identification of equipment
- RIPA authorisation number for which the equipment is being used
- Date the equipment was issued
- Person taking possession of the equipment
- Date the equipment was returned to the Divisional Store

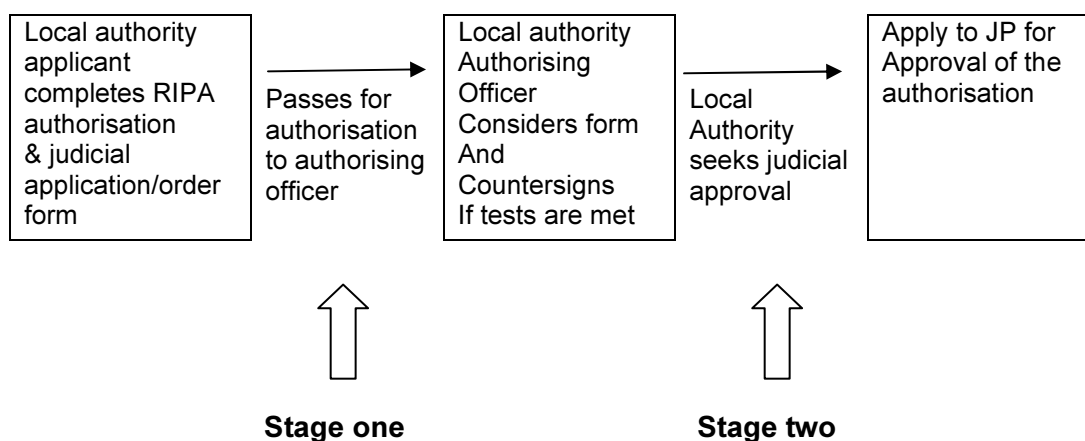
If equipment is issued to a particular officer on a long term basis where it might also be used for purposes other than covert surveillance, the officer should record on the equipment register any occasions when that equipment is being used for covert surveillance. For instance this could apply to the issuing of binoculars or a camera. However if equipment such as a camera is issued to an officer, but it is only used to record evidence and not for any covert purpose then there is no requirement for such equipment to be recorded on the register.

## **I. Applications For Authorisation & Approval**

Directed Surveillance and the use of a CHIS can only be carried out if the proper two stage RIPA authorisation and approval process is followed:

- Stage one - internal authorisation
- Stage two - approval by a magistrate

**DIRECTED SURVEILLANCE/CHIS (COVERT HUMAN INTELLIGENCE SOURCE)**



**Appendix 1** provides a flow chart of process from application consideration to record of information.

**Stage One - Internal Authorisation**

1. **Application Forms**

Applications for authorisation should be made in writing using standard RIPA forms. The forms are designed to ensure that the criteria for RIPA are fully considered.

The forms are included in Appendix 3.

**The Application Form must now be accompanied by the partly completed Magistrates Court Application Form.**

2. **Grounds For Authorisation**

**Directed Surveillance, or the Conduct and Use of a CHIS can be authorised by the Council only**

- **For the prevention or detection of crime or the prevention of disorder which constitutes one or more criminal offence**

•  
AND

- At least one of the criminal offences is punishable, whether on summary conviction or on indictment, by a maximum term of imprisonment of at least six months of imprisonment

OR

- Is an offence under Section 146, 147 or 147A of the Licensing Act 2003 or Section 7 of the Children and Young Persons Act 1933;

**The Conduct and use of the Covert Human Intelligence Sources (CHIS Forms) can be authorised by the County Borough Council only on the following ground:-**

- For the purpose of preventing or detecting crime or of preventing disorder

### **3. Necessary, Proportionate, Collateral Intrusion & Confidential Material**

#### **4. What Does The Term “Necessary” Mean?**

RIPA provides a framework for ensuring that any surveillance activities do not infringe the human rights of the individual. In considering whether to grant an authorisation, the authorising officer must consider whether the proposed conduct is necessary.

**An Authorising Officer must consider a number of issues in deciding if a proposed course of action is necessary. These include:**

- Balancing the “target’s” human rights with the rights and freedoms of other individuals
- Deciding that the required information needs to be acquired in this way and that it cannot reasonably be acquired by other means that would involve less, or no, invasion of privacy.

Every case must be considered on its merits, as what is necessary in some circumstances is not necessary in others. Always consider other ways in which the information could be obtained, such as use of third party information powers, the Internet and other sources. The information must be necessary in order to carry out the investigation. The Council should not consider obtaining information through covert means that it does not need for the investigation. It might be nice to know and very interesting, but it is not strictly necessary to have it then, officers should not seek to obtain it. Officers need to show why it is necessary in this case and at this time.

#### **5. What Does The Term “Proportionate” Mean?**

Proportionality is a very important concept, and it means that any interference with a person’s rights must be proportionate to the intended objective. This means that the action is aimed at pursuing a legitimate aim (for example, protecting a child from potential abuse). Interference will not be justified if the means used to achieve the aim are excessive in all the circumstances. Thus where surveillance is proposed that action must be designed to do no more than meet the objective in question, it must not be unfair or arbitrary, and the impact on the individual or group of people concerned must not be too severe.

Each action authorised should bring an expected benefit to the investigation and should not be disproportionate. The fact that a suspected offence may be serious will not on its own render intrusive actions proportionate. No action will be considered proportionate if the information sought could reasonably be obtained by other less intrusive means.

#### **6. What Questions Should The Applicant Address On The Proportionality Part Of The Application Form?**

The Applicant should address the following elements of proportionality:

- (a) Balance the size and scope of the proposed activity against the gravity and extent of the perceived offence;
- (b) Consider whether the activity is an appropriate use of RIPA and a reasonable way, having considered all reasonable alternatives, of obtaining the necessary result.
- (c) Explain how and why the methods to be adopted will cause the least possible intrusion on the target and others;
- (d) Evidence as far as reasonably practicable, what other methods had been considered and why they were not implemented.

## 7. What Does The Term “Collateral Intrusion” Mean?

Collateral intrusion occurs when officers obtain private landlord information about people unconnected with the investigation. Authorising Officers must consider the likelihood and extent of collateral intrusion when considering any application and ensure that Applicants have planned to minimise collateral intrusion. Where the collateral intrusion is unavoidable the activity may still be authorised, provided that the collateral intrusion is considered to be proportionate. Situations where collateral intrusion can occur include where:

- Observing how busy a business is, results in watching unconnected people come and go
- At a test purchase, we might observe or overhear other customers conversations

## 8. What Does The Term “Confidential Material” Mean?

Confidential material is anything

- That is subject to legal privilege, for example communications between a legal adviser and his/her client;
- That is a communication between a Member of Parliament Assembly Member/Member of European parliament and a constituent regarding constituency matters;
- That is confidential personal information, for example information about a person’s health or spiritual counselling or other assistance given or to be given to him or her;
- That is confidential journalistic material (this includes related communications), that is material obtained or acquired for the purposes of journalism and subject to an undertaking to hold it in confidence.

In cases where it is likely that knowledge of confidential material will be acquired, then the directed surveillance must be authorised by the Chief Executive.

## 9. Guidance For Applicants - Directed Surveillance

The information provided on the application form should:

- Identify the nature of the surveillance and the means by which it is to be undertaken;
- Specify when the surveillance is to start and the length of time it is expected to continue;

- Explain why the applicant believes that the proposed surveillance is necessary for the prevention or detection of crime or the prevention of disorder (as appropriate);
- Identify what is sought to be achieved by the proposed surveillance;
- Identify the offence which satisfies the directed surveillance crime threshold;
- Explain why the applicant considers the proposed surveillance is proportionate, having regard to the gravity and extent of the activity under investigation;
- Explain why the proposed surveillance is a reasonable method of obtaining the necessary outcome;
- Identify whether other reasonable means of obtaining information have been considered and why they have been discounted;
- Explain how and why the proposed surveillance will cause the least possible intrusion on the intended subject/s;
- Include an assessment of the risk of any collateral intrusion and details of any measures taken to limit this;
- Avoid any repetition of information.

#### **10. Guidance For Applicants - Conduct & Use Of A CHIS**

The information provided on the application form should:

- Identify the purpose for which the CHIS will be tasked or deployed (e.g. counterfeit sales);
- Identify the nature of the conduct and use of the CHIS and the period of time it is expected to continue;
- Explain why the applicant believes that the proposed conduct and use is necessary for the prevention or detection of crime or the prevention of disorder (as appropriate);
- Explain how each activity to be authorised is expected to bring a benefit to the investigation;
- Explain how and why the proposed conduct and use is proportionate to the intelligence dividend it hopes to achieve, having regard to the gravity and extent of the activity under investigation;
- Explain how and why the methods to be adopted will cause the least possible intrusion to the subject/s;
- Include an assessment of the risk of any collateral intrusion and details of any measures taken to limit this;
- Identify whether other reasonable methods of obtaining information have been considered and why they have been discounted;

- Ensure the confidentiality of the CHIS - i.e. not include information which could lead to the identification of the CHIS;
- Avoid any repetition of information.

**Surveillance will not be proportionate if the information which is sought could reasonably be obtained by other less intrusive means**

## 11. Guidance For Authorising Officers

Authorisations can only be granted by the Authorising Officers listed in **Appendix 2**.

Authorisations under RIPA is quite separate from delegated authority to act under the Council's scheme of delegation and internal departmental schemes of management. RIPA authorisations are for specific investigations only, and must be cancelled or renewed once the specific surveillance is complete or about to expire.

The Authorising Officer should not just "sign off" an authorisation, but must give **personal consideration** to the necessity and proportionality of the proposed action and must personally ensure that the surveillance is reviewed and cancelled within the applicable timescales.

The Authorising Officer should not "sign off" any operation that he/she has a direct involvement in.

In addition the Authorising Officer must also pay particular attention to Health and Safety Issues that may be raised as a result of any proposed surveillance activity. Under no circumstances should an Authorising Officer approve any RIPA form unless he/she is satisfied that the health and safety of Council employees/agents are suitably addressed and/or risks minimised so far as possible and proportionate with the surveillance being proposed

## 12. Assessing The Application Form

When considering whether to authorise surveillance an Authorising Officer must:

- Consider the relevant Code/s of Practice;
- Satisfy him/herself that the authorisation is **necessary** in the circumstances of the particular case to prevent or detect crimes and that the specified offence satisfies the directed surveillance crime threshold;
- Satisfy him/herself that the surveillance is **proportionate** to what it seeks to achieve. In assessing whether or not the proposed surveillance is proportionate, the Authorising Officer will consider other appropriate means of gathering information;

**If there is an alternative practicable means of carrying out the surveillance, which is less intrusive, then the surveillance is neither necessary nor proportionate and should not be authorised**

- Take into account the risk of intrusion into the privacy of persons other than the specified subject of the surveillance (**Collateral Intrusion**). Measures must be taken wherever practicable to avoid collateral intrusion;
- Set a date for review of the authorisation, this should not exceed one month from the date of the grant of the authorisation;



- Record the expiry date of the authorisation on the application form. This will be three months (Directed Surveillance) or twelve months (CHIS) less one day from the date of the grant of the authorisation;
- Submit draft application for review by Gatekeeper and Obtain a Universal Reference Number (URN) for the application, from the SRO
- Ensure that the original form is completed and forwarded to the Council's Head of Legal Services who maintains the Council's central log, return one week of completion.

### 13. **Additional Factors When Authorising A CHIS**

In addition, when authorising the conduct or use of a CHIS the Authorising Officer must:

- Be satisfied that the **conduct** and/or **use** of the CHIS is proportionate to what is sought to be achieved;
- Be satisfied that appropriate arrangements are in place for the **management and oversight** of the CHIS, in particular the appointment of a named 'handler' to direct and record the day to day activities of the CHIS and monitor the CHIS's security and welfare, and the appointment of a named 'controller' to be responsible for the management of the handler and general oversight of the use of the CHIS;
- Consider the likely degree of intrusion of all those potentially affected;
- Ensure that a risk assessment is carried out to determine the risk to the CHIS of the activities to be undertaken and the likely consequences should the CHIS's role become known;
- Consider any adverse impact on community confidence that may result from the use or conduct or the information obtained; and
- Ensure **records** contain statutory particulars and are not available except on a 'need to know' basis.

### 14. **Duration Of Authorisations**

- The authorisation **must be cancelled** once it is no longer needed, and otherwise lasts for a maximum of 3 months for Directed Surveillance and 12 months for a CHIS (one month for a juvenile).

### 15. **Review & Cancellation**

**Review:** The Authorising Officer must review authorisations at regular recorded intervals (normally not more than one month) and must cancel an authorisation if s/he becomes satisfied that the surveillance or use of a CHIS is no longer required or appropriate. The review of the use of a CHIS should include the use made of the CHIS during the period authorised, the tasks given to the CHIS, the information obtained from the CHIS, and the reasons why executive actions is not possible at this stage. The results of a review should be retained for at least three years. Frequent reviews should occur when the use of a CHIS provides access to confidential information or involves significant collateral intrusion.

The authorising officer should determine how often a review should take place. This should be as frequently as is considered necessary and practicable, but should not prevent reviews being conducted in response to changing circumstances.

**Cancellation:** The authorising officer who granted or renewed the authorisation must cancel it if they are satisfied that the use of the surveillance or the use or conduct of the CHIS no longer satisfied the criteria for authorisation or that arrangements for the CHIS's case no longer satisfy the requirements described in section 29 of the 2000 Act. Where necessary, the safety and welfare of the CHIS should continue to be taken into account after the authorisation has been cancelled. The Authorising Officer will wish to satisfy themselves that all welfare matters are addressed. When cancelling the authorisation, the Authorising Officer should record whether the surveillance was effective, necessary and met its objectives. Cancellations must be made using the cancellation form. If during an investigation it becomes clear that the activity being investigated does not amount to an offence which would meet the directed surveillance crime threshold, the Applicant must submit an application to an Authorising Officer for the authorisation to be cancelled. Cancellations do not need to be submitted for court approval.

If it becomes necessary to amend the terms of an authorisation to reflect information gathered in the course of surveillance then a review should be conducted for that purpose. For example, if a directed surveillance authorisation provides for the surveillance of unidentified individuals whose identity is later established, the terms of the authorisation should be refined at a specially convened review to include the identity of these individuals.

#### 16. Renewals

Authorisations can be renewed in writing prior to expiry of the maximum period. The Authorising Officer must consider the matter afresh by carrying out a further review, including taking into account the information obtained and benefits of the surveillance to date, why it is considered necessary for the authorisation to continue and any collateral intrusion that has occurred.

The renewal will begin on the day when the authorisation would have expired. Authorisation may be renewed more than once if still considered necessary and proportionate. **All renewals must also now be approved by the court.**

#### 17. Forms

All RIPA forms (applications, review, renewal and cancellation), must be forwarded to the SRO within one week of the relevant authorisation, review, renewal, cancellation or rejection).

#### 18. Urgent Authorisations

Urgent oral authorisations can no longer be granted. ALL authorisations must be in writing and submitted to the court with the completed court form. In exceptional circumstances an out of hours court application may be made, but a signed written authorisation will still need to be produced to the court (see below).

#### Stage 2 Magistrates Approval

##### Magistrates Approval

19. After the Authorising Officer has signed the RIPA application form, it must be approved by a Magistrate before the operation can commence. The investigating officer should liaise as necessary with Legal to seek this authorisation, if they require advice or assistance in relation to the process .

## Application & Attendance

- .20. **A hearing with the Court to seek Judicial Approval shall be arranged The Court should be provided with** the RIPA application form \*(signed by the Authorising Officer) and supporting information. **A duly Authorised officer, normally the applicant** will be required to attend court to seek the Magistrate's approval.with assistance from Legal if required.

**Guidance on the procedure for seeking Magistrate's approval can be found at :**  
<https://www.gov.uk/government/publications/changes-to-local-authority-use-of-ripa>.

## J. Acquisition Of Communications Data

### 1. What Is Communication Data?

Communication data means any traffic or any information that is or has been sent over a telecommunications system or postal system, together with information about the use of the system made by any person.

2. RIPA defines communications data in three broad categories:-

(a) **Section 21(4)(c) Information About Communications Service Users**

This category mainly includes personal records supplied to the Communications Service Provider (CSP) by the customer/subscriber. For example, their names and address, payment method, contact number etc.

(b) **Section 21(4)(b) Information About The Use Of Communications Services**

This category mainly includes everyday data collected related to the customer's use of their communications system. For example details of the dates and times they have made calls and which telephone numbers they have called.

(c) **Section 21(4)(a) Information about Communications Data (Traffic Data)**

This category mainly includes network data generated by the CSP relating to a customer's use of their communications system that the customer may not be aware of. For example, cell site data and routing information.

3. **The Council only has power to request data under Section 21(4)b and Section 21(4)c but NOT Section 21(4)(a)**

### 4. What Types Of Communications Data is Available To The Council?

#### **Section 21(4)(c) – Information About Communications Service Users**

- Name of account holder/subscriber
- Installation and billing address
- Method of payment/billing arrangements
- Collection/delivery arrangements for a PO Box (i.e whether it is collected or delivered – not where it is collected from or delivered to)
- Other customer information such as any account notes, demographic information or sign up data (not passwords or personalised access information).

#### 4. **Section 21(4)(b) – Information About The Use Of Communication Services**

- Outgoing calls on a landline telephone or contract or prepay mobile phone
- Timing and duration of service usage
- Itemised connection records
- E-mail logs (sent)
- Information about the connection, disconnection and re-connection of services
- Information about the provision of conference calling, call messaging, call waiting and call barring
- Information about the provision and use of forwarding/redirection services (postal and telecom)
- Records of postal items, such as records of registered, recorded or special delivery postal items, records of parcel consignment, delivery and collection.

#### 6. **What Purpose Can Communications Data Be Accessed**

The Council's can only access communications data for the **prevention and detection of crime or preventing disorder** (Section 22(2)(b) of RIPA).

#### 7. **Applying For Communications Data**

The investigating officer must complete an application form (<https://www.gov.uk/government/organisations/home-office/series/ripa-forms-2>) in full with no sections omitted. (The form is subject to inspection by the Interception of Communications Commissioner and the applicant may be asked to justify their application).

Two forms of authorisation are possible:-

- (a) An authorisation under Section 22(3) of RIPA. This authorises the applicant to personally extract the data from the CSP's records. (This will rarely be used by the Council as its intended use is where there may be a security breach at the CSP and asking the CSP to provide the data would forewarn or alert the subject).
- (b) A notice under Section 22(4) of RIPA requiring the CSP to extract the communications data specified from its records and to send that data to the Single Point of Contact (SPOC) (normal request).

The applicant must indicate which authorisation they seek.

The application form is then submitted to the SPOC for the Council, which is the National Anti-Fraud Network (NAFN).

The idea of only having one point of contact for each public authority was agreed between the Home Office and the CSP's to ensure data was only supplied to those entitled to obtain the data. Only SPOC can acquire communications data on behalf of the Council.

The SPOC will then assess whether the form is completed properly, that the request is lawful, the request is one to which the CSP can practically respond and that the cost and resource implications for the CSP/Council are within reason.

The SPOC will then submit the form to the Authorising Officer for authorisation. (As previously stated, the application form is subject to inspection by the Interception of Communications Commissioner and therefore the Authorising Officer may be called upon to justify any decisions made).

The application must then be approved by a Magistrate. The Investigating Officer /duly authorised officer should if required liaise with Legal to obtain this authorisation.

The Investigating Officer /duly authorised officer with assistance from the legal team (if necessary) will arrange a hearing with the Court to seek the Magistrate's approval. They should provide the Court with the application form and supporting information. **A duly Authorised officer, normally the applicant** /Investigating Officer will be required to attend Court to seek the Magistrate's approval.

**Guidance on the procedure for seeking Magistrates' approval can be found at [https://www.gov.uk/government/publications/changes-to-local-authority-use](https://www.gov.uk/government/publications/changes-to-local-authority-use-of-ripa) of ripa**

If the application is rejected by either the SPOC or the Magistrates, the SPOC will retain the form and inform the applicant in writing of the reasons for its rejection.

Once authorised by the Magistrates, the SPOC will forward the application to the CSP.

Once the data sought is returned to the SPOC, a copy of the information will be passed to the applicant.

All original documents will be retained by the Investigating Officer.

There are a number of other administrative forms that the SPOC's are obliged to complete as the application is progressed, although these will not necessarily involve the Investigating Officer.

Authorisations to collect communications data under S22(3) have a life span of one month. However, they can be renewed by serving a new authorisation or notice for further months, within any time within the current life of the notice. Magistrates would need to approve any renewal..

If you are at all unsure about anything to do with acquiring communication data, please contact either the SPOC, the Head of Legal Services or the Deputy Monitoring Officer for advice **before** applying.

The Head of Legal Services is the Senior Responsible Officer for the Council.

## K. Record Maintenance

**The Council must keep a secure centrally retrievable record of all authorisations, reviews, renewals and cancellations.**

### 1.. Universal Reference Number For Authorisations

The Head of Legal Services will allocate a Universal Reference Number (URN) to each application, this will be assigned by the Gatekeeper, the Corporate Solicitor, once satisfied that the application is acceptable.

## 2. Records Maintained in the Service Area

The following documents must be retained in the department:

- A copy of the application and a copy of the authorisation together with any supplementary documentation and notification of the authorisation given by the Authorising Officer.
- A copy of the court application and order;
- A record of the period over which the surveillance has taken place;
- The frequency of review prescribed by the Authorising Officer;
- A record of the result of each review of the authorisation;
- A copy of any renewal of an authorisation, together with the supporting documentation submitted when the renewal was requested;
- A copy of the court application and order for any renewal;
- The date and time when any instruction was given by the Authorising Officer;
- The Universal Reference Number for the authorisation (URN).

The same principles or record keeping apply to applications which are refused.

A separate record should be maintained for human sources who do not meet the definition of a CHIS - e.g. members of the public who volunteer information on a repeated basis - as this will assist Officers in determining if and when that should may become a CHIS.

**Copies of authorisations, reviews, renewals and cancellations may be disclosed in legal proceedings. If proper records are not maintained, evidence gathered may be inadmissible.**

## 3. Central Records

The Council's SRO must maintain a Central Record, Authorising Officers must forward the original authorising form (and any review/renewal/cancellation and rejection of the same) plus a copy of any judicial approval order from as soon as is practicable. The SRO will monitor the same and give appropriate guidance, from time to time, or amend this Document as necessary.

The Central Record for directed surveillance will consist of

- Date of authorisation
- Name & grade of Authorising Officer
- A unique Reference Number for the investigation
- Title of operation including the names of the subjects if known
- Whether urgency provisions used
- Details of attendances at the Magistrates' Court for judicial approval. (This will consist of the date of attendance at Court, the determining Magistrate, the decision of the Court and the time and date of that decision)
- Dates of any reviews
- Date of renewal

- Name and grade of Authorising Officer granting renewal
- Whether investigation is likely to result in obtaining confidential material
- Date of cancellation

All forms must be sent to the SRO in sealed envelopes and marked “strictly private and confidential”.

The Council will retain records for a period of at least three years from the ending of the authorisation. The Office of the Surveillance Commissioners (OSC) can audit/ review the Council’s policies and procedures and individual authorisations.

#### 4. **Gatekeeper Role**

As a number of different Authorising Officers are entitled to authorise the use of directed surveillance or the use of a CHIS it is important that the quality of all such authorisations is checked for consistency by or on behalf of the SRO.

The Council’s Corporate Solicitor will undertake a gate keeper role and detail all the authorisations when they are received at the central register, on behalf of the SRO. If any such authorisation is found not to meet the high standards expected in the Authority the Gatekeeper on behalf of the SRO will instruct the Authorising Officer to immediately cancel the authorisation. If the difficulties can be overcome, a new application must be made by the Applicant and carefully assessed by the Authorising Officer, bearing in mind the concerns expressed by the Gatekeeper. If it is decided that the granting of an authorisation for this investigation will not be appropriate, for reasons of lack of necessity or proportionality or otherwise, the Applicant will be instructed that no surveillance may be used in this investigation.

#### 5. **Records Maintained Centrally By SRO**

11. Authorising Officers must forward the original of each authorisation, review, renewal, cancellation form, court application form and court order to the Head of Legal Services. All forms must be sent in sealed envelopes and marked ‘Strictly Private and Confidential’.

#### L. **Oversight Review & Amendments**

##### 1. **Oversight Procedures**

The SRO shall establish and maintain regular meetings not less than twice a year with the Gatekeeper and Authorising Officers to check and test processes and address any training requirements. The SRO shall arrange an oversight meeting as soon as practicable following an inspection to discuss issues and outcomes as appropriate.

The SRO shall record any issues arising out of authorisation applications, the statutory considerations, reviews and cancellations and shall review the quality of authorisations granted from time to time.

The SRO shall carry out analysis of such issues and shall decide appropriate feedback to the Authorising Officers.

##### 2. **Reviews**

The number of RIPA operations undertaken by the Council shall be reported quarterly to the Council's Audit Committee. In addition in relation to Public Protection Operations, the number and type of RIPA and Communications Data Requests and their results are also reported annually to the relevant scrutiny committee.

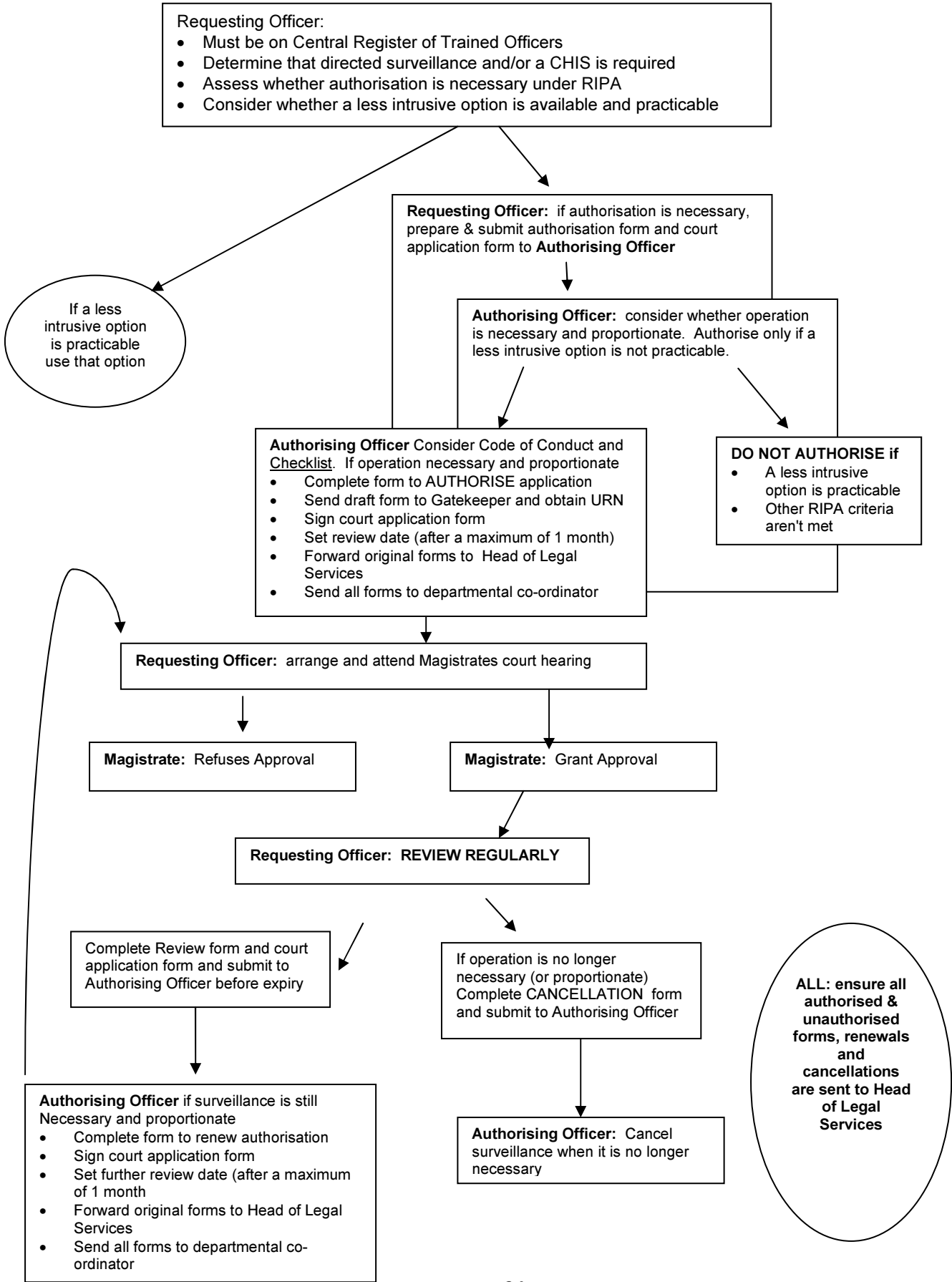
This Policy will be reviewed every two years and will be reported to Cabinet for approval.

### **3. Amendments To This Policy & Procedure**

The SRO is duly authorised to keep this guidance document up to date, and to amend, delete, add or substitute any provisions as s/he deems necessary. For administrative and operational effectiveness, s/he is also authorised to amend the list of Authorising Officers set out in Appendix 2, by adding, deleting or substituting any posts.



Appendix 1 - Flow Chart Of Process



## **Appendix 2 Authorising Officers**

Authorising Officers must be a Director, Head of Service, Service Manager or equivalent. The Authorising Officer should not be directly involved in the investigation. Authorising Officers are listed below:

### **The Chief Executive**

ONLY the chief Executive, (or in her absence the person acting as CEO) can authorise:

- The use of a juvenile (i.e. under 18) or a Vulnerable Person to be a CHIS;
- Operations where confidential information may be obtained. Confidential information includes confidential personal information, confidential constituent information, confidential journalistic material and communications subject to legal privilege. Confidential personal information includes information held in confidence relating to the physical or mental health or spiritual counselling of a person who can be identified from it.

### **Legal advice should always be sought in these circumstances**

#### **Other Authorising Officer**

The Council's Authorising Officers can authorise applications from any department but should be independent of the investigation in respect of which authorisation is sought.

With effect from 1st September, 2015 the Authorising Officers are:

Head of Legal Services  
 Head of Public Protection  
 Trading Standards, Licensing and Registrars Manager  
 Deputy Monitoring Officer

#### **Senior Responsible Officer**

The SRO is responsible for ensuring the integrity of the Council's processes for authorising directed surveillance and the use of CHIS's and ensuring compliance with RIPA and is the principal point of contact with the Office of Surveillance Commissioners and Inspectors when they conduct their inspections. The Council's Senior Responsible Officer is the Council's Head of Legal Services.

Authorising Officer/Designated Person for Acquisition of Communication Data with effect from 1<sup>st</sup> September 2015 are :

- Head of Public Protection
- Deputy Monitoring Officer

**Appendix 3 Forms**

**Part A**

**Authorisation - Directed Surveillance**

- Application
- Cancellation
- Review
- Renewal

**Authorisation - CHIS**

- Application
- Cancellation
- Review
- Renewal

**Court Approval/Application Order**

**Part B**

**Human Rights Act 1998 – Additional Forms**

- Authorisation for approval to carry out activity potentially in interference with Qualified Human Rights.



Unique Reference Number	
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## PART II OF THE REGULATION OF INVESTIGATORY POWERS ACT 2000

### CANCELLATION OF A DIRECTED SURVEILLANCE AUTHORISATION

<b>Public Authority</b> <i>(including full address)</i>	
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<b>Name of Applicant</b>		<b>Unit/Branch/Division</b>	
<b>Full Address</b>			
<b>Contact Details</b>			
<b>Investigation/Operation Name (if applicable)</b>			

**Details of cancellation:**

**1. Explain the reason(s) for the cancellation of the authorisation:**

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Unique Reference Number	
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<b>2. Explain the value of surveillance in the operation:</b>

<b>3. Authorising officer's statement.</b>				
I, (insert name), hereby authorise the cancellation of the directed surveillance investigation/operation as detailed above.				
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%;"><b>Name (Print)</b> .....</td> <td style="width: 50%;"><b>Grade</b> .....</td> </tr> <tr> <td><b>Signature</b> .....</td> <td><b>Date</b> .....</td> </tr> </table>	<b>Name (Print)</b> .....	<b>Grade</b> .....	<b>Signature</b> .....	<b>Date</b> .....
<b>Name (Print)</b> .....	<b>Grade</b> .....			
<b>Signature</b> .....	<b>Date</b> .....			

<b>4. Time and Date of when the authorising officer instructed the surveillance to cease.</b>				
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;"><b>Date:</b></td> <td style="width: 25%;"></td> <td style="width: 25%;"><b>Time:</b></td> <td style="width: 25%;"></td> </tr> </table>	<b>Date:</b>		<b>Time:</b>	
<b>Date:</b>		<b>Time:</b>		

<b>5. Authorisation cancelled.</b>	<b>Date:</b>	<b>Time:</b>
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Unique Reference Number	
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## PART II OF THE REGULATION OF INVESTIGATORY POWERS ACT 2000

### REVIEW OF A DIRECTED SURVEILLANCE AUTHORISATION

<b>Public Authority</b> <i>(including full address)</i>	
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<b>Applicant</b>		<b>Unit/Branch /Division</b>	
<b>Full Address</b>			
<b>Contact Details</b>			
<b>Operation Name</b>		<b>Operation Number*</b> <small>*Filing Ref</small>	
<b>Date of authorisation or last renewal</b>		<b>Expiry date of authorisation or last renewal</b>	
		<b>Review Number</b>	

**Details of review:**

<b>1. Review number and dates of any previous reviews.</b>	
<b>Review Number</b>	<b>Date</b>

Unique Reference Number	
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**2. Summary of the investigation/operation to date, including what private information has been obtained and the value of the information so far obtained.**

**3. Detail the reasons why it is necessary to continue with the directed surveillance.**

**4. Explain how the proposed activity is still proportionate to what it seeks to achieve.**

**5. Detail any incidents of collateral intrusion and the likelihood of any further incidents of collateral intrusions occurring.**

**6. Give details of any confidential information acquired or accessed and the likelihood of acquiring confidential information.**



<b>Unique Reference Number</b>	
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**7. Applicant's Details**

<b>Name (Print)</b>		<b>Tel No</b>	
<b>Grade/Rank</b>		<b>Date</b>	
<b>Signature</b>			

**8. Review Officer's Comments, including whether or not the directed surveillance should continue.**

--

**9. Authorising Officer's Statement.**

I, [insert name], hereby agree that the directed surveillance investigation/operation as detailed above [should/should not] continue [until its next review/renewal][it should be cancelled immediately].

<b>Name (Print)</b>	<b>Grade / Rank</b>
.....	
<b>Signature</b>	<b>Date</b>

<b>10. Date of next review.</b>	
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## PART II OF THE REGULATION OF INVESTIGATORY POWERS ACT 2000

### APPLICATION FOR RENEWAL OF A DIRECTED SURVEILLANCE AUTHORISATION

<b>Public Authority</b> <i>(including full address)</i>	
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<b>Name of Applicant</b>		<b>Unit/Branch /Division</b>	
<b>Full Address</b>			
<b>Contact Details</b>			
<b>Investigation/Operation Name (if applicable)</b>			
<b>Renewal Number</b>			

**Details of renewal:**

1. Renewal numbers and dates of any previous renewals.	
Renewal Number	Date

Unique Reference Number	
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**2. Detail any significant changes to the information as listed in the original authorisation as it applies at the time of the renewal.**

**3. Detail the reasons why it is necessary to continue with the directed surveillance.**

**4. Detail why the directed surveillance is still proportionate to what it seeks to achieve.**

**5. Indicate the content and value to the investigation or operation of the information so far obtained by the directed surveillance.**

**6. Give details of the results of the regular reviews of the investigation or operation.**

<b>Unique Reference Number</b>	
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**7. Applicant's Details**

<b>Name (Print)</b>		<b>Tel No</b>	
<b>Grade/Rank</b>		<b>Date</b>	
<b>Signature</b>			

**8. Authorising Officer's Comments. This box must be completed.**

--

**9. Authorising Officer's Statement.**

I, [insert name], hereby authorise the renewal of the directed surveillance operation as detailed above. The renewal of this authorisation will last for 3 months unless renewed in writing.

This authorisation will be reviewed frequently to assess the need for the authorisation to continue.

<b>Name (Print)</b> .....	<b>Grade / Rank</b>
<b>Signature</b>	<b>Date</b>
<b>Renewal From:</b>	<b>Time:</b> <b>Date:</b>

<b>Date of first review.</b>	
<b>Date of subsequent reviews of this authorisation.</b>	

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CHIS Unique Reference Number (URN) (to be supplied by the central monitoring officer).	
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## PART II OF THE REGULATION OF INVESTIGATORY POWERS ACT (RIPA) 2000

### APPLICATION FOR AUTHORISATION OF THE CONDUCT OR USE OF A COVERT HUMAN INTELLIGENCE SOURCE

<b>Public Authority</b> <i>(including full address)</i>			
<b>Name of Applicant</b>		<b>Service/Department/ Branch</b>	
<b>How will the source be referred to? i.e. what will be his/her pseudonym or reference number</b>			
<b>The name, rank or position of the person within the relevant investigating authority who will have day to day responsibility for dealing with the source, including the source's security and welfare. (Often referred to as the Handler)</b>			
<b>The name, rank or position of another person within the relevant investigating authority who will have general oversight of the use made of the source. (Often referred to as the Controller)</b>			

CHIS Unique Reference Number (URN) (to be supplied by the central monitoring officer).	
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<b>Who will be responsible for retaining (in secure, strictly controlled conditions, with need-to-know access) the source's true identity, a record of the use made of the source and the particulars required under RIP (Source Records) Regulations 2000 (SI 2000/2725)?</b>	
<b>Investigation/Operation Name (if applicable)</b>	

#### DETAILS OF APPLICATION

**1. Give rank or position of authorising officer in accordance with the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2003; No. 3171.** <sup>1</sup> *Where appropriate throughout amend references to the Order relevant to your authority.*

**2. Describe the purpose of the specific operation or investigation.**

**3. Describe in detail the purpose for which the source will be tasked or used.**

<sup>1</sup> For local authorities: The formal position of the authorising officer should be given. For example, Head of Trading Standards.



CHIS Unique Reference Number (URN) (to be supplied by the central monitoring officer).	
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**4. Describe in detail the proposed covert conduct of the source or how the source is to be used.**

**5. Identify on which grounds the conduct or the use of the source is necessary under Section 29(3) of RIPA. Delete those that are inapplicable. Ensure that you know which of these grounds you are entitled to rely on. (eg. SI 2003 No.3171)**

- For the purpose of preventing or detecting crime or of preventing disorder;

**6. Explain why this conduct or use of the source is necessary on the grounds you have identified [Code paragraph 2.4]**

**7. Supply details of any potential collateral intrusion and why the intrusion is unavoidable. [Bear in mind Code paragraphs 2.6 to 2.10.]**

**Describe precautions you will take to minimise collateral intrusion and how any will be managed.**

CHIS Unique Reference Number (URN) (to be supplied by the central monitoring officer).	
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**8. Are there any particular sensitivities in the local community where the source is to be used? Are similar activities being undertaken by other public authorities that could impact on the deployment of the source? (see Code 2.9)**

**9. Provide an assessment of the risk to the source in carrying out the proposed conduct. (see Code 2.9)**

**10 Explain why this conduct or use of the source is proportionate to what it seeks to achieve. How intrusive might it be on the subject(s) of surveillance or on others? How is this intrusion outweighed by the need for a source in operational terms, and could the evidence be obtained by any other means? [Code paragraph 2.5]**

CHIS Unique Reference Number (URN) (to be supplied by the central monitoring officer).	
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**11. Confidential information. [Code paragraphs 3.1 to 3.12]**  
**Indicate the likelihood of acquiring any confidential information.**

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 References for any other linked authorisations:

**12. Applicant's Details.**

<b>Name (print)</b>		<b>Grade/Rank/Position</b>	
<b>Signature</b>		<b>Tel No:</b>	
<b>Date</b>			

**13. Authorising Officer's Statement. [Spell out the "5 Ws" – Who; What; Where; When; Why and HOW – in this and the following box.] THE AUTHORISATION SHOULD IDENTIFY THE PSEUDONYM OR REFERENCE NUMBER OF THE SOURCE, NOT THE TRUE IDENTITY.**

**14. Explain why you believe the conduct or use of the source is necessary. [Code paragraph 2.4]**  
**Explain why you believe the conduct or use of the source to be proportionate to what is sought to be achieved by their engagement. [Code paragraph 2.5]**

CHIS Unique Reference Number (URN) (to be supplied by the central monitoring officer).	
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**15. (Confidential Information Authorisation.) Supply details demonstrating compliance with Code paragraphs 3.1 to 3.12**

**16. Date of first review:**

**17. Programme for subsequent reviews of this authorisation: [Code paragraphs 4.19 and 4.20]. Only complete this box if review dates after first review are known. If not, or inappropriate to set additional review dates, then leave blank.**

**18A. Authorising Officer's Statement**

**I (insert name), hereby authorise the conduct or use of a covert human intelligence source as detailed above. This written authorisation will cease to have effect at the end of a period of 12 months unless renewed (see separate form for renewals).**

**This authorisation will be reviewed frequently to assess the need for the authorisation to continue.**

**18B. Authorising Officer's Details**

<b>Name (Print)</b>		<b>Grade/Rank/Position</b>	
<b>Signature</b>		<b>Time and date granted*</b>	
		<b>Time and date authorisation ends</b>	

*\* Remember, an authorisation must be granted for a 12 month period, i.e. 1700 hrs 4<sup>th</sup> June 2006 to 2359hrs 3 June 2007*

CHIS Unique Reference Number (URN) (to be supplied by the central monitoring officer).	
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**19. Urgent Authorisation [Code paragraphs 4.17 and 4.18]: Authorising Officer: explain why you considered the case so urgent that an oral instead of a written authorisation was given.**

**20. If you are entitled to act only in urgent cases: explain why it was not reasonably practicable for the application to be considered by a fully designated Authorising Officer**

**21. Authorising Officer of urgent authorisation**

<b>Name (Print)</b>		<b>Grade/Rank/Position</b>	
<b>Signature</b>		<b>Date and Time</b>	
<b>Urgent authorisation expiry date:</b>		<b>Expiry time:</b>	

*Remember the 72 hour rule for urgent authorisations – check Code of Practice [Code Paragraph 4.18]. e.g. authorisation granted at 1700 on 1<sup>st</sup> June 2006 expires 1659 on 4<sup>th</sup> June 2006*

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<b>Unique Operation Reference Number*</b> (*Filing Ref)	
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**PART II OF THE REGULATION OF INVESTIGATORY  
POWERS ACT (RIPA) 2000**

**CANCELLATION OF AN AUTHORISATION FOR THE USE OR  
CONDUCT OF A COVERT HUMAN INTELLIGENCE SOURCE**

<b>Public Authority</b> <i>(including full address)</i>	.
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<b>Name of Applicant</b>		<b>Unit/Branch</b>	
<b>Full Address</b>			
<b>Contact Details</b>			
<b>Pseudonym or reference number of source</b>			
<b>Investigation/Operation Name (if applicable)</b>			

<b>Unique Operation Reference Number*</b> (*Filing Ref)	
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**Details of cancellation:****1. Explain the reason(s) for the cancellation of the authorisation:**

--

**2. Explain the value of the source in the operation:**

--

**3. Authorising officer's statement. THIS SHOULD IDENTIFY THE PSEUDONYM OR REFERENCE NUMBER OF THE SOURCE NOT THE TRUE IDENTITY.**

I hereby authorise the cancellation of the use or conduct of the source as detailed above.

<b>Name (Print)</b> .....	<b>Grade</b> .....
<b>Signature</b> .....	<b>Date</b> .....

**4. Time and Date of when the authorising officer instructed the use of the source to cease and the authorisation was cancelled.**

<b>Date:</b>		<b>Time:</b>	
--------------	--	--------------	--



<b>Unique Operation Reference Number*</b> (*Filing Ref)	
---	--

**PART II OF THE REGULATION OF INVESTIGATORY  
POWERS ACT (RIPA) 2000**

**REVIEW OF A COVERT HUMAN INTELLIGENCE  
SOURCE (CHIS) AUTHORISATION**

<b>Public Authority</b> <i>(including full address)</i>			
<b>Applicant</b>		<b>Unit/Branch</b>	
<b>Full Address</b>			
<b>Contact Details</b>			
<b>Pseudonym or reference number of source</b>			
<b>Operation Name</b>		<b>Operation Number*</b> *Filing Ref	
<b>Date of authorisation or last renewal</b>		<b>Expiry date of authorisation or last renewal</b>	
		<b>Review Number</b>	

<b>Unique Operation Reference Number*</b> (*Filing Ref)	
---	--

**Details of review:****1. Review number and dates of any previous reviews.**

Review Number	Date

**2. Summary of the investigation/operation to date, including what information has been obtained and the value of the information so far obtained.**

**Detail any significant changes to the information as set out in the original authorisation.**

--	--

**3. Detail the reasons why it is necessary to continue with using a Covert Human Intelligence Source.**

--	--

**4. Explain how the proposed activity is still proportionate to what it seeks to achieve.**

--	--

<b>Unique Operation Reference Number*</b> (*Filing Ref)	
---	--

**5. Detail any incidents of collateral intrusion and the likelihood of any further incidents of collateral intrusions occurring.**

--

**6. Give details of any confidential information acquired or accessed and the likelihood of acquiring confidential information.**

--

**7. Give details of the review of the risk assessment on the security and welfare of using the source.**

--

**8. Applicant's Details**

<b>Name (Print)</b>		<b>Tel No</b>	
<b>Grade/Rank</b>		<b>Date</b>	
<b>Signature</b>			

<b>Unique Operation Reference Number*</b> (*Filing Ref)	
---	--

<b>9. Review Officer's Comments, including whether or not the use or conduct of the source should continue?</b>
---

--

<b>10. Authorising Officer's Statement. THE AUTHORISATION SHOULD IDENTIFY THE PSEUDONYM OR REFERENCE NUMBER OF THE SOURCE NOT THE TRUE IDENTITY.</b>
--

I hereby agree that the use or conduct of the source as detailed above should/should not continue until its next review/renewal and should be cancelled immediately.

<b>Name (Print)</b>	.....	<b>Grade / Rank</b>
---------------------	-------	---------------------

<b>Signature</b>	<b>Date</b>
------------------	-------------

<b>Date of next review:</b>	
-----------------------------	--

<b>Unique Operation Reference Number*</b> (*Filing Ref)	
---	--

**PART II OF THE REGULATION OF INVESTIGATORY  
POWERS ACT (RIPA) 2000**

**APPLICATION FOR RENEWAL OF A COVERT HUMAN  
INTELLIGENCE SOURCE (CHIS) AUTHORISATION**  
(Please attach the original authorisation)

<b>Public Authority</b> <i>(including full address)</i>	
--	--

<b>Name of Applicant</b>		<b>Unit/Branch</b>	
<b>Full Address</b>			
<b>Contact Details</b>			
<b>Pseudonym or reference number of source</b>			
<b>Investigation/Operation Name (if applicable)</b>			
<b>Renewal Number</b>			

**Details of renewal:**

1. Renewal numbers and dates of any previous renewals.	
Renewal Number	Date

<b>Unique Operation Reference Number*</b> (*Filing Ref)	
---	--

**2. Detail any significant changes to the information as listed in the original authorisation as it applies at the time of the renewal.**

**3. Detail why it is necessary to continue with the authorisation, including details of any tasking given to the source.**

**4. Detail why the use or conduct of the source is still proportionate to what it seeks to achieve.**

**5. Detail the use made of the source in the period since the grant of authorisation or, as the case may be, latest renewal of the authorisation.**

<b>Unique Operation Reference Number*</b> (*Filing Ref)	
---	--

**6. List the tasks given to the source during that period and the information obtained from the conduct or use of the source.**

--	--

**7. Detail the results of regular reviews of the use of the source.**

--	--

**8. Give details of the review of the risk assessment on the security and welfare of using the source.**

--	--

**9. Applicant's Details**

<b>Name (Print)</b>		<b>Tel No</b>	
<b>Grade/Rank</b>		<b>Date</b>	
<b>Signature</b>			

**10. Authorising Officer's Comments. This box must be completed.**

--	--

<b>Unique Operation Reference Number*</b> (*Filing Ref)	
---	--

--

**11. Authorising Officer's Statement. THE AUTHORISATION SHOULD IDENTIFY THE PSEUDONYM OR REFERENCE NUMBER OF THE SOURCE NOT THE TRUE IDENTITY.**

I hereby authorise the renewal of the use of the source as detailed above. The renewal of this authorisation will last for 12 months unless further renewed in writing. This authorisation will be reviewed frequently to assess the need for the authorisation to continue.

<b>Name (Print)</b>	.....	<b>Grade / Rank</b>
<b>Signature</b>		<b>Date</b>
<b>Renewal From:</b>	<b>Time:</b>	<b>Date:</b>
		<b>End date/time of the authorisation</b>

*NB. Renewal takes effect at the time/date of the original authorisation would have ceased but for the renewal*

<b>Date of first review:</b>	
<b>Date of subsequent reviews of this authorisation:</b>	





**Application for judicial approval for authorisation to obtain or disclose communications data, to use a covert human intelligence source or to conduct directed surveillance. Regulation of Investigatory Powers Act 2000 Section 23A, 23B, 32A, 32B.**

Local authority: **Caerphilly County Borough Council**

Local authority department: .....

Offence under investigation: .....

Address of premises or identity of subject: .....

.....

.....

Covert technique requested: (tick one and specify details)

**Communications Data**

**Covert Human Intelligence Source**

**Directed Surveillance**

Summary of details:

.....

.....

.....

.....

.....

.....

Note: this application should be read in conjunction with the attached RIPA authorisation/RIPA application or notice.

Investigating Officer: .....

Authorising Officer/Designated Person: .....

Officer(s) appearing before JP: .....

Address of applicant department:

Contact telephone number: .....

Contact email address (optional): .....

Local authority reference: .....

Number of pages: .....

**Order made on an application for judicial approval for authorisation to obtain or disclose communications data, to use a covert human intelligence source or to conduct directed surveillance. Regulation of Investigatory Powers Act 2000 Sections 23A, 23B, 32A, 32B.**

Magistrates Court: .....

Having considered the application, I (tick one):

- am satisfied that there are reasonable grounds for believing that the requirements of the Act were satisfied and remain satisfied, and that the relevant conditions are satisfied and I therefore approve the grant or renewal of the authorisation/notice.
- refuse to approve the grant or renewal of the authorisation/notice.
- refuse to approve the grant or renewal and quash the authorisation/notice.

Notes:

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.....

Reasons:

.....  
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.....  
.....

Signed:.....

Date: .....

Time: .....

Full Name: .....

Address of Magistrates Court: .....

.....  
.....

## PART B FORMS

Unique Number (URN)	Reference	
------------------------	-----------	--

### NON-RIPA SURVEILLANCE (IN RED)

#### HUMAN RIGHTS ACT 1998

#### APPLICATION FOR AUTHORISATION TO CARRY OUT ACTIVITY POTENTIALLY IN INTERFERENCE WITH QUALIFIED HUMAN RIGHTS

NB This form is only to be used in circumstances when an authorisation under the Regulation of Investigatory Powers Act 2000 is not available under the legislation or where it is considered that such an authorisation is not required.

Public Authority  (Including full address)	
--	--

Name of Applicant		Section or Team	
Full Address			
Contact Details			
Investigation/Operation Name (if applicable)			
Investigating Officer (if a person other than the applicant)			

Identify why a RIPA authorisation is not available under the legislation or it is considered that a RIPA authorisation is not required

--

Unique Number (URN)	Reference	
------------------------	-----------	--

Details of application:

1. Give rank or position of authorising officer

--

2. Which qualified human right of the person(s) will potentially be breached

--

--

**3. Describe the purpose of the activity.**

--

**4. Describe in detail the activity to be authorised and expected duration, including any premises, vehicles or equipment (e.g. camera, binoculars, recorder) that may be used.**

--

**5. The identities, where known, of those to be subject of the activity.**

--

**6. Explain the information that it is desired to obtain as a result of the activity.**

--

<b>Unique Number (URN)</b>	<b>Reference</b>	
--------------------------------	------------------	--

**7. Explain how the interference with the qualified human right is in accordance with the law**

--

**8. Identify the specified legitimate aim due to which the interference is taking place,**

--

Delete those that are inapplicable. Ensure that you know which of these grounds you are entitled to rely on.

9. Explain why this activity is necessary in a democratic society on the grounds you have identified

10. Explain why this activity is proportionate to what it seeks to achieve.  
(How intrusive might it be on the subject or on others? And why is this intrusion outweighed by the need for the activity in operational terms or can the evidence be obtained by any other means?)

11. Explain why this activity is non discriminatory

12. Supply details of any potential collateral intrusion and why the intrusion is unavoidable.  
Describe precautions you will take to minimise collateral intrusion

•

13. Confidential information.  
Indicate the likelihood of acquiring any confidential information

**14. Applicant's Details**

<b>Name</b>		<b>Tel No:</b>	
<b>Grade/Rank</b>		<b>Date</b>	
<b>Signature</b>			

<b>Unique Reference Number (URN)</b>	
--------------------------------------	--

15. Authorising officer's statement. [Spell out the "5 Ws" – Who; What; Where; When; Why and HOW – in this and the following box.]

--

16. Explain why you believe the activity is necessary.

Explain why you believe the activity to be proportionate to what is sought to be achieved by carrying it out.

--

<b>Unique Number (URN)</b>	<b>Reference</b>	
--------------------------------	------------------	--

<b>Date of first review</b>			
<b>Name (Print)</b>		<b>Grade/Rank</b>	
<b>Signature</b>		<b>Date and time</b>	



## CABINET – 14TH OCTOBER 2015

**SUBJECT: CORPORATE SAFEGUARDING CHILDREN AND VULNERABLE ADULTS POLICY**

**REPORT BY: CORPORATE DIRECTOR, SOCIAL SERVICES**

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### **1. PURPOSE OF REPORT**

- 1.1 To present the final draft Corporate Safeguarding Policy (attached at Appendix 1) to Cabinet for comment, decision and endorsement.

### **2. SUMMARY**

- 2.1 In the period March to May 2014 the Welsh Audit Office (WAO) completed a review of Caerphilly County Borough Council's (the Council) assurance and accountability arrangements for ensuring that safeguarding policies and procedures were in place and being adhered to.
- 2.2 The findings of the Review were published in October 2014 and reported to Cabinet on 10th December 2014 where it was agreed that a cross Directorate group of key Officers would be established to implement the recommendations made by WAO. This report serves to update Cabinet on the actions taken to meet the WAO requirements through the production of an overarching Corporate Safeguarding Policy.

### **3. LINKS TO STRATEGY**

- 3.1 Safeguarding children, young people and vulnerable adults is a key statutory duty of the Council.

### **4. THE REPORT**

- 4.1 The WAO Review concluded that,
- The governance, accountability and management arrangements for overseeing whether the Council is meeting its safeguarding responsibilities to children had some weaknesses which the Council is addressing.
  - The Council's arrangements for monitoring and evaluating its safeguarding responsibilities to children had some weaknesses which the Council must address.
  - The Council's approach to identifying and acting on improvements in its safeguarding arrangements had some weaknesses which the Council is addressing.

- 4.3 It is important to note that the Review did not identify any weaknesses in the operational, day to day safeguarding arrangements for children and young people in Caerphilly. The recommendations relate to the corporate governance of those arrangements.
- 4.4 Following on from the conclusions, the Review made five proposals for improvement. These were:
- To develop a Corporate Safeguarding Policy that clearly specifies roles, responsibilities and procedures for safeguarding.
  - The Council should clarify who designated officers with responsibility for safeguarding are.
  - Improve the range, quality and coverage of safeguarding performance reporting to Members to provide adequate assurance that corporate arrangements are working effectively.
  - Ensure all Elected Members and staff who come into contact with children on a regular basis receive training on safeguarding and child protection issues and the Council's corporate policy on safeguarding. This should also include volunteers and contractors commissioned by the Council.
  - To identify and agree an appropriate internal audit programme of work for safeguarding.
- 4.5 Corporate Management Team and Cabinet agreed that the Assistant Director for Children's Services should lead on the establishment of a cross Directorate Corporate Safeguarding Group to develop and implement an action plan to address the recommendations of the Review. For information, membership of the Group is detailed in Appendix 2.
- 4.6 Between February and July 2015, the Corporate Safeguarding Group worked to develop a draft policy to meet the five recommendations detailed at 4.4. The draft policy was presented to CMT on 17th September and minor amendments were made.
- 4.7 Cabinet will see that the draft policy has been structured to provide relevant detailed information in a series of appendices. This will allow individual sections to be updated and reissued as and when changes are required without having to reissue the whole document.
- 4.8 Cabinet are asked to consider and agree the following:
- That the current Corporate Induction process is reviewed and strengthened to include reference to the Safeguarding Policy and that this is progressed by the HR Strategy Group.
  - For specific reference to be made to the Safeguarding Policy in the mandatory Induction process for new Elected Members following elections.
  - The appointment of a Lead Cabinet Member for Safeguarding. The Lead Cabinet Member will chair the Corporate Safeguarding Group.
  - The nomination of Elected Member representation from each of the Political Party Groups to join the Corporate Safeguarding Group
  - Awareness raising sessions for the Lead Cabinet Member and those Elected Members nominated to join the Corporate Safeguarding Group should be made mandatory.
  - The proposed governance arrangements as outlined in Section 5 (p12) are agreed.
  - The development of a Safeguarding Portal on the Intranet is supported.

## **5. EQUALITIES IMPLICATIONS**

- 5.1 This report requires no specific equalities impact assessment.



## **6. FINANCIAL IMPLICATIONS**

- 6.1 There is likely to be demand for additional training to be provided for identified staff groups. This may incur additional costs and will be continually reviewed as the work progresses.

## **7. PERSONNEL IMPLICATIONS**

- 7.1 There are no direct personnel implications associated with this report however, a review of HR policies to ensure they address safeguarding issues will be a priority for the HR Strategy Group and the Corporate Safeguarding Group.

## **8. CONSULTATIONS**

- 8.1 Please refer to Consultees listed below.

## **9. RECOMMENDATIONS**

- 9.1 That Cabinet endorses the draft Policy and recommends approval by Council.

## **10. REASONS FOR THE RECOMMENDATIONS**

- 10.1 Compliance with the recommendations from the Wales Audit Office Review will further strengthen the authority's arrangements for the safeguarding of children, young people and vulnerable adults.

## **11. STATUTORY POWER**

- 11.1 Local Government Act 2000.

Author: Gareth Jenkins, Assistant Director Children's Services  
Consultees to date: Corporate Management Team  
Statutory Director of Social Services  
Social Services Senior Management Team  
Cabinet Member for Social Services  
Corporate Safeguarding Group

Appendix 1: Caerphilly County Borough Council, Safeguarding Children and Vulnerable Adults Corporate Policy.

Appendix 2: Corporate Safeguarding Group Membership

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# **Caerphilly County Borough Council**

## **Safeguarding Children and Vulnerable Adults**

### **CORPORATE POLICY**

## Contents:

	<b>Page</b>
<b>1. Corporate Policy Statement</b>	<b>3</b>
<b>2. What is safeguarding?</b>	<b>4</b>
<b>3. Responsibilities:</b>	
<b>Council</b>	<b>6</b>
<b>All employees</b>	<b>7</b>
<b>4. Functions of key Officers and Elected Members</b>	<b>8</b>
<b>5. Corporate Governance arrangements</b>	<b>12</b>
<b>6. <u>Appendices:</u></b>	<b>13</b>
<b>1. Professional conduct / safe working practice</b>	<b>14</b>
<b>2. Recognition: signs and symptoms of abuse</b>	<b>16</b>
<b>3. Designated Safeguarding Officers role</b>	<b>23</b>
<b>4. Designated Safeguarding Officers contact details</b>	<b>24</b>
<b>5. How to make a referral</b>	<b>25</b>
<b>6. Support and resources</b>	<b>27</b>
<b>7. Corporate Safeguarding Group Terms of Reference</b>	<b>28</b>
<b>8. Performance Indicators</b>	<b>30</b>
<b>9. Model Directorate/Divisional Policy template</b>	<b>32</b>

# 1. Corporate Policy Statement:

- 1.1 Caerphilly County Borough Council is committed to ensuring that everyone living within the Borough is safe and protected and that our statutory responsibilities to safeguard and protect children, young people and vulnerable adults are effectively met.
- 1.2 Safeguarding children and adults from abuse is everybody's business. We all share a responsibility, both corporately and individually, to ensure that all children and adults are treated with respect and protected from others who may abuse them. All Council employees, Elected Members, volunteers and contractors who come into contact with children or vulnerable adults in the course of their duties are expected to understand their responsibility and wherever necessary, to take action to safeguard and promote their welfare.
- 1.3 As part of the Council's commitment to safeguarding, we work proactively with our partners under the auspices of the South East Wales Safeguarding Children Board (SEWSCB) and the Gwent Wide Adult Safeguarding Board (GWASB) to ensure that statutory guidance is followed, awareness and good practice is promoted and the children and adult's workforce practices safely and effectively. Helpful guidance on professional conduct and safe working practice can be found in Appendix 1 (page 15).

## **Scope:**

- 1.4 This policy covers all Council employees, Elected Members, volunteers and contractors.
- 1.5 While employees, Elected Members, volunteers and contractors are likely to have varied levels of contact with children, young people and vulnerable adults as part of their duties, everyone should be aware of the potential indicators of abuse and neglect and be clear about what to do if they have concerns. Responsibilities are limited and it is important to remember that:

**IT IS NOT** the responsibility of any Council employee, Elected Member, volunteer or contractor to determine whether abuse or neglect is actually taking place.

**HOWEVER,**

**IT IS** the responsibility of the employee, Elected Member, volunteer or contractor to take the actions set out in this policy if they are concerned that abuse or neglect may be taking place.

## 2. What is safeguarding?

2.1 Safeguarding means protecting individual's health, well being and human rights and enabling them to live free from harm, abuse and neglect (Care Quality Commission, 2014)

2.2 The Social Services and Well Being (Wales) Act 2014 defines abuse and neglect as:

'Abuse' means physical, sexual, psychological, emotional or financial abuse and includes abuse taking place in any setting, whether in a private dwelling, an institution or any other place. 'Financial abuse' includes:

- Having money or other property stolen;
- Being defrauded;
- Being put under pressure in relation to money or property;
- Having money or other property misused.

'Neglect' means a failure to meet a person's basic physical, emotional, social or psychological needs which is likely to result in an impairment of the person's well being for example, an impairment of the person's health or, in the case of a child, an impairment of the child's development.

### **Safeguarding Children and Young People**

2.3 For the purposes of this policy, a child is defined as anyone who has not yet reached their eighteenth birthday. 'Children' therefore means 'children and young people' throughout this document. The fact that a child has reached 16 years of age, is living independently or is in further education, is a member of the armed forces, is in hospital or in custody in the secure estate does not change his or her status or entitlement to services or protection under current legislation.

### **Safeguarding Vulnerable Adults at Risk**

2.4 For the purposes of this policy, an adult is defined as being over eighteen years of age. A vulnerable adult becomes an adult at risk when they:

- a) are experiencing or are at risk of abuse or neglect;
- b) have the need for care and support (whether or not the authority is meeting any of those needs); and
- c) as a result of those needs is unable to protect him/herself against the abuse or neglect or the risk of it.

(Social Services and Well Being (Wales) Act 2014)

## **Violence Against Women, Domestic Abuse and Sexual Violence (VAWDA&SV)**

- 2.5 The Violence Against Women, Domestic Abuse and Sexual Violence (Wales) Act 2015 aims to improve arrangements for the prevention of gender based violence, abuse and sexual violence. The protection of victims and support for people affected is underpinned by the 'Ask and Act' duty placed on public service staff to ask potential victims about the possibility that they may be experiencing VAWDASV and act so as to reduce suffering and harm.

### **Counter-terrorism and risk of radicalisation**

- 2.6 Local authorities have a duty to identify vulnerable individuals and families at risk of radicalisation from all forms of extremism. The Counter Terrorism and Security Act 2015 and its guidance, identifies that children and adults may be vulnerable to ideologies that place them, their families and the general public in danger should they be enticed to act upon extremist beliefs. Identifying individuals at risk and determining what action is necessary to support them is complemented by the 'Channel' multi-agency intervention process which deters continued involvement.

### **Modern Day Slavery**

- 2.7 Modern day slavery encompasses slavery, sexual exploitation, human trafficking, forced labour and domestic servitude. Traffickers and slave masters use whatever means they have at their disposal to coerce, deceive and force individual's into a life of abuse, servitude and inhumane treatment. In March 2015, the Modern Day Slavery Bill consolidated and simplified existing offences into a single Act ensuring that perpetrators can receive suitably severe punishments. The Bill also introduces new powers for the courts to place restrictions on individuals to protect people from the harm caused by modern day slavery.
- 2.8 Modern day slavery is a hidden, pervasive crime targeted towards those individuals most vulnerable. The Council and BAWSO are first responding organisations to cases of slavery. Contact details for BAWSO are included in Appendix 6.

### **Recognition of abuse or concerns**

- 2.9 Guidance in respect of possible signs and symptoms of each form of abuse can be found at Appendix 2 (from page 16). This Appendix details generic factors and those factors as they relate to Children and Adults for each category of abuse.

### **3. Responsibilities for Safeguarding:**

#### **Caerphilly County Borough Council**

- 3.1 Caerphilly County Borough Council has a duty to safeguard and promote the welfare of children and adults who may be at risk of harm.
- 3.2 The Council ensures that everyone working with or on behalf of children and vulnerable adults are competent to do so.
- 3.3 The Council promotes safer recruitment policy and practice and Disclosure and Barring Service (DBS) checks are undertaken for employees in accordance with statutory and regulatory requirements and provisions contained within the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975. Checks are also undertaken to ensure that staff are registered with relevant professional and other bodies wherever appropriate eg. Social Workers and Teachers.
- 3.4 Safeguarding responsibilities for all employees are emphasised from the point of recruitment and throughout their employment. There are clear lines of accountability, responsibility and support regarding safeguarding throughout the authority and these are achieved via relevant staff guidance, code of conduct (including disciplinary procedures) and specific policies and procedures which all staff must adhere to.
- 3.5 The Council has a range of policies and procedures available to promote and support staff to raise concerns about the safety and welfare of children and adults. These include the Whistle Blowing Policy which provides guidance for staff to report concerns or suspicions about other employees or contractors.
- 3.6 The Council also hosts safeguarding information pages on the Council website in order to provide information to the general public. The Council intranet site has direct links to the regional Children's and Adults Safeguarding Boards (SEWSCB and GWASB).
- 3.7 All employees will be made aware of their safeguarding responsibilities as part of their induction to their employment. More specialist single agency and multi agency training opportunities are available for staff who routinely work with children or vulnerable adults at levels appropriate to their role and responsibilities.
- 3.8 Elected Members have a responsibility to be aware of and support the Council's safeguarding responsibilities and to scrutinise how these are carried out in the planning and delivery of services.



- 3.9 The Council undertakes to ensure that through procurement processes, services commissioned and contracted on its behalf have safeguarding responsibilities built into contracts and that appropriate policies and staff training are in place. This includes an expectation that any person or organisation using Council resources or premises adhere to the Council's safeguarding standards.

### **All Employees of the Council**

- 3.10 The Council expects all employees to take all reasonable steps to ensure the safety of any child or adult involved in any activity or interaction for which they are responsible. Guidance on professional conduct and safe working practice can be found in Appendix 1 (page 15). Helpful guidance on possible signs and symptoms of abuse can be found in Appendix 2 (from page 17).
- 3.11 Any person responsible for, or working with, children or vulnerable adults in any capacity, whether paid or unpaid, is considered both legally and morally, to owe them a duty of care. This includes a duty to behave in a manner that does not threaten, harm or put people at risk of harm from others.
- 3.12 All employees have a responsibility to conduct themselves in their private lives in a manner that does not compromise their position in the workplace or call into question their suitability to work with children or vulnerable adults.
- 3.13 All employees should:
- Be alert to the possibility of harm, abuse and neglect
  - Participate in relevant safeguarding training and multi agency working to safeguard children and vulnerable adults
  - Be familiar with local procedures and protocols for safeguarding children and vulnerable adults and follow the Council's Code of Conduct and any other Professional Codes
  - Report any concerns about the safety or welfare of a child or vulnerable adult. Please refer to Appendix 5 (page 26); 'How to make a referral'
- 3.14 All employees working for or on behalf of the Council have a duty to report any concerns they may have for the welfare and/or protection of children and vulnerable adults. The duty to report is a legal requirement and may have serious consequences for the employee who fails to report appropriately. The process to follow to make referrals is contained in Appendix 5 (page 26).
- 3.15 Each service area where there is direct contact with the public, has a Designated Safeguarding Officer (DSO) responsible for safeguarding. The DSO provides advice and guidance and is responsible for ensuring procedures are followed regarding safeguarding concerns about a child or

vulnerable adult including allegations against members of staff. The DSO responsibilities and their contact details are listed in Appendices 3 & 4 (from page 24).

- 3.16 Professional advice can also be sought from and referrals made to the Social Services Information, Advice and Assistance Service. Contact details are contained in Appendix 6 (page 28).

DRAFT

## 4. Functions of key Officers and Elected Members

### The Chief Executive

- 4.1 The Chief Executive has overall responsibility for ensuring arrangements for safeguarding of children and adults are effective across the Council. The Chief Executive is responsible for developing effective governance arrangements and ensuring there is an effective safeguarding policy in place.
- 4.2 Through one to one meetings with the Corporate Director of Social Services, the Chief Executive is kept informed of relevant safeguarding issues.
- 4.3 In addition, any exceptional matters relating to safeguarding could be reported to the G7 meeting by the Chief Executive. The G7 is a strategic meeting of the Chief Executives of the five Gwent Local Authorities, the Police and the Health Board.

### Lead Cabinet Member for Safeguarding *(to be discussed and agreed by Cabinet)*

- 4.4 The Lead Cabinet Member for Safeguarding is responsible for providing political scrutiny to ensure the Council fulfils its duties and responsibilities for safeguarding. The Lead Member will chair the Corporate Safeguarding Group and support Elected Members to scrutinise and appropriately challenge the safeguarding performance of the Council.
- 4.5 The Lead Member will be briefed on any sensitive cases that may be considered for Child or Adult Practice Reviews or may otherwise become a matter of public interest. The Lead Member will periodically visit front line services to meet with staff and managers.

### Elected Members

- 4.6 All Elected Members must familiarise themselves with this Policy and seek advice from the Statutory Director of Social Services or Assistant Directors if they are unclear about their responsibility for safeguarding.
- 4.7 If any Elected Member has concerns regarding the safety of a child, young person or adult then they should contact the Social Services Information, Advice and Assistance Service immediately. The contact details can be found in Appendix 6 (page 28).

### Statutory Director of Social Services

- 4.8 The Statutory Director of Social Services has final and ultimate responsibility for ensuring the Council has appropriate safeguarding measures in place to protect children, young people and vulnerable adults. The Statutory Director is responsible for reporting the effectiveness of these arrangements on a

corporate level to the Chief Executive, Corporate Management Team and to Elected Members.

- 4.9 The Statutory Director is the point of contact for all other Corporate Directors to report serious safeguarding concerns which may occur in their own service areas. The Statutory Director is responsible for ensuring appropriate action is taken including reporting to the Chief Executive and the Lead Cabinet Member as necessary.
- 4.10 The Director delegates the lead responsibility for operational and strategic safeguarding to the Assistant Directors for Adult Services and Children's Services. The Assistant Directors ensure the Director is kept informed of safeguarding issues through one to one meetings and as the need may arise outside these meetings.
- 4.11 The Director is responsible for providing an Annual Report to the Council and CSSIW on the progress and performance of Social Services which includes the effectiveness of safeguarding arrangements.

#### **Corporate Directors**

- 4.12 Corporate Directors are responsible for reporting any serious safeguarding concerns that may arise in their service area to the Statutory Director of Social Services. Corporate Directors will brief their respective Cabinet Members on any safeguarding issues and on the general effectiveness of safeguarding arrangements.
- 4.13 Corporate Directors are responsible for ensuring staff within their Directorates are appropriately trained to identify and respond to safeguarding concerns.
- 4.14 Corporate Directors will ensure Designated Safeguarding Officers (DSO) are nominated for any service area where there is direct contact with the public.

#### **Assistant Directors – Adult Services and Children's Services**

- 4.15 The Assistant Directors ensure the Statutory Director of Social Services is informed of safeguarding issues in their one to one meetings and ensure that any serious concerns are raised immediately.
- 4.16 The Assistant Directors represent the Council on the South East Wales Safeguarding Children Board (SEWSCB) and the Gwent Wide Adult Safeguarding Board (GWASB) and are responsible for ensuring appropriate representation on the respective Sub Groups Group. The Assistant Directors brief the Director on any issues arising from Child or Adult Practice Reviews and the resultant action plans.

- 4.17 The Assistant Director for Children's Services has operational and strategic management responsibility for the Cross Directorate Safeguarding Unit within Social Services.

#### **Heads of Service / Chief Officers**

- 4.18 All Heads of Service / Chief Officers are responsible, through their Management Teams, for ensuring all staff are aware of the Corporate Safeguarding Policy and for key staff to receive training at a level appropriate to their role and responsibility.
- 4.19 All Heads of Service / Chief Officers must ensure that safe recruitment practices are adopted particularly in relation to reference checks and where relevant, checks through the Disclosure and Barring Service (DBS).
- 4.20 All Heads of Service / Chief Officers must report any safeguarding concerns to their responsible Corporate Director and must support the identification of DSO's in their respective service areas as appropriate.

#### **Education Safeguarding Lead**

- 4.21 This lead role is held by the Service Manager for Social Inclusion who is responsible for providing professional advice and support to Education staff, Head Teachers, Governing Bodies and DSO's within Education.
- 4.22 The Education Safeguarding Lead will keep the Head of Service/Chief Education Officer informed of safeguarding issues through their one to one meetings and will report any immediate concerns immediately.
- 4.23 The Education Safeguarding Lead will represent Caerphilly on the SEWSCB and relevant Sub Groups of the Board.
- 4.24 The Education Safeguarding Lead is responsible for supporting schools to respond to relevant statutory regulations and requirements to ensure they meet their safeguarding responsibilities.
- 4.25 The Education Safeguarding Lead will provide the day to day support for Schools to discuss and offer advice on safeguarding concerns.

#### **Designated Safeguarding Officers (DSO)**

- 4.26 Service areas where there is a direct interface with members of the public will identify a DSO to provide safeguarding advice and support to other staff within their service area. Please see Appendices 3 & 4 (from page 24).
- 4.27 Each DSO will be familiar with the Corporate Safeguarding Policy and relevant statutory procedures in order to provide appropriate advice and support. The DSO will ensure there are clear internal procedures to deal with

concerns raised and will work closely with the Safeguarding Managers within Social Services to ensure effective communication.

- 4.28 They will attend relevant training and be members of the Corporate Safeguarding Group / DSO Practice Development Group which will be facilitated by Social Services.
- 4.29 The DSO will support the Head of Service / Chief Officer in ensuring that staff within their service areas are trained to levels appropriate to their roles and responsibilities.

### **Line Managers and Supervisors**

- 4.30 Every line manager / supervisor is responsible for ensuring that the staff for whom they are responsible receive the training they need, proportionate to their role and responsibilities.
- 4.31 Every line manager / supervisor must know who the Designated Safeguarding Officer is within their service area.

### **Contractors, Sub Contractors or other organisations funded by the Council**

- 4.32 All contractors, sub contractors or other organisations funded by the Council are responsible for arranging checks through the Disclosure and Barring Service (DBS) and the Independent Safeguarding Authority and for ensuring that staff comply with regulatory and contractual arrangements relating to safeguarding responsibilities. All contractors, sub contractors and other organisations are responsible for informing relevant managers of the Council about any concerns they may have and to refer safeguarding concerns.

## 5. Corporate Governance Arrangements

- 5.1 On a Corporate level, the responsibility for monitoring the effectiveness of safeguarding arrangements across the Council has been delegated to the Corporate Safeguarding Group by Cabinet (*subject to Cabinet approval*).
- 5.2 The Corporate Safeguarding Group will act on a strategic level to:
- Assure the Council that procedures for managing safeguarding concerns are robust
  - Support the functions and duties of the Statutory Director of Social Services
  - Ensure inter departmental working and corporate communication is effective
  - Resolve any potential barriers that could prevent having effective procedures in place
  - Identify any gaps in Corporate policies, procedures and guidance and ensure they are addressed
  - Ensure that appropriate training is available for staff and Elected Members
  - Receive and consider agreed performance information
  - Receive and consider recommendations and learning from Child/Adult Practice Reviews that may be relevant
  - Produce an Annual Report for CMT, Cabinet and relevant Scrutiny Committee
  - Respond to any requests for information/reports from CMT or Cabinet as they arise
  - Periodically review the Corporate Safeguarding Policy
- 5.3 Terms of reference for the Group are attached for information at Appendix 7 (page 29).

### Reporting and Monitoring

- 5.4 The Corporate Safeguarding Group will produce an Annual Report for Corporate Management Team and Cabinet which will provide an overview of the Council's performance in complying with the Corporate Policy. The Annual Report will assist the regional Safeguarding Boards with completion of their respective self assessments and annual reports as required under Part 7 of the SS&WB (Wales) Act 2014, section 135.
- 5.5 Key activity data will be reported to the Corporate Safeguarding Group and can be found at Appendix 8 (page 31).
- 5.6 It is anticipated that this dataset will evolve over time to better capture the breadth of safeguarding activity across the Council.

## 6. Appendices:

<b>Appendix</b>		<b>Page</b>
<b>1</b>	<b>Professional conduct / safe working practice</b>	<b>15</b>
<b>2</b>	<b>Recognition: signs and symptoms of abuse</b>	<b>17</b>
<b>3</b>	<b>Designated Safeguarding Officers – roles and responsibilities</b>	<b>24</b>
<b>4</b>	<b>Designated Safeguarding Officers contact details</b>	<b>25</b>
<b>5</b>	<b>How to make a referral</b>	<b>26</b>
<b>6</b>	<b>Support and resources</b>	<b>28</b>
<b>7</b>	<b>Corporate Safeguarding Group Terms of Reference</b>	<b>29</b>
<b>8</b>	<b>Key Activity Data</b>	<b>31</b>
<b>9</b>	<b>Model Directorate/Divisional Policy template</b>	<b>33</b>



<b>Caerphilly County Borough Council</b>
<b>Corporate Safeguarding Policy</b>
<b>Professional Conduct and Safe Working Practice</b>

This document provides a description of the professional standards of practice that are required from all Council staff, Elected Members, volunteers and contractors when undertaking their day to day duties. For Elected Members and officers, it must be read in conjunction with the Council's 'Code of Conduct for Employees' and the 'Social Media Policy'.

Any breach of the following conditions will result in an investigation and possible disciplinary action which could, if serious, result in dismissal and the possibility of criminal investigation if there is evidence of illegal activity.

Exceptions: Staff employed in identified roles within Education, the Youth Service, Customer Care, Housing and Social Care will be required to meet with individuals alone as part of the role and function. In such cases, due regard must be given to all information available in relation to the individual to ensure adequate risk assessments can be completed.

**You MUST:**

Set a good example in terms of behaviour to ensure that children and adults are safeguarded and protected.

Keep yourself safe through adherence to any agreed plan of intervention/care plan where applicable, through relevant risk assessments including Health & Safety and checking the Employee Protection Register database and through compliance with the Council's Policy for Lone Working.

Be open and transparent when meeting and/or working with children and vulnerable adults and where not required to do so as part of your role and function, you should try to avoid any situation where you may be alone with a child or vulnerable adult out of sight or sound of another officer or colleague.

Respect an individual's rights to privacy, equality and dignity and a safe and positive environment.

Prioritise the welfare and safety of the child or vulnerable adult before concerns about performance and service delivery.

Ensure you are familiar with the Corporate Safeguarding Policy.

Take responsibility to identify the Designated Safeguarding Officer (DSO) for your respective Service area.

Ensure you access the appropriate safeguarding training relevant to your role and responsibility.

Respond in an appropriate and timely manner to any concerns you may have in respect of a child or vulnerable adult.

Follow the required process for reporting incidents and concerns.

Advise line managers of any issues in your private life that may have safeguarding implications in your work.

**You MUST NOT:**

Use force, threats or inappropriate language.

Make suggestive sexual comments or behave in a sexualised manner.

Touch inappropriately or allow inappropriate touching in any way.

Use any behaviour control methods that are not authorised by Council policy and procedure.

Ignore allegations made by a child or adult. All allegations must be reported to Social Services or the Police.

Undertake tasks of a personal nature for a child or adult which they could do for themselves.

Invite a child or vulnerable adult to be alone with you where this is not part of your role and function.

Enter areas that have been specifically designated for use by another sex/gender.

Use the internet, electronic devices or phones to access inappropriate sites including inappropriate use of social media.

Breach confidentiality or share sensitive information relating to an individual inappropriately.

**NB:** this is by no means an exhaustive list and all actions must be determined by application of professional judgement and decision making.

<b>Caerphilly County Borough Council</b>
<b>Corporate Safeguarding Policy</b>
<b>Possible Signs and Symptoms</b>

Please Note: the following lists are not exhaustive and one sign or symptom in isolation does not automatically signify a safeguarding concern. Any concerns you may have must be discussed with your Designated Safeguarding Officer as a matter of priority. You can also seek advice from Social Services.

<b>NEGLECT</b>	
<b>GENERIC</b>	
<ul style="list-style-type: none"> <li>• Lack of personal care</li> <li>• General deterioration of health</li> <li>• Excessive dirt or other health hazards in the living environment</li> <li>• Poor standard of living accommodation eg cold, dirty, beds, bedding</li> <li>• Unsuitable clothing for weather conditions</li> <li>• Dishevelled / unkempt / dirty appearance</li> <li>• Untreated medical condition</li> <li>• Poor personal hygiene</li> <li>• Rashes, sores, lice</li> <li>• Loss of weight</li> <li>• Malnutrition</li> <li>• Dehydration</li> <li>• Lack of supervision, either at home or during activities which hold danger for them</li> </ul>	
<b>CHILDREN</b>	<b>ADULTS</b>
<ul style="list-style-type: none"> <li>• Constant hunger</li> <li>• Constant tiredness</li> <li>• Frequent lateness / non attendance at school</li> <li>• Low self esteem</li> <li>• Inappropriate care</li> <li>• No social relationships</li> <li>• Running away</li> <li>• Compulsive stealing or scavenging</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of management of continence</li> <li>• Misuse of medication</li> <li>• Failure to obtain/ facilitate use of necessary prosthetic devices dentures, glasses, hearing aids, or durable surgical equipment</li> <li>• Pressure sores</li> </ul>

<b>PHYSICAL ABUSE</b>	
<b>GENERIC</b>	
<ul style="list-style-type: none"> <li>• Injury incompatible with explanation</li> <li>• Accounts of injury by carer varying over time or inconsistent with the nature of the injury</li> <li>• Injury which has not been properly cared for (injuries are sometimes hidden on areas of the body normally covered by clothes)</li> <li>• Refusal to discuss injuries</li> <li>• Cuts / scratches / lacerations</li> <li>• Bruising / wounds (particularly on parts of the body which do not normally sustain such injuries)</li> <li>• Sprains and bruises</li> <li>• Weal marks</li> <li>• Bite marks, fingertip and pinching marks</li> <li>• Burns and scalds, including friction burns and carpet burns</li> <li>• Signs of hair pulling / bald patches</li> <li>• Poor skin condition / hygiene / discolouration</li> <li>• Flinches at physical contact</li> <li>• Fearfulness</li> <li>• Low self esteem</li> </ul>	
<b>CHILDREN</b>	<b>ADULTS</b>
<ul style="list-style-type: none"> <li>• Unexplained recurrent injuries</li> <li>• Admission of punishment which appears excessive</li> <li>• Withdrawal from physical contact</li> <li>• Arms and legs covered in hot weather</li> <li>• Fear of returning home</li> <li>• Fear of medical help</li> <li>• Self harming tendencies</li> <li>• Aggression towards others</li> </ul>	<ul style="list-style-type: none"> <li>• Untreated pressure sores, ulcers, bedsores, and being left in wet clothing</li> <li>• Dehydration and/or malnutrition without illness related cause, and when not living alone</li> <li>• Significant weight loss</li> <li>• Hypothermia</li> <li>• Uncharacteristic behaviour</li> <li>• Confusion / insomnia</li> <li>• Asks not "to be hurt"</li> <li>• Unexplained paranoia</li> <li>• Excessive repeated prescriptions /under use /over use of medication</li> <li>• Excessive drowsiness</li> <li>• Mobile person not being able to get up from bed or chair for various reasons eg. being tied in</li> <li>• Use of furniture or special chairs to prevent movement, removal of walking aid or specialist equipment</li> <li>• Global or specific deterioration in health without obvious cause</li> <li>• Increasing immobility</li> </ul>

<b>SEXUAL ABUSE</b>	
<b>GENERIC</b>	
<ul style="list-style-type: none"> <li>• Emotional distress</li> <li>• Difficulty in walking or sitting</li> <li>• Pain or itching in genital area</li> <li>• Recurring urinary tract infections</li> <li>• Over-affectionate displays</li> <li>• Incestuous relationships</li> <li>• Love bites</li> <li>• Fear of medical examinations</li> <li>• Carer unreasonably refuses examination.</li> <li>• Withdrawal from social situations</li> <li>• Depression and isolation</li> <li>• Sleep disturbances or nightmares</li> <li>• Phobias and panic attacks</li> <li>• Unexplained pregnancy</li> </ul>	
<b>CHILDREN</b>	<b>ADULTS</b>
<ul style="list-style-type: none"> <li>• Sudden changes in behaviour or school performance</li> <li>• Displays of affection in a sexual way inappropriate to age</li> <li>• Tendency to cling or need constant reassurance</li> <li>• Tendency to cry easily</li> <li>• Regression to younger behaviour</li> <li>• Distrust of familiar adults</li> <li>• Anxiety about being left with carer</li> <li>• Unexplained gifts or money</li> <li>• Apparent secrecy</li> <li>• Wetting, day or night</li> <li>• Fear of undressing eg for PE</li> <li>• Also refer to CSE below</li> </ul>	<ul style="list-style-type: none"> <li>• Torn, stained or bloody underclothing</li> <li>• Bruises or bleeding in external genitalia, vagina or anal area</li> <li>• Bruising on the inner thighs</li> <li>• Semen staining on clothing</li> <li>• Torn penile fraenum</li> <li>• Tissue tearing</li> <li>• Mood changes</li> <li>• Change in usual behaviour</li> <li>• Feeling of guilt or shame</li> <li>• Untypical changes, ie, bedwetting, aggressiveness, self injury</li> <li>• Overt sexual behaviour/language by the person</li> </ul>

## CHILD SEXUAL EXPLOITATION (CSE)

### Key facts about CSE:

Sexual exploitation often starts around the age of 10 years old. Girls are usually targeted from age 10 and boys from age 8.

It affects both girls and boys and can happen in all communities.

Any person can be targeted but there are some particularly vulnerable groups: Looked After Children, young people Leaving Care and disabled children.

Victims of CSE may also be trafficked (locally, nationally and internationally).

Over 70% of adults involved in prostitution were sexually exploited as children or teenagers.

Sexual violence or abuse against children affects approximately 16% of children under the age of 16 years.

### Possible signs:

- going missing for periods of time or regularly returning home late
- skipping school or being disruptive in class
- appearing with unexplained gifts or possessions that can't be accounted for
- experiencing health problems that may indicate a sexually transmitted infection
- having mood swings and changes in temperament
- using drugs and alcohol
- displaying inappropriate sexualised behaviours, such as over familiarity with strangers, dressing in a sexualised manner or sending sexualised images by mobile phone ("sexting")
- they may also show signs of unexplained physical harm such as bruising and cigarette burns

<b>EMOTIONAL / PSYCHOLOGICAL ABUSE</b>	
<b>GENERIC</b>	
<ul style="list-style-type: none"> <li>• High levels of anxiety/stress especially in response to certain individuals or circumstances</li> <li>• Extremes of passivity or aggression</li> <li>• Fear</li> <li>• Inappropriate emotional responses to situations</li> <li>• Self harming behaviour</li> <li>• Recoiling from the physical approach of carers</li> <li>• Excessive and inappropriate craving for affection</li> <li>• Running away or not wanting to return to carers</li> <li>• Overly overtly subservient or anxious to please</li> <li>• Feelings of worthlessness</li> </ul>	
<b>CHILDREN</b>	<b>ADULTS</b>
<ul style="list-style-type: none"> <li>• Physical and emotional developmental delay</li> <li>• Admission of punishment which appears excessive</li> <li>• Over reaction to simple mistakes</li> <li>• Continual self deprecation</li> <li>• Sudden speech disorders</li> <li>• Fear of new situations</li> <li>• Neurotic behaviour eg rocking, hair twisting, thumb sucking</li> <li>• Fear of parents being contacted</li> <li>• Substance misuse</li> </ul>	<ul style="list-style-type: none"> <li>• Confusion</li> <li>• Resignation</li> <li>• Signs of depression, such as suicidal ideation</li> <li>• Sleep disturbances</li> <li>• Changes in appetite</li> <li>• Loss of interest in pursuing social contact</li> <li>• An air of silence in the home when the alleged abuser is present</li> <li>• Cowering</li> <li>• Helplessness</li> <li>• Isolation in a room in a house</li> <li>• Inappropriately or improperly dressed</li> <li>• Denial</li> </ul>

## DOMESTIC ABUSE

### GENERIC

Any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse between those aged 16 years and over who are, or have been intimate partners or family members regardless of gender or sexuality.

This can be observed as signs and symptoms of the following types of abuse:

- psychological
- physical
- sexual
- financial
- emotional

Controlling behaviour is: a range of acts designed to make a person subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.

Coercive behaviour is: an act or a pattern of acts of assault, threats, humiliation and intimidation or other abuse that is used to harm, punish, or frighten their victim.



## FINANCIAL ABUSE

### ADULTS

- Unexplained withdrawals / unusual activity in the bank accounts
- Unpaid bills
- Unexplained shortage of money
- Withholding or reluctance on the part of the person with responsibility for the funds to provide basic food and clothes etc.
- Fraud
- Theft
- Basic needs not being met.
- Unexplained sudden inability to pay bills or maintain lifestyle
- Lasting Power of Attorney or Enduring Power of Attorney obtained when vulnerable adult is unable to comprehend and give consent
- Recent change of deeds or title of property
- Unusual interest shown by family or others in the vulnerable adult's assets
- Person managing financial affairs is evasive or not co-operative.
- Creation of a Will when the person is incapable of making such decisions
- The individual requires residential/nursing care but is prevented by relatives from entering a residential/nursing home because the client owns their own property and there are concerns about the inevitable depletion of their estate
- Deliberate isolation by carer (informal/formal of a vulnerable adult) from friends or family resulting in carers having total control
- Unexplained disappearance of financial documents, e.g. building society books, and bank statements, payments or order books.
- Signatures on cheques which do not resemble the vulnerable adult's signature or signed when this person cannot write
- Unusual concern by carer that an excessive amount of money is being expended on the care of the vulnerable adult
- Lack of amenities such as TV, appropriate clothing, personal grooming items that the vulnerable adult can well afford
- Missing personal belongings such as silverware, jewellery, or other valuable items
- Lax financial recording/monitoring in a care setting.

<b>Caerphilly County Borough Council</b>
<b>Corporate Safeguarding Policy</b>
<b>Designated Safeguarding Officer – role and responsibilities</b>

Every Service within the Council is required to nominate a Designated Safeguarding Officer (DSO).

The DSO is responsible for:

- Acting as the principal source of advice and support for other staff within their Service area on all safeguarding issues.
- Ensuring robust arrangements are in place for staff to access day to day practice advice and support from their line managers.
- Support staff / or take the lead to refer safeguarding concerns to Social Services as appropriate.
- Being familiar with the Corporate Safeguarding Policy and the All Wales Procedures as they relate to Children's and Adult Safeguarding.
- Ensuring the Service Safeguarding Policy is compliant with legislation and statutory guidance and is issued to all staff.
- Representing their Service on the Corporate Safeguarding Group.
- Ensuring compliance with policies and guidance within their Service and reporting this to the Corporate Safeguarding Group.
- Attending relevant training.
- Contribute to the ongoing professional development of DSO's across the Council.
- Ensuring staff within their Service attend training at levels appropriate to their roles and functions and maintain management information in relation to attendance on training.
- Ensuring all staff within their Service know who the DSO is and how to contact them.
- Ensuring safeguarding responsibilities are highlighted through staff induction processes, team meetings, supervision sessions and staff briefings.

<b>Caerphilly County Borough Council</b>		
<b>Corporate Safeguarding Policy</b>		
<b>Designated Safeguarding Officers (DSO's)</b>		
<b>Names and contact details</b>		
<b>Service area:</b>	<b>DSO: Name and position:</b>	<b>Contact:</b>
Engineering		
Planning & Regeneration		
Community & Leisure Services	Jeff Reynolds	
Corporate Finance		
Housing Services & WHQS	Fiona Wilkins Public Sector Housing Manager	
Human Resources		
ICT & Customer Services		
Performance & Property		
Education & Lifelong Learning	Jackie Garland Service Manager, Inclusion Helen West Team Manager, Inclusion	
Public Protection	Kath Peters Community Safety Manager	
Adult Services	POVA TM when appointed	
Children's Services	Kay Jenkins Child Protection Co-ordinator	
<b>Key Officers and Elected Members:</b>		
<b>Role:</b>	<b>Name:</b>	<b>Contact:</b>
Chief Executive Officer	Chris Burns	
Director of Social Services	Dave Street	
Lead Member – Safeguarding		

<b>Caerphilly County Borough Council</b>
<b>Corporate Safeguarding Policy</b>
<b>How to make a referral</b>
<b>LISTEN, SHARE, RECORD</b>

<b>LISTEN</b>
---------------

If you are concerned because of something a child or vulnerable adult is saying, you should not attempt to take any action directly but **you should**:

- Stay calm
- Listen carefully, do not directly question him or her, instead use open questions; what, where, when, who?
- Never stop them talking if they are freely recalling significant events
- Tell them what you will do next and who you will inform (see below)
- Never promise to keep what you have been told secret or confidential
- Make a note of the discussion, taking care to record what was said, when and where it happened and who else was present

<b>SHARE</b>
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Any safeguarding concerns should be discussed with the Designated Safeguarding Officer (DSO) in the respective Service area. With the support of the DSO the decision to refer a concern to Social Services will be made and responsibility for referring will be agreed ie the staff member or the DSO will make the referral.

Should the concerns relate to a professional, the same procedure will apply.

Referrals in relation to a concern about a child, young person or adult should be made to Social Services as soon as possible and certainly **within 24 hours**.

Social Services Information, Advice and Assistance Service can be contacted on: **0808 100 1727**

Outside office hours, referrals should be made to the South East Wales Emergency Duty Team or if there is immediate risk, to the Police.

The Emergency Duty Team can be contacted on: **0800 328 4432**

Elected Members, employees, volunteers and contractors should be aware that they **cannot remain anonymous** when making a referral.

The Duty Worker taking the referral should be given as much information as possible if it is available to the referrer. This will include the following:

- Full name of the subject of the concern
- Their date of birth or age
- Their address
- The nature of the concern
- Who may be responsible
- Their name and relationship (if any)
- What happened
- When and where
- What has been done in response
- Whether or not the Police have been informed
- The names and relationship of those with caring responsibility
- The names and ages of any other adults living in the household
- The names of any professionals known to be involved eg school, GP
- Any information affecting the potential safety of staff
- The allocated social worker or team if known/if applicable

## RECORD

All telephone referrals should be confirmed in writing within two working days. For Children, a Multi Agency Referral Form (MARF) should be used [insert hyperlink](#) and for an Adult referral a POVA Advice/Adult Protection Referral Form (APRF) [insert hyperlink](#) should be used.

**LISTEN, SHARE, RECORD**

<b>Caerphilly County Borough Council</b>
<b>Corporate Safeguarding Policy</b>
<b>Useful Resources:</b>

**Contact details/tel numbers/hyperlinks to:**

- IAA
- All Wales Child Protection Procedures
- SEWSCB
- All Wales Adult Protection Procedures
- GWASB
- Caerphilly Safer Recruitment Policies
- Domestic Abuse links
- BAWSO
- SS&WB (Wales) Act 2014
- Employee Code of Conduct
- Social Media Policy

*Development of a PORTAL on the INTRANET*

<b>Caerphilly County Borough Council</b>
<b>Corporate Safeguarding Group</b>
<b>Terms of Reference</b>

**Purpose:**

The responsibility for maintaining an overview of safeguarding arrangements across the Council has been delegated to the Corporate Safeguarding Group by Cabinet.

The Main responsibilities of the Group are to ensure that robust arrangements for safeguarding children and adults are in place within and across the Council.

**Membership of the Group:**

- Lead Member for Corporate Safeguarding (Chair)
- The Designated Safeguarding Officers from each Service area
- Assistant Director – Children’s Services
- Education Safeguarding Lead
- Service Manager – Safeguarding, Social Services
- Workforce Development Manager
- Legal Services
- Other Officers will be co-opted as required and agreed by the Group

**Key responsibilities of the Group will be to:**

- Assure Cabinet that the Council’s procedures for safeguarding children and adults are robust.
- Ensure cross Directorate / interdepartmental working and corporate communication in relation to safeguarding is effective.
- Support the functions and duties of the Statutory Director for Social Services.
- Approve policies and guidelines for safeguarding for each Service area of the council and receive information about their respective performance management arrangements in relation to their safeguarding responsibilities to ensure compliance with relevant legislation and statutory guidance.
- Ensure the Designated Safeguarding Officers are supported to collaborate and share information and to identify any gaps in the Council’s safeguarding policies and procedures.

- Identify and resolve any barriers that could prevent the implementation of effective safeguarding procedures.
- Identify any gaps in Corporate policies and guidelines and ensure they are addressed.
- Ensure effective working relationships are maintained with the Regional Safeguarding Boards (Children's and Adults) and the Business Unit.
- Ensure appropriate training is available for Officers and Elected Members.
- Receive and consider corporate safeguarding performance information and identify any actions required.
- Receive and consider information about trends in relation to allegations of professional abuse and adopt action plans to respond to any issues should the need arise.
- Consider the implications of any Child or Adult Practice Review or Domestic Homicide Review and ensure that the Council responds effectively to recommendations as they may apply to the Council.
- Periodically review and update the Corporate Safeguarding Policy and the content of the Intranet Portal.
- Produce an Annual Report for Corporate Management Team, Cabinet and the relevant Scrutiny Committees.

**Meeting conduct:**

The meetings will be held six monthly.

The meetings will be chaired by the Lead Member for Corporate Safeguarding.

The meetings will be administered by Children's Services Business Support.

All members are able to submit items for consideration.

Agenda, minutes and relevant papers will be circulated ahead of the meetings.

Membership and Terms of Reference for the Group will be reviewed annually / or as required.



<b>Caerphilly County Borough Council</b>
<b>Corporate Safeguarding Group</b>
<b>Key Activity Data:</b>

It is anticipated that this dataset will be reviewed annually and amended as necessary to ensure robust and effective monitoring of performance.

In addition, it is acknowledged that Service areas may have existing performance reporting mechanisms for safeguarding in place and these may be relevant to report to the Corporate Safeguarding Group for inclusion in the Annual Report.

Key Activity Data:
Number of POVA contacts
Number of POVA enquiries
Number of POVA referrals
% of adult protection referrals completed where the risk has been managed
Number of contacts received by Adult Services (ASDIT)
Number of contacts received by Children Services (CRT)
Number of cases of Child Sexual Exploitation (CSE) referrals
Number of Professional strategy meetings - Part 4 CS regulations
Number of Professional strategy meetings – POVA
Number of Professional strategy meetings – CCBC
Number of Professional strategy meetings – Other
Number of Investigations of Professionals (teachers/SW/carers)
% victims of domestic abuse who approach specialist Domestic Abuse Services who report that they feel safer after receiving support
Number of domestic abuse awareness raising sessions held
Targeted awareness raising of domestic abuse among potential victims to encourage disclosure reporting and access to specialist services

% of schools that have complied with the ESTYN inspection requirements for Safeguarding
% of employees commencing in post with a DBS check or risk assessment, where post requires it (schools)
% of employees commencing in post with a DBS check or risk assessment, where post requires it (non schools)
% of employees completing the Corporate Induction within appropriate timescales
Number of staff that have completed Safeguarding training in accordance with their post
% of Elected members that have completed the Corporate Safeguarding training
Proportion of referrals where the risk has been removed or reduced for the alleged victim
Children classified as in need / looked after by category of need
Percentage of Flying Start children aged 0 - 47 months who have an open case with social services as Child in Need

DRAFT

<b>Caerphilly County Borough Council</b>
<b>Corporate Safeguarding Policy</b>
<b>Model Directorate/Service Policy Template</b>

Every Directorate and Service area is required to adopt and implement the Corporate Safeguarding Policy.

In addition, Service areas may require a service specific Safeguarding Policy to reflect the needs of that individual service area.

If this is deemed appropriate, full reference must be made to the Corporate Safeguarding Policy and to the All Wales Procedures for Children and Adult Safeguarding.

The following areas must be included in each Service / Directorate Policy as a minimum:

- Purpose and Aims
- Service Safeguarding Principles
- Service specific procedures (as appropriate)
- Identification of the Designated Safeguarding Officer
- Safeguarding responsibilities of all staff members
- Safeguarding responsibilities of all line managers

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<b>CORPORATE SAFEGUARDING GROUP</b>	
<b>MEMBERSHIP</b>	
<b>Name:</b>	<b>Designation:</b>
Lynne Donovan	Acting Head of Human Resources
Shaun Couzens	Chief Housing Officer
Kenyon Williams	Private Sector Housing Manager
Jackie Garland	Service Manager, Social Inclusion
Tanis Cunnick	Community, Youth and Adult Services Manager
Jeff Reynolds	Sports and Leisure Services Manager
Kathryn Peters	Community Safety Manager
Gail Williams/Lisa Lane	Head of Legal Services/ Solicitor
David Titley	Corporate Services Manager
Tina McMahon	Community Regeneration Manager
Amanda Main	Benefits Manager
Jane Haile	Workforce Development Manager
Ros Roberts	Corporate Performance Manager
Richard Harris	Internal Audit Manager
Steve Berry	SE Wales Safeguarding Children Board
Carol Davies	Service Manager, Children's Services
Michaela Rogers	Service Manager, Youth Offending
Kay Jenkins	Child Protection Co-ordinator
Becky Griffiths	Service Manager, Adult Services (POVA)
Gareth Jenkins	Assistant Director, Children's Services

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## CABINET – 14TH OCTOBER 2015

**SUBJECT: CCBC EDUCATION TRANSPORT – MTFP 2015/18 UPDATE**

**REPORT BY: CORPORATE DIRECTOR, EDUCATION & COMMUNITY SERVICES**

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### 1. PURPOSE OF REPORT

- 1.1 To receive a Medium Term Financial Plan (MTFP) update following the outcome of reports to Scrutiny Committee on 20 May and 7 July 2015.

### 2. SUMMARY

- 2.1 The report considered options in assisting the Local Authority to meet its obligations in respect of the 2015/18 MTFP to achieve a 20% general reduction in overall spend which notionally provides for a £1.3m reduction.
- 2.2 The range of discretionary home to school and college transport services are outlined in Appendix 1 to the report. These were considered in detail at the Special Scrutiny Committee on 19 June 2014 and again on 20 May 2015.
- 2.3 At Scrutiny on 20 May, Members agreed to receive further information on ETI (post-16 mainstream), ET2 (review of walking distances), and ET11 (review of hazardous routes – negligible or low risk) and these were considered by Scrutiny on 7 July 2015.
- 2.4 Any changes made to education transport policy are covered by the Learner Travel (Wales) Measure 2008 that states that a local authority must agree and publish the information before 1 October of the year preceding the start of the academic year they will apply from.

### 3. LINKS TO STRATEGY

- 3.1 The work of the Education Transport Service contributes to a number of the Councils key strategic priority areas and plans including 'Caerphilly Delivers: The Single Integrated Plan 2013-2017', in particular with respect to:
- **Prosperous Caerphilly** – supporting local people to improve their employment opportunities and compete for work.
  - **Learning Caerphilly** – providing access to a range of resource, facilities, and services that underpin basic skill development, qualification attainment, and access to materials that support improved educational achievement among residents of all ages.

## **4. THE REPORT**

- 4.1 Members acknowledged that the Council has one of the most generous discretionary transport policies for home to school and college transport in Wales and most authorities have reduced, or are in the process of reviewing, their provision in the difficult current financial climate.

### **Consultation**

- 4.2 Whilst the Learner Travel Wales Measure and the revised operational guidance issued in June 2014 makes it clear that if a local authority decides to change or remove the discretionary transport provision it provides, it must publish the information before 1 October of the year preceding the academic year in which the changes will come into force, neither is prescriptive about the process local authorities must follow.
- 4.3 It is apparent from recent legal challenges and in some cases, full judicial reviews against Councils over changes proposed or confirmed with regards to discretionary services, that Councils have adopted wider and more formal consultation processes, as lack of proper and effective consultation has been a critical factor in challenge or review.
- 4.4 It is proposed that the options to remove / revise discretionary policy within the county borough follow a timetable that allows for meaningful consultation and feedback from parents, pupils, schools and other stakeholders.
- 4.5 To do this effectively, it is recommended that options are developed during the autumn term, with a view to full consultation taking place during the spring term 2016, with any initial changes introduced from September 2017, requiring formal confirmation of revised policy to be published before 1 October 2016.

### **Charging**

- 4.6 The position across the 22 LAs in Wales is mixed in relation to charging, varying from 50p - £3.50 per day, with many LAs providing a travel grant to partially offset costs as an alternative.

### **Post-16 Transport (ET1)**

- 4.7 Members supported the introduction of a fixed parental contribution for post-16 students.
- 4.8 Education Maintenance Allowance (EMA) is a financial scheme applicable to students and those undertaking unpaid work-based learning in Wales, Scotland and Northern Ireland and aged between sixteen and nineteen whose parents have a certain level of taxable income. It applies to those doing, or applying to do, at least 12 hours of guided learning on further education courses in school sixth forms, sixth form colleges and Further Education colleges. The weekly payment for the scheme is £30, paid every 2 weeks directly to the student. This is payable if:
- household income is £20,817 or less if the student is the only young person in the household; or
  - household income is £23,077 or less if there are any additional young people eligible for child benefit in the household.
- 4.9 If any parental contribution was reduced for low income families, this would reduce the savings possible and hence directly impact upon the MTFP target reductions.



- 4.10 The following table illustrates the potential annual income levels based on various daily charges and also identifies the effect of not charging for those students in receipt of EMA:

<b>Charge per day</b>	<b>Total Estimated Income Per Annum</b>	
	<b>No Concession</b>	<b>Full Concession for EMA</b>
<b>£</b>	<b>£'000</b>	<b>£'000</b>
1.00	500	400
1.50	750	600
2.00	1000	800

- 4.11 In view of the overall 20% budget reduction target, Scrutiny on 7 July were recommended to consider the £1.50 daily charge (no concession) option. This would result in an estimated income of £750,000 per annum. Scrutiny Members opted to support the £1.50 daily charge but with full concession. This would have the effect of reducing the proposed saving by £150k per annum.
- 4.12 In addition to the proposal to charge, post-16 policy would be aligned to any changes in distance for secondary pupils aged 11 to 16 (see below), so the discretionary 2 mile limit would revert to the statutory 3 mile limit. In addition, the following would be proposed:
- Cap the upper age limit – to cease the provision at the end of the academic year in which the student reaches their 19th birthday.
  - Introduce a cap on overall transport costs of £500 per student (less agreed annual charge).
- 4.13 Appendix 2 illustrates the situation across the other 4 Gwent authorities as regards Post-16 students. 3 of the LAs offer a travel grant and Monmouthshire does not provide any EMA concessions.

### **Statutory Walking Distances (ET2)**

- 4.14 Members agreed on 20 May to support the recommendation of increasing the walking distances to the statutory 2 miles (Primary) and 3 miles (Secondary) from the existing policy of 1½ miles (Primary) and 2 miles (Secondary).
- 4.15 In relation to a move towards statutory distances, there were 2 options which Members could consider:
- remove discretionary provision in its entirety; or
  - make an appropriate daily charge.
- 4.16 Under the 1st option, the Council would be obliged to retain provision for existing pupils in the relevant phase of education (e.g. Primary, Secondary 11-16), so the savings would have a long lead time before they were realised.
- 4.17 Should a charging option be considered, Members were advised of the following possible range of options they could consider:

<b>Charge per day</b>	<b>Total Income at FSM Charges of</b>								
	<b>£ -</b>	<b>£ 0.25</b>	<b>£ 0.50</b>	<b>£ 0.75</b>	<b>£ 1.00</b>	<b>£ 1.25</b>	<b>£ 1.50</b>	<b>£ 1.75</b>	<b>£ 2.00</b>
<b>£</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
1.00	166	177	188	198	209	-	-	-	-
1.25	208	219	229	240	251	261	-	-	-
1.50	<b>250</b>	260	271	282	292	303	314	-	-
1.75	291	302	312	323	334	344	355	366	-
2.00	333	343	354	365	375	386	397	407	418

- 4.18 In view of the 20% MTFP target reduction, Members were recommended to propose a daily charge of £1.50 with full concession for FSM students which would generate an estimated income of £250k per annum. Scrutiny Members opted for the £1 daily charge which would generate an estimated £166k per annum income.
- 4.19 Additionally Members agreed to provide a further exemption of a maximum of 4 years for the two 21st century schools projects, namely Y Gwyndy and Islwyn West schools instead of the recommended 2 years exemption. This change would reduce the savings target by an estimated 50k.

### **Hazardous Walking Routes (negligible or low risk) (ET11)**

- 4.20 Members supported re-assessing the routes based upon the updated Welsh Government guidance issued in 2014 as below:

<u>Route</u>	<u>Assessment</u>
• The Rise, Llanbradach to Coed y Brain Primary	Negligible
• Llanfach to Abercarn Primary	Negligible
• Wattsville to Cwmfelinfach Primary	Negligible
• Hollybush to Markham Primary	Negligible
• The Rise to Lewis Girls Comprehensive	Low
• Croespenmaen to Rhiw Syr Dafydd Primary	Low
• Pwyllypant to Coed y Brain Primary	Low
• Penybryn to Lewis Girls Comprehensive	Low

- 4.21 Local authorities are under a legal duty to assess the travel needs of learners who walk to school. In Wales, the guidance was reviewed and revised by the Minister and published in June 2014. Details were circulated to Scrutiny Members.
- 4.22 The review of low / negligible routes would be developed having regard to the new guidance. The potential annual saving in this area is £91k.
- 4.23 Details of the present and anticipated transport policies of the other 4 Gwent LA's are illustrated in Appendix 2.
- 4.24 There was also reference in the Scrutiny report to a notional £10 of the EMA amount relating to transport. The DfES issued guidance in 2003 that students are expected to contribute a reasonable proportion of their EMA towards transport costs. This should not normally exceed a third of their EMA.

## **5. EQUALITIES IMPLICATIONS**

- 5.1 Equality Impact Assessments would be produced as part of the next stage in the formal review process. Where required, the detailed Equality Impact Assessments undertaken would form part of subsequent reports to Members for their information and consideration.

## **6. FINANCIAL IMPLICATIONS**

- 6.1 Based upon a general reduction of 20%, the MTFP notionally provides for a £1.3million reduction.

6.2 The recommendations to Scrutiny on 7 July were to propose to consult on the following:

<u>Discretionary Item</u>	<u>Annual Estimated Income £'000</u>
• Post-16 (daily charge of £1.50 with no concessions)	750
• Statutory distances (daily charge of £1.50 with full concessions for FSM students)	250
• Hazardous routes (low or negligible risk) up to	91

6.3 Members were previously advised of a £250,000 saving to the base budget as a result of new mainstream contracts from January 2015.

6.4 A notional £50,000 saving would be delayed based upon the officers suggestion of a further 2 year protection for the two 21<sup>st</sup> century schools developments.

6.5 The net effect of all of these proposals would result in an annual saving of circa £1,300,000 in line with the MTFP.

6.6 The Member Scrutiny recommendations would have the effect of reducing the MTFP target by a further circa £284,000 as follows:

<u>Proposal</u>	<u>Saving Reduction £'000</u>
• Post-16 EMA full concession based on a daily charge of £1.50	150
• Statutory distances. Proposal for full FSM concession and daily charge of £1 rather than £1.50	84
• Added protection re 21 <sup>st</sup> century schools. 4 years rather than 2 years	50
	<b><u>284</u></b>

6.7 This would have the effect of reducing the MTFP proposals from £1,300,000 to £1,016,000 in a full year.

## 7. PERSONNEL IMPLICATIONS

7.1 There are no direct personnel implications.

## 8. CONSULTATIONS

8.1 The views of all consultees listed have been incorporated in this report.

## 9. RECOMMENDATIONS

9.1 Members to consider the proposals outlined, the impact of the proposed amendments and recommend the policy changes proposed for consultation as part of the MTFP process.

9.2 Members to consider the outcome of the consultation process in due course in order to make policy decisions in readiness for the 2017/18 academic year.

## **10. REASONS FOR THE RECOMMENDATIONS**

- 10.1 To enable Cabinet Members to consider the Education Transport Service's review options in assisting the Council to meet its obligations in respect of the 2015/18 Medium Term Financial Plan.

## **11. STATUTORY POWER**

- 11.1 1996 Education Act.  
11.2 Learner Travel (Wales) Measure 2008.

Author: Bleddyn Hopkins, Assistant Director, Education & Lifelong Learning.  
Consultees: Keri Cole, Chief Education Officer  
Chris Burns, Interim Chief Executive  
Nicole Scammell, Acting Director of Corporate Services & S151  
Christina HARRY, Corporate Director, Education & Community Services  
Dave Street, Corporate Director, Social Services  
Cllr R Passmore, Cabinet Member, Education and Lifelong Learning  
Cllr T Williams, Cabinet Member Transport, Highways and Engineering  
Gail Williams, Interim Head of Legal Services & Monitoring Officer  
Angharad Price, Barrister, Legal & Democratic Services  
Terry Shaw, Head of Engineering Services  
Clive Campbell, Transportation Engineering Manager  
Huw Morgan, Team Leader – Integrated Transport Unit  
Lynne Donovan, Acting Head of People Management & Development  
Jane Southcombe, Principal Accountant

Appendix 1: List of Discretionary Home to School/College Transport Services  
Appendix 2: Transport Policies (4 other Gwent LAs)

Background Papers: Scrutiny Committee: 19 June 2014  
: 20 May 2015  
: 7 July 2015

Learner Travel Statutory Provision & Operational Guidance June 2014.

**EDUCATION FOR LIFE SCRUTINY COMMITTEE**

**List of Discretionary Home to School /College Transport Services**

<b><u>Ref</u></b>	<b><u>Description</u></b>
ET1	Post 16 Transport for mainstream students - discontinue - introduce travel grant / fixed parental contribution - setting a cap on transport costs
ET2	Review of walking distances Primary (1 <sup>1</sup> / <sub>2</sub> - 2 miles); Secondary (2-3 miles)
ET3	Post 16 transport for pupils/students with additional learning needs (ALN)
ET4	Charging for free concessionary transport
ET5	Provision of escorts on Primary school transport
ET6	Provision of escorts on Secondary school transport
ET7	Provision of transport to Faith schools
ET8	Provision of transport to Welsh Medium schools
ET9	Provision of transport for pupils who change address in years 10 to 13
ET10	Provision of transport for pupils residing in refuges, hostels or temporary housing
ET11	Review of hazardous routes (negligible or low)

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**Transport Policies (4 other Gwent LAs)**

NB. Statutory distances are 2 miles (Primary) and 3 miles (Secondary)  
 CCBC adopts distance policies of 1½ miles (Primary) and 2 miles (Secondary)

L.A.	Current distance criteria	Current Post-16 Policy (including charges)	Any changes from September 2015	Any potential changes from September 2016
Blaenau Gwent CBC	<ul style="list-style-type: none"> <li>• 1.5 miles for Primary</li> <li>• 2.0 miles for Secondary</li> </ul>	Provide a travel grant in the sum of £225.	Post-16 travel grant will reduce from £225 to £150	No further changes planned
Monmouthshire CC	<ul style="list-style-type: none"> <li>• 1.5 miles for Primary</li> <li>• 2.0 miles for Secondary</li> </ul>	Offer concessionary seats on contracted transport where available. Current charge £380 per annum (£2 per day). Previously offered travel grants of £200 but withdrawn from 2014/15. No concessions for EMA students.	No further changes planned	No further changes planned
Newport CC	<ul style="list-style-type: none"> <li>• 2.0 miles for Primary</li> <li>• 3.0 miles for Secondary</li> </ul>	Provide a grant of £150 per student per annum providing they live more than 3 miles from the nearest educational establishment providing their chosen course. Students are free to use this however they choose. If the students use the Council's contracted coach services there is a charge of £497 per annum less the £150 grant leaving the student to pay £347.	No further changes planned	No further changes planned
Torfaen CBC	<ul style="list-style-type: none"> <li>• 1.5 miles for Primary</li> <li>• 2.0 miles for Secondary</li> </ul>	<p>Students must live over 2 miles from the nearest educational establishment providing the course.</p> <p>Assistance normally in the form of a travel grant of £146 a year, but for those students and/or their parents who are on the relevant benefits the Authority would provide a season ticket free of charge.</p> <p>Contracted transport also provided where no public services exist.</p>	<ul style="list-style-type: none"> <li>• 2.0 miles for Primary</li> <li>• 3.0 miles for Secondary and Post-16</li> <li>• Pupils with previous entitlement under old policy will be given protection</li> </ul>	No further changes planned

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## CABINET – 14TH OCTOBER 2015

**SUBJECT: CAERPHILLY HOMES COMMUNICATIONS STRATEGY & IMPLEMENTATION PLAN**

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

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- 1.1 The attached report was considered by the Policy and Resources Scrutiny Committee on 30th September 2015, having previously been considered by the Caerphilly Homes Task Group on 2nd July 2015. The report sought the views of Members on a new Caerphilly Homes Communications Strategy and action plan for implementation, prior to its presentation to Cabinet.
  - 1.2 The draft Strategy and action plan proposes to replace the former 'Housing and Welsh Quality Housing Standard Communications Strategy' which elapsed in 2015. The new draft Strategy strongly advocates a 'one housing service' approach to communications in order to more effectively embed the Caerphilly Homes ethos throughout the division.
  - 1.3 Arising from discussion during the course of the meeting, Members expressed a need for the Council's Recharge Policy to be clearly communicated to Caerphilly Homes tenants. As such, it was moved and seconded that subject to consideration being given as to how this Policy will be communicated to tenants, and in taking into account the views of the Caerphilly Homes Task Group (as detailed in the attached covering report), the Caerphilly Homes Communication Strategy and action plan be adopted. By a show of hands this was unanimously agreed.
  - 1.4 RECOMMENDED to Cabinet that:-
    - (i) the Caerphilly Homes Communications Strategy and action plan as appended to the report be adopted;
    - (ii) consideration be given as to how the Council's Recharge Policy will be communicated to Caerphilly Homes tenants.
  - 1.5 Members are asked to consider the recommendations.

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

Appendices:

Appendix 1 Report to Policy and Resources Scrutiny Committee on 30th September 2015 – Agenda Item 8

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**POLICY AND RESOURCES SCRUTINY COMMITTEE –  
30TH SEPTEMBER 2015**

**SUBJECT: CAERPHILLY HOMES COMMUNICATIONS STRATEGY &  
IMPLEMENTATION PLAN**

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

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- 1.1 The report was considered by the Caerphilly Homes Task Group (CHTG) on the 2nd July 2015.
- 1.2 The report provided members of the CHTG with a new communications strategy and action plan for implementation, and sought the views of the CHTG prior to consideration at Policy and Resources Scrutiny Committee, and thereafter Cabinet.
- 1.3 The draft strategy and action plan proposed to replace the former 'Housing and WHQS Communications Strategy' which elapsed in 2015. The new draft strategy strongly advocates a 'one housing service' approach to communications in order to more effectively embed the Caerphilly Homes ethos throughout the division.
- 1.4 Having fully considered the report and the recommendation contained therein, the Caerphilly Homes Task Group provided positive comments and feedback and recommended that the Policy and Resources Scrutiny Committee support the Communications Strategy and Action Plan and recommend its adoption at Cabinet.
- 1.5 Members are invited to consider the report and the above recommendation.

Author: C. Evans, Committee Services Officer, Ext 4210

Appendices:

Appendix 1 Caerphilly Homes Task Group Report – 2nd July 2015

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## CAERPHILLY HOMES TASK GROUP – 2ND JULY 2015

**SUBJECT: CAERPHILLY HOMES COMMUNICATIONS STRATEGY & IMPLEMENTATION PLAN**

**REPORT BY: INTERIM CHIEF EXECUTIVE**

### 1. PURPOSE OF REPORT

- 1.1 To present members of the Caerphilly Homes Task Group with a new communications strategy and action plan for implementation. The report is seeking the views of CHTG prior to its consideration at Policy and Resources Scrutiny Committee, and thereafter Cabinet.

### 2. SUMMARY

- 2.1 Effective communications is essential to ensuring all stakeholders have an awareness of the Caerphilly Homes brand and are kept up to date on progress across the housing service. Key to effective communications is the delivery of timely messages, using a range of methods appropriate for specific target audiences. But, more than simply sending messages out, effective communication also relies upon creating opportunities for open and transparent two way dialogue with stakeholders.
- 2.2 The draft strategy and action plan proposed in this report replace the former 'Housing and WHQS Communications Strategy' which elapsed in 2015. The new draft strategy strongly advocates a 'one housing service' approach to communications in order to more effectively embed the Caerphilly Homes ethos throughout the division.

### 3. LINKS TO STRATEGY

- 3.1 The Welsh Housing Quality Standard (WHQS) is intended to ensure that all local authority and housing association homes are improved and maintained to achieve specified standards.
- 3.2 The Council is committed to ensuring that the WHQS investment transforms not only homes but also lives and communities.
- 3.3 The Single Integrated Plan 2013-2017 has a priority to "improve standards of housing and communities, giving appropriate access to services across the County Borough".
- 3.4 The Council's Local Housing Strategy "People, Property, and Places" has the following aim:  
 "To provide good quality, well managed houses in communities where people want to live, and offer people housing choices which meet their needs and aspirations."
- 3.5 Other relevant internal strategies include the corporate communications strategy 'One Voice' and Caerphilly Homes' local tenant participation strategy.

#### 4. THE REPORT

4.1 Effective communications is essential to ensuring all stakeholders have an awareness of the Caerphilly Homes brand and are kept up to date on progress across the housing service. Key to effective communications is the delivery of timely messages, using a range of methods appropriate for specific target audiences.

4.2 There had previously been very little evaluation carried out with regards communications activities and service user involvement in this had also been limited. For example, whilst service users are asked to provide feedback on specific tenant communications, via Armchair Reviewers, there had been no formal mechanism in place for gaining their input on our general approach to communications.

Without evaluation or feedback from our service users, we do not know how effective our communications with them are and whether we are achieving value for money through our current activities.

4.3 As the former 'Housing and WHQS Communications Strategy' came to an end in 2015 it seemed timely to use this as an opportunity to undertake a communications review with stakeholders. In order to achieve this, a working group of tenants and staff was established with support from the Tenant and Community Involvement Team. The group met in a series of workshops which were facilitated by the Communications and Tenant Engagement Officer.

During the review process, a number of key questions were asked including:

- What are our current goals and objectives for communications?
- How well is the current communications strategy / plan working?
- How clear, consistent and persuasive are our messages?
- What communications have been most effective?
- What do stakeholders think of our communications?
- What would make our communications more effective?
- What communications opportunities are we missing?

4.4 The review also gave recognition to work that has taken place to raise the Caerphilly Homes profile since the stock transfer ballot. Strengths identified by the group include the increased opportunities provided for informal engagement with tenants, including attendance at high profile events and smaller scale estate based events. Other successes recognised by the group included the increased use of different mediums, including the damp and condensation information video and the community film project 'Let's Get Happy'.

4.5 As well as a great deal of positive work, the review also highlighted a number of areas where improvement is needed. Particular themes that arose during the review were the need for greater consistency and coverage in communications across Caerphilly Homes, to ensure stakeholders are aware of the range of services delivered by the council's housing division. Also, whilst the work undertaken to develop a clear brand identity was congratulated, there was agreement that further work is needed to ensure that the brand and Caerphilly Homes ethos is embedded throughout the housing division.

The lack of tenant profiling data was also flagged as a concern, as this information is vital if we are to target our communications and engagement activities more efficiently and effectively.

4.6 Communications and customer service are intrinsically linked; with effective communications necessary to deliver high levels of customer service and vice versa. The review included a session which focussed specifically on customer service, which raised a number of issues affecting the end service received by customers. The issues raised included poor internal communications and a lack of consistency in the standards of customer care throughout the

division. Many of the actions contained within the associated action plan aim to address some of these issues, particularly those pertaining to internal communications. Separate work is also being undertaken by the HR Development Officer, in conjunction with the communications strategy, which focusses upon customer service.

- 4.7 The Caerphilly Homes Communications Strategy for 2015-18 covers the range of services delivered by Caerphilly Homes and takes a whole service approach to communications. By doing so it aims to ensure consistency across the housing division and address the issues highlighted around internal communications.
- 4.8 For the purposes of this strategy, a number of target audiences have been identified and divided into two groups – internal and external stakeholders:

Internal stakeholders:

- Caerphilly Homes staff
- Local elected members
- Other council departments, e.g. Communities First, Highways, Education

External stakeholders:

- Tenants
- Leaseholders
- Applicants / prospective tenants
- AMs and MPs
- Welsh Government
- Housing associations
- Suppliers and contractors

- 4.9 The key aims and objectives of this strategy, developed through the communications review process, are:
1. To raised the awareness of stakeholders on:
    - a. The range of services we provide
    - b. How to access our services
    - c. Our performance in providing these services
    - d. How they can influence our services
  2. To promote Caerphilly Homes' reputation locally, regionally and nationally.
  3. To develop a consistent brand image and positive identity for Caerphilly Homes.

A plan has been produced, accompanying the strategy and this report, which sets out the shorter term actions needed to deliver these aims and objectives. The plan was developed in conjunction with the communications working group and is based upon SMART principles to ensure it can be delivered, measured and monitored effectively. Regular monitoring reports on the delivery of this plan will be presented to the Caerphilly Homes Task Group.

## **5. EQUALITIES IMPLICATIONS**

- 5.1 An EqIA has been completed in accordance with the Council's Equalities Consultation and Monitoring Guidance and no potential for unlawful discrimination and for low level or minor negative impact has been identified. Therefore a full EqIA has not been carried out.

**6. FINANCIAL IMPLICATIONS**

- 6.1 There is a dedicated annual communications and tenant engagement budget of £49.646. A fully costed action plan for implementation of the strategy accompanies this report.

**7. PERSONNEL IMPLICATIONS**

- 7.1 This report has no direct personnel implications.

**8. CONSULTATIONS**

- 8.1 The views of consultees listed are incorporated within the report.

**9. RECOMMENDATIONS**

- 9.1 The CHTG supports a recommendation to the Policy and Resources Scrutiny Committee and Cabinet to adopt the communications strategy and action plan.

**10. REASON FOR THE RECOMMENDATION**

- 10.1 In order to provide a clear strategic direction for Caerphilly Homes in its approach to communications.

**11. STATUTORY POWER**

- 11.1 Housing Acts and Local Government Acts. This is a Cabinet Sub-Committee function.

Author: Kelsey Watkins, Communications and Tenant Engagement Officer  
(Tel: 01443 864262, Email: [watkik1@caerphilly.gov.uk](mailto:watkik1@caerphilly.gov.uk))

Consultees: Cllr. David Poole, Deputy Leader & Cabinet Member for Housing  
Cllr Barbara Jones, Deputy Leader & Cabinet Member for Corporate Services  
Cllr Ken James, Cabinet Member for Regeneration, Planning & Sustainable Development  
Phil Davy, Head of Programmes  
Shaun Couzens, Chief Housing Officer  
Nicole Scammel, Acting Director of Corporate Services and S151 Officer  
Jane Roberts-Waite, Strategic Coordination Manager  
Stephen Pugh, Corporate Communications Manager  
Mandy Betts, Tenant and Community Involvement Manager

Appendices:

Appendix 1 - Communications Strategy

Appendix 2 - Communications Action Plan



# Caerphilly Homes Communications Strategy

2015 - 2018

## **1. Introduction**

Effective communications is essential to ensuring all stakeholders have an awareness of the Caerphilly Homes brand and are kept up to date on progress across the housing service.

Key to effective communications is the delivery of timely messages, using a range of methods appropriate to specific target audiences. But, more than simply sending messages out, effective communications relies upon creating opportunities for two way dialogue with stakeholders; by actively engaging them and using their feedback to improve services.

This strategy replaces the former 'Housing and WHQS Communications Strategy' which elapsed in 2015. A considerable amount of work has taken place since the last strategy was produced, which will be reflected upon and used as a foundation for this strategy and associated action plan.

## **2. Where are we now?**

Stakeholders have been heavily involved in the development of this strategy, through a working group of tenants and staff facilitated by Caerphilly Homes' Communications and Tenant Engagement Officer. Tenant members of the group varied between those currently heavily involved in service deliver, e.g. Task Group members, to those who have had minimal involvement to date, i.e. Armchair Reviewers. Staff members of the group were also spread evenly across Caerphilly Homes' different areas of service delivery, to ensure adequate representation and a range of viewpoints from across the division.

Members of the working group:

### Tenants

- Sandra Jones
- Max McDermott
- Barbara Brown
- Margaret Gardner
- Ken Bridgeman

### Staff

- Kevin Fortey, Housing Enabling Officer (Housing Strategy)
- Andrew Jeffries, Senior Housing Officer (Housing Repair Operations)
- Rachel Williams, Service Development Officer (Public Sector Housing)
- Lisa Vokes. Senior Administrator (WHQS)
- Richard James, HR Development Officer

The working group met on a task and finish basis to undertake a review of existing communications methods and to develop the strategic direction for communications over the next three year period.

The review gave recognition to work that has taken place to raise the Caerphilly Homes profile since the stock transfer ballot. Strengths identified by the group include the increased opportunities provided for informal engagement with tenants, including high profile events such as Blackwood Beach Party and smaller scale estate based events. Other successes recognised by group included the greater use of different mediums, for example the damp and condensation information video and the community film project 'Let's Get Happy'.

As well as a great deal of positive work, the review also highlighted a number of areas where improvement is needed. Particular themes that arose during the review were the need for greater consistency and coverage across Caerphilly Homes, to ensure stakeholders are aware of the range of services delivered by the council's housing division. Also, whilst the work undertaken to develop a clear Caerphilly Homes brand and identity was congratulated, there was agreement that further work is needed to ensure the brand and ethos are embedded throughout the division.

The lack of tenant profiling data was also flagged as a concern, as this information is pivotal if we are to target our communications and engagement activities efficiently and effectively.

The findings from the review have been incorporated in this strategy and associated action plan. The working group also worked to develop many of the actions included in the implementation plan.

### **3. Definition and scope**

This strategy covers the range of services delivered by Caerphilly Homes and aims to take a whole housing service approach to communications in order to ensure consistency across the division.

The following list provides a summary of some of the services delivered by Caerphilly Homes:

- Public Sector Housing
  - Estate management
  - Tenancy enforcement
  - Rents
  - Tenancy support
  - Tenant and community involvement
  - Older persons housing
- Housing Repair Operations
  - Response repairs
  - Planned maintenance
  - Handy Person service
- Private Sector Housing
  - Housing advice / homelessness / allocations
  - Housing strategy
  - Affordable housing

- Private rented sector
- Adaptations
- Housing grants and loans
- Welsh Housing Quality Standard
  - Internal and external improvement programme
  - Environmental improvement programme
  - Transforming lives and communities agenda
  - Tenant liaison service

As well as publicity and promotion of services, this strategy also includes the development of effective engagement and opportunities for real two way dialogue with stakeholders.

This strategy also has links to the corporate communications strategy 'One Voice' and to Caerphilly Homes' Local Tenant Participation Strategy. The review also highlighted a number of issues relating specifically to customer care, which will be picked up as a separate piece of work being undertaken by the HR Development Officer.

For the purposes of this strategy, a number of target audiences have been identified and divided into two groups – internal and external stakeholders:

**Internal stakeholders:**

- Caerphilly Homes staff
- Local elected members
- Other council departments, e.g. Communities First, Highways, Education

**External stakeholders:**

- Tenants
- Leaseholders
- Applicants / prospective tenants
- Welsh Government
- AMs and MPs
- Housing Associations
- Suppliers and contractors

**4. Strategic aims and objectives**

The key aims and objectives of this strategy, developed through the communications review process, are:

1. To raise the awareness of stakeholders on:
  - The range of services we provide
  - How to access our services
  - Our performance in providing these services
  - How they can influence our services

2. To promote Caerphilly Homes' reputation locally, regionally and nationally.
3. To develop a consistent brand image and positive identity for Caerphilly Homes.

## **5. Implementation of the strategy**

A plan has been produced which sets out the shorter term actions necessary to achieve the strategy. The plan was developed in conjunction with the communications working group and is based upon SMART principles to ensure it can be delivered, measured and monitored effectively. The action plan will regularly be reviewed and revised, as necessary, to reflect our changing needs.

In implementing the strategy and action plan, we will ensure that the diverse needs of our customers are taken into account; for example, by ensuring written materials and venues are accessible to all.

## **6. Resources**

The Communications and Tenant Engagement Officer is responsible for the delivery of the strategy and associated action plan; the officer is supported by a Programme Support Assistant.

A dedicated Communications and Tenant Engagement budget of £49,646 (aligned to the activities outlined in the associated action plan) has also been allocated to facilitate the implementation of this strategy.

Wherever possible we will seek to work in partnership with other relevant agencies, such as Communities First, in order to pool our resources and deliver maximum outcomes for local communities. We will also seek to enhance this strategy and further maximise outcomes for tenants through the delivery of community benefits from our contractors and suppliers.

## **7. Monitoring**

Delivery of this strategy and its accompanying action plan will be monitored by the Caerphilly Homes Task Group. Update reports will be provided to the group by the Communications and Tenant Engagement Officer at regular intervals or upon request from the Caerphilly Homes Task Group.

In line with Caerphilly Homes' commitment to ensuring tenants are placed at the heart of decision making, an annual review of the action plan will also be undertaken with tenants and staff.

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<b>Key Aim 1 – To raise the awareness of stakeholders on the range of services we provide, how to access our services, our performance in providing these services and how they can influence our services</b>					
<b>What?</b>	<b>Why?</b>	<b>Who?</b>	<b>When?</b>	<b>How will it be measured?</b>	<b>How much will it cost?</b>
1.1 Further develop and improve tenant newsletter by: <ul style="list-style-type: none"> <li>Actively seeking input from tenants into content of newsletter via Armchair Reviewers, social media etc</li> <li>Establish newsletter editorial panel</li> </ul>	<ul style="list-style-type: none"> <li>To ensure newsletter remains tenant focussed and contains a variety of content.</li> </ul>	Kelsey Watkins	Beginning July 2015	<ul style="list-style-type: none"> <li>Feedback from Armchair Reviewers</li> <li>Random tenant telephone surveys</li> </ul>	<ul style="list-style-type: none"> <li>Tenant newsletter currently sent twice per year at total cost of £16,500 per annum</li> </ul>
1.2 Maintain Caerphilly Homes quarterly media planner	<ul style="list-style-type: none"> <li>To ensure consistency in coverage across Caerphilly Homes.</li> <li>To maintain a regular flow of 'good news' stories and ensure stakeholders are kept fully up to date on Caerphilly Homes services.</li> </ul>	Joanne James	Ongoing	<ul style="list-style-type: none"> <li>Regular input from managers across Caerphilly Homes</li> <li>Information fed into corporate media planner</li> </ul>	N/A
1.3 Reinstate staff bulletin	<ul style="list-style-type: none"> <li>To ensure staff are kept fully updated on activities across Caerphilly Homes and our performance in different areas of service delivery.</li> </ul>	Joanne James	Beginning July 2015	<ul style="list-style-type: none"> <li>Bulletin containing mix of content from across Caerphilly Homes sent to staff every 6 weeks</li> </ul>	<ul style="list-style-type: none"> <li>£800 pa</li> </ul>

<p>1.4 Utilise existing opportunities to capture tenant communication preferences, e.g. via TLO/TSO visits, social media, etc</p>	<ul style="list-style-type: none"> <li>To allow us to target our communications effectively and efficiently, e.g. sending electronic newsletters to those who request it to reduce printing and postage costs.</li> <li>To ensure our communications materials are accessible to all, e.g. in alternative languages, braille, large print, etc.</li> </ul>	<p>Kelsey Watkins / Joanne James</p>	<p>Beginning July 2015</p>	<ul style="list-style-type: none"> <li>Database compiled of tenant communication preferences</li> </ul>	<ul style="list-style-type: none"> <li>No costs associated with gathering data as this will be done as part of existing contact with tenants.</li> <li>Data may lead to some financial savings if sufficient numbers of tenants request contact via email.</li> </ul>
<p>1.5 Increase and improve use of social media:</p> <ul style="list-style-type: none"> <li>Increased postings on existing social media channels, in line with media planner</li> <li>Develop campaign to increase engagement on current social media channels</li> <li>Explore opportunities for use of other social media channels, including potential for staff engagement</li> </ul>	<ul style="list-style-type: none"> <li>To actively engage with those tenants often seen as 'hard to reach.</li> <li>To raise awareness of stakeholders on the range of services provided by Caerphilly Homes and how they can influence services.</li> </ul>	<p>Kelsey Watkins / Joanne James</p>	<p>Beginning June 2015 and ongoing</p>	<ul style="list-style-type: none"> <li>Number of page 'likes' and 'followers'</li> <li>Increased post engagement</li> </ul>	<p>N/A</p>
<p>1.6 Schedule of events for elected members, including:</p>	<ul style="list-style-type: none"> <li>To ensure members are kept fully updated on</li> </ul>		<ul style="list-style-type: none"> <li>Road trip –</li> </ul>	<ul style="list-style-type: none"> <li>Schedule of regular events</li> </ul>	<ul style="list-style-type: none"> <li>Affordable housing road trip</li> </ul>



<ul style="list-style-type: none"> <li>Affordable housing road trip</li> <li>WHQS open day to launch member information pack</li> <li>Briefing sessions on key housing issues / updates</li> </ul>	<p>performance across Caerphilly Homes.</p> <ul style="list-style-type: none"> <li>To raise members' awareness of the range of services delivered by Caerphilly Homes.</li> </ul>	<p>Kelsey Watkins</p>	<p>July 2015</p> <ul style="list-style-type: none"> <li>Member pack – September 2015</li> <li>Briefing sessions - 2016</li> </ul>	<ul style="list-style-type: none"> <li>Attendance at events</li> <li>Event evaluation / feedback</li> </ul>	<p>being funded by RSL partners</p> <ul style="list-style-type: none"> <li>Anticipated costs for printing of member pack and launch event £500</li> </ul>
<p>1.7 Maintain housing pages of website and review regularly with staff working group to ensure continuous improvement.</p>	<ul style="list-style-type: none"> <li>To ensure stakeholders can obtain accurate, up to date information about Caerphilly Homes' services via the website.</li> <li>Use more effectively to share good news stories</li> </ul>	<p>Kelsey Watkins / Louise Saddler</p>	<p>Ongoing</p>	<ul style="list-style-type: none"> <li>Surveys and user testing</li> </ul>	<p>N/A</p>
<p>1.8 Produce Caerphilly Homes directory</p>	<ul style="list-style-type: none"> <li>To provide internal and external stakeholders with information on Caerphilly Homes, including range of services provided and key contact details.</li> </ul>	<p>Kelsey Watkins</p>	<p>April 2016</p>	<ul style="list-style-type: none"> <li>Feedback from Armchair Reviewers and Employee Panel</li> </ul>	<ul style="list-style-type: none"> <li>Initial print run for approx. 6,000 copies - £3,000; for dissemination via Area Housing Offices, Housing Advice Centre, Tenant Handbook, community groups.</li> <li>E-version to be made available on website,</li> </ul>

					<p>emailed to members and partners, e.g. RSLs, CF.</p> <ul style="list-style-type: none"> <li>• Copies available on request and promoted via tenant newsletter, with plans for dissemination to wider tenant body in financial year 2016/15</li> </ul>
<p>1.9 Increased use of other mediums, such as film, including:</p> <ul style="list-style-type: none"> <li>• Rowan Place film</li> <li>• Digital storytelling</li> <li>• 'What we do' video</li> <li>• Filming of awards</li> </ul>	<ul style="list-style-type: none"> <li>• To ensure stakeholders are able to access information about Caerphilly Homes and its services through a range of different formats.</li> </ul>	Kelsey Watkins	Ongoing	<ul style="list-style-type: none"> <li>• Number of completed film projects per year</li> </ul>	<ul style="list-style-type: none"> <li>• Total anticipated costs for Rowan Place film (2 year project) - £4,000</li> <li>• Digital storytelling project – minimal costs attached, e.g. refreshments</li> <li>• 'What we do' video – £2,000</li> <li>• Awards filming - £350</li> </ul>
<p>1.10 Develop annual Caerphilly Homes event planner.</p>	<ul style="list-style-type: none"> <li>• To provide a range of opportunities for informal,</li> </ul>	Kelsey Watkins / Joanne	Ongoing	<ul style="list-style-type: none"> <li>• Level of engagement at</li> </ul>	<ul style="list-style-type: none"> <li>• Annual events budget set at</li> </ul>

	face to face engagement with stakeholders	James		events • Outcomes from events, e.g. surveys completed, take up of 'hard to let' properties, etc	£4,500 (to include provision of branded merchandise)
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<b>Key Aim 2 - To promote Caerphilly Homes' reputation locally, regionally and nationally</b>					
<b>What?</b>	<b>Why?</b>	<b>Who?</b>	<b>When?</b>	<b>How will it be measured?</b>	<b>How much will it cost?</b>
2.1 Maintain regular flow of press releases	<ul style="list-style-type: none"> <li>To raise the profile of Caerphilly Homes, by sharing successes.</li> </ul>	Kelsey Watkins	Monthly / ongoing	<ul style="list-style-type: none"> <li>Number of positive news items in media</li> </ul>	N/A
2.2 Continue annual Transforming Lives and Communities Awards	<ul style="list-style-type: none"> <li>Awards ceremony / celebration event offers the opportunity to raise Caerphilly Homes' profile through publicity before and after event.</li> <li>The awards help develop a positive reputation for Caerphilly Homes' amongst stakeholders.</li> </ul>	Kelsey Watkins / Joanne James	Held annually in September	<ul style="list-style-type: none"> <li>Number of award nominations received</li> <li>Event feedback</li> </ul>	<ul style="list-style-type: none"> <li>Allocated awards budget £2,000 (to be enhanced with sponsorship from suppliers)</li> </ul>
2.3 Launch Caerphilly Homes gardening competition	<ul style="list-style-type: none"> <li>To encourage tenants and local communities to take a sense of pride in their surroundings and improve general appearance of estates.</li> <li>To help promote the Caerphilly Homes' reputation amongst stakeholders.</li> </ul>	Kelsey Watkins / Mandy Betts	Summer 2016	<ul style="list-style-type: none"> <li>Number of entries received</li> </ul>	<ul style="list-style-type: none"> <li>£1,000 (will also explore opportunities for sponsorship)</li> </ul>
2.4 Involvement in national housing campaigns and initiatives, e.g. Housing	<ul style="list-style-type: none"> <li>To raise the profile of Caerphilly Homes within housing sector locally,</li> </ul>	Kelsey Watkins	Ongoing	<ul style="list-style-type: none"> <li>Number of initiatives supported</li> </ul>	N/A

Camp, Housing Day, Council Homes Chat, etc.	regionally and nationally.				
2.5 Digital storytelling project	<ul style="list-style-type: none"> <li>To promote reputation of Caerphilly Homes and local communities, through challenging perceptions and addressing stigma of social housing.</li> </ul>	Kelsey Watkins / Gail Taylor	September 2015	<ul style="list-style-type: none"> <li>Digital story premiered at Transforming Lives and Communities Awards</li> </ul>	<ul style="list-style-type: none"> <li>Minimal costs, e.g. refreshments for community</li> </ul>
2.6 Work with local schools, colleges and adult education, e.g. careers aspirations talks.	<ul style="list-style-type: none"> <li>To raise aspirations and promote housing as a career.</li> <li>To help build relationships with partner organisations.</li> </ul>	Kelsey Watkins	December 2015	<ul style="list-style-type: none"> <li>Number of successful events / initiatives</li> </ul>	N/A
2.8 Production of e-bulletin for circulation to elected members, partner organisations, etc.	<ul style="list-style-type: none"> <li>To raise the profile of Caerphilly Homes.</li> <li>To help forge stronger relationships with partners and raise awareness of potential areas for joint working.</li> </ul>	Kelsey Watkins	Summer 2016	<ul style="list-style-type: none"> <li>Quarterly e-bulletin</li> </ul>	<ul style="list-style-type: none"> <li>Design costs approx. £250</li> </ul>

<b>Key Aim 3 - To develop a consistent brand image and positive identity for Caerphilly Homes</b>					
<b>What?</b>	<b>Why?</b>	<b>Who?</b>	<b>When?</b>	<b>How will it be measured?</b>	<b>How much will it cost?</b>
3.1 Schedule of staff events, to include: <ul style="list-style-type: none"> <li>• Monthly 'hot topic' sessions</li> <li>• Caerphilly Homes staff conference / event</li> </ul>	<ul style="list-style-type: none"> <li>• To help facilitate better partnership working across teams at Caerphilly Homes</li> <li>• To develop staff's sense of ownership and identity with Caerphilly Homes brand and ensure consistency across the housing service</li> </ul>	Kelsey Watkins / Richard James	Commencing June 2015	<ul style="list-style-type: none"> <li>• Event evaluation / feedback</li> <li>• Increased staff satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>• Proposed annual staff event budget £2,000</li> </ul>
3.2 Develop Caerphilly Homes mascot through children's design competition	<ul style="list-style-type: none"> <li>• To engage local communities in developing a mascot which links in to Caerphilly Homes brand and offers tenants a sense of ownership.</li> </ul>	Joanne James / Gail Taylor	Autumn 2015	<ul style="list-style-type: none"> <li>• Number of entries received</li> <li>• Mascot costume produced for use at events</li> </ul>	<ul style="list-style-type: none"> <li>• £1,000</li> </ul>
3.3 Stationery audit	<ul style="list-style-type: none"> <li>• To collate all service leaflets, standard letters, etc being used by Caerphilly Homes and review in conjunction with Armchair Reviewers to ensure they are in keeping with brand and meet plain English guidance.</li> <li>• Production of easy reads and other formats where</li> </ul>	Kelsey Watkins	July 2016	<ul style="list-style-type: none"> <li>• All materials consistently branded and written in plain English</li> </ul>	<ul style="list-style-type: none"> <li>• We are not able to estimate rebrand costs at this stage, as stationery audit will identify what materials need to be rebranding / revised</li> </ul>

	necessary to ensure materials are accessible to all.				
3.4 Review content of intranet pages and ensure it is updated regularly	<ul style="list-style-type: none"> <li>To ensure consistent message is being delivered to staff</li> </ul>	Kelsey Watkins / Joanne James	Reviewed by August 2016	<ul style="list-style-type: none"> <li>Staff feedback / engagement</li> </ul>	N/A

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## CABINET – 14TH OCTOBER 2015

**SUBJECT: REMODELLING OF SHELTERED HOUSING SCHEMES**

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

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- 1.1 The attached report was considered by the Policy and Resources Scrutiny Committee on 30th September 2015, having previously been considered by the Caerphilly Homes Task Group on 17th September 2015. The report sought the views of Members on proposals for an in-principle agreement for feasibility studies to be undertaken for six sheltered housing schemes (Castle Court, Waunfawr House, Ty Melin, Ynyswen, Britannia Court and St. Mary's Court) for remodelling, prior to its presentation to Cabinet.
  - 1.2 The report also sought the views on proposals for the six schemes to be omitted from the Welsh Housing Quality Standard (WHQS) works programme, unless funding is available within the business plan to undertake work to one or two schemes depending on the detailed costs being within this budget.
  - 1.3 Officers explained that a review of all housing stock identified that some schemes include properties and amenities that are inadequate and do not meet acceptable space standards. This information was considered alongside void levels and the ability to remodel, and six sheltered housing schemes were selected for feasibility studies. Members were advised that it was proposed to postpone remodelling of these particular schemes until after 2020 (with completion of all properties to the Welsh Quality Housing Standard by 2025), but that works to some of these schemes could be completed prior to 2020, subject to feasibility and funding considerations.
  - 1.4 Following consideration of the report, and in taking into account the views of the Caerphilly Homes Task Group (detailed in the attached covering report), the Policy and Resources Scrutiny Committee unanimously recommended to Cabinet that for the reasons contained therein:-
    - (i) the views of the Caerphilly Homes Task Group be noted;
    - (ii) a full and comprehensive feasibility study be commissioned for the six sheltered housing schemes identified in the report;
    - (iii) following a positive outcome of the feasibility study, the schemes be removed from the Welsh Quality Housing Standard programme with the intent of remodelling them post-2020 (with one or two before this time if financially viable), with completion of all properties by the end of 2025.
  - 1.5 Members are asked to consider the recommendations.

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

Appendices:

Appendix 1 Report to Policy and Resources Scrutiny Committee on 30th September 2015 –  
Agenda Item 7



## **POLICY AND RESOURCES SCRUTINY COMMITTEE – 30TH SEPTEMBER 2015**

**SUBJECT: REMODELLING OF SHELTERED HOUSING SCHEMES**

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

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- 1.1 The report was considered by the Caerphilly Homes Task Group (CHTG) on the 17th September 2015. It sought views on proposals for an in-principle agreement for feasibility studies to be undertaken for six sheltered housing schemes (Castle Court, Waunfawr House, TY Melin, Ynyswen, Britannia Court and St. Mary's Court) for remodelling, prior to its consideration at Policy and Resources Scrutiny Committee, and thereafter Cabinet.
- 1.3 The report also sought the views on proposals for the six schemes to be omitted from WHQS works programme, unless funding is available within the business plan to undertake work to one or two schemes depending on the detailed costs being within this budget.
- 1.4 The Caerphilly Homes Task Group highlighted concerns for tenants within these schemes and the postponement of WHQS works. Officers highlighted that many of the bedsits are not fit for purpose and there are a higher number of voids within the Schemes. Officers also highlighted the fact that beyond the bedsits and flats, the schemes themselves lacked adequate facilities for our vulnerable tenants as circulation space and access throughout the schemes was limited, particularly for those with mobility or health issues. Therefore, it was proposed that the works take place following 2020 until 2025, remodelling the schemes to meet WHQS standards and become fit for purpose.
- 1.5 Having fully considered the report and the recommendations contained therein, the Caerphilly Homes Task Group recommended that the Policy and Resources Scrutiny Committee support the Remodelling of the Sheltered Housing Schemes and recommend its adoption at Cabinet.

By a show of hands, and in noting there were 3 against, the recommendations were supported by the majority present.

RECOMMENDED to Policy and Resources Scrutiny Committee and thereafter Cabinet for a decision : -

- (i) Members note the views of the CHTG as detailed in the covering report.
- (ii) A full and comprehensive feasibility study is commissioned for the six sheltered housing schemes identified in the report.
- (iii) Following a positive outcome of the feasibility study, the schemes be removed from the WHQS programme with the intent of remodelling them post 2020, (with one or two before this time, if financially viable), with completion of all properties by the end of 2025.

1.6 Members are invited to consider the report and the above recommendation.

Author: C. Evans, Committee Services Officer, Ext 4210.

Appendices:

Appendix 1 Caerphilly Homes Task Group Report – 17th September 2015.



## CAERPHILLY HOMES TASK GROUP – 17TH SEPTEMBER 2015

**SUBJECT: REMODELLING OF SHELTERED HOUSING SCHEMES**

**REPORT BY: INTERIM CHIEF EXECUTIVE**

### 1. PURPOSE OF REPORT

- 1.1 To seek the views of CHTG members on proposals for an in-principle agreement for feasibility studies to be undertaken for six sheltered housing schemes (Castle Court, Waunfawr House, Ty Melin, Ynyswen, Britannia Court and St Mary's Court) for remodelling.
- 1.2 To also seek views on proposals for the six schemes to be omitted from WHQS works programme if recommendations are supported, unless funding is available within the business plan to undertake work to one or two schemes depending on the detailed costs being within this budget.
- 1.3 The views of CHTG will be considered together with this report by Policy and Resources Scrutiny Committee and thereafter submitted to Cabinet for a decision.

### 2. SUMMARY

- 2.1 A number of sheltered housing schemes were identified through the 2012 stock appraisal of the sheltered housing review as not being fit for purpose. Five of the six schemes have bedsit accommodation.
- 2.2 The council recognises that older tenants need to be supported, wherever possible, in accommodation that is accessible and supports their rights to independence.
- 2.3 A review of all stock identifies that some schemes include properties and amenities that are inadequate and do not meet acceptable space standards. This information was considered alongside void levels and the ability to remodel and the six schemes proposed were identified.
- 2.4 Consultation has taken place with tenants and ward members to identify any concerns. All schemes were visited by officers and face to face meetings held with the residents to explain the options for their schemes. This was also followed up with a questionnaire that we sent to all tenants within the schemes. The majority of tenants appear complacent about the proposed changes although all schemes identified improvements that they would like to see. Ward members were in favour of the proposals but were keen to ensure that tenants were supported fully in the decant process and that funds were made available to ensure the projects were completed in full and that there was a firm commitment from the Council that the proposals would be delivered as soon as practically possible.

### 3. LINKS TO STRATEGY

- 3.1 The Welsh Housing Quality Standard is intended to ensure that all local authority and housing association homes are improved and maintained to achieve specified standards.

- 3.2 The Single Integrated Plan 2013-2017 has a priority to “Improve standards of housing and communities, giving appropriate access to services across the County Borough.
- 3.3 The Council’s Local Housing Strategy “People, Property, and Places” has the following aim:  
 “To provide good quality, well managed houses in communities where people want to live, and offer people housing choices which meet their needs and aspirations.”

#### 4. THE REPORT

- 4.1 Sheltered Housing was developed over 30 years ago to provide accommodation for older people who were relatively fit and active. As a person’s health and mobility deteriorated residential and nursing homes were then expected to fulfil a person’s accommodation requirements. Services have changed significantly over this time and current practice is to help people to continue to live as independently as possible at home.
- 4.2 Legislation, guidance and good practice supports people to live in their own homes for as long as they wish to do so with assistance, aids and adaptations as necessary. Sheltered accommodation can help address those needs but some sheltered council provision in the borough of Caerphilly is not fit for purpose.
- 4.3 A budget has been allocated within the Housing business plan to bring all our sheltered housing schemes up to the WHQ Standard, however it was clear when the review of the sheltered housing service was undertaken, that a number of our schemes were not capable of meeting the WHQS due to their size and layout and this was particularly the case in those schemes comprising bedsits. The business plan does include a budget for remodelling two of our schemes, but on further investigation, the amount allocated is deemed insufficient to bring the schemes up to the required standard.
- 4.4. It is therefore an opportune time to review our plans for the sheltered housing schemes. Due to the stock appraisal identifying a need for significant remodelling of six schemes, it would seem inappropriate to proceed with the WHQS works to these schemes without considering alternative options. Whilst providing tenants with new bathrooms and kitchens for example, these would still not meet the WHQ Standard in many cases and the funding could be better utilised by contributing to the cost of remodelling in order to make these schemes fit for purpose and meet the changing needs and demands of our tenants for the future.
- 4.5 **Audit of schemes – Principles and Values**
- 4.5.1 New build schemes should follow Housing our Ageing Population: Panel for Innovation (HAPPI) principles and Designed for Life standards but to ensure our current stock is fit for purpose and provides a viable and desirable alternative option for our residents, standard principles should be applied for existing sheltered accommodation. These are defined as:-
- Properties are accessible and are suitable for people to receive care and support appropriately.
  - All properties have their own facilities including a separate bedroom.
  - The scheme has accessible communal facilities.
  - The scheme has a vibrant, active community.
- 4.5.2 When considering the above principles the sheltered housing stock was surveyed in relation to:
- Size of individual properties.
  - Long term voids.
  - Ability to remodel.

Appendix A, analyses the sheltered housing stock against these principles and the following schemes were identified as having bedsits or very small 1 bed flats; have a high incidence of long term voids and are considered capable of being remodelled to provide more suitable accommodation. These are all in the former Islwyn area and comprise Britannia Court, St Mary's Court, Waunfawr House, Castle Court, Ty Melin and Ynyswen. Two other schemes, Ysgwyddgwyn and Alexandra Court also have small property sizes, but Ysgwyddgwyn cannot be substantially altered due to its location on a hillside and Alexandra Court continues to be a very popular scheme (although this may want to be re-considered at a later date). Other schemes cannot be altered to become more accessible due to their location or inability to include facilities such as a lift.

- 4.5.3 Appendix B shows photographs of two bedsits. Typically, there is no window in the sleeping area, no area for eating and the kitchen is so small that often the fridge is in the hallway. Use of zimmer frames and wheelchairs are practically impossible due to the extremely limited size of property and there is an associated increased risk to tenants of trips and falls. A washing machine cannot be fitted into a kitchen in any of these schemes. An added problem due to the lack of circulation space, particularly in the bedsits, is that it is extremely difficult for carers to provide the level of support needed by some tenants, particularly if the individual is confined to bed as access is limited. There are also concerns regarding the ability of carers to ensure that a tenant's dignity is maintained in such a situation.
- 4.5.4 The six schemes have inadequate guest bedroom facilities and are rarely used in the current form. There are no scooter storage facilities and generally storage for tenant possessions is lacking. Some of the external space is poor and does not assist people who may have mobility issues, dementia or other cognitive impairments. Improved external and internal space would assist people with long term health conditions to be more healthy and improve their wellbeing.
- 4.6 The six schemes that have been identified are:
- Castle Court
  - Waunfawr House
  - Ty Melin
  - Ynyswen
  - St Mary's Court
  - Britannia Court
- 4.6.1 Initial plans have been drawn up for these schemes and the estimated costs of developing all six schemes would be over £3.2 million.
- 4.6.2 If the proposals were approved, it is likely that the number of properties available across all six schemes would reduce from 164 to 110. There would be a net loss in income but this would be offset by reduced void loss. It is anticipated that if the schemes are not remodelled there would be an increasing number of voids as the schemes become even more unpopular and fail to provide the standard and level of accommodation the tenants need and expect. Appendix C shows the proposed property sizes for each of the six schemes.
- 4.7 The numbers of voids in the six schemes has ranged from 2 to 8 per year per scheme. Appendix D shows the levels of voids over the past five years, the average duration time and reasons for refusals. The high number of long term voids confirms the unpopularity of these schemes.
- 4.8 Consultation with tenants, staff and ward members has taken place and the feedback from this can be found in section 8 and appendix E. In essence, the majority of consultees understand the reasons for the proposed remodelling and are supportive of the proposals.

## 5. EQUALITIES IMPLICATIONS

- 5.1 An EIA screening has been completed in accordance with the Council's Strategic Equality Plan and Supplementary Guidance and no potential for unlawful discrimination was identified. 2.2 above recognises that the council has considered the needs of older people, and the needs of people with disabilities are met as a matter of course in any remodelling and upgrading work. The consultation with tenants has not brought to light any other equalities-related issues.

## 6. FINANCIAL IMPLICATIONS

- 6.1 A comprehensive feasibility study will need to be commissioned. Appendix F shows indicative costs for updates to the six schemes. However, these costs do not include any external works or reconfigurations to communal areas apart from Castle Court.
- 6.2 All schemes have been budgeted for under WHQS and these savings would offset some of the costs required to remodel the schemes. A full cost appraisal for the work has not been undertaken but it is expected that each scheme will cost between £300,000 and £1 million.
- 6.3 Feasibility calculations will include savings from removal of long terms void costs, finance redirected from WHQS and income loss associated with reducing the number of properties.

## 7. PERSONNEL IMPLICATIONS

- 7.1 Staff will be required to support tenants that may be decanted as part of the remodelling process but this will be managed through existing resources.
- 7.2 External consultants will carry out the feasibility study.

## 8. CONSULTATIONS

- 8.1 Tenants at all six schemes were consulted in group meetings on what they felt about their current property, what changes they would like to see and what they considered would make the schemes fit for the future. Additionally, tenants received individual questionnaires to feedback their thoughts on their property and the overall scheme.
- 8.2 Five of the six schemes were either willing or laissez faire about remodelling their schemes. Only one scheme, St Mary's Court, strongly stated that they like their bedsits and would not want to consider changes. However, tenants at St Mary's Court also highlighted a number of issues with their scheme including the size of the property, lack of lift and issues with access.
- 8.3 Councillors representing the locations of schemes were informed of the consultations that had taken place and the feedback received. Whilst concerned about the wellbeing of the tenants, councillors also agreed that the principles for undertaking this project were desirable to ensure the viability of schemes in the future and to ensure that the future health and well being of tenants was not hampered by poor/unsuitable accommodation. Ward members were particularly concerned that the Council gives full commitment to ensure funds are available for this work to be done post 2020 and to demonstrate commitment to the remodelling proposals that, if financially viable, remodelling in one or more of the schemes commences prior to 2020.
- 8.4 Social Care has indicated that there is a growing demand for appropriate housing with people with dementia and people with physical disabilities. In particular, as people are supported to stay at home with domiciliary care, there is a growing prevalence of service users that are 'trapped' downstairs in one or two rooms as their property cannot be adapted and there is no suitable alternative for them to move to. This service area will shortly be undertaking its own review of accommodation for its service users and this will be used to further inform the feasibility study.



**9. RECOMMENDATIONS**

- 9.1 It is recommended that a full and comprehensive feasibility study is commissioned for the six sheltered housing schemes identified in the report.
- 9.2 Following a positive outcome of the feasibility study that the schemes be removed from the WHQS programme with the intention of remodelling them post 2020, (with one or two before this time if financially viable,) with completion of all properties by the end of 2025.
- 9.3 That this report and the views of CHTG members be presented to Policy and Resources Scrutiny Committee for consideration and thereafter Cabinet for a decision.

**10. REASONS FOR THE RECOMMENDATIONS**

- 10.1 To ensure the long term viability of sheltered housing schemes.
- 10.2 To ensure older people have appropriate and suitable accommodation that meets their needs now and into the future.
- 10.3 To ensure that the sheltered housing schemes are DDA and RNIB compliant and can support people to live independently for as long as possible thus reducing dependence on social care and health services.

**11. STATUTORY POWER**

- 11.1 Housing Acts 1985, 1996, 2004. This is a Cabinet function.

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Consultees: Chris Burns, Interim Chief Executive  
Nicole Scammell, Acting Director of Corporate Services & S151 Officer  
Shaun Couzens, Chief Housing Officer  
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Marcus Lloyd, Deputy Head of Programmes  
Lesley Allen, Principal Accountant  
Cllr Hefin David, Chair (Policy & Resources Scrutiny Committee)  
Cllr Sean Morgan, Vice-Chair (Policy & Resources Scrutiny Committee)  
Chris Burns, Interim Chief Executive  
Cllr David Poole, Deputy Leader & Cabinet Member for Housing  
Gail Williams, Interim Head of Legal Services/Monitoring Officer  
David A. Thomas, Senior Policy Officer (Equalities & Welsh Language)

## Appendices

- Appendix A - Analysis of sheltered housing schemes  
Appendix B - Images of existing bedsits  
Appendix C - Existing and Proposed Remodelling Property Sizes  
Appendix D - Voids Information  
Appendix E - Consultations  
Appendix F - Preliminary Budget Estimate of Costs

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## Appendix A

### Analysis of sheltered housing schemes

	under 31m2	31m2 - 40m2	over 40m2	Long term voids	Potential to remodel for sheltered
Castle Court	28		13	Yes	Yes
Ty Melin	17	15		Yes	Yes
Waunfawr House	16	0	5	Yes	Yes
St. Mary's Court	16		16	Yes	Yes
Alexandra Court	14		5	No	Yes
Britannia Court	13		5	Yes	Yes
Ysgwyddgwyn	13		11	Yes	No
Ynyswen	12		7	Yes	Yes
St. Gwladys Court	6		15	Yes - recently	Been done
Y Glyn	5		32	No	No
Ty Isaf	4	6	4	No	Yes
Hafod y Bryn		29		No	No
Ty Mynyddislwyn		28		Yes - recently	Yes
Ty Bedwellty		17	7	No	Yes
Highfield Court		14	6	No	Yes
Woodland View		1	20	Yes	No
Gwyddon Court	4		26	No	Yes
Bryn Road, Palmer Place			36	No	N/A
Glynderw			32	No	N/A
Glynsyfi			32	No	N/A
Greenacres			31	No	N/A
Grove 1			26	No	N/A
Grove 2			36	No	N/A
Heol Islwyn			32	No	N/A
Maesteg			27	No	No
Oaklands			31	No	N/A
Pleasant Place			31	No	N/A
Prospect Place			30	No	N/A
St. Clares			32	No	N/A
St. Peter's Close			29	No	N/A
The Willows			29	No	N/A
Waunrhydd			31	No	No
Horeb Court			20	No	No

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Appendix B – Images of existing bedsits. Permission granted by tenant.

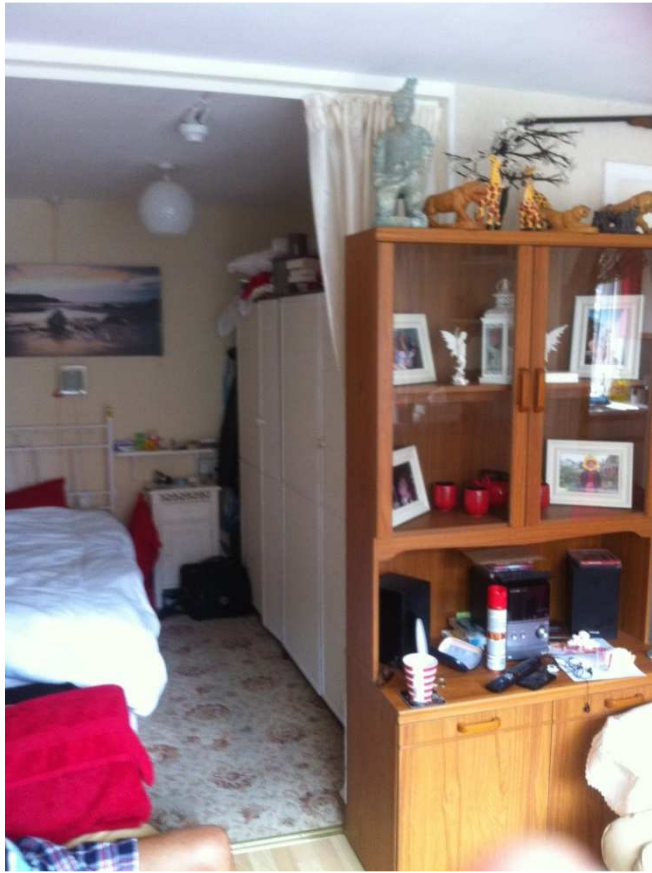


Photo take of occupied bedsit property from window in lounge.



Photo of bedsit taken from corner of lounge. Note, that bedroom does not have a window.



View from back of bedroom area in a bedsit through to lounge (unoccupied).



View from lounge into bedroom area in a bedsit (unoccupied).

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**Appendix C**  
Existing and Proposed Remodelling Property Sizes

	Existing				Proposed		
	Area m <sup>2</sup>	No.	Flat / Bedsit		Area m <sup>2</sup>	No.	Persons Flat
<b>Castle Court</b>	42.5	12	F	42.5	12	1P	
	30.5	27	B	46.5	6	1P	
				61.4	7	2P	
				61.0	1	Maisonette	
		<u>39</u>			<u>26</u>		
<b>St. Mary's Court</b>	45.7	16	F	45.7	16	1P	
	29.8	16	B	60.3	7	2P	
				43.8	1	1P	
		<u>32</u>			<u>24</u>		
<b>Ty Melin</b>	30.3	5	F	30.3	1	1P	
	30.3	10	F	38.5	9	1P	
	40.0	9	F	40.0	1	1P	
	33.0	6	F	47.4	7	2P	
	26.0	2	F	58.0	2	1P	
		<u>32</u>			<u>20</u>		
<b>Ynyswen</b>	42.0	6	F	42.0	6	1P	
	61.5	1	F	56.5	3	2P	
	27.6	12	B	41.1	2	1P	
				42.5	1	1P	
				34.4	1	1P	
				45.6	1	1P	
	<u>19</u>			<u>14</u>			
<b>Britannia Court</b>	29.8	14	F	41.7	4	1P	
	41.9	7	F	46.7	3	1P	
				57.6	1	2P	
				60.2	2	2P	
				66.8	2	2P	
				71.0	2	2P	
		<u>21</u>			<u>14</u>		
<b>Waunfawr House</b>	29.2	15	B	51.6	6	1P	
	41.6	5	F	59.7	3	1P	
	31.2	1	B	60.0	3	1P	
		<u>21</u>			<u>12</u>		

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## Appendix D

### Voids Information

#### Number of voids by financial year

Scheme	2011-12	2012-13	2013-14	2014-15	2015-16	Total voids
BRITANNIA CLOSE		1		4	2	7
CASTLE COURT	7	8	5	8	5	33
ST MARYS COURT	7	8	8	5	2	30
TY MELIN	5	5	8	5	2	25
WAUNFAWR HOUSE	4	4	4	1	2	15
YNYSWEN	4	2	3	4	3	16
<b>Total voids</b>	<b>27</b>	<b>28</b>	<b>28</b>	<b>27</b>	<b>6</b>	<b>116</b>

NOTE: Some voids are for longer than one year and therefore may distort data.

#### Voids duration (average in days)

Scheme	Avg duration (days)
BRITANNIA CLOSE	67
CASTLE COURT	133
ST MARYS COURT	72
TY MELIN	64
WAUNFAWR HOUSE	147
YNYSWEN	122
<b>Overall average</b>	<b>97</b>

#### Refusal reasons since 01/04/2011

Scheme	APPX OWN REQUEST	HOUSED BY HA	MEDICAL REASONS	OTHR-SEE NOTEPAD	PERSONAL REASONS	PROP CONDITION	PROP LOCATION	PROPERTY SIZE	Total refusals
BRITANNIA CLOSE	1			5			1	1	8
CASTLE COURT	1		1	13	4		2	9	30
ST MARYS COURT	10	1	5	17	1		7	9	50
TY MELIN	5		1	3	3		2	1	15
WAUNFAWR HOUSE			1	6	5	1	12	11	36
YNYSWEN	1			22	5	1	5	14	48
<b>Total refusals</b>	<b>18</b>	<b>1</b>	<b>8</b>	<b>66</b>	<b>18</b>	<b>2</b>	<b>29</b>	<b>45</b>	<b>187</b>

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## **Appendix E Consultation**

### **Tenant consultation**

Tenants were consulted through tenant meetings on the following dates.

2<sup>nd</sup> June 2015 – St Mary's, Castle Court and Britannia Court

4<sup>th</sup> June 2015 – Ty Melin, Waunfawr House and Ynyswen

Between 10 and 25 people attending each of the meetings, engagement was very good and tenants were willing to share their thoughts on the scheme in which they lived.

The following captures an overview of the discussion from each of the schemes.

#### **St Mary's Court**

- Bedsits suitable for many residents
- Bedsits not suitable for couples
- Guest bedroom not used as facilities poor and too expensive
- The scheme needs a lift
- Externally paths needs improving
- External signage needs improving

#### **Castle Court**

- Communal lounge and kitchen needs improving
- Scooter store required.
- Additional parking required.
- External improvements needed.
- Guest bedroom needs updating
- Tenants were generally concerned about what minor works could be done now rather than as part of the remodelling. Views included that they had little interest in five years time as they did not plan that far in advance.

#### **Britannia Court**

- Insufficient space in kitchen for fridge in some properties
- Would like more storage in all accommodation
- Scooter store required
- Accessible, automatically opening communal front door required. The current high slope to the scheme means that some tenants cannot leave the scheme independently.

#### **Ty Melin**

- Property described as a 'wendy house'
- Need a lift to all floors
- Improved ventilation throughout the scheme
- External improvements required
- Access for communal front door needs improving. Tenants and visitors to the scheme currently get soaked waiting for door to be opened.
- Would like CCTV

#### Waunfawr House

- Decorative improvements to communal lounge and hallways required.
- Bedsits are generally ok but desire larger kitchens.
- CCTV necessary
- External decorative improvements required.
- Hallway lights need to be on sensors and improved lux levels.

#### Ynyswen

- Change two bedsits into one flat
- Only remove communal bathroom if improvements to properties are made.
- Would prefer laundry facilities in flats.
- Guest bedroom is currently inadequate.
- External improvements required.
- Scooter store desired
- Communal front door heavy and difficulty in manoeuvring around scheme with mobility problems.

This was followed up with individual questionnaires to each of the schemes. The response rate was very positive with the following results

St Marys Court – 21 responses – 21. 5 identified that their property did not meet their needs.

Britannia Court – 15 responses. 2 felt their property did not meet their needs.

Castle Court – 13 responses. 4 felt their property did not meet their needs.

Waunfawr House – 17 responses. All respondees felt their property met their needs.

Ty Melin – 25 responses. 4 tenants reported that their homes did not meet their needs.

Ynyswen – 15 responses. 8 felt that their property did not meet their needs.

Detailed breakdowns are available on request but generally tenants felt that they chose sheltered housing for safety and security; to be near family and to get support from the Sheltered Housing Officer.

The most popular internal improvements requested were updated kitchens and bathrooms, improved doors and windows that are lighter and easier to use and space for a washing machine.

In the communal internal areas tenants wanted scooter storage, automatically opening communal front door and CCTV.

Externally tenants wanted CCTV, more presentable and safer paths and gardens and some garden furniture.

There were some scheme specific requests such as a lift at St Mary's Court.

#### **Ward member consultation**

Ward members were consulted on the proposals and the outcomes of the discussion with tenants. All councillors were given an opportunity to attend and express their views of the proposals. Councillors Adams and Gordon agreed to feedback to Councillor Kirby.

Consultation	Ward Member	Sheltered Scheme
7 <sup>th</sup> July	Cllr. Lewis and Cllr. Lloyd	Ty Melin
8 <sup>th</sup> July 2015	Cllr. Griffiths	Britannia Court and St Mary's Court
13 <sup>th</sup> July 2015	Cllr. Adams and Cllr. Gordon	Ynyswen
20 <sup>th</sup> July 2015	Cllr. Rees	Britannia Court and St Mary's Court
20 <sup>th</sup> August 2015	Cllr. Symonds	Waunfawr House and Castle Court

### Staff consultation

Sheltered and Estate Management staff working in the six schemes were informed of the proposals and asked their views. Staff felt that voids were often difficult to turnaround and there are rarely? applicants on the list looking for this type of accommodation. Staff were very positive about the proposed changes as it would provide modern suitable accommodation for older people.

Consultation	Staff group
19 <sup>th</sup> May 2015	Sheltered Housing working in Cluster 1 and 2
3 <sup>rd</sup> June 2015	Eastern Valley EMO's

Social services were asked their views on the current position of older person's housing and they are currently undertaking their own research in this area. Currently there are growing demands and pressures on particular client groups. This includes people with dementia and older adults with learning and physical disabilities. Accommodation that enables people to maintain their independence would assist social care and health services to provide other options to the people they support. In turn, this may alleviate some of the pressures on this service area.

### Other research

Housing providers across Wales have, or are in the process of reviewing their sheltered housing provision to ensure it meets the changing needs of the client group and also meets local and national guidance and legislation, such as Supporting People. A number of housing providers in the locality have made improvements to their stock. These include RCT Homes, V2C Homes and Monmouthshire Housing. Feedback from these providers suggest that previously unpopular, unsuitable stock has seen a robust remodelling programme resulting in no long term voids and very positive feedback from tenants. It is recommended that tenants affected by remodelling are assisted through a comprehensive decant process to ensure they are fully supported while the works are being undertaken. The experience of RCT Homes was written up as a Case Study in the Housing and Learning Network. ([www.housinglin.org.uk](http://www.housinglin.org.uk))

A number of housing providers across the UK have established standards for new build developments and these include minimum space requirements and other sheltered specific requirements to ensure that the property offer to older people encompasses the principles of homes that help people to be healthy and live well into the older age.

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## Appendix F

### Preliminary Budget Estimate of Costs for works to update and alter sheltered housing complexes.

	£	Number	£
<b>Ynyswen</b>			
Convert 3 bedsits into 2 flats	60,000	1	60,000
Convert bedsit / warden's flat into 2 flats	60,000	1	60,000
Convert 2 bedsits into 1 flat	40,000	3	120,000
Convert bedsit / meter room into 1 flat	30,000	1	30,000
Upgrade kitchens to make flats self contained	5,000	6	30,000
Preliminaries and Contingencies @ 20%			<u>60,000</u>
			<b>360,000</b>
<b>Castle Court</b>			
Convert 3 bedsits into 2 flats	40,000	7	280,000
Convert 2 bedsits into 1 flat	50,000	7	350,000
Works to Miscellaneous stores / mobility scooter parking / library / communal seating area	8,000	5	40,000
Preliminaries and Contingencies @ 20%			<u>134,000</u>
			<b>804,000</b>
Additional 8 car parking spaces	5,000		
<b>Ty Melin</b>			
Lift	120,000	1	120,000
Convert 4 flats into 3 flats	70,000	3	210,000
Convert 2 flats into 1 flat and ancillary space	40,000	7	280,000
Convert 2 flats into 1 flat	40,000	2	80,000
Upgrade kitchens to make flats self contained	5,000	2	10,000
Preliminaries and Contingencies @ 20%			<u>140,000</u>
			<b>840,000</b>
<b>St. Mary's Court</b>			
Convert 2 bedsits into 1 flat (inc. mobility scooter store)	50,000	8	400,000
Upgrade kitchens to make flats self contained	5,000	16	80,000
Preliminaries and Contingencies @ 20%			<u>96,000</u>
			<b>576,000</b>
<b>Britannia Court</b>			
Convert 2 bedsits into 1 flat	33,000	3	99,000
Convert 3 bedsits into 2 flats	60,000	1	60,000
Covert bedsit and part of lounge into flat	32,000	1	32,000
Covert 1 bedsit and warden's house into flat	36,000	2	72,000
Convert 1 bedsit and 2 flats into 2 flats	55,000	1	55,000
Covert bedsit and guest room into flat	27,000	1	27,000
Preliminaries and Contingencies @ 20%			<u>69,000</u>
			<b>414,000</b>
<b>Waunfawr House</b>			
Convert 2 bedsits into 1 flat		6	198,000
Convert 2 flats and 1 bedsit into 2 flats		3	180,000

Form new laundry in external store	1	8,500
Preliminaries and Contingencies @ 20%		<u>77,300</u>
		<b>463,800</b>

These estimates are exclusive of Fees, and subject to structural survey and asbestos survey.

No allowance for general works of improvement or maintenance in areas not directly affected by the works within the flats and bedsits



## CABINET – 14TH OCTOBER 2015

**SUBJECT: DRAFT SAVINGS PROPOSALS FOR 2016/17**

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

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### 1. PURPOSE OF REPORT

- 1.1 To provide Cabinet with an updated Medium-Term Financial Plan (MTFP) based on a range of assumptions pending receipt of the Provisional 2016/17 Local Government Financial Settlement.
- 1.2 To present Cabinet with details of draft savings proposals for the 2016/17 financial year to allow for a focussed period of consultation prior to a final decision in February 2016.

### 2. SUMMARY

- 2.1 The report provides details of projected savings requirements for the period 2016/17 to 2018/19 pending confirmation of the Welsh Government (WG) Local Government Financial Settlement.
- 2.2 The report seeks Cabinet endorsement of an updated MTFP, draft savings proposals for 2016/17 and a proposed 3.9% increase in the Council Tax. The report also provides a brief update on progress in relation to potential savings for the 2017/18 financial year.

### 3. LINKS TO STRATEGY

- 3.1 The budget setting process encompasses all the resources used by the Council to deliver services and meet priorities.

### 4. THE REPORT

#### 4.1 Financial Outlook

- 4.1.1 At its meeting on the 25th February 2015 Council was presented with an updated MTFP that showed a potential savings requirement of £14.030m for the 2016/17 financial year and £12.105m for 2017/18 (see Appendix 1). This position assumed a 3.4% cut for both financial years in the Aggregate External Finance (Revenue Support Grant (RSG) and Redistributed Non-Domestic Rates) funding received from WG.
- 4.1.2 Cabinet will be aware that the UK Government is currently undertaking a Comprehensive Spending Review and has asked for savings of between 25% and 40% for non-protected areas. As a consequence of this the financial outlook for Local Government in Wales will inevitably worsen and this will be exacerbated by the likelihood of WG continuing to offer a degree of protection to the NHS.

- 4.1.3 The Spending Review will not be completed until late November and as a result details of the WG 2016/17 Provisional Local Government Financial Settlement are not expected until the 9<sup>th</sup> December 2015. However, it is evident that cuts are likely to be deeper than originally anticipated so the MTFP has now been revised to reflect a reduction in the Aggregate External Finance (AEF) of 4.3% for 2016/17 and 2017/18. In financial terms this equates to a further cash reduction of £2.555m for 2016/17 and £2.360m for 2017/18 above the levels originally assumed.
- 4.1.4 An updated MTFP is attached as Appendix 2 covering the three-year period 2016/17 to 2018/19. This update includes a number of assumptions and adjustments (some of which will reduce the overall savings requirement): -
- An assumed reduction in the AEF of 4.3% for 2016/17 and 2017/18, with a further reduction of 3% for 2018/19.
  - A proposed increase of 3.9% in Council Tax for 2016/17 along with an indicative increase of 3.9% for the following 2 years.
  - A 1% pay award in each of the three years.
  - An assumed annual increase of 20p per hour for the Living Wage.
  - Non-pay inflation at 0% for 2016/17 and 2017/18. Previous versions of the MTFP have assumed a 1.5% increase each year but the Consumer Prices Index (CPI) annual inflation rate was only 0.1% as at July 2015. This adjustment reduces the savings requirement by circa £1.7m per annum.
  - Non-Pay inflation reinstated at 1.5% for 2018/19 (subject to review at a later date).
  - A general 1.5% increase in Fees & Charges on an annual basis.
  - Following a review of Debt Charges the £150k per annum growth included in the MTFP presented to Council in February 2015 has now been removed.
  - A sum has been included each year to honour the schools “pledge” based on current WG guidance.
  - A contingency for Social Services cost pressures of £1.5m has been factored into the MTFP for 2016/17 along with £1m for 2017/18 and £1m for 2018/19.
  - A cost pressure of £1.815m is included in 2016/17 due to increased employer National Insurance contributions from April 2016. This arises as a consequence of the Local Government Pension Scheme (LGPS) no longer being contracted-out of the Additional State Pension when the new Single-Tier State Pension is introduced.
  - The £100k per annum for Welfare Reform included in the MTFP presented to Council in February 2015 has been removed. The Authority will continue to work with partners to manage the impact of Welfare Reform within existing budgets.
  - The £300k per annum for Other Service Pressures included in the MTFP presented to Council in February 2015 has also been removed. Any emerging cost pressures will be considered on a case-by-case basis.

- 4.1.5 Cabinet will note from Appendix 2 that after all of the above adjustments have been factored into the updated MTFP the remaining projected savings requirement is as summarised in Table 1: -

Table 1 – Updated Cash Savings Targets

<b>Year</b>	<b>Annual Cash Savings Target £m</b>	<b>Cumulative Cash Savings Target £m</b>
2016/17	14.321	14.321
2017/18	11.441	25.762
2018/19	9.423	35.185

## 4.2 Schools Medium-Term Financial Plan

- 4.2.1 An updated Medium-Term Financial Plan for schools is attached as Appendix 3. This update assumes that the schools “pledge” will continue to be honoured but schools will be required to manage their own cost pressures and resulting savings requirements. Cabinet will note that there is a shortfall of 2.92% for 2016/17, 0.49% for 2017/18 and 0.81% for 2018/19.

## 4.3 2016/17 Budget Proposals

- 4.3.1 The proposals contained within this report would deliver a balanced budget for 2016/17 on the basis that Council Tax is increased by 3.9%. Table 2 provides a summary: -

Table 2 – Summary of 2016/17 Budget Proposals

Paragraph	Description	£m	£m
4.3.2	Whole Authority Cost Pressures	2.871	
4.3.4	Inescapable Service Pressures	2.699	
4.3.6	Reduction in WG Funding	11.339	
4.4.3	Full-Year Impact of 2015/16 Savings		1.980
4.4.4	Draft Savings Proposals 2016/17		12.432
4.4.5	2016/17 Savings in Excess of Target		(0.091)
4.5.2	Council Tax Increase (3.90%)		2.588
	<b>TOTAL</b>	<b>16.909</b>	<b>16.909</b>

- 4.3.2 The Whole Authority cost pressures totalling £2.871m are set out in Table 3 below (cost pressures for schools are excluded as the full cash “pledge” growth has been provided):-

Table 3 – Whole Authority Cost Pressures

	£m
Pay excluding Teachers and other school staff @ 1%	1.165
Living Wage increase (assumed at 20p per hour)	0.109
Employer National Insurance increase	1.815
1.5% increase on Fees & Charges	(0.218)
<b>TOTAL</b>	<b>2.871</b>

- 4.3.3 Cabinet is reminded that no funding is being allocated for non-pay inflation due to the current low level of the Consumer Prices Index (CPI). 1% has been set-aside in respect of the pay award but Cabinet will be aware that the pay settlement for 2016/17 is still subject to agreement and this has the potential to impact on the level of savings required.
- 4.3.4 It is incumbent upon Council to set a realistic balanced budget each year. Table 4 provides details of those 2016/17 inescapable service commitments/pressures that have been identified and require consideration in respect of funding: -

Table 4 – Inescapable Service Pressures and Other Service Commitments

	£m
Council Tax Reduction Scheme additional liability	0.571
Meeting the Schools “pledge”	0.628
Social Services Cost Pressures Contingency	1.500
<b>TOTAL</b>	<b>2.699</b>

- 4.3.5 The £1.5m Social Services Contingency will initially be held within Miscellaneous Finance. The contingency is required to meet the cost of anticipated increases in demand for services and to fund other potential cost pressures arising from UK Government and WG policy changes that will impact on this service area.

4.3.6 The assumed reduction of 4.3% in the WG Financial Settlement results in a cash reduction of £11.339m for Caerphilly CBC.

#### 4.4 2016/17 Draft Savings Proposals

4.4.1 The budget strategy agreed by Council on the 25th February 2015 included the following principles that would be followed throughout the process of identifying savings proposals: -

- Protecting front-line services where we can and reducing expenditure on management and administrative costs.
- Increasing fees and charges where appropriate.
- Reducing, rather than removing services where possible.
- Focussing on priorities.
- Looking at alternative ways of delivering services (collaboration, partnerships, community trusts, etc).

4.4.2 The work to identify savings proposals has followed these principles and has been led by the Corporate Management Team in consultation with appropriate Cabinet Members. Heads of Service have been heavily involved throughout the process with support from colleagues in Finance. Service Managers have also been included to ensure that all options that are deliverable for 2016/17 have been considered.

4.4.3 Some of the approved savings for the 2015/16 financial year only had a part-year impact with the full-year impact now being available to support the savings required for 2016/17. These are summarised in the Table 5 below: -

Table 5 – 2016/17 Full-Year Impact of Approved 2015/16 Savings

Description	£m
Reduction in HMRC mileage rate (50p to 45p)	0.034
Project Gwyrdd	0.319
Customer First – Review of opening hours	0.109
Closure of Ty Pontllanfraith	0.600
Reduction in Street Cleansing budget	0.200
Public Libraries – Review of opening hours	0.067
Street Lighting – LED Panels etc.	0.350
Review of Passenger Transport services	0.126
Social Services – Cessation of Shopping Service	0.048
Social Services – Review of Day Care provision	0.127
<b>TOTAL</b>	<b>1.980</b>

4.4.4 Appendices 4 to 8 provide details of the new proposed savings for the 2016/17 financial year. Table 6 provides a summary: -

Table 6 – Summary of Proposed 2016/17 Savings

	£m
Whole Authority “corporate nature”	2.696
Corporate Services	1.790
Social Services & Public Protection	4.017
Education & Community Services	3.395
Econ Dev, Regeneration & Planning and Housing (Non-HRA)	0.534
<b>TOTAL</b>	<b>12.432</b>

- 4.4.5 The total proposed savings of £12.432m in Table 6 along with the £1.980m full-year impacts in Table 5 is £91k higher than the anticipated total savings requirement of £14.321m for the 2016/17 financial year. This provides a small buffer which can be used to reconsider some of the savings proposals at the conclusion of the forthcoming consultation process or alternatively the £91k can be set-aside as savings in advance for the 2017/18 financial year.
- 4.4.6 Cabinet should note that the 2016/17 savings proposals that do not have a direct impact on service users or the public have been categorised into a single line for each service area in Appendices 4 to 8. This is consistent with the approach adopted last year and these proposals consist in the main of vacancy management, structural reviews, budget realignment and minor changes to service provision. Across all service areas these savings proposals total £8.661m, which represents 69.7% of the total new proposed savings identified of £12.432m.
- 4.4.7 Whilst the majority of the proposed savings will not have a direct impact on the public it is important to stress that there will be reductions in posts. The total proposed new savings of £12.432m will result in the loss of 130 posts. To date, six months prior to the start of the next financial year, 51 of these posts are currently vacant and 30 could be removed through voluntary severance/early retirements. At the present time, the remaining 49 posts will require redeployment. There is a chance that there may be some compulsory redundancies, albeit that every effort will be made to avoid this situation.
- 4.4.8 Some savings proposals will have a part-year impact in 2016/17 but will deliver further savings in 2017/18. The most notable of these are the following: -

Table 7 – Main Proposals with 2016/17 Part-Year Impact

Ref No.	Saving Proposal	2016/17 Savings £m	2017/18 Savings £m
SS03	Blackwood Resource Centre – Review of care packages	0.050	0.050
SS07	Review of Team structures within Children’s Services	0.077	0.153
SS32	Review of in-house Day Care provision	0.250	0.250
SS33	Reduce number of in-house Learning Disabilities Respite Care establishments from 2 to 1	0.076	0.227
SS36	Supported Living – Externalisation of in-house provision	0.109	0.326
CL14	Bowling Green Rationalisation	0.050	0.120
CL25	Transfer of Bedwas Leisure Centre to Bedwas High School	0.050	0.050
ERP24	Evaluate options to reduce the deficit at Blackwood Miners Institute	0.037	0.111
ERP25	Evaluate options to reduce the deficit at the Winding House Museum	0.034	0.102
	<b>TOTAL</b>	<b>0.733</b>	<b>1.389</b>

- 4.4.9 Cabinet is asked to endorse the proposed package of savings totalling £12.432m as detailed in Appendices 4 to 8. Cabinet is also requested to agree that the proposals should now be subject to a period of consultation prior to final 2016/17 budget proposals being presented to Cabinet on the 3rd February 2016, followed by Council on the 24th February 2016. The consultation process will run from the 19th October 2015 to the 8th January 2016 and will consist of the following: -

- Online and paper consultation.
- Articles in Newsline.
- Use of Social Media.
- Drop-In Sessions at locations across the County Borough.
- Meetings with the Viewpoint Panel, 50+ Forum, Youth Forum etc.
- Engagement with employees and the Trade Unions.
- Consultation with Town and Community Councils.
- Consultation with the Voluntary Sector.

- Posters at affected establishments.

4.4.10 As part of the consultation process there will also be a series of Special Scrutiny Committees to focus on the savings proposals. In addition to considering the content of this Cabinet report the Scrutiny Committees will receive further reports providing more detail on the savings proposals that will impact upon the public. Reports on some of the proposals will previously have been considered by Scrutiny Committees and the views expressed at that time will be fed into the consultation process. The dates of the Special Scrutiny Committee meetings are as follows: -

- 23/11/15 – Health, Social Care & Wellbeing.
- 26/11/15 – Regeneration & Environment.
- 03/12/15 – Education for Life.
- 07/12/15 – Policy & Resources.

#### 4.5 Council Tax Implications 2016/17

4.5.1 The Medium Term Financial Plan presented to Council on the 25<sup>th</sup> February 2015 included indicative increases to Council Tax for 2016/17 and 2017/18 of 2.35%.

4.5.2 The budget proposals within this report include a proposed increase of 3.9% in Council Tax for the 2016/17 financial year. An indicative increase of 3.9% is also assumed in the updated MTFP for 2017/18 and 2018/19 but this will be subject to review at a later date.

4.5.3 The proposed increase of 3.9% for 2016/17 would result in the following totals for the Caerphilly CBC element of the Council Tax (the Police & Crime Commissioner and Town/Community Council precepts would be added to these totals when confirmed at a later date): -

Table 8 – 2016/17 Council Tax (CCBC Element) at 3.9% Increase

<b>Band</b>	<b>Council Tax (CCBC Element) £</b>	<b>Weekly Increase £</b>
<b>A</b>	687.14	0.50
<b>B</b>	801.66	0.58
<b>C</b>	916.19	0.66
<b>D</b>	1,030.71	0.74
<b>E</b>	1,259.76	0.91
<b>F</b>	1,488.80	1.07
<b>G</b>	1,717.85	1.24
<b>H</b>	2,061.42	1.49
<b>I</b>	2,404.99	1.74

#### 4.6 2017/18 Savings Proposals

4.6.1 The updated MTFP attached as Appendix 2 shows a net projected savings requirement of £11.441m for 2017/18 based on a projected further cut of 4.3% in WG funding and an assumed increase of 3.9% in Council Tax.

4.6.2 A considerable amount of work has already been undertaken to identify potential savings for the 2017/18 financial year and these currently total £6.930m (details provided in Appendix 9). This leaves a potential shortfall of £4.511m and the Corporate Management Team will continue to work with Heads of Service and finance staff to identify further savings to meet the projected shortfall. Cabinet will receive periodic updates on progress.

4.6.3 The 2017/18 proposals are only presented for information at this stage and will not form part of a wider consultation at this point. However, Cabinet will note in Appendix 9 the inclusion of proposals in relation to Home to School/College Transport (Reference Numbers EDLL02b,



EDLL02c and EDLL02d). If agreed, these proposals would be implemented from September 2017 resulting in a part-year saving in the 2017/18 financial year with the remaining saving being realised in 2018/19. These proposals require a statutory consultation to be undertaken and to ensure that the proposals can be considered for implementation from September 2017, this consultation process will need to be completed and decisions made before the 1st October 2016. Cabinet is therefore requested to agree that this consultation process should be undertaken.

## **5. EQUALITIES IMPLICATIONS**

- 5.1 An equalities impact assessment will be completed for all of the 2016/17 savings proposals that will have an impact on the public. This is to ensure that decisions that affect different individuals and groups are assessed at an appropriate and relevant level and at the correct stage in the process.
- 5.2 Consultation with residents, when done in accordance with the Council's Public Engagement Strategy and the Equalities Consultation and Monitoring Guidance, also ensures that every resident, regardless of circumstances, has the opportunity to have their views heard and considered in the Council's decision-making process.
- 5.3 The list of proposed 2016/17 savings in Appendices 4 to 8 contain high-level narrative around the possible impact of some proposals and this will provide a starting point for assessments when specific areas are being looked at to provide savings.

## **6. FINANCIAL IMPLICATIONS**

- 6.1 As detailed throughout the report.

## **7. PERSONNEL IMPLICATIONS**

- 7.1 As outlined in paragraph 4.4.7 of this report the 2016/17 savings proposals will result in the loss of 130 posts. 51 of these posts are vacant and at least 30 posts will be lost through voluntary severances or retirements. The remaining 49 posts will be dealt with through the Council's redeployment policy with a view to finding alternative suitable employment. Every effort will be made to redeploy staff but where this is not possible then compulsory redundancy will need to be considered.
- 7.2 In addition to the above, for 2016/17 there is likely to be a requirement to reduce school based posts by up to 50.

## **8. CONSULTATIONS**

- 8.1 Details of the consultation process to be adopted in respect of the 2016/17 savings proposals are set out in paragraphs 4.4.9 and 4.4.10 of this report.

## **9. RECOMMENDATIONS**

- 9.1 Cabinet is asked to: -
  - 9.1.1 Approve the updated MTFP as detailed in paragraph 4.1.4 and Appendix 2.
  - 9.1.2 Endorse the proposed package of 2016/17 savings totalling £12.432m, as detailed in Appendices 4 to 8.

- 9.1.3 Agree that the 2016/17 savings proposals should now be subject to a further period of consultation prior to final 2016/17 budget proposals being presented to Cabinet on the 3rd February 2016 and Council on the 24th February 2016.
- 9.1.4 Support the proposal to increase Council Tax by 3.9% for the 2016/17 financial year to ensure that a balanced budget is achieved.
- 9.1.5 Note the current savings proposals for 2017/18 totalling £6.930m as set out in Appendix 9.
- 9.1.6 Agree to a consultation process being undertaken in relation to proposed savings in 2017/18 for Home to School/College Transport.

## 10. REASONS FOR THE RECOMMENDATIONS

- 10.1 The Council is required annually to approve proposals to set a balanced budget, agree a Council Tax rate and update its MTFP.
- 10.2 Council is required to put in place a sound and prudent financial framework to support service delivery.

## 11. STATUTORY POWER

- 11.1 The Local Government Acts 1998 and 2003.

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Consultees: Corporate Management Team  
 Cllr Keith Reynolds, Leader  
 Cllr Barbara Jones, Deputy Leader & Cabinet Member for Corporate Services  
 Cllr Christine Forehead, Cabinet Member for HR & Governance / Business Manager  
 Gail Williams, Interim Head of Legal Services & Monitoring Officer  
 David A. Thomas, Senior Policy Officer (Equalities and Welsh Language)

Background Papers: -

Please contact Stephen Harris, Interim Head of Corporate Finance

Appendices: -

- Appendix 1 Medium-Term Financial Plan (Council 25/02/15)
- Appendix 2 Updated Medium-Term Financial Plan 2016/17 to 2018/19
- Appendix 3 Schools Medium-Term Financial Plan 2016/17 to 2018/19
- Appendix 4 2016/17 Draft Savings Proposals – Whole Authority
- Appendix 5 2016/17 Draft Savings Proposals – Corporate Services
- Appendix 6 2016/17 Draft Savings Proposals – Social Services & Public Protection
- Appendix 7 2016/17 Draft Savings Proposals – Education & Community Services
- Appendix 8 2016/17 Draft Savings Proposals – Econ Dev, Regen & Planning and Housing
- Appendix 9 2017/18 Draft Savings Proposals

**Medium-Term Financial Plan 2016/17 and 2017/18**

**Council 25/02/15**

Description	2016/17 £m	2017/18 £m
Aggregate External Finance (AEF)	(8.784)	(8.491)
Council Tax @ 2.35%	1.598	1.642
<b>Total Funding</b>	<b>(7.186)</b>	<b>(6.849)</b>
Pay 1.0%, 1.0%, 1.0%	1.131	1.131
Living Wage (assumes "pledge" funds schools)	0.164	0.164
Non-Pay Inflation (1.5% p.a.)	1.672	1.672
Non-Pay Inflation (1.5% p.a.) - Fees and Charges	(0.240)	(0.240)
Capital Financing	0.150	0.150
<b>Sub-Total</b>	<b>2.877</b>	<b>2.877</b>
<b>Service Pressures/Additional Funding</b>		
CTRS Additional Liability @ 2.35%	0.339	0.347
Welfare Reforms LA Costs	0.100	0.100
Schools "Pledge"	0.628	0.632
Social Services Demographics	1.000	1.000
Employer NI Increase (April 2016) - Excludes schools	1.600	0.000
Other Service Pressures	0.300	0.300
<b>Sub-Total</b>	<b>3.967</b>	<b>2.379</b>
<b>Total Shortfall</b>	<b>14.030</b>	<b>12.105</b>

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**APPENDIX 2**

**Updated Medium-Term Financial Plan 2016/17 to 2017/18**

**Cabinet 14/10/15**

<b>Description</b>	<b>2016/17 £m</b>	<b>2017/18 £m</b>	<b>2018/19 £m</b>
Aggregate External Finance (AEF) -4.3%. -4.3%, -3%	(11.339)	(10.851)	(7.245)
Council Tax @ 3.90%	2.588	2.702	2.821
<b>Total Funding</b>	<b>(8.751)</b>	<b>(8.149)</b>	<b>(4.424)</b>
Pay 1.0%, 1.0%, 1.0%	1.165	1.177	1.189
Living Wage (assumes pledge funds schools)	0.109	0.111	0.114
Employer NI Increase (April 2016) - Excludes schools	1.815	0.000	0.000
Non-Pay Inflation 0%, 0%, 1.5%	0.000	0.000	1.668
Non-Pay Inflation (1.5% p.a.) - Fees and Charges	(0.218)	(0.221)	(0.224)
<b>Sub-Total</b>	<b>2.871</b>	<b>1.067</b>	<b>2.747</b>
<b>Service Pressures/Additional Funding</b>			
CTRS Additional Liability @ 3.90%	0.571	0.593	0.616
Schools Pledge	0.628	0.632	0.636
Social Services Cost Pressures Contingency	1.500	1.000	1.000
<b>Sub-Total</b>	<b>2.699</b>	<b>2.225</b>	<b>2.252</b>
<b>Total Shortfall</b>	<b>14.321</b>	<b>11.441</b>	<b>9.423</b>

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### APPENDIX 3

#### Schools Medium-Term Financial Plan 2016/17 to 2018/19

	<u>2016/17</u> <u>£m</u>	<u>2017/18</u> <u>£m</u>	<u>2018/19</u> <u>£m</u>
Funding to meet the "pledge"	<b>0.629</b>	<b>0.632</b>	<b>0.636</b>
<b>Inflationary Pressures</b>			
Pay award - teachers (1%, 1%, 1%)	0.672	0.684	0.691
Pay award – APT&C (1%, 1%, 1%)	0.121	0.122	0.123
Non-pay (0%, 0%, 1.5%)	0.000	0.000	0.283
Superannuation (2.3% increase from 01/09/15)	0.589	0.000	0.000
NI increase – Contracted-out staff	1.680	0.000	0.000
<b>Service Pressures</b>			
Premises related changes (i.e. floor area) & FSM	0.220	0.160	0.160
Demographic increase	0.120	0.120	0.120
<b>TOTAL PRESSURES</b>	<b>3.402</b>	<b>1.086</b>	<b>1.377</b>
Less "pledge" monies	0.629	0.632	0.636
<b>Projected Shortfall</b>	<b>2.773</b>	<b>0.454</b>	<b>0.741</b>
<b>Percentage Reduction in Total Budget</b>	<b>2.92%</b>	<b>0.49%</b>	<b>0.81%</b>

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**2016-17 Draft Savings Proposals - Whole Authority**

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
All Authority	All Authority	General Savings	Savings that have no direct impact on the public	1,230		Nil
Miscellaneous Finance	All Authority	General Savings	Savings that have no direct impact on the public	1,466		Nil
			<b>Total</b>	<b>2,696</b>		

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### 2016-17 Draft Savings Proposals - Corporate Services

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
Corporate	All	General Savings	Savings that will have no direct impact on the public	1,583		Nil
Corporate	Corporate Finance	CF01	Council Tax - increase in court fees.	23	This will be achieved through a circa 8.5% increase in fees. The increased charge will be paid by individuals whose Council Tax arrears are passed to the courts.	Low
Corporate	ITCE	ICE22	Customer Services - Further reduction in Customer Services opening hours.	52	Close Customer Service Centres for one day a week on a rolling basis, enabled by further channel shift to digital services & less face to face customer contact.	Low
Corporate	ITCE	ICE26	Customer Services - Cease mobile Customer Service Centre.	70	Cease to operate Mobile Customer Services Centre, savings on staff resource and vehicle operating cost savings. Footfall is currently very low.	Low
Corporate	Legal	LG08	Policy - Reduce voluntary organisation budget.	30	This budget has not been reduced to date and this proposal represents an 8.7% cut from October 2016.	Low
Corporate	Perf & Prop	PRP08	Closure of 50 worse condition buildings	15	Ongoing exercise to dispose of 50 worse council properties, based on condition, costs etc. Savings will be delivered over more than one financial year.	Low
Corporate	Perf & Prop	PRP09	Transfer of Blackwood Customer First lease.	16	Lease to be transferred to Housing Revenue Account (HRA) and premises to be used as Area Housing Office. There may be some minor inconvenience to the public in the early stages of the move.	Low
			<b>Total</b>	<b>1,790</b>		

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**2016-17 Draft Savings Proposals - Social Services & Public Protection**

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
Soc. Serv.	Social Services & Public Protection	General Savings	Savings that will have no direct impact on the public	1,633		Nil
Soc. Serv.	Pub. Prot.	PP08	Introduce charge to Schools for the setting up of sandwich places.	174	This is currently provided free of charge to schools and under this proposal schools will be charged for the service. Schools may choose to make their own arrangements for sandwich place settings in which case the Catering Service will be able to reduce staffing hours and still realise a saving.	Low
Soc. Serv.	Pub. Prot.	PP14	General Enforcement.	20	Reduction of one post in the Team. This may lead to potential delays in specific investigations.	Low
Soc. Serv.	Pub. Prot.	PP15	Rat Treatment Fees.	20	This proposal would introduce a charge for rat treatments. Rat treatments in domestic premises are currently undertaken free of charge. A charge of £20 is proposed.	Low
Soc. Serv.	Pub. Prot.	PP21	Increase Registration Fee charges.	10	Increase in ceremony fees in line with cost of providing the service.	Low
Soc. Serv.	Pub. Prot.	PP22	Removal of Trading Standards Officer post	45	Retirement of Senior Trading Standards Officer, backfill from within service resulting in loss of Trading Standards Officer post.	Low
Soc. Serv.	Pub. Prot.	PP24	Reduce the levels of CCTV staff cover for certain shifts	18	Reduce all CCTV day shifts to single staffing and reduce 50% of evening shifts from 3 to 2 operators.	Low

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
Soc. Serv.	Soc. Serv.	SS05	Commissioned Assessments and Therapies - Reduce budget.	50	Attachment Therapies, Post Adoption Support and Life Story work will cease. Court ordered assessments will need to be prioritised including parenting capacity and drugs testing.	Low
Soc. Serv.	Soc. Serv.	SS10	Reduce Independent Foster Agencies by 10 placements over 2 years.	150	Reduce total number of placements with independent foster care agencies by 5 each year through early intervention and prevention.	Low
Soc. Serv.	Soc. Serv.	SS14	Decommission Care & Repair (Safety at Home) Contract.	12	Loss of service would impact on potential future service users who would be required to fund their own provision via the handyman scheme.	Low
Soc. Serv.	Soc. Serv.	SS15	Decommission GAVO contract.	5	This represents the Social Services contribution to the Council's grant.	Low
Soc. Serv.	Soc. Serv.	SS23	Domiciliary Care (Extra Care Plas Hyfryd and Cefn Glas) – Review levels of support.	18	Review the proportion of service users with high, medium or low needs that are accommodated at these facilities so that the overall level of support can be reduced. Both establishments have vacancies and no waiting lists.	Low
Soc. Serv.	Soc. Serv.	SS24	Domiciliary Care - Review care packages provided by independent sector providers against monitoring information.	160	Review existing care packages in light of actual care received by service users. Impact on service users and carers should not be evident.	Low
Soc. Serv.	Soc. Serv.	SS26	Domiciliary Care Client Income - Realign budget to reflect outcomes from Members Task & Finish Group.	150	Continue to implement the above inflation increases in charges for non-residential care already approved by Members.	Low
Soc. Serv.	Soc. Serv.	SS34	Externally commissioned Respite Care for older people and adults with physical disabilities.	15	Reduce levels of Respite Care provided through working with people differently. This could impact upon carers if alternatives are not found.	Low

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
Soc. Serv.	Soc. Serv.	SS35	Equipment & Adaptations.	100	Implementation of a new funding formula already agreed by the Management Advisory Board will achieve part of this saving. A reduction in the range of equipment provided will reduce logistic costs. People will be expected to purchase some items of equipment themselves.	Low
Soc. Serv.	Soc. Serv.	SS38	Meals on Wheels – Increase in charge of 50p per meal.	44	May result in a decrease in uptake which could impact on the long-term sustainability of the service.	Low
Soc. Serv.	Soc. Serv.	SS42	Office Accommodation Rationalisation.	50	Rationalisation of the office bases used by Social Services in response to reductions in the workforce resulting from other MTFP proposals.	Low
Soc. Serv.	Pub. Prot.	PP01	Increase price of school meals by 10p from Sept 2016 i.e. from £2.15 to £2.25 (Secondary).	24	This will increase expenditure to the parent by 50p per week per child in the family. However, CCBC has one of the lowest costs for a school meal. This will not impact upon those in receipt of free school meals.	Medium
Soc. Serv.	Pub. Prot.	PP03	Increase price of school meals by 10p from Sept 2016 i.e. from £1.90 to £2.00 (Primary).	28	This will increase expenditure to the parent by 50p per week per child in the family. However, CCBC has one of the lowest costs for a school meal. This will not impact upon those in receipt of free school meals.	Medium
Soc. Serv.	Pub. Prot.	PP18	Deletion of 1.5 Environmental Health Officer Posts - Pollution Team	67	A reduction in the Team from 5 to 3.5 will impact on response times and the ability to run a service during times of annual leave or other absence. There is potential for impact on all service users including members of the public and other Council services e.g. Planning & Licensing.	Medium

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
Soc. Serv.	Pub. Prot.	PP23	Provide CCTV service in main town centres only.	4	The saving will be achieved in maintenance and power costs. Village and smaller town cameras tend to record fewer incidents of crime and disorder as there is less activity in those areas. However the system does provide a deterrent effect. Cameras were located in such areas as a response to crime and anti-social behaviour that may no longer be prevalent.	Medium
Soc. Serv.	Soc. Serv.	SS11	Decommission Age Concern Hospital Discharge contract.	47	Services would not be provided for low level need to facilitate discharge from hospital e.g. shopping as this is no longer provided by the Authority.	Medium
Soc. Serv.	Soc. Serv.	SS12	Decommission DEWIS Advocacy Contract (Residential Homes).	55	Loss of service would impact on people currently accessing the service. However, there are other advocacy services available that could be commissioned on an individual basis if required.	Medium
Soc. Serv.	Soc. Serv.	SS13	Decommission 2 Luncheon Club contracts.	11	Loss of service would impact on people currently accessing the service if provision was reduced or terminated.	Medium
Soc. Serv.	Soc. Serv.	SS16	Decommission Stroke Association contract.	17	Loss of service would impact on people who could access the service in future. However, funding from the Intermediate Care Fund has been utilised to develop an Early Supported Discharge Scheme for people suffering from strokes.	Medium



Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
Soc. Serv.	Soc. Serv.	SS18	Reduce Crossroads Advocacy contract by 20%.	13	Some of the savings could be achieved by efficiencies within the voluntary organisation but more likely to result in a contraction of service provision. Loss of service could impact on people currently accessing the service and their Carers. Other advocacy services do exist and could be commissioned on an individual basis if required.	Medium
Soc. Serv.	Soc. Serv.	SS19	Domiciliary Care - Provide domestic support in exceptional circumstances only.	153	Cease to provide domestic support to clients unless there are exceptional circumstances. Reviews will be undertaken with all existing service users to identify alternatives.	Medium
Soc. Serv.	Soc. Serv.	SS20	Domiciliary Care - Provide laundry service in exceptional circumstances only.	138	Cease to provide a laundry service unless there are exceptional circumstances. Reviews will be undertaken with all existing service users to identify alternatives.	Medium
Soc. Serv.	Soc. Serv.	SS21	Domiciliary Care (Sitting Services) - Cease provision of night sitting for new users unless exceptional circumstances and reduce budget by 20%.	75	Where there are exceptional circumstances this will be covered by the Emergency Care at Home Team. Existing night services to remain and taper off. Assessment & Care Management Staff will work with carers to identify different solutions using their existing networks. Potential impact on carers in terms of development of waiting lists or reduction in levels of service provided.	Medium
Soc. Serv.	Soc. Serv.	SS32	Day Care and Day Opportunities Services - Review of discretionary service provision.	250	Further rationalisation of bases, hours of operation and potential cessation of some services. Some service users will need to be re-located.	Medium

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
Soc. Serv.	Soc. Serv.	SS33	Respite Care - Reduce number of Learning Disability establishments from 2 to 1 and reduce the overall number of respite care nights provided.	76	Close 1 of the 2 Council owned Respite homes and provide a reduced number of respite nights overall. This could impact on families/carers and result in more long-term placements if alternatives not established.	Medium
Soc. Serv.	Soc. Serv.	SS36	Supported Living – Externalisation of in-house provision.	109	No longer provide direct care support in the 7 Supported Living homes that are currently staffed by Social Services employees and commission the care from the Independent sector instead. Service users could experience a change in staff, although TUPE Plus would apply.	Medium
Soc. Serv.	Pub. Prot.	PP12	Reduce operational Breakfast Clubs costs by 1 hour of staffing per day.	60	Staffing hours would be reduced by 1 hour in all Breakfast Clubs.	High
Soc. Serv.	Pub. Prot.	PP27	Reduce Community Safety Warden Service.	40	Withdrawal of the service on a Sunday or cutting the service to the late shift only. This would involve a reduction in hours of existing staff and/or a reduction in posts. Staffing complement would need to reduce from 9 FTE's to 7.6 FTEs.	High
Soc. Serv.	Soc. Serv.	SS03	Blackwood Resource Centre - Review care packages and demand trends to identify further efficiency savings.	50	Will need to ensure that social work assessments are proportionate and limit the use of the Centre to those with no other alternative.	High
Soc. Serv.	Soc. Serv.	SS04	Barnardo's Family Support & Young Carers Contracts.	50	Reduced support to families in need and young carers. Less support could result in family breakdown with increased numbers of children being placed on the child protection register or becoming looked after.	High

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
Soc. Serv.	Soc. Serv.	SS07	Review of Team structures within Children's Services.	77	This could result in children and young people being left vulnerable and at risk with increased numbers placed on the child protection register or becoming looked after.	High
			<b>Total</b>	<b>4,017</b>		

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**2016-17 Draft Savings Proposals - Education & Community Services**

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Saving Description and Possible Public Impact	Public Impact Category
<b>Education &amp; Community Services</b>	<b>All</b>	<b>General Savings</b>	<b>Savings that will have no direct impact on the public</b>	<b>2,353</b>		<b>Nil</b>
Education & Community Services	C & L	CL04	Reduction in Allotment Grants to federations in former Islwyn & Rhymney Valley areas.	14	A reduced annual grant will be allocated to both federations, who manage allotments on behalf of the Authority.	Low
Education & Community Services	C & L	CL07	Further reduction in Playground Maintenance Budget.	9	There will be a reduced budget available to fund replacement and additional items of play equipment. There may be periods when play grounds are out of commission for longer periods than in previous years. Health and Safety responsibilities will be maintained.	Low
Education & Community Services	C & L	CL19	Removal of 5 additional posts in Cleansing and reconfiguration of staffing structure.	110	Deletion of posts. Minimal impact on cleansing standards.	Low
Education & Community Services	C & L	CL20	Introduction of Admin (Waste Transfer Note) charges for Commercial Waste customers.	20	This will only impact on commercial waste customers and is already charged by service competitors and many other Local Authorities.	Low
Education & Community Services	C & L	CL30	4% increase in Leisure Centre charges.	50	A further increase of 4% is also proposed for 2017/18.	Low
Education & Community Services	C & L	CL31	Changing the pricing structure for Caerphilly Adventures services.	18	A further increase is also proposed for 2017/18.	Low

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Comments	Public Impact Category
Education & Community Services	EDLL	EDLL04	Removal of the revenue budget for a 50% contribution to schools one-off maintenance projects.	329	A separate report will be prepared outlining a proposal to make a contribution to the cost of such works from LMS balances.	Low
Education & Community Services	EDLL	EDLL22c	Libraries - Book Fund reduction	55	Total Book Fund budget is currently £377k.	Low
Education & Community Services	Eng	Eng04	School Crossing Patrol Site reduction through necessary site assessments.	10	Ongoing application of national criteria to sites that become vacant via SCP resignation (average 4 sites per year). This approach is already established and has been applied for the last 18 months, therefore impact should be low i.e. at specific sites only.	Low
Education & Community Services	Eng	Eng10	Increase car park Excess Charge Notice from £30 to £40.	25	Amend the arrangements for issuing ECN's.	Low
Education & Community Services	Eng	Eng13	Reduce Traffic Management operational budget.	10	Reducing the revenue budget for Traffic Road Orders e.g. double yellow lines.	Low
Education & Community Services	Eng	Eng17	Community Response Team (CRT).	9	This will be achieved by reducing the programme of CRT works in CCBC and efficiencies in material supplies and procurement. The public may note slower response times to defect enquiries and a reduced amount of Streetscene works done by this Team.	Low

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Saving Description and Possible Public Impact	Public Impact Category
Education & Community Services	C & L	CL14	Bowling green rationalisation.	50	This will be achieved through the merger of some facilities and bowling clubs taking on an element of self-management, and where the Council continue to provide, a reduced maintenance regime will be agreed. If some facilities close, this will result in members of the public having to join/transfer their membership to existing clubs to enable their continued participation in the sport.	Medium
Education & Community Services	C & L	CL25	Transfer of Bedwas Leisure Centre to Bedwas High School.	50	Bedwas High School will be provided with a subsidy per annum to manage the facility in accordance with curriculum priorities. There may be some limited public usage. Any reduction in swimming provision can be mitigated through delivery programmes developed by Bedwas High School and Caerphilly Leisure Centre.	Medium
Education & Community Services	EDLL	EDLL21b	Review of Community Centres.	64	This will be subject to a report from a Task and Finish Group.	Medium
Education & Community Services	EDLL	EDLL20b	Community Education - Contribution to GAVO Play Programme.	20	Reduce budget to GAVO towards Summer/Play Programme. This will impact on the voluntary sector as funding is utilised for a post.	Medium
Education & Community Services	Eng	Eng12	Review of car parking charges.	50	Review of tariffs on all Council Pay & Display car parks, together with a review of locations.	Medium

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Saving Description and Possible Public Impact	Public Impact Category
Education & Community Services	Eng	Eng14	Reduce planned carriageway operational resurfacing budget.	50	This will be achieved by reducing the annual area of treatment. This may diminish the quality and resilience of the carriageway, which may lead to increased defects and potentially increased claims for damages/insurance challenges. A further saving of £50k is proposed for 2017/18.	Medium
Education & Community Services	Eng	Eng15	Reduce carriageway surface dressing budget.	100	This will be achieved by reducing the number of surface dressing treatments for deficient roads in CCBC. This may diminish the quality and resilience of the carriageway, which may lead to increased defects and potentially increased claims for damages/insurance challenges. A further saving of £200k is proposed for 2017/18.	Medium
			<b>Total</b>	<b>3,395</b>		



## 2016-17 Draft Savings Proposals - Economic Development, Regeneration & Planning and Housing

Directorate	Service	Ref. No	Savings Proposal	Saving 2016/17 £,000	Saving Description and Possible Public Impact	Public Impact Category
Ec. Dev & Reg.	All	General Savings	Savings that will have no direct impact on the public	280		Nil
Housing	All	General Savings	Savings that will have no direct impact on the public	116		Nil
Ec. Dev & Reg.	Ec. Dev & Reg.	ERP11	Pre-Planning Advice – Charging for service.	5	Householders will be charged a fee of £48.	Low
Ec. Dev & Reg.	Ec. Dev & Reg.	ERP18	Review of Events Budget.	17	Increasing fees and charges for stall holders. Possible reduction in stall holders but demand remains high.	Low
Ec. Dev & Reg.	Ec. Dev & Reg.	ERP19	Community Regeneration Fund - Reduce Budget.	20	10% reduction in Grants allocated. Possible impact as external bodies may have to look elsewhere.	Low
Housing	Housing	H05	Contribution to Care & Repair service.	10	Withdraw funding for Care & Repair operational running costs.	Low
Housing	Housing	H07	Cease payment for the Family Intervention Project (Housing Advice).	15	Removal of this funding whilst continuing to support the Valleys Inclusion Project will provide better value for money. Impact will be low due to the small number of families supported.	Low
Ec. Dev & Reg.	Ec. Dev & Reg.	ERP24	Evaluate options to reduce the deficit at Blackwood Miners Institute.	37	A review of the operating model for Blackwood Miners Institute will be undertaken. This review will deliver further savings in 2017/18.	Medium
Ec. Dev & Reg.	Ec. Dev & Reg.	ERP25	Evaluate options to reduce the deficit at the Winding House Museum.	34	A review of the operating model for the Winding House Museum will be undertaken. This review will deliver further savings in 2017/18.	Medium
			<b>Total</b>	<b>534</b>		

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**2017-18 Draft Savings Proposals**

<b>Directorate</b>	<b>Service</b>	<b>Ref. No</b>	<b>Savings Proposal</b>	<b>Saving 2017/18 £,000</b>
<b>All</b>	<b>All</b>	<b>General Savings</b>	<b>Savings that will have no direct impact on the public</b>	<b>3,025</b>
Corporate	ITCE	ICE23	Customer Services - Review feasibility of Pontlottyn Customer Services moving into Rhymney Library	8
Corporate	ITCE	ICE24	Customer Services - Close Newbridge cash office	8
Corporate	Legal	LG08	Policy - Reduce voluntary organisation budget	30
Corporate	Perf & Prop	PRP08	Corporate closure of 50 worse condition buildings	18
Soc. Serv.	Pub. Prot.	PP11	Catering - Reduce refuse collections to fortnightly	52
Soc. Serv.	Pub. Prot.	PP24	Reduce the levels of CCTV staff cover for certain shifts	18
Soc. Serv.	Soc. Serv.	SS10	Further reduction of 5 placements with Independent Foster Agencies	150
Soc. Serv.	Soc. Serv.	SS23	Domiciliary Care - (Extra Care Plas Hyfryd and Cefn Glas) – Review levels of support	18
Soc. Serv.	Soc. Serv.	SS24	Domiciliary Care - Review care packages provided by independent sector providers against monitoring information	160
Soc. Serv.	Soc. Serv.	SS34	Externally commissioned Respite Care for older people and adults with physical disabilities – Reduce levels of Respite Care provided	15
Soc. Serv.	Soc. Serv.	SS38	Charging for Meals on Wheels - Further increase of 50p per meal	44
Soc. Serv.	Soc. Serv.	SS42	Office Accommodation - 20% savings target as a result of downsizing Management, Fieldwork and Admin Structures	50

Directorate	Service	Ref. No	Savings Proposal	Saving 2017/18 £,000
Soc. Serv.	Pub. Prot.	PP01	Increase price of school meals by 10p from Sept 2016 i.e. from £2.15 to £2.25 (Secondary). Full-year impact of 2016/17 increase	24
Soc. Serv.	Pub. Prot.	PP02	Increase price of school meals by 10p from Sept 2017 (Secondary)	24
Soc. Serv.	Pub. Prot.	PP03	Increase price of school meals by 10p from Sept 2016 i.e. from £1.90 to £2.00 (Primary). Full-year impact of 2016/17 increase	27
Soc. Serv.	Pub. Prot.	PP04	Increase price of school meals by 10p from Sept 2017 (Primary)	28
Soc. Serv.	Pub. Prot.	PP17	Animal Trespass – Cessation of service	25
Soc. Serv.	Pub. Prot.	PP23	Provide CCTV service in towns Only	44
Soc. Serv.	Soc. Serv.	SS21	Domiciliary Care (Sitting Services) - Cease provision of night sitting for new users unless exceptional circumstances and reduce budget by 20%	75
Soc. Serv.	Soc. Serv.	SS32	Day care and Day Opportunities Services - Review of discretionary service provision	250
Soc. Serv.	Soc. Serv.	SS33	Respite Care - Reduce number of LD establishments from 2 to 1 and reduce overall number of nights respite provided	227
Soc. Serv.	Soc. Serv.	SS36	Supported Living – Externalisation of in-house provision	326
Soc. Serv.	Pub. Prot.	PP12	Reduce operational Breakfast Clubs costs by 1 hour of staffing per day	60
Soc. Serv.	Soc. Serv.	SS03	Blackwood Resource Centre - Review care packages and demand trends to identify further efficiency savings	50
Soc. Serv.	Soc. Serv.	SS04	Review of Barnardo's Family Support & Young Carers Contracts	50

Directorate	Service	Ref. No	Savings Proposal	Saving 2017/18 £,000
Soc. Serv.	Soc. Serv.	SS07	Review of Team structures within Children's Services	153
Education & Community Services	C & L	CL04	Reduction in Allotment Grants to federations in former Islwyn & Rhymney Valley areas	14
Education & Community Services	C & L	CL30	4% increase in Leisure Centre charges	50
Education & Community Services	C & L	CL31	Changing the pricing structure for Caerphilly Adventures services.	10
Education & Community Services	EDLL	EDLL22c	Libraries - Book Fund reduction	50
Education & Community Services	Eng	Eng04	School Crossing Patrol Site reduction through necessary site assessments	10
Education & Community Services	Eng	Eng05	Removal of School Crossing Patrol lunchtime service	40
Education & Community Services	Eng	Eng17	Community Response Team – Reduction in programme of works	10
Education & Community Services	Eng	Eng21	Introduce resident permit parking charge county-wide.	15
Education & Community Services	C & L	CL14	Bowling green rationalisation.	120
Education & Community Services	C & L	CL25	Transfer of Bedwas Leisure Centre to Bedwas High School	50
Education & Community Services	EDLL	EDLL20b	Community Education – Reduce contribution to GAVO Play Programme	30
Education & Community Services	Eng	Eng12	Review of car parking charges	80
Education & Community Services	Eng	Eng14	Reduce planned carriageway operational resurfacing budget	50

Directorate	Service	Ref. No	Savings Proposal	Saving 2017/18 £,000
Education & Community Services	Eng	Eng16	Street Lighting - further roll-out of new energy saving technology	100
Education & Community Services	Eng	Eng15	Reduce carriageway surface dressing budget.	200
Education & Community Services	C & L	CL32	Closure of Pontllanfraith Leisure Centre	70
Education & Community Services	EDLL	EDLL02b	Home to School / College Transport - Hazardous Routes	53
Education & Community Services	EDLL	EDLL02c	Home to School / College Transport - Statutory Distance	146
Education & Community Services	EDLL	EDLL02d	Home to School / College Transport - Post 16	438
Education & Community Services	EDLL	EDLL22d	Libraries – Review of Library Link service	80
Education & Community Services	Eng	Eng07	Public Transport – Review of existing services	115
Ec. Dev & Reg.	Ec. Dev & Reg.	ERP18	Review of Events Budget	17
Housing	Housing	H05	Withdraw funding for Care & Repair operational running costs	10
Ec. Dev & Reg.	Ec. Dev & Reg.	ERP24	Evaluate options to reduce the deficit of Blackwood Miners Institute	111
Ec. Dev & Reg.	Ec. Dev & Reg.	ERP25	Evaluate options to reduce the deficit at the Winding House Museum	102
			<b>Total</b>	<b>6,930</b>