POLICY AND RESOURCES SCRUTINY COMMITTEE – 1ST OCTOBER 2019

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

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

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1. PURPOSE OF REPORT

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

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

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

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

2. SUMMARY

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

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

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

2.4 The Council continues to maximise use of its information resources to benefit service delivery in a time of shrinking public funds, rapid technological change and greater collaborations with other partners. An Information Governance work programme has been developed to realise the ambitions of the Council's new Customer and Digital Strategy, and key aspects of the work programme are referenced in this report.

2.5 This environment presents exciting opportunities, but fast change presents greater risks to information than ever. The Council must manage this risk effectively to avoid losing the trust of service users and financial penalties for breaches of data protection legislation, which was reformed in May 2018 and provides greater protection than ever before. This report will outline key steps taken to reduce information risk, including activity listed in the Information Governance work programme.

2.6 Freedom of information and other information access rights continue to be served by the Council, and this report provides data on volumes of requests and how they are handled.

3. RECOMMENDATIONS

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

4. REASONS FOR THE RECOMMENDATIONS

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

5. THE REPORT

PROGRAMME FOR PROCUREMENT (2018-2023)

5.1 The Programme for Procurement defines what is meant by Procurement and our current capability status following the last Welsh Government Fitness Check undertaken in 2014. It details a clear structure for Leadership and Governance and highlights the tools that facilitates the discipline within the Council. Please refer to **Appendix 1** for a copy of the Programme for Procurement ('Programme').

5.2 The Programme has four (4) strategic themes that supports the Council's Well Being Objectives and the Wellbeing and Future Generations (Wales) Act 2015, namely Culture, Economics, Environment and Social.

5.3 Each theme is supported by a number of strategic goals, which tackles critical areas such as sustainability, fair payment, social and economic regeneration, carbon reduction and reduction of plastics within the supply chain. The Programme details how the Council will endeavour to achieve the goals by specific timescales. A five (5) year timescale was set for the delivery of the Programme; however, a number of key goals are far reaching and may well take the Council beyond 2023. In addition, the Council signed up to the Code of Practice: Ethical Employment in Supply Chains in November 2017 ('CoP'). The Programme supports the principles set out within the CoP. Key Performance Indicators (KPIs) have been developed and incorporated within the Programme to demonstrate how effectively the Council is achieving against the goals. Please refer to **Appendix 2** for an update on the latest KPIs, supporting narrative and case studies.

5.4 Officers from Procurement have been instrumental and play an active role within the Public Services Board, WLGA and Regional Heads of Procurement Forums together with a number of other public sector procurement agencies across Wales. Caerphilly Officers are working with the WLGA and other Councils across Wales to jointly determine the future strategy and delivery arrangements for Local Government procurement collaboration in Wales. “Investing in Local Government Procurement to Deliver for Future Generations”. The Information and Procurement Manager is currently the lead on the Public Services Board, Procurement Delivery Group, Deputy Chair to the WLGA all Wales Procurement Network and the South East Wales Procurement Group. Officers within Procurement and the wider Customer and Digital Services are currently supporting Welsh Government’s education technology programme, which will be the subject of a future report.

5.5 Close working relationships will continue with colleagues within regeneration, business support and Caerphilly business forum to further explore opportunities for local businesses and SMEs. Jointly run business networking events that cover business funding and procurement opportunities have been undertaking with further events planned over the coming months. These networks and relationships will be important moving forward as the Council further develops sourcing strategies that considers aspects such as supply voids, foundational economy and social value initiatives.

5.6 Delivery of the Programme will be priority for the next twelve (12) months with key areas such as centralised invoice payments, no order no payment, sustainability and alternative delivery models being explored. Procurement will be seeking opportunities to lead on collaborative arrangements via WLGA and other forums to become a ‘centre of excellence’ for specific commodities. This will bring challenges in relation to future resourcing and particular expertise but this will also be a huge opportunity with the ability to generate income.

5.7 Continued efforts to expand the use of electronic invoicing across the supply base in anticipation of forthcoming regulation mandating this within the Public Sector (in April 2020). This is a key challenge due to the fact that the authority still operates a decentralised invoice payment model. This will need to be reviewed in 2019. Contract visibility is proving a challenge therefore Officers will embark on a training programme to ensure Officers across the Council input contracts within the Contracts Management Module in line with policies and procedures.

5.8 To ensure we are able to monitor contractor commitment to social clauses we aim to adopt an appropriate recording and monitoring system that ensures where social benefits are being included in contracts they are being delivered e.g. TOMS methodology (or equivalent). This is also being discussed collaboratively with Welsh Government and WLGA Heads of Procurement Network.

5.9 The Council’s approach to reviewing long term contracts is to challenge terms and conditions where appropriate with a view of reducing the cost of the provision and understanding the risk associated.

5.10 Due to the number of key projects and initiatives within Customer and Digital Services an Officer has been identified as a dedicated resource for programme and project management. Aspects of the Programme for Procurement will be incorporated within the plan to be agreed in due course.

6. INFORMATION GOVERNANCE

MAXIMISING INFORMATION ASSETS

6.1 The Council's new Customer and Digital Strategy harnesses opportunities for change to benefit service delivery. One of the strategic themes is leadership, and this involves a focus on information use, privacy and security. An Information Governance work programme has been developed to realise these ambitions.

6.2 The Information Governance work programme aims to achieve stakeholder confidence in the Council's use of information, integration of data to improve the customer experience, effective management of records to support services, compliance with information rights legislation, proactive use of data to enhance decision-making, and will foster re-use of data assets internally and externally.

6.3 The experienced Information Governance Stewards across all service areas have a pivotal role to play, led by the Information Governance Unit, in supporting their Heads of Service (in their capacity as Information Asset Owners) to make best use of valuable information assets.

MINIMISING INFORMATION RISK

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

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

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

6.5 The Information Risk Management process continues to provide the Senior Information Risk Owner (SIRO) with timely information in order to assure the security of the Council's information in the Annual Governance Statement, and to identify areas for improvement.

6.6 Information risk management has been reinforced during 2019 with the IT security function now reporting to the Information Governance Manager, allowing for reciprocal learning and awareness raising across both teams, with strong links between Information Governance and Digital Services maintained under the leadership of the SIRO. The Council also achieved Cyber Essentials Plus, a Gold award in the IASME Governance standard, and renewed its ISO27001 accreditation for information security during 2019.

6.7 Mandatory eLearning on data protection for all staff and elected members together with awareness raising activities such as the Council's Go Digital events has led to increasing numbers of requests for advice from staff and elected members on how to handle personal information lawfully and transparently. Data Protection Impact Assessments (DPIAs) are becoming embedded in the Council's work processes, ensuring risks to privacy are considered and mitigated at the earliest possible stage, and providing evidence of the data protection principle of accountability. In addition, procedures, a Record of Processing activities, privacy notices and contracts continue

to be updated to ensure compliance with data protection legislation.

6.8 Reduction of information risk reduces likelihood of data breaches, but breaches do occur from time to time and the Council must identify them immediately and take action to try to prevent negative consequences for data subjects and to report to the Information Commissioner breaches that meet the statutory threshold for self-reporting. All data breaches, no matter how minor, are investigated so that trends can be monitored and steps can be taken to improve working practices.

6.9 Records Management that complies with the section 46 Statutory Code of Practice under Freedom of Information legislation is the bedrock upon which reduction of information risk rests. The Records Management team has been reinforced, and is focusing attention on rationalising the council's information holdings in all formats (hard copy and electronic), as well as maintaining information asset registers that will encourage re-use of Council information assets.

6.10 2018 saw the introduction of a one (1) year Information Governance service level agreement (SLA) with schools, with the Council's DPO performing a contracted function for all Council schools. The SLA was welcomed by all schools, and all schools except one agreed to sign up to a further three (3) year SLA to 2022 to enable time for focused attention on each school.

ACCESS TO INFORMATION RIGHTS

6.11 Freedom of Information and other information access rights continue to be served by the Council, and this report provides data on volumes of requests and how they are handled for the 2018 calendar year and the first half of 2019.

6.12 Engineering and Transport, Public Protection and Corporate Finance received the most Freedom of Information requests during the period; please refer to **Appendix 3** of this report. Social Services and Education also receive a substantial number of requests compared to other service areas. Number of requests has increased again each year, continuing previous trends, which is challenging for service areas to address. The Council achieved 84% compliance in the 2018 calendar year with the statutory 20 working days for response, and 81% compliance in the first half of 2019; please refer to **Appendix 4** of this report. Note that these percentages differ from those reported to Performance Management Unit (PMU), as PMU calculates performance cumulatively across quarters in a financial year, whereas this report calculates the average of each quarter in a calendar year. Discussions have taken place with all Directors and key managers at Senior Management Teams, as well as with Information Governance Stewards with a view to improving compliance across all services. Opportunities to utilise new technology to facilitate FOI responses are also being explored.

6.13 In 2018 77% of FOI requests were responded to in full, with a further 7% partially responded to, which is consistent with previous years; please refer to **Appendix 5** of this report. 10.5% requests were refused in full due to an exemption applying, and 2.8% were refused due to the time taken to respond exceeding the statutory fees threshold. In 2019, there are similar trends, with 72.6% FOI requests were responded to in full, and a further 9.8% responded to in part. 12.7% requests were refused in full due to an exemption applying, and 4.8% were refused due to the time taken to respond exceeding the statutory fees threshold.

6.14 The most common exemptions used are 'information accessible by other means', for example via a website or a local library; 'personal information of third parties', and 'information intended for future publication'; please refer to **Appendix 6** of this report.

6.15 Eleven (11) appeals were made to the Council on FOI in 2018. Appeals are considered by an appropriate senior officer, usually the Chief Executive. In 2018 one (1) appeal was upheld, three (3) partly upheld, five (5) not upheld and two (2) ongoing. None were referred to the ICO. In the first half of 2019, fourteen (14) appeals have been made to the Council, with three (3) appeals upheld, two (2) partially upheld, seven (7) not upheld and two (2) ongoing. One (1) appeal was referred to ICO, the result of which is awaited.

6.16 People Management and Social Services continue to experience the largest volumes of data protection subject access requests (SARs) (see Appendix 2). The Council experienced a 46% increase in SAR requests received from 2017 to 2018 (see Appendix 4), which may be explained by the introduction of GDPR raising awareness of data subject rights amongst both staff and the public. 2019 is on course to also experience an increase in number of requests received.

7. ASSUMPTIONS

7.1 No assumptions have been made when producing this report.

8. LINKS TO RELEVANT COUNCIL POLICIES

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

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

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

9. WELL-BEING OF FUTURE GENERATIONS

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

10. EQUALITIES IMPLICATIONS

10.1 This report is for information purposes only, so the Council's full Equality Impact Assessment process does not need to be applied. The continued strengthening of the Council's Procurement and Information Governance arrangements will however benefit all Council stakeholders.

10.2 The Council provides FOI information in the format that the applicant requests and this combined with Welsh language responses to FOI requests made in Welsh contributes to compliance with the Council's Strategic Equality Objective 4 – Improving Communication Access and the Council's Welsh Language Standards Compliance Notice.

11. FINANCIAL IMPLICATIONS

11.1 There are no financial implications in relation to the Programme for Procurement.

11.2 In relation to Information Governance monetary penalties can be levied for data breaches of up to the equivalent of €20million or 4% of global annual turnover, in addition to compensation claims from people affected by data breaches.

11.3 Ongoing improvements to the Council's records management arrangements will require funds for secure disposal of hard copy records when they reach the end of their retention period. These funds are currently under consideration by appropriate Officers.

12. PERSONNEL IMPLICATIONS

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

13. CONSULTATIONS

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

14. STATUTORY POWER

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

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Appendices:

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

Caerphilly County Borough Council

Programme for Procurement 2018 - 2023

Culture Economic Environment Social

CAERPHILLY COUNTY BOROUGH COUNCIL
CYNGOR BWRDEISTREF SIROL
CAERFFILI

1. Introduction

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

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

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

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

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

2. Definition of Procurement

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

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

(1) Procuring the Future, 2006

3. Procurement Leadership and Governance Structure

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

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

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

Strategic Theme – Culture

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

Strategic Goals (what we want to achieve)	**Steps already taken towards strategic goal**	**What success looks like/will be measured by?**	**How to be achieved**	**When**
Officers will work within the principles of the Authority's Customer Service Standard for all customers	This is a new Standard to be adopted across the service area.	A uniform approach to servicing customer needs evidenced by annual customer survey scores. **Measurement:** by corporate score card.	Officer training and development. Standards to be embedded into the procurement processes Results monitored, measured and reported to SMT. Annual reviews	Implement December 2017. Yearly reviews.
3rd Party spend will be procured via National, Regional and local arrangements. Collaboration will be embraced where appropriate. Alternative delivery models considered when appropriate.	5 year procurement plan in place.. Use of collaboration where applicable and benefits are deliverable to the Authority. Limited outsourcing and partnering approaches in place.	An agreed Gwent programme for procurement which supports National, Regional and Local procurement. **Measurement** by corporate score card Authority wide spend analysis tools which reports spend activity. With annual reviews. Develop collaborative working models with external (third party providers) where appropriate. To develop areas such as Information transparency – data sharing with providers. A understanding of collaborative models options to create financial	All Wales programme for procurement. WLGA Sourcing strategy. Collaboration – Developing new models for integrating and partnering with external contractors and service providers. Fit for purpose contracting models The right model for the right environment	Start 2017 with Annual reviews 2025 Phased approach required resource risk and knowledge risk to the type of contracting required,

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

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

Strategic Theme – Economic

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

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

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

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

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

		Automatic payment process. **Measured** though service improvement plan and corporate score card KPI's	orders. Utilize systems to bring about automatic/lean payment systems.	

Strategic Theme – Environment

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

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

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

Strategic Theme – Social

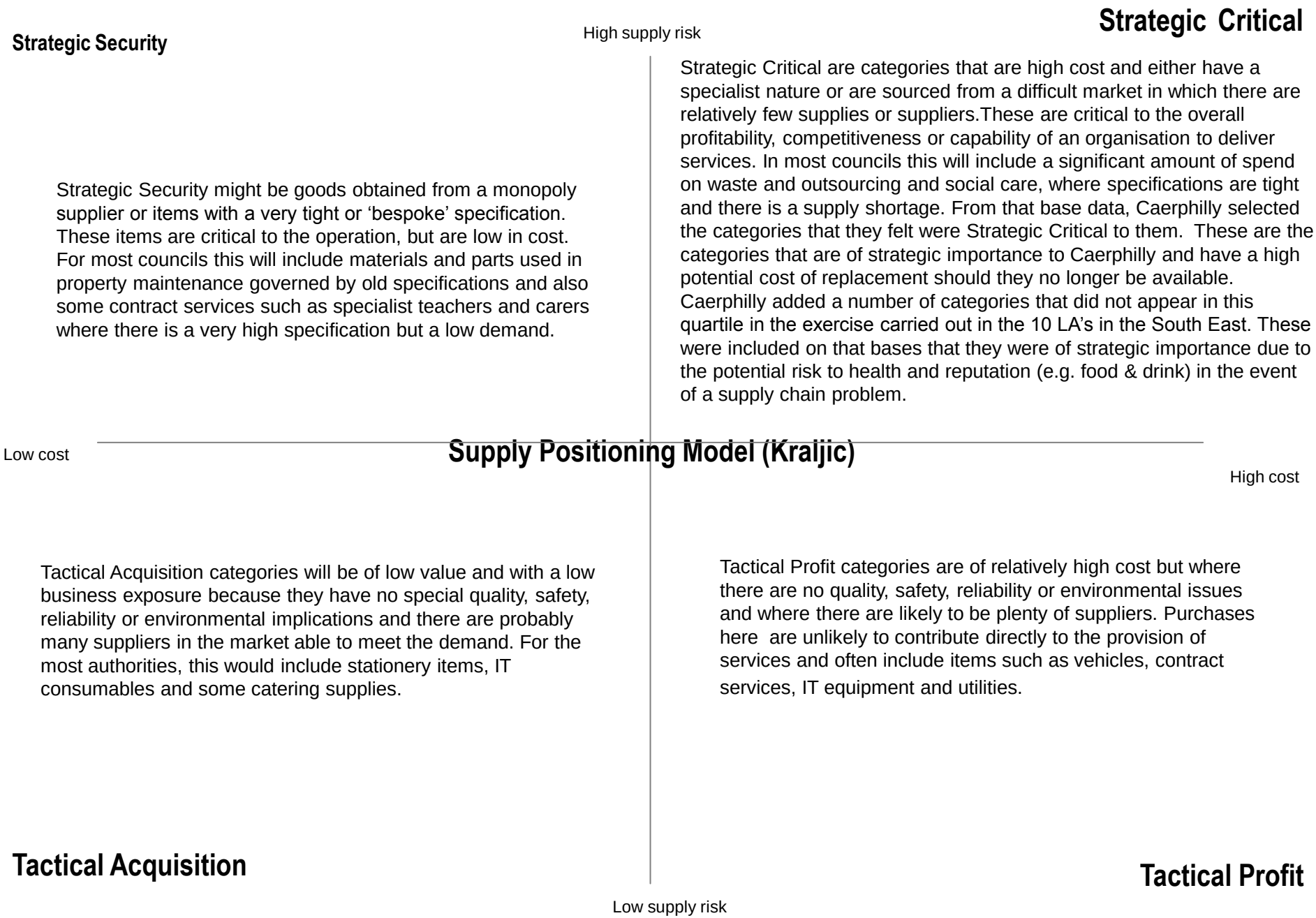
Strategy – The Council will use its procurement processes to foster positive social change where appropriate. The Council has adopted the Ethical Supply Chain Code of Practice and we will apply this to foster fair working conditions for all. In addition to this we will embrace all current and future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

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

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

Appendix A

Supply Positioning Model (Kraljic)



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

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

1. Demonstrate that the Principals of the Customer Service Standards are being met via Annual Customer Surveys

2. % of Annual Corporate Spend with Suppliers based:

    - Locally, Caerphilly Borough;
    - Regionally, Cardiff Capital Region City Deal;
    - within Wales.

3. % Corporate Spend Channelled through Collaborative Arrangements

4. % Contracts Tendered Electronically across the Council

5. Spend via Purchase Card

6. e-Invoicing – No. of Suppliers participating

7. e-Invoicing – Value of Transactions

8. No. Contracts that include Community Benefits and/or Social Value Clauses

    - Core Clauses in Contracts, Measured via National Themes, Outcomes and Measurers (TOMs) Framework (or equivalent);
    - Non-Core Clauses.

9. No. Suppliers signed up to the Welsh Government Code of Practice, Ethical Employment in Supply Chains

10. % of PDR's undertaken in Procurement

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

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

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

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

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

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

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

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

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

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

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

100% of PDRs undertaken in Procurement.

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

i. The main council offices in Penallta House has been awarded 'Surfers Against Sewage Plastic Free Champions' status and has also gained 'Plastic Free Approved Status.'

ii. CCBC has signed up to support the 'Refill Scheme', which encourages participating cafes, bars, restaurants, banks and other businesses to invite people to fill up their water bottles for free by downloading an App for their phone to identify where to Refill.

iii. The group along with the Town Centre Management Team is working closely with the local business community in main town centres to encourage more shops to sign up to plastic free commitments.

iv. The restaurant at Penallta House is encouraging customers to buy reusable cups and extra charges will be introduced in the near future for the purchase of drinks in non- reusable cups. Many plastic items have also been removed (spoons, bags, stirrers, forks, etc.) from the restaurant and across school kitchens.

v. Improved recycling facilities have been placed on each floor within the workplace for staff to increase their recycling activities (paper, food, plastics etc.)

vi. Attended meetings with local voluntary groups and town centre businesses to promote the work the Plastics challenge group are undertaking and see how we can assist them in taking their challenge forward so the whole authority benefits.

Appendix 2 – Case Studies

Maximising the Local Pound – S D James Construction Ltd

S D James Construction Ltd is a local SME based in Blackwood. The company was established in 2010 and is a family run business consisting of two Managing Directors – Simon and Desmond James.
S D James Construction Ltd specialises in all aspects of general building and was successful on being appointed onto the Councils Housing Repair Operations (HRO) arrangement – Lot 1 that was established off the Dynamic Purchasing System (DPS) for the Provision of General Builders. The purpose of the HRO arrangement is to support the Councils in-house workforce providing a planned and reactive maintenance service in relation to general building works.

HRO Total Estimated Framework Value: £6 million
HRO Framework Duration: 6 Years

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

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

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

Maximising the Local Pound – Lightning Solutions Wales Ltd

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

HRO Total Estimated Framework Value: £4 million

HRO Framework Duration: 4 Years

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

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

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

Maximising the Local Pound – Creobuild (UK) Ltd

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

Total Estimated DPS Value: £16 million
DPS Framework Duration: 3 Years

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

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

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

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

Maximising the Local Pound – E.ON Energy

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

Total Estimated Value: £1.9 million

Contract Duration: 18 Weeks

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

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

Maximising the Local Pound – Milk Contract

Woosnam Dairies is a local SME and traditional family owned dairy company, based in the Caerphilly Borough. Established in October 1978 by husband and wife Donald & Sian Woosnam, the company has gone from strength to strength to become one of the areas most popular independent retail dairies.

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

Total Estimated Value: £1.6 million
Contract Duration: 4 Years (3 Years Plus 1)

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

Appendix 3

Number of requests under the Freedom of Information Act and Environmental Information Regulations by directorate/service area involvement
Note that a single request can involve more than one directorate/service area

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

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

Appendix 4

Number of Subject Access Requests under data protection legislation by directorate/service area involvement
Note that a single request can involve more than one directorate/service area

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

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

Appendix 5

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

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

Appendix 6

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

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

Appendix 7

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

Appendix 8

Use of Exemptions (FOI) and Exceptions (EIR) Note that a single request can cite more than one specific exemption / exception as a reason for refusal	**Total 2016**	**Total 2017**	**Total 2018**	**1st Qtr 2018**	**2nd Qtr 2018**	**3rd Qtr 2018**	**4th Qtr 2018**	**Total 2019 to end qtr 2**	**1st Qtr 2019**	**2nd Qtr 2019**
For requests under the Freedom of Information Act, number which cited an exemption as a reason for refusal:										
S.(21) - Information provided by other means	60	81	82	16	28	20	18	53	31	22
S.(22) - Information intended for future publication	26	22	29	7	5	8	9	9	3	6
S.(23) - Information supplied by, or relating to, bodies dealing with security matters	0	0	0	0	0	0	0	0	0	0
S.(24) - National security	0	0	0	0	0	0	0	0	0	0
S.(26) – Defence	0	0	0	0	0	0	0	0	0	0
S.(27) - International relations	0	0	0	0	0	0	0	0	0	0
S.(28) - Relations within the United Kingdom	0	0	0	0	0	0	0	0	0	0
S.(29) - The economy	0	0	0	0	0	0	0	0	0	0
S.(30) - Investigations and proceedings conducted by public authorities	0	1	3	0	2	1	0	3	0	3
S.(31) - Law enforcement	10	5	7	4	0	0	3	1	0	1
S.(32) - Court records, etc	0	0	1	0	0	0	1	0	0	0
S.(33) - Audit functions	0	0	0	0	0	0	0	0	0	0
S.(34) - Parliamentary privilege	0	0	0	0	0	0	0	0	0	0
S.(35) - Formulation of government policy, etc	0	0	0	0	0	0	0	0	0	0
S.(36) - Prejudice to effective conduct of public affairs	0	0	0	0	0	0	0	0	0	0
S.(37) - Communications with Her Majesty, etc. and honours	0	0	0	0	0	0	0	0	0	0
S.(38) - Health and safety	0	0	0	0	0	0	0	0	0	0
S.(40(2)) - Personal information of third parties	24	25	24	3	8	5	8	18	9	9

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