

**CABINET: THURSDAY, 12 OCTOBER 2017 at 2.00 PM**

---

A Cabinet Meeting will be held in Committee Room 3, at County Hall on Thursday 12 October 2017 at 2.00 pm

---

**A G E N D A**

- 1 Minutes of the Cabinet meeting held on 21 September 2017 *(Pages 1 - 6)*

**Children & Families & Health, Social Care & Wellbeing**

- 2 Proposal to Develop a Regional Social Care Training Unit for Cardiff and Vale of Glamorgan *(Pages 7 - 84)*

**Children & Families**

- 3 Cabinet Response to the Children & Young People Scrutiny Report on Female Genital Mutilation *(Pages 85 - 90)*

**Education, Employment & Skills**

- 4 Developing the Education Estate in Cardiff *(Pages 91 - 106)*
- 5 Cabinet response to the Children and Young People's Scrutiny Committee report on School Term Times *(Pages 107 - 138)*

**Finance, Modernisation & Performance**

- 6 Electoral Reform in Local Government in Wales - Response to Welsh Government Consultation *(Pages 139 - 186)*
- 7 Annual Statutory Improvement Report *(Pages 187 - 262)*
- 8 Mental Health Policy and Mental Health Managers Guide *(Pages 263 - 302)*

**Housing & communities**

- 9 Acquisition of New Build Housing scheme at College Buildings, Courtenay Road, Splott for Council Housing *(Pages 303 - 342)*

**PAUL ORDERS**

Chief Executive  
6 October 2017

This page is intentionally left blank

**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**MINUTES**

---

CABINET MEETING: 21 SEPTEMBER 2017

---

|                          |  |
|--------------------------|--|
| Cabinet Members Present: | Councillor Huw Thomas (Leader)<br>Councillor Peter Bradbury<br>Councillor Susan Elsmore<br>Councillor Russell Goodway<br>Councillor Graham Hinchey<br>Councillor Sarah Merry<br>Councillor Michael Michael<br>Councillor Lynda Thorne<br>Councillor Chris Weaver<br>Councillor Caro Wild |
| Observers:               | Councillor Joe Boyle<br>Councillor Adrian Robson   |
| Also:                    | Councillor Ramesh Patel (Min nos 21 & 22)  |
| Officers:                | Paul Orders, Chief Executive<br>Christine Salter, Section 151 Officer<br>Davina Fiore, Monitoring Officer<br>Joanne Watkins, Cabinet Office  |

**20 MINUTES OF THE CABINET MEETING HELD ON 27 JULY 2017**

**RESOLVED:** That the minutes of the Cabinet meeting held on 27 July 2017 be approved

**21 TO RECEIVE THE REPORT OF THE ENVIRONMENTAL SCRUTINY COMMITTEE ENTITLED RESTORE OUR RIVERS**

Councillor Patel, the Chair of the Environmental Scrutiny Committee presented the report entitled Restore our Rivers. The report contained 20 recommendations and 140 key findings for Cabinet's consideration.

**RESOLVED:** that the report be received and a response be prepared for consideration at Cabinet by November 2017 if possible.

22     **TO RECEIVE THE REPORT OF THE ENVIRONMENTAL SCRUTINY COMMITTEE ENTITLED MANAGEMENT OF SECTION 106 FUNDING FOR THE DEVELOPMENT OF COMMUNITY PROJECTS**

The Chair of the Environmental Scrutiny Committee, Councillor Patel introduced the report entitled 'Management of Section 106 Funding for the Development of Community Projects'. The report contained a single process recommendation.

**RESOLVED:** that the report be received and a response be prepared for consideration at Cabinet by November 2017 if possible.

23     **CARDIFF ORGANIC WASTE TREATMENT CHANGE OF CONTRACTOR OWNERSHIP**

The Cabinet considered a report seeking authority to vary the Cardiff Organic Waste Treatment contract following the contractor's request for approval of a change in ownership. Cabinet were advised that the relevant pre-qualification questionnaire cheques had been undertaken.

**RESOLVED:** that, subject to (a) approval of the specific amendments to the contracts and ancillary documents (including but not limited to the IAA2) and consent being given pursuant to recommendation 2 below; and (b) approval by the Vale of Glamorgan Council,

1.     Agreement be given for the contract be varied to allow the contractor to seek consent, at the Council's absolute discretion, to a change in ownership
2.     Authority be delegated to the Assistant Director Commercial and Collaboration Services in consultation with the Cabinet Member Clean Streets, Recycling & Environment & Cabinet Member Finance, Modernisation & Performance to
  - a. Approve any specific amendments to the contract and ancillary documents (included but not limited to the IAA2);
  - b. If such is approved, provide any formal consent pursuant to the contract; and
  - c. To deal with any ancillary matters including but not limited to entering in to any associated deed of variation/s.

24     **REPLACEMENT OF THE RECYCLING AND WASTE COLLECTION**

***Appendix 2 of this report is exempt from publication pursuant to the provisions of Schedule 12A Part 4 paragraphs 14 and Part 5 paragraph 21 of the Local Government Act 1972***

A report seeking approval for a new procurement approach for the Recycling and Waste collection fleet was received. It was noted that the new fleet would need to provide long term flexibility and include vehicles for both domestic and commercial requirements as this was critical for efficient and cost effective

collection services and would need to be in line with the Council's sustainable development policy.

**RESOLVED:** that

- 1) the content of this report be noted
- 2) the extension of the current contractual arrangements with Gullivers Truck Hire Ltd be approved
- 3) the outlined procurement approach of the new recycling and waste collections fleet be agreed
- 4) the finalised procurement sign off be returned to the Cabinet for approval.

## 25 **SENIOR MANAGEMENT ARRANGEMENTS**

***During consideration of this item, Senior Officers (with the exception of the Chief Executive) were not present.***

The Cabinet received a report outlining proposals for consultation on an amended senior management structure which was in line with the Administration's priorities as outlined in Capital Ambition. The new model included a role at Corporate Director level which would oversee the integration of housing, social care and health strategies and address the service delivery and financial challenges of a growing city. A Chief Digital Officer was also proposed to ensure senior level leadership of the digital agenda. It was intended that the changes to the senior management structure would be cost neutral.

**RESOLVED:** that

1. the proposed remodelling of the Senior Management Team be approved on a provisional basis subject to the outcome of the consultation process.
2. a consultation period on the proposed model be approved to commence immediately following cabinet approval.
3. a further report be received in November which will provide confirmation of the model proposed and the process for change taking account of issues raised during the consultation process.
4. authority be delegated to the Head of Paid Service in consultation with the Leader and Cabinet Members to realign managers and support staff to the remodelled structure.

**26 2017-18 QUARTER 1 PERFORMANCE**

Cabinet received a report presenting the Council's performance report for quarter 1 2017-18 which provided a summary of the progress, key successes and challenges faced by directorates.

**RESOLVED:** that the current position regarding performance, the delivery of key commitments and priorities as at Quarter 1, and the action being taken to the challenges facing the Council be noted

**27 BUDGET MONITORING - MONTH 4 REPORT**

Cabinet received an update of the financial monitoring position for the Council based on the first four months of the year, including the projected outturn for 2017-18 compared with the budget approved in February 2017. It was reported that there was a projected overspend of £883,000 which reflected financial pressures faced by the Council and shortfalls in budget savings. It was noted that actions were being taken by directorates to resolve the position.

**RESOLVED:** that

1. the potential outturn position based on the first four months of the financial year be noted
2. the allocations from the Specific Contingency Budgets to the Economic Development, Communities, Housing & Customer Services and Social Services Directorates as set out in this report be noted
3. the requirement for all directorates currently reporting overspends as identified in the report to put in place action plans to reduce their projected overspends be reinforced

**28 FIRST CARDIFF LOCAL DEVELOPMENT PLAN ANNUAL MONITORING REPORT**

The Cabinet considered the first annual Monitoring report of the Local Development Plan. As this was the first monitoring report, it was noted that a short term position was provided and would act as a baseline for future comparative analysis in future monitoring reports. A revised version of the OB1 EC13 table was circulated.

**RESOLVED:** that the first Local Development Plan Annual Monitoring Report be endorsed for submission to the Welsh Government by 31<sup>st</sup> October 2017.

**29 ACTIVE TRAVEL INTEGRATED NETWORK MAP**

Cabinet considered the Active Travel Integrated Network Map for submission to the Welsh Government. The Map comprised a walking and cycling network map and included a schedule of schemes which have been subject to public consultation.

**RESOLVED:** that:

1. the Active Integrated Network Map (taking into account the outcome of the public consultation exercise) be approved and;
2. the submission of the Integrated Network Map to Welsh Government for approval, as set out in the report and appendices be authorised

This page is intentionally left blank



**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**CABINET MEETING: 12 OCTOBER 2017**

---

**PROPOSAL TO IMPLEMENT A CARDIFF AND VALE OF  
GLAMORGAN SOCIAL CARE REGIONAL WORKFORCE  
DEVELOPMENT TRAINING UNIT**

**CHILDREN & FAMILIES (COUNCILLOR GRAHAM HINCHEY)  
SOCIAL CARE, HEALTH & WELL-BEING (COUNCILLOR SUSAN  
ELSMORE)**

**AGENDA ITEM: 2**

---

**DIRECTOR OF SOCIAL SERVICES**

**Reason for this Report**

1. To seek approval to establish a regional Social Care Workforce Development Training Unit as outlined in this report.
2. To seek authorisation to implement the business model, approach and functions outlined in the Business Case for the Regional Workforce Training Unit, attached at **Appendix 1** of this report.
3. To seek approval to establish and recruit to the post of the Regional Manager for the regional Workforce Development Training Unit.
4. To seek a delegation of authority to the Director of Social Services in consultation with the Cabinet Members for Children and Families and Social Care, Health & Well-being, the Cabinet Member for Corporate Services and Section 151 and Monitoring Officers for all aspects of the Governance and any associated arrangements which may be required in relation to these proposals.

**Background**

5. Cardiff and the Vale of Glamorgan Cabinets, received a report in January 2017, seeking authority for a full Business Case to be developed for a regional Workforce Development Training Unit (WDTU) based on a fully integrated model. The Cabinets also agreed for Cardiff to lead on the development of the Business Case.
6. The Cabinet is reminded that it is the statutory responsibility of the Director of Social Services to maintain overall responsibility for not only Social Services workforce planning, training and professional

development but that of the wider Social Care Sector (including third sector partners and independent and private providers).

7. The vision for the Regional Care and Support Workforce Development Partnership (RWP), established in 2015, under the leadership of the Director of Social Services for Cardiff, is to raise standards and drive up the quality and skill level through effective workforce development. This enables those with Care and Support needs to achieve what matters to them. Its key aim is to enable the growth and development of an appropriately skilled and effective social care workforce.
8. With the implementation of the Social Services and Well-being (Wales) Act 2014 well under way, the next few years will require a robust approach to training and development as we respond to its demands and the scale of transformation of services that it brings. It will be increasingly important to be able to update and replenish our existing skill base. It is felt that the regional social care workforce and the Local Authorities Social Services workforce is best served by one regional WDTU and work undertaken within the context of the RWP, provides a firm foundation on which to build a regional WDTU.

### **Areas for Consideration**

9. This proposal does not include changes to the way that corporate training is delivered in both Local Authorities. However, the proposal recognises the need for continued synergy between social care training and corporate training arrangements. It is committed to ensuring that joint working with the corporate training arms of both Local Authorities continues to be a feature of the delivery of social care training across the region where ever it is practicable and appropriate to do so. As such, there is a commitment to strengthen and build upon established areas of joint working with corporate training teams, such as:
  - development of e-learning packages
  - delivery of manual-handling training
  - shared use of Learning Pool resource to advertise and booking training
  - sharing of training facilities

### **Benefits of a Fully Integrated Approach**

10. An Options Appraisal located at *Appendix A* of the January 2017 Cabinet Report identified the following as the preferred option:
  - **Option 4** - *The appointment of a Regional Training Manager hosted by one of the Local Authorities and the TUPE transfer of staff to the Host Local Authority so that all staff are employed by the same employer. Then restructure to create one team that covers the whole of the region.*
11. Sections 4.2 and 4.3 of the Business Case attached at **Appendix 1** summarises the six options that were considered and highlights the

reason that Option 4 was identified as the preferred model. The advantages of Option 4 are detailed in the bullet points below:

- It provides the best opportunity to consistently meet needs in a fair and equitable way, standardising practice across the region whilst also being able to respond to difference when the need arises.
- It offers a consistent approach to the sector irrespective of whether providers operate in Cardiff, Vale of Glamorgan or both Local authority areas. It is therefore best placed to promote the intentions of the RWP.
- the model provides the opportunity for staff to work at scale, using their current specialisms as well as providing opportunities to develop new specialisms in response to future needs / demands. It therefore makes best use of capacity and maximises resources.
- It provides an opportunity to stream-line the available funding across the region, administering it from one pot which will reduce duplication of efforts – particularly as the funding applications have to be submitted on a regional basis. This will enable the team to address current gaps by releasing capacity arising from the streamlining of processes that are currently administered separately in each Local Authority area.

## **Hosting Arrangements**

12. It is proposed that Cardiff Council host the regional WDTU. Both Directors of Social Services in Cardiff and the Vale of Glamorgan are supportive of this proposal for the following reasons:

- Cardiff has demonstrated a willingness to lead, evidenced by the work undertaken thus far to develop these proposals and to lead on the development of the RWD Partnership.
- Cardiff has capacity to lead and undertake the extensive work required to implement the new arrangements.
- The comparative size of the existing teams and the scale of the areas they currently cover, demonstrates Cardiff's experience of working at significant scale.
- Cardiff has a good track-record of delivering high quality staff training and development opportunities, with strong relationships with key partners / stakeholders.
- The Director of Social Services for Cardiff is the Regional Lead Director for Workforce Development and chair of the RWP Board, so already has a well-established role to play in workforce development across the region.

## Risks and How They Are Mitigated

13. Whilst the proposal has identified some risks related to the two Training Units coming together, these are mitigated to a level that is felt would not provide a significant threat to the success of this proposal. The risks are set out in detail in sections 4.6 and 4.7 of the Business Case but are summarised below:

- **There is a risk of Staff being displaced and there being a loss of expertise:** Both teams are currently holding a number of vacant posts. The streamlining of roles to reduce duplication may result in a very small number of posts being deleted and funding utilised to create new roles. However, it is expected that there will be no material loss in posts within the new arrangements and any staff members who are displaced are likely to have an opportunity to apply for vacant /new posts within the new regional WDTU or be slotted and matched where appropriate, if they wish to remain part of the new arrangements. We will also make sure that staff have sufficient notice of any changes to ensure that they have an appropriate lead in period to make any personal adjustments arising from the expected impact of the change.
- **There is a Risk that the wider Social Care Workforce in the Local authority areas may feel disconnected from a regional WDTU:** Robust communication with the social care sector regarding the development of a regional WDTU has been in place since the initiation of this piece of work. Therefore the sector has been part of the journey and is broadly supportive of the developments. The implementation of a RWP website accompanied by its own RWP branding has already provided the region with a fresh new identify for workforce development that has been positively received by all. New arrangements for a regional WDTU will strengthen this regional workforce identity whilst continuing to cater for local needs where it is appropriate to do so.
- **The social care workforce in the Vale of Glamorgan may feel it is more difficult to access training if Cardiff hosts the service:** Whilst it would be desirable to locate a regional WDTU in a single venue that is easily accessible for both the Cardiff and the Vale of Glamorgan workforce, it is not expected that such a venue will be easy to come by and it is unlikely that one will be in place to coincide with the implementation of a regional WDTU if this proposal is agreed. Therefore the proposal is based on the expectation that in its initial implementation phase at least, the current site is maintained in each Local Authority area, and that for the foreseeable future, team members operate on a regional basis from both sites according to need. This will provide some continuity / stability to staff as they move from one set of delivery arrangements to the new operational model for the regional

WDTU. It will also provide consistency and familiarity with the wider workforce and minimise disruption caused from training being delivered in a different Local Authority area.

- **The regional WDTU may not be able to meet the priorities of each Local Authority area in an equitable way:** Whilst there will be a need to ensure that the workforce priorities of both Local Authorities are met by the regional WDTU, the two training teams are used to having to balance competing priorities across Adults and Children's Services. Therefore, the need to address difference in a balanced and proportionate way is nothing new to the teams. Whilst this is likely to be demanding, the establishment of joint priorities already set out in the RWP's Strategic Plan will mitigate some of the challenge as many of the priorities that the regional WDTU will be required to deliver on are shared ones.
14. Both staff groups already undertake significant amounts of joint work and both are supportive of the proposals and understand the main drivers underpinning them. Staff teams have joined together for a number of development sessions which have contributed to shaping the proposals contained in the Business Case with each team being given equal weight in respect of the contribution they have made. It is expected that these joint working arrangements for engagement and consultation will set the scene for the delivery of a regional WDTU where both partners are treated equally and fairly and the needs and interests of both parties are balanced and appropriately recognised and met in the future.
  15. A **Partnership Agreement** that clearly sets out the governance arrangements for the regional WDTU will ensure that the interests of both Local Authorities are appropriately protected. Please see paragraphs 25-26 for further details.

## **Operational Structure and Proposed Functions**

16. It is proposed that the regional WDTU is headed up by a new Regional (Strategic) Manager with overall responsibility for Implementation of a Regional Workforce Development Programme, promoting joint working with Social Care Wales, across workforce development, service improvement and research, confirming approaches and building upon the many strengths that already exist in current arrangements. Social care Wales is the national workforce regulator and government improvement agency for Social services and Social Care in Wales. The post has been evaluated by Hay as an Operational Manager (OM) 2 grade. This senior manager will play a lead role in realising the expectations for the regional workforce set by the regulator, Social Care Wales.
17. Additionally the new post holder will be responsible for implementing and managing the regional WDTU to ensure effective planning and delivery of a training and development for Social Services employees as well as delivering an effective RWP that appropriately meets the current and future needs of the wider Social Care workforce. The manager will be required to provide a strategic lead on the development and

implementation of training policies, strategies, plans, processes, procedures and activities that are appropriate to, and meet current and future needs for social care workforce planning and development across the region. It is proposed that this post is established through the deletion of the existing Training Manager posts in both Cardiff & the Vale of Glamorgan. The draft Job Description and Person Specification for the post is located at Appendix D of the **Business Case** located at **Appendix 1** of this report.

18. The proposed service delivery model for the regional WDTU is based upon an understanding of current and future needs across the region. It reflects feedback from Training Unit staff and managers in Cardiff and the Vale of Glamorgan Councils and key stakeholders whose interests are represented on the RWP Board.
19. It is proposed that the new regional WDTU is structured around 4 core business functions:
  - Business Planning & Partnerships
  - Delivery & Commissioning of Training
  - Practice Learning Opportunities for Students
  - Qualification & Credit Framework (QCF) Assessment

A summary of the key components of these core functions is described in the overarching operational structure chart located at Appendix E of the **Business Case** located at **Appendix 1** of this report.

20. It is proposed that all existing staff will transfer to Cardiff as the Host on their existing terms and conditions. Human Resources will work with the service to manage the TUPE implications of the proposal.
21. However it is acknowledged that in order for the regional WDTU to operate successfully following its inception, changes will need to be made in relation to the way core functions are delivered, structure and staffing. In particular, it is acknowledge that initially the regional WDTU will be operating from two locations and a new staffing structure will be necessary in order to provide a unified, cohesive and efficient regional service. Therefore it is anticipated that once in post, the new Regional Manager will lead a restructure of current arrangements.
22. Gaps in current provision that will need to be addressed in the new arrangements are as follows:
  - Development of e-learning opportunities
  - Lack of data collection and analysis for workforce planning
  - A need to strengthen communication with the sector including updating and maintenance of the RWP web-site
  - Lack of capacity to strengthen engagement with the wider social care sector
23. Specific job roles may change in the new structure. However, where job roles change, but staff are matched to roles, existing terms and

conditions will be maintained. Where roles are substantially different, staff who apply for and are successful will be engaged on the Host's Terms and Conditions of employment. Any person appointed to a vacant position of the agreed new establishment post transfer will be employed by the Host and be appointed on the Host's terms and conditions of employment.

24. It is acknowledged that in addition to the creation of a Regional Manager post, arrangements for the direct line-management and supervision of posts that sit within each of the 4 core functions will need to be strengthened in order to enable the Regional Manager to have sufficient capacity to achieve an appropriate balance between strategic development work and operational duties.
25. There is expected to be no net loss of posts arising from the restructure and surplus funding arising from the deleting of posts that are no longer required in the new arrangements (because they duplicate roles) will be reinvested to support the creation of new roles to address identified gaps to meet future need.

### **IT Systems**

26. There are separate booking systems for Social Services staff and external providers in the Vale of Glamorgan (SDM) and Cardiff (DigiGov for internal staff and Learning Pool for external providers). Although Vale of Glamorgan Social Services staff use Learning Pool for e-learning training. It would be desirable for the regional WDTU to share IT systems so that there is one clear pathway for all Social Services staff in Cardiff and the Vale of Glamorgan and the wider social care workforce across the region to book training courses and maintain individual training records.
27. To support a smooth transition from current arrangements to a regional WDTU, with minimal amount of disruption to Social Services staff, it is proposed that the current arrangements for booking training are maintained and continue to operate alongside each other until work can be completed to identify a suitable solution to offering a fully integrated IT system across the region.
28. Currently, the training booking systems across the two Local Authorities work well alongside each other and the booking of training courses is easily accessible for Social Services staff and external social care providers. Therefore, a phased approach to this piece of work is not felt to be a barrier to delivering an integrated service across the region

### **Partnership Agreement**

29. In order to fully implement the proposals for the regional WDTU it is necessary for the Local Authorities to conclude a formal agreement, referred to as a 'Partnership Agreement'. This agreement, which will be drafted by Legal Services under the instruction of the Directorate, will amongst other things include the following details:

- The extent of the matters to be delegated, and any delegations to officers in the shared service;
  - The terms of reference and membership of the Management and Governance Boards;
  - The termination and exit provisions;
  - The structure of the regional WDTU, staffing proposals and pensions;
  - As to the apportionment of costs, and what indemnities the Host Authority would seek from the other authorities in respect of carrying out its role;
  - The financial management arrangements;
  - Provision to address matters such as disputes, variations, data protection and freedom of information
30. On completion of the Partnership Agreement, the Director of Social Services will be asked to authorise the approval and conclusion of the Partnership Agreement, following consultation with the Portfolio Members, and then if all are content, make the decision, detailed and recorded in an Officer Decision Report.

### Financial Arrangements and Governance

31. The budget for the regional WDTU is based on the current Social Care Wales Grant level and is within the current budget for workforce training and development across both Local Authority areas. It covers all of the functions that are in scope for the regional WDTU. **As such, it is expected that the establishment of the regional WDTU will be cost neutral to the Cardiff Council and the Vale of Glamorgan Council.** Current Financial Arrangements are set out in Section 6 of the **Business Case** located at **Appendix 1** of this report. The match funding arrangement means that it will not be feasible for the City of Cardiff Council to make savings in respect of this proposal. This is because to do so would prevent the Local Authority for claiming the 70% grant funding as it would take the Local Authority contribution below the required 30%. The same would apply to the Vale of Glamorgan Council.
32. To summarise, Cardiff Council receives an annual Grant from Social Care Wales to support its Social Care Workforce Development Programme (SCWDP). The value of the grant is **£756,670**, which has remained the same as 2016-17. The Council also provides 30%, match funding of **£324,287**. The value of the Grant for the Vale of Glamorgan is **£273,161** and the Council also provides 30%, match funding of **£117,069**. Additionally, Cardiff Council will receive a Facilitation Grant from Social Care Wales of **£57,034** to fund regional capacity and facilitate engagement, communication and joint working across the whole social care sector. The total regional SCWDP expenditure is **£1,528,221**, which comprises of **£1080, 957** for Cardiff and **£390,230** for the Vale of Glamorgan plus the regional Facilitation Grant.
33. At the time of writing this report, Social Care Wales is consulting on the future arrangements for the SCWDP Grant. It is proposed that it be



rebranded to be the *Social Care Wales Regional Workforce Development (SCWRWD) Grant* as it is felt that this more clearly describes that it is not one national development programme, but a grant to support social care workforce development in each region. It is intended that the Grant should support the full span of the workforce, in any type of setting or service, recognising that each regional will have its own priorities that focus on particular sub sets of the workforce annually. Social Care Wales is proposing that in the future the Grant should retain a 70% / 30% matched funding approach from the region. It is also acknowledged that there is a need to plan on more than a one year timeframe and as far as possible, the intention will be for Social Care Wales to maintain the Grant at the same level from year to year, although this is clearly dependent on the level of resource it receives from Welsh Government.

34. From April 2018, it is expected that the full SCWRWD Grant and the Facilitation Grant for the region will be payable to Cardiff Council as the Host authority. Arrangements will be made to recover the Vale of Glamorgan's match-funding contribution.
35. It is important to note that whilst the provision of a regional WDTU is expected to provide a more efficient use of available resources, the proposal is not driven by cost reduction. The key driver for the Business Case is the creation of an operational model that is most conducive to delivering high quality social care training that meets the changing needs of Social Services and the wider social care sector. As mentioned in paragraph 25, It is therefore proposed that funding released from the realignment of vacant posts will be reinvested to strengthen existing functions that are capacity light or develop new arrangements where gaps have been identified.
36. The Partnership Agreement referred to in paragraph 25 of this report, will set out, amongst other things, the apportionment of costs between partners and what indemnities the Host Authority would seek from the other partner in respect of carrying out its role and the financial management for the arrangements.
37. The Partnership Agreement will also confirm that the Host's Section 151 Officer shall ensure there are mechanisms in place to enable budgets to be managed in line with the available resources and any variations to the budget are identified as early as possible.
38. "One off" implementation costs, associated with the establishment of the regional WDTU, will be met from the SCWDP Grant funding for 2017-18.

## **Information Governance**

39. In order to facilitate the Partnership an Information Governance Memorandum of Understanding will be annexed to the Partnership Agreement. The Memorandum of Understanding will set out the roles and responsibilities of the participants in respect of Data Controllorship, Data Processing and the process for enacting the rights of individuals

under the current Data Protection Act and the forthcoming General Data Protection Regulation.

40. For the initial operation of the Partnership both Cardiff and the Vale of Glamorgan Councils will retain their existing information technology systems. Prior to the implementation of any new system, or changing the way that personal information is processed a Privacy Impact Assessment and a review of the Information Governance arrangements will need to take place by Cardiff Council.

### **Regional Workforce Partnership Governance**

41. The regional WDTU will develop the annual plan that sets out the strategic priorities for the RWP and will lead on workforce planning arrangements for Social Services and across the region's social care sector. As such, the regional WDTU it will take it's governance from the RWP Board whilst operating within line management structure of the Central Business Unit in Cardiff Social Services under the leadership of the Operational Manager, Strategy, Performance and Resources. Performance Reports will be taken to the RWP Board at agreed intervals on progress against the RWP's annual plan and workforce planning data and analysis will be presented to inform the future strategic direction of the RWP. A diagram that details the governance arrangements for the RWP is set out in Appendix D of the **Business Case** located in **Appendix 1** of this report.

### **Performance Framework**

42. An overview of the evaluation and performance management framework that will underpin the work of the regional WDTU is set out in section 7.4. of the **Business Case** located in **Appendix 1** of this report. It outlines a *Plan, Measure, Evaluate & Report Cycle* which is summarised below:
  - **Plan:** ensures national priorities are reflected in regional arrangements with provision for the local priorities of both LAs to be met if these are different from the regional priorities.
  - **Measure:** Measurement of the effectiveness will be underpinned by an outcome-focused quality assurance and improvement framework that comprises of key performance indicators, robust data collection and analysis and effective customer satisfaction arrangements.
  - **Evaluate & Report:** Evaluation and reporting arrangements will consider emerging best practice, effectiveness and impact, customer feedback and progress against and in addition to the annual plan. Outcomes will be reported on a quarterly basis through the governance structure.

### **Staff Consultation**

43. Social Services Training Unit staff have been engaged with the development of this proposal from the outset. Engagement has taken the form of discussions in team meetings, joint workshops with colleagues from Cardiff and the Vale of Glamorgan Social Care Training Team and

through the regular distribution of staff newsletters, keeping them updated on progress.

44. A regular dialogue with members of the RWP Board and Operation Groups has taken place at meetings and briefings have been undertaken with members of the two Social Services Management Teams.
45. A Survey Monkey Questionnaire went out to all Social Services staff and Manager and commissioned providers across the wider Social care Workforce in July 2017 seeking their feedback on the proposal. The feedback is summarised in section 4.8 of the **Business Case** located in **Appendix 1** of this report. Feedback on the proposal has on the whole been positive and supportive of the proposal.

### **Consultation with Trade Unions**

46. A confidential briefing for Cardiff Trade Union representatives was held on 11<sup>th</sup> September 2017. It was attended by representatives from Unison and GMB. A confidential draft of the cabinet report and the Business case was shared with those in attendance.
47. However, concern was raised that the Regional Manager post has been evaluated by Hay as an OM2 grade. GMB representatives queried the need this level of post.
48. Nevertheless, Trade Unions were reassured that there would be no job losses as a result of this proposal and that substantially the intention was to utilise vacant posts to create new roles where it was necessary to do so rather than displacing existing staff.

### **Implementation Plan**

49. If the Cabinet agrees the recommendations of this report the next steps are set out in the Implementation Plan located at Appendix F of the **Business Case** located at **Appendix 1** of this report. It is expected that a regional WDTU will be operational from April 2018 with a new structure in operation in quarter 3 of 2018-19.
50. The management of the existing service will continue under the current interim management arrangements until the regional WDTU is implemented which is expected to be early in the new financial year.

### **Reason for Recommendations**

51. The scale and complexity of the social care workforce agenda across the RWP in the context of a highly diverse population distributed across an area that is both distinctly rural and intensely urban, is very challenging, particularly when many Board members carry their workforce roles in addition to other significant responsibilities.
52. All good partnerships rely on an effective 'engine' to drive the partnership's priorities and ensure that vision is translated into action and

impact. The Directors of Social Services in both Councils have therefore committed in principle to the establishment of a sustainable regional WDTU. It is expected that this will rationalise existing resources to meet future levels of anticipated need for sector wide training and development consistent with the Social Services and Wellbeing Act (Wales) 2014 implementation.

### **Financial Implications**

53. The report seeks approval for the establishment of a regional social care workforce development unit (WDTU) to include the establishment of a new regional manager post. Currently, social care workforce development is provided separately by Cardiff and Vale Councils and is funded, in each authority, through a combination of Social Care Workforce Development Programme (SCWDP) grant (70%) and Council matched funding (30%). Cardiff currently receives SCWDP grant of £756,670 in relation to social care training and provides 30% match funding of £324,287 from base budgets. The equivalent figures for the Vale of Glamorgan are £273,161 grant and £117,069 match funding. In addition, Cardiff Council receives a Facilitation Grant from Social Care Wales of £57,034. Current social care workforce development budgets across the region therefore total £1,528,221. Under the proposals, Cardiff Council would perform the role of host and would therefore assume responsibility for the overall expenditure total. As indicated in the report, it is anticipated that all of the functions that are in scope for the proposed regional training unit can be accommodated within the current combined budget for the two local authority areas. As such, it is expected that the establishment of the regional WDTU will be cost neutral to Cardiff and Vale Councils. The match funding arrangement that applies to the SCWDP grant limits the scope for any savings in relation to this proposal. Under these arrangements, Councils have to make a mandatory 30% match funding contribution in order to secure their full grant allocation. If the Council's expenditure falls below the mandatory level, the amount of grant funding will be reduced accordingly. It is proposed that the new regional manager post will be funded via the deletion of existing training manager posts in the two authorities and can thus be accommodated within existing resources.
54. In order to fully implement the proposals for the regional WDTU, it will be necessary to establish a formal partnership agreement. This will need to include a protocol addressing various financial matters including, hosting and financial administration, relative contributions and charging mechanisms, payment arrangements, budget control and monitoring, governance, audit and accounting. The financial elements should be formulated in consultation with Financial Services. Whereas it is anticipated that Cardiff, as host, will receive the whole of the combined SCWDP grant directly, arrangements will need to be put in place for the recovery of the Vale of Glamorgan's element of match funding. This will need to be addressed in the partnership agreement. Any 'one off' costs associated with the implementation of the proposal, including any costs arising due to TUPE implications, must be met from within SCWDP funding for 2017/18. The report notes that Social Care Wales is

considering future arrangements for the SCWDP grant. The impact of possible changes to future grant funding levels will need to be considered in the partnership agreement.

### **Legal Implications**

55. The proposed recommendation is, put simply, to authorise the establishment of a regional Social Care Workforce Development Training Unit with Cardiff Council to act as the Host authority on behalf of itself and the Vale of Glamorgan Council.
56. It is noted from the body of the report that under the proposed approach as Host Authority Cardiff Council shall appoint a Regional Training Manager, staff from the Vale of Glamorgan shall transfer to Cardiff Council so that all staff are employed by the Host Authority in relation to these services, and that a staff restructure shall be carried out in order to create a regional team to deliver the workforce training across the region. It is proposed that the cost to each Council shall be on a “cost neutral” basis. Further, that the regional workforce training unit is to be partly funded via a grant from Social Care Wales.
57. Legal Services are instructed that given the nature and scale of the proposed joint training arrangements it is proposed that there will be no direct Member involvement from Cardiff Council and/or the Vale of Glamorgan Council in the proposed governance arrangements and that it is not proposed to create a formal joint committee.
58. There are a number of legal powers available to the Councils to facilitate the proposed collaborative approach to setting up and establishing the regional Social Care Workforce Development Training Unit, including Section 9 of the Local Government (Wales) measure 2009. This section, put simply, permits the Council to collaborate with another authority in order to discharge its improvement duties and/or those of the other local authority, including the power to enter into arrangements or agreements with any person. Further, Part 9 of the Social Services and Well-being (Wales) Act 2014 requires local authorities to make arrangements to promote co-operation with their relevant partners and others in relation to adults with needs for care and support, carers and children. It places a duty on relevant partners to co-operate with, and provide information to, the local authorities for the purpose of their social services functions.
59. If the proposed recommendation is approved, it will be necessary for Cardiff Council and the Vale of Glamorgan Council to conclude a formal agreement (referred to in the report as a “Partnership Agreement”) as detailed under paragraph 29 of the report. Legal Services will work with the Directorate in order to produce an appropriate draft agreement.
60. It is noted that the arrangements are to be partly funded via a third party grant and accordingly the Directorate should satisfy itself with regards to any grant conditions which may attach to the grant funding.

61. In considering this matter the decision maker must have regard to the Council's duties under the Equality Act 2010. Pursuant to these legal duties Councils must, in making decisions, have due regard to the need to (1) eliminate unlawful discrimination, (2) advance equality of opportunity and (3) foster good relations on the basis of protected characteristics. Protected characteristics are: (a). Age, ( b ) Gender reassignment ( c ) Sex (d) Race – including ethnic or national origin, colour or nationality, (e) Disability, (f) Pregnancy and maternity, (g) Marriage and civil partnership, (h) Sexual orientation (i) Religion or belief – including lack of belief.
62. The report identifies that an Equality Impact Assessment has been carried out and is appended at Appendix B of the Business Case. The purpose of the Equality Impact Assessment is to ensure that the Council has understood the potential impacts of the proposal in terms of equality so that it can ensure that it is making proportionate and rational decisions having due regard to its public sector equality duty. The decision maker must have due regard to the Equality Impact Assessment in making its decision.
63. The decision maker should also have regard when making its decision to the Council's wider obligations under the Social Services and Wellbeing (Wales) Act 2014 and The Wellbeing of Future Generations (Wales) Act 2015. In brief both acts make provision with regards promoting/improving wellbeing.

### **HR Implications**

64. There has been initial consultations on the information within this report with both the Trade unions and the employees affected both within Cardiff Council and the Vale of Glamorgan Council. This will continue once the decision has been made.
65. The recruitment to the role of Regional Training Manager will be in line with Cardiff Council's corporate policies on recruitment and will be made available for both employees of Cardiff Council and Vale of Glamorgan Council to apply.
66. Should it be agreed that Cardiff will host the new unit, then employees from the Vale of Glamorgan Training unit will transfer to Cardiff Council under the regulations set out in the Transfer of Undertakings (Protection of Employment) Regulations 2006. This will be a relatively straightforward process as both are local authorities, who share the same pension scheme administration.
67. Any restructure that is required following the bringing together of the training units will be consulted on with the trade unions and employees, and managed under the corporately agreed processes for restructures within Cardiff Council. As both training units have been managing vacancies in preparation for the merger, any employees put at risk during this process should be minimal, however it is likely that any at risk

employees will have continued employment opportunities, as it is expected that new roles will need to be developed as part of the restructure process. Specifics regarding terms and conditions for individuals as part of the restructure process are set out in paragraph 23 of the report.

## **RECOMMENDATIONS**

Cabinet is recommended to:

1. Approve the business model, approach and functions outlined in the Business Case for the regional Social Care Workforce Training Unit attached at **Appendix 1** of this report, including
  - (i) the establishment of a regional Social Care Workforce Training Unit as outlined in this report; and
  - (ii) the creation of and recruitment to the post of the Regional Manager for the Regional Workforce Training Unit.
2. delegate authority to the Director of Social Services in consultation with the Cabinet Members for Children & Families and Health, Social Care & Well-being, and Finance, Modernisation & Performance and the Section 151 and Monitoring Officers to deal with all aspects of the Governance and any ancillary arrangements/documentation which may be required in relation to these proposals, including (without limitation) the approval of the draft partnership agreement and that the same may be entered into between Cardiff Council and the Vale of Glamorgan Council .

**TONY YOUNG**

**Director of Social Services**

6 October 2017

*The following appendix is attached:*

Appendix 1 – Business Case

This page is intentionally left blank



# **BUSINESS CASE FOR A FULLY INTEGRATED REGIONAL SOCIAL CARE WORKFORCE TRAINING UNIT FOR CARDIFF & THE VALE OF GLAMORGAN**

---

## 1. Context

This proposal aligns with the objectives and priorities set by Cardiff Council's Corporate Plan, related national, regional and local priorities for workforce development across Social Services and the wider Social Care workforce.

*The Capital Ambition* for Cardiff sets out that current Administration's unequivocal *commitment* to provide the highest quality of social care possible, in practice and delivery.

The delivery of excellent services through a well-qualified, skilled, engaged and motivated staff group is fundamental to the success of all public sector organisations.

It is the statutory responsibility of the Director of Social Services to maintain overall responsibility for not only Social Services workforce planning, training and professional development but that of the wider Social Care Sector (including third sector partners and independent and private providers).

Welsh Government has acknowledged that there is a significant transition between local and regional working but their expectation is that the integration of training plans and amalgamation of partnerships progress over time. In accordance with the Welsh Government's guidance, the Cardiff & Vale Care and Support Regional Workforce Partnership (RWP) was established in 2015, under the leadership of the Director of Social Services for Cardiff.

## 2 Background to Proposal

Until 2017, Cardiff Council received an annual grant from Welsh Government to support its Social Care Workforce Development Programme (SCWDP). Grant applications for 2015-16, were for the first time, required on a regional basis.

In 2017, the management of the Social Care Workforce Development Programme (SCWDP) transferred from Welsh Government to Social Care Wales. Whilst there have been minimal changes to the grant requirements for 2017-18 regions are required to work closely with Social Care Wales during this year to consider how future funding can be maximised to increase impact. As such we anticipate there could be more significant changes from 2018/19.

A Regional Project Board to oversee the development of proposals for a regional workforce development training unit (WDTU) launched in February 2016, Chaired by the Cardiff Operational Manager for Strategy, Performance & Resources. The Board has met quarterly taking its membership from the key internal stakeholders from both Councils. This included representation from Legal Services, Financial Services, Human Resources, Corporate Training, senior managers with responsibility for workforce development and the Lead Director for Workforce Planning for the region. Additionally some consultant time was purchased from a specialist in workforce development to support and advice on the developments, funded from the SCWDP Grant.

A smaller Operational Group made up of a Workforce Development Team and Operational Managers across the regional and the external specialist met regularly between Board meetings to progress key actions. A Consultation Strategy was agreed by the Board to ensure that the staff groups in scope for the proposed regional WDTU were kept fully informed of developments.

Additionally, three staff engagement workshops were held across the region to seek the views of staff in relation to the proposal to develop a regional WDTU.

In summary, the work undertaken thus far in relation to the development of a regional WDTU includes:

- Consultation with all training staff and training providers across the region.

- Discussion with Finance, Legal Services, Human Resources and the Directors of Social Service in Cardiff and the Vale of Glamorgan
- Discussions with the Regional Care & Support Workforce Partnership (RWP) Board and Operational Group
- A consultation questionnaire seeking views on the proposal was issued to all Social Services staff within the region and the wider social care workforce of third sector and statutory partners and independent social care providers.
- Appraisal of the operating options for delivering a regional WDTU (**Appendix A**).
- Completion of an Equalities Impact Assessment (EIA) (**Appendix B**)
- Development of a draft Job Description and Person Specification for a Regional Manager Post (**Appendix C**)

This business case reflects the findings of the Options Appraisal and EIA, the technical advice provided by Finance, Legal and Human Resources professionals and the feedback provided by training unit staff and all the key stakeholders who contribute to the Cardiff and Vale RWP. It also reflects the advice and guidance provided from the workforce development specialist. As part of the work that has been undertaken to date, the region embraces the learning from the experiences of other regional approaches to the delivery of staff training and development.

### 3 Current Arrangements

#### 3.1 SCWDP Grant & Annual Plan

Currently, Cardiff Council receives an annual Grant from Social Care Wales to support its SCWDP. The value of the grant is **£756,670**, which has remained the same as 2016-17. The Council also provides 30%, match funding of **£324,287**. The value of the Grant for the Vale of Glamorgan is **£273,161** and the Council provides 30%, match funding of **£117,069** (see also **Section 6: Funding Arrangements** for further details on the available budget for the regional WDTU).

The grant must be used to support all types of provider of social care in each region, and partnerships overseeing use of this funding must include representatives from a range of settings.

The Cardiff & Vale of Glamorgan Application for 2017-18 included a Regional Learning and Development Plan for the whole social care sector, including wider partnership organisations. The Plan is aligned to the implementation of the Social Services and Wellbeing (Wales) Act 2014; Regulation and Inspection Social Care Act and regional implementation plans and priorities. It outlines common priorities for Cardiff and the Vale of Glamorgan and identifies collaborative actions that needs to be undertaken in order that the regional priorities are appropriately met.

#### 3.2 The As Is Position of the Two Training Teams

In addition to the aforementioned SCWDP activities that take place on a regional footprint, the two existing training teams have strengthened their joint working arrangements in recent years. Joint planning, joint commissioning of training and joint delivery have become common practice for the two training teams over the last few years. The teams have also come together for joint development sessions. There is a sharing of key priorities and drivers underpinning training and development in both Local Authorities, such as the Care and Support at Home agenda, implementation of out-come based planning and commissioning and strength-based approaches to assessment and care planning activities.

However, there continues to be separate infrastructures and operational models across the two training teams. Invariably this has meant that there is some duplication of arrangements with key activities carried out by similarly qualified and experienced staff in

their own Local Authority area rather than across the region. Additionally there are challenges around meeting future demands within the current configuration of the teams and identified gaps in current delivery, such as capacity to maximise e-learning opportunities and strengthen data collection, analysis, workforce planning and strategic development cannot be appropriately addressed within current arrangements if resources continue to be utilised in the same way.

### 3.3 Staffing Establishments

#### Cardiff

Current staffing costs for the Training Unit total **£502, 223** per annum.

There are 20 posts that comprise of the following roles and grades, 2.5 of which are vacant at the time of writing:

- 1 Training Manager – Grade 10 – 37 hrs - Vacant
- 1 Lead Training Officer (Children's) – Grade 9 – 37hrs with 18.5hrs filled
- 2 Training & Development Officers – Grade 8 – 1x37hrs / 1x 30 hrs
- 2 Practice Learning Opportunities Training Officers – Grade 8 – Full-time
- 1 SCWDP Coordinator – Grade 7 – 30hrs
- 1 Manual handling Trainer – Grade 7 – 37 hrs
- 2 QCF Assessors Grade 7 – 37hrs
- 1 Administrative Assistant – Grade 4 – 18.5hrs
- 6 Administrative Assistants – Grade 3, 4x 37 hrs, 2x18.5 hrs – 1 37hr Vacancy
- 1 Business Support Officer – Grade 6 -37 hrs (currently filled on a job-share basis)

#### Vale of Glamorgan

Current staffing costs for the Training Unit total **£180,242** per annum.

There are 5 posts that comprise of the following roles and grades, 2 of which are currently being covered by agency staff:

- 1 Staff Development Adviser – Grade I – 37 hrs
- 1 Systems & Innovation Management Officer – Grade G – 20 hrs
- 1 Training & Development Officer – Grade I – 26 hrs
- 1 Staff Development Officer – 37 hrs Covered by Agency
- 1 Team Administrator – 37 hrs Covered by Agency

## 4 Business Needs

This section sets out the current business needs driving the proposed change, and the future business needs that will arise.

With the implementation of the Social Services and Well-being (Wales) Act 2014 well under way, the next few years will require innovative approaches to training and development as we respond to its demands and the scale of transformation of services that it will bring. It will be increasingly important to be able to update and replenish our existing skill base.

Since the establishment of the Cardiff & Vale Care and Support Regional Workforce Partnership (RWP), a well-established positive foundation for promoting workforce development across the region has been established. It supports staff across the social care sector in the region to ensure they are well trained and appropriately supported to undertake their roles. It ensures appropriate representation and engagement from all parts of the sector, and from users and carers. The training plan and the implementation plan for the Social Services and Wellbeing (Wales) Act 2014 were aligned so that the whole social care sector was ready to deliver the new duties for social care in April 2016.

The vision for the RWP is to raise standards and drive up the quality and skill level through effective workforce development. This enables those with Care and Support needs to achieve what matters to them. Its key aim is to enable the growth and development of an appropriately skilled and effective social care workforce.

The scale and complexity of the Partnership's agenda in the context of a highly diverse population distributed across an area that is both distinctly rural and intensely urban, is very challenging, particularly when many Board members carry their workforce roles in addition to other significant responsibilities. All good partnerships rely on an effective 'engine' to drive the partnership's priorities and ensure that vision is translated into action and impact. The Directors of Social Services in both Councils have therefore committed in principle to the establishment of a sustainable regional WDTU. It is expected that this will rationalise existing resources to meet levels of anticipated need for sector wide training and development consistent with Act implementation.

The size of the social care workforce across the region is considerable. In 2016-17, **151** care agencies employing **10,453** staff, responded to Cardiff and the Vale of Glamorgan Councils' annual data collection exercise. Additionally both Social Care Training



Units served a total of **804** Social Services employees. A total of 282 different course were delivered via **782** individual training sessions, offering **14, 630** training places to the social care workforce across the region.

#### 4.1 Scope

In practice, the development of a regional Workforce Development Training Unit (WDTU) means that the two training units in both Authorities will come together to form the regional social care training & development service.

The regional WDTU will serve Cardiff & Vale of Glamorgan Social Services Directorates and the wider social care workforce within the region. This includes Third Sector and Independent Providers.

Key stakeholders such as the University Health Board, Cardiff & Vale College, Social Care Wales and representatives of Provider Forums will continue to come together under the auspices of the RWP Board to agree its priorities and turn them into actions.

The proposal does not include changes to the way that corporate training is delivered in both Local Authorities. However, the proposal recognises the need for continued synergy between the social care training unit and corporate training arrangements and is committed to ensuring that joint working with the corporate training arms of both Local Authorities continues to be a feature of the delivery of social care training across the region where ever it is practicable and appropriate to do so. As such, there is a commitment to strengthen and build upon the following areas of joint working with corporate training teams:

- Development of e-learning packages
- Delivery of manual-handling training
- Shared use of Learning Pool resource to advertise and booking training
- Sharing of training facilities

## 4.2 Optional Appraisal

The following options have been identified for the delivery of a regional WDTU. The options have been developed in conjunction with staff and managers within the current two training teams.

- **Option One:** Do nothing but continue to build on the joint training opportunities already in place.
- **Option Two:** Appoint a Regional Manager who will be hosted by one of the Local Authorities, who will oversee two separate Cardiff & Vale teams (as they currently operate).
- **Option Three:** Appoint a Regional Training Manager who will be hosted by one of the Local Authorities and second staff to the host LA, who will carry out their substantive roles in the same way, under the management of the host Local Authority.
- **Option Four:** Appoint a Regional Training Manager who will be hosted by one of the Local Authorities and TUPE staff from the other Local Authority to the same Local Authority so that all staff are employed by the same Local Authority. Then restructure to create one team that covers the whole of the region.
- **Option Five:** Externally commission the whole function with regional Training Unit being delivered by an external agency outside of both Local Authorities.
- **Option Six:** Merge both Training Units and locate within the Corporate Training Arm of one of the Local Authorities

The full Options Appraisal is located at **Appendix A** for information.

## 4.3 Preferred Option

**Option Four** has been identified as the preferred option for the following reasons:

- A fully integrated team will be best placed to consistently meet the needs of the region in a fair and equitable way.

- This is the model that is most conducive to meeting the needs of the RWP because its delivery will offer a consistent approach to the sector irrespective of whether providers operate in Cardiff, Vale of Glamorgan or both.
- This model will provide the opportunity for staff to work at scale, using their current specialisms as well as providing opportunities to develop new specialisms in response to future needs / demands.
- It provides the most appropriate option for maximising the resources that are available and making best use of capacity and expertise.
- It provides the best opportunity to standardise practice across the region whilst also being able to respond to difference when the need arises.
- It provides an opportunity to stream-line the available funding across the regional, administering it from one pot which will reduce duplication of efforts – particularly as the funding applications have to be submitted on a regional basis.
- This model will provide an opportunity to address current gaps by releasing capacity arising from the streamlining processes that are currently administered separately in each LA area.

#### **4.4 Benefits**

There are many positives linked to the current arrangement for delivering staff training and development across the social care sector. The two staff groups have particularly highlighted the following areas of practice that they feel work well and therefore should be maintained:

- Hosting arrangements for Social Work students through Cardiff University and Cardiff Metropolitan University are standardised via Social Care Wales Rules and Regulations for the Social Work degree, therefore the two teams already work to the same principles, providing Practice Learning Opportunities, assessment and support for all students in the region. However, whilst local knowledge of teams, independent providers and personal is required to ensure that students

are matched with the correct learning, shared resources will undoubtedly provide additional opportunities to expand placements as well as share staff knowledge and experience.

- Communication is good between teams and across the sector with a range of communication methods to meet different needs (e.g. Website, newsletter, e-mail distribution lists, publication of meeting minutes etc)
- The training booking systems across the two LAs (SDMS in the Vale of Glamorgan & Digigov for internal staff and Learning Pool for external providers in Cardiff ) work well alongside each other and the booking of training courses is easily accessible for Social Services staff.
- There is a good mix of internally delivered courses and those that are externally commissioned. This mixed economy of provider and commissioner enables the training units to retain a good level of internal training expertise whilst enabling more specialist courses to be procured externally.
- The system of block booking training venues mitigates some of the challenges in relation to a general lack of training room capacity in both Local Authority areas.
- Positive working relationships exist between the two training teams and there is a well-established culture of joint working between the teams with a shared approach to delivering and offering training across the region where ever this is appropriate to do so.

However, training staff and managers across the region have identified the following gaps in the current arrangements. They feel that the establishment of a regional WDTU would provide an opportunity to address the gaps and also reduced duplication where this currently exists.

- There are currently insufficient staff in each team to meet all of the current and future demands of the service. It is expected that by combining teams, there will be an ability to maximise resources in order to:
  - strengthen the opportunity to develop more specialist training in-house – such as Manual Handling. Currently there are waiting lists to access specialist Manual Handling advice due to a lack of capacity.

- strengthen the ability to undertake more strategic development work, including collection and analysis of workforce data and workforce planning activity, in order to future proof arrangements as demands change (e.g. Registration of the Domiciliary Care Sector)
- Strengthen communication and access across the sector, by developing skill and expertise in use of web-based solutions, social media and e-learning for a more blended approach to training that meets a range of different learning needs.
- Strengthen capacity to promote engagement across the wider social care sector to maximise and consolidate the contribution that third sector, independent providers and statutory partners can make to workforce development across the region.

In summary, the benefits of the proposed regional WDTU are as follows:

- Promotes more effective deployment of resources.
- Builds on the existing collaborative arrangements for other workforce development solutions.
- Aligns to the Welsh Government's and regional/local transformation agenda.
- Creates opportunities to improve the operating model of the service.

It is felt that a fully integrated regional WDTU developed around the model outlined in Option 4 of the Options Appraisal would provide an opportunity for teams to be fully integrated, following a restructuring that allows one team to operate across the region in a consistent way, whilst responding to the individual need of the two Local Authorities. This option would provide the best opportunity to create a regional WDTU that builds upon current good practice, reflects current and future needs, making best use of resources and offering the maximum benefit to customers.

## 4.5 Hosting Arrangements

A number of factors taken into consideration identify the most appropriate Local Authority to host the regional WDTU and it is proposed that Cardiff Council host the regional WDTU for the following reasons:

- A willingness to lead, demonstrated by the work undertaken to date to develop these proposals and to lead on the development of the RWD Partnership.
- Capacity to lead and undertake the extensive work required to design and develop the model
- The comparative size of the existing teams and the scale of the areas they currently cover, demonstrating Cardiff's experience of working at significant scale.
- The Local Authority's track-record of delivering good quality staff training and development opportunities.
- The Director of Social Services for the proposed lead is the Regional Lead Director for Workforce Development and chair of the RWP Board.

## 4.6 Risks

The bullet points below summarise the key risks to the Councils associated with the development of a fully integrated regional WDTU, headed up by a Regional Manager. These have been identified as part of the Options Appraisal completed to inform this proposal. The full options appraisal is located in **Appendix A**.

- There could be a risk of job losses if duplication of roles is removed from the new structure.
- Individual LA teams will risk losing their current identity and this could impact on relationships across the social care sector.

- The smaller team may feel that they are being taken over by the larger team and there is a risk that the needs of the smaller LA may be lost amongst the demands of the larger LA.
- Some staff may experience a negative impact on salary.
- Roles will change and this could be disruptive to serviced delivery until the new arrangements become fully embedded in practice.
- One team would have to meet the need of two different LAs and this could be challenging given the differences between the two organisations.
- Some staff may need to be relocated and this could have a negative impact (e.g. increase in travel time). It may also make the team less accessible to those staff / providers who are located in the other Local Authority.

#### **4.7 Mitigation of Risks**

- Both teams are currently holding a number of post vacancies. The streamlining of roles to reduce duplication may result in a very small number of posts being deleted and funding utilised to create new roles. However, it is expected that there will be no material loss in posts within the new arrangements and any staff members who are displaced are likely to have an opportunity to apply for vacant /new posts within the new regional WDTU or be slotted and matched where appropriate, if they wish to remain part of the new arrangements.
- Staffing issues arising from the development of the regional WDTU will be managed sensitively, ensuring that staff are well supported, that their wishes are considered. We will also ensure that staff have sufficient notice of any changes to ensure that they have an appropriate period of time to make any personal adjustments required to make in order to mitigate the impact of the change, as far as it is possible to do so.

- Robust communication with the social care sector regarding the developments of a regional WDTU has been in place since the initiation of this piece work. Therefore the sector has been part of the journey and are supportive of the developments. The implementation of a RWP website accompanied by its own regional branding has already provided the region with a fresh new identity that has been positively received by all. New arrangements for a regional WDTU will build upon this regional workforce branding.
- Both staff groups already undertake significant amounts of joint work and both are supportive of the proposals and understand the main drivers underpinning them. Staff teams have joined together for a number of development sessions which have contributed to shaping the proposals contained in the Business Case with each team being given equal weight in respect of the contribution they have made. It is expected that these joint working arrangements for engagement and consultation will set the scene for the delivery of a regional WDTU where both partners are treated equally and fair and the needs and interests of both parties are balanced and appropriately recognised and met in the future.
- Whilst there will be a need to ensure that the workforce priorities of both Local Authorities are met by the regional WDTU, the two training teams are used to having to balance competing priorities across Adults and Children's Services so the need to address difference in a balanced and proportionate way is nothing new to the teams. Whilst this is likely to be demanding, the establishment of joint priorities already set out in the workforce partnership's strategic plan will mitigate some of the challenge.
- Whilst it would be desirable to locate a regional WDTU in a single venue that is easily accessible for both Cardiff and the Vale of Glamorgan, it is not expected that such a venue will be easy to come by and it is unlikely that one will be in place to coincide with the implementation of a regional WDTU if this proposal is agreed. Therefore the proposal is based on the expectation that in its initial implementation phase, both current sites are maintained in each Local Authority area, and that for the foreseeable future, team members operate on a regional basis from both sites according to need. This will minimise disruption and will provide some continuity / stability to staff as they move from one set of delivery arrangements to the new operational model for the regional WDTU.



#### 4.8 Consultation Feedback

A *Survey Monkey* questionnaire was issued to all Social Services staff and external Social care providers across Cardiff and the Vale of Glamorgan in July 2017, to ascertain the regional workforce's views on the proposal to develop a regional WDTU. Recipients were asked to respond to three questions:

1. Do you think that a regional WDTU will reduce duplication and make best use of available resources?
2. Do you have any concerns about the proposal?
3. Do you agree that Cardiff should host the regional WDTU

Recipients were given two weeks to reply and **87** questionnaires were completed across the region within the timescales. **57** came from Cardiff respondents and **30** from Vale of Glamorgan respondents.

**75** of respondents thought that the proposal would reduce duplication and make best use of available resources. Recipients who responded positively to this question thought that a reduction in duplication could result in more courses being provided across the sector. It was noted that more specialist training could be provided as a result of a more streamlined regional approach. It was also noted that joint-training that had been provided to date was positively received.

**16** of respondents identified that they had concerns about the proposal. Key concerns noted were:

- Loss of a more personal service with a more Cardiff focussed approach that could result in learners feeling marginalised
- Impact on travel time to attend course if all delivered in the Host area
- Challenges regarding the compatibility of IT systems.

**72** of respondents agreed that Cardiff should Host the regional WDTU.

In summary, although the response rate was low compared to the size of the cohort of providers / staff who were asked to complete the questionnaire, those responsive received were on the whole, positive about the proposal to develop a regional WDTU with Cardiff as the Host. Concerns that were raised about the proposal have been addressed in **Section 4**.

## 5. Proposed Operational Structure

### 5.1 Regional Manager

It is proposed that the regional WDTU is headed up by a new Regional (Strategic) Manager with overall responsibility for Implementation of a Regional Workforce Development Programme, promoting joint working with Social Care Wales, across workforce development, service improvement and research, confirming approaches and building upon the many strengths across existing arrangements. This senior manager will make a key contribution to realising the national priorities for the Social Care Workforce in Wales, ensuring that the region's views are appropriately represented and reflected in national developments. Additionally the post holder will be responsible for implementing and managing the regional WDTU to ensure effective planning and delivery of a training and development service for Social Services employees and deliver an effective RWP that appropriately meets the current and future needs of the wider Social Care workforce. The manager will be required to provide a strategic lead on the development and implementation of training policies, strategies, plans, processes, procedures and activities that are appropriate to, and meet current and future needs for social care workforce planning and development across the region.

It is proposed that this post is established through the deletion of the existing Training Manager posts in both Cardiff & the Vale of Glamorgan. The draft Job Description and Person Specification for the post is located at **Appendix D**. The post has been evaluated by Hay as an OM2.

### 5.2 Functions

The proposed service delivery model in respect of the regional WDTU has formed part of the consultation process and was based upon an understanding of current and future needs across the region. It reflects feedback from Training Unit staff and managers in Cardiff and the Vale of Glamorgan Councils and key stakeholders whose interests are represented on the RWP Board. It is proposed that the new regional WDTU is structured around 4 core business functions:

- Business Planning & Partnerships
- Delivery & Commissioning of Training
- Practice Learning Opportunities for Students

- Qualification & Credit Framework (QCF) Assessment

A summary of the core components of these key functions is described in the overarching operational structure located at **Appendix E**.

### **5.3 Staffing & Restructure**

It is proposed that all existing Staff will transfer to Cardiff as the Host on their existing terms and conditions. However it is acknowledged that in order for the regional WDTU to operate successfully following its inception, changes will need to be made in relation to the way core functions are delivered, structure and staffing. In particular it is acknowledge that initially the regional WDTU will be operating from two locations and a new staffing structure will be necessary in order to provide a unified, cohesive and efficient regional service. Therefore it is anticipated that once in post the new Regional Manager will lead a restructure of current arrangements

Specific job roles may change, where job roles change but staff are matched to roles existing terms and conditions will be maintained.

Where roles are substantially different staff who apply for and are successful will be engaged on the Host's Terms and Conditions of employment.

Any person appointed to a vacant position of the agreed establishment post transfer will be employed by the Host and be appointed on the Host's terms and conditions of employment.

It is acknowledged that in addition to the creation of a Regional Manager post, arrangements for the direct line-management and supervision of posts that sit within each of the 4 key functions will need to be strengthened in order to enable the Regional Manager to have sufficient capacity to achieve an appropriate balance between strategic development work and operational duties. This requirement could be met through the development of lead practitioner roles in one or more of the key functions or a deputy/team manager role that spans two or more of the key functions.

There is not expected to be a net loss of posts arising from the restructure and surplus funding arising from the deleting of posts that are no longer required in the new arrangements (because they duplicate roles) will be reinvested to support the creation of new roles to address identified gaps.

## 6. Funding Arrangements

### 6.1 Current and Future Grant and Core Funding

It is expected that the establishment of a regional WDTU will be cost neutral to the City of Cardiff Council and the Vale of Glamorgan Council.

As previously mentioned in **Section 1.2: Current Arrangements**, the City of Cardiff Council receives an annual Grant from Social Care Wales to support its Social Care Workforce Development Programme (SCWDP). The value of the grant is **£756,670**, which has remained the same as 2016-17. The Council also provides 30%, match funding of **£324,287**. The value of the Grant for the Vale of Glamorgan is **£273,161** and the Council also provides 30%, match funding of **£117,069**.

The total allocation of SCWDP grant funding for Wales is £7,149,350 and the proportion of this that is allocated to Cardiff and the Vale of Glamorgan Councils is **15%**.

Within the grant, there is a ring-fenced flat-rate allocation for social workers qualifying and post-qualifying training, and the grant is distributed solely using the Personal Social Services formula. This amount is **£34k** for each Local Authority in the region.

Additionally, Cardiff Council will receive a Facilitation Grant from Social Care Wales of **£57,034** to fund regional capacity and facilitate engagement, communication and joint working across the whole social care sector.

The total regional SCWDP expenditure is **£1,528,221**, which comprises of **£1080, 957** for Cardiff and **£390,230** for the Vale of Glamorgan plus the regional Facilitation Grant.

At the time of writing this Business Care, Social Care Wales is consulting on the future arrangements for the Grant. It is proposed that it be rebranded to be the *Social Care Wales Regional Workforce Development (SCWRWD) Grant* as it is felt that this more clearly describes that it is no tone national development programme, but a grant to support social care workforce development in each region. It is intended that the grant should support the full span of the workforce, in any type of setting or service, recognising that each regional will have its own priorities that focus on particular sub sets of the workforce at annually.

It is proposed that in the future the Grant should retain a 70% / 30% matched funding approach from the region. It is also acknowledged that there is a need to plan on more than a one year timeframe and as far as possible, the intention will be for Social Care Wales to maintain the Grant at the same level from year to year, although this is clearly dependent on the level of resource it receives from Welsh Government.

The match funding which is a mandatory arrangement means that it will not be feasible for the City of Cardiff Council to make savings in respect of this proposal. This is because to do so would prevent the Local Authority for claiming the 70% grant funding as it would take the Local Authority contribution below the required 30%. The same would apply to the Vale of Glamorgan Council.

Consultation on the proposals ends on 25<sup>th</sup> September 2017 and Social Care Wales expects to issue the 2018/19 circular by January 2018 in order to have agreed plans in place early in the 2018/19 financial year.

From April 2018, it is expected that the full SCWRWD Grant and the Facilitation Grant for the region will be payable to Cardiff Council as the Host authority. Arrangements will be made to recover the Vale of Glamorgan's match-funding contribution.

## 6.2 Staffing Costs

Within current budgetary arrangements, the staffing costs in the two Training Teams are as follows:

- staffing costs for the Cardiff team total **£502, 223** per annum.
- Staffing costs for the Vale of Glamorgan team total **£180,242** per annum

### 6.3 Premises Costs

### 6.4 Expenditure on Training Venues

Expenditure for 2016-17 on training venues for both teams is as follows:

- Cardiff - **£57,500**
- Vale of Glamorgan - **£12,400**

It not envisaged that this expenditure will reduce with the initial inception of the regional WDTU, because there will continue to be a reliance upon purchasing external training venues. However, it is expected that this spend could be substantially curbed in the future, if suitable premises were identified between Cardiff and the Vale of Glamorgan that provided a single training site that could accommodate significant levels of training. It is also likely that further efficiencies could be achieved, arising from the premises costs of a single office base for the regional WDTU, co-located with a regional training facility.

However, it is important to note that whilst the provision of a regional WDTU is expected to provide a more efficient use of available resources, the proposal is not driven by cost reduction. The key driver for developing the business case will be the creation of an operational model that is most conducive to delivering high quality social care training that meets the changing needs of Social Services and the wider Social Care Sector. It is therefore proposed that funding released from the realignment of vacant posts will be reinvested to strengthen existing functions that are capacity light or develop new arrangements where gaps have been identified.

## 6.5 Financial Governance

In order to fully implement the proposals for the regional WDTU, it is necessary for the Local Authorities to enter into a formal agreement, referred to as a 'Partnership Agreement' (See **Section 7.1** for further details). This agreement sets out, amongst other things, the apportionment of costs between partners and what indemnities the Host Authority would seek from the other partner in respect of carrying out its role and the financial management for the arrangements.

In a joint exercise between the LA's, existing budgets and expenditure for workforce training and development has been reviewed and a combined indicative budget for the first year of operation of the partnership has been established by the proposed Host (i.e. Cardiff). Anticipated contributions to be made by each authority to the partnership have also been projected and are set out in the table below, which will form part of the Partnership Agreement.

| Local Authority    | Social Care Wales Contribution | Local Authority Contribution | Total Local Authority SCWDP Budget |
|--------------------|--------------------------------|------------------------------|------------------------------------|
| Cardiff            | £756,670                       | £324,287                     | £1,080,957                         |
| Valle of Glamorgan | £273,161                       | £117,069                     | £390,230                           |
| <b>Sub Total</b>   | <b>£1,029,831</b>              | <b>£441,356</b>              | <b>£1,471,187</b>                  |

This sum is based on the current Social Care Wales Grant level and is within the current budget for workforce training and development across both Local Authority areas. It covers all of the functions that are in scope for the regional WDTU. As such, it is expected that the establishment of the regional WDTU will be delivered within the current financial envelopes of Cardiff Council and the Vale of Glamorgan Council. It is expected that from 2018 the *Social Care Wales Regional Workforce Development Grant* will be awarded to Cardiff Council as the Host of the regional WDTU. Cardiff Council will need to make arrangements to recover the Vale of Glamorgan's 30% match funding and the mechanism for doing this will be set out in the Partnership Agreement.



The Partnership Agreement will also confirm that the Host's Section 151 Officer shall ensure there are mechanisms in place to enable budgets to be managed in line with the available resources and any variations to the budget are identified as early as possible.

"One off" implementation costs, associated with the establishment of the regional WDTU, will be met from SCWDP grant funding for 2017-18.

## 7. Proposed Governance Arrangements

### 7.1 Partnership Agreement

Whenever Councils consider working together, a decision is required as to the collaboration model to be adopted. In determining the collaboration model to be used, it is important that the decision is based on a detailed analysis of the costs, benefits and other implications of adopting the model proposed and comparison with other options available in respect of delivering the services concerned. The body of this proposal and its appendices set out the detail of the analysis undertaken, leading to the recommendation that a fully integrated regional WDTU be established for Cardiff and the Vale of Glamorgan.

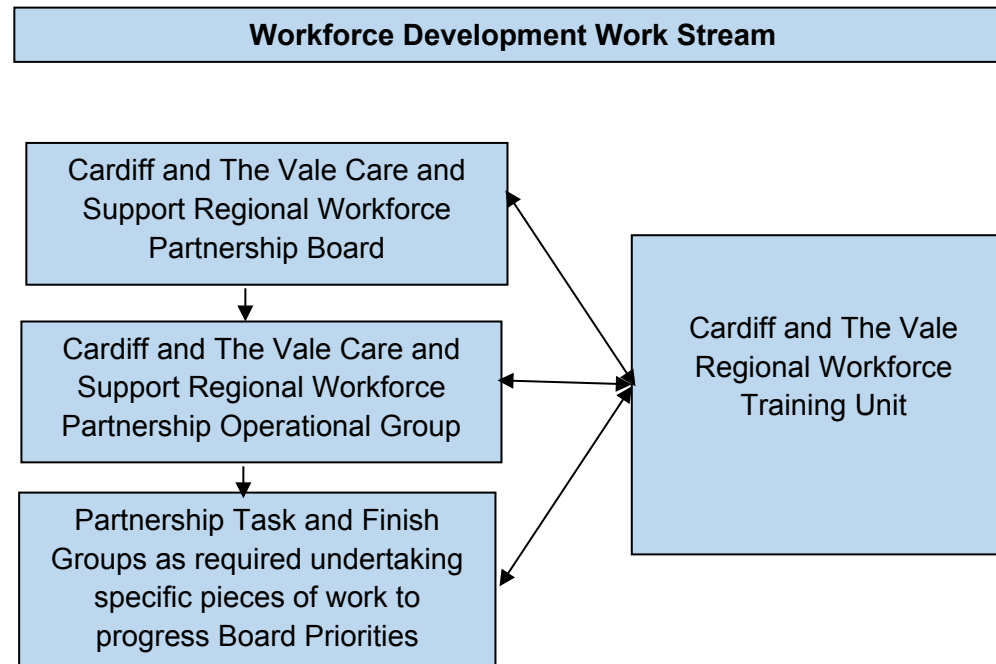
In order to fully implement the proposals for the regional WDTU it is necessary for the LAs to conclude a formal agreement, referred to as a '**Partnership Agreement**'. This agreement sets out amongst other things:

- The extent of the matters to be delegated, and any delegations to officers in the shared service;
- The terms of reference and membership of the Management and Governance Boards;
- The termination and exit provisions;
- The structure of the regional WDTU, staffing proposals and pensions;
- As to the apportionment of costs, and what indemnities the Host Authority would seek from the other authorities in respect of carrying out its role;
- The financial management arrangements;
- Provision to address matters such as disputes, and variations,
- Include an Information Governance Memorandum of Understanding that set out the arrangements for Data Controllorship, Data Processing and the rights of individuals

On completion of the Partnership Agreement, the Director of Social Services will be asked to authorise the approval and conclusion of the Partnership Agreement, following consultation with the Portfolio Member, and then if all are content, make the decision, detailed and recorded in an Officer Decision Report.

## 7.2 Regional Workforce Partnership Governance

The Governance arrangements for the RWP are set out in the diagram located at **Appendix D**. The relationship between the RWP and the regional WDTU is set out below.



The takes its governance from the RWP Board chaired by the Cardiff & The Vale Regional Lead Director of Social Services for Social Care Workforce Development. The Board provides strategic leadership and ensures delivery of the Regional Learning & Development Plan.

The RWP Board meets four times per year and reports to the Integrated Health & Social Care Governance Board annually.

The Operational Group is the operating arm of the Partnership. It reports to the Partnership Board and is tasked with converting the strategic goals of the Regional Learning & Development Plan into actions. Membership of this group is taken from operational managers and staff involved in service planning & delivery from all key stakeholder agencies. The Operational Group meet on a monthly basis and undertake specific pieces of work identified by the Board to progress its key priorities.

The regional WDTU will develop the annual plan that sets out the strategic priorities for the RWP and will lead on workforce planning arrangements for Social Services and across the region's social care sector. As such, the regional WDTU it will take it's governance from the RWP Board whilst operating within line management structure of the Central Business Unit in Cardiff Social Services under the leadership of the Operational Manager, Strategy, Performance and Resources.

Performance Reports will be taken to the RWP Board at agreed intervals on progress against the RWP's annual plan and workforce planning data and analysis will be presented to inform the future strategic direction of the RWP.

An overview of the evaluation and performance management framework that underpins the work of the regional WDTU is set out in **Section 7.4**.

### **7.3 Information Governance**

It would be desirable for the regional WDTU to share IT systems so that there is one clear pathway for all Social Services staff in the two LAs and the wider social care workforce across the region to book training courses and maintain individual training records.

Cardiff and the Vale of Glamorgan already share the same booking system (Learning Pool) for the wider Social Care workforce. However, there are separate booking systems for Social Services staff (SDMS in the Vale of Glamorgan and DigiGov in Cardiff).

To support a smooth transition from current arrangements to a regional WDTU, with minimal amount of disruption to Social Services staff, it is proposed that the current arrangements for booking training are maintained and continue to operate alongside each other until work can be completed to identify a suitable solution to offering a fully integrated IT system across the region. The training booking systems across the two Local Authorities work well alongside each other and the booking of training courses is easily accessible for Social Services staff and external social care providers. Therefore, a phased approach to this piece of work is not felt to be a barrier to delivering an integrated service across the region.

Both Local Authorities will need to ensure that they duly observe all their obligations under Data Protection Legislation, which arise in connection with the Partnership Agreement referred to in **section 7.1**.

The regional WDTU will share workforce training and development information about Social Service staff and the wider social care workforce to promote individual continued professional development (CPD), improve workforce planning arrangements and ultimately improve the quality of care and enable integrated working. The sharing of information will need to be administered in accordance with the Data Protection Act 1998 (DPA), The Human Rights Act 1998 and the common law duty of confidentiality and any other information sharing legislation or gateways.

Therefore, Cardiff and the Vale of Glamorgan Councils will be required to adhere to an Information Sharing Protocol in accordance with the Wales Accord on Sharing of Personal Information (WASPI) Framework when sharing information under the aforementioned Partnership Agreement.

Where the regional WDTU is processing personal data (as defined by the DPA) such as an individual's training record or as a data processor for the regional WDTU (as defined by the DPA), the City of Cardiff Council as the Host Authority will be required to ensure that it has in place appropriate technical and contractual measures to ensure the security of the personal data and against accidental loss or destruction of, or damage to, the personal data).

The City of Cardiff Council will also be required to provide the Vale of Glamorgan Council with such information as it requires to satisfy itself that the City of Cardiff Council is complying with its obligations under the DPA. It must also ensure that mechanisms

are in place to support prompt notification of any breach of security measures required to be put in place and ensure it does not knowingly or negligently do or omit to do anything, which places the Vale of Glamorgan Council in breach of its obligations under the DPA.

The regional WDTU will be responsible for facilitating internal and external social care staff in accessing their Personal Data under the DPA.

#### **7.4 Draft Implementation Plan**

A draft Implementation Plan identifying key actions and milestones is located at **Appendix F** for information. It is expected that the regional WDTU will be operational by April 2018 following the appointment of the Regional Manager, which will be undertaken in Quarter 3 of 2017-1, with a restructure commencing at the end of the second quarter of 2018-19.

In order to create capacity to progress implementation at the required pace, it is proposed that Project Management expertise is secured to work with the Operational Manager, Strategy, Performance & Resources to expedite recruitment of the Regional Manager, and progress staffing issues related to the TUPE transfers of staff. Thereafter, it is proposed that this additional capacity is utilised up until the end of quarter 4 of 2017-18, to support the Regional Manager to progress key actions in the implementation plan such as the development of a Memorandum of Understanding, development of plans to restructure.

#### **7.5 Proposed Performance and Quality Assurance Framework**

Performance of the regional WDTU and the vital contribution it makes to the achievement of the wider regional Workforce Partnership priorities will be monitored using a Performance Management Framework that promotes effective regional social care workforce development using a Plan, Measure, Evaluate and Report cycle.

**Plan:** This will ensure that national priorities are reflected in regional arrangements with provision for the local priorities of both LAs to be met if these are different from the regional priorities. The regional WDTU planning arrangements will be responsive to legislation, case law and inspection, underpinned by an efficient delivery model (see **Section 5**) and a robust communication and engagement framework for key stakeholders.

**Measure:** Measurement of the effectiveness of the regional WDTU will be underpinned by an outcome-focused quality assurance and improvement framework that comprises of key performance indicators, robust data collection and analysis and effective customer satisfaction arrangements.

**Evaluate & Report:** Evaluation and reporting arrangements will consider emerging best practice, effectiveness and impact, customer feedback and progress against and in addition to the annual plan. Outcomes will be reported on a quarterly basis through the governance structure.

The Quality Assurance Process will ensure that issues are identified and addressed in a timely way through the following arrangements:

- **What:** Relevance, content and quality of training and events, frequency, timing and access, effectiveness and outcome of training and events, customer satisfaction, communication and engagement.
- **Who:** Social Services staff and managers, partner organisations and agencies, carers and service users, students, external bodies, other relevant stakeholders.
- **How:** Initial and post course evaluations, workshops, forums and events, attendance figures, targeted questionnaires (e.g. Survey Monkey), employee supervision and appraisal, inspection reports, specific evaluation and performance data (e.g. national programmes, pilots etc).

## 8. RECOMMENDATIONS

8.1 The establishment of a regional Social Care Workforce Training Unit as outlined in this Business Case

### Rationale

8.2 The scale and complexity of the social care workforce agenda across the RWP in the context of a highly diverse population distributed across an area that is both distinctly rural and intensely urban, is very challenging, particularly when many Board members carry their workforce roles in addition to other significant responsibilities.

8.3 All good partnerships rely on an effective 'engine' to drive the partnership's priorities and ensure that vision is translated into action and impact. The Directors of Social Services in both Councils have therefore committed in principle to the establishment of a sustainable regional WDTU. It is expected that this will rationalise existing resources to meet future levels of anticipated need for sector wide training and development consistent with the Social Services and Wellbeing Act (Wales) 2014 implementation.



## List of Appendices:

- **Appendix A:** Options Appraisal
  - **Appendix B:** Equalities Impact Assessment
  - **Appendix C:** Regional Manager Job Description & Person Specification
  - **Appendix D:** Regional Workforce Partnership Governance Chart
  - **Appendix E:** Overarching Operational Structure and Key Functions
  - **Appendix F:** Implementation Plan
-

## Appendix A: Options Appraisal

| Options   | Opportunities  | Challenges   | Ranking & Rationale   |
|---|--|--|---|
| 1. <b>Do nothing but continue to build on the joint training opportunities already in place</b> | <ul style="list-style-type: none"> <li>• Least disruptive option and therefore promote stability in the short term</li> <li>• Easier to work in one LA area – no challenges regarding working to different LAs with different policies re staff development.</li> <li>• Staff are familiar with local partners and local need and partnerships may be less affected.</li> <li>• Staff would continue in same role working to their specialisms with same terms and conditions</li> <li>• No loss of continuity / productivity that is sometimes experienced when teams restructure.</li> </ul> | <ul style="list-style-type: none"> <li>• More difficult to meet the needs of the national and regional workforce development agenda with the current arrangements of having to provide a regional workforce partnership which is delivered from two separate LA teams.</li> <li>• Current model is not sustainable. There is a need to respond to changing demand (e.g. development of e-learning) and there is currently a lack of capacity and expertise to deliver this within current operational arrangements.</li> <li>• There are gaps in current provision (e.g. the vale does not have a workforce partnership coordinator) and duplication in others.</li> <li>• It is harder to achieve equity of provision with two separate teams delivering services in different ways.</li> <li>• The separate and different</li> </ul> | <p>This was the least preferred option for the staff groups who felt that there was a missed opportunity if merging of the training units was not developed beyond the boundaries of current practice. The staff teams had an appetite for embracing change rather than things remaining as they are.</p> |

|  |   |   |   |
|--|---|---|---|
|  |   | systems that are in place make it challenging for providers who operate across the regional (e.g. different booking systems for training courses).  |   |
| <b>2. Appoint a Regional Manager who will be hosted by one of the LAs, who will oversee two separate Cardiff &amp; Vale teams (as they currently operate)</b>  | <ul style="list-style-type: none"> <li>This model may make it easier to meet the needs of two LAs.</li> <li>This would be less disruptive than full integration and the appointment of a regional manager could provide consistency of approach and delivery across the region where it is feasible to do so, whilst still operating two separate teams for Cardiff &amp; Vale.</li> <li>This arrangement would strengthen the current joint working arrangements whilst retaining the LA identity of both teams.</li> <li>This model already exists and works well in some areas of Adult Services where a manager, employed by one local authority manages staff located in two separate teams (e.g. Learning Disability).</li> </ul> | <ul style="list-style-type: none"> <li>This model would not address duplication / gaps in current arrangements as little would change.</li> <li>There would be little benefit to customers other than the ability to provide some operational synergy across the teams.</li> <li>Any developments are likely to be undertaken within separate teams rather than on a regional basis – therefore little benefit to the regional workforce partnership.</li> <li>There would be no integration in practical terms.</li> </ul> | <p>The staff team felt that this option did not go far enough and would not future proof the services. They felt that this option would have little positive impact on customers. It was therefore felt that this option went some way to creating the conditions required for a sustainable social care training unit, but that it fell short of what was needed to provide a service that was up to date, and responsive to changing needs of both LAs.</p> |
| <b>3. Appoint a Regional Training Manager who will be hosted by one of the LAs and second staff to the host LA, who will carry out their substantive roles</b> | <ul style="list-style-type: none"> <li>As in <b>Option 2</b>, first 3 bullet points</li> </ul>  | <ul style="list-style-type: none"> <li>As in <b>Option 2</b> above. Additionally,</li> </ul>  | <ul style="list-style-type: none"> <li>As Option 2 above</li> </ul>   |

| in the same way, under the management of the host LA  |  |   |  |
|---|--|---|--|
| <p><b>4. Appoint a Regional Training Manager who will be hosted by one of the LAs and TUPE staff from the other LA to the same LA so that all staff are employed by the same LA. Then restructure to create one team that covers the whole of the region.</b></p> | <ul style="list-style-type: none"> <li>• There could be a risk of job losses if duplication of roles is removed from the new structure.</li> <li>• Individual LA teams will risk losing their identity</li> <li>• The smaller team may feel that they are being taken over by the larger team and there is a risk that the needs of the smaller LA may be lost amongst the demands of the larger LA.</li> <li>• Some staff may experience a negative impact on salary</li> <li>• Roles will change and this could be disruptive.</li> <li>• One team would have to meet the need of two different LAs and this will be challenging given the differences.</li> <li>• Some staff may need to be relocated and this could have a negative impact (e.g. increase in travel time). It may also make the team less</li> </ul> | <ul style="list-style-type: none"> <li>• This creates a positive opportunity to create a training unit that is fit for purpose and future proof.</li> <li>• A fully integrated team will be best placed to consistently meet the needs of the region in a fair and equitable way.</li> <li>• This is the model that is most conducive to meeting the needs of the regional workforce partnership.</li> <li>• This model will provide the opportunity for staff to work at scale, using their specialisms.</li> <li>• This provides the best option for maximising the resources that are available and making best use of capacity and expertise.</li> <li>• This provides the best opportunity to standardise practice.</li> </ul> | <p>This was the staff teams preferred option. They felt that this option would provide an opportunity for teams to be fully integrated, following a restructuring that allows one team to operate across the region in a consistent way, whilst responding to the individual need of the two LAs. It was felt that this option would provide the best opportunity to create a training unit that reflected current and future needs, making best use of resources and offering the maximum benefit to customers.</p> |

|   |   |  |   |
|---|---|--|---|
|   | accessible to those staff / providers who are located in the other LA   | <ul style="list-style-type: none"> <li>• This provides an opportunity to streamline the available funding across the regional, administering it from one pot.</li> <li>• This model will reduce duplication and provide an opportunity to address current gaps.</li> </ul>   |   |
| <b>5. Externally commission the whole function with regional Training Unit being delivered by an external agency outside of both LAs.</b> | <ul style="list-style-type: none"> <li>• This could be more cost effective.</li> <li>• There may be an ability to generate income for the Local authority by delivering training at a profit for private businesses.</li> </ul> | <ul style="list-style-type: none"> <li>• It would be more difficult to achieve quality</li> <li>• There would be less ability of the service to be flexible and adapt to changing need.</li> <li>• There would be a risk that the service may not meet need and it may be difficult to retain control over provision</li> <li>• This was felt to be an extremely risky option – once the service was outsourced it would be more difficult to bring back in house</li> </ul> | Staff teams felt that this was not a viable option because it does not reflect the intentions of Welsh Government. It was felt that this option would pose significant risks to the two Local Authorities who would have less control over the quality of training provided and the ability to be flexible and adapt to meet changing need. |

|  |  | in the future if unsuccessful.  |  |
|--|--|---|--|
| <b>6. Merge both Training Units and locate within the Corporate Training Arm of one of the LAs</b> | <ul style="list-style-type: none"> <li>• There may be economies of scale by merging with the corporate training arm of a LA</li> <li>• This could release capacity and provide opportunities to close some of the current operational gaps.</li> <li>• There could be advantages to the hosting LA of having all its training provision in one place.</li> </ul> | <ul style="list-style-type: none"> <li>• There is a risk that the social care training units in both LAs would lose their identity following the merger.</li> <li>• There is a risk that control would be lost and needs would not be met.</li> <li>• This does not seem to be in line with Welsh Government's view of regional working within the social care sector.</li> <li>• There is a greater risk of a disconnect occurring between the Corporate Training arm of the hosting Local authority and the provision of social care training to the other LA.</li> </ul> | <p>Whilst staff were able to recognise the importance of an integrated regional training unit having a close working relationship with both LA corporate training arms, it was felt that there was a risk that the social care identity would be lost if the training unit merged with corporate training in one of the two LAs it was also felt that the loss of identity may make it more difficult to deliver training to the wider social care workforce and therefore may make it more difficult to meet the needs of the regional workforce partnership rather than strengthen existing partnership arrangements..</p> |

## Appendix B: Equalities Impact Assessment

**Policy/Strategy/Project/Procedure/Service/Function Title:** To consider the establishment of a Cardiff and Vale of Glamorgan Social Services Regional Workforce Development & Training Unit

**New/Existing/Updating/Amending:** New

**Who is responsible for developing and implementing the Policy/Strategy/Project/Procedure/Service/Function?**

Name: Angela Bourge

Job Title: OM Strategy, Performance & Resources

Service Team: Social Care Training Unit

Service Area: Social Services

Assessment Date: 20/12/2011

1. **What are the objectives of the Policy/Strategy/Project/ Procedure/ Service/Function?**

To consider the implications and options of establishing a Cardiff & Vale of Glamorgan Social Services Workforce Development & Training Unit

2. **Please provide background information on the Policy/Strategy/Project/Procedure/Service/Function and any research done [e.g. service users data against demographic statistics, similar EIAs done etc.]**

Each of the two Authorities currently operate separate Social Services Workforce Development & Training Units and have done so since 1996.

However working relationships between the two Units is strong and there is a significant level of joint working and cooperation between officers of the two Units.

Welsh Government (WG) policy is increasingly promoting Regional responses to their initiatives highlighted most recently in Social Services by the WG requirement for the establishment of Regional Social Care Workforce Development Partnerships. Other recent examples include the establishment of Regional Adult and Children's Safeguarding Boards. These changes present significant challenge to the workforce, workforce planning and training delivery in the Region.

The Social Services and Well-being (Wales) Act 2014 provides fresh impetus for changing working practices and in particular the relationship between workers in Social Services, Health & other Public Services within their communities.

It is therefore inevitable that the potential opportunities presented by the establishment of a Social Services Regional Workforce Development & Training Unit merits consideration.

In summary, the key driver for this proposal are therefore the opportunities it presents to organise the resources at the Region's disposal in the most effective way to deliver a social care workforce that is able to meet the expectations of the Act and the growing expectations of the population it serves.

### 3 Assess Impact on the Protected Characteristics

#### 3.1 Age

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive/negative/]** on younger/older people?

|                | Yes | No | N/A |
|----------------|-----|----|-----|
| Up to 18 years |     |    | x   |
| 18 - 65 years  |     |    | x   |
| Over 65 years  |     |    | x   |



**Please give details/consequences of the differential impact, and provide supporting evidence, if any.**

This proposal is not felt to have a differential impact on age. The unit currently delivers social care training to adults who work with both children and adults who have social care needs.

**What action(s) can you take to address the differential impact?**

### 3.2 Disability

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive/negative]** on disabled people?

|   | Yes | No | N/A |
|---|-----|----|-----|
| Hearing Impairment                        |     | X  |     |
| Physical Impairment                       |     | X  |     |
| Visual Impairment                         |     | X  |     |
| Learning Disability                       |     | X  |     |
| Long-Standing Illness or Health Condition |     | X  |     |
| Mental Health                             |     | X  |     |
| Substance Misuse                          |     | X  |     |
| Other                                     |     | X  |     |

**Please give details/consequences of the differential impact, and provide supporting evidence, if any.**

This proposal is not felt to have a differential impact on disability.

**What action(s) can you take to address the differential impact?**

There is currently no one in the team who is registered as disabled. However, we will ensure that any proposed office moves that may arise in the future from this proposal will cater for the needs to both staff members and members of the social care workforce who will be accessing training from the team.

**3.3 Gender Reassignment**

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive/negative]** on transgender people?

|   | Yes | No | N/A |
|---|-----|----|-----|
| <b>Transgender People</b><br>(People who are proposing to undergo, are undergoing, or have undergone a process [or part of a process] to reassign their sex by changing physiological or other attributes of sex) |     | X  |     |

**Please give details/consequences of the differential impact, and provide supporting evidence, if any.**

It is not felt that this proposal will have a differential impact on people who fall within the gender reassignment protected group

**What action(s) can you take to address the differential impact?****3.4. Marriage and Civil Partnership**

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive/negative]** on marriage and civil partnership?

|                   | Yes | No | N/A |
|-------------------|-----|----|-----|
| Marriage          |     | X  |     |
| Civil Partnership |     | X  |     |

**Please give details/consequences of the differential impact, and provide supporting evidence, if any.**

It is not felt that this proposal will have a differential impact on marriage and civil partnership.

**What action(s) can you take to address the differential impact?**

### 3.5 Pregnancy and Maternity

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive/negative]** on pregnancy and maternity?

|           | Yes | No | N/A |
|-----------|-----|----|-----|
| Pregnancy |     | X  |     |
| Maternity |     | X  |     |

**Please give details/consequences of the differential impact, and provide supporting evidence, if any.**

It is recognised that current team is disproportionately female. However, this proposal is not felt to have a differential impact on pregnancy and maternity. Women in the team who fall into this category will be afforded the same level of support as others employed by the Council.

**What action(s) can you take to address the differential impact?**

The fact that this service will be delivered regional may require current team members to cover a wider area when delivering training / assessing. However, individual risk assessments will always be carried out in such instances where women in the team are pregnant and appropriate adjustments will be made if it is appropriate to do so. This may mean that employees who fall into this category undertake more on-site training or substantially deliver training / assessments in one of the two local authority areas.

### 3.6 Race

Will this Policy/Strategy/Project//Procedure/Service/Function have a **differential impact [positive/negative]** on the following groups?

|   | Yes | No | N/A |
|---|-----|----|-----|
| White                                       |     | X  |     |
| Mixed / Multiple Ethnic Groups              |     | X  |     |
| Asian / Asian British                       |     | X  |     |
| Black / African / Caribbean / Black British |     | X  |     |
| Other Ethnic Groups                         |     | X  |     |

**Please give details/consequences of the differential impact, and provide supporting evidence, if any.**

It is not felt that this proposal will have a differential impact on race.

What action(s) can you take to address the differential impact?

### 3.7 Religion, Belief or Non-Belief

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive/negative]** on people with different religions, beliefs or non-beliefs?

|           | Yes | No | N/A |
|-----------|-----|----|-----|
| Buddhist  |     | X  |     |
| Christian |     | X  |     |
| Hindu     |     | X  |     |
| Humanist  |     | X  |     |
| Jewish    |     | X  |     |
| Muslim    |     | X  |     |
| Sikh      |     | X  |     |
| Other     |     | X  |     |

Please give details/consequences of the differential impact, and provide supporting evidence, if any.

It is not felt that this proposal will have a differential impact on religion

What action(s) can you take to address the differential impact?

### 3.8 Sex

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive/negative]** on men and/or women?

|       | Yes | No | N/A |
|-------|-----|----|-----|
| Men   |     | X  |     |
| Women | X   |    |     |

**Please give details/consequences of the differential impact, and provide supporting evidence, if any.**

It is recognised that women are disproportionately represented in the team. Therefore any changes that will be made will disproportionately affect this group.

There is concern that the proposal may mean that staff have to cover a wider area and this may impact on travel time and costs incurred from having to pay for parking.

**What action(s) can you take to address the differential impact?**

As far as it is practicable to do so, sites will be identified across Cardiff & Vale for the delivery of training in those areas. Whilst there will be an inevitability that if the proposal is agreed, staff will be required to deliver services to areas of the Vale as well as Cardiff, we will try to substantially play to people's strengths and knowledge and allocate work to them that is closest to their work base.

### 3.9 Sexual Orientation

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive/negative]** on the following groups?

|          | Yes | No | N/A |
|----------|-----|----|-----|
| Bisexual |     | X  |     |

|                       |  |   |  |
|-----------------------|--|---|--|
| Gay Men               |  | X |  |
| Gay Women/Lesbians    |  | X |  |
| Heterosexual/Straight |  | X |  |

|  |
|--|
| <b>Please give details/consequences of the differential impact, and provide supporting evidence, if any.</b> |
| It is not felt that this proposal will have a differential impact on sexual orientation                      |
| <b>What action(s) can you take to address the differential impact?</b>                                       |
|  |

### 3.10 Welsh Language

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive/negative]** on Welsh Language?

|                | Yes | No | N/A |
|----------------|-----|----|-----|
| Welsh Language |     | X  |     |

|   |
|---|
| <b>Please give details/consequences of the differential impact, and provide supporting evidence, if any.</b>  |
| It is not felt that this proposal will have a differential impact on Welsh Language. The Welsh Language Act and associated standards will be observed at all times in line with Council and legislative requirements. |
| <b>What action(s) can you take to address the differential impact?</b>  |
|   |

#### 4. Consultation and Engagement

What arrangements have been made to consult/engage with the various Equalities Groups?

Consultation has taken place with staff who are in scope for this proposed change via regional workshops and in team meetings within the individual Local Authorities.

Additionally a Regional Board and operational group was established to ensure that key stakeholders within both Councils were actively involved in shaping the proposals.

#### 5. Summary of Actions [Listed in the Sections above]

Page 70

| Groups                       | Actions   |
|------------------------------|---|
| Age                          |   |
| Disability                   | There is currently no one in the team who is registered as disabled. However, we will ensure that any proposed office moves that may arise in the future from this proposal will cater for the needs to both staff members and members of the social care workforce who will be accessing training from the team.   |
| Gender Reassignment          |   |
| Marriage & Civil Partnership |   |
| Pregnancy & Maternity        | The fact that this service will be delivered regional may require current team members to cover a wider area when delivering training / assessing. However, individual risk assessments will always be carried out in such instances where women in the team are pregnant and appropriate adjustments will be made if it is appropriate to do so. This may mean that employees who fall into this category undertake more on-site training or substantially deliver training / assessments in one of the two local authority areas. |
| Race                         |   |
| Religion/Belief              |   |



|   |  |
|---|--|
| Sex   | As far as it is practicable to do so, sites will be identified across Cardiff & Vale for the delivery of training in those areas. Whilst there will be an inevitability that if the proposal is agreed, staff will be required to deliver services to areas of the Vale as well as Cardiff, we will try to substantially play to people's strengths and knowledge and allocate work to them that is closes to their work base. |
| Sexual Orientation  |  |
| Welsh Language  |  |
| Generic Over-Arching<br>[applicable to all the<br>above groups] |  |

## 6. Further Action

Any recommendations for action that you plan to take as a result of this Equality Impact Assessment (listed in Summary of Actions) should be included as part of your Service Area's Business Plan to be monitored on a regular basis.

## 7. Authorisation

The Template should be completed by the Lead Officer of the identified Policy/Strategy/Project/Function and approved by the appropriate Manager in each Service Area.

|   |       |
|---|-------|
| Completed By : Angela Bourge  | Date: |
| Designation: Operational Manager: Strategy, Performance & Resources |       |
| Approved By:  |       |
| Designation:  |       |
| Service Area:   |       |

7.1 On completion of this Assessment, please ensure that the Form is posted on your Directorate's Page on CIS - *Council Wide/Management Systems/Equality Impact Assessments* - so that there is a record of all assessments undertaken in the Council.

For further information or assistance, please contact the Citizen Focus Team on 029 2087 3059 or email [citizenfocus@cardiff.gov.uk](mailto:citizenfocus@cardiff.gov.uk)

## Appendix C: Regional Manager Job Description & Person Specification

### City of Cardiff Council

#### JOB DESCRIPTION: Social Care Training Manager: Cardiff & Vale of Glamorgan Regional Workforce Development Training Unit & Partnership

**Service Area : Children's Services**

**Job Title :** Regional Manager, Cardiff & Vale Social Care regional Workforce Development Training Unit and Partnership

**Grade : subject to evaluation**

**Accountable to : Operational Manager (1), Strategy, Performance & Resources**

#### **Job Purpose**

- *To work at a strategic level to ensure the Implementation of a regional Workforce Development Programme, promoting joint working with Social Care Wales, across workforce development, service improvement and research, confirming approaches and building upon the many strengths across existing arrangements.*
- *To make an effective contribution to realising the national priorities for the Social Care Workforce in Wales, ensuring that the region's views are appropriately represented and reflected in national developments.*
- *To implement and manage the Regional Workforce Training Unit (WDTU) to ensure effective planning and delivery of a training and development service for Social Services employees.*

- *To deliver an effective Regional Workforce Partnership (RWP) that appropriately meets the current and future needs of the wider Social Care workforce.*
- *To provide a strategic lead on the development and implementation of training policies, strategies, plans, processes, procedures and activities which are appropriate to, and meet current and future needs for social care workforce planning and development across the region.*

#### **Job Specific Duties & Responsibilities**

1. Leading and managing the day to day planning, organising and delivery of social care development and training services across the region and their ongoing review and adjustment.
2. Manage, lead and motivate staff at the regional WDTU in order to ensure that the range of targets and key objectives set locally by the two Councils, regionally by the RWP and nationally by Welsh Government are achieved.
3. Develop and implement processes that ensure that the training and staff development needs of the workforce are addressed appropriately and in a timely way so that Council policies and procedures across the region can be implemented effectively and learning and development targets are met.
4. To ensure that relevant circulars, guidance and legislation concerning workforce training and development are considered, interpreted and implemented, subject to regional requirements and policies and procedures of both Council's.

5. To prepare the Annual Regional Training Business Plan in consultation with Social Services across Cardiff & Vale of Glamorgan and the wider Social Care Sector (via the RWP) and to co-ordinate all activities related to funding.
6. To lead and manage the day to day planning, organising, delivery and review of training programmes for the region.
7. To develop and implement effective information, monitoring and evaluation systems and ensure the provision of appropriate management information in respect of workforce planning and development.
8. To monitor and review the outcomes of learning, training and development to ensure effective evaluation.
9. To develop and maintain a high quality, dedicated Social Work Student learning function for the region.
10. To promote a learning culture to enhance the profile of staff development cross the region in order to meet internal challenges in Social services and external challenges for the wider Social Care sector in the region.
11. To be responsible for the overall management of all budgets allocated, with regular reports submitted to relevant managers in Social Services and to the RWP as required
12. To represent the region on outside bodies/partnerships and at meetings with those academic institutions and awarding bodies which are responsible for validating, providing and reviewing qualifications in social work and social care.
13. To promote interagency strategies which support and enhance joint working in respect of workforce planning and development.
14. To contribute to workforce planning and to policies which relate to the recruitment, retention and staff development of the

internal and external social care workforce.

15. To be accountable for managing risks, issues and change and proposing solutions where appropriate.
16. To promote a culture of critical enquiry, evidence based practice and learning within the programme.
17. To ensure that proposals are effective in meeting both Local Authorities', statutory duties in respect of Workforce Development and Planning.
18. Effectively deploy any dedicated staff time and resource allocated to the regional WTDU & RWP to ensure an effective response to priorities.
19. Lead and contribute to the development of policies and practice to meet changing and emerging needs ensuring compliance with requirements of legislation related to the services that fall within the programme.
20. To work within the governance arrangements set out by the RWP Board and provide regular progress reports to the Board at agreed intervals.
21. To develop a robust communication / consultation strategy that seeks to update and include key stakeholders, and service users in the developments set out in the annual business plan for the regional WTDU and RWP.

### **Corporate Duties & Responsibilities**

- Prepare and monitor regional budgets in accordance with Council policy, and ensure that delegated budgets are managed effectively by staff to maximise service outcomes.

- Formulate service plans and priorities for the Service that provide a clear line of sight to the Corporate Plans of both Local Authorities, to contribute to achieving the relevant areas of the overall corporate strategy, ensure that these plans and objectives are understood internally and externally and are effectively implemented.
- Be responsible for constantly revising and adapting a strategy for delivering a regional service which takes account not only of the intra-authority pressures, but also relates to the needs and aspirations of the people of Cardiff and the Vale of Glamorgan and to staff and resources available, or potentially available, to meet those needs.
- Build mutual confidence and respect and foster effective working arrangements with Cabinet Members, Chief Executive, Directors, Assistant Directors, Heads of Service, staff and Trade Unions representatives throughout both Councils to maximise the efficiency of the regional service.
- Define performance measures by placing a high value on the views of the people of Cardiff and the Vale of Glamorgan and demonstrate a commitment and willingness to meet directly with customers to ensure a customer focus to the service.
- Lead/contribute to the development and delivery of regional and sub regional partnerships that contribute to the efficiency programme of both Councils and their Social Services Directorates and develop and contribute towards delivering the objectives of Social Services and the wider RWDP, achieving value for money for the Council taxpayer and effective service for the people of Cardiff and the Vale of Glamorgan.
- Through the Lead Director for Workforce across the region provide full and detailed advice on the regional service to appropriate Members and account to the relevant Cabinet Member(s) via the established procedures to ensure that Members of both Council's are fully informed and involved in appropriate decision making.
- Be committed and sensitive to achieving the Councils' strategies, policies and practices in relation to equal opportunities to provide equality of access to the service and to move towards a more diverse workforce to reflect the diversity of the people of Cardiff and the Vale of Glamorgan.
- Ensure the RWTU management structure and its internal management processes are appropriate to delivery of the service and the implementation of policy. Recommend changes in the organisation, to respond to new circumstances or the achievement of new policy objectives.

- Be responsible for actively managing staff in accordance with Cardiff's Corporate Policy, which including effective performance management and performance appraisal arrangements at all levels and the monitoring and review of performance, to maximise the potential of staff and ensure effective delivery and contribution to the Council's Transformation programme.
- Ensure that legal, statutory and other relevant provisions governing or affecting Cardiff Council, or any other directions from the Director from time to time in force, are strictly observed to ensure probity and protect the Council from legal challenge.
- Take responsibility for any allocated cross authority project/assignment to ensure its successful outcome.
- Undertake other duties as may be reasonably required by the Director.

**DATE OF JOB DESCRIPTION: February 2017**

### Person Specification

**Designation of Post:** Regional Manager, Cardiff & Vale Social Care regional Workforce Development Training Unit and Partnership

**Post No:** TBA

**THE PERSON SO APPOINTED MUST FULFIL THE FOLLOWING REQUIREMENTS:**

|                        | <i><b>Essential</b></i>  | <i><b>Desirable</b></i>  |
|------------------------|--|--|
| Education & Training   | <ol style="list-style-type: none"> <li>1. Relevant training and development qualification</li> <li>2. Relevant Social Work Qualification and registered with the Care Council</li> </ol>   | <ol style="list-style-type: none"> <li>1. A recognised management qualification e.g. NVQ TDLB 5/4 or NVQ Management 5/4 MBA, M.Sc.</li> </ol>                    |
| Knowledge & Experience | <ol style="list-style-type: none"> <li>3. Experience of working in a Local Authority Social Services Directorate</li> <li>4. Knowledge of the relevant legislation and statutory regulations in respect of the care of adults, children and young people and knowledge of good practice in working with vulnerable people.</li> <li>5. Knowledge of the Social Care Workforce Development Programme, National Minimum Standards, National Occupational Standards and Qualification Frameworks</li> <li>6. Experience of the training cycle: needs analysis, design, presentation / facilitation, coaching and mentoring, evaluation.</li> <li>7. Knowledge of workforce recruitment and retention issues in the social care sector.</li> <li>8. Experience of developing performance management frameworks</li> <li>9. Experience of working in partnership with other agencies at a regional and national level.</li> </ol> | <ol style="list-style-type: none"> <li>2. Experience of assessing professional competence within the social work/social care qualification frameworks</li> </ol> |

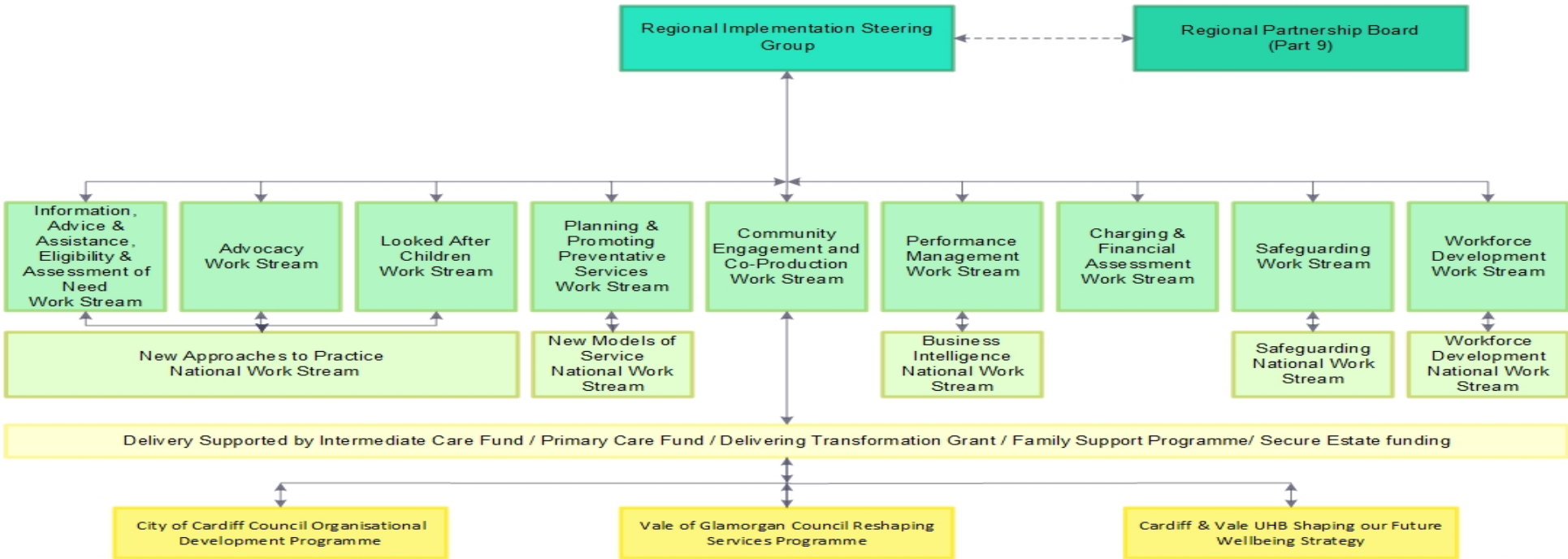


|                       |   |  |
|-----------------------|---|--|
|                       | 10. Experience of financial management including management of grant funded services.<br>11. Experience of managing Health & Safety<br>12. Experience of writing funding / grant applications   |  |
| Skills and Abilities  | 13. Problem solving and analysis skills<br>14. Project Management<br>15. Ability to negotiate and mediate and manage conflict<br>16. Ability to implement new models of working and effect positive change.<br>17. Excellent leadership skills, demonstrated in an ability to effectively manage staff performance, motivate staff and work collaboratively with colleagues to build strong teams.<br>18. Excellent oral and written communication skills<br>19. Good IT skills and a commitment to technology based solutions to service delivery.<br>20. Ability to reflect and evaluate own practice and demonstrates a commitment to continuing own professional development. |  |
| Personal Attributes   | 21. Commitment to the Council's Equal Opportunities Policy<br>22. Demonstrates a commitment to the application of Social Work values<br>23. Ability to work under pressure to meet objectives within tight timescales.  |  |
| Special Circumstances | 24. Ability to work outside of normal office hours when necessary.  | 1. Full valid driving licence and access to a car. |

# Appendix D Regional Workforce Partnership Governance Arrangements

Social Services and Well-being (Wales) Act 2014 - Implementation Governance Structure 2016/17

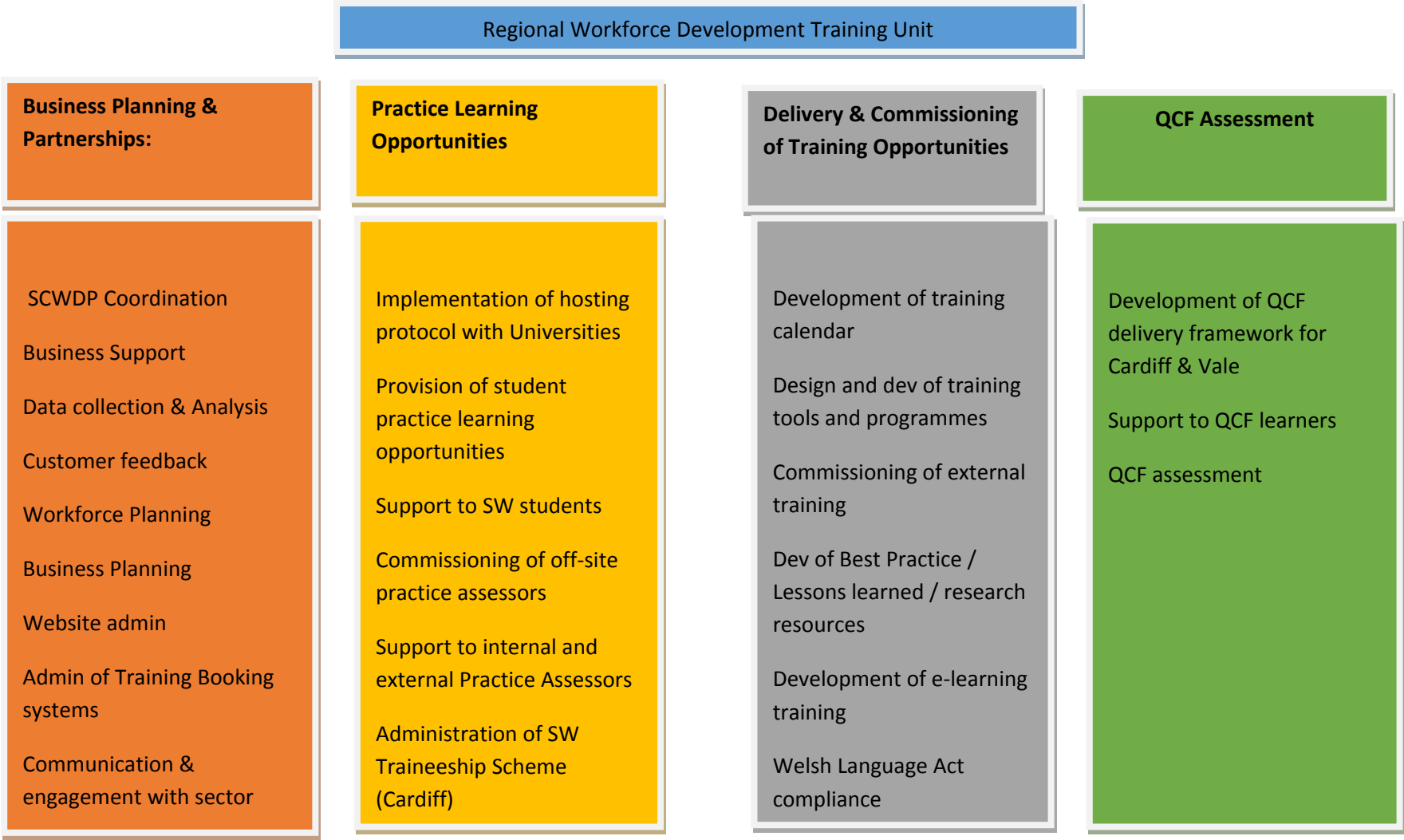
Page 80



Version 0.6 20 Dec 2016

# Appendix E: Overarching Operational Structure and Key Functions

Page 81



## Appendix F: Draft Implementation Plan

| Milestone  | Timescale   | Lead                                 |
|--|---|--------------------------------------|
| Cabinet Decision                                   | <b>End of October (Cardiff) / Beg of Nov (Vale)</b> | OM Strategy, Performance & Resources |
| Secure Project Management Capacity                 | <b>November</b>                                     | OM Strategy, Performance & Resources |
| Development / Creation of Regional Manager Post    | <b>Mid November</b>                                 | OM Strategy, Performance & Resources |
| Develop Partnership Agreement and achieve sign off | <b>End of December 2017</b>                         | OM Strategy, Performance & Resources |
| Recruitment & Appointment of Regional Manager      | <b>End of December 2017</b>                         | OM Strategy, Performance & Resources |
| Progress staffing Issues related to TUPE transfers | <b>Dec 2017 – March 2018</b>                        | Regional Manager                     |
| Secure interim ITC solutions for team              | <b>End of March 2018</b>                            | Regional Manager                     |
| Develop MOU re Information Sharing                 | <b>End of February 2018</b>                         | Regional Manager                     |

|   |                         |                  |
|---|-------------------------|------------------|
| Launch of new regional WDTU   | <b>April 2018</b>       | Regional Manager |
| Bedding in period and consultation with staff and Trade Unions on restructure proposals | <b>July – Sept 2018</b> | Regional Manager |
| Implement Performance & Quality Assurance Framework                                     | <b>July 2018 2018</b>   | Regional Manager |
| Implement Restructuring Proposals   | <b>Sept 2018</b>        | Regional Manager |
| Explore alternative accommodation options and agree future accommodation arrangements   | <b>December 2018</b>    | Regional Manager |

This page is intentionally left blank

**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**CABINET MEETING: 12 OCTOBER 2017**

---

**CABINET RESPONSE TO THE REPORT BY THE CHILDREN AND  
YOUNG PEOPLE SCRUTINY COMMITTEE ENTITLED FEMALE  
GENITAL MUTILATION**

**CHILDREN & FAMILIES (COUNCILLOR GRAHAM HINCHEY)**

**AGENDA ITEM: 3**

---

**DIRECTOR OF SOCIAL SERVICES**

**Reason for this Report**

1. To respond to a report published by the Children and Young People Scrutiny Committee in July 2017 entitled "Female Genital Mutilation (FGM)".

**Background**

2. As part of the Children and Young People Scrutiny Committee work programme for 2016/17, the Committee agreed to undertake a short scrutiny inquiry into Female Genital Mutilation (FGM). The scope of the scrutiny was to ascertain the scale of the problem in Cardiff and to identify how the issue is being addressed.
3. The aim of the Inquiry was to:
  - Identify the scale of the problem in Cardiff.
  - Identify options to improve awareness of FGM across professional and ethnic minority groups.
  - Improve the training of professionals who may come into contact with FGM.
  - Ascertain what work is being undertaken in the wider community and schools.
  - Identify ways to improve the operation of the FGM clinical pathway including proposals for an all Wales FGM clinic.
  - Improve the collection and robustness of FGM data across Cardiff.

**Issues**

4. The report recognised that there had been a lot of work undertaken at operation level in relation to tackling FGM in Cardiff.

5. The report made 20 key findings under the following nine headings: Strategic, Joined-Up Working, Data/Information in relation to FGM, Challenging Cultural/Belief Conventions, Training, Awareness Raising/Education, Reporting FGM Cases, Protocols/Procedures/Policies, All Wales FGM Clinic and Funding Issues.
6. The report makes four recommendations which have been fully or partially accepted. Full details of the recommendation and response are contained in Appendix A.

### **Reasons for Recommendations**

7. To enable the Cabinet to respond to the report published by the Children and Young People Scrutiny Committee.

### **Financial Implications**

8. There are no direct financial implications arising from this report

### **Legal Implications**

9. There are no legal implications arising from this report,

### **RECOMMENDATION**

Cabinet is recommended to agree to the response to the recommendations as set out in Appendix A.

**TONY YOUNG**

**Director of Social Services**

6 October 2017

*The following appendix is attached:*

Appendix A: Cabinet Response to the Report by the Children and Young People Scrutiny Committee into "Female Genital Mutilation (FGM)"

*The following background papers have been taken into account*

July 2017 report published by the Children and Young People Scrutiny Committee entitled "Female Genital Mutilation (FGM)"



### **Cabinet Response to the Report by the Children and Young People Scrutiny Committee into “Female Genital Mutilation (FGM)”**

The Scrutiny Committee report is welcomed, in particular that Members concluded they were satisfied that effective processes and procedures are in place to deal with FGM cases as well as systems in place for the reporting and monitoring of “at risk” families and girls and that Members were satisfied that, locally, any cases of FGM would be dealt with effectively and sympathetically.

R1. It is recommended that the Council take a lead role in establishing a local partnership group to address FGM in Cardiff (supported by KF1). This group should be responsible for the strategic and operational overview of FGM. This will include:

- Data collection and intelligence gathering (KFs 2-4).
- Linking with partners and communities to play a more proactive role in:
  - Community engagement (KFs 5-7).
  - A coordinated training package across all professionals (KFs 8-9).
  - Coordinated Awareness Raising and Education Programme, approach to professionals; communities affected by FGM; wider community generally (KF 11).
  - Training and awareness raising/ education in all schools, including teacher training, attendance officers etc. (KFs 10-11).
  - Development of Protocols and Pathways (KFs 14-15).
  - Development of an FGM Strategy and Action Plan (KF 16).
  - Support for the FGM Clinic Trial (KF 18).
  - Work with partners to explore funding streams for delivering the above (KFs 19-20).
- Explore spreading the work amongst partners and other third sector organisations, to relieve the pressure on BAWSO, both in terms of financial and time constraints they currently find themselves with (KF19).

### **RESPONSE: THIS RECOMMENDATION IS PARTLY ACCEPTED.**

Children’s services will be reviewing the current CSE strategy in October of this year with a view to broadening the scope to take in wider exploitation such as modern slavery, child trafficking and the criminal exploitation of children. It is likely that FGM can be included within that broad strategy so that rather than duplication, the mechanisms for community engagement, training and awareness raising, multi-

agency working and information sharing can be utilised to address the issues relating to FGM.

Children's services records the number of referrals made, by which agency and the outcome of the referral. These are broken down by age and, by definition, gender. The figures do not currently differentiate between concerns that a child is at risk of FGM and where a child has already been mutilated. The recording process within children's services will be amended to ensure all new cases of FGM being perpetrated on a child can be separately recorded.

There are clear and effective protocols and procedures in place. Children's services work closely with health. Maternity services procedures include a mandatory question on FGM (for women of all ethnicities). There is confidence that the child of any mother who has been mutilated will be referred to children's services by maternity services and be subject of a Wellbeing Assessment. The family will be offered advice and information in relation to the law.

Children who have been identified as having been mutilated are referred by health professionals to the Sexual Assault Referral Centre (SARC) for a paediatric medical examination so that the health needs of the child can be fully assessed. There is a child protection response from police and children's services in these circumstances.

R2. It is recommended that the Council play a key role in the Crown Prosecution Service / BAWSO led FGM Task & Finish Group to address improved data collection/reporting and local intelligence (KFs 2-4); and the FGM Strategy and Action Plan (KF16).

**RESPONSE: THIS RECOMMENDATION IS ACCEPTED.**

**Recommendation to the Crown Prosecution Service and BAWSO:**

R.3 The FGM Task & Finish Group report back to this Scrutiny Committee within 12 months on its findings in relation to the following:

- Identifying, developing and implementing a system for the collection of FGM data that can be used and shared across all partners. This should include breaking down the data into type of FGM procedure, age profiles, ethnic origin, number of re-referrals etc.
- Work across all partners to develop statistics in relation to the local population, to identify the range of communities in Cardiff.
- Evaluate the approach used in Bristol as a potential benchmark for kick starting this process.

- Development of an FGM Strategy and Action Plan.

*Supported by KFs 2-4; 16*

**Response:** This recommendation is for external agencies. Children's Services would welcome the implementation of a system to collect data from multi-agencies centrally and would contribute to it. In order to support progress in this area, this recommendation should be considered by the Public Service board and the Chair of the PSB should be invited to write to the Crown Prosecution Service and BAWSO to offer assistance in taking this forward.

#### **Recommendation to the Children & Young People Scrutiny Committee:**

**R4. It is recommended that this Scrutiny Committee write a letter of support for the FGM Clinic Pilot, based on the findings from this Inquiry (KF18).**

**Response:** This recommendation is for the Children & Young People Scrutiny Committee and is welcomed by the Cabinet

This page is intentionally left blank

## **DEVELOPING THE EDUCATION ESTATE IN CARDIFF**

### **EDUCATION, EMPLOYMENT & SKILLS (COUNCILLOR SARAH MERRY)**

#### **AGENDA ITEM: 4**

### **DIRECTOR OF EDUCATION AND LIFELONG LEARNING**

#### **Reason for this Report**

1. To outline the challenges and opportunities facing Cardiff in the development of the education estate and to highlight aspects which require proposals to be brought forward to subsequent Cabinet meetings in the following areas:
  - Cardiff priority schemes for Band B of the 21<sup>st</sup> Century Schools Programme
  - An approach to the development of provision for learners with additional learning needs (ALN), including the development of new provision and the remodelling of existing provision in Cardiff schools

#### **Context**

2. The Council and its partners outlined in 2016 a clear vision for education in the city in Cardiff 2020: a renewed vision for education and learning in Cardiff

“All children and young people in Cardiff attend a great school and develop the knowledge skills and characteristics that lead them to become personally successful, economically productive and actively engaged citizens.”
3. There are five key goals to deliver Cardiff’s aspiration:
  - Excellent outcomes for all learners
  - A high quality workforce
  - 21<sup>st</sup> Century learning environments
  - A self-improving school system
  - Schools and Cardiff in partnership
4. The Council’s Capital Ambition strategy has made a clear commitment to continuing the investment in, and improvement of, Cardiff schools to

make sure every child has the best possible start in life. The delivery of 21<sup>st</sup> century learning environments will ensure that there are appropriate, high quality school places for young people which meets the needs of Cardiff's growing and changing population.

5. In recent years there has been significant investment in the development of the education estate in Cardiff, both prior to, and then as part of, the Band A phase of the Welsh Government 21<sup>st</sup> Century Schools Programme. Cardiff has benefitted greatly from the initial "Band A" investment programme of the 21<sup>st</sup> Century Schools programme, with circa £164 million to expand the number of both English and Welsh medium places. Band A will deliver two new High Schools: Eastern High in collaboration with Cardiff & Vale College and Cardiff West Community High School as well as six new primary schools.
6. However significant challenges remain as a result of the rapid growth in the school age population, and against a background of many of the existing school buildings requiring significant further investment to bring them up to an acceptable standard.
7. The first part of this report outlines the:
  - Sufficiency needs of the school population;
  - Condition of the school estate;
  - Suitability of the estate to meet the demands of 21<sup>st</sup> Century Learning;
  - Projected growth in education provision resulting from the Local Development Plan.
8. **Sufficiency** refers to the capacity of the school estate to meet the numbers of young people who require school places.
9. There are four categories used to define the **condition** of school buildings.

These are:

  - A - Performing as intended and operating efficiently;
  - B - Performing as intended but exhibiting minor deterioration;
  - C - Exhibiting major defects and not operating as intended;
  - D - Life expired and risk of imminent failure.
10. The factors that influence **suitability** of use for the delivery of 21<sup>st</sup> Century learning are:
  - Age of school (c.50% of Cardiff schools built 1945-1976; 25% Victorian schools);
  - Building design;
  - Pedagogy;
  - Best use of facilities.

The report then sets out the challenges facing Cardiff in relation to:

- Cardiff priorities for Band B of the 21<sup>st</sup> Century Schools Programme
- Funding for the management and maintenance of the existing education estate
- An approach to the development of provision additional learning needs (ALN), including the development of new, and the remodelling of existing, provision in Cardiff schools.

## **Analysis of Need**

### **Sufficiency Issues in the Mainstream**

11. The Council, as the Local Education Authority, has a statutory duty under the Education Act 1996 to ensure that it provides sufficient school places in Cardiff. This requires the Council to ensure that it has local schools for local children and an appropriate balance of school places in primary, secondary, and special sectors and through the mediums of both English and Welsh for the young people of Cardiff.
12. The significant factors that influence the sufficiency of school places in Cardiff include:
  - A rapidly growing population in the city that has seen growth by 1.1% per annum, which is equivalent to around 4,000 individuals for the past 10 years;
  - This has resulted in successive, large reception age cohorts of 4,200 children entering the system and significantly exceeding the intakes in the last 10-year period. The most recent reception intake represents an increase of 28%, with over 800 more children, compared to the 2006 intake of 3,381;
  - The large primary cohorts are now reaching secondary school age and by September 2019, they will exceed the numbers of places available across the city at entry to Year 7;
  - As Cardiff's population has grown, so has the number of children with Additional Learning Needs (ALN). At present, 23.4% of pupils in Cardiff schools have an Additional Learning Need (ALN). There are currently appropriately 1,800 statements of ALN across the authority. There are a range of schools and settings located across Cardiff which meet the educational needs of this cohort of young people. However the demand for places exceeds the number of places available and this trend is set to continue into the future.
  - The Local Development Plan adopted by Cardiff maps the infrastructure required to facilitate and sustain the city's growth up to 2026. This involves the potential building of 41,415 homes over the period of the plan, including sizeable strategic sites in the north and west of the city. There will be up to 5000 homes in each area. This will generate significant increases in the demand for school places across the city over the next 10 years.

## **Primary Sector Sufficiency**

13. 4,339 children entered reception in September 2016. There was a 5% surplus of places at reception and a 6.4% surplus in the other year groups of the mainstream primary sector (ages 4-11). The Council has delivered:
  - 6% surplus in English Medium primary schools (age 4-11);
  - 9% surplus in Welsh Medium primary schools (age 4-11).
14. An analysis of levels of surplus in the primary school sector indicate that a broad balance in the supply of, and demand for, English Medium places may be achieved through changes to catchment areas and/ or other organisational changes. There remain some localised sufficiency issues in Butetown and in Fairwater.
15. In accordance with the Welsh Government Policy aspirations and the Cardiff Council's Welsh in Education Strategic Plan (WESP), some additional investment is necessary to increase Welsh medium places in primary phase.

## **Secondary Sector Sufficiency**

16. The rising primary aged school population will lead to a shortage of English medium secondary school places in 2019.
17. There are currently 134 forms of entry for Year 7 combining Foundation, Faith and Community secondary schools across both English and Welsh language mediums.
18. The most recent secondary school projections suggests that demand for:
  - English-medium places at entry to secondary education (Year 7) will exceed places available by September 2019;
  - English-medium places throughout the whole secondary age range (11-16) will exceed places available by September 2022;
  - Welsh-medium places at entry to secondary education will exceed places available by September 2021.
19. The projections indicate that there will need to be an additional 8 Forms of Entry (equating to 240 pupil places more per year) over and above the existing 114 form of entry city-wide at entry to Year 7 in the English-medium sector, in order to accommodate the existing residential population and known migration patterns. The central areas of the city have the most acute need for additional schools places.



## **Bilingual Cardiff 2017-202 and Welsh in Education Strategic Plan 2017-2020**

20. The Welsh Government's Welsh Language Strategy sets out the vision of a million Welsh speakers across Wales by 2050. Cardiff Council has developed a five-year Bilingual Cardiff strategy to increase the number of Welsh speakers within Cardiff that builds upon the work already undertaken to meet the needs of Welsh speakers, learners and communities across the city.
21. Cardiff Council believes that the education system is a key element in ensuring that children are able to develop their Welsh skills, and for creating new speakers. Cardiff's Welsh in Education Strategic Plan (WESP) supports both strategies. The WESP also contributes to the seven national well-being goals within the Well-being of Future Generations Act. In particular to a prosperous Wales providing high quality education and training to children and young people in the language of their choice and creating a vibrant and thriving Welsh culture.
22. Between 2016/17 and 2021/22, there is a projected increase of total pupils taught through the medium of Welsh in Cardiff to 15.2% making a significant contribution to meeting the targets set in the Council's Bilingual Cardiff Strategy.
23. It is recognised that the continued growth in the Welsh-medium primary sector will necessitate an increase in provision in the Welsh-medium secondary sector, however it is not anticipated that this will be required until after 2022. There is currently a 16% net surplus capacity within the secondary sector due to the 3<sup>rd</sup> Welsh Medium High School, Ysgol Bro Edern, opening in the 2013/13 academic year. Therefore, adaptation to existing provision can be utilised until after 2024, taking the need for additional Welsh secondary provision outside of the timescales of Band B. For Reception applications in September 2017, there was 12% surplus capacity across 10 Welsh medium primary schools, as Cardiff has invested heavily in primary sufficiency as part of its Band A capital programme.
24. The Council will continue to monitor pupil projections, conduct feasibility studies and undertake planning and development work to ensure that the Council will be in a position to ensure the sufficiency of Welsh medium secondary places when necessary. Additional provision will be required to accommodate the residential population generated by the Local Development Plan (LDP) major housing sites in the North and West of the City.

### **Sufficiency Issues in the special sector**

25. There has been a significant growth in the numbers of young people with Additional Learning Needs (ALN) since 2012. This can be attributed to the general population growth but it is also related to other factors, such

as the improved survival rates for children with complex disabilities and increased incidence/identification of autism spectrum conditions.

26. The need for special school places is projected to grow over the next 5-10 years. Increased need is anticipated in all areas of ALN and particularly in:
- Behaviour emotional and social needs (BESN);
  - Complex learning needs (CLN); The term CLN is used here as a generic term for a range of primary need labels, including severe learning difficulties (SLD), physical and medical needs (PMED), profound and multiple learning disabilities (PMLD).
  - Autism spectrum conditions (ASC).
27. Between 2017 and 2022 an additional 220 places for pupils with autism spectrum conditions and complex learning needs, and approximately 70 additional places for pupils with behaviour emotional and social needs, will be required in order to meet growing demand.
28. The rate of growth over the last 5-10 years has exceeded earlier projections. Over the last two years, the Local Authority special school provision has been unable to meet fully the current need. The additional provision, afforded by the development of Ty Gwyn and the Marion Centre, are now at capacity, with no further scope to extend specialist places within the current accommodation.
29. Cardiff has been obliged to turn to the independent sector in order to comply with statutory duties. In 2017-18, Cardiff will be funding 113 pupils in independent special school places at a total cost of £2.5M. The cost of these places ranges from £28K to £57k per annum, compared to costs for Cardiff special schools of £14k to £25k per annum. The reliance on independent schools is a significant financial challenge for Cardiff.
30. Ty Gwyn Special School expanded and transferred to a new building in 2009. It is now at maximum capacity and provides 170 places for young people who have profound and multiple learning difficulties or autism spectrum conditions.
31. The Marion Centre, on the site of the Bishop of Llandaff School, provides 55 places for young people with autism. There has been successive growth year-on-year and this specialist provision is now at maximum capacity.
32. Over the same period, Cardiff has expanded places in other Specialist Resource Bases (SRBs) located in mainstream schools, particularly for pupils with autism spectrum conditions. Since 2012, 40 additional places have been provided through the development of new SRBs.

### **Condition & Suitability Issues**

33. Cardiff has a very large education estate, with over 127 school properties. Many sites comprise of multiple blocks, constructed during

different decades. A large number of primary, secondary and special schools are in a poor state of repair.

34. Using a detailed and robust methodology, a prioritisation matrix has been developed to classify all properties across the school estate from A to D, with D being the worst category for the following issues:
  - Sufficiency of places available;
  - Condition of the school buildings;
  - Suitability of the environment for teaching.
35. The sufficiency ratings for all schools were prepared using the corporate population database and methodology used for the planning of school places. The condition and suitability rating were prepared independently, using Welsh Government approved methodology.
36. Approximately £17m, or 14%, of maintenance and condition issues of the estate have been addressed through Band A of the 21<sup>st</sup> Century Schools investment programme. There has been significant investment in the construction of two new high schools in the East and West of the City and suitability works undertaken in primary schools.
37. This nonetheless leaves a significant maintenance backlog of approximately £68M, of which circa £8M is Equality Act 2010 compliance. The Local Authority's current spend on school asset renewal has been circa £3m per annum. This resource is allocated on a priority basis and is predominantly limited to keeping properties safe and watertight.
38. Works to address the compliance issues in a number of secondary schools in 2016-2017 required an additional investment of approximately £5 million. A complete review of electrical compliance issues across the city's entire education stock resulted in additional compliance works, estimated to have cost approximately £350K.
39. Electrical works completed in response to condition surveys have resulted in a much reduced asset management budget for the medium term. Resources have been brought forward from future years to address the immediate problems and during the summer vacation in 2017 further asset management works have been completed.
40. The electrical compliance works, and the significant backlog in condition and suitability works, require the Council to explore ways of securing significant additional investment in the education estate. This investment is required to ensure that its ageing educational properties remain safe and are fit-for-purpose into the future.
41. In order to understand fully the current condition and suitability of the school estate, Project Management Consultants were engaged in 2017 to update the 2010 conditions surveys. The focus of the 2017 analysis was the top 15% of the school estate in the worst condition, or properties with significant suitability issues. It is intended that the entirety of the

education estate is resurveyed by the end of the year. Table 1 shows the proportion of schools classified as C and D.

**Table 1: C and D Condition Properties**

| <b>C Condition Property</b>  | <b>D Condition Property</b>         |
|--|-------------------------------------|
| 42% Primary Sector (41 schools)<br>56% Secondary Sector (10 schools)<br>88% Special Sector (6 schools) | 16% of Secondary Sector (3 schools) |

42. There are now three High Schools in Cardiff that are classed as “D”, which means that they are at the end of life in terms of their condition. These are Cantonian High, Willows High and Fitzalan High.
43. A large proportion of primary, secondary and special schools are classified as “C” condition, which means that they are exhibiting major deterioration. This represents 46% of the overall estate. There are two schools, which are in the sub-classification of “C-“. This means that the buildings are nearing their end of life and will require urgent attention in the very near future. These are the Court Special School and Riverbank Special School.

### **Suitability**

44. In a number of Cardiff schools, teaching is inhibited by the suitability of both internal and external accommodation. Factors such as the flexibility of the space, its size and shape, levels of light, accessibility, ventilation and acoustics are restricting the access of young people to a broad and balanced curriculum.
45. From the suitability surveys, it was found that the majority of secondary and primary schools surveyed were classed a “C”. This means that their environments are poor, inhibit 21<sup>st</sup> Century teaching and learning and have an adverse impact on the school organisation.
46. Four schools in the special sector are classified as “D” for suitability (Table 2). These properties have poor environments, with the buildings seriously inhibiting the schools’ ability to deliver the curriculum.

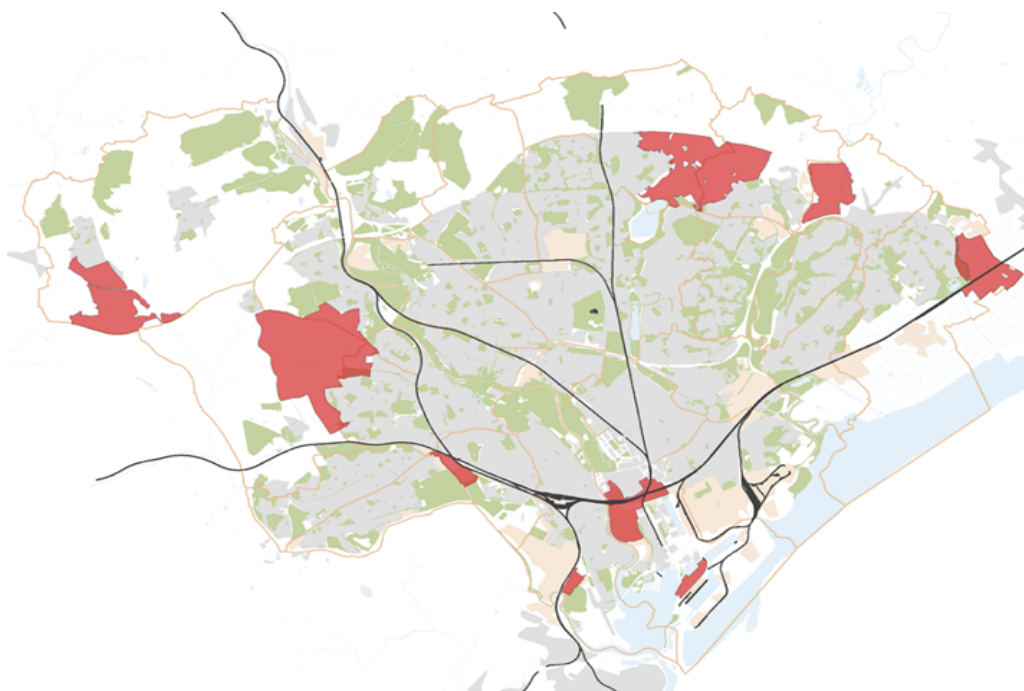
**Table 2: D Suitability Properties**

| <b>D Suitability Property</b> | <b>ALN Category</b> |
|-------------------------------|---------------------|
| The Court Special School      | BESD (4-11)         |
| Greenhill Special School      | BESD (11-16)        |
| Riverbank Special School      | CLN (4-11)          |
| Woodlands Special School      | CLN (11-19)         |

## Local Development Plan & Major Housing Sites

47. The current northeast housing site is expected to generate demand for a 8-form entry high school, with the same demand situation projected in the west of the city. Current indications are that these will not be required until 2022/23 onwards. However, some temporary measures may be required to accommodate demand from the early phases of housing.
48. Determining the type of educational provision and the time-frame for delivery will be a significant aspect of the planning of educational places in the new housing sites. There will also be special school provision included in these new areas. The proportion of education provision in each medium and denomination will vary according to demand within particular communities at the time of the building development. The nature of the demand will be monitored throughout the build periods to ensure that there is a sufficiency of places in all mediums and school categories across the city.
49. The provision of new schools serving newly established communities, in the Local Development Plan major housing sites in the North East and North West provides Cardiff with the opportunity to provide new Welsh-medium provision. It may also provide opportunities to re-organise existing English-medium and Welsh-medium provision, where appropriate, in adjacent communities to deliver the aims of Cardiff's Welsh in Education Strategic Plan (WESP), Bilingual Cardiff Strategy and the Welsh Government Welsh Language strategy.

### Map 2: Local Development Plan, Housing Areas



## **Action required to address the needs in the education estate in Cardiff**

50. The city has already responded to the statutory duties to provide a sufficiency of school places through the delivery of the Band A 21<sup>st</sup> Century Schools and Education Programme and through other investment as outlined earlier in this report. However it is clear that the growth of the pupil population, the age and condition of much of the existing education estate and the marked growth in the need for further special additional learning needs provision, require action to be taken both within the timespan of Band B, 2019-2014 and prior to it.

### **21<sup>st</sup> Century Schools Programme**

51. The 21<sup>st</sup> Century Schools and Education Programme is a collaboration between the Welsh Government (WG), the Welsh Local Government Association (WLGA) and Local Authorities. It is a major, long-term and strategic, capital investment programme with the aim of creating a generation of 21<sup>st</sup> century schools in Wales. The programme focuses resources on the right schools in the right places, from early years through to Post-16. Band B of the programme runs for 2019-2024. Councils have been invited by Welsh Government to outline their priorities in the allocation of this funding, which in Band B draws on two funding models.
52. The Band A programme for 21<sup>st</sup> Century Schools was predicated on a 50:50 funding split with each local authority. The funding provided by Welsh Government took the form of either capital grant funding passed directly to each local authority or revenue funding provided to each local authority to fund the capital financing costs associated with prudential borrowing undertaken in respect of the Welsh Government's 50% share. The Council's 50% share was funded through a combination of capital receipts, released as a result of certain schemes undertaken, Section 106 funding and prudential borrowing. The prudential borrowing undertaken was funded through the SOP Revenue Reserve, set up to manage the revenue expenditure associated with Band A, which was itself funded from revenue release savings from the School Delegated Budget.
53. Welsh Government's approach to Band B is slightly different, in that an additional option has been made available to local authorities. Whilst the traditional capital grant funding model, predicated on a 50:50 cost sharing arrangement, continues to be available, the WG introduced the Mutual Investment Model (MIM) as an alternative option. The MIM is a revenue funded option and is based on a 75:25 cost sharing arrangement in the favour of local authorities. The basic premise of the model is that any new schools created would be initially funded by the private sector through Special Purpose Vehicles, in which Welsh Government would be represented, and local authorities would then lease the assets created over a period of 25 years. As such, local authorities would pay an annual lease payment for use of the new school facilities, rather than incurring the upfront capital costs associated with

constructing and then owning the facilities. Welsh Government's proposal would be to provide revenue funding towards 75% of the annual lease payments for the 25 year period. At the end of the 25 year period, the assets would transfer over to the respective local authorities.

54. Cardiff Council's proposed vision for its Band B 21st Century School Strategy is to deliver:

*"Inspiring, sustainable, community-focused schools in which children and young people can achieve their potential"*

55. This vision can be realised through the achievement of four Key Educational Aims that directly link to the Welsh Government's National Programme Objectives.

Aim 1: To provide a sufficiency of school places across the city that are in the right place and are at the right size to enable the delivery of excellent education provision.

Aim 2: To provide high quality educational facilities that will meet the diverse requirements of the 21st Century.

Aim 3: To optimise the use of education infrastructure for the benefit of the wider community across Cardiff.

Aim 4: To ensure that Cardiff achieves best value from its resources to improve the efficiency and cost effectiveness of the education estate.

56. A Stakeholder Reference group was formed in March 2017 to secure views of stakeholders on the priorities for Cardiff's school organisation programme for 2019-2024, including the Band B submission. Chaired by Chris Taylor, Professor of Education at the Wales institute of Social and Economic Research, the group had a wide range of headteacher and some governor representation from the primary, secondary and special schools and early years' representatives. The purpose of the group was to:

- Review the population projections for the city;
- Comment on the Local Development Plan (LDP) Education Strategy;
- Review the methodology for the Band B 21<sup>st</sup> Century Schools Programme.

57. The Stakeholders Reference Group met on six different occasions between March and June 2017. The group covered the funding context, population projections, the LDP, condition and suitability, the theory and design underpinning 21<sup>st</sup> Century Schools, Additional Learning Needs, Sixth Form provision, the influences of, and upon, parental preference and explored principles for prioritization of schemes. The outcome of the work of this group was disseminated to all headteachers at the citywide meeting in July 2017.

58. The Stakeholders' Reference Group proposed some guiding principles to inform the priorities for Band B in Cardiff. These are:

- Every school should be secure, safe and be fit for purpose for 21st Century learning;
  - Meeting the needs of learners should determine priorities;
  - Proposals should ensure/maximise equality of opportunity and accessibility (and conversely not worsen equality of opportunity).
59. The sufficiency, suitability and condition issues in Cardiff outlined in the first part of this report are the basis for the request for funding from Cardiff to Welsh Government under the Band B programme. Funding is required to enable the Council to:-
- Remove “D” condition, end of life, school properties;
  - Address the 8 form of entry sufficiency issue in the English medium secondary sector in the central area of the City;
  - Address the sufficiency, condition and suitability issues in the Special Sector, in both primary & secondary settings;
  - Address local sufficiency issues in Welsh medium primary schools in the East & West of the City;
  - Address local sufficiency issues in English medium primary schools in Cardiff Bay & West of the City.
60. The Band B phase of the 21st Century Schools Programme will commence in April 2019 and is scheduled to run until 2024.
61. The outline programme will address a significant proportion of the asset maintenance backlog within the school estate. It is not possible, however, to address all issues within Band B and other options will be considered for those schools not within the outline of this programme.
62. The funding required by the Council to match fund the 21st Century Schools will depend on clarification of the amount of funding available from Welsh Government and of the most viable funding model. It is anticipated that indicative allocations of funding will be announced in late October or early November 2017. Following this notification, proposals for specific schemes would be developed and would be outlined in a subsequent paper to Cabinet for decision.
63. Any specific project to increase the size of a school establishment, or change its location will require statutory consultation and Cabinet determination. The statutory consultation would set out the detailed proposals and proposed location for each scheme. It would also indicate whether there were any proposed co-locations with other educational establishments. It is important that these are considered in full, alongside any collaborative opportunities, in order to optimise the economies and educational benefits that can be delivered from the projects.

## **Asset Management**

64. The Band B submission for 21<sup>st</sup> Century funding will only address some of the condition and suitability issues. The 46% of the overall school estate in a “C” condition, which is exhibiting major deterioration, will need attention in the near future.



65. The need to increase funding within the capital programme for school asset renewal will be progressed as part of the Council's future capital programme.
66. Schools comprise a very significant proportion of the Council's overall estate. Strengthened alignment between the management of school buildings and of the wider Council estate will be delivered through a refreshed approach to the exercise of the Council's responsibilities as "landlord" across all aspects of the estate, with, in particular, an enhanced focus on ensuring health and safety compliance.
67. Whilst Band B will significantly reduce the asset maintenance backlog, a limited number of schools will experience the benefit of the Welsh Government and Cardiff Council investment. As a result, a large number of schools will continue to experience issues in respect of the condition of their building. The pressure upon the annual asset renewal budget, approved as part of the Council's annual capital programme, will continue to be high.
68. In the Council's Budget Strategy Report, approved by Cabinet at the meeting of 27 July 2017, the approach to the capital programme was outlined for the next financial year. The need to address funding within the capital programme for school asset renewal will be progressed as part of the Council's process for developing the next iteration of the capital programme, and in light of funding allocation announcements from Welsh Government in relation to Band B. Proposals will be included in the February 2018 Budget report.

### **Developing provision to meet Additional Learning Needs**

69. In order to address some of the immediate pressures related to the shortfall in the sufficiency of special school places, there is a need to implement short-term, interim measures in addition to planning for longer term expansion of provision.
70. With regard to the needs of children and young people with behavioural emotional and social needs (BESN), the Council has taken steps to provide additional 'revolving door' places for primary pupils, expand the Pupil Referral Unit (PRU) and secure alternative curriculum provision for secondary pupils from September 2017. A further 50 new places are likely to be needed between 2018 and 2022.
71. In the short-term, additional places could be provided by developing 6-8 additional Specialist Resource Bases (SRBs) across the city. The current geographical distribution of Specialist Resource Bases (SRBs) is unbalanced, with for example one area of the city hosting eight SRBs in six schools and no SRB provision in other areas. As far as possible, the Council will seek to open new Special Resource Bases (SRBs) in areas where there are gaps in provision in order to:
  - Reduce the need for Additional Learning Need (ALN) transport;

- Ensure a more balanced distribution of ALN expertise across the City.
72. There is therefore a need for proposals to be brought forward to Cabinet outlining options available as to how the above developments could be secured.

### **Reason for Recommendations**

73. To inform Cabinet of the challenges and opportunities facing Cardiff in the development of the education estate and to highlight aspects which require proposals to be brought forward to subsequent Cabinet meetings.

### **Financial Implications**

74. This report outlines a range of challenges in respect of the school estate, including the need to reduce the asset maintenance backlog, increase the amount of provision for pupils with additional learning needs and invest in the Council's school estate as part of the Welsh Government's 21<sup>st</sup> Century Schools Band B Programme. There are no direct financial implications arising from this report, however the future reports outlined as part of the recommendations will have significant financial implications. These implications will be considered and addressed as part of those reports and reflected in the Council's annual budget report, where appropriate.

### **Legal Implications**

75. As stated within the report, the Council has a specific obligation under section 13 of the Education Act 1996 to secure efficient primary and secondary education to meet the needs of the population of the area, in order to do so the Council has to maintain the schools in its area. The Council also has legal obligations as owner of educational premises and contractual employer of staff, as well as a duty of care to ensure the wellbeing of pupils who attend maintained schools within Cardiff. In accordance with the Welsh language Standards the Council also has to consider the impact on the Welsh Language of any policy decisions and the Council must consider the Wellbeing of Future Generations (Wales) Act 2015.
76. Under section 88 and schedule 10 of the Equality Act the Council has to prepare and implement accessibility strategies and plans to increase disabled pupils' access to the curriculum and improve the physical environment and the provision of information. The Council also has to satisfy its public sector duties under the Equality Act 2010 (including specific Welsh public sector duties). Pursuant to these legal duties, Councils must in making decisions have due regard to the need to (1) eliminate unlawful discrimination, (2) advance equality of opportunity and (3) foster good relations on the basis of protected characteristics. The Protected characteristics are:
- Age
  - Gender reassignment

- Sex
- Race – including ethnic or national origin, colour or nationality
- Disability
- Pregnancy and maternity
- Marriage and civil partnership
- Sexual orientation
- Religion or belief – including lack of belief

77. As the proposals are developed and future reports are presented, the Council will have to consider all of the legal issues and where relevant statutory consultation processes will be followed and appropriate consultation undertaken.

### **HR Implications**

78. There are no specific HR implications arising from this report. As proposals for improvements across the Education estate are progressed each will be assessed for HR implications.

### **RECOMMENDATIONS:**

The Cabinet is recommended to note the matters outlined in this report and to receive for subsequent decision further Cabinet reports in the following areas:

- Proposed schemes for Cardiff under the Band B phase of the C21 schools programme in light of budget allocations from Welsh Government
- Proposals for the adaptation and enhancement of Additional Learning Needs provision in Cardiff.

### **NICK BATCHELAR**

Director of Education & Lifelong Learning  
6 October 2017

This page is intentionally left blank

**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**CABINET MEETING: 12 OCTOBER 2017**

---

**RESPONSE TO THE REPORT OF THE CHILDREN & YOUNG PEOPLE  
SCRUTINY COMMITTEE ON SCHOOL TERM TIMES**

**EDUCATION, EMPLOYMENT & SKILLS (COUNCILLOR SARAH  
MERRY)**

**AGENDA ITEM: 5**

---

**DIRECTOR OF EDUCATION AND LIFELONG LEARNING**

**Reason for this Report**

1. This report seeks to provide Cabinet with a response to the recommendations made in the report to the March 2017 meeting of the Children & Young People Scrutiny Committee on Schools Term Times.

**Background**

2. The Council at its meeting on 28 July 2016 debated a motion on School Holidays. The Motion, as amended, was carried as follows:

*The Council notes:*

- *The disproportionately expensive cost of holidays during the traditional school holiday period, and the impact these costs have on families in our city;*
  - *That families want to observe designated school holiday periods, but that the excessive cost of taking breaks during these periods can prove prohibitive – meaning families often have to choose between taking no holiday at all, or taking pupils out of school during term time;*
  - *Moves by other councils in the UK to examine existing school term arrangements, with a view to shortening the summer break in order to create an additional week's holiday elsewhere during the school calendar when families can take holidays at a cheaper rate;*
  - *The Council resolves to ask the Members of the Children & Young People Scrutiny Committee to consider, as part of their future work planning, whether they wish to undertake a detailed analysis of the issue.*
3. The Children & Young People Scrutiny Committee agreed at its meeting on 27 September 2016 to undertake an inquiry into amending school term times, in line with the request by Council on 28<sup>th</sup> July 2016. The first meeting of the task

group was held on 14<sup>th</sup> November 2016. Members of the Task Group agreed that prior to providing any report to the Cabinet, it would be prudent to seek the views of Headteachers, teachers, and school Governing Bodies, firstly on whether or not to investigate the possibility of amending school term dates and then to provide a robust evidence base on which to consider their decision.

4. Section 42 of the Education (Wales) Act 2014 (the 2014 Act) made changes to term date setting for maintained schools in Wales by inserting new sections 32A – 32c into the 2002 Act. As a result, Local Authorities retain the right to set term dates for community, voluntary controlled, and community special and maintained nursery schools. Also relevant governing bodies retain the right to set term dates for their schools. A Local Authority is under a duty to co-operate and co-ordinate with each relevant governing body in its area and every other Local Authority in Wales when setting term dates, so that those dates are the same or as similar as can be. Similarly a relevant governing body is under a duty to co-ordinate and co-operate with every other relevant governing body in its local authority area and the local authority in whose area it is situated when setting term dates so that those dates are the same or similar as can be.
5. If, despite best efforts, term dates are not agreed the section 32B(1) of the 2002 Act gives Welsh Ministers the power to direct Local Authorities and relevant governing bodies on what their term dates must be.
6. Local Authorities are required to inform the Welsh Minister of the term dates set for all maintained schools within their respective areas by the final working day of August.
7. All Local Authorities informed the Welsh Minister of their term dates for the 2019/2020 academic year by the 31<sup>st</sup> August 2017. Therefore the earliest any future change could happen would be for the 2020/201 academic year, starting in September 2020.

### **The Children & Young People Scrutiny Committee Report on School Term Times**

8. The final report to the Children and Young People Scrutiny Committee is attached as Appendix A. Following consideration of the report, the Committee made the following recommendation to Cabinet;

*That Cabinet considers the overall results from the responses received from Cardiff's Schools and:*

- *Decides whether it should undertake formal consultation with the view to seeking the Welsh Government's approval to change the School Term Dates for Cardiff's schools.*
  - *Inform Schools Governing Bodies that they may wish to amend their Inset days to link with Eid al- Adha and Diwali.*
10. The report to the Scrutiny Committee contained an evidence review, based upon the results of a survey of Cardiff Headteachers, teachers and school

Governing Body members to canvas their views on the potential for a change in the school term dates. An analysis of the responses to that survey is attached as Appendix B. It shows that responses were received from 58 primary schools, 14 secondary schools and 2 special schools and that a number of responses, particularly from secondary schools, highlighted the potential impact that a significant change to school term dates would have on the examination schedule for pupils.

11. Subsequent to the Scrutiny Task and Finish Group survey, secondary headteachers communicated their views on the matter in a letter dated 5 September 2017 (see Appendix C). In that letter they set out their concerns regarding any proposals to shorten the summer holiday period.

### **Consideration of Issues**

12. As the Scrutiny report notes, there is considerable variation in the pattern of the school year across different countries, and within the UK. With the significant changes to school governance in England in recent years there has been some increase in the variety of term dates within the state sector. There are longstanding differences in term dates between the private and state sector throughout the UK.
13. One factor raised in the Scrutiny report is the affordability of holidays. Prices for holidays taking during term-time are currently markedly cheaper than outside of term time. However, any sustained change in term times for Cardiff schools may well affect future changes in holiday prices, as holiday companies react to increased demand during these periods.
14. Evidence as to the benefits and disadvantages of any particular arrangement is equivocal, and does not point to a clear rationale for change. A key consideration in any review of term dates is therefore the “co-ordination” of dates across Local Authority boundaries. It is important to note that the Scrutiny Report was also written before the statement from the Welsh Government Cabinet Secretary for Education in June 2017 (see Appendix D), which reinforced the message that Local Authorities needed to work together to ensure that term dates were the same, or as similar as possible, across Wales. The statement reminded Local Authorities that if consensus was not achieved that the Welsh Minister had powers under the Education Act 2002 to direct Local Authorities and relevant Governing Bodies on what their term dates must be so that dates are harmonised across Wales.
15. There are in excess of 7,000 staff employed in Cardiff schools. A significant number of these staff live outside the city boundary. Children of these parents will be attending schools in other local authorities. Any change in Cardiff term times, without harmonisation of term times with those local authorities, will have a disproportionate impact on the ability of these employees to facilitate family holidays. It may also have a disproportionate impact on the cost of childcare arrangements.

16. In addition, there is potential for any changes to term-times to have a negative impact on the schedule of GCSE and A Level examinations in Cardiff secondary schools. The dates of examinations are set centrally by the WJEC to take account of harmonised term times and dates in Wales. If Cardiff makes changes to the term times in isolation, the dates of some public examinations may fall during holiday periods. This would cause significant disruption to both schools and families.
17. Whilst the report to the Scrutiny committee contained comments from the National Union of Teachers, it did not give any reference to the impact that a change in term dates would have on the notice periods and start dates for teachers as set out in the Conditions of Service for Teachers in England and Wales (the Burgundy Book).

### **Reason for Recommendations**

18. The reason for the recommendations is to enable the Cabinet to respond to the Report published by the Scrutiny Committee.

### **Financial Implications**

19. There are no financial implications directly arising as a result of this report.

### **HR Implications**

20. The HR implications of any proposals will need to be fully considered as such a change will in fact result in a change to a working pattern set around traditional term dates. Full consultation with the trade unions will be required. The options currently do not impinge on the notice periods and start dates as set out in the Conditions of Service for School Teachers in England and Wales (the Burgundy Book), however it is important that these are taken into account when considering this matter further.

### **Legal Implications**

21. The Council's legal obligations and powers in relation to school term dates are set out fully in the report. The Council also has to satisfy its public sector duties under the Equality Act 2010 (including specific Welsh public sector duties). Pursuant to these legal duties Councils must in making decisions have due regard to the need to (1) eliminate unlawful discrimination, (2) advance equality of opportunity and (3) foster good relations on the basis of protected characteristics. Protected characteristics are: age, gender reassignment, sex, race – including ethnic or national origin, colour or nationality, disability, pregnancy and maternity, marriage and civil partnership, sexual orientation, religion or belief – including lack of belief
22. An Equality Impact Assessment has been undertaken to take into account the responses to the consultation. The purpose of the Equality Impact Assessment is to ensure that the Council has understood the potential impacts of the proposal in terms of equality so that it can ensure that it is making proportionate



and rational decisions having due regard to its public sector equality duty. The decision maker must have due regard to the Equality Impact Assessment in making its decision.

23. In accordance with the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards included within the Council's Compliance Notice issued by the Welsh Language Commissioner, the Council must also consider the consultation must also consider (a) opportunities for persons to use the Welsh language, and (b) treating the Welsh language no less favourably than the English language.

## **RECOMMENDATIONS**

Cabinet is recommended to agree to the response to the recommendations, as outlined in Appendix E.

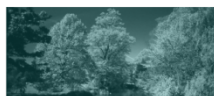
**NICK BATCHELAR**

**Director of Education & Lifelong Learning**

6 October 2017

This page is intentionally left blank

# scrutiny



---

## A Report of the: Children & Young People Scrutiny Committee

### School Term Times

**March 2017**



The City and County of Cardiff

## CONTENTS

|  |           |
|--|-----------|
| <b>CONTENTS .....</b>                        | <b>2</b>  |
| <b>CHAIR'S FOREWORD .....</b>                | <b>3</b>  |
| <b>TERMS OF REFERENCE .....</b>              | <b>4</b>  |
| <b>CONTEXT .....</b>                         | <b>6</b>  |
| <b>WELSH GOVERNMENT CONSULTATION.....</b>    | <b>6</b>  |
| <b>ENGLISH AUTHORITIES.....</b>              | <b>9</b>  |
| <b>NEWPORT CITY COUNCIL INSET DAYS .....</b> | <b>10</b> |
| <b>GENERAL NUT COMMENTS .....</b>            | <b>10</b> |
| <b>EVIDENCE REVIEW .....</b>                 | <b>11</b> |
| <b>SURVEY OUTCOME.....</b>                   | <b>13</b> |
| <b>FINANCIAL IMPLICATIONS.....</b>           | <b>15</b> |
| <b>LEGAL IMPLICATIONS .....</b>              | <b>15</b> |
| <b>RECOMMENDATIONS .....</b>                 | <b>16</b> |

Background information - Survey responses

## CHAIR'S FOREWORD

I'm pleased to present this Task and Finish report on changes to school holidays to the new Administration. I'd like to thank all members of the group and scrutiny officers who assisted us.

This report into school term times is as a result of a resolution passed at the Full Council meeting in July 2016. The Task and Finish group decided to consult all 127 Cardiff schools, 74 (58%) responses were received. The majority of replies were a joint response from the Head Teacher/Chair of Governors, with others from individual staff members. The survey was also discussed at a Primary Head Teachers Association meeting.

The main question consulted on was:

"Do you wish for the Council's Cabinet to seek Welsh Government approval to change the School Term time dates to shorten the summer break in order to create an additional week's holiday elsewhere during the school calendar."

It's fair to say that the 73% response in favour of this question was a surprise to the Task and Finish Group.

The report gives examples of what other Council's in Wales and the UK have done regarding changing dates of school holidays.

The new Administration Cabinet are invited to consider this report, but whatever the decision, it does seem that there is a clear majority view among Cardiff schools that a reduction of the school summer holidays by one week, and adding that week to another holiday is something that schools wish to be considered.



**Councillor Richard Cook**  
**Chair, Children & Young People Scrutiny Committee**

## TERMS OF REFERENCE

The Council at its meeting on 28 July 2016 debated a motion, proposed by Cllr Ed Bridges and seconded by Bill Kelloway, on School Holidays. Following the debate Council approved the Motion following an amendment, proposed by Cllr Weaver and seconded by Cllr Mitchell. Motion 1 as amended was carried as follows:

The Council notes:

- The disproportionately expensive cost of holidays during the traditional school holiday period, and the impact these costs have on families in our city.
- That families want to observe designated school holiday periods, but that the excessive cost of taking breaks during these periods can prove prohibitive – meaning families often have to choose between taking no holiday at all, or taking pupils out of school during term time.
- Moves by other councils in the UK to examine existing school term arrangements with a view to shortening the summer break in order to create an additional week's holiday elsewhere during the school calendar when families can take holidays at a cheaper rate.
- The Council resolves to ask the Members of the Children & Young People Scrutiny Committee to consider, as part of their future work planning, whether they wish to undertake a detailed analysis of the issue.

The Children & Young People Scrutiny Committee agreed at its meeting on 27th September to undertake an inquiry into amending school term times in line with the request by Council on 28th July. The first meeting of the task group was held on 14th November 2016.

Members of the Task Group agreed that prior to providing any response to the Cabinet, it would be prudent to seek the views of Head Teachers, Teachers, and School Governing Bodies, firstly on whether or not to investigate the possibility of

amending school term dates and then to provide a robust evidence base on which to consider their decision.

Members of the Task & Finish Group were:

- Councillor Richard Cook
- Councillor Jim Murphy
- Councillor Lynda Thorne (Chair)
- Councillor Joe Boyle
- Councillor Paul Chaundy
- Councillor Iona Gordon
- Ms. Carol Cobert, Church in Wales Co-Optee.

## CONTEXT

1. Section 42 of the Education (Wales) Act 2014 (the 2014 Act) made changes to term date setting for maintained schools in Wales by inserting new sections 32A – 32c into the 2002 Act. As a result, local authorities retain the right to set term dates for community, voluntary controlled, and community special and maintained nursery schools. Also relevant governing bodies retain the right to set term dates for their schools. A local Authority is under a duty to co-operate and co-ordinate with each relevant governing body in its area and every other local authority in Wales when setting term dates so that those dates are the same or as similar as can be. Similarly a relevant governing body is under a duty to co-ordinate and co-operate with every other relevant governing body in its local authority area and the local authority in whose area it is situated when setting term dates so that those dates are the same or similar as can be.
2. If despite efforts, term dates are not agreed the section 32B(1) of the 2002 Act gives Welsh Ministers the power to direct local authorities and relevant governing bodies on what their term dates must be.
3. Local authorities are required to inform the Welsh Minister of the term dates set for all maintained schools within their respective areas by the final working day of August. Notification of their 2017/18 term dates was submitted by all 22 local authorities by 28 August 2015.
4. The term dates notified by local authorities fell into two groups. Group A comprised of dates agreed by 16 Local Authorities and Group B comprised of the other six Local Authorities, which included five Authorities in North Wales and Powys. As a result the Welsh Ministers found it necessary to consider using their powers to direct Local Authorities and relevant governing bodies what term dates must be so that term dates are harmonised across Wales.

## WELSH GOVERNMENT CONSULTATION

5. The Welsh Ministers carried out a 12 week consultation from the 9 November 2015 to 1 February 2016 in respect of the harmonising school term dates for all maintained schools in Wales for the school year 2017/18. Seeking views on the term dates that Welsh Ministers proposed to set for all maintained



schools in Wales for 2017/18 and draft Direction. The dates consulted on were:

|                          |  |
|--------------------------|--|
| First day of the year    | Monday 4 September 2017                            |
| Autumn half term holiday | Monday 30 October 2017 to Friday 3 November 2017   |
| Christmas Holiday        | Monday 25 December 2017 to Friday 5 January 2018   |
| Spring half Term         | Monday 19 February 2018 to Friday 23 February 2018 |
| Easter Holiday           | Friday 30 March 2018 to Friday 13 April 2018       |
| Summer half term         | Monday 28 May 2018 to Friday 1 June 2018           |
| Final day of school      | Tuesday 24 July 2018                               |

6. A total of 55 responses were received, only nine of which were from local authorities, although it can be assumed that had all 22 local authorities responded their responses would be in line with the notification they originally submitted. Cardiff Council did not respond to the consultation.
7. However, it should be noted that Anglesey local authority responded that the authority neither agreed nor disagreed with the proposed dates, even though the authority previously notified the Welsh Government that it proposed to set term dates in Group A, suggesting that the local authority had changed its position.
8. In deciding whether to direct what term dates must be for 2017/18, The Minister has taken into account the notifications submitted by all 22 local authorities and information from 127 Voluntary Aided (VA) and Foundation schools. They retain responsibility for setting term dates and the Minister is satisfied they have undertaken significant work to ensure dates are as similar as possible.

9. The Minister was also mindful, that due to their hard work in co-operating they were able to ensure that three sets of school holidays are the same across Wales, and has noted that apart from Anglesey - the two sets of term dates selected by local authorities and VA and foundation schools fall into a clear geographical spread between the South Wales authorities, and the North Wales authorities and Powys, and as such considered that this would reduce any impact on parents in terms of childcare.

10. There were however some differences across the two groupings, which can be seen in the tables below:

- Group A - Blaenau Gwent, Bridgend, Caerphilly, Cardiff, Carmarthenshire, Ceredigion, Monmouthshire, Neath Port Talbot, Merthyr Tydfil, Newport, Pembrokeshire, Rhondda Cynon Taff, Swansea, Torfaen, Vale of Glamorgan and Isle of Anglesey along with 90 voluntary aided and foundation schools which aligned with their respective local authorities within Group A.

First day of school year: Monday 4 September 2017.

Autumn half term: Monday 30 October 2017 - Friday 3 November 2017.

Christmas holiday: Monday 25 December 2017 - Friday 5 January 2018.

Spring half term: Monday 19 February 2018 - Friday 23 February 2018.

Easter holiday: Friday 30 March 2018 - Friday 13 April 2018.

Summer half term: Monday 28 May 2018 - Friday 1 June 2018.

Last day of school: Tuesday 24 July 2018.

- Group B – Conwy, Denbighshire, Flintshire, Gwynedd, Powys, Wrexham and 35 VA and foundation schools which aligned with their respective local authority.

First day of school year: Friday 1 September 2017.

Autumn half term: Monday 30 October 2017 – Friday 3 November 2017.

Christmas holiday: Monday 25 December 2017 - Friday 5 January 2018.

Spring half term: Monday 12 February 2018 - Friday 16 February 2018.

Easter holiday: Monday 26 March 2018 - Friday 6 April 2018.

Summer half term: Monday 28 May 2018 - Friday 1 June 2018.

Last day of school: Friday 20 July 2018.

11. The Minister decided not to use powers to direct local authorities and the governing bodies of Voluntary Aided and Foundation schools what term dates must be.

12. The Minister's expectation was that local authorities and VA and foundation schools set their term dates for 2017/18 in line with those they originally

notified to the Welsh Government. The Minister therefore expected Anglesey to review their dates in view of their consultation response and with a view to aligning with its neighboring authorities in Group B.

13. The Minister's decision not to issue a direction on term dates for 2017/18 will not impact on future term date setting arrangements. Local Authorities and relevant schools remain under a statutory duty to co-ordinate and co-operate with each other to ensure that term dates are the same or as similar as possible for 2018/19. The Minister wrote to Local Authorities and schools reminding them to submit notifications of the term dates they propose to set for 2018/19 to the Welsh Government by the last working day of August 2016.

## ENGLISH LOCAL AUTHORITIES

14. Section 32 of the Education Act 2002, states that, a Council has a duty to set school terms and holiday dates for community, voluntary controlled, community special schools and maintained nurseries, in its area. Governing Bodies set the dates for voluntary aided schools and Academy trusts for academies and free schools.
15. In previous years, the Local Government Association has coordinated the preparation of a standard school year draft for each year. However, the LGA has decided to stop coordinating the development of draft models for standard school year.
16. English Local Authorities now have to co-ordinate their term dates across their schools and with neighbouring local authorities. A number have proposed changing the length of the summer break, including

**Barnsley Metropolitan Borough Council** - Barnsley Metropolitan Borough Council agreed that the Borough's term times and holiday dates for 2017 to 2018, will see a shorter summer break and a two-week break at October half-term. This follows consultation with neighbouring South Yorkshire authorities, and trade union/teacher associations as well as further feedback and comments received from head teachers. Following the Call-in period questions were raised about the consultation exercise. Due to the different views of stakeholders, the Council decided to conduct a wider public consultation during 2017/18 on proposals for any future changes. In the meantime the Council will maintain the standard pattern of school holidays.

**Brighton & Hove Council** - The term dates for schools will include an extended autumn half term in the academic year 2017/ 18. The first extended

autumn half term will run from 16 October to 27 October 2017. The same holiday pattern is planned for the 2018 to 2019 school year. The pilot arrangements and changes will be reviewed.

**Kent County Council** – to undertake further consultation on elongating the half term breaks and shorten the summer breaks for 2018/19 and 2019/20.

**Lincolnshire – Tall Oaks Academy Trust** – Two schools have altered the structure of their year to create additional weeks of holiday in term time. In 2015 they adopted a four-week summer holiday which allowed them to add extra weeks holidays to the school's terms in September and November and also two weeks in May.

## **NEWPORT CITY COUNCIL – INSET DAYS**

17. Eveswell Primary School's Governing Body has agreed to coordinate all 5 inset days into one week in June (adding an extra week to the Whitsun half term break). This allows parents to book cheaper holidays and therefore holidays will not affect attendance at other times in the year.

## **GENERAL NATIONAL UNION of TEACHERS COMMENTS**

18. Some MPs and commentators have suggested that the school summer break (usually of five-six weeks) is too long. Yet children need time to re-charge their batteries, play and spend time with their families. The summer break is also essential for the completion of larger building and maintenance projects, including removal of asbestos, which for health and safety reasons cannot take place during term time.
19. In fact schools in Britain have shorter summer holidays than many other countries. The summer breaks is eight weeks long in Belgium, France and Norway; nine weeks in Canada; ten weeks in Finland, Hong Kong, Ireland, Poland and Sweden; 11 weeks in Iceland and 12 weeks in the USA. The summer break in Finland is four weeks' longer than that in England and Wales, yet the country's education system is considered to be among the best in the world. Behind Mexico the UK has the least number of public holidays of any nation in the world.

20. Private schools in the UK have longer summer holidays yet, there is no suggestion that this is disadvantageous for their pupils.
21. Some have argued that a six-week summer break is inconvenient for parents, but the solution is not longer time spent in school but better holiday provision for children.
22. Compressing the summer break into four weeks, as some have suggested, would cause problems for millions of families scrambling to book holidays. There would be even higher prices at peak periods and a greater likelihood that parents would simply take their children out of school during term time.
23. In Wales, responsibility for the setting of school holidays will, as a result of the Education (Wales) Bill, be devolved to the Welsh Government. The Education Minister in Wales has stated that there are no plans to change the existing structure.

## **EVIDENCE REVIEW**

24. The Committee agreed at its meeting on 27 September to undertake an inquiry into amending School term Times in line with the request by Council on 28 July. The first meeting of the task group was held on 14 November 2016, and in attendance were Richard Cook, Joe Boyle, Lynda Thorne, Heather Joyce, Jim Murphy and Carol Cobert.
25. The Members agreed that Cllr Lynda Thorne would be Chair for this Task & Finish group inquiry. Members considered that the key issue for Members to agree at this meeting was whether the group can clearly work towards whether they wish to undertake a detailed analysis of the issue.
26. A representative from the Education and Lifelong Learning Directorate stated that any change to Cardiff's Schools term time dates will require significant consultation across the whole of Cardiff, and any decision would have to have agreement across all school, other bordering local authorities and Consortium Local Authorities. Finally, should Cardiff Council wish to implement their own term time dates then this would have to be approved by the Welsh Government.
27. Members reflected on the information provided, and felt that they were unable to provide a full and detailed response to Cabinet. Members commented that prior to providing any response to the Cabinet, it would be prudent to seek the

views of Head Teachers, Teachers, and School Governor Bodies on whether or not to investigate the possibility of amending school term dates to provide a robust evidence base for their consideration.

28. The Members agreed to undertake a survey of head teachers, teachers, and school governor bodies to canvas their views on the potential for a change in the school term dates. The output of these views could then be used by the Task Group to, agree a way forward for this investigation and form a basis of the Committee's recommendations to Cabinet.
29. Members identified a number of questions, which they felt would provide them with sufficient evidence to form an opinion on their way forward with the investigation.

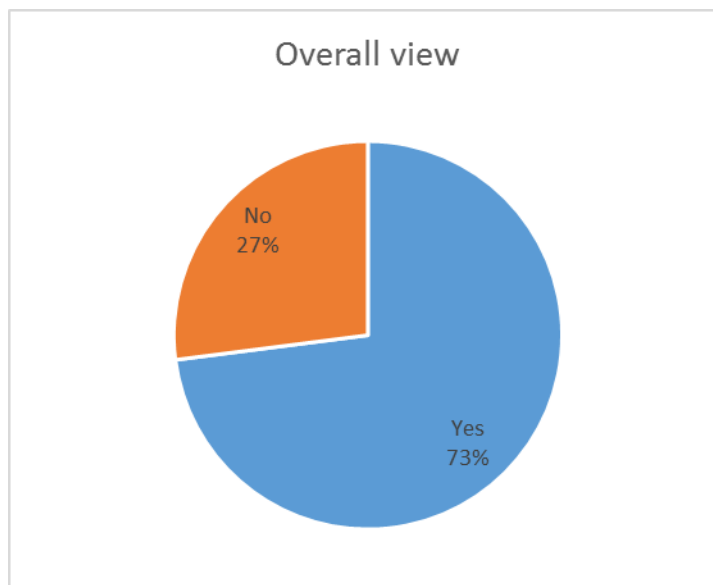
The questions that were agreed were:

- 1) Do you wish for the Council's Cabinet to seek Welsh Government approval to change the School Term time dates to shorten the summer break in order to create an additional week's holiday elsewhere during the school calendar..... YES / NO.
  - 2) Which of these options do you consider would best achieve a change in term dates to reduce the summer term holiday to 5 weeks, choose all that you feel apply.
    - a) Move one weeks summer holiday to the Christmas Holiday.....YES/NO
    - b) Move one weeks summer holiday to Autumn Half term.... .YES/NO
    - c) Move one weeks summer holiday to Spring Half term..... YES/NO
    - d) Move one weeks summer holiday to summer half term.... .YES/NO
  - 3) Do you wish for the Council's Cabinet to agree to consider reorganising Schools Inset Days so that pupils do not have to attend school on Eid al-Adha and Diwali YES / NO
30. The questionnaire was sent to all to head teachers, and the school governor body to respond, Welsh versions of the letter and survey form were also sent to all schools.

## SURVEY OUTCOME

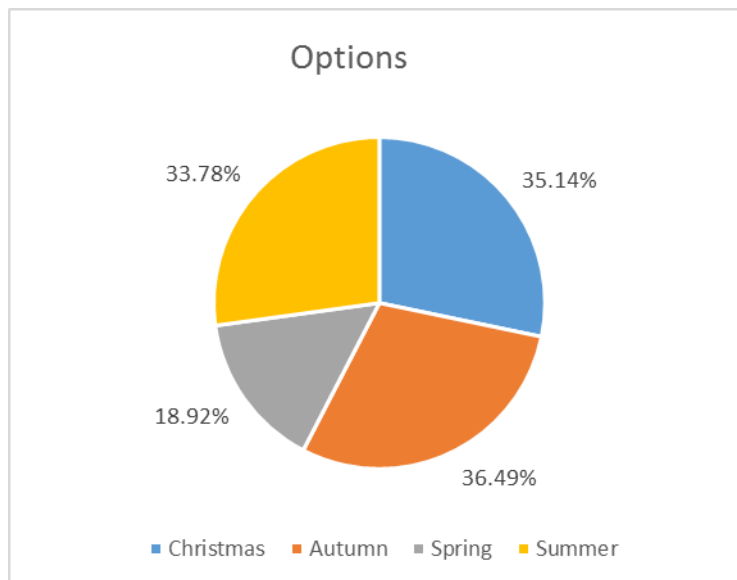
31. The survey was open for responses from the 13 January 2017 to the 20 February 2017. A total of 74 responses were received from the 127 Schools contacted. The survey was also discussed at a Primary Head teachers' Association meeting. Most of the responses were from the Head Teacher and Chair of Governors combined, however where a collection of responses from some schools, so the consensus view was used for these schools. The resultant analysis of all returned survey forms was:

- 1) Do you wish for the Council's Cabinet to seek Welsh Government approval to change the School Term time dates to shorten the summer break in order to create an additional week's holiday elsewhere during the school calendar.  
 YES  
 NO.

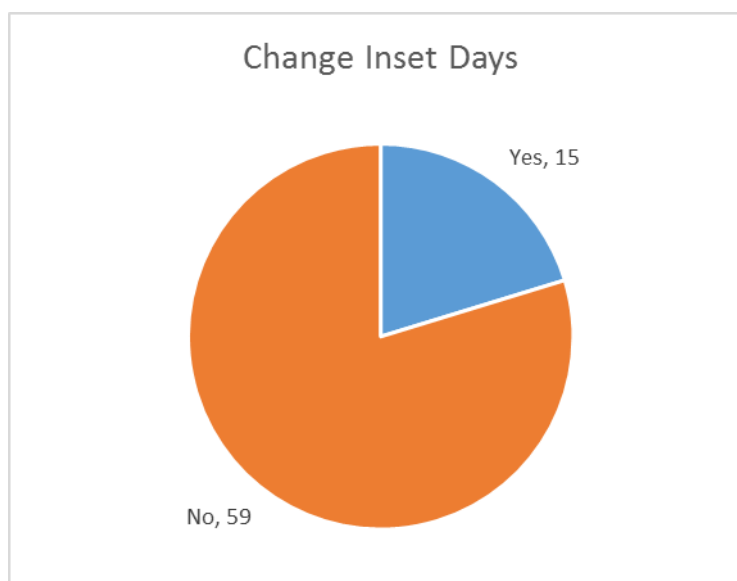


- 2) Which of these options do you consider would best achieve a change in term dates to reduce the summer term holiday to 5 weeks, choose all that you feel apply.
  - a) Move one weeks summer holiday to the Christmas Holiday  
 YES  
 NO
  - b) Move one weeks summer holiday to Autumn Half term  
 YES

- NO
- c) Move one weeks Summer holiday to Spring Half term  
YES  
NO
- d) Move one weeks Summer holiday to summer half term  
YES  
NO



- 2) Do you wish for the Council's Cabinet to agree to consider reorganising Schools Inset Days so that pupils do not have to attend school on Eid al-Adha and Diwali  
YES  
NO





## **FINANCIAL IMPLICATIONS**

The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct financial implications at this stage in relation to any of the work programme. However, financial implications may arise if and when the matters under review are implemented with or without any modifications.

## **LEGAL IMPLICATIONS**

The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct legal implications. However, legal implications may arise if and when the matters under review are implemented with or without modification. Any report with recommendations for decision that goes to Cabinet / Council will set out any legal implications arising from those recommendations. All decisions taken by or on behalf of the Council must (a) be within the legal power of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers on behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. standing orders and financial regulations; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances.

## RECOMMENDATION TO CABINET

### RECOMMENDATION TO CABINET

The Committee recommends:

That Cabinet considers the overall results from the responses received from Cardiff's Schools and :

- Decides whether it should undertake formal consultation with the view to seeking the Welsh Government's approval to change the School Term Dates for Cardiff's Schools .
- Inform Schools Governing Bodies that they may wish to amend their Inset days to link with Eid al-Adha and Diwali.

## School Term Time Questionnaire

Appendix B

|    | School type | School name            | Governors | Head teacher | Question one | Christmas | Autumn | Spring | Summer | Question two | Comments   |
|----|-------------|------------------------|-----------|--------------|--------------|-----------|--------|--------|--------|--------------|--|
|    |             |                        |           |              | Yes / No     |           |        |        |        | Yes/No       |  |
| 1  | Primary     | Kitchener              | Y         |              | No           | No        | No     | No     | No     | No           |  |
| 2  | Primary     | Llandaff City C/W      |           | y            | Yes          | No        | Yes    | No     | Yes    | No           | (b) Where Easter falls late (d) Where Easter falls early                         |
| 3  | Primary     | Bryn Celyn             |           | y            | Yes          | No        | No     | No     | Yes    | No           |  |
| 4  | Primary     | Baden Powell           |           | y            | No           | No        | Yes    | No     | No     | No           | Inset day to specific events may cause a problem                                 |
| 5  | Primary     | St John Lloyd RC       | Y         | Y            | Yes          | No        | Yes    | No     | No     | No           |  |
| 6  | Primary     | Ton Yr Ywen            | Y         | Y            | Yes          | Yes       | No     | No     | No     | Yes          |  |
| 7  | Primary     | Bishop Childs C/W      | y         | y            | Yes          | Yes       | No     | No     | No     | No           |  |
| 8  | primary     | Meadowlane             | Y         | Y            | Yes          | No        | Yes    | No     | No     | No           |  |
| 9  | Primary     | Llanishen Fach         | Y         | Y            | Yes          | No        | No     | Yes    | No     | No           |  |
| 10 | Primary     | Malborough             | Y         |              | Yes          | No        | No     | No     | Yes    | No           | Interesting idea   |
| 11 | Primary     | All Saints C/W         |           | Y            | No           | No        | No     | No     | No     | No           | Changing dates would not solve the problem Schools can already change inset days |
| 12 | Primary     | Grangetown             | Y         | Y            | No           | No        | No     | No     | No     | No           | Even split of views on question one and option b                                 |
| 13 | Primary     | Allensbank             |           | Y            | Yes          | Yes       | No     | No     | No     | No           |  |
| 14 | Primary     | St Fagans C/W          | Y         | Y            | Yes          | Yes       | No     | No     | No     | No           |  |
| 15 | Primary     | Ysgol Y Wern           | Y         | Y            | Yes          | Yes       | Yes    | No     | No     | No           |  |
| 16 | Primary     | St Francis RC          | Y         | Y            | No           | No        | No     | No     | No     | No           |  |
| 17 | Primary     | Mount Stuart           | Y         | Y            | Yes          | No        | Yes    | Yes    | Yes    | Yes          |  |
| 18 | Primary     | Willowbrook            | Y         | Y            | Yes          | No        | Yes    | Yes    | No     | No           |  |
| 19 | Primary     | Bryn Deri              | Y         |              | Yes          | Yes       | Yes    | No     | No     | No           |  |
| 20 | Primary     | Bryn Deri              |           | Y            | No           | Yes       | Yes    | No     | No     | No           |  |
| 21 | Primary     | Meadowlane             | Y         | Y            | Yes          | No        | No     | Yes    | No     | Yes          |  |
| 22 | Primary     | Bryn Celyn             | Y         | Y            | Yes          | No        | No     | No     | Yes    | No           |  |
| 23 | Primary     | Hywel Dda              |           | Y            | Yes          | Yes       | No     | No     | No     | Yes          |  |
| 24 | Primary     | Creigiau               | Y         | Y            | Yes          | No        | No     | No     | Yes    | No           |  |
| 25 | Primary     | Trowbridge             | Y         | Y            | Yes          | Yes       | No     | No     | No     | No           |  |
| 26 | Primary     | Greenway               | Y         | Y            | Yes          | Yes       | No     | No     | No     | No           |  |
| 27 | Primary     | Marlbrough             |           | Y            | Yes          | No        | Yes    | Yes    | No     | Yes          |  |
| 28 | Primary     | Pwll Coch              | Y         | Y            | No           | No        | No     | No     | No     | No           |  |
| 29 | Primary     | Melin Gruffyd          | Y         | Y            | Yes          | Yes       | No     | No     | Yes    | No           |  |
| 30 | Primary     | Glan Morfa             | Y         | Y            | Yes          | No        | Yes    | No     | Yes    | No           |  |
| 31 | Primary     | Whitchurch             | Y         | Y            | No           | No        | No     | No     | No     | No           |  |
| 32 | Primary     | St Mary the Virgin C/W | Y         | Y            | Yes          | No        | No     | No     | Yes    | No           | One member of staff wanted to shangethe inset days                               |
| 33 | Primary     | ysgol Mynydd Bycwan    | Y         |              | No           | No        | No     | No     | No     | No           |  |
| 34 | Primary     | St Paul's CIW          | Y         | Y            | Yes          | No        | No     | No     | Yes    | No           |  |
| 35 | Primary     | Llanedeyrn             | Y         | Y            | No           | No        | Yes    | No     | No     | No           |  |
| 36 | Primary     | Rhydypenau             |           | Y            | Yes          | No        | Yes    | No     | No     | No           |  |
| 37 | Primary     | Rhydypenau             |           | Y            | Yes          | No        | Yes    | No     | Yes    | No           |  |

## School Term Time Questionnaire

## Appendix B

|    | School type | School name         | Governors | Head teacher | Question one<br>Yes / No | Christmas | Autumn | Spring | Summer | Question two<br>Yes/No | Comments  |
|----|-------------|---------------------|-----------|--------------|--------------------------|-----------|--------|--------|--------|------------------------|---|
|    | Primary     | Pen-y-Groes         |           | Y            | No                       | Yes       | No     | No     | No     | No                     | Roedd y mwyafrif wedi ateb NA oherwydd mae nifer o staff yr ysgol gyda phlant/partneriaid sydd o fewn siroedd eraill a fyddai hyn yn achosi problemau aruthrol i nifer o staff. Petai bod y newid yma yn effeithio Cymru Gyfan neu oleiaf Cyngorau o fewn y Consortiwm yna buasai pawb wedi bod yn hapus i newid y gwyliau. The majority have answered NO because many school staff with children / partners within other counties and this would cause huge problems for many staff. Seems that this change affects all Wales or at least within the Consortium Councils then everyone would have been happy to change the holiday. INSET DAYS It is difficult to respond on this because the term 'consideration' is clearly defined. The staff expects that pupils would miss school at these times if the parents so choose. Nevertheless if INSET days at those times - and that would mean that the staff wanted time off from school also lose important training? |
| 38 | Primary     | Pen-Y Groes         | Y         |              | Yes                      | No        | Yes    | No     | No     | No                     |   |
| 39 | Primary     | Coed Glas           |           | Y            | Yes                      | No        | No     | No     | Yes    | Yes                    |   |
| 40 | Primary     | Gabalfa             |           | Y            | Yes                      | Yes       | Yes    | No     | No     | Yes                    |   |
| 41 | Primary     | St Mellons          | Y         | Y            | Yes                      | Yes       | No     | No     | No     | No                     | Separate Survey from each Teacher, results show the majority view   |
| 42 | Primary     | Thornhill           | Y         | Y            | Yes                      | No        | No     | No     | Yes    | Yes                    |   |
| 43 | Primary     | Windsor Clive       | Y         | Y            | Yes                      | Yes       | No     | No     | No     | No                     | The moving of 1 week to the Christmas Holiday would appear to be the least disruptive to term time teaching and learning.<br>Adding to the autumn half term would be too close to the summer break and teachers, just getting to know their learners and building on assessments, would no sooner get started than have to stop;<br>Adding to the Spring half term, particularly when Easter is so changeable, could mean exceptionally short teaching and learning time either side of a two week break;<br>Adding to the Summer Holiday half term would, when Easter has been late, curtail learning in the summer and could affect exams and testing.  |
|    | Primary     | St Patricks         |           | y            | Yes                      | Yes       | No     | Yes    | No     | No                     | It is anticipated that, in any event, if school holidays are adjusted, travel firms would automatically increase their prices for those periods of time and prices would be just as costly for families.  |
| 44 | Primary     | Oakfield            | Y         | Y            | Yes                      | No        | Yes    | No     | Yes    | No                     | Providing Holiday companies do not alter their pricing to move in line with new term dates. Inset days - Short notification for schools to inform community. Schools need to arrange book training days in advance.   |
| 45 | Primary     | Pen Y Pil           |           | Y            | Yes                      | Yes       | No     | No     | No     | No                     | Survey from all staff- majority decisions   |
| 46 | Primary     | St Patricks         |           | Y            | Yes                      | Yes       | Yes    | Yes    | Yes    | No                     | I would prefer a restructure of the whole year - possibly going to four terms of 10 weeks (like collages and earlier finish i.e. 2.30, but with after school clubs.   |
| 47 | Primary     | Gymraeg Glan Ceubal |           | Y            | Yes                      | No        | Yes    | No     | No     | No                     | Based on the majority decision from all the responses   |

## School Term Time Questionnaire

## Appendix B

|    | School type | School name         | Governors | Head teacher | Question one | Christmas | Autumn | Spring | Summer | Question two | Comments   |
|----|-------------|---------------------|-----------|--------------|--------------|-----------|--------|--------|--------|--------------|--|
|    |             |                     |           |              | Yes / No     |           |        |        |        | Yes/No       |  |
| 50 | Primary     | Ysgol Y Belrlan Deg | Y         | Y            | Yes          | Yes       | No     | No     | Yes    | No           | STAFF = YDW – 55%; NAC YDW – 45%; LLYWODRAETHWYR = YDW – 67%; NAC YDW – 33%, STAFF = (A) 100%; LLYWODRAETHWYR = (A) 17%; (D) 83%   |
| 51 | Primary     | Nant Caerau         | Y         | Y            | No           | No        | No     | No     | No     | Yes          |  |
| 52 | Primary     | Springwood          | Y         |              | Yes          | No        | No     | Yes    | No     | No           |  |
| 53 | Primary     | Springwood          |           | Y            | No           | No        | No     | No     | No     | No           |  |
| 54 | Primary     | Nant Caerau         | Y         |              | No           | No        | No     | No     | No     | Yes          |  |
| 55 | Primary     | Coed -Y-Gof         |           | Y            | Yes          | No        | No     | No     | Yes    | No           |  |
| 56 | Primary     | Mynydd Bychan       |           | Y            | Yes          | Yes       | No     | No     | Yes    | No           |  |
| 57 | Primary     | Pontpennau          | Y         |              | Yes          | Yes       | Yes    | Yes    | Yes    | No           |  |
| 58 | Primary     | Nant Caerau         |           | Y            | No           | No        | No     | No     | No     | No           | Based on the majority of responses   |
| 1  | Secondary   | Willows             | y         | y            | Yes          | No        | Yes    | Yes    | Yes    | Yes          | I have underlined the three options as I believe each holiday being two weeks with the summer having three would be the best scenario for schools.   |
| 2  | Secondary   | Fitzalan            | Y         | Y            | No           | No        | No     | No     | No     | No           | Would like the summer holiday brought earlier to the start of July   |
| 3  | Secondary   | Bishop of Llandaff  | Y         |              | No           | No        | No     | No     | No     | No           |  |
| 4  | Secondary   | St Teilo's          |           | Y            | Yes          | No        | No     | No     | No     | No           | None of these options will work if the external examination timetable is not changed at the same time as the school holidays   |
| 5  | Secondary   | Plasmawr            | Y         |              | Yes          | No        | Yes    | No     | No     | No           |  |
| 6  | Secondary   | Cathays             |           | Y            | Yes          | No        | Yes    | No     | No     | Yes          | Most parents would want a week near may half term, but this would not work for schools due to the exam timetables around the May half term. My view is that the October half term would be the best for schools, but what parents would want to take their children on holiday in October?   |
| 7  | Secondary   | Radyr               | Y         |              | Yes          | No        | Yes    | Yes    | Yes    | No           |  |
| 8  | Secondary   | Plasmawr            |           | Y            | Yes          | Yes       | No     | No     | No     | No           |  |
| 9  | Secondary   | Mary Immaculate     |           | Y            | Yes          | No        | No     | No     | Yes    | No           | we do not feel it is a key issue at the moment for schools, nor in truth do we feel it would solve the situation regarding holidays. However if it were to occur, then a move of a week from the summer holidays to half term in the summer term would be more likely to remove the holiday burden on families as the weather would be better for an extended half-term  |
| 10 | Secondary   | Eastern High        | Y         | Y            | No           | No        | No     | No     | No     | Yes          | Main concern about any of the changes implemented is the effect this would have on Year 11. By taking a week from the summer holiday at the beginning of the holiday you would have to take a week off Year 11 learning time during the year. If you take it from the end of the holiday, you are adding it at a time furthest away from the exams (Naturally less urgency), and so losing it later. If you make the summer half term longer (thus after the exams) this would only encourage more down time during the last term. Travel companies will adjust their prices up whenever there is more demand. |

### School Term Time Questionnaire

Appendix B

|    | School type    | School name           | Governors | Head teacher | Question one | Christmas | Autumn | Spring | Summer | Question two | Comments  |
|----|----------------|-----------------------|-----------|--------------|--------------|-----------|--------|--------|--------|--------------|---|
|    |                |                       |           |              | Yes / No     |           |        |        |        | Yes/No       |   |
| 11 | Secondary      | Whitchurch            | Y         |              | No           | No        | No     | No     | No     | No           | As the Welsh Government Minister has the right to determine school holiday dates across Wales the governors do not think that Councillors are likely to be able to agree a local change to school term dates without the Minister's intervention. It is also felt that reducing the summer holiday period could push up the price of summer holidays as there will be greater demand for less holiday time. Furthermore, holiday firms adjust prices according to local school holidays so any changes would probably fail to provide more affordable holidays. Current attendance legislation enables parents to take their child/children out of school in term time for up to 10 days without penalty; this may not be ideal but for many families it is the only way they can afford a holiday. It is helpful for local authority and schools to arrange building work within the six weeks summer period and to carry out major works without the health and safety risks of having staff and pupils on site; also making works more cost effective. |
| 12 | Secondary      | Cardiff High School   | Y         | Y            | Yes          | Yes       | Yes    | Yes    | Yes    | No           | With regards to (b) above, the Council must be mindful that many pupils will sit exams in November. Two weeks at this time of year although very welcome, may be detrimental to results particularly if there is a different approach across other local authorities.   |
| 13 | Secondary      | Cantonian             | Y         | Y            | No           | No        | No     | No     | No     | No           |   |
| 14 | Secondary      | Gyfun Gymraeg Glantaf | Y         | Y            | Yes          | Yes       | No     | No     | No     | No           | Byddai hyn yn codi llawer o gwestitnau ynghylch hawliau cyfartal amryw o grefyddau. Petai hyn yn effeithio ar nifer o ddisgyblion mewn ysgol gellid, o fewn trefniadau presennol, bennu diwrnodau HMS yn yr ysgolion hynny i adlewyrchu hyn. This would raise many questions about equal rights various religions. If this affects a number of pupils in a school could, within existing arrangements, setting INSET days in those schools to reflect this.   |
| 1  | Special school | Ty Gwyn               | Y         | Y            | Yes          | Yes       | Yes    | Yes    | Yes    | Yes          |   |
| 2  | Special school | The Hollies           | Y         | Y            | Yes          | Yes       | Yes    | Yes    | Yes    | Yes          | Yes (12 /4 votes) only one didn't select an option a-d voted 13/3 for inset days  |
|    | Yes            |                       |           |              | 54           | 26        | 27     | 14     | 25     | 15           |   |
|    | No             |                       |           |              | 20           | 48        | 47     | 60     | 49     | 59           |   |
|    | Total          |                       |           |              | 74           | 74        | 74     | 74     | 74     | 74           |   |
|    | Agree          |                       |           |              | 72.97%       | 35.14%    | 36.49% | 18.92% | 33.78% | 20.27%       |   |



# Cymdeithas Prifathrawon Uwchradd Dinas Caerdydd Cardiff Conference of Secondary Headteachers

Marc Belli **Cadeirydd/Chair**  
The Bishop of Llandaff CiW High School  
Rookwood Close • Llandaff • Cardiff • CF5 2NR  
**Ffôn/Tel** 029 20562485  
**Ebost/Email** mbelli@cardiff.gov.uk

Tracey Stephens **Is-Gadeirydd/Vice-Chair**  
Cathays High School  
Crown Way • Gabalfa • Cardiff • CF14 3XG  
**Ffôn/Tel** 029 20544400  
**Ebost/Email** tstephens@cardiff.gov.uk

Nick Batchelar  
Director of Education and Lifelong Learning  
Cardiff Council  
County Hall  
Atlantic Wharf  
Cardiff  
CF10 4UW

5<sup>th</sup> September 2017

Dear Nick,

## **Re: Proposal to shorten summer holidays**

Further to a letter written by Stephen Jones to Neil Hardee on 5<sup>th</sup> July 2017, I write to formally express concerns on behalf of the secondary conference regarding the council's proposal to shorten the summer holidays.

News coverage of the proposal suggested that some 73% of school leaders in Cardiff supported the view. However, as a conference of secondary schools in the city we are concerned that this is both misleading and, if the proposal is taken forward, potentially very damaging to the outcomes of young people within the city and the performance of schools.

It is increasingly apparent that teachers within Cardiff are spending more of their own free time, during half term breaks; Easter holidays and, in some schools, weekends to help prepare students for examinations. However, by proposing to move a week from the summer holidays to either Easter; one of the half term breaks; or Christmas will reduce the teaching time available to schools in Cardiff which will make it more challenging for students to achieve the best possible outcomes.

At various forums officers, heads and representatives of wider stakeholder groups have shared their concern regarding the level of sickness and absence of school staff across the city. Increasingly this is closely linked to stress and anxiety as pressure is placed on them to 'deliver'. As headteachers, we recognise the need to hold staff to account for performance but the suggestion of reducing the time available for schools in Cardiff to deliver curriculums at GCSE and AS/A2 level may potentially further the anxiety and stress of teachers in our school. This, in turn, could lead to a backwards step in our journey towards achieving the Cardiff 2020 commitment.

I recognise that many primary school colleagues may support the view of a shortened holiday and my writing is to you is not designed to undermine their views as key stakeholders. However, I ask that you, as Director of Education, share the educational challenges with councillors of such a proposal would have on the young people and staff who work in our secondary schools. It is our view that such a proposal would increase the challenge of Cardiff's schools on further raising standards, while potentially, create a risk of our schools falling behind neighbouring authorities who have more time to deliver curriculums. As a conference, we do not want this to happen and I am certain this is a view shared by the city.

I am more than happy to discuss the matter further with you should you require.

Yours sincerely,

Marc Belli  
Chair

This page is intentionally left blank



## **Kirsty Williams, Cabinet Secretary for Education**

Local authorities and the governing bodies of voluntary aided (VA) and foundation schools retain the right to set term dates for their schools. However, they are under a duty to co-operate and co-ordinate with each other to ensure that term dates are the same or as similar as possible (section 32A of the Education Act 2002).

The arrangements respond to concerns about problems parents of siblings face in finding and financing child care where their children attend schools, with different term dates.

Local authorities are required to notify the Welsh Government of the term dates they propose to set by the last working day of August, 2 full years in advance of the dates in question.

All 22 local authorities submitted notifications of term dates they propose to set for 2018/19. Information was also received on behalf of 101 VA and foundation schools.

I am extremely impressed by the hard work undertaken by local authorities and VA and foundation schools in ensuring that term dates are the same or as similar as possible in 2018/19.

Due to their hard work they were able to agree consistent dates across Wales for all school holidays except the spring half term in 2019. One set of local authorities (17) and their VA and foundation schools chose the 25 February to 1 March 2019, whilst the other authorities, from the Education Achievement Service consortium covering South East Wales, chose a week earlier, i.e. 18 February to 22 February.

I was very encouraged to see that there was greater evidence of harmonisation than there was for the previous 2 exercises for term dates for 2016/17 and 2017/18. There was also significant evidence of agreement between local authorities and their VA and foundation schools as from 86 signed notices from these schools, 83 agreed to align with their authority, with the other 3 being Roman Catholic schools who chose to remain open during Holy Week.

Where consensus is not achieved the law provides that Welsh Ministers may direct local authorities and voluntary aided and foundation schools on what the dates will

be (section 32B of the 2002 Act). Before deciding to use these powers Welsh Ministers are under a duty to consult.

I consulted on term dates which were those chosen by the majority. A copy of the summary of consultation responses is published on the Welsh Government's website:

<https://consultations.gov.wales/consultations/harmonising-school-term-dates-2018-2019>

In light of the work undertaken by local authorities to move to more harmonised term dates I have decided not to use my powers to direct local authorities and the governing bodies of VA and foundation schools as to what their term dates must be. The majority of Welsh local authorities have aligned for all bar one set of dates – the Spring Half Term in 2019 and here the difference is one week.

My expectation therefore is that local authorities and VA and foundation schools set their term dates for 2018/19 in line with those they originally notified to the Welsh Ministers.

My decision not to issue a direction on term dates for 2018/19, will not affect future term date setting arrangements. Local authorities and relevant school remain under a statutory duty to co-ordinate and co-operate with each other to ensure that term dates are the same or as similar as possible for 2018/19.

My officials will shortly be writing out to LAs and schools reminding them to submit notifications of the term dates they propose to set for 2019/20 to the Welsh Government by the last working day of August 2017.

**Recommendation 1:**

**That Cabinet considers the overall results from the responses received from Cardiff's Schools and decides whether it should undertake formal consultation with the view to seeking the Welsh Government's approval to change the School Term Dates for Cardiff's schools.**

**RESPONSE: THE RECOMMENDATION IS NOT ACCEPTED.**

The Cabinet is recommended to refer the issue on changes to term times to Welsh Government for their consideration, as to whether they would wish to undertake a coordinated national consultation on this matter.

In responding to the first part of the recommendation from the Children and Young People Scrutiny Committee, it is clear that the Welsh Government Cabinet Secretary statement from June 2017 is an important point of reference. Welsh Government expect to see a high degree of harmonisation across Wales on term dates. Cardiff acting independently and undertaking its own consultation on significant changes works against this expectation.

Any significant amendment to term dates would need to align closely with nationally agreed schedules for examinations and tests in schools, together with nationally agreed conditions of service for school based staff, including teachers.

**Recommendation 2:**

**Inform Schools Governing Bodies that they may wish to amend their Inset days to link with Eid al- Adha and Diwali.**

**RESPONSE: THE RECOMMENDATION IS ACCEPTED.**

A number of factors should be considered by schools in determining their inset days. Where schools in a network or cluster align inset days they can provide important opportunities for collaborative professional development. Consideration of religious festivals is also an important factor in some school communities. However it should be borne in mind that the scheduling of inset days on such religious festivals would also impact on staff who themselves may be wishing to celebrate the festivals.

This page is intentionally left blank

**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**CABINET MEETING: 12 OCTOBER 2017**

**ELECTORAL REFORM IN LOCAL GOVERNMENT IN WALES**

**FINANCE, MODERNISATION AND PERFORMANCE  
(COUNCILLOR CHRIS WEAVER)**

**AGENDA ITEM: 6**

**DIRECTOR OF GOVERNANCE & LEGAL SERVICES**

**Reason for this Report**

1. To consider the Council's response to the Welsh Government consultation on 'Electoral Reform in Local Government in Wales'.

**Background**

2. The Wales Act 2017, which received Royal Assent on 31 January 2017, transferred competence from the UK Parliament to the National Assembly for Wales to legislate in relation to the administration of elections to the Assembly itself and of those to local government.
3. The Welsh Government made clear its intentions to reform the local government electoral system in Wales in the 'Reforming Local Government: Resilient and Renewed' White Paper, which was published on the same day (31 January 2017). The Council's response to the Welsh Government consultation on the White Paper was agreed by the Cabinet on 16 March 2017.

**Issues**

4. The Welsh Government published a consultation document on 18 July 2017 entitled 'Electoral Reform in Local Government in Wales', which is attached as **Appendix A** to this report.
5. The consultation document sets out the Welsh Government's proposals to modernise the local government electoral system. It aims to explore ways in which to allow more people to participate in elections by extending the franchise to young people, by making registration easier and more automatic, by making it easier to vote using different methods and making sure people are well informed about who is standing for election.
6. The consultation covers six main areas:

- **Building the franchise**
  - Votes for 16 and 17-year-olds
  - Votes for EU Citizens and citizens of other countries
  - Votes for prisoners
- **Improving registration**
  - Data-sharing and Automatic Registration
  - Enabling a wider range of Council Officers to assist people to register
  - Relaxing rules on individual registration
  - Targeted registration campaigns
  - Identifying people moving into and out of an area
  - Developing an all-Wales electronic register
- **The voting system**
  - Offering a choice: First Past the Post or Single Transferable Vote
  - Five year terms
- **The voting process**
  - All-postal voting
  - Electronic voting
  - Remote voting
  - Electronic counting
  - Mobile polling stations
  - Voting at places other than polling stations
  - Voting on different days and on more than one day
  - Simpler postal voting procedures
  - Presenting ID at a polling station
- **Standing for election**
  - Removing need to publish candidate's postal address
  - On-line publication of candidate's statement
  - Prohibition of Assembly Member standing as council candidate
  - Requirement to declare party affiliation
  - Allowing council staff to stand for their own council
- **Returning officers**
  - Ending right to personal fee for returning officer
  - Simplifying fees and charges system

7. Members will note that some of the proposals will have implications for the National Assembly for Wales' own electoral arrangements in certain areas. A separate consultation in this regard is expected to be published in due course.
8. It is anticipated that any final proposals on electoral reform will be introduced to the National Assembly for Wales as part of a wider Local Government Bill towards the end of the second year of business of the current Assembly, in June/July 2018.

## Consultation Response

9. A copy of the Council's draft response to the Welsh Government consultation document is attached as **Appendix B** to this report.
10. The closing date for submissions in response to the consultation is Tuesday 10 October 2017. In order to meet this deadline, a draft submission will be submitted to the Welsh Government on Friday 6 October 2017, subject to any amendments agreed by the Cabinet on Thursday 12 October 2017. It is recommended that authority be delegated to the Director of Governance and Legal Services, in consultation with the relevant Cabinet member, to notify the Welsh Government of any amendments to the Council's draft submission.
11. The consultation has also been forwarded to all political groups to enable groups to submit their own separate responses if they wish.

## **Reason for Recommendations**

12. To approve the Council's submission in response to the Welsh Government consultation on 'Electoral Reform in Local Government in Wales'.

## **Financial Implications**

13. This report is a response to a consultation and therefore there are no direct financial implications arising.
14. The attached response to the consultation has declared a positive view on some specific questions which look to increase turnout and promote voter registration but if implemented will result in an additional cost burden on the electoral services activity. The consultation response highlights the need for additional funding to be provided to local authorities in order for the proposed initiatives to be delivered.
15. There is a budget of £484,000 for Electoral Services, which covers the cost of electoral registration and the running of Council elections. The costs associated with All Wales, UK and Police Crime Commissioner elections have been and will be recovered from respective external funding sources.

## **Legal Implications**

16. As stated in the body of the report, the National Assembly will acquire powers to make legislation applying to Welsh local elections when the relevant provisions of the Wales Act 2017 come into effect in 2018. This report provides the Council with the opportunity to submit its views, which may help to shape the Welsh Government's electoral reforms and any future legislation.
17. Under the Council's Scheme of Delegations, the Cabinet is authorised 'To agree responses to consultation papers from the Government

(including White and Green papers), from the Welsh Assembly Government, LGA, WLGA and all other bodies in respect of strategic policy' (Cabinet's Reserved Powers no. 8).

18. Members may wish to note that the Chief Executive and the Corporate Director, Resources (the Council's designated Returning Officer) have a personal interest in the proposals relating to Returning Officers (section 7 of the Consultation Document). Therefore, those officers will withdraw and take no part in the Cabinet's decisions on those issues.

## RECOMMENDATIONS

Cabinet is recommended to:

1. approve the submission in response to the Welsh Government consultation on Electoral Reform in Local Government in Wales (**Appendix B**), subject to any appropriate amendments; and
2. delegate authority to the Director of Governance and Legal Services, in consultation with the relevant Cabinet member, to notify the Welsh Government of any amendments to the Council's draft submission.

### DAVINA FIORE

DIRECTOR OF GOVERNANCE AND LEGAL SERVICES AND MONITORING OFFICER

6 October 2017

*The following appendices are attached:*

Appendix A: [Welsh Government Consultation Paper – Electoral Reform in Local Government in Wales](#)

Appendix B: Cardiff Council Consultation Response

*The following background paper has been taken into account:*

[Cabinet Report, 16 March 2017: Reforming Local Government: Resilient and Renewed" White Paper](#)





Llywodraeth Cymru  
Welsh Government

Welsh Government  
Consultation Document

## Electoral Reform in Local Government in Wales

Date of issue: 18 July 2017

Action required: Responses by 10 October 2017

Mae'r ddogfen yma hefyd ar gael yn Gymraeg.  
This document is also available in Welsh.

|  |   |
|--|---|
| <b>Overview</b>                                  | This consultation is seeking views on a range of electoral reforms. These proposed reforms deal primarily with the way in which people register to vote and cast their vote.  |
| <b>How to respond</b>                            | <p>The closing date for responses is <b>10 October 2017</b>.</p> <p>Responses can be submitted via the online document of consultation questions:<br/> <a href="https://consultations.gov.wales/consultations/electoral-reform-local-government-wales">https://consultations.gov.wales/consultations/electoral-reform-local-government-wales</a><br/> To respond to the consultation, please either complete the online form or request the accompanying questionnaire and return it either by email: <a href="mailto:RLGProgramme@wales.gsi.gov.uk">RLGProgramme@wales.gsi.gov.uk</a></p> <p>or by post to<br/> Local Government Democracy Division<br/> Welsh Government<br/> Cathays Park<br/> Cardiff<br/> CF10 3NQ</p> |
| <b>Further information and related documents</b> | <p><b>Large print, Braille and alternative language versions of this document are available on request.</b></p> <p>The consultation document can be accessed from the Welsh Government website at:<br/> <a href="https://consultations.gov.wales/consultations/electoral-reform-local-government-wales">https://consultations.gov.wales/consultations/electoral-reform-local-government-wales</a></p>   |
| <b>Contact details</b>                           | <p>For further information:</p> <p>Local Government Democracy Division<br/> Welsh Government,<br/> Crown Buildings,<br/> Cathays Park,<br/> Cardiff,<br/> CF10 3NQ</p> <p>email: <a href="mailto:RLGProgramme@wales.gsi.gov.uk">RLGProgramme@wales.gsi.gov.uk</a></p>   |
| <b>Data protection</b>                           | <p>telephone: 03000 256913</p> <p>How the views and information you give us will be used</p> <p>Any response you send us will be seen in full by Welsh Government staff dealing with the issues which this consultation is about. It may also be seen by other</p>  |

Welsh Government staff to help them plan future consultations.

The Welsh Government intends to publish a summary of the responses to this document. We may also publish responses in full. Normally, the name and address (or part of the address) of the person or organisation who sent the response are published with the response. This helps to show that the consultation was carried out properly. If you do not want your name or address published, please tell us this in writing when you send your response. We will then blank them out.

Names or addresses we blank out might still get published later, though we do not think this would happen very often. The Freedom of Information Act 2000 and the Environmental Information Regulations 2004 allow the public to ask to see information held by many public bodies, including the Welsh Government. This includes information which has not been published. However, the law also allows us to withhold information in some circumstances. If anyone asks to see information we have withheld, we will have to decide whether to release it or not. If someone has asked for their name and address not to be published, that is an important fact we would take into account. However, there might sometimes be important reasons why we would have to reveal someone's name and address, even though they have asked for them not to be published. We would get in touch with the person and ask their views before we finally decided to reveal the information.

## Table of Contents

|   |           |
|---|-----------|
| <b>Foreword .....</b>   | <b>5</b>  |
| <b>1. Introduction .....</b>  | <b>6</b>  |
| <b>2. Building the franchise.....</b>   | <b>7</b>  |
| • Votes for 16 and 17-year-olds .....   | 7         |
| • EU Citizens and citizens of other countries .....                             | 8         |
| • Prisoners - See Annex.....  | 8         |
| <b>3. Improving registration .....</b>  | <b>10</b> |
| • Data-sharing and Automatic Registration .....                                 | 10        |
| • Enabling a wider range of Council Officers to assist people to register ..... | 11        |
| • Relaxing rules on individual registration .....                               | 12        |
| • Targeted registration campaigns .....   | 12        |
| • Identifying people moving into and out of an area .....                       | 13        |
| • Developing an all-Wales electronic register.....                              | 13        |
| <b>4. The voting system.....</b>  | <b>14</b> |
| • Offering a choice: First Past the Post or Single Transferable Vote.....       | 14        |
| • Five year terms .....   | 15        |
| <b>5. The voting process .....</b>  | <b>16</b> |
| • All-postal voting .....   | 17        |
| • Electronic voting .....   | 18        |
| • Remote voting .....   | 19        |
| • Electronic counting .....   | 19        |
| • Mobile polling stations .....   | 20        |
| • Voting at places other than polling places .....                              | 21        |
| • Voting on different days and on more than one day .....                       | 21        |
| • Simpler postal voting procedures .....  | 22        |
| • Presenting ID at a polling station .....                                      | 22        |
| <b>6. Standing for election.....</b>  | <b>24</b> |
| • Removing need to publish candidate's postal address .....                     | 24        |
| • On-line publication of candidate's statement .....                            | 24        |
| • Prohibition of Assembly member standing as council candidate .....            | 24        |
| • Requirement to declare party affiliation .....                                | 25        |
| • Allowing council staff to stand for their own council.....                    | 25        |
| <b>7. Returning officers .....</b>  | <b>27</b> |
| • Ending right to personal fee for returning officer .....                      | 27        |
| • Simplifying fees and charges system.....                                      | 28        |
| <b>8. Conclusion.....</b>   | <b>29</b> |
| <b>Annex – Prisoner Voting .....</b>  | <b>30</b> |

## Foreword

With the relevant provisions of the Wales Act on electoral and registration matters due to come into effect next year, the Welsh Government and the Assembly has a new opportunity seriously to review how democracy functions here, how people become eligible to vote, how they exercise their right to vote and how elections are organised.

In our local elections last month, with a few exceptions, for the mass of people the experience of voting was the same as that of their grandparents would have had: walking to the local polling station and filling out a ballot paper with a pencil tied on a string. I enjoy that experience, as do many others, but it can also be viewed as anachronistic and nothing like other comparable procedures people experience in their everyday lives.

Although this consultation paper deals primarily with the arrangements for registration and voting and how we might change them, the Welsh Government will, separately, be continuing its efforts to raise interest in democratic participation, with the aim of reducing the number of uncontested seats and increasing the turnout in elections.

In line with this, I want to explore ways in which we can allow more people to participate in elections by extending the franchise to young people, by making registration easier and more automatic, by making it easier to vote using different methods and making sure people are well informed about who is standing for election.

I am well aware of concerns about security and electoral fraud. These are important considerations, but ways of addressing them must be found which do not compromise the basic democratic right of citizens to participate in elections.

I hope you will respond to this consultation. This is a genuine exercise in finding out what is possible, practical and desirable before we move towards any legislative change. My hope is that the next 12 weeks will add new ideas and fresh possibilities, as well as responding to the ones set out here. In that way, by the time 16 year olds get to cast their vote in the next local elections, it will be easy for them to register, easy for them to vote and as a result, will be encouraged to do so in large numbers.

**Mark Drakeford,**  
**Cabinet Secretary for Finance and Local Government.**

## 1. Introduction

- 1.1. Participation in elections is essential if we are to have a healthy democratic system. This cannot be achieved solely, or even mainly, by legislative means but requires people to be inspired sufficiently to engage. Welsh Government, local government, political parties and other stakeholders, all have a role to play in addressing the low levels of turnout and the scale of uncontested seats at local elections, which we witnessed in the May elections. This paper, however, deals primarily with the way in which people register to vote and cast their vote.
- 1.2. The Wales Act 2017 received Royal Assent on 31 January this year and contains provisions (section 5 *et seq*) which have the effect of transferring competence to the National Assembly to legislate in relation to the administration of elections to the Assembly itself and of those to local government. In addition, legislative competence for the registering of electors eligible to vote in these elections and the franchise applying to them are also devolved. An exception to this is the digital registration system operated by the UK Government.
- 1.3. Up until now, the Assembly has had very limited powers in relation to local elections or registration of electors and its powers in relation to Assembly elections have been confined to the appointment of returning officers (where constituencies crossed county boundaries) and regional returning officers, as well as the financing of these elections through providing funds to returning officers and the costs of distributing candidates' literature to Royal Mail.
- 1.4. The transfer of competence by the Wales Act, once the relevant provisions are brought into force, provides the opportunity for the Welsh Government to review the framework of legislation applying to Welsh local elections.<sup>1</sup> This paper concentrates on the franchise for local elections, the registration of electors, voting procedures and systems, standing as a candidate and the returning officer function. Where appropriate, the Welsh Government intends to include provisions within forthcoming local government legislation when the opportunity arises.
- 1.5. In putting forward these proposals for consultation, we recognise that any reforms brought into effect will require detailed planning and cooperation between the electoral community of returning officers, electoral administrators and the statutory bodies. The Welsh Government has enjoyed a strong working relationship with this community (who are noted for their excellent record in the successful delivery of elections and other polls in Wales) and will seek to work closely with them and other stakeholders in progressing the reform programme.

---

<sup>1</sup> The National Assembly is conducting a separate review of the size, electoral system and franchise for the Assembly and there may well be issues in this paper which could apply to both

## 2. Building the franchise

- **Votes for 16 and 17-year-olds**

- 2.1. The extension of the franchise to include all those aged 16 on polling day in Welsh local government elections would be the biggest change to the franchise since 1970, when 18- year-olds were able to vote for the first time. This younger cohort is already able to vote in Scottish local elections and elections to the Scottish Parliament and participated actively in the Scottish independence referendum.
- 2.2. It has been Welsh Government policy for several years to reduce the voting age to 16 and indeed the National Assembly by a clear majority voted in favour of this move in May 2013. Furthermore, the policy was included in the manifestos of the Labour Party, Plaid Cymru and the Liberal Democrats at the General Election. We should soon be in a position to implement this.
- 2.3. The case for enabling 16-year-olds to vote has been well-rehearsed. With most of the 16 and 17-year-old cohort these days being in school, it makes them far more exposed to political education of some sort than was the case in previous generations. Use of social media and electronic media sites is high amongst this age group and discussion of major political events is common.
- 2.4. Citizenship and political education are important parts of the curriculum and learners currently have the opportunity to study politics and current affairs through Personal and Social Education, Education for Sustainable Development and Global Citizenship (ESDGC) and the new Welsh Baccalaureate.
- 2.5. The 'Active citizenship' theme in the existing Personal and Social Education (PSE) framework, the key document which schools and colleges should use to review and develop existing PSE provision for 7 to 19-year-olds, allows learners to develop their knowledge on politics and their rights in a democratic society which reflects the United Nations Convention on the Rights of the Child. This should mean a more politically aware section of the population.
- 2.6. The 2014 Scottish referendum – where votes at 16 were made available for the first time in the UK – gives some indication of likely rates of registration. 109,533 16 and 17 year-olds registered, estimated at 89 per cent of those eligible.
- 2.7. Turnout of 16 and 17 year-olds was estimated at 75%, compared with 54% of 18-24 year olds and 72% of 25-34 year olds, though it was lower than for the electorate as a whole (85%). This presents an argument in favour of extending the franchise, as an early experience of voting could well lead to a maintained engagement, which would hopefully lead on to a greater interest in democratic politics more generally, including standing as a candidate. The lowering of the voting age would require a drive for maximum rates of registration. This might be easier for this age group than for those a couple of years older because most of them are still at home and, as stated earlier, attending school.
- 2.8. Currently, those who are entitled to vote at Assembly elections are people who are registered and who are entitled to vote at local government elections. Extending the local government register to include 16 and 17-year-olds would, without changes to the current legislation, apply automatically to voting at

Assembly elections. It will, of course, be for the Assembly to determine, if it so wishes, to remain affixed to the local government register.

**Q1 – Do you agree that the qualifying age for voting in Welsh local government elections should be lowered to 16?**

- **EU Citizens and citizens of other countries**

- 2.9. At present, it is unclear how the decision to leave the European Union (EU) will affect the automatic right of EU citizens to vote in council and Assembly elections here.
- 2.10. This issue will form part of the negotiations. Both the UK Government and the other EU member-states have expressed a strong willingness to reach an agreement which protects in full the existing rights of EU citizens who already are resident in the UK and this is also the clear position of the Welsh Government.
- 2.11. The question of EU citizens who arrive in the UK after EU withdrawal from the EU is a slightly different one, even if this too could form part of the discussion about the future of the relationship between the EU and the UK. It could be argued that such citizens should be no differently treated to citizens of non-EU countries once the UK is no longer a member of the EU – although, of course, citizens of Commonwealth countries already have and would presumably retain a right to vote here.
- 2.12. Citizens of other countries who may be resident here (other than EU citizens or citizens of Commonwealth countries) have no entitlement to vote. So a citizen of, say, the United States, China or Russia cannot participate. If it were decided that an EU citizen who arrives in the UK after UK withdrawal from the UK should have voting rights, then depending on the level of ongoing integration between the UK and the EU, the differentiation between EU/Commonwealth and non-EU/Commonwealth citizens arguably becomes less defensible. There is a case to be made that if someone lives in Wales lawfully, the local and Assembly franchises should also include them.

**Q2 – Should EU citizens who move to Wales once the UK has left the EU continue to acquire the right to vote?**

**Q3 – Should voting rights be extended to all legal residents in Wales, irrespective of their nationality or citizenry?**

**Q4 – EU and Commonwealth citizens can stand for election to local government in Wales, Should this continue and be extended to all nationalities made eligible to vote?**

- **Prisoners - See Annex**

- 2.13. Extending the franchise to prisoners is a subject that raises a number of issues, such as where a prisoner should be deemed resident for the purposes of voting



and whether the franchise should be universally extended to the prison population or linked to specific criteria such as the length or type of sentence. Because of these complexities we are not making firm policy proposals at this stage while legal issues continue to be explored. However, we would welcome responses to the questions at the end of the annex as a test of public opinion on this subject which we would take into account when considering whether we will legislate on this subject.

### 3. Improving registration

- 3.1. In this section we are considering policies designed to help people to register more easily. Registering to vote does not suggest any compulsion to use that vote. However, being on the register is a necessary pre condition to voting. In this section we put forward proposals to help ensure so that all those eligible to vote have these choices.
- 3.2. Electoral registration is the act of including names on the register held by the local Electoral Registration Officer (ERO) and denotes all those entitled to vote in that area (in Wales, there is an ERO for each of the 22 counties). It is compulsory to provide the required information to register when requested to do so, subject to a fine for failure to do so.
- 3.3. The register is therefore a list of people eligible to vote. The proposals which follow are designed to maximise the number of eligible persons included on the register. They do not imply any compulsion or obligation to cast a vote. That is an individual choice.

- **Data-sharing and Automatic Registration**

- 3.4. The introduction of individual electoral registration to replace household registration has generally been welcomed, in principle, in that it cast off a system primarily based on the “head of the household” having the power to provide personal information on the persons resident at an address, possibly without their knowledge, and replaced it with one placing the responsibility to register on each individual.
- 3.5. Unfortunately, this has led to a fall in the numbers registered, particularly amongst certain groups. The inability of landlords to register their tenants has led to big drops in the numbers of students on the electoral roll and there are also problems associated with other mobile populations. So, areas with high levels of students, migrants or people with unsettled lifestyles may suffer disproportionately from reduced levels of registration.
- 3.6. The Electoral Administration Act 2013 provided UK Ministers with the power to allow pilot schemes for improving registration. These are being pursued by the UK Cabinet Office’s Modernising Electoral Registration Programme, in which the Welsh Government participates.
- 3.7. One of the innovations that the UK Government has introduced to counter this fall in registration is the concept of data-sharing. In particular, data from the Department of Work and Pensions has been used to compare with the register, enabling EROs to make enquiries as to whether any persons absent from the register were resident at the named address. EROs can include someone on the register where other data confirms their belief that someone is resident at that address. Any data sharing would be in compliance with the Data Protection Act (due to be replaced next year by the General Data Protection Regulation<sup>2</sup>) and personal information would be treated in accordance with the principles of that Act

---

<sup>2</sup> <http://www.eugdpr.org/>

- 3.8. There could be considerable scope for expanding this resource by making available other official sources of data, which record persons' addresses, such as those maintained by the DVLA, HMRC and other listings maintained by local authorities.
- 3.9. This could be done by providing EROs with the freedom to make their own decisions as to what alternative sources of data might be relied upon, provided, of course that the proposed data-holder has a legal basis to disclose it.
- 3.10. There could be merit in moving far closer towards a system of automatic registration.
- 3.11. This position has been proposed by Claire Bassett, chief executive to the Electoral Commission, recently, in stating:
- "We believe that more automatic registration processes would greatly improve the system, with voters being added to the register after providing their details to other government services. A key example would be the automatic registration of young people when they are issued with a National Insurance number, helping to address historic under-registration of this age group".*
- 3.12. There will be other examples where this possibility exists and EROs could be given freedom to make use of them. This suggests a widening of the power of EROs to gather data for the register in a more flexible fashion than has been allowed for in recent regulations. The Representation of the People (England and Wales) (Amendment) Regulations 2016 includes provisions which allow EROs to exercise their discretion as to the issuing of Household Enquiry Forms and to use electronic means to send out invitations and reminders to register.
- 3.13. We could seek to move to a situation whereby, routinely, electors would only need to check they were registered rather than having to apply for registration. If individuals are added to the register without their initial knowledge, it should be remembered that registration is compulsory, and that being on the register only provides the right to vote – it does not require the right to be exercised.

**Q5 – Should Electoral Registration Officers have a greater range of sources available to them to assist citizens to be added to the register?**

**Q6 – Which data sources do you think should be used by Electoral Registration Officers?**

- **Enabling a wider range of Council Officers to assist people to register**

- 3.14. The more sources which are used to compile the register, of course, the more necessary it is for the available software to be formatted to identify and discard duplicate entries. There could be distinct advantages in allowing access to the register to a wider range of council staff, so enabling, for instance, the possibility of registering at a local library or leisure centre. When members of the public

contact their council for whatever reason, including, for instance, enquiries about council tax, there could be an automatic check against the register.

- 3.15. There would inevitably need to be a system by which the ERO or their staff were automatically informed when an amendment were made to the register by other council staff but this should not be an insurmountable problem, particularly as we move towards electronic registers. It could become a routine exercise as people make use of council services.

**Q7 – Should a wider range of local authority staff be empowered to assist citizens to obtain registration through access to the local government register and have the ability to amend it?**

**Q8 – What controls should be put in place to ensure the Electoral Registration Officer maintains overall control of the register?**

- **Relaxing rules on individual registration**

- 3.16. There may be a case for relaxing the rules on individual registration, so that a household form is permissible in certain circumstances but allowing for each individual to “sign”, either in paper format or through using some identifier provided to them. This would mean each individual would still need to indicate their participation in the process but a single form could be accepted by the ERO.
- 3.17. This could have positive advantages where a number of people reside in accommodation with a single landlord, such as a university residence or care home.

**Q9 – Should the individual registration rules be relaxed to allow for block registrations in certain circumstances, protecting the right to vote for populations otherwise at risk of exclusion?**

- **Targeted registration campaigns**

- 3.18. EROs are already able to conduct targeted registration campaigns but it may be possible to broaden these, aiming, for instance, at school students, the unemployed, council tenants, older persons in care – any category where it is possible to reach known individuals.
- 3.19. Welsh Government officials liaise closely with the UK Cabinet Office’s Modernising Electoral Registration Programme and the pilot exercises being promoted by this and we are supportive of its goals. These pilots allow EROs to be imaginative about how they conduct their annual canvass of households, in order to use their resources most effectively.
- 3.20. Targeted campaigns have also taken place in some areas aimed at working with universities, housing associations and other third parties to try and reach those least likely to register otherwise. There is a case for allowing EROs discretion as to how they conduct their canvassing exercises so as to maximise registration.

The Behavioural Insights Team (a social purpose company dedicated to the application of behavioural sciences) worked recently with two Welsh local authorities on registering students and their work could help to inform the design of literature aimed at this group.

**Q10 – Should we place a duty on Electoral Registration Officers to consider whether any individual groups within their electoral area should be specifically targeted in registration campaigns?**

- **Identifying people moving into and out of an area**

- 3.21. It should be possible for mechanisms to be introduced to identify people moving into or within an area to be provided with registration forms as a matter of course. This could be coupled with them receiving notice of their responsibility to pay council tax, for instance.
- 3.22. Social services departments or health bodies could be the first to be aware of people moving into, within, or out of an area and could provide people with registration forms and inform the ERO of the move. Universities should be aware of students changing address and similarly could have a link to the registration process. Housing associations, care homes and even estate agents could be included in this process.

**Q11 – Should we introduce arrangements so that agencies who are aware of people moving have a duty to inform the Electoral Registration Officers?**

- **Developing an all-Wales electronic register**

- 3.23. Despite the inclusion of provisions in the Electoral Administration Act 2006 for the development of a Co-ordinated On-Line Record of Electors (CORE), no such scheme has been established. Wales, with its 22 EROs, would appear to be ideal for the development of a single electronic register, which might facilitate some of the reforms proposed in this consultation and we would seek to work with the Electoral Commission and other stakeholders on its development.
- 3.24. For some of the proposals in the next section to work effectively, an electronic register would be a positive advantage. The CORE project was seen as essential in enabling multi-channel e-enabled elections and this could be our aim for Wales.
- 3.25. An all-Wales register would mean the use of common software on which to carry the register. Should electronic / remote voting be introduced it should be formatted so that the vote is recorded against the register whenever it was cast and from what location.

**Q12 – What are your views on the development of a single electronic register for Wales?**

## 4. The voting system

- **Offering a choice: First Past the Post or Single Transferable Vote**

- 4.1. The Local Government White Paper (Reforming Local Government: Resilient and Renewed) contained the proposal to allow individual local authorities to decide on their preference to stay with the first-past-the-post (FPTP) system or to move to election through a Single Transferable Vote system. Such a move would require a fresh electoral review of the council area to enable multi-member wards. The proposal would prevent a council, having changed to a different electoral system, from moving back until at least two elections had passed.
- 4.2. FPTP has been the only electoral system used to elect local councils in Wales since the introduction of elected local government in the late 19<sup>th</sup> century. It is also the system used to elect MPs, constituency AMs and community councillors in Wales. Accordingly, it is the electoral system with which Welsh voters are most familiar. Nevertheless, voters appeared to cope adequately with the elections for regional members of the Assembly, the European Parliament and Police and Crime Commissioners which all use different methods of proportional representation.
- 4.3. Supporters of FPTP take the view that the voting and counting procedures are simple, familiar and relatively cheap and there is a straightforward relationship between where a candidate finishes in the tally of votes and whether or not they are elected.
- 4.4. The Single Transferable Vote (STV) is a preferential electoral system, which means voters are asked to rank the available candidates in order of preference. Voters may choose to rank all the available candidates or only as many as they wish, which may be as few as just one.
- 4.5. STV is considered to be a system of “proportional representation”. It usually produces election results which generally reflect the proportions of votes cast for the different political parties, groups and independents in an individual electoral area and across the election as a whole.
- 4.6. Each election of a principal council is a separate election. It is appropriate that the council should decide on its electoral method just as the Assembly will be able to decide on its preferred option, albeit by a two-thirds majority. We propose that each authority should be allowed to decide for itself on the electoral system they prefer. We do not propose to introduce the option of STV for elections to community councils, because a root and branch review of the sector is underway.

**Q13 – Do you agree that individual principal councils should be able to choose their voting system?**

**Q14 – Do you agree that a constitutional change such as this should be subject to a two-thirds majority?**

- **Five year terms**

- 4.7. It is the intention of Welsh Government to introduce statutory five year terms for local government, replacing the existing arrangements for four year terms. This would be in keeping with the five year terms for the UK Parliament (as set in the Fixed Term Parliaments Act 2011) and for the Assembly in the Wales Act. This would mean that the next ordinary date of elections to local government would be in May 2022.

**Q15 – Do you agree that the term of local government in Wales should be set at five years?**

## 5. The voting process

[NOTE: Any reforms to voting methods proposed below could apply to elections, including by elections, to community councils as well as to those to principal councils]

- 5.1. For most people, the experience of voting has not changed significantly during their lifetimes. It is true that a higher proportion than ever now vote by post since absent voting rules were changed in the Representation of the People Act 2000 to provide it as an option on demand but it is still a minority activity.
- 5.2. The general experience is of attending the polling station allocated to your area, informing the presiding officer of your identity, receiving a ballot paper, taking it to a booth, completing it with the pencil provided and placing it in the ballot box provided.
- 5.3. This remains the case despite the fact that most people's experience of "voting" for other things would involve use of some type of computer screen, mobile or land phone or TV remote control. In many cases, such as elections or ballots within trade unions or other societies, the voting systems are designed to be secure, with individual codes of some sort to try and ensure that the correct person is voting – and doing so only once.
- 5.4. Despite the testing of various pilots at local and regional elections in the early 2000s, the traditional system remains in place. The question this raises is whether, as the electoral voting system diverges increasingly from how people otherwise live their lives, its relative monopoly will come to be seen as an anachronistic relic. Having said that, of course, there is plenty of evidence to show that when people really think voting is important, they turn up at old-fashioned polling stations in numbers. That does not mean, though, that even more would not participate if there were alternative voting methods available. This could be particularly the case in relation to young people, for whom the polling station process will be increasingly divorced from their normal experience of completing forms and providing personal details on line for almost all official communications.
- 5.5. In saying this, we have to attend to one of the main reasons why change has not been pursued. Issues around security and fraud have been associated with postal voting in particular and are feared in relation to any form of remote voting. In introducing any of the proposed reforms to the method of voting below, ROs would need to be vigilant and continue the scrutiny of the process as they do now to spot any irregularities. We do not wish to be resistant to reform, however, due to concerns over scrutiny when there have been no significant cases of electoral fraud in Wales in recent times.
- 5.6. There is now the opportunity to consider reforms to voting methods which could be piloted at council by-elections, or at the ordinary council elections in 2022, or even introduced across Wales in 2022. We would retain existing provisions in UK legislation requiring the Electoral Commission to evaluate any electoral pilot and we would seek to work with the Electoral Commission – and other stakeholders – on the development of any new methodology.



**Q16 – Do you agree in principle with the desirability of reforming the voting system to encourage greater participation?**

**Q17 – Are there other initiatives not covered which might be taken to enable greater participation in elections in Wales?**

- **All-postal voting**

- 5.7. This would involve all electors in the relevant area receiving a ballot paper by post at the normal time for issuing postal votes. It would not appear conceivable that this could operate successfully without removing the need for the personal identifiers required to support a postal vote application as requiring the application process would both be administratively problematic and also inevitably lead to a declining number of electors. The personal statement element, confirming that the vote was cast by the intended person, should remain, however, as providing at least a self-administered honesty check.
- 5.8. Of course, it would not be practicable to operate this system if the local elections were held at the same time as another poll for which normal rules applied to postal voting. Requiring personal identifiers for one form of postal vote but not another – particularly if there were multiple voters in one household – would make the process difficult to follow and open to criticism.
- 5.9. Previous pilots in the early 2000s indicated that all-postal voting led to an increased turnout (although in Wales the pilot was only at a single community council by-election). This has a logic to it. If you receive a ballot paper with instructions and a pre-paid reply envelope, there is a stronger chance that you will respond than being required to attend a polling station on a set day between certain hours. The expense of conducting an exercise by post, including use of pre-paid reply envelopes, would need to be balanced against the savings made by the removal of the need to operate polling stations.
- 5.10. In May 2003, 35 local authorities in England piloted all-postal voting. The outcome of those pilots was a recommendation from the Electoral Commission that all-postal voting should be adopted as the normal method of voting at local elections in the UK. This reflected the positive impact on voter turnout at these elections (in some places, turnout doubled) and the fact that there was no evidence at that time of an increase in fraud.
- 5.11. The local elections scheduled for May 2004 were postponed to June and combined with the European Parliament elections. The UK government used this opportunity to trial all-postal voting in these elections across four regions and the pilots did show a significant increase in turnout in those areas.
- 5.12. The Electoral Commission report into these elections drew back from their earlier recommendation because its research showed that a large minority of people wished to retain the option of voting at polling stations. Thus, the Commission recommended that a new model of multiple voting methods should be developed, including postal voting, rather than proceeding with elections run entirely by all-postal voting.

- 5.13. We recognise also the Electoral Commission's concerns about potential abuses of postal voting and would support their calls for it to be made an offence for anyone other than the voter concerned to interfere in the postal voting process.

**Q18 – Should councils be able to choose to use all-postal voting at council elections?**

**Q19 – Should it be subject to pilot exercises first?**

**Q20 – Should councils be able to operate all-postal voting in an individual ward or a number of wards within a council area?**

- **Electronic voting**

- 5.14. This implies the installation of equipment at polling stations (and possibly other locations) to enable touch-screen voting. Polling would still be subject to a form of limited supervision. It would be important to ensure that officers presiding at the polling places could not see how people were voting but they would also need to ensure that voters did not receive unauthorised assistance or guidance as to how to cast their vote.
- 5.15. Electronic voting is already used widely internationally, particularly in India but also in Belgium and Estonia amongst others.
- 5.16. Technology could probably provide that the touch-screen capacity could be made available in places other than normal polling stations but there would still need to be trained staff present to oversee and help. Also, there would need to be a way that the register was marked to indicate who had voted.
- 5.17. There are clear cost implications for this. Whether or not dedicated hardware would be required, the returning officer would need to be certain that they had sufficient working equipment available on polling day.
- 5.18. There are potentially considerable cost savings on the counting of votes, the hiring of counting premises and time. After close of voting, there would need to be a set location where the results of poll were displayed, showing the number of votes cast and how they were shared between the different candidates.
- 5.19. There would need to be measures to prevent voting patterns being viewed ahead of counting time to prevent this information assisting candidates or their campaigners. Similarly, there would need to be secure procedures in place to ensure the security of data being transmitted from the polling places to the central count operations. The challenging of votes could become less likely. Systems might be configured so that an error in completion of the ballot form could lead to the vote being rejected and voters being allowed another attempt.

**Q21 – Should electronic voting be enabled at local elections?**

- **Remote voting**

- 5.20. This refers to a process of voting through access of the internet by an electronic device, using an individual recognition code. The use of codes of different sorts to ensure that only the intended person is accessing a system is now commonly used for purchasing, banking, voting in elections within political parties, trade unions and other organisations. Registration to vote is now routinely performed on line, as is registering/taxing a motor vehicle and accessing a multitude of other public services or transactions.
- 5.21. Remote voting was piloted in local elections at South Buckinghamshire in May 2007. Although only a minority made use of the facility, 10 years later the option is likely to be more popular. There were no particular technical difficulties but the Electoral Commission called for the pilots to be suspended – along with all others – until the system was generally more secure. There is a risk that, with registering being done remotely, fictitious voters could be created and that voting might not take place in secure environments. In addition, realistic concerns exist about cyber security, and any system needs to be as secure as possible from the dangers of hacking and manipulating votes. This must be weighed against this method becoming more and more commonplace in relation to other types of voting or completion of official forms and having likely efficiency savings. There are remote voting procedures operating in at least one European country allowing the casting of a vote more than once by the same person, with only the final vote cast before close of poll counting. This is to provide for the possibility that an elector may be subject to intimidation when voting but would take a later opportunity to vote in private.
- 5.22. There would need to be a window during which time voting could take place; counting would need to be performed at a set time and be open to scrutiny and arrangements might be needed for people who found it difficult or did not wish to cast their votes this way .
- 5.23. Both electronic and remote voting could include methodologies which make mistakes less likely and increase the possibility of dealing with multiple polls on the same day by assisting voters through the process.

## **Q22 – Should remote voting be enabled at local elections?**

- **Electronic counting**

- 5.24. Electronic counting is not necessarily linked to electronic voting and is now, for instance, the accepted method of counting votes cast in Scottish local elections. Its use is particularly justified by the decision of the Scottish Parliament to elect councils by the single transferable vote system, which throws up a more complex counting process than in traditional first-past-the-post elections (see above).
- 5.25. It is not always the case, however, that use of the STV electoral process is linked to electronic counting. STV votes are counted manually in Northern Ireland and the Republic of Ireland. It absorbs more time and resource but is believed to have

a greater degree of transparency.

- 5.26. Electronic counting is an expensive option. The Scottish Government has reportedly paid £6.5million for the contract for the counting machines to be used this year. It would be much less, of course, for an individual Welsh authority but could still be a six-figure sum. It is, however, an area in which we could anticipate greater adaptability of equipment in the future. Authorities might prefer to purchase equipment and training for their staff rather than enter all-embracing arrangements with contractors.
- 5.27. Of course, electronic counting could also be an option on FPTP elections. It should still speed the process and have some consequential savings in time and counting staff.
- 5.28. Observing electronic counting is a less complex, and possibility less exciting prospect than traditional paper counts. The machines are quick and count less visibly, not putting votes into piles but recording the totals. They also are able to identify wrongly completed ballot papers and display them for judgement by the RO.
- 5.29. In some pilots and in the Scottish elections of 2007, there were some technical problems with the counting machines which delayed results. These appear to be largely overcome and more recent elections have taken place smoothly.

## **Q23 – Should electronic counting be introduced for local elections in Wales?**

- **Mobile polling stations**

- 5.30. This conceives some polling stations operating like mobile libraries, visiting different parts of an area, in addition to “normal” polling stations. This might be particularly useful in hard-to-reach areas, neighbourhoods with traditionally low turnouts and concentrations of elderly persons.
- 5.31. People would need to know in advance at what times the mobile station would be calling – preferably when polling cards are distributed - and there might need to be some form of broadcast message on site.
- 5.32. For this to be able to operate successfully, an electronic register system would need to be in place, ensuring that voters casting their vote in the mobile station were not able to vote again at a “normal” polling station – or vice versa. If operating an auto-update register, there would need to be a high degree of surety that reliable connections operated between the mobile polling station and the central register so that linked polling stations would see which votes had been cast. Otherwise, you would need to employ a system whereby people would have to register in advance to have a mobile vote.
- 5.33. If the same mobile polling station served more than one ward, a process would need to be in place to ensure the ballot papers from one were separated from those in another. This would be easier if electronic voting were introduced.

- 5.34. There would also need to be restrictions on campaigning close to a mobile station akin to those relating to other polling stations. The mobile stations themselves, of course, would need to be accessible to disabled people.
- 5.35. Mobile polling stations are allowed in Canada but have not been piloted in the UK.

#### **Q24 – Should mobile polling stations be enabled at local elections?**

- **Voting at places other than polling places**

- 5.36. This proposal would suggest enabling voting at places like supermarkets, local libraries, leisure centres and bus and railway stations – public places local people might visit during the course of a normal day.
- 5.37. If these were to be in addition to “normal” polling stations, so not confined to a particular polling district, again an electronic register would be required so that an elector, once having voted, had their name marked against the register to avoid the possibility of multiple voting.
- 5.38. Voting at places other than normal polling stations was piloted in the early 2000s. Although it appears not to have been problematic, most people preferred to stick with their local polling stations. Any places designated as additional to normal polling stations would need to be accessible to all and able to cater for voting in secret.

#### **Q25 – Should we enable returning officers to make use of polling places in addition to fixed polling stations?**

- **Voting on different days and on more than one day**

- 5.39. Election Day in the UK is traditionally a Thursday, possibly because of a combination of historic factors. Under the Fixed Term Parliaments Act 2011, all General Elections should take place on the first Thursday in May every five years, barring special circumstances (as we have just witnessed).
- 5.40. Most other European countries hold elections on a Sunday. In the past, objections to Sunday voting have been raised from religious quarters. These days, however, many activities take place on a Sunday – like shopping and sport – which were once not permitted or commonplace.
- 5.41. Local authorities are not bound to hold by elections on Thursdays and occasionally choose not to. Community polls, for instance, can be held on different days. Pilots in the early 2000s included voting on days in addition to Thursday and, if we move to a situation by which the register can be marked electronically to record the casting of votes, there should be a greater possibility of stretching an electoral process over a number of days. Voting on more than one day could help to overcome circumstances such as occurred in parts of London at the time of the European referendum, where flooding led to serious disruption of transport links on polling day.

- 5.42. Any requirement to staff polling days over several days, of course, would come with the commensurate costs.
- 5.43. Counting would, of course, need to be completed at one time after all votes were cast and there would be a need to keep ballot boxes secure for a longer period of time.

**Q26 – Should we enable local elections to be held on more than one day and on days other than a Thursday?**

- **Simpler postal voting procedures**

- 5.44. Anyone can apply for a postal vote, either for a single election on a specific date, for a specific period or permanently. You will need to provide your name, address, signature and date of birth when completing the application form.
- 5.45. When voting by post, you are required to mark your vote on your ballot paper in secret, fill in a postal voting statement (which confirms that you are the person entitled to cast the vote), put the ballot and statement in the envelope provided and seal it yourself, and then post it.
- 5.46. There may be more than one election on the same day, most commonly in the case of county and community elections, but it is usually the case that both ballot papers can be inserted in the same reply envelope.
- 5.47. Many users of postal voting are elderly or otherwise infirm. For many people in these circumstances, official forms can be irksome and they may need help to deal with them, which partly defeats the object. But it is also the case that individuals without any particular vulnerabilities who have chosen to vote by post find the instructions difficult to follow and, in some cases, the sealing process less than straightforward.
- 5.48. There may well be a case for examining whether the postal vote material can be made simpler to understand and complete. There are certainly organisations who would volunteer their services to address this.

**Q27 – Should consideration be given to simplifying postal voting procedures and literature?**

**Q28 - How do you think the process could be simplified?**

- **Presenting ID at a polling station**

- 5.49. In August 2016, the UK Government published a review of electoral fraud carried out by Sir Eric Pickles (<https://www.gov.uk/government/publications/securing-the-ballot-review-into-electoral-fraud>). Although it contains many proposals, the most publicised has been the proposal that voters should be required to present some form of personal identity document when attending a polling station before they could receive their ballot paper. Acceptable ID might be a passport, driving licence or utility bill. This is not that unusual. In some cases, such documents

need to be produced before being allowed entry to a council recycling centre to prove your local residence.

- 5.50. However, the introduction of such a requirement is not one which would lead to a higher turnout. It is more likely to result in people being turned away who then don't bother to return. As such, it puts the interest of security of the vote above that of accessibility.
- 5.51. Wales has, fortunately, been relatively free of any allegations of significant electoral fraud in recent years, in contrast to certain inner city areas in England. The case, therefore, for the introduction of ID at Welsh polling stations is therefore harder to justify.

**Q29 – Should electors attending a polling station be required to produce ID before they are allowed to vote? If so, what types of identification should be accepted?**

**Q30 – Do the advantages of requiring ID outweigh the risk of deterring voters?**

## **6. Standing for election**

- **Removing need to publish candidate's postal address**

- 6.1. We need to be mindful of recent, though thankfully rare, occasions where politicians' accessibility has been abused, resulting in them being attacked, in one case fatally. It may be that there is no longer a necessity for the returning officer to publish the candidate's home address on election literature. The RO would, of course, need to be satisfied that the candidate at a local election was qualified to stand but if there remains a need to publish contact details, possibly an e-mail or social media address could replace their physical location. There is no intention in this proposal to prevent a candidate from showing their connection to a locality.

**Q31 – Do you agree that it should no longer be necessary to publish a candidate's home address in election literature, including anything published electronically?**

- **On-line publication of candidate's statement**

- 6.2. On the other hand, there could be more information available to the public about the candidates' beliefs or policies, using on-line facilities. Each candidate could be required to provide a statement which would be published collectively by the returning officer and could be located in one spot on the web.
- 6.3. What we are proposing is a facility provided by an RO but in which the responsibility for the content remains with the candidate. It is the candidates' responsibility to ensure that their statement complies with the law. ROs may refuse to publish a statement if they consider it may be in breach of legislation. This practice is already employed in New Zealand and the Netherlands.

**Q32 – Do you agree that each candidate should be required to provide a personal statement for inclusion on a website provided by the authority to whom they are seeking election?**

- **Prohibition of Assembly member standing as council candidate**

- 6.4. The National Assembly's Constitutional and Legislative Affairs Committee, in a 2014 report (<http://senedd.assembly.wales/mglIssueHistoryHome.aspx?lId=14799>), called for the Welsh Government to review whether it was appropriate for an Assembly Member to also serve as a county councillor. The Welsh Government's view is that this is not appropriate, given the full-time role an Assembly Member fulfils. However, it is possible that this issue will be addressed through disqualification from the Assembly, rather than through amending local government legislation. Otherwise, the disqualification rules for election to local authorities could be amended. In either case, we are proposing that a councillor should be free to stand for election to the Assembly, and that Assembly Members be able to stand for election to a council, but that, if elected, they would need to vacate the first held position within a year.

**Q33 – Do you agree that it should not be permissible to serve both as an Assembly Member and councillor?**



- **Requirement to declare party affiliation**

- 6.5. Welsh Government policy is also that it should not be acceptable for a person to stand for election without declaring their membership of a political party, if that is in fact the case. Consideration could be given to making that illegal at council elections, with the result declared invalid if it were proven that a candidate withheld this information. Making this an offence suggests the possibility of disqualification for a period of time.
- 6.6. Party affiliation needs to be declared on a candidate's online statement (see above) if the candidate has been a member of any political party during the twelve months up to and including the election.

**Q34 – Do you agree that candidates should be required to disclose a party affiliation if they have one?**

**Q35 – What sort of evidence should be required to suggest there is an undisclosed party affiliation?**

- **Allowing council staff to stand for their own council**

- 6.7. This matter was raised previously in the consultation paper "Power to Local People"<sup>3</sup> and at that time the weight of opinion was against this idea but we wish to test it again in the context of limited progress on diversity illustrated at the 2017 local elections.
- 6.8. Officers and staff in Local Authorities generally have a thorough understanding of their communities and a deep commitment to improving their well-being. Many might themselves make effective elected members, but there are restrictions on some senior employees of a Local Authority standing for elections. In particular, although all Local Authority employees (including school staff) can stand for election unless they hold a politically restricted post (generally higher paid officers), none of them can stand for election to their own employing Authority. This makes sense from the point of view of them not being able to make decisions affecting their own employment conditions.
- 6.9. The Welsh Government recognises the need for checks and balances to ensure the integrity and impartiality of advice offered by officers to elected members. However, given that Local Authorities are major employers in all areas of Wales, these restrictions may be preventing a wide range of suitable candidates from diverse backgrounds from coming forward to stand for election in their local area.
- 6.10. Whilst any person who is disqualified currently from standing may resign their post to stand for election, this is a significant disincentive due to the risk it carries for the individual. There may be a case for this disqualification being reviewed. It results in thousands of individuals being unable to stand for election in their own area. Views are being sought as to whether any Local Authority officers should be entitled to stand for election to their own Authority. In Scotland they are only

---

<sup>3</sup> <http://gov.wales/docs/dsjlg/consultation/150203-power-to-local-people-full-en.pdf>

required to resign their paid employment with the Authority once they are elected. Alternatively, there could be a period of secondment to the council, entitling the individual to return to their employed position after completing a council term, should their employing authority so decide. An alternative approach is that the code of conduct regime could ensure that an interest is declared on any matter in which the member has a pecuniary or other interest. This would widen the pool of potential candidates while ensuring there is no conflict of interest once the candidate is elected

- 6.11. In terms of politically restricted posts – those post-holders in local authorities who cannot participate in political matters – this is in keeping with the traditional view that those officers who advise a local authority from a senior position should be politically neutral. Current arrangements require that, in addition to chief officers, each council should keep a list of officers other than these who advise or act on behalf of the council on a regular basis. Anyone on this list has to apply to an Independent Adjudicator appointed by Welsh Ministers before they can be freed to participate. Any applications for permission are extremely rare. There have been none since the 2010s. Views are being sought as to whether the need for such a list – and therefore the adjudicator position – is still justified.

**Q36 – Should any council staff below senior level be able to stand for election to their own authority?**

**Q37 – Is there still justification for councils to keep a list of those other than senior officers who should be politically restricted?**

## **7. Returning officers**

- **Ending right to personal fee for returning officer**

- 7.1. Existing legislation enables ROs to reclaim an amount for their services and expenses incurred in the running of an election from the body responsible for the funding of the elections. For Welsh elections, this means the Welsh Government for Assembly elections and individual local authorities for county and community elections.
- 7.2. ROs have an independent position, governed by statute. ROs, when performing their functions, are treated as distinct from what might be their everyday job, and have the responsibility to ensure the proper administration of the election from start to finish. This implies a greater element of risk than might apply in their normal employment, although there are indemnities and insurances normally in place partly to balance this.
- 7.3. For Welsh elections, the RO must be an ERO of a principal council. Each council must appoint one of its officers as the ERO and this is usually, though not always, its chief executive. The chief executive is therefore usually also the RO.
- 7.4. An option under consideration is that the function of ERO/RO becomes an automatic function of the proposed statutory chief executive (included within the Draft Local Government Bill of 2016).
- 7.5. Within the expenses that an RO can claim from the funding body has traditionally been an element representing a personal fee. This recognises that the role is additional to – or separate from – their normal job. In recent years, however, there has been significant public attention brought to the level of salaries payable to senior public servants at a time of general restraint and limitations over pay more generally and of lower level public servants in particular. This has included the issue of RO fees, which, in some cases, are claimed in multiples. (This is the case in Assembly elections, for instance, if an RO covers more than one constituency and/or is appointed as Regional RO for the purpose of the election of Regional Assembly Members).
- 7.6. We are considering legislating to prevent ROs recovering a personal fee from their own authority and to replicate this policy in relation to the fees and charges payable at Assembly elections.
- 7.7. Local authorities will be able, if they wish, to consider whether to recognise the compulsory RO role within the salary of the chief executive. In doing so, they will need to take into account that the RO responsibility embraces the management of Assembly and town and community council elections as well as those to their own authority. Should they wish to increase the salary for this purpose, they would need to consult the Independent Remuneration Panel for Wales for a view.

**Q38 – Do you agree that the statutory chief executive role should include that of returning officer?**

**Q39 – Do you agree that any addition to salary in recognition of returning officer duties should be a matter for the local authority to determine?**

- **Simplifying fees and charges system**

- 7.8. The existing system of paying for elections to the Assembly involves the Assembly approving a fees and charges order which details the maximum amounts claimable by an RO for services and expenses at an election.
- 7.9. ROs are able to claim an advance on the expenses and there is then a complex process by which accounts are submitted and checked with calculations taking place as to whether the RO is entitled to an addition to the advance fee or is required to return any of the fee received.
- 7.10. It can take up to a year after the election for accounts to be finalised and the resource and time required to do this, at both local authority and Welsh Government level is significant. It has the advantage of accuracy. However, it would probably represent an overall saving on public funds to move to a system whereby election costs were paid on a formula basis – linked to the size of the electorates – within which ROs would need to accommodate their expenditure on the election.
- 7.11. In this situation, there would need to be arrangements in place to deal with the recovery of any surplus and the process would have to be open to audit.

**Q40 – Should Welsh Government move to a system of calculating Assembly election costs on an agreed formula, based on the size of electorate?**

## 8. Conclusion

- 8.1. Any changes which we decide to pursue will be subject to consultation with our stakeholders through the establishment of an Electoral Reform Programme Board. We will also be participating in the Wales Elections Coordination Board, established by the Electoral Commission.
- 8.2. We are aware that these proposals are not the only proposals for change which may emerge in the coming period. The UK Government's Modernising Electoral Registration Programme is ongoing and the UK Cabinet Office has recently consulted on changes to anonymous registration. The Assembly's Presiding Officer (Y Llywydd) has established an expert panel to consider, amongst other things, reform to the way the assembly is elected.
- 8.3. On top of this, the Law Commissions of England and Wales, Scotland and Northern Ireland have reviewed electoral law and report on recommended reforms. They aimed to consolidate electoral law, at the same time modernising and simplifying. We understand that their proposals are unlikely to lead to the publication of a Government Bill but may be pursued – to an extent – through secondary legislation.
- 8.4. This consultation document introduces a panoply of potential reforms to the electoral process in Wales. This is a real opportunity for a modernisation of procedures which have changed little for many, many years. We need to encourage a far greater degree of participation in political life and easing the processes leading to casting a vote could play a major role in this.
- 8.5. While we have set out many proposals within this paper it is certainly not intended that these are exhaustive. We would welcome any alternative suggestions for reform of electoral administration and democratic processes where these promote registration and participation.
- 8.6. Responses are welcomed. If you responded to the electoral section of the previous White Paper, you can refer to your previous submission without needing to duplicate it.

**Please send response to [RLGProgramme@wales.gsi.gov.uk](mailto:RLGProgramme@wales.gsi.gov.uk) by 10 October 2017.**

## Annex – Prisoner Voting

1. The UK Government has, despite earlier indications that it was under consideration, failed to address the ruling of the European Court of Human Rights that a blanket ban against prisoner voting contravenes Article 3 of Protocol No 1 of the European Convention on Human Rights. The First Minister of Scotland has, however, indicated that there will be a need for Scottish Ministers to consider their position on prisoner voting in the light of the 2016 Scotland Act.
2. The UK Government has indicated that it does not intend to bring forward legislation to respond to the European Court of Human Rights' judgment. The Council of Europe's Committee of Ministers, which is responsible for enforcing judgments of the European Court of Human Rights, has twice called upon the UK to respond to the Court's judgment.
3. In 2010, Mark Harper, then UK Minister for Constitutional Reform, issued a statement saying:

“The Government will therefore bring forward legislation providing that the blanket ban in the existing law will be replaced. Offenders sentenced to a custodial sentence of four years or more will lose the right to vote in all circumstances, which reflects the Government's clear view that more serious offenders should not retain the right to vote. Offenders sentenced to a custodial sentence of less than four years will retain the right to vote, but legislation will provide that the sentencing judge will be able to remove that right if they consider that appropriate. Four years has in the past been regarded as the distinction between short and long-term prisoners, and the Government consider that permitting prisoners sentenced to less than four years' imprisonment to vote is sufficient to comply with the judgment.”

4. The four-year qualification proposed in 2010 would mean that in the region of 45% of prisoners would become entitled to vote and clearly those convicted of the most serious offences, would, in the main, have been given longer sentences.
5. However, the Parliamentary Joint Select Committee which considered the draft Voting Eligibility (Prisoners) Draft Bill in 2013 recommended:
  - That all prisoners serving sentences of 12 months or less should be entitled to vote in all UK parliamentary, local and European elections;
  - That such prisoners should be registered to vote in the constituency where they were registered prior to sentencing; and that, where there is no identified prior residence, they should be able to register by means of a declaration of local connection;
  - That prisoners should be entitled to apply, 6 months before their scheduled release date, to be registered to vote in the constituency into which they are due to be released.
6. Neither of these proposals have come into effect and the Conservative government elected in 2015 made it clear that they would not be taking the matter forward. It seems unlikely in the short term that there will be any change to the current franchise in relation to prisoners, meaning that only remand prisoners are entitled to vote. (Discussions are however still underway between the UK Government and the Council of Europe.)

7. It would be possible for voting rights to be extended to the approximately 3200<sup>4</sup> prisoners resident in Wales. The issue of where they would be resident for the purposes of registration would be important here. Prisoners could be deemed resident at their addresses outside prison, or they could declare a local connection to an addresses to which they had attachments, such as their parents or family addresses. The alternative approach is that of the prison address being the relevant residence, although this could cause a sudden growth, possibly unwelcome, to the nature of the electorate of the local ward. It is noted that many inmates of Welsh prisons will have their previous or attached addresses in England, where the franchise may not have been extended.
8. In a consultation of 2009, the then UK Ministry of Justice, raised the possibility of registering prisoners to vote by using a special convicted prisoners' voting registration form attested by a designated prison official. This would enable convicted prisoners to register to vote through the 'rolling registration' route, by reference to a previous residence or enabling prisoners to make a 'declaration of local connection' where there is no connection to a previous residence. The consultation also asked whether it would be preferable for prisoners to vote by post and how prisoners' details should appear on the electoral register.
9. An alternative approach for Wales could be that eligible convicted prisoners should maintain their entry on the register at the time of their conviction. The returning officer (RO) would need to arrange for them to receive a postal vote at the institution where they were resident, or a proxy vote cast on their behalf. They would remain on that register until they were released.
10. There could still be a process of registration for unregistered persons as described in the options above. Any extension of the franchise to 16 and 17 year olds would need to be addressed and there would need to be a process for registering young people below voting age who reach the qualifying voting age during their period of detention.
11. Prisoner voting is routinely permitted in Ireland, France, the Netherlands, Italy and Germany, as it is in Finland and Sweden (which also allows political parties to hold campaign meetings in prison).

**Q41 – Should Welsh prisoners be allowed to register to vote and participate in Welsh local government elections? If so, should it be limited to those sentenced to less than twelve months, four years, or any sentence length?**

**Q42 – By what method should prisoners cast a vote?**

**Q43 – At what address should prisoners be registered to vote?**

---

<sup>4</sup> <https://www.gov.uk/government/statistics/prison-population-figures-2017>

## **Consultation Response Form**

Your name:

Organisation (if applicable):

email / telephone number:

Your address:

Q1 – Do you agree that the qualifying age for voting in Welsh local government elections should be lowered to 16?

Q2 – Should EU citizens who move to Wales once the UK has left the EU continue to acquire the right to vote?

Q3 – Should voting rights be extended to all legal residents in Wales, irrespective of their nationality or citizenry?

Q4 – EU and Commonwealth citizens can stand for election to local government in Wales, Should this continue and be extended to all nationalities made eligible to vote?

Q5 – Should Electoral Registration Officers have a greater range of sources available to them to assist citizens to be added to the register?

Q6 – Which data sources do you think should be used by Electoral Registration Officers?

Q7 – Should a wider range of local authority staff be empowered to assist citizens to obtain registration through access to the local government register and have the ability to amend it?

Q8 – What controls should be put in place to ensure the Electoral Registration Officer maintains overall control of the register?

Q9 – Should the individual registration rules be relaxed to allow for block registrations in certain circumstances, protecting the right to vote for populations otherwise at risk of exclusion?

Q10 – Should we place a duty on Electoral Registration Officers to consider whether any individual groups within their electoral area should be specifically targeted in registration campaigns?

Q11 – Should we introduce arrangements so that agencies who are aware of people moving have a duty to inform the Electoral Registration Officers?

Q12 – What are your views on the development of a single electronic register for Wales?

Q13 – Do you agree that individual principal councils should be able to choose their voting system?



Q14 – Do you agree that a constitutional change such as this should be subject to a two-thirds majority?

Q15 – Do you agree that the term of local government in Wales should be set at five years?

Q16 – Do you agree in principle with the desirability of reforming the voting system to encourage greater participation?

Q17 – Are there other initiatives not covered which might be taken to enable greater participation in elections in Wales?

Q18 – Should councils be able to choose to use all-postal voting at council elections?

Q19 – Should it be subject to pilot exercises first?

Q20 – Should councils be able to operate all-postal voting in an individual ward or a number of wards within a council area?

Q21 – Should electronic voting be enabled at local elections?

Q22 – Should remote voting be enabled at local elections?

Q23 – Should electronic counting be introduced for local elections in Wales?

Q24 – Should mobile polling stations be enabled at local elections?

Q25 – Should we enable returning officers to make use of polling places in addition to fixed polling stations?

Q26 – Should we enable local elections to be held on more than one day and on days other than a Thursday?

Q27 – Should consideration be given to simplifying postal voting procedures and literature?

Q28 - How do you think the process could be simplified?

Q29 – Should electors attending a polling station be required to produce ID before they are allowed to vote? If so, what types of identification should be accepted?

Q31 – Do the advantages of requiring ID outweigh the risk of deterring voters?

Q32 – Do you agree that it should no longer be necessary to publish a candidate's home address in election literature, including anything published electronically?

Q33 – Do you agree that each candidate should be required to provide a personal statement for inclusion on a website provided by the authority to whom they are seeking election?

Q34 – Do you agree that it should not be permissible to serve both as an Assembly Member and councillor?

Q35 – Do you agree that candidates should be required to disclose a party affiliation if they have one?

Q36 – What sort of evidence should be required to suggest there is an undisclosed party affiliation?

Q37 – Should any council staff below senior level be able to stand for election to their own authority?

Q38 – Is there still justification for councils to keep a list of those other than senior officers who should be politically restricted?

Q39 – Do you agree that the statutory chief executive role should include that of returning officer?

Q40 – Do you agree that any addition to salary in recognition of returning officer duties should be a matter for the local authority to determine?

Q41 – Should Welsh Government move to a system of calculating Assembly election costs on an agreed formula, based on the size of electorate?

Q42 – Should Welsh prisoners be allowed to register to vote and participate in Welsh local government elections? If so, should it be limited to those sentenced to less than twelve months, four years, or any sentence length?

Q44 – By what method should prisoners cast a vote?

Q45 – At what address should prisoners be registered to vote?

Q44- We would like to know your views on the effects that electoral reform would have on the Welsh language, specifically on opportunities for people to use Welsh and on treating the Welsh language no less favourably than English.

What effects do you think there would be? How could positive effects be increased, or negative effects be mitigated?

Q45 - Please also explain how you believe the proposed options could be formulated or changed so as to have positive effects or increased positive effects on opportunities for people to use the Welsh language and on treating the Welsh language no less favourably than the English language, and no adverse effects on opportunities for people to use the Welsh language and on treating the Welsh language no less favourably than the English language.

Q46 - We have asked a number of specific questions. If you have any related issues which we have not specifically addressed, please use this space to report them:

Please enter here:

Responses to consultations are likely to be made public, on the internet or in a report. If you would prefer your response to remain anonymous, please tick here:

## Consultation response form

### Consultation on Electoral Reform

Please return this form to reach the Welsh Government no later than 10 October 2017

If you have any questions, please email:

RLGProgramme@wales.gsi.gov.uk

| <b>Consultation on Electoral Reform</b> |                              |
|---|------------------------------|
| <b>Date</b>                             | 9 <sup>th</sup> October 2017 |
| <b>Name</b>                             | Davina Fiore                 |
| <b>Organisation</b>                     | Cardiff Council              |
| <b>Address</b>                          | Atlantic Wharf<br>Cardiff    |
| <b>Email address</b>                    | davina.fiore@cardiff.gov.uk  |
| <b>Telephone</b>                        | 2097 3860                    |

### Consultation questions

**Q1 – Do you agree that the qualifying age for voting in Welsh local government elections should be lowered to 16?**

Comments: Yes.

**Q2 – Should EU citizens who move to Wales once the UK has left the EU continue to acquire the right to vote?**

Comments: Yes.

**Q3 – Should voting rights be extended to all legal residents in Wales, irrespective of their nationality or citizenry?**

Comments: Yes.

**Q4 – EU and Commonwealth citizens can stand for election to local government in Wales, Should this continue and be extended to all nationalities made eligible to vote?**

Comments: Yes.

**Q5 – Should Electoral Registration Officers have a greater range of sources available to them to assist citizens to be added to the register?**

Comments: Yes.

**Q6 – Which data sources do you think should be used by Electoral Registration Officers?**

Comments:

Access to DVLA and HMRC records would be helpful, subject to suitable data protection controls. However additional funding would be necessary to secure the necessary access to and amendments to computer systems and to fund staff training.

**Q7 – Should a wider range of local authority staff be empowered to assist citizens to obtain registration through access to the local government register and have the ability to amend it?**

Comments: Other local authority staff already provide the Individual electoral registration form to citizens, however at the moment only the Electoral Registration staff carry out the DWP checks and make amendments to the register. It is probably only feasible for staff who regularly use the system to be familiar enough to carry out the checks and amend the register.

**Q8 – What controls should be put in place to ensure the Electoral Registration Officer maintains overall control of the register?**

Comments: Only electoral registration staff should be able to change the register.

**Q9 – Should the individual registration rules be relaxed to allow for block registrations in certain circumstances, protecting the right to vote for populations otherwise at risk of exclusion?**

Comments: Yes. Pre 2014 students were added to the Register of Electors via the Universities. A database including all students, their nationality, dates of birth and address would be sent to Electoral Services and downloaded into the Software system to enable students to vote. This was much more efficient. The same system should be in place for care homes, nursing homes, blocks of flats.

**Q10 – Should we place a duty on Electoral Registration Officers to consider whether any individual groups within their electoral area should be specifically targeted in registration campaigns?**

Comments:

It is already best practise to do this, however activity undertaken can be limited by available resources, so if this duty is put in place additional funding should be available.

**Q11 – Should we introduce arrangements so that agencies who are aware of people moving have a duty to inform the Electoral Registration Officers?**

Comments: Yes.

**Q12 – What are your views on the development of a single electronic register for Wales?**

Comments: This would be a positive step towards shared services for electoral services, subject to data protection and IT security controls.

**Q13 – Do you agree that individual principal councils should be able to choose their voting system?**

Comments: No. This would enable a political party to choose a system which favours them. There would be the potential for voter confusion if different areas had different voting systems and it would make the provision of shared electoral services and efficiency savings harder to achieve.

A small number of Cardiff councillors have expressed support for a single transferable vote system of voting, however that is not the view of the majority.

**Q14 – Do you agree that a constitutional change such as this should be subject to a two-thirds majority?**

Comments: Yes.

**Q15 – Do you agree that the term of local government in Wales should be set at five years?**

Comments: Yes.

**Q16 – Do you agree in principle with the desirability of reforming the voting system to encourage greater participation?**

Comments: Yes.

**Q17 – Are there other initiatives not covered below which might be taken to enable greater participation in elections in Wales?**

Comments: Enabling electronic voting should be a priority.

**Q18 – Should councils be able to choose to use all-postal voting at council elections?**

Comments: No, It would be preferable to move to electronic voting.

**Q19 – Should it be subject to pilot exercises first?**

Comments: No.

**Q20 – Should councils be able to operate all-postal voting in an individual ward or a number of wards within a council area?**

Comments:

No there should be consistency across all wards in a Council area.

**Q21 – Should electronic voting be enabled at local elections?**

Comments: Yes, subject to pilots schemes taking place first to ensure that best practise is identified and followed.

**Q22 – Should remote voting be enabled at local elections?**

Comments: Yes, provided the secrecy of the ballot can be maintained. This should be tested in pilot schemes.

**Q23 – Should electronic counting be introduced for local elections in Wales?**

Comments: Yes.

**Q24 – Should mobile polling stations be enabled at local elections?**

Comments: No, the issues around timing and siting would be problematic and could lead to election challenges.

**Q25 – Should we enable returning officers to make use of polling places in addition to fixed polling stations?**

Comments: Electronic voting should be implemented first, to ensure there are no problems arising from the use of duplicate electoral registers.

**Q26 – Should we enable local elections to be held on more than one day and on days other than a Thursday?**

Comments: Currently many local authority staff are released from their usual duties for a day to carry out election work. To release them for more than one day would be problematic for front line service delivery. There is no justifiable reason for only holding elections on a Thursday and the use of different days may increase turnout, however if elections are to be held on different days funding should be provided for public awareness campaigns to ensure there is no adverse impact on voter turnout.

**Q27 – Should consideration be given to simplifying postal voting procedures and literature?**

Comments: The process of signing up for a postal vote should be simplified.

**Q28 - How do you think the process could be simplified?**

Comments: No fixed view.

**Q29 – Should electors attending a polling station be required to produce ID before they are allowed to vote? If so, what types of identification should be accepted?**

Comments: No. This would be another thing putting people off voting. If this was put in place, clear guidance would need to be given on how to deal with anyone whose ID was not clearly acceptable.

**Q30 – Do the advantages of requiring ID outweigh the risk of deterring voters?**

Comments: No.

**Q31 – Do you agree that it should no longer be necessary to publish a candidate's home address in election literature, including anything published electronically?**

Comments: Yes.

**Q32 – Do you agree that each candidate should be required to provide a personal statement for inclusion on a website provided by the authority to whom they are seeking election?**



Comments: No. Currently local authorities are not allowed to publish any information designed to promote a particular political party. This legislation would need to be changed.

**Q33 – Do you agree that it should not be permissible to serve both as an Assembly Member and councillor?**

Comments: Yes.

**Q34 – Do you agree that candidates should be required to disclose a party affiliation if they have one?**

Comments: Yes.

**Q35 – What sort of evidence should be required to suggest there is an undisclosed party affiliation?**

Comments: Party membership.

**Q36 – Should any council staff below senior level be able to stand for election to their own authority?**

Comments: There is no objection to them standing for election to their own authority, provided they are required to resign if elected. This is because it would not be ethical or good governance to have staff of the authority serving as elected members of the authority. It would encourage elected members to engage in operational issues rather than governance, and could lead to the perception or the reality that some functions or teams were advantaged or disadvantaged by the presence of a cllr, for example through the budget process. It could also make other staff feel uncomfortable if their “employer” sits and works alongside them.

**Q37– Is there still justification for councils to keep a list of those other than senior officers who should be politically restricted?**

Comments: Yes.

**Q38 – Do you agree that the statutory chief executive role should include that of returning officer?**

Comments: No. It is important that the Returning Officer role is appointed by the Council and is held by a senior officer who is accountable and who has the relevant skills and experience of elections. That will not always be a Chief Executive, though it often will be.

**Q39 – Do you agree that any addition to salary in recognition of returning officer duties should be a matter for the local authority to determine?**

Comments: The Welsh Government should decide on this, not individual authorities, as there should be consistency.

**Q40 – Should Welsh Government move to a system of calculating Assembly election costs on an agreed formula, based on the size of electorate?**

Comments: Yes, provided the formula reflects the actual costs of elections in different types of authorities. Consultation on the formula must take place to ensure it is fair for all authorities.

**Q41 – Should Welsh prisoners be allowed to register to vote and participate in Welsh local government elections? If so, should it be limited to those sentenced to less than twelve months, four years, or any sentence length?**

Comments: Yes, those sentenced to less than 12 months.

**Q42 – By what method should prisoners cast a vote?**

Comments: Postal vote for the area of last home address.

**Q43 – At what address should prisoners be registered to vote?**

Comments: Last home address.

**Q44 - We would like to know your views on the effects that electoral reform would have on the Welsh language, specifically on opportunities for people to use Welsh and on treating the Welsh language no less favorably than English.**

It is essential that any reform considers the need to make every part of the voting process available in Welsh or bilingually, including the way in which people register to vote and cast their vote.

Bilingual information (rather than separate Welsh/English information) should be used and presented wherever possible, to ensure that the Welsh language is as visible as possible e.g. during any targeted registration campaigns (p.12)

Where appropriate, language preference (Welsh/English/Bilingual) should be recorded on all registration systems/methods and shared appropriately with any relevant organisations. For example, if there were to be a national registration system, then local authorities should be made aware of individual language preferences.

Any system must not treat the Welsh language or those wishing to utilize the services in Welsh, less favorably at any point (registration, confirmation, voting). The Welsh vernacular used on forms, systems and ballot papers should be as accessible and as easy to understand as possible. It is essential that accessible use of Welsh should be taken into consideration to encourage the use of services in Welsh, especially with younger adults voting for the first time.

**What effects do you think there would be? How could positive effects be increased, or negative effects be mitigated?**

The proposed electoral reform has the potential to increase opportunities for Welsh speakers and learners to use Welsh in some parts of Wales, which is currently inconsistent due to differing electoral IT systems etc.

Positive effects could be increased by ensuring all aspects of the process are completely bilingual or have dual functionality, whether postal voting, electronic voting or remote voting. This also applies to locations, all signage and voting materials need to be bilingual, but also a complement of bilingual staff at relevant centres in order to ensure that the Welsh language is treated no less favourably than the English language.

**Q45 - Please also explain how you believe the proposed options could be formulated or changed so as to have positive effects or increased positive effects on opportunities for people to use the Welsh language and on treating the Welsh language no less favorably than the English language, and no adverse effects on opportunities for people to use the Welsh language and on treating the Welsh language no less favorably than the English language.**

Comments:

**Q46 - We have asked a number of specific questions. If you have any related issues which we have not specifically addressed, please use this space to report them:**

Comments:

Cardiff has many voters whose first language is neither English or Welsh. It would help to increase electoral registration and election turnout if funding were available to conduct voting campaigns in languages reflecting the demographic of the city or if national voting campaigns were conducted in other languages.

It is important:

1. That any legislative reforms are fully funded by the Welsh government.
2. That the electoral community is fully engaged in developing and implementing any new processes.
3. To ensure there is adequate lead in time to prepare the new processes, for elections, any legislative changes should not apply to elections held within the initial 6 months period, and there should be a minimum of 12 months before any electoral registration changes come into force.

Responses to consultations may be made public. To keep your response anonymous (including email addresses) tick the box.

☐ Keep my response anonymous

**CABINET MEETING: 12 OCTOBER 2017**

---

**ANNUAL STATUTORY IMPROVEMENT REPORT 2016-17**

**FINANCE, MODERNISAION & PERFORMANCE (COUNCILLOR  
CHRIS WEAVER)**

**AGENDA ITEM: 7**

---

**CHIEF EXECUTIVE**

**Reason for this Report**

1. This report has been prepared to enable the Cabinet to approve the Council's Annual Statutory Improvement Report, a document required under the Local Government (Wales) Measure 2009, for submission to Council in October 2017, and its publication by 31st October 2017.

**Background**

2. The Local Government (Wales) Measure 2009 requires that the Council publish its Improvement Objectives and how it plans to achieve them. In previous assessments, the Auditor General for Wales highlighted the need for the Council to be more focussed on its key priorities and the delivery of these. In recognition of this opinion, and the growing pressure on the Council's finances available to deliver services to the citizens and communities of Cardiff in 2016-17, the following four priorities were identified as key areas of focus:
  - Better Education and Skills for all
  - Supporting Vulnerable People
  - Creating More and Better Paid jobs
  - Working Together to Transform Services
3. The Council's Corporate Plan 2016-18 focussed on what the Council would deliver to achieve these four priorities, and in turn they helped to shape our Improvement Objectives for 2016-17.
4. The Council's Improvement Objectives for 2016-17 focussed on:
  - Every Cardiff school is a good school
  - Looked After Children in Cardiff achieve their potential
  - Adult learners achieve their potential
  - People at risk in Cardiff are safeguarded
  - People in Cardiff have access to good quality housing

- People in Cardiff are supported to live independently
- Cardiff has more employment opportunities and higher value jobs
- Cardiff has a high quality city environment that includes attractive public spaces and good supporting transport infrastructure
- All young people in Cardiff make a successful transition into employment, education or training
- Communities and Partners are actively involved in the design, delivery and improvement of highly valued services
- The City of Cardiff Council has effective governance arrangements and improves performance in key areas
- The City of Cardiff Council makes use of fewer, but better buildings

### **Annual Statutory Improvement Report 2016-17**

5. The Council's Annual Statutory Improvement Report provides a retrospective summary evaluation of performance for the financial year 2016-17 and Members should note that the Report attached at Appendix 1 is a final draft.
6. The Cardiff Council Annual Statutory Improvement Report 2016-17, attached as Appendix 1, is a text document which once approved will be translated into Welsh prior to publication on the Council's website by 31 October 2017.
7. The Improvement Report should:
  - provide a picture of the Council's performance for the reporting year against the agreed outcomes (the Council's Improvement Objectives), and targets
  - communicate improvement information that is timely and accurate to Members, officers, citizens, communities, stakeholders, other councils, the Welsh Government and regulators

### **The Council's Performance**

8. The Council is required under the Measure to assess its performance against the National Indicator set. These are set by the Welsh Government. Where these indicators and measures are relevant to the progress the Council made against our Improvement Objectives, they are included in this Improvement Report. The Council's performance against the full National data set is shown in the 'How We Measure Up' section of the Improvement Report.
9. In 2016-17 Cardiff's performance improved to 13<sup>th</sup> position relative to all Local Authorities across Wales, and 60% of the Council's National Indicator results were better than the Wales Average, compared to 48% in 2015-16. Furthermore, the outturn of 60% of the Indicators is in the top 2 Quarters of performance, compared to 52% in 2015-16. Cardiff's Education performance in 2016-17 (academic year 2015-16) is significantly better than all Wales performance with 82% of indicators showing improvement, compared to the all Wales result of 64% of indicators.

10. Within Social Services, the overall picture of performance during 2016-17 generally improved and was on target. These improvements have resulted from focused work over several years to improve outcomes for looked after children, and an increased focus on joint working between the Council's Children's and Education services.
11. This continuing trend of improvement comes despite Cardiff being ranked 21<sup>st</sup> out of the 22 Welsh Local Authorities in terms of spend per head of the population for 2016/17.
12. Despite positive trends, however, it is recognised that the Council will need to continue to focus on addressing areas of underperformance. These areas will in part inform future planning arrangements in the context of changing demographics, a growing population and ongoing budgetary pressures.

### **Wales Audit Office Corporate Assessment of the City of Cardiff Council**

13. The Wales Audit Office undertook a Corporate Assessment Follow-on in October 2015, and in February 2016, the Auditor General published his report on the Corporate Assessment Follow-on. This report concluded at that time that 'The Council has put in place better arrangements to support improvement and to address longstanding issues, but is now at a critical point in embedding them if it is to achieve a step change in delivering improved outcomes'. The outcome of this work was a formal recommendation that 'The Council must ensure that it addresses the proposals for improvement as set out in the report to deliver improved outcomes within the next 12 months'.
14. The Council responded positively and developed a Statement of Action that detailed how it would achieve the Proposals for Improvement. As part of this, the Council developed a Performance & Governance programme to further develop and embed its performance management arrangements. This has allowed the Council to develop a Performance Management Framework that supports effective planning, reporting and performance support.
15. Between February and May 2017, the Wales Audit Office reviewed the Council's progress in relation to its Statement of Action. The subsequent report of this work concluded that the Council had demonstrated sufficient progress in implementing the 2016 proposals for improvement and is in the process of embedding new performance management and reporting arrangements.

### **Role of the Auditor General for Wales**

16. The Auditor General for Wales through the Wales Audit Office (WAO) audit each authority's Improvement Report to assess the extent to which the Report has been prepared and published in accordance with statutory requirements and will determine whether or not to issue a Certificate of Compliance.

## **Policy Review and Performance Scrutiny Committee**

17. The Policy Review and Performance Scrutiny Committee considered the Statutory Improvement report on October 4<sup>th</sup> 2017 and the Chair's letter, is attached at Appendix 2.

### **Reason for Recommendations**

18. To recommend the Council's Annual Statutory Improvement Report 2016-17 to Council in time for the Plan to be published by the statutory date 31 October 2017.

### **Financial Implications**

19. There are no financial implications directly arising from this report, however action on identified priorities for improvement may well have financial implications which would need to be addressed in the budget setting process.

### **Legal Implications**

20. The recommendation is made for the purposes of enabling the Council to comply with its legal duties as outlined in this report

### **HR Implications**

21. There are no HR implications arising directly from this report.

## **RECOMMENDATIONS**

Cabinet is recommended to approve the Council Annual Statutory Improvement Report for submission to Council in October 2017.

### **PAUL ORDERS**

Chief Executive

6 October 2017

*The following appendices are attached:*

Appendix 1 – Annual Statutory Improvement Report

Appendix 2 – Letter from the Chair of the Policy Review and Performance Scrutiny Committee



**Contents**

|   |         |
|---|---------|
| Welcome to the Cardiff Council 2016-17 Statutory Improvement Report   | Page 1  |
| About the Council   | Page 2  |
| How we plan – The Golden Thread   | Page 3  |
| Our Improvement Objectives  | Page 4  |
| The Cost of the Council's Services  | Page 6  |
| Continuous Improvement in Cardiff   | Page 7  |
| The Well-Being of Future Generations  | Page 7  |
| Bilingual Cardiff   | Page 8  |
| Our National Performance Indicators   | Page 9  |
| Equalities in Cardiff   | Page 10 |
| How we Self-Assess our objectives   | Page 11 |
| Improvement Objective – Every Cardiff school is a good school   | Page 13 |
| Improvement Objective – Looked After Children achieve their potential   | Page 18 |
| Improvement Objective – Adult learners achieve their potential  | Page 22 |
| Improvement Objective - People at risk in Cardiff are safeguarded   | Page 25 |
| Improvement Objective – People in Cardiff have access to good quality housing   | Page 28 |
| Improvement Objective – People in Cardiff are supported to live independently   | Page 31 |
| Improvement Objective – Cardiff has more employment opportunities and higher value jobs   | Page 35 |
| Improvement Objective - Cardiff has a high quality city environment that includes attractive public spaces and good supporting transport infrastructure | Page 38 |
| Improvement Objective – All young people make a successful transition into employment, education or training  | Page 42 |
| Improvement Objective - Communities and Partners are actively involved in the design, delivery and improvement of highly valued services                | Page 45 |
| Improvement Objective – The City of Cardiff Council has effective governance arrangements and improves performance in key areas                         | Page 48 |
| Improvement Objective – The City of Cardiff Council makes use of fewer but better buildings   | Page 51 |
| How We Measure Up   | Page 54 |

## Welcome to the Cardiff Council 2016-17 Statutory Improvement Report

This Improvement Report gives details of the Council's performance during 2016-17. There are several legal frameworks that provide guidelines as to how the Council must operate. These include the Local Government (Wales) Measure 2009 and more recently the Well-Being of Future Generations (Wales) Act 2015. These provide guidance on how the Council should deliver effective public services to the citizens of Cardiff while showing commitment to improving social, economic, environmental and cultural well-being. We hope that you find this Improvement Report useful and meaningful and we invite you to provide us with your views.

This Improvement Report is designed to fulfil the Council's statutory obligation for the 2016-17 financial year. It is a review of the Council's performance, using evidence that demonstrates the delivery of the Improvement Objectives and the impact that the work of services has made. This is balanced by providing an assessment of any areas that have shown slow progress and not resulted in the levels of performance that the Council set out to achieve.

**Please send your comments to the Head of Performance and Partnerships, Cardiff Council, County Hall, Atlantic Wharf, Cardiff, CF10 4UW or email**

**[improvementandinformation@cardiff.gov.uk](mailto:improvementandinformation@cardiff.gov.uk)**

This Improvement Report is available in English and Welsh online at [www.cardiff.gov.uk](http://www.cardiff.gov.uk) and copies are available in braille on request.

Further detailed information about the current and future plans for the Council's contribution to public services in Cardiff is contained within a number of key documents including:

- Corporate Plan
- Directorate Delivery Plans
- Wales Audit Office Assessments under the Local Government (Wales) Measure 2009

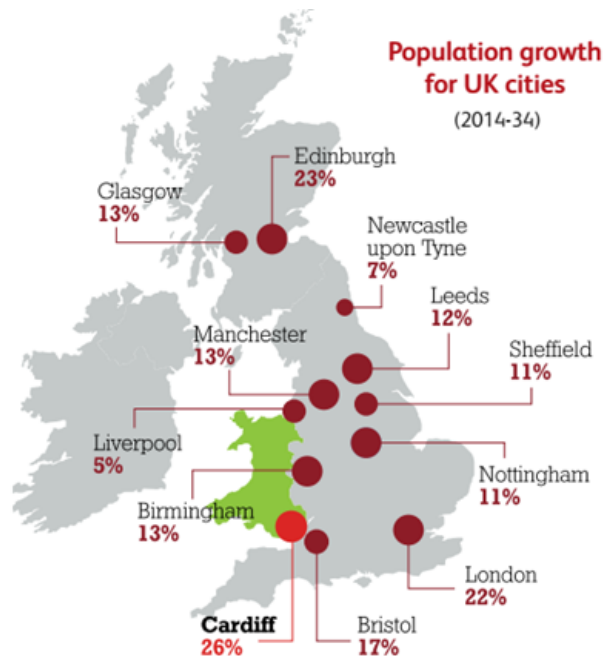
This document is available in Welsh / Mae'r ddogfen hon ar gael yn Gymraeg

## About the Council

Each year the Council delivers around **700 services to over 357,000 residents in 151,000 households**, helping to **support local communities** and improve the lives of local people. The Council is responsible for **collecting bins, cutting grass and cleaning streets**, as well as providing **services for older people and people with disabilities**. The Council **runs schools and manages high quality housing stock** as well as **looking after children who are in care**.

The Council has continued to deliver services against a backdrop of pronounced financial pressures and increasing demand for public services. By the year 2034 Cardiff's population is expected to increase dramatically, with the city set to experience the biggest increase in population of any major UK city. This growth is a sign of success and indicates that people want to live in Cardiff; however, it will also place more demand pressures on the services the Council delivers. This means the Council will have to plan effectively for both the short and long-term, making effective use of partnership and collaboration opportunities and making full and effective use of its workforce. Over the next 3 years the Council will have to bridge a budget gap of £81m and we will need to continue to modernise the way that we work to ensure we deliver the best possible services for the citizens of Cardiff.

## How we plan – The Golden Thread



The diagram to the left shows how all of our plans fit together and the contribution employees, teams, services, and Directorates make in helping the Council to achieve its Priorities and Objectives. The Priorities and Objectives of the Council ultimately contribute to the Well-Being Objectives as set out in the Local Well-Being Plan, which support overall progress towards the National Well-Being Goals of Wales. Our employees are our most valuable asset and are responsible for delivering services across Cardiff; through the Personal Review process, they are able to understand how their individual contributions help the Services, Directorates and the Council to achieve its Objectives and Priorities, through a clear line of sight. The Well-Being of Future Generations Act shapes how we plan by setting out the key objectives for Wales through the National Well-Being Goals:

- A Prosperous Wales
- A Resilient Wales
- A More Equal Wales
- A Healthier Wales
- A Wales of Cohesive Communities
- A Wales of Vibrant Culture and Thriving Welsh Language
- A Globally Responsible Wales

The Act also sets out for us how we should work, through the Five Ways of Working:

- **Involvement** – We need to involve our citizens in the decisions that affect them.
- **Prevention** – We need to understand the root causes of issues and prevent them.
- **Long-Term** – We need to plan for the long-term so that we do not compromise the well-being of our future generations.
- **Collaboration** – We need to work with others to find shared solutions.
- **Integration** – We need to consider all seven of the National Well-Being Goals when deciding on what our own Council Well-Being Objectives will be.



## Our Improvement Objectives

The Council's Corporate Plan satisfies the duty under the Local Government (Wales) Measure 2009 to publish a plan for improvement and to set Objectives. The table below shows the contribution to the Council's Objectives make to achieving the National Well-Being Goals and the Well-Being Objectives in the Local Well-Being Plan.

| <b>National Well-Being Goal</b>                               | <b>Well-Being Objective in Well-Being Plan</b>  | <b>Cardiff Council Priority</b>               | <b>Cardiff Council Corporate Plan Objective</b>   |
|---|---|---|---|
| <b>A Prosperous Wales</b>                                     | Cardiff has a thriving and prosperous economy   | <b>Creating more and better paid jobs</b>     | Cardiff has more employment opportunities and higher value jobs<br>All young people in Cardiff make a successful transition into employment, education or training  |
| <b>A Prosperous Wales</b>                                     | People in Cardiff achieve their full potential  | <b>Better education and skills for all</b>    | Every Cardiff school is a good school<br>Looked after children achieve their potential<br>Adult learners achieve their potential  |
| <b>A Resilient Wales</b>                                      | Cardiff is clean, sustainable and attractive    | <b>Creating more and better paid jobs</b>     | Cardiff has a high quality city environment that includes attractive public spaces and good supporting transport infrastructure   |
| <b>A Resilient Wales</b>                                      |   | <b>Working together to transform services</b> | Communities and partners are actively involved in the design, delivery and improvement of highly valued services<br>The City of Cardiff Council makes use of fewer but better buildings                                     |
| <b>A Healthier Wales</b>                                      | People in Cardiff are healthy                   | <b>Supporting vulnerable people</b>           | People at risk in Cardiff are safeguarded<br>People in Cardiff have access to good quality housing  |
| <b>A more equal Wales &amp; A Globally Responsible Wales</b>  |   | <b>Working together to transform services</b> | Communities and partners are actively involved in the design, delivery and improvement of highly valued services<br>The City of Cardiff Council has effective governance arrangements and improves performance in key areas |
| <b>A more equal Wales &amp; A Globally Responsible Wales</b>  | Cardiff is fair, just and inclusive             | <b>Supporting vulnerable people</b>           | People in Cardiff are supported to live independently   |
| <b>A Wales of Cohesive Communities</b>                        | People in Cardiff are safe and feel safe        | <b>Supporting vulnerable people</b>           | People at risk in Cardiff are safeguarded<br>People in Cardiff are supported to live independently  |
| <b>A Wales of vibrant culture and thriving Welsh language</b> | Cardiff is a great place to live, work and play | <b>Creating more and better paid jobs</b>     | Cardiff has more employment opportunities and higher value jobs<br>All young people in Cardiff make a successful transition into employment, education or training  |

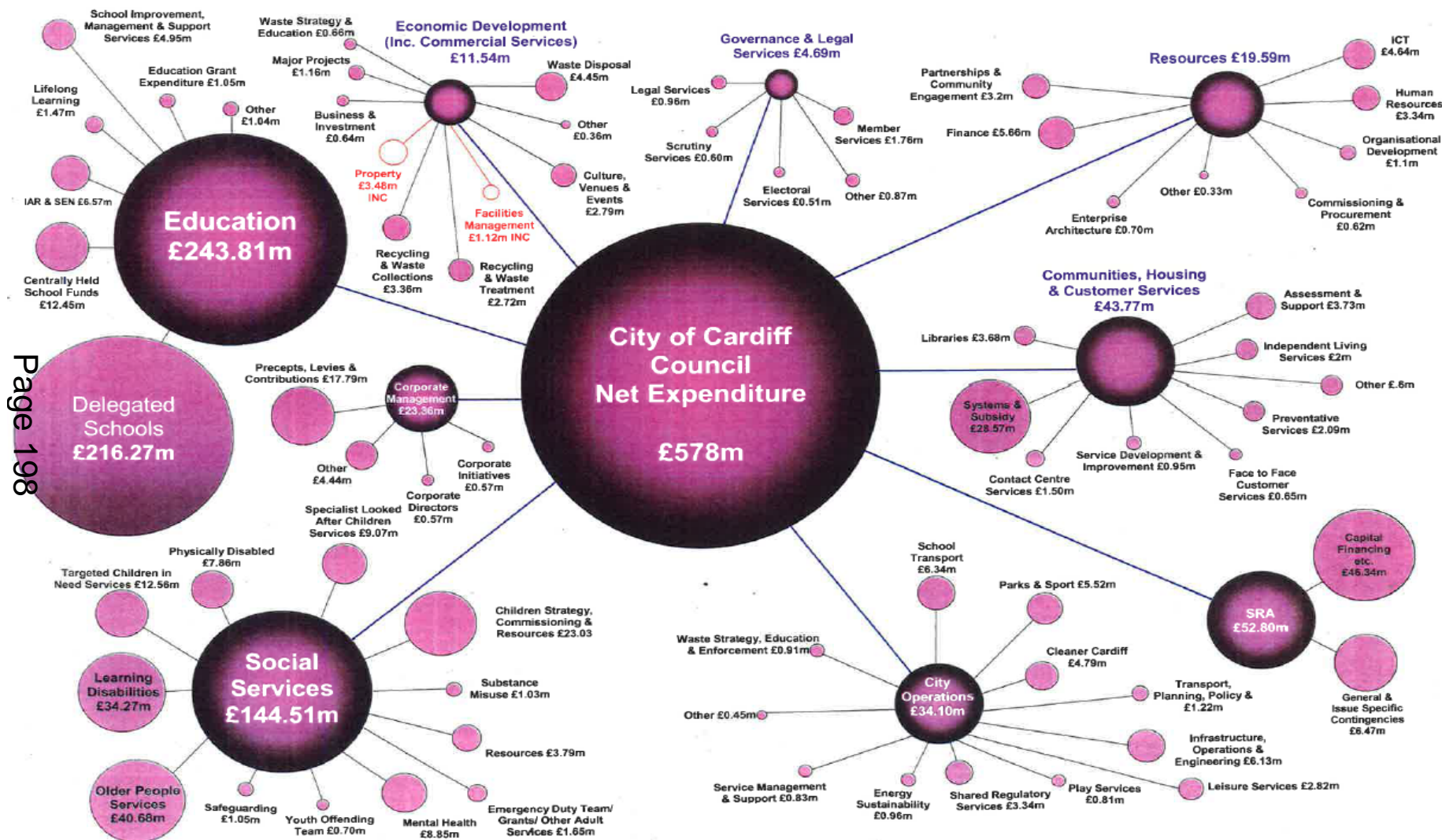
When the Council's Improvement Objectives were set, an exercise was undertaken to ensure that they contributed to the seven improvement aspects of Strategic Effectiveness (SE), Service Quality (SQ), Service Availability (SA), Fairness (F), Sustainability (S), Efficiency (E) and Innovation (I), and to assess the collaborative (C) nature of the work needed to deliver each one, as set out in the Local Government (Wales) Measure 2009. The result of this exercise is contained in the following matrix:

| Improvement Objective   | SE | SQ | SA | F | S | E | I | C |
|---|----|----|----|---|---|---|---|---|
| Every Cardiff School is a good school   |    |    |    |   |   |   |   |   |
| Looked After Children achieve their potential   |    |    |    |   |   |   |   |   |
| Adult learners achieve their potential  |    |    |    |   |   |   |   |   |
| People at risk in Cardiff are safeguarded   |    |    |    |   |   |   |   |   |
| People in Cardiff have access to good quality housing   |    |    |    |   |   |   |   |   |
| People in Cardiff are supported to live independently   |    |    |    |   |   |   |   |   |
| Cardiff has more employment opportunities and higher value jobs   |    |    |    |   |   |   |   |   |
| Cardiff has a high quality city environment that includes attractive public spaces and good supporting transport infrastructure |    |    |    |   |   |   |   |   |
| All young people in Cardiff make a successful transition into employment, education or training                                 |    |    |    |   |   |   |   |   |
| Communities and partners are actively involved in the design, delivery and improvement of highly valued services                |    |    |    |   |   |   |   |   |
| The City of Cardiff Council has effective governance arrangements and improves performance in key areas                         |    |    |    |   |   |   |   |   |
| The City of Cardiff Council makes use of fewer but better buildings   |    |    |    |   |   |   |   |   |

## The Cost of the Council's Services



## City of Cardiff Council – Net Revenue Budget 2016/17



Continuous Improvement in Cardiff



In accordance with the Local Government (Wales) Measure 2009, the Council has a duty to improve the services that it delivers. Building upon the Corporate Assessment of 2014, the Council received a Corporate Assessment Follow On inspection by the Wales Audit Office (WAO) in October 2015. The WAO concluded that the Council has **‘better arrangements in place to support improvement’**. As part of this Follow On inspection, the Council received one statutory recommendation from the WAO: **‘The Council must ensure that it addresses the proposals for improvement as set out in this report to deliver improved outcomes within the next 12 months’**. In response to this, the Council prepared a Statement of Action, to address each of the proposals for improvement identified by WAO, and put in place a performance management programme.

The Council’s Organisational Development Programme (ODP) has been instrumental in raising the profile, visibility and awareness of transformational change needs and opportunities across the Council. In the spring of 2017 an independent review of the ODP was commissioned to coincide with the 3 year anniversary of the commencement of the programme. The aim of this review was to assess the overall effectiveness of the ODP and to ensure that subsequent changes to the programme fully meet the requirements of future challenges. The independent review of the ODP found that it has provided an important mechanism and been successful in establishing good recognition across the Council that managing change can be achieved through a model of this type. The ODP has been able to harness resources, skills, and capacity, to support the delivery of change projects and programmes.

## The Well-Being of Future Generations

In April 2016, all public bodies became subject to new duties under the Well-Being of Future Generations (Wales) Act. Cardiff has a well-developed history of partnership working that has stood it in good stead to embrace the requirements of the Act. In May 2016 the Cardiff Partnership Board transitioned into the Cardiff Public Services Board (PSB). In March 2017 the Cardiff PSB produced its statutory well-being assessment and in June 2017 approved its draft well-being objectives, which will be submitted to the Future Generations Commissioner. Cardiff’s Well-Being Plan will set out how the city’s Well-Being Objectives contribute to the National Well-Being Goals of Wales, and specify timescales for meeting these Well-being Objectives and the steps to be taken in delivering these Well-being Objectives.

## Bilingual Cardiff

From 30th March 2016 all local authorities in Wales have a statutory duty to comply with regulation Welsh language standards, which explain how they as organisations should use the Welsh language in different situations. The Welsh Language (Wales) Measure 2011 established a legal framework to impose duties on certain organisations to comply with standards in relation to the Welsh language by way of sub-legislation (Welsh Language Regulation Standards). The standards issued to the Cardiff Council are listed in 'The City of Cardiff Council Compliance Notice – Section 44 Welsh Language (Wales) Measure 2011'. A copy of the standards referred to in this report is also available from [www.cardiff.gov.uk/bilingualcardiff](http://www.cardiff.gov.uk/bilingualcardiff).

The Welsh language standards have been drafted with the aim of:

- Improving the services Welsh speakers can expect to receive from organisations in Welsh
- Increasing the use people make of Welsh language services
- Making it clear to organisations what they need to do in terms of the Welsh language
- Ensuring that there is an appropriate degree of consistency in terms of the duties placed on organisations in the same sectors

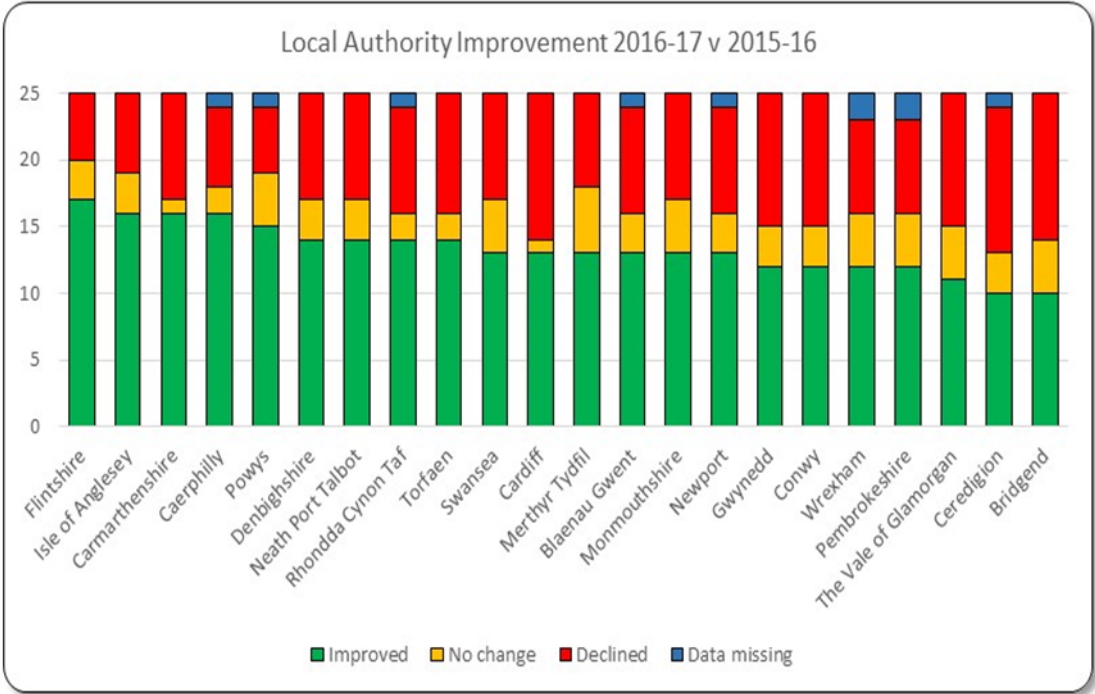
Each local authority has been issued with a compliance notice from the Welsh Language Commissioner which lists the standards and compliance date which the organisation is expected to comply with. Cardiff Council has been issued with **171** standards, of which 155 had a compliance date of 30<sup>th</sup> March 2016 and 15 had a compliance date of 30<sup>th</sup> September 2016.

Page 200  
Welsh Language Achievements 2016-17:

- The Bilingual Cardiff 5 Year Welsh Language Strategy was published in March 2017 following Cabinet and full Council consideration. It sets out our priorities for facilitating and promoting the Welsh language in Cardiff with our partners, starting our journey to becoming a truly bilingual capital for Wales.
- Bilingual Cardiff returned **97.1%** of translation requests by the agreed deadlines (**8,352,966** words). The team translated more words than in any previous year, a **64.7%** increase in the number of words translated compared to 2015-16.
- Entered into a Service Level Agreement with the Vale of Glamorgan Council and Bridgend County Borough Council to provide Welsh Translation Services.
- **800** staff completed the Corporate Welsh language awareness e-module in 2016-17.
- **184** staff attended corporately-funded Welsh language training in 2016-17.
- The Council advertised **54** Welsh Essential posts and a further **141** posts where Welsh was a desirable requirement.
- The Council published its Welsh in Education Strategic Plan 2017-2020 in March 2017, which will act as a key driver to ensuring that children are able to develop their Welsh skills, and creating new speakers, to support Welsh Government's vision of having a million Welsh speakers by 2050.
- Bilingual Cardiff has purchased simultaneous translation equipment and trained two translators to deliver this service in-house to all service areas as well as partner organisations.
- Promotion and communication of a series of corporate guidelines created to assist staff in complying with the Welsh language standards.
- A standing article in the Council's Core Brief and the circulation of the Welsh Matters monthly brief (distributed via the Welsh language coordinators network) to update on developments within the Welsh language agenda or any complaints received against the Welsh language scheme/standards.

# Our National Performance Indicators

The Council is required under the Local Government (Wales) Measure 2009 to assess its performance against Wales’ National Performance Indicators. These are set by the Welsh Government. Where these indicators and measures are relevant to the progress made against the Improvement Objectives they are included in this Improvement Report. The Council’s performance against the full range of National Performance Indicators is included in the ‘How We Measure Up’ section.



In 2016-17, Cardiff’s performance improved to 13<sup>th</sup> position out of the 22 local authorities in Wales, with performance in Education significantly better than all-Wales performance. 60% of Cardiff’s performance indicator results were better than the Wales Average, compared to 48% in 2015-16. Furthermore, 60% of performance indicators were in the top 2 quarters compared to 52% in 2015-16, and 60% were ranked 1<sup>st</sup> to 11<sup>th</sup> out of the 22 local authorities, compared to 52% in 2015-16.

## Equalities in Cardiff



In March 2016 the Council adopted a new Strategic Equality Plan to set out the Council's equality priorities for the next four years. Seven new Equality Objectives were agreed in conjunction with local citizens and third sector organisations. These new Equality Objectives are shaping the Council's policy, service delivery, and support to employees – eliminating discrimination, advancing equality of opportunity, and fostering good relations between different groups. The Council has made steps to reduce inequalities, and concerted effort will continue to ensure equal outcomes for all protected groups. It is clear that these actions will require greater involvement, co-production and partnership working. Some of our key achievements included:

- Undertaking self-assessments across each Directorate in relation to the National Well-Being Goal 'A More Equal Wales' to identify what needs to be done to progress equality
- Producing an Ageing Well in Wales Local Delivery Plan
- Agreeing a Corporate Plan that focusses on inclusive growth to reduce socio-economic inequality and promote equal opportunities
- 75 officers completed training to undertake Equality Impact Assessments
- Enabling all Council employees can now access equality and diversity training via e-learning platform
- Working to ensure that the Council's communications team is easier to engage with and the signing up to the British Sign Language Charter
- Updating the Living Wage payable by the Council to £8.45 from April 2017
- Delivering a wide range of campaigns throughout the year to celebrate diversity with a range of partners

## How we Self-Assess our Objectives

The Council uses a number of sources of information to assess progress against Improvement Objectives, including:

- **Inspection Reports** – The Council is subject to a number of inspections from regulatory bodies including the Wales Audit Office, Estyn (Education) and the Care and Social Services Inspectorate Wales (CSSIW). Their findings help the Council to assess areas of strong performance, as well as identifying areas that require improvement.
  - **Surveys** – The annual Ask Cardiff survey provides Cardiff's citizens the opportunity to share their views on a wide range of the Council's services. From this, areas of strong performance can be identified, along with those areas where Cardiff's citizens feel the Council needs to improve.
  - **Feedback & Case Studies** – Where available, evidence from case studies or qualitative feedback from service users help to assess performance. This gives us an insight into what the Council's service users feel and think about the services they receive.
  - **Progress against the Council's commitments** – The Council made a number of commitments in the Corporate Plan to help to deliver against the Improvement Objectives. Monitoring the progress of these commitments gives an understanding of what has been achieved and where further work is required.
  - **Progress against our performance measures** – A number of performance measures are identified within the Council's Corporate Plan which help show the progress made in delivering the Improvement Objectives. Where applicable, targets are set against these performance measures to demonstrate the desired level of achievement.
- However, as the Council is on an improvement journey, the priority is to understand where improvement is being made and, where the Council is not improving, what more can be done.

Page 203

Using this information gives a balanced picture of the Council's improvement journey over the year. By utilising this information, the Council can identify areas of improvement and celebrate success, and also identify areas where performance may not have been as good, and therefore the areas that may require further attention.

The Local Government (Wales) Measure 2009 requires the Council to 'make arrangements to secure continuous improvement'. Whilst the Improvement Objectives are assessed on an annual basis, they cannot be completed within one year. Therefore, in most cases, the Council's Improvement Objectives remain within the Corporate Plan through several iterations, and progress against planned activities is monitored, reviewed and revised on an annual basis to support the Council's improvement journey.

**Good progress:** The evidence suggests good progress has been made in achieving the Improvement Objective, with improvement observed across all key performance areas.

**Satisfactory progress:** The evidence suggests satisfactory progress has been made in achieving the Improvement Objective, with improvement observed across most of the key performance areas. However, there may be areas where performance is not as strong as it should be, and this helps to identify where more focus is needed

**Unsatisfactory progress:** The evidence suggests unsatisfactory progress has been made against the Improvement Objective, with no improvement observed across key performance areas.

| Progress against the Council's Improvement Objectives   | Good Progress | Satisfactory progress | Unsatisfactory Progress |
|---|---------------|-----------------------|-------------------------|
| Every Cardiff School is a good school   |               | ✓                     |                         |
| Looked After Children achieve their potential   |               | ✓                     |                         |
| Adult learners achieve their potential  | ✓             |                       |                         |
| People at risk in Cardiff are safeguarded   | ✓             |                       |                         |
| People in Cardiff have access to good quality housing   |               | ✓                     |                         |
| People in Cardiff are supported to live independently   | ✓             |                       |                         |
| Cardiff has more employment opportunities and higher value jobs   |               | ✓                     |                         |
| Cardiff has a high quality city environment that includes attractive public spaces and good supporting transport infrastructure |               | ✓                     |                         |
| All young people in Cardiff make a successful transition into employment, education or training                                 |               | ✓                     |                         |
| Communities and partners are actively involved in the design, delivery and improvement of highly valued services                |               | ✓                     |                         |
| The City of Cardiff Council has effective governance arrangements and improves performance in key areas                         |               | ✓                     |                         |
| The City of Cardiff Council makes use of fewer but better buildings   |               | ✓                     |                         |

## Improvement Objective – Every Cardiff School is a good School

### What do we want to achieve?

Our vision is that **all** children and young people in Cardiff attend a good school and develop the knowledge, skills and characteristics to become personally successful, economically productive and actively engaged citizens.

In 2015-16, the Council worked with schools and key partners to develop “Cardiff 2020 – A renewed vision for education and learning”, which was launched in June 2016. The strategy outlines ambitious goals, detailed below, for further improvements:

- Deliver consistently excellent outcomes for learners
- Secure the best people to lead, teach, support and govern our schools
- Offer inspiring, sustainable learning environments fit for the 21<sup>st</sup> Century
- Deliver a self-improving school system, forming strong and dynamic partnerships between schools in the region
- Ensure that schools are connected with the communities they serve and with business enterprise in the city region

### How have we performed in 2016-17 (Academic year 2015-16)

| Performance Indicator  | Result AY 2014-15 | Result AY 2015-16 | Target AY 2015-16 | Have we improved? |
|--|-------------------|-------------------|-------------------|-------------------|
| % of pupils who achieved the CSI at the end of KS2                                     | 87.8%             | 89.5%             | 89.6%             | Yes               |
| % of pupils who achieved the Level 2+ threshold at the end of KS4                      | 59%               | 63%               | 65%               | Yes               |
| % of eFSM pupils who achieved the Level 2+ threshold at the end of KS4                 | 32%               | 39%               | 45.4%             | Yes               |
| Primary Attendance   | 95%               | 95%               | 95%               | Maintained        |
| Secondary Attendance   | 94%               | 95%               | 95.4%             | Yes               |
| % Schools categorised as ‘Green’ in the Welsh Government School Categorisation Process | January 2016      | January 2017      | January 2016      |                   |
| Primary  | 34%               | 36%               | 30%               | Yes               |
| Secondary  | 26%               | 26%               | 22%               | Maintained        |
| Special  | 57%               | 57%               | 71%               | Maintained        |

## What are our key achievements during 2016-17?

Over the course of the year, Cardiff has made significant progress in this improvement objective. There has been an increase in the number of schools categorised as 'Green' and 'Yellow', from 94 in January 2016 to 102 in January 2017. Across the primary phase, there has been an increase in the number of schools in the highest benchmarking quarter based on the proportion of free school meals pupils. The number of secondary schools with less than 50% of pupils achieving the level 2+ threshold decreased from 8 in 2014-15, to 4 in 2015-2016. Inspection outcomes have improved, with 52.38% of schools inspected in 2014-15 judged to be 'good' or 'excellent' in terms of standards, rising to 72.22% in 2015-16.

### School Performance

Cardiff has seen an acceleration in the performance of its schools across all phases of education. In 2015-16, Cardiff is now performing above the national averages in a wide range of national performance indicators.

#### Attainment at Key Stage 4

- Level 2+ Threshold (5 GCSEs at A\* – C grade including English or Welsh and Mathematics) – in the 2015-16 academic year, 62.5% of pupils achieved this threshold. This is higher than the result for the 2014-15 academic year (59.3%), but lower than the target for the 2015-16 academic year (65%). The result is above the Wales average of 60%.
- Level 2+ Threshold (Free school meals) – in 2015-16, 39.3% of pupils eligible for free school meals (eFSM) achieved this threshold. This is higher than the result for 2014-15 (32.23%), but lower than the target for 2015-16 (45.45%). The result is above the Wales average of 35.6%.
- Level 2 Threshold (5 GCSEs at A\* – C grade) – in 2015-16, 84.3% of pupils achieved this threshold. This is higher than the result for 2014-15 (81.06%), but lower than the target for 2015-16 (87.08%). The result is in line with the Wales average of 84%.
- Level 1 Threshold (5 GCSEs at A – G grade) – in 2015-16, 94.4% of pupils achieved this threshold. This is higher than the result for 2014-15 (92.15%), but lower than the target for 2015-16 (97.81%). The result is below the Wales average of 95%.

#### Attainment at Key Stage 3

- Core Subject Indicator (the expected level of attainment in each of the core subjects in combination (English or Welsh, mathematics and science) – in 2015-16, 86.6% of pupils achieved this threshold. This is higher than the result for 2014-15 (83.4%) and higher than the target for 2015-16 (85%). The result is above the Wales average of 85.9%.

#### Attainment at Foundation Phase

- Foundation Phase Outcome Indicator (the expected outcomes in language, literacy and communication (LCE or LCW), mathematical development (MDT) and personal, social, cultural diversity and well-being development (PSD) – in 2015-16, 88.9% of pupils achieved this threshold. This is higher than the result for 2014-15 (86.73%) and higher than the target for 2015-16 (86%). The result is above the Wales average of 87%.

#### Welsh language

- Welsh first language continues to improve in the primary phase. At the end of the Foundation Phase in 2015-16, 93.1% of pupils achieved the expected level in



WFL compared to 90.7% in Wales. At the end of Key Stage 2, 96.1% achieved the expected level, compared to 90.8% in Wales.

#### Attendance

- Primary School – Attendance in the primary phase decreased by 0.02ppt to 95% in 2015-16. This is in line with the Wales average and places Cardiff 9<sup>th</sup> out of the 22 local authorities in Wales for primary school attendance compared with 6<sup>th</sup> in 2014-15.
- Secondary School – Attendance in the secondary phase improved by 0.6ppt to 94.4% in 2015-16. This is in line with the Wales average of 94.2% and places Cardiff 9<sup>th</sup> out of the 22 local authorities in Wales for secondary school attendance compared with 11<sup>th</sup> in 2014-2015.

#### Leadership

The Leadership of Cardiff's schools is strengthening. New leadership in some schools has resulted in a better quality of learning and teaching, raised expectations and improvements in standards. The number of schools requiring red level of support decreased from 10 in January 2016 to 6 in January 2017. There has been a decrease in the number of Governor vacancies, from 8.78% in 2014-15 to 8.13% in 2015-16.

#### School buildings and places

A co-ordinated admissions process for secondary schools will be piloted in September 2017, with 4 of the 7 schools who act as separate admission authorities. The remaining 3 will reassess their position next year.

New primary buildings have been opened at Adamsdown, Ysgol Y Wern and Coed Glas Primary schools. The new Eastern High School is set to open in 2018 and Cardiff West Community High School will open in the following year. The planning of the future investment programme for schools is underway to address condition and sufficiency of places.

#### Self-Improving Schools

In partnership with the Central South Consortium, Cardiff has given high priority to developing collaboration between schools to lead and support their own improvement. As part of the Central South Wales Challenge, School Improvement Groups have been established and pathfinder partnerships are brokered to support schools in difficulty.

#### Partnerships

One of the key messages of the Cardiff 2020 launch was that "Education is everybody's business". In the course of this academic year, partnerships supporting education in Cardiff have been broadened and strengthened in many different respects. The Junior Apprenticeships scheme, in partnership with schools, the Council, and Cardiff and the Vale College was established. The Cardiff Creative Education Partnership launched, capitalising on the strengths of the "creative economy" in the city and making wider and deeper connections with schools. Much progress has also been made in the delivery of 'The Cardiff Commitment', which is connecting schools and business to improve the progression of young people into employment.

## What is our self-assessment of our performance?

Progress against the majority of indicators is good. However, The Annual Performance Report of Schools (January 2017) and the Council's own self-evaluation highlighted some key areas where further improvement is needed:

- The variation in standards achieved by schools with comparable pupil populations in both the primary and secondary sectors;
- The ongoing relatively low performance across a range of indicators in three secondary schools;
- The gap in the performance of pupils eligible for free school meals and their peers;
- The underachievement of some groups of learners, in particular a few Minority Ethnic groups, pupils with English as an additional language (EAL), pupils educated other than at school (EOTAS), White UK pupils in schools in deprived areas of the city and children who are looked after (CLA);
- The number of pupils who leave school aged 16 who do not have the necessary qualifications and skills to make a successful progression into education, employment or training.

While there has been good progress in delivering the remaining Band A new build schemes, many school buildings suffer from a longstanding lack of investment. This was highlighted by significant problems in the autumn and spring terms at three secondary schools. Systematic changes to the framework for maintaining school buildings are required.

The growing population and demand for school places in the city has had an impact on the number of pupils securing their first choice of school. In September 2016 this was 86% in Primary and 76% in Secondary, compared to 88% and 87% in 2015. There has also been a significant increase in the number of young people with Additional Learning Needs (ALN) and Cardiff does not currently have enough specialist provision. As a result, too many young people are being placed out of area or are not able to access appropriate full time education within the city.

We have assessed ourselves as making satisfactory progress in this Improvement Objective.

## What is our plan for the future?

The Council will continue to work towards the goals of Cardiff 2020 and in areas of challenge, as follows:

- Preparing for the introduction of a radically new curriculum from 2018, starting with the introduction of the Digital Competence Framework;
- Developing and implementing the Educated Other Than At School (EOTAS) improvement plan, to increase provision and improve outcomes for these learners;
- Continuing to invest in the sufficiency and condition of school places;
- Turning around the performance of a minority of secondary schools that continue to cause concern
- The development of the new Eastern High Learning Campus, in partnership with Cardiff and Vale College, the new Cardiff West Community High School, and new primary schools for Howardian, Hamadryad and Glan Morfa;

- Ensuring that high quality teachers are secured, particularly in subjects such as English and Maths, including through the re-commissioning of Teach First;
- Driving forward 'The Cardiff Commitment' to youth engagement and progression.

## Improvement Objective – Looked after children in Cardiff achieve their potential

### What do we want to achieve?

There are 73,500 children and young people in Cardiff and of these 2,473 are in receipt of children's social services (721 of whom are being looked after). The Council wants to provide high quality care and support for looked after children to help them achieve their potential.

Closer working across Council Directorates, Cardiff Schools and partner organisations is crucial to the successful delivery of our Corporate Parenting Strategy, which sets out the shared vision of Cardiff Council and the Cardiff & Vale University Health Board to work together to ensure the best possible outcomes for children who are looked after or who have left care so that they can be happy and lead fulfilling lives.

### How have we performed in 2016-17

| Performance Indicator  | Result 2014-15 Academic Year | Result 2015-16 Academic Year | Target for 2015-16 Academic Year | Have we improved? |
|--|------------------------------|------------------------------|----------------------------------|-------------------|
| % attendance of looked after pupils in primary school  | 96.7%                        | 96.9%                        | 98%                              | Maintained        |
| % attendance of looked after pupils in secondary school  | 91.8                         | 94.5%                        | 96%                              | Yes               |
|  | Result 2015-16               | Result 2016-17               | Target 2016-17                   | Have we improved? |
| % of looked after children returned home from care during the year   | New Indicator                | 11.6%                        | Baseline year                    | N/A               |
| % of children looked after who have experienced once or more transitional changes of school in the 12 months to 31 <sup>st</sup> March | 9.1%                         | 13.3%                        | 16%                              | No                |
| % of children looked after on 31 March who have had 3 or more placements during the year   | 9.9%                         | 11.0%                        | 12%                              | No                |

## What are our key achievements during 2016-17?

The Council's **Corporate Parenting Strategy** was agreed; this represents the responsibility of the Council to ensure the best possible services and support for Looked After Children. Targeted work commenced in conjunction between the Council's Social Services and Education Directorates to return Looked After Children in out of area placements to Cardiff. During the year, 26 referrals were made to Safe Families for Children and admission to the looked after system / inclusion on the Child Protection Register was avoided for all 26 children. 23 children received services from the preventative Family Group Conferences initiative. Accommodation as a result of family breakdown or addition to the Child Protection Register was avoided for 12 of these children. In addition to this, 33 children were adopted which will lead to significantly better outcomes for infants over time.

Opportunities for Looked After Children and care leavers were improved via the Looked After Children traineeship scheme. **31 young people started a traineeship placement** during the year and **7 young people accepted apprenticeships**. A Listening Event held by the National Youth Advocacy Service revealed that **young people talked positively** about the traineeship scheme and their ability to gain work experience. One young person stated "this scheme changed my life".

The Council **improved the education planning** for Looked After Children by increasing the timeliness of completing Personal Education Plans within 20 school days of entering care or joining a new school, from 27.6% to 35.7% in 2016-17.

**58.5%** of care leavers were still in Education, Training or Employment 12 months after leaving care and **38.2%** were still in Education, Training or Employment 24 months after leaving care. A 'Virtual School' tracker was put in place to monitor the attainment, attendance and exclusion data for Looked After Children in schools both within and out of area. This has meant children who need additional support can be identified.

The Council initiated the development of options for piloting a model for early intervention for children and families in a discrete location and have engaged with Welsh Government about the scope for using grant funding more flexibly in a potential locality area.

An annual Bright Sparks Awards event was held where young care leavers and Looked After Children celebrated the achievements they made in 2016. The event was planned by 6 young people who formed the Team Bright Sparks and presented awards to winners aged between 5 and 23.

In line with the new Social Services & Well-Being (Wales) Act 2014 the Council introduced qualitative surveys for the first time to gain valuable soft intelligence about service users' views of the service they receive. Results from this survey show that **65.7% of children** and **70.4% of care leavers** reported that they **can do what matters to them** and **84.3% of children** and **63% of care leavers** reported that they **feel satisfied with their social networks**.

## What is our self-assessment of our performance?

The overall picture of performance during the year is generally improving or on target. Improvements have resulted from focused work over several years to improve outcomes for looked after children, including an increased focus on joint working between the Council's Children's and Education services. Further work is required to build upon these improvements and joint work across Children's Services and Education is ongoing. In addition there are early indications that the balance of the Looked After population is shifting in favour of more Looked After Children being placed with relatives, rather than in 'public care' settings (fostering or residential care). The

number of children placed with relatives or being looked after under Placement with Parents regulations rose from 88 (of 611 = 14%) at 31 March 2014 to 134 (of 721 = 19%) at 31 March 2017. This suggests that the Council's strategies to engage wider families more effectively in supporting children are making a positive impact, improving our ability to enable children to maintain closer links to parents and siblings and increasing the likelihood of return home and of better individual outcomes.

We have assessed ourselves as making satisfactory progress in this Improvement Objective.

### **What is our plan for the future?**



The Corporate Parenting Strategy should be delivered by 2019 to ensure that the Council and its Partners collectively fulfil their responsibilities to all children and young people who are in their care by seeking the same positive outcomes that every good parent would want for their own children. The Support Services to Care Leavers will also be reviewed and revised by March 2018 in order to improve service effectiveness and outcomes for young people.



## Improvement Objective – Adult learners achieve their potential

### What do we want to achieve?

The Council aims to offer a broad range of adult education courses that help support the citizens of Cardiff to meet their learning aspirations. To do this the Council aims to increase the number of accredited courses delivered to priority learners and improve levels of enrolment. Through the Into Work Advice Service people will be upskilled to improve their chances of employment including providing work preparation courses and hosting job clubs. The Council also aims to widen digital inclusion within communities to help people ‘get online’ through learning basic computer skills and using the internet to complete online applications for jobs and benefits and paying bills. This digital inclusion agenda will also help us to prepare for the roll-out of Universal Credit.

Follow us on Twitter  @LearningCardiff  @intoWorkCardiff

Like us on Facebook  Learning Cardiff  Into Work Advice Services  
Cardiff Council

### How have we performed in 2016-17

| Performance Indicator  | Result 2015-16 (Academic Year 2014-15) | Result 2016-17 (Academic Year 2015-16) | Target for 2016-17 (Academic Year 2015-16) | Have we improved? |
|--|--|--|--|-------------------|
| The success rate of Adult Community learners   | 87%                                    | 94%                                    | 83%  | Yes               |
|  | Result 2015-16                         | Result 2016-17                         | Target for 2016-17                         | Have we improved? |
| % of Into Work service users who feel more ‘job ready’ as a result of completing a work preparation course | 98%                                    | 100%                                   | 90%  | Yes               |

## What are our key achievements during 2016-17?

Adult Community Learning received **6408 enrolments** in 2016-17 compared to 5825 in the previous year and, through excellent partnership working with Job Centre Plus and Communities First, there were more priority learners in the Learning for Work Programme, from 1866 in 2015-16 to 1910 in 2016-17. There has been year on year improvement in the success rate of adult learners from just **47% in 2010-11 to 94% in 2015-16**.

The Council's Into Work Service worked with more than 100 employers to secure **guaranteed interviews** and almost 1500 Into Work Service users achieved an accredited qualification, a **pass rate of 94%**, and were supported into work. This service also **supported 3,001 people** who attended work preparation workshops and 1,441 people who attended digital inclusion workshops, giving them the skills they need to get online and into work. As a result of the work and services provided by the Into Work Service over the year, **100% of service users reported they felt more able to enter employment** as a result of completing a work preparation course.

The Into Work Advice Team created some ongoing employment offers, with the introduction of a new employment programme called Introduction to Childcare, developed in conjunction with Flying Start. This was a five-day programme designed to provide an insight to the different roles involved to those interested in finding employment in the childcare sector. The team also assisted Dickens of Charles Street with their recruitment needs, including providing them with work-ready jobseekers and helping with job application completion.

The Council coordinated a **Jobs Fair** held in September 2016 that was attended by more than 2000 jobseekers and 35 employers from a variety of sectors offering more than 10,000 job vacancies on the day. At least 10 jobseekers were offered positions on the day.

More than half of respondents (55.9%) in the annual Ask Cardiff survey agreed that **people in Cardiff have access to opportunities to help them achieve their potential**.

## What is our self-assessment of our performance?

The continued improvement in performance for the grant funded Adult Community Learning Service – Learning for Work – has been impressive. Cardiff Council, along with Cardiff and the Vale College, the Vale of Glamorgan Council and Adult Learning Wales form the Cardiff and the Vale Community Learning Partnership with performance monitored at both a partnership and individual provider level by Estyn. The partnership has seen continuous improvement year on year since 2012/13 with the biggest improvement being made by Cardiff Council

| Provider                     | Success<br>2012/13 | Success<br>2013/14 | Success<br>2014/15 | Success<br>2015/16 |
|------------------------------|--------------------|--------------------|--------------------|--------------------|
| Cardiff Council              | 60%                | 72%                | 87%                | 94%                |
| Cardiff and Vale College     | 77%                | 80%                | 88%                | 88%                |
| Vale of Glamorgan Council    | 81%                | 85%                | 86%                | 96%                |
| WEA Cymru                    | 81%                | 88%                | 99%                | 86%                |
| YMCA Wales Community College | 97%                | 99%                | 97%                |                    |
| Partnership success rate     | 80%                | 88%                | 91%                | 90%                |



The Into Work service has seen impressive results this year and, in addition to the evidenced improved pass rates and increasing numbers accessing the service, it is recognised that there is a need to collect more qualitative data based on individual stories. The information gathered so far has been instructive in terms of understanding the range of very practical interventions that make a difference in supporting an individual to achieve their goals. The ability to integrate mentoring support with the more universal services provided by Into Work has proved to be hugely beneficial and the greater understanding of what really makes a difference – location ; accessibility; reliability of individual attention; and innovation of approach – has helped to inform proposals for the next steps for the development of our learning and employment support services.

We have assessed ourselves as making good progress in this Improvement Objective.

## **What is our plan for the future?**

The new approach to tackling poverty announced by the Welsh Government in February 2017 presents an opportunity to integrate employment support services across the city. A consultation process in Autumn 2017 will inform the development of a new model of service provision making the best use of existing provision and new funding opportunities. Into Work and ACL services will form part of this new integrated approach with a focus on service user progression and achievement that can be evidenced over time. Current provision has been mapped and in excess of 40 different employment support services currently exist across the city. Progression for individuals is difficult or impossible to track currently and the complicated eligibility criteria for many services makes access inconsistent even for those with similar support needs.

The proposed future model recommends the establishment of a comprehensive gateway to access services, through a range of channels including face to face at the network of Community hubs and libraries across the city. Initial assessments will check eligibility and address the need to help people into the right service from the start. The links to supply and meeting employer requirements will be easier to forge and should ensure a clearer pathway into education, training and work making the best use of the employer “Cardiff Commitment”.

## Improvement Objective – People at risk in Cardiff are safeguarded

### What do we want to achieve?

The Council wants to support children, young people and adults who may be unable to take care of themselves, and empower individuals to protect themselves from significant harm or exploitation. The Council aims to develop a range of more effective services to prevent issues escalating which may result in vulnerable children or adults being separated or cared for away from their families.

### How have we performed in 2016-17

| Performance Indicator  | Result 2015-16 | Result 2016-17 | Target for 2016-17 | Have we improved? |
|--|----------------|----------------|--------------------|-------------------|
| % of Children's services social work vacancies across the service      | 22.2%          | 23.5%          | 18%                | No                |
| % of re-registrations on the Child Protection Register during the year | New Indicator  | 3.9%           | New Indicator      | New Indicator     |
| % of adult protection enquiries completed within 7 working days        | New Indicator  | 98%            | New Indicator      | New Indicator     |
| % of children supported to remain living within their family           | New Indicator  | 55.5%          | New Indicator      | New Indicator     |
| Number of children participating in the challenging extremism module   | New Indicator  | 894            | 1000               | New Indicator     |

## What are our key achievements during 2016-17?

“Not in our City, Not to our Children” – Cardiff’s Child Sexual Exploitation (CSE) Strategy has enabled significant progress to be achieved in ensuring that children and young people are protected from CSE. The strategy has enabled the Council to:

- Draw all key partners together to work to common objectives and a shared action plan
- Establish processes within Children’s Services and with external organisations to identify children at risk at the earliest opportunity
- Draw more effectively on the voices of children and families
- Secure funds for the provision of a specialist service for those children most at risk
- Enable the provision of preventative services at the earliest opportunity
- Support children to break away from sexual exploitation and recover from their experiences

The results of the Council’s qualitative survey show that **86.2% of children** reported that they **feel safe**.

As part of the Council’s 2017-18 budget, additional funding was agreed to establish the temporary Multi-Agency CSE Prevention Team on a permanent basis. This means that the team will continue to implement the CSE strategy, and fulfil the expectations set out by Welsh Government to ensure that performance and progress remain positive. The team will also work with children and families to raise awareness of the risks to children, to reduce the risks and keep them safe.

The percentage of social worker vacancies increased slightly over 2016-17 to 23.5%; in response, the Council has implemented a number of recruitment initiatives to address this. A new recruitment programme was launched, and while vacancy rates have not reduced directly, this is as a result of internal promotions and transfer of staff, thereby promoting staff development. As a result, a more stable workforce across the service has emerged and the Council is relying less on agency workers.

During 2016-17 the **Multi-Agency Safeguarding Hub** was established with the aim of improving the system for protecting children from significant harm by implementing new arrangements for managing referrals. Early indications show that the response to safeguarding children and adults is improving, with multi-agency discussions taking place immediately, thereby improving the timeliness of response to cases.

To support the care for unaccompanied children who arrive in the UK and claim asylum, the **National Transfer Scheme** was launched in July 2016. The scheme represents a voluntary transfer arrangement between local authorities to support unaccompanied asylum-seeking children so there is a more even distribution of caring responsibilities across the UK. During 2016-17, 11 children were received under the Dublin Scheme and of these 11, ten were placed with their families, and one remains in long term care. Furthermore, the Council was commended for its efforts in engaging with the Dublin Scheme.

The **Cardiff and Vale Dementia 3 year plan** was developed in 2014 to address the needs of people with dementia and their carers, as well as serving future population growth. Headline areas where good progress has been made during 2016-17 include:

- Promoting healthy living initiatives in dementia and increasing public awareness and understanding of dementia
- Ensuring timely diagnosis of dementia

- In-patient dementia care

**Dementia Champions** working within the Council delivered two Dementia Friend sessions which were open to all employees who wanted to learn more about becoming a Dementia Friend. There are currently **over 7,000 Dementia Friends in Cardiff and the Vale of Glamorgan**. The Neighbourhood Partnership areas of Cardiff North, Cardiff South West, Cardiff City and South, and Cardiff East are in the process of establishing local Dementia Friendly steering groups. During the year a Cardiff city-wide plan was finalised and submitted to the Alzheimer's Society for the city to receive 'Working Towards Becoming Dementia Friendly' status. The Alzheimer's Society has now confirmed Cardiff is '**Working Towards Becoming Dementia Friendly**'.

During 2016-17 the Council also made a successful application to be part of the **Child Rights Programme** and Cardiff was designated as a Child Rights Partner by the United Nations International Children's Emergency Fund (UNICEF). UNICEF noted that Cardiff has demonstrated a commitment to children's rights, high aspirations for children and young people in the local authority, and a coherent vision for change. We are continuing to work towards our ambition to attain Child Friendly City status.

## What is our self-assessment of our performance?

The Council is able to evidence growing strength and depth in the quality of safeguarding practice and the range and reach of safeguarding activity. Significant new strategic initiatives that provide clear examples of an effective overall strategic direction include:

- Child Sexual Exploitation Strategy.
- Introduction of a Multi Agency Safeguarding Hub.
- Training in the Signs of Safety approach in Children's Services.
- Strengthening of arrangements for safeguarding adults consistent with the requirements of the Social Services and Well-being (Wales) Act 2014.
- Refresh of the statutory boards for safeguarding children and adults respectively.

We have assessed ourselves as making good progress in this Improvement Objective.

## What is our plan for the future?

The Council continues to be committed to protecting children, young people, and adults, and empowering them to protect themselves from significant harm or exploitation. The Council will continue to collaborate with its partners and play a lead role in protecting and safeguarding individuals who need care and support from abuse and neglect or any other kinds of harm. The Council aims to:

- Renew its safeguarding vision and strategy by March 2018 in order to take account of new national policy and practice guidance currently under development.

- Develop and implement a mechanism to improve engagement with communities at large and faith communities in particular by March 2018 to improve the safeguarding of children across the various communities in Cardiff.
- Strengthen the capacity of children's social services to address increasingly complex needs of children including trafficked children, children subject to Deprivation of Liberty considerations and children struggling with mental health conditions.
- Strengthen Adult Protection procedures in consultation with staff and partners by March 2018 to ensure that adults are protected from harm.
- Work to make Cardiff a recognised Dementia Friendly City by March 2018 to support those affected by dementia, enabling them to contribute to, and participate in, mainstream society.

## Improvement Objective – People in Cardiff have access to good quality housing

### What do we want to achieve?

The Council wants to deliver high quality, sustainable and affordable homes, particularly to those most in need. To do this the Council will prioritise work to increase the level of housing available for Council tenants as well as maximising the delivery of affordable housing.

The Council wants to ensure that landlords and agents comply with their legal obligations under the Housing (Wales) Act 2014, and ensure that effective measures are in place to support those who are homeless in Cardiff.

### How have we performed in 2016-17

| Performance Indicator   | Result 2015-16     | Result 2016-17     | Target for 2016-17 | Have we improved?                                       |
|---|--------------------|--------------------|--------------------|---|
| The number of additional affordable housing units provided as a % of all additional housing units | 64.32% (256 units) | 52.06% (329 units) | 20%                | Yes (more affordable housing units have been delivered) |
| % of commercial landlords registered with Rent Smart Wales  | New Indicator      | 55%                | 20%                | New Indicator   |
| Number of Landlords in Wales registered with Rent Smart Wales                                     | New Indicator      | 74,168             | 26,000             | New Indicator   |
| % of interventions provided by the outreach service within 3 days of a report of rough sleeping   | New Indicator      | 100%               | 90%                | New Indicator   |
| Number of Customers supported with their claim for Universal Credit                               | New Indicator      | 681                | 400                | New Indicator   |
| Additional weekly benefit awarded to clients  | New Indicator      | £11,995,475        | £6m                | New Indicator   |

## What are our key achievements during 2016-17?

Through the **Housing Partnering scheme**, work commenced on both the Braunton & Clevedon and Willowbrook West sites and five Phase 1 sites were granted planning permission. Through partnership working with Wates Residential, 192 homes are expected for completion in 2020. During 2016-17, **329 additional affordable housing units** were delivered in Cardiff to provide access to more affordable housing in the city.

The Council is committed to working with its partners to mitigate the impact of Welfare Reform changes to ensure that those affected still have access to good quality housing, and during 2016-17, **681 claimants were helped** to make or maintain their claim for Universal Credit, along with approximately **3,500 job seekers per month supported** by the Into Work Advice Team. In relation to the **'Back to work' scheme**, the Into Work Advice team supported 310 Cardiff residents affected by the benefit cap and enabled them to participate in the scheme; 75 of these residents returned to work. The Money Advice team continued to provide personal budgeting support and the Into Work advice team provided support to make and maintain claims for Universal Credit. **£11,995,475 in additional weekly benefit was awarded** to help claimants identify the benefits that they were entitled to but not already claiming.

A benefit cap working group was established with partners and information in relation to the families affected by the benefit cap was proactively shared with Registered Social Landlords to enable them to provide advice and assistance appropriately.

The Council continued to act as the licensing authority for **Rent Smart Wales**, to process landlord registrations and grant licenses to landlords and agents who need to comply with the Housing Wales Act (2014). Landlords must be registered and have received training in their responsibilities when renting out properties to tenants. At the end of 2016-17 there were **74,168 landlords registered**, exceeding the set target of 26,000. Furthermore, 55% of commercial landlords were registered, again exceeding the set target of 20%.

Over the last two years, the number of people sleeping rough in Cardiff has steadily increased and single night counts recorded 53 rough sleepers, which represents 38% of the Welsh total of 141. Cardiff's 2016 single night count figure of 53 rough sleepers compares with areas such as Birmingham (55) and Bedford (59) but is not as high as Bristol (74) or Manchester (78). To respond to our commitment of reducing rough sleeping in Cardiff, the Council developed and agreed **The Cardiff Rough Sleeper Strategy 2017-2020**, which outlines how rough sleepers will receive appropriate advice, support and assistance with homelessness. Along with partners, we continued engagement work with rough sleepers to reduce rough sleeping in Cardiff and **100% of interventions were provided by the outreach service within 3 days** of a report of rough sleeping.

## What is our self-assessment of our performance?

Housing stress in Cardiff is significant across all sectors and the most visible indicator of increasing housing need has been the dramatic increase in rough sleeping in the city over the past 18 months. Whilst performance in service provision aimed at tackling rough sleeping has been on target and partnership working to develop and deliver against the rough sleeper strategy has been outstanding, the increase in demand, particularly from those without a connection to the city has increased at a rate never experienced before.

Work to deliver against the Welsh Government approved HRA business plan has been good with Welsh Housing Quality Standards maintained and the first phase of the Cardiff Living Partnership now on site. The numbers registered on the joint housing waiting list and the range of supported housing needs show the on-going requirement

for large scale new social housing development, and increased affordable housing delivery was achieved during 2016-17. As a landlord, the annual Tenants Satisfaction Survey provides the Council feedback across a wide range of service standards. In overall terms, the level of satisfaction with Cardiff Council as a landlord in 2016 was 77.9% up from 75.1% in 2015. 81.6% of tenants were satisfied with the condition of their property and 85% were satisfied with the neighbourhood in which they lived.

We have assessed ourselves as making satisfactory progress in this Improvement Objective.

## What is our plan for the future?

The Council is committed to delivering high quality, sustainable and affordable homes, particularly for those most in need. The Council will prioritise work to increase the level of housing available for Council tenants as well as maximising the delivery of affordable housing. The Council will work to ensure landlords and agents comply with their legal obligations under the Housing (Wales) Act 2014, also acting as the host licensing authority for the Welsh Government's Rent Smart Wales Scheme. The Council recognises that acting on homelessness is an immediate concern and will ensure that measures are in place to support those who are homeless and help prevent people from becoming homeless.

- Start by building 1,000 new Council homes through the Cardiff Living Scheme and taking forward other innovative housing initiatives.
- Work with developers to deliver over 6,500 affordable homes by 2026 through the Local Development Plan and strengthen our approach to housing development, considering strategic investment that addresses all types of demand for housing, such as social housing, affordable housing and housing that supports extra care and independent living.
- Drive up standards in the private rented housing sector by ensuring private landlords comply with their legal obligations under the Housing (Wales) Act 2014.
- Address rough sleeping in the city through delivering, with partners, the Rough Sleeper Strategy,
- Support those affected by Welfare Reform and help more people find jobs that give them dignity and pride by working with partners to further develop Into Work services and by providing a network of volunteering opportunities.



## Improvement Objective – People in Cardiff are supported to live independently

### What do we want to achieve?

The Council wants to help people to live independently as their needs change and develop by providing the appropriate support they need to live on their own, providing reasonable adaptations to their homes and more preventative services.

To do this the Council must change the way that it delivers services and look at important issues such as preventing hospital admissions, facilitating quick and safe discharge from hospital and allowing people to remain at home and regain their independence.

### How have we performed in 2016-17

| Performance Indicator   | Result 2015-16 | Result 2016-17 | Target for 2016-17 | Have we improved? |
|---|----------------|----------------|--------------------|-------------------|
| The rate of delayed transfers of care   | 11.18          | 5.22           | 10.79              | Yes               |
| Number of adults using the Direct Payments scheme   | 740            | 746            | 750                | New Indicator     |
| % of new service requests managed within the Independent Living Service                     | New Indicator  | 62%            | 40%                | New Indicator     |
| % of cases where alternative solutions were found by an Independent Living Visiting officer | New Indicator  | 98%            | 45%                | New Indicator     |
| % of Telecare calls resulting in an ambulance being called                                  | 7%             | 6%             | 10%                | New Indicator     |
| % of eligible adult carers offered a carers assessment                                      | 76.8%          | 79.5%          | 90%                | Yes               |

## What are our key achievements during 2016-17?

Since the launch of the **First Point of Contact** for Adult Services (FPOC) in October 2015, the Council has continued to respond to enquiries in the Independent Living Service, preventing the need for less complex cases to be escalated to social care resources. During 2016-17, **3,275 visits were completed**, identifying **1,969 alternative solutions** for clients, which included **£4.3m in extra income. 88% of clients felt the service improved their quality of life.** In October 2016, a social work team was integrated into FPOC to work jointly with Contact and Visiting Officers, to ensure a preventative approach is taken and individuals are supported to regain and maintain independent living within a community environment.

As part of the agreed and consulted-on Day Opportunities Strategy, the Locality Working Project piloted a new approach to delivering services and supporting older people in the community at a local level looking at co-ordination of day opportunities, locally based home care, health based services, strategic development & future proofing alternative community-based care solutions. Extensive engagement between Day Opportunities and local partners in the public, private and third sector helped gain an oversight of current day opportunities available to older people in North Cardiff, which led to a series of events to create an information and networking platform for the locality. 'Llanishen Gets Together' took place on 29<sup>th</sup> October 2016. 42 exhibitors took part showcasing a range of information and advice on services and activities available in the Llanishen Area. Turnout was over 120 people and many took the opportunity to sign up for new groups and activities.

Results of the Social Services qualitative survey show that **80.7% of adults and 82.4% of children were satisfied with the care and support they received.** 76.6% of adults and 72.4% of children reported that they received the right information and advice when they needed it. Furthermore, **92.4% of adults and 81.9% of children reported that they were treated with dignity and respect.**

To promote independence, increase social inclusion and enhance self-esteem, **Direct Payments** are offered to people with care and support needs under the Social Services & Well-Being (Wales) Act 2014, through the provision of Domiciliary Care or a Personal Assistant. In 2016-17, 20% of overall domiciliary care packages were managed through Direct Payments. A review of Direct Payments was undertaken in 2016-17 and as a result of this a project was established which has delivered the following:

- A new model of Direct Payments provision which aims to maximise independence
- A new set of contract monitoring procedures within the Direct Payment contract
- A saving of over £100,000 on the annual cost of running the service
- A series of training tools to widen access to information about Direct Payments within the Council

At the end of 2016-17 there were **746 people using Direct Payments**, which was four short of the target of 750.

To allow vulnerable people in hospital to have a timelier and effective discharge from hospital settings, the Council continued to work closely with Health partners in Cardiff & the Vale University Health Board and the Vale of Glamorgan Council to **reduce Delayed Transfers of Care (DToC)** because of social care reasons. During 2016-17, there were **140 fewer delayed transfers of care** when compared to the previous year. Subsequently, a Wales Audit Office review of DToC performance in Cardiff and the Vale of Glamorgan concluded that partnership working between the Council and Health partners had significantly improved. Both of the Community Resource Teams

in Cardiff have moved to a 7-day working pattern to enable hospital discharges to happen at weekends.

### **What is our self-assessment of our performance?**

Good progress has been made to strengthen services that support people in their own homes and prevent more intrusive forms of intervention. The Council has augmented Community Reablement Services with the introduction of a 'Bridging Team'. In recommissioning the Direct Payments provider, the Council took the opportunity to improve the capacity of Direct Payments to support more individuals and provide a more flexible offer.

The Council recognises the need to significantly accelerate a new strategic approach to expand reablement as the default model of choice across a much wider range of Adult Services users and will work with the Institute of Public Care in 2017-18 to produce a new five-year strategy to achieve the necessary step change so that many more people in the community will be able to remain independent for longer.

We have assessed ourselves as making good progress in this Improvement Objective.

### **What is our plan for the future?**

The Council is committed to helping people to live independently by providing reasonable adaptations to their homes and providing more preventative services before their need becomes critical. The Council will continue to:

- Facilitate timely and safe discharge from hospital to allow people to remain at home.
- Build on the success of the new First Point of Contact Service for anybody who needs support.
- Ensure that on the first point of contact, those who need support can access a range of services to secure independent living.
- Facilitate access for young care leavers to good accommodation, employment opportunities, and mentoring.
- Continue to increase the number of children and adults with care and support needs in receipt of Direct Payments by March 2018 to enable people to make their own choices and take control over the care services they receive.
- Implement new services in 2017-18 in order to promote family stability and reduce family breakdown.
- Implement new model of Day Opportunities by March 2018 (subject to the completion of major building works which should be substantially completed by this

date) to maximise independence for adults with care and support needs.

- Review the Supported Living commissioning process for Adults with mental health issues by March 2018, to maximise individuals' care pathway to independent living, by improving the quality of recovery in a safe and supportive environment.
- Implement the recommendations of the Community Services Review regarding the future model of Community Mental Health Service in collaboration with the University Health Board, in order to effectively support and deliver community-based mental health services by March 2019.
- Review Internal Supported Living by March 2018 in order to maximise people's independence.
- Develop a Learning Disability Day Opportunities Strategy 2018–2020 and prepare an effective business case for the redevelopment of Tremorfa Day Centre to help people with a learning disability feel more valued, be more independent and to maximise opportunities for choice and control for each individual.
- Develop and implement an Older People's Housing Strategy in partnership with Communities, by March 2018, in order to ensure that the housing needs of the most vulnerable are met.
- Provide the highest quality of social care possible, in practice and delivery.
- Break down barriers and join-up services at the community level by placing social care at the heart of the Council's emerging 'localities' approach.
- Support those citizens and families who live with dementia, including making Cardiff a recognised Dementia Friendly City.
- Empower people to stay independent at home by further developing a full range of preventative services, geared towards reducing the demand pressures of an ageing population.

## Improvement Objective – Cardiff has more employment opportunities and higher value jobs

### What do we want to achieve?

The Council wants to work with its partners in the public and private sectors to create an environment that supports the development of new businesses and the growth of current businesses in Cardiff. This means investing in infrastructure and creating a supportive environment for start-ups and existing businesses, as well as a proactive approach to secure inward investment and visitors to Cardiff.

### How have we performed in 2016-17

| Performance Indicator   | Result 2015-16 | Result 2016-17 | Target for 2016-17 | Have we improved? |
|---|----------------|----------------|--------------------|-------------------|
| Grade A office space committed for development in Cardiff     | 316,211 sqft   | 317,732 sqft   | 150,000 sqft       | Yes               |
| New & safeguarded jobs in businesses supported by the Council | 4304           | 1290           | 500                | No                |
| Number of overnight stays in Cardiff                          | 2,000,300      | 2,025,000      | +2%                | Yes               |
| Number of visitors to Cardiff                                 | 20,510,000     | 20,380,000     | +2%                | No                |

## What are our key achievements during 2016-17?

During 2016-17, **1,290 jobs were created or safeguarded** in businesses in Cardiff that were supported by the Council, exceeding the set target of 500 jobs. Construction commenced on **317,732 square feet of Grade A office accommodation in Cardiff**, and Cardiff was named the **third best potential office location in the UK** outside London by CACI, in the Property Week Hot 100 Office Index 2017.

Cardiff won the **Social Media Marketing Award for the Choose Cardiff Campaign**, which promoted the city as a destination to visit, meet and invest using the tagline 'The World's Closest Capital to London'. During the year there were **2,025,000 overnight stays**, which amounts to an extra 24,700 overnight visitors to Cardiff, and we moved from 12<sup>th</sup> to 10<sup>th</sup> position in the Top 20 UK towns and cities (excluding London) visited for 1 night (International Passenger Survey – ONS). City Centre footfall also increased by **over 3 million**.

The **Central Square regeneration project** has progressed well, with Number 1 Central Square fully occupied and construction of the BBC Wales Headquarters now above ground. A master plan is in place for land north of Wood Street, based on the Government Property Unit development of 300,000 sq. ft. plus expansion space of 150,000 sq. ft. A site north of Wood Street has been selected by HMRC for a major relocation and expansion, which may bring up to 3,500 jobs to Cardiff in the future. Headquarters for a major international development charity will be established in Cardiff with the creation of **50 new skilled jobs**.

Page 37  
In March 2016 the **City Deal** was signed in Cardiff and represents an agreement between the UK Government, the Welsh Government and the 10 local authorities of the Cardiff Capital Region. This City Deal represents **£1.2 billion of investment through a 20-year investment fund**, and further enhances partnership working to develop strategic plans and make the most of opportunities by addressing key barriers to economic growth. The City Deal is projected to create up to 25,000 new jobs and £1 billion in additional private sector investment over the next 20 years.

The **Cardiff Business Improvement District (BID)** achieved a successful 'yes' vote in July 2016, establishing a new business-led organisation in the city centre with an annual budget of £1.4m. The BID will support priorities identified by businesses, and work with partners such as the Council and the Police to make improvements to the city centre.

## What is our self-assessment of our performance?

Despite limited resources, the Council continues to actively support the creation and safeguarding of jobs in the city, exceeding the target for the year. There continues to be pressure on the ability of the Council to support business through direct support with no funding currently available through the Cardiff Capital Fund. Overall, the Council has actively supported an improvement in the local economy and has been directly involved in the delivery of 1,290 new or safeguarded jobs in Cardiff. External data sources also suggest continued growth in the number of jobs in the city, which is supported not only by the work of the Economic Development team, but also by the work of the Council to develop the economic infrastructure of the city. From this perspective, the commencement of construction of 317, 732 sq. ft. of grade 'A' office accommodation in Cardiff has boosted the generation of well-paid jobs in the city. Overall, business activity has improved and unemployment in Cardiff has fallen consistently over the last five years from 11% in January to December 2012 to 4.8% in January to December 2016.

It is also important to note that against a general backdrop of funding pressures for business support in Wales and across the UK, Cardiff has continued to work with partners to attract and retain employment. This has seen a continued increase in job numbers that show an additional 9,500 people in employment in the city in 16-17 compared with 15-16.

Visitor numbers for the 2017-18 period will also be impacted by the biggest sporting event in the world, the **UEFA Champions League finals**, that was held in Cardiff in June 2017. This was a highly successful event for the city and placed Cardiff on the world stage. More than 170,000 fans visited Cardiff during this event and over 200 million people across the globe watched the event on TV.

We have assessed ourselves as making satisfactory progress in this Improvement Objective.

## What is our plan for the future?

*Capital Ambition* outlines proposals for the next phase of investment for Cardiff, which will build on the success of the Economic Development Directorate.

The Council will work with partners in the public and private sector, as well as regional partners, to create jobs and deliver economic growth in a way that benefits all of our communities.

The Council will create an environment which supports the development of new businesses, the growth and sustainability of existing businesses and attracts continued investment. By doing this, the number and quality of jobs available across the city region will increase.



## Improvement Objective – Cardiff has a high quality city environment that includes attractive public spaces and good supporting transport infrastructure

### What do we want to achieve?

The Council wants Cardiff to develop in a sustainable, resilient and inclusive manner. The Council wants to do this through creating sustainable communities, with high quality housing, great parks and open spaces, and excellent transport links. This will mean securing investment in Cardiff's transport infrastructure and services allowing people to travel around the city in a convenient and clean way. A new transport interchange and gateway to the city is a key priority for us.

### How have we performed in 2016-17

| Performance Indicator   | Result 2015-16 | Result 2016-17 | Target for 2016-17 | Have we improved? |
|---|----------------|----------------|--------------------|-------------------|
| % of highways inspected of a high or acceptable standard of cleanliness | 90.6%          | 90.4%          | 90%                | Maintained        |
| % of A, B & C roads that are in overall poor condition                  | 5.23%          | 6.07%          | 7%                 | Maintained        |
| % of all travel to work made by sustainable modes                       | 43.9%          | 44.9%          | 44%                | Yes               |
| Number of green flag parks and open spaces                              | 9              | 11             | 10                 | Yes               |
| % of people cycling to work   | 9.2%           | 10%            | 10.2%              | Yes               |



## What are our key achievements during 2016-17?

The Council's **Transport Strategy** was agreed by Cabinet in October 2016 and brings together the proposals in the Local Development Plan and the Local Transport Plan. The purpose of this strategy is to:

- Raise awareness of Cardiff's transport challenges over the next 20 years
- Highlight the main projects and actions which the Council proposes to undertake to tackle the challenges and increase sustainable travel in Cardiff

The strategy also makes clear the vision to have an integrated transport system that offers safe, efficient and sustainable travel for all, where public transport, walking and cycling provide real and desirable alternatives to car travel, which contributes to making Cardiff a liveable city. Achievements this year include the completion of the A469/A470 scheme and the **award of £2.6million of grant funding** for transport schemes to be developed and delivered in 2017-18. This year also saw the continuation of partnership working with the Welsh Government, other Local Authorities and stakeholders in the region, including consultation and engagement regarding the Wales and Borders Rail Franchise.

Cardiff is set to grow over the next decade and the Local Development Plan provides for 41,000 new homes and up to 40,000 new jobs in Cardiff by 2026, which will inevitably place additional pressures on our transport network. To accommodate this a 50:50 modal split is needed, where 50% of travel to work will need to be made by sustainable modes. In 2016-17, **44.9% of all travel to work was made by sustainable modes**, an improvement when compared to 43.9% in the previous year. Furthermore, **10% of people cycled to work**, an improvement when compared to 9.2% in the previous year.

The **Central Square regeneration scheme** has progressed and the preparation of the detailed design and planning application for the new bus interchange has been completed.

Once again, Cardiff's parks and green spaces were awarded **Green Flag status**. 11 parks and green spaces in the city maintained by the Council were awarded Keep Wales Tidy's coveted international mark of quality, including Cardiff Bay Wetlands, which received the recognition for the first time. Bute Park, Cardiff Bay Barrage, Cathays Cemetery, Flat Holm Island, Grange Gardens, Parc Cefn Onn, Roath Park, Rumney Hill Gardens, Thornhill Cemetery and Victoria Park have once again met the high standard needed to receive the Green Flag. In our annual Ask Cardiff survey, 62.6% of respondents rated their level of satisfaction with parks and open spaces in Cardiff as 8 or more out of 10 (very satisfied). According to this survey, spending time outside is the single most important activity in terms of personal well-being with 95.3% of respondents rating it as very or fairly important.

2016-17 also saw the launch of the **Love Where You Live** campaign to encourage residents of Cardiff to help keep the city's streets and neighbourhoods clean. The campaign focussed on 5 key elements:

- Zero tolerance approach to littering
- Raising recycling awareness
- Neighbourhood blitzes
- Student education

- Harnessing people power

Through this campaign the Council worked with local businesses and residents to ensure they present waste correctly, in order to help the city reach its 2020 64% waste recycling target. This campaign and zero tolerance approach will continue so that the Council can achieve its aim of allowing Cardiff residents to live in a clean city.

## What is our self-assessment of our performance?

### Neighbourhood Services

The continued emphasis on street cleanliness in the city has resulted in strong performance in key areas. In Quarter 1, 92.8% of the 1,200 streets assessed were of a high or acceptable level of cleanliness. This exceeds the target of 90%, and the data the assessments provides also helps to target resources. Similarly, 97.6% of reported fly tipping incidents were cleared within 5 working days, again above the target of 90%.

Community cohesion with volunteer groups is continuing to develop with support; this is leading to shaping services and addressing concerns at a local level. The Council will continue the successful “Love Where You Live” campaign to support residents and community groups in taking greater responsibility for the cleanliness of their local communities.

### Transport, Policy ,Strategy & Planning

The Council exceeded its target with proactive progress of cycling and public transport delivery.

Work continues to bring forward the delivery of Strategic New Community Sites allocated in the city’s Local Development Plan. Key developments include progress on strategic sites, Section 106 agreements being negotiated, new homes being delivered and master-planning work is underway.

Progressing planning applications in a timely way is critical to the city’s ability to capitalise on the growth it is forecast to experience, and this continued strong performance builds on work undertaken in 2016-17 to develop and enhance the service. 63.6% of major planning applications and 94.9% of householder planning applications were determined within the respective timescales.

### Parks, Sports and Harbour Authority

The service has, through the application of robust management plans, been able to maintain and increase the number of Green Flag status parks and continuing to record very good levels of customer satisfaction.

We have assessed ourselves as making satisfactory progress in this Improvement Objective.

## **What is our plan for the future?**

The Council wants to ensure that development across the city is carried out in a sustainable, resilient and inclusive manner. The Council wants to create an outstanding capital city with an attractive, vibrant city centre, and liveable neighbourhoods with high quality housing, great parks and open spaces, and excellent transport links. This will mean securing investment in Cardiff's transport infrastructure and services allowing people to travel around the city and the city region in a clean and convenient way.



## Improvement Objective – All young people in Cardiff make a successful transition into employment, education or training

### What do we want to achieve?

The ultimate goal of the 'Cardiff Commitment' is to ensure that all young people in the city of Cardiff secure a job, post education and training, that allows them to be the best that they can be; a job that unleashes and grows their own talents and skills and enables them to contribute fully to the prosperity of the city. At the same time, the Cardiff Commitment seeks to drive up skills development and educational attainment in the city, by connecting young people, schools and wider educational institutions with business and employers. Working in partnership, the Council is seeking to create a coalition for change that commits to making a real difference to young people's lives and future independence. Delivery outcomes are:

- Higher youth employment and economic activity.
- A better skilled and qualified labour market to meet the needs of growing economy.
- Improved educational achievement for learners.
- Reduced numbers of young people 'Not in Education, Training or Employment'

### How have we performed in 2016-17 (Academic year 2015-16)

| Performance Indicator   | Result AY 2014-15 | Result AY 2015-16 | Target AY 2015-16 | Have we improved? |
|---|-------------------|-------------------|-------------------|-------------------|
| % of year 11 leavers who made a successful transition to Education, Employment or Training      | 95.5%             | 97%               | 96.5%             | Yes               |
| % of year 13 leavers who made a successful transition to Education, Employment or Training      | 97%               | 96.51%            | 97%               | Maintained        |
| % of young people in Cardiff schools achieving a recognised qualification by the end of year 11 | 99.5%             | 99%               | 99.5%             | Maintained        |

## What are our key achievements during 2016-17?

In the academic year 2015-16, there was a further increase in the numbers of young people leaving school at the end of Year 11 who made a positive transition to ongoing education, employment or training. 97% of year 11 leavers made a successful transition to Education, Employment or Training. This represents an improvement from 91.2% in 2010.

This improvement in outcomes is attributable to several factors, including:

- More effective identification and tracking of young people at risk of becoming NEET
- Improved youth support and mentoring services
- Partnership working with work based learning providers to align course start dates
- Stronger information sharing arrangements between partner agencies
- More robust school engagement.

A new Junior Apprenticeships programme was launched in September 2016, in partnership with Cardiff and Vale College, to offer a full time career focused learning programme for a select number of 14 – 16 year old students in Cardiff. The programme is the first of its kind in Wales and offers six different vocational pathways in line with key economic priority sectors.

During the course of the year, the Council made significant progress with a wide range of partners to shape the 'Cardiff Commitment'. In December 2016 the Council hosted an event in City Hall that welcomed over 70 individuals from the private, public and voluntary sectors, Careers Wales, Job Centre Plus, Welsh Government and our Schools to share ideas and opportunities. Over 40 employers attended a follow-up event in February 2017 and, more recently, employers joined a workshop at Atradius in Cardiff Bay to focus on priorities for action. A high-level Strategic Leadership Group, drawing on senior figures in all sectors of the local economy, has been formed.

## What is our self-assessment of our performance?

Although there was a 1.5ppt reduction in the number of Year 11 leavers not in Education, Employment or Training, this figure (100 young people out of a cohort of 3372) is still too high. Whilst there has been good progress during the year in developing the Cardiff Commitment, with significant growth in the number and quality of school-employer links, progress overall remains satisfactory.

We have assessed ourselves as making satisfactory progress in this Improvement Objective.

## What is our plan for the future?

The Council will continue working with our partners to deliver 'The Cardiff Commitment'. In the short to medium term this will require us to:

- Modify and improve the vulnerability assessment profile tool;
- Improve the co-ordination of post-16 curriculum options, training and pathways to work;
- Enhance relationships between schools and employers to increase access to opportunities for young people;
- Secure work placements and increase the number of traineeships and apprenticeships in the Council.



## Improvement Objective – Communities and partners are actively involved in the design, delivery and improvement of highly valued services

### What do we want to achieve?

Responding to the budget and demand pressures that the Council faces means the need to think differently about how services are delivered. The Council will need to increase partnership working, co-locate some of its services within community facilities, share assets and work with residents and communities to provide services that are more integrated.

It also means developing and implementing alternative models for delivering services, reducing costs whilst maintaining the quality of service.

### How have we performed in 2016-17

| Performance Indicator   | Result 2015-16 | Result 2016-17 | Target for 2016-17 | Have we improved? |
|---|----------------|----------------|--------------------|-------------------|
| Customer satisfaction with Council services                       | 69%            | 68%            | 80.8%              | Maintained        |
| % of municipal waste collected and prepared for reuse or recycled | 58.17%         | 58.12%         | 60%                | No                |
| % satisfaction with Hubs  | 99%            | 99%            | 90%                | New Indicator     |
| The number of visitors to libraries and hubs                      | 3,068,228      | 3,241,038      | 3,000,000          | Yes               |

## What are our key achievements during 2016-17?

During 2016-17, the Council continued to progress in developing new ways of delivering its services, and the results of the annual Ask Cardiff survey show that **80.1% of respondents support the Council in exploring new ways of working with partner organisations** to improve services and deliver efficiencies. This result is an increase on the previous year of 68.4%.

Whilst the results of the Ask Cardiff survey show a very small decline in satisfaction with Council services, the results of the National Survey for Wales paints a very positive picture with **Cardiff ranking 3<sup>rd</sup> place for high quality services**. 57% of adults in Cardiff stated that they felt the Council provides high quality services; this result is just behind Conwy (61%) and Ceredigion (58%).

Furthermore, results from the Ask Cardiff survey show that **73% of respondents agreed that public services in Cardiff are good** and this trend shows a continuing increase in satisfaction from 65.6% in 2014 and 67.5% in 2015. **45.9% of respondents agreed that the Council offers good value for money**, which again shows an improving trend with 36.6% in 2014 and 35.2% in 2015.

The Community Hubs programme aims to improve face-to-face customer services by integrating and joining up service delivery into better quality facilities and this programme continued to grow throughout 2016-17. The Council opened **three new community hubs**, which means there are now 11 hubs open across Cardiff providing advice and support tailored to local community needs. Work progressed on the Powerhouse Hub and a contractor was appointed for the St Mellons Hub extension so that services to local communities can continue to be provided in the best way. In 2016-17 there were **3,241,038 visits to our hubs and libraries**, an additional 172,810 visits when compared to the previous year. Overall, 99% of visitors to Hubs were satisfied with their visit, and this exceeded the set target of 90% satisfaction.

To continue the sustainable provision of our services, Community Asset Transfers were completed for Llanedeyrn Play Centre to Cardiff Scouts group and Ely Play Centre to Ely Garden Villagers. The Council received interest in relation to Llanrumney Play Centre and Seren Community Group has a licence to operate Splott Play Centre. A lease was arranged for Riverside Play Centre with South Riverside Commercial Development Committee.

A partnership with Greenwich Leisure Limited (GLL) commenced on 1<sup>st</sup> December 2016 to take over the running of eight Council leisure centres to ensure the future provision of these services in Cardiff.

During 2016-17, the establishment of Commercial and Collaboration Services and Neighbourhood Services was approved by Cabinet, to improve service delivery and increase commercial capacity. Commercial and Collaboration Services includes Recycling Waste Management, Fleet Services, Facilities Management and Projects Design and Development. In relation to Fleet Services, we received approval to install the Civica Tranman fleet management system and progressed the vehicle utilisation programme, which has a target of achieving £400,000 of savings. Our recycling waste services have achieved early progress in a number of areas including the development of new technologies, an increase in commercial waste income, investment in our staff through essential skills training, and a reduction in agency spend by 13%. Furthermore, the service has **increased collaboration with other local authority partners** and processes / handles recyclables for three other local authorities.



## What is our self-assessment of our performance?

Recycling strategies continue to work to maintain recycling performance rates and increase waste recycling services such as mattress and bulky item collections. However, the Council's ability to meet the Welsh Government's statutory targets to recycle or reuse 64% of all waste by 2019-20, rising to 70% by 2024-25, will be influenced by changes in the global recycling market, Household Waste Recycling Centre (HWRC) performance, kerbside performance and service demand increases due to a growth in the population of Cardiff.

We have assessed ourselves as making satisfactory progress in this Improvement Objective.

## What is our plan for the future?

The Council is committed to continuing to involve Cardiff citizens in the design, delivery and development of Council services. As part of a new approach to locality working, the Council will hold local roadshows in each neighbourhood area. The aim will be to showcase what is already available in the locality, provide opportunities for existing services, businesses and partners to network, meet the community and promote their work. These events will also provide an opportunity for residents, partners and elected Members to come together to discuss priorities, identify issues and develop solutions alongside services.

- Adopt a Digital First approach to Council services.
- Get people and communities more involved in the decisions we take by having an open conversation with citizens about how we deal with the budget deficit, how we run our services and through increased broadcasting of Council meetings.
- Launch a new Social Responsibility policy to make sure that local people and local communities benefit when the Council spends money on goods and services.



## Improvement Objective – The City of Cardiff Council has effective governance arrangements and improves performance in key areas

### How have we measured our progress?

The Corporate Assessment undertaken by the Wales Audit Office in 2014 identified areas where governance arrangements could be strengthened and emphasised the importance of effective performance management in ensuring that the Council's priorities are delivered. The Council wants to continue to strengthen its governance arrangements by working in partnership with the Wales Audit Office and other external partners to secure improved performance of Council services.

### How have we performed in 2016-17

| Performance Indicator   | Result 2015-16 | Result 2016-17 | Target for 2016-17 | Have we improved? |
|---|----------------|----------------|--------------------|-------------------|
| % of National Indicators that are in the top two quarters                             | 52%            | 60%            | 50%                | Yes               |
| % of National Indicators that met their set target                                    | 48.78%         | 48%            | 60%                | Maintained        |
| % of National Indicators that show an improving trend                                 | 67.50%         | 52%            | 75%                | No                |
| The number of working days lost due to sickness absence                               | 9.56           | 10.77          | 8.5                | No                |
| % of Personal Performance & Development Reviews completed for permanent staff         | 90%            | 94%            | 95%                | Yes               |
| % of middle managers at Grade 7 and below who completed the Cardiff Manager Programme | New Indicator  | 55.45%         | 50%                | New Indicator     |

## What are our key achievements during 2016-17?

Following the publication of the Wales Audit Office Corporate Assessment Follow-on Report in February 2016, the Council implemented **improvements to its decision-making framework, strengthened its Scrutiny function, and reviewed member development and training**. The webcasting of Council meetings was expanded to promote public understanding of the Council's functions and to support democratic engagement. The Council took action to address vacancies on its scrutiny committees leading to a reduction in the number of elected member vacancies and supporting participation and transparency of democratic and decision-making processes.

The Council continued to build on progress to **strengthen performance management arrangements** by developing a performance management strategy and framework to set out the practice, processes and requirements that all staff should adopt when managing performance. The new performance management strategy provides the overarching statement of what performance management is within the Council and how this approach will help to achieve the Council's priorities. The focus over 2016-17 was to ensure there was a continuation of improvement and that performance management arrangements are fit for purpose. These improvements included the introduction of a Performance Support Group consisting of senior management to challenge and support required improvements in performance. Improved planning and reporting arrangements were also established to provide a clearer line of sight and identification of required improvements.

Unfortunately, the set target in relation to the number of days lost due to sickness absence was not met and the result shows an increase in the number of days lost per person to 10.77 when compared to 9.56 in the previous year. The amount of return to work interviews that were conducted following periods of sickness absence remained strong, however, and long-term absence levels accounted for 64% of the Council's sickness absence. As a result, the Council enlisted the help of APSE to conduct an initial analysis of sickness absence data, coupled with comparator data through the Association of Public Service Excellence (APSE) Performance Networks benchmarking service, and the Council will work with them over the 2017-18 financial year to **find potential solutions to tackle the causes of sickness absence**.

The Council also undertook further work in relation to Human Resources arrangements and created a **new Personal Review scheme** for all staff, designed to allow staff to have more meaningful conversations with their manager, and better access to learning and development opportunities. To develop this new process engagement events were held with senior managers, staff and trade union representatives, and feedback sought from the Council's Ambassadors Group, Senior Management Forum, Employee Roadshows and other employee groups.

## What is our self-assessment of our performance?

Between February and May 2017, the Wales Audit Office (WAO) reviewed the Council's progress in addressing the 14 proposals for improvement given by WAO in February 2016. The WAO concluded that the Council had demonstrated sufficient progress in implementing the 2016 proposals. The WAO also undertook inspection work in relation to governance and found that the Council has a clear framework for significant service change supported by improving performance, but arrangements could be more consistently applied. Progress was observed in Human Resources process and strategies, Asset Management, Financial Planning and Information Technology. However, it was noted that rates of completion of mandatory training in information confidentiality and data protection are declining. The WAO report made no further proposals for improvement. We have assessed ourselves as making satisfactory progress in this Improvement Objective.

### **What is our plan for the future?**

The Council wants to continue to develop its approach to performance management, to ensure that the right level of performance information is available to the right groups at the right time to enable evidence-led decision-making and continued improvement in key service areas.

The Council wants to further reduce sickness absence by March 2018 through continued monitoring, compliance and support for employees and managers, and ensure that the Council's decision-making process is timely, inclusive, open, honest and accountable.



## Improvement Objective – The City of Cardiff Council makes use of fewer, but better, buildings

### What do we want to achieve?

Cardiff Council own a large property estate with a current value of around £1bn. This includes over 500 operational properties used to deliver Council services and around 500 assets retained for investment purposes.

The cost of operating the property estate is the second largest call on the Council's budget, after staff, at circa £50m per annum, including planned maintenance. There is also a growing maintenance backlog in excess of £100m.

The focus for the estate is reducing the cost of ownership of operational property through rationalisation and by improving the quality of the buildings that we retain. This in turn will deliver revenue savings, capital receipts and provide better buildings for our services to operate from.

### How have we performed in 2016-17

| Performance Indicator   | Result 2015-16       | Result 2016-17       | Target for 2016-17 | Have we improved? |
|---|----------------------|----------------------|--------------------|-------------------|
| Reduce the Gross internal area of buildings in operational use  | 3.5% reduction       | 7.9% reduction       | 4.2%               | Yes               |
| Reduce the total running cost of occupied buildings   | 2.7% reduction       | 9.2% reduction       | 4.2%               | Yes               |
| Reduce the maintenance backlog  | £4,400,000 reduction | £8,892,951 reduction | £4,500,000         | Yes               |
| Revenue savings delivered through property rationalisation  | £1,000,000           | £3,322,009           | £1,600,000         | Yes               |
| Capital receipts delivered through property rationalisation   | £6,700,000           | £6,019,500           | £7,300,000         | No                |
| % change in the average Display Energy Certificate score within our public buildings over 1,000 square metres | 5.8%                 | 3.8%                 | 3%                 | No                |

## What are our key achievements during 2016-17?

The Council is on target to achieve its 5-year Corporate Property Strategy targets by April 2020. This directly supports the objective of having fewer, but better buildings, and the ambition to make the property estate work better for our services, partners and communities. The Corporate Property Strategy is structured around key areas of the Council's estate, namely: schools, office accommodation, depots and community buildings. There are three key principles of the strategy:

**Modernisation** – Improving the quality of the Council's estate

**Rationalisation** – Reducing the number of buildings managed and occupied by the Council

**Collaboration** – Improving the way the Council works across service areas and with public sector partners to join up service delivery in communities

The Council delivered its annual Corporate Asset Management Plan (CAMP) for 2016-17. The CAMP is an annual plan with explicit targets used to progress the aims and objectives of the Corporate Property Strategy. It summarises what was achieved the year before, what is planned for the year ahead, and provides financial targets relating to the reduction in the size and cost of the estate. The targets set out in the CAMP included reducing the maintenance backlog, reducing running costs and generating capital receipts.

During 2016-17 some key transactions and relinquishments have been completed leading to the following achievements:

- 7.9% reduction in Gross Internal Area (617,593 sq. ft.).
- 9.2% reduction in running costs of occupied Council buildings.
- £8.8m reduction in maintenance backlog.
- £6m in capital receipts. Setting annual targets for capital receipts is problematic due to significant external factors which affect timescales. The Council has therefore established a five-year plan and is well on track to exceed the five-year target.
- Completed the assignment of Global Link to the Health Board which realised revenue savings of nearly £3m.
- Completed 15 Community Asset Transfers (CATs) including, Maes y Coed Community Centre, Llanedeyrn Play Centre and Insole Court- the largest CAT in Wales.
- The completion of the Leisure alternative delivery model project ensured significant savings were realised in regards to running costs, operational floor space and maintenance backlog.
- Strategic Estates became a key stakeholder in the Council's Corporate Landlord Programme which is designed to create a single and central point of contact to lead on all non-domestic property matters across the estate.

In addition the Council continued to strengthen its relationship with other public sector partners by sharing occupation of buildings and commencing the delivery of a number of projects that will deliver public sector hubs and relinquish many old, costly buildings.

In respect of the investment estate a clear commercial strategy and new governance arrangement was established and will improve the management and rental income yield for the investment estate going forward. Regular Investment Estate Board meetings were established to manage implementation of the strategy plan and targets.

## What is our self-assessment of our performance?

The Council has continued to get a better understanding of the estate in terms of occupancy, suitability and statutory compliance, which is critical to progress modernisation and identify rationalisation opportunities.

The Strategic Estates team was restructured to ensure there is a team in place to deliver the ambitious and commercial transactions over the next few years.

The Council worked very closely with service area partners to further analyse the use of operational buildings, understand service requirements, identify surplus assets and identify opportunities to maximise the efficient use of our properties. This analysis of the operational portfolio and alignment with service need will inform Corporate Asset Management Plan (CAMP) targets for 2017/18 and future years.

We have assessed ourselves as making satisfactory progress in this improvement objective.

## What is our plan for the future?

Improving the way in which the Council manages its property, rationalising the estate and planning for the future remains a key priority. In order to best achieve this and meet the goals of the Corporate Property Strategy, projects have been instigated via Corporate Landlord that will enhance our ability to critically analyse estate performance and understand the Council service and property requirements over the short, medium and long term. At the heart of this strategy will be the integration of the work to modernise the schools estate with a view to increasing potential for joined-up community provision.

The Council is carrying out a thorough audit of the whole estate to understand occupancy and suitability, and a condition survey programme for the entire estate has been commissioned in order to gain a true understanding of the maintenance requirement and cost. This in turn will help focus on reducing the cost of ownership of operational property through identification of rationalisation opportunities and also opportunities for investment and modernisation of the buildings that we retain. In addition the Council will have a more intelligent approach in terms of how its estate is maintained and how works are prioritised.

These projects will further support the Council's ability to plan and deliver collaboration initiatives with public sector partners as we seek to join up public services and explore partnership projects.

The Council is continuously developing and considering ways in which it can deliver a better and more commercial estates solution to the Council on a number of fronts, for example, Community Asset Transfers, the investment estate and our disposals programme.

## How we measure up

| Reference  | Success Indicators   | 2015-16<br>Outturn            | 2016-17<br>Target | 2016-17<br>Outturn        | Wales<br>Average          | Target<br>Met      | Trend         | Cardiff's Rank<br>(out of 22 Local Authorities) |
|--|--|-------------------------------|-------------------|---------------------------|---------------------------|--------------------|---------------|---|
| CAM/037  | The percentage change in the average Display Energy Certificate (DEC) score within local authority public buildings    | 5.3%                          | 3.0%              | 3.80%                     | 1.9%                      | Met target         | Declined      | 8   |
| <p>There was a large variation in the number of Display Energy Certificates (DECs) for each of the reporting years. The main reasons there were fewer DEC's included in 2015-16 compared with 2014-15 are related to:</p> <ul style="list-style-type: none"> <li>• No responses from 48 schools which delayed DEC's</li> <li>• Site plans not being up to date</li> <li>• Missing energy data due to electricity billing problems and no provision for direct readings</li> </ul> <p>A Number of DEC's not required as they were valid for 10 years</p>  |  |                               |                   |                           |                           |                    |               |   |
| HR/002   | The number of working days, per full-time equivalent local authority employee, lost due to sickness absence            | 9.6                           | 8.5               | 10.77                     | 10.3                      | Didn't meet target | Declined      | 15  |
| <p>This was over the Council wide target figure of 8.5 FTE days lost per person. Until the outturn for 2016/17 there had been decreasing sickness levels since 2012/13. Return to Work Interview (RTW) performance remained strong, however, Long Term Absence levels accounted for 65% of the Council's sickness. As a result of the outturn position the Chief Executive wrote to all managers asking for renewed focus and emphasised the importance of making management of absence a priority. A number of changes are to be made to the RTW form and improvements to the recording of the reasons for absence. The Association of Public Sector Excellence (APSE) have also been engaged to provide an independent review of our policy and its application, as well as conduct an initial analysis of the data we already hold, coupled with comparator data they hold through the APSE Performance Networks benchmarking service and to hold a number of focus groups.</p> |  |                               |                   |                           |                           |                    |               |   |
| EDU/002i   | All pupils that leave compulsory education, training or work based learning without an approved external qualification | 0.5%<br>(not including EOTAS) | 0.5%              | 1.0%<br>(including EOTAS) | 0.9%<br>(including EOTAS) | Didn't meet target | Not available | 14  |
| Source- All Wales Core Data Set January 2016:  |  |                               |                   |                           |                           |                    |               |   |



| Reference  | Success Indicators   | 2015-16<br>Outturn            | 2016-17<br>Target | 2016-17<br>Outturn         | Wales<br>Average | Target<br>Met      | Trend      | Cardiff's Rank<br>(out of 22 Local Authorities) |
|--|--|-------------------------------|-------------------|----------------------------|------------------|--------------------|------------|---|
| Cardiff has a slightly higher proportion of pupils not achieving a qualification than across Wales as a whole. For the first time in 2015-16, the performance of EOTAS (educated other than at school) pupils has been included in the local authorities' and national figures. This has contributed to a slight increase in the figure since 2014-2015.   |  |                               |                   |                            |                  |                    |            |   |
| EDU/002ii  | Pupils in local authority care that leave compulsory education, training or work-based learning without an approved external qualification | 0.0%<br>(not including EOTAS) | 0.0%              | 0.0% (not including EOTAS) | 1.5%             | Met target         | Maintained | 1   |
| <p><i>Source – Local Government Data Unit Performance release September 2017:</i></p> <p>All looked after children educated in a Cardiff school left year 11 having achieved a recognised qualification in 2015-16. The Looked After Education Team are becoming more effective in working with all partners including the specialist teacher teams to promote the early identification of, and support for, children in care who are at risk of underachievement. The introduction of the central tracker means that more informative data is available and is being used effectively to identify underachievement at an early stage.</p> |  |                               |                   |                            |                  |                    |            |   |
| EDU/003  | Pupils assessed at the end of Key Stage 2 achieving the Core Subject Indicator   | 87.8%                         | 89.62%            | 89.5%                      | 89.0%            | Didn't meet target | Improved   | 8   |
| There has been an improvement of 1.7percentage points in the percentage of pupils reaching the expected level at Key Stage 2 in 2015/16. The improvement is greater than the national improvement (0.9 percentage point). The proportion of pupils achieving the CSI is now 89.5%, the corresponding national figure is 88.6%. The lowest performing primary schools at Key Stage 2 in 2015 all improved their performance in 2016. Only one primary school now has below 70% of its pupils attaining the CSI at the end of Key Stage 2.   |  |                               |                   |                            |                  |                    |            |   |
| EDU/004  | Pupils assessed at the end of Key Stage 3 achieving the Core Subject Indicator   | 83.4%                         | 85.0%             | 86.6%                      | 86.1%            | Met target         | Improved   | 11  |
| The proportion of pupils reaching the expected level at this Key Stage 3 continues to increase and the rate of improvement has increased again this year. The proportion of pupils achieving the CSI was 86.6%, an improvement of 3.2 percentage points on the previous figure. The improvement was greater than the national improvement of 2.0 percentage points.  |  |                               |                   |                            |                  |                    |            |   |
| EDU006ii   | Pupils assessed, receiving a Teacher Assessment in Welsh   | 11.8%                         | 11.90%            | 13.0%                      | 18.0             | Met target         | Improved   | 11  |

| Reference   | Success Indicators   | 2015-16<br>Outturn | 2016-17<br>Target | 2016-17<br>Outturn | Wales<br>Average | Target<br>Met      | Trend    | Cardiff's Rank<br>(out of 22 Local Authorities) |
|---|--|--------------------|-------------------|--------------------|------------------|--------------------|----------|---|
|   | at Key Stage 3   |                    |                   |                    |                  |                    |          |   |
| Between academic years 2011/12 (2012-13) and 2015/16 (2016-17), there has been an increase of 985 pupils in Welsh-medium education across the city. By 2020, this is expected to rise by a further 798 pupils, a projected increase of total pupils (aged 4-18) taught through the medium of Welsh to 15%. This has been in part a result of population increases and a result of the expansion of provision within the Welsh-medium sector and the establishment of new schools.   |  |                    |                   |                    |                  |                    |          |   |
| EDU/011   | The average point score for pupils aged 15   | 497.2              | 525               | 510.6              | 531.0            | Didn't meet target | Improved | 16  |
| <p>In 2016-17 there was an improvement of 13.8 points in the average points score. However, performance is below the Welsh average by 21 points. This measure is due to change for 2016/17 academic year:</p> <ul style="list-style-type: none"> <li>The score will be based on nine rather than eight qualifications</li> <li>Five of the nine qualifications used to calculate the score will be: <ul style="list-style-type: none"> <li>- GCSE English Language or GCSE Welsh Language (whichever is the learner's best, literature will not count)</li> <li>- GCSE Mathematics – Numeracy and GCSE Mathematics</li> <li>- The learner's best two science qualifications (from 2018, their best two science GCSEs)</li> </ul> </li> <li>The other four qualifications will be the learner's best (highest grade) other qualifications. These could be GCSEs, vocational qualifications (maximum of two GCSE equivalents) or the Skills Challenge Certificate (the core of the new Welsh Baccalaureate).</li> </ul> |  |                    |                   |                    |                  |                    |          |   |
| EDU/015a  | Final statements of Special Education Need issued within 26 weeks                        | 62.0%              | 65%               | 63.3%              | 77.4%            | Didn't meet target | Improved | 17  |
| There has been an increase in the number of the pupils with complex needs in Cardiff. Additionally, there has been an increase in the number of requests for assessments for young people with complex Behavioural, Emotional and Social Difficulties.  |  |                    |                   |                    |                  |                    |          |   |
| EDU/015b  | Final statements of Special Education Need issued within 26 weeks (excluding exceptions) | 94.6%              | 98.0%             | 97.1%              | 95.4%            | Didn't meet target | Improved | 18  |
| The outcome for the calendar year 2016 shows a 2.5 percentage point improvement in performance compared to 2015. The target for 2016 has not been met. The number of requests for statutory assessment has been increasing significantly since 2013, and there was a further increase in the number of requests received during the calendar year 2016 compared to 2015, which resulted in a 16% increase in the number of new statements issued in 2016 compared to the previous year. 248 final statements issued during the calendar year 2016; 3 of these were issued beyond the 26 week time limit where no exceptions could be applied.   |  |                    |                   |                    |                  |                    |          |   |
| EDU/016a  | Primary School Attendance  | 95.2%              | 95.4%             | 95.0%              | 94.9%            | Didn't meet        | Declined | 9   |

| Reference   | Success Indicators  | 2015-16<br>Outturn | 2016-17<br>Target | 2016-17<br>Outturn | Wales<br>Average | Target<br>Met      | Trend    | Cardiff's Rank<br>(out of 22 Local Authorities) |
|---|---|--------------------|-------------------|--------------------|------------------|--------------------|----------|---|
|   |   |                    |                   |                    |                  | target             |          |   |
| Attendance in primary schools fell very slightly to 95% which was a 0.02 percentage point decrease on the previous year. This is in line with the Welsh average. Overall, 48.4% of primary schools achieved an attendance rate of over 95% and 22.1% of schools achieved attendance of 96% or above.  |   |                    |                   |                    |                  |                    |          |   |
| EDU/016b  | Secondary School Attendance   | 93.9%              | 95.0%             | 94.5%              | 94.2%            | Didn't meet target | Improved | 7   |
| The 2016-17 (academic year 2015-16) overall attendance figure for secondary schools was 94.5%, which was a 0.6 percentage point improvement on the previous year. This is above the Welsh average of 94.2% and places Cardiff 7th out of the 22 local authorities in Wales for secondary school attendance compared with 11th in 2015-16 (academic year 2014-15).   |   |                    |                   |                    |                  |                    |          |   |
| EDU/017   | Pupils who achieved the Level 2 threshold including a GCSE grade A*-C in English or Welsh first language and mathematics – Level 2+ | 59.3%              | 65.0%             | 62.5%              | 60.7%            | Didn't meet target | Improved | 8   |
| The improvements seen at Key Stage 4 over the last few years are continuing. There has been an improvement of 3.2 percentage points to 62.5% in the Level 2+ threshold, placing Cardiff above the Welsh average of 60%. Four schools now have less than half their cohort of pupils attaining the level 2+ threshold, compared to eight in 2014-15.   |   |                    |                   |                    |                  |                    |          |   |
| LCL/001b  | The number of visits to public libraries  | 8660               | 8467.5            | 9050               | 5449             | Met target         | Improved | 1   |
| The result for the number of visits to Cardiff public libraries during the year for the reporting period 2016/17 has improved against the previous year. The result for 2015/16 was 8,660 and the result for 2016/17 is 9,050. This represents a significant improvement and can be accounted for in the physical footfall rather than the virtual footfall figures. The continued roll out of the hub strategy has seen enhanced facilities open in Llandaff North and Splott in this reporting year. In addition Cardiff Libraries continues to deliver core Universal digital, learning, information, reading and children's (which includes the Summer Reading Challenge) offers to citizens ensuring that relevant events and activities are accessible in all locations which has attracted additional physical visits. |   |                    |                   |                    |                  |                    |          |   |
| LCS/002b  | The number of visits to local authority sport and leisure centres   | 8028               | 9647              | 7263               | 8357             | Didn't meet target | Declined | 20  |
| Throughout 2016-17, a procurement process was underway to secure an external leisure operator to oversee the management and operation of 8 leisure centres in Cardiff. During this time, the Council was unable to invest further in facilities and replace gym equipment, which has been attributed to a gradual decline in attendance at  |   |                    |                   |                    |                  |                    |          |   |

| Reference   | Success Indicators  | 2015-16<br>Outturn | 2016-17<br>Target | 2016-17<br>Outturn | Wales<br>Average | Target<br>Met      | Trend    | Cardiff's Rank<br>(out of 22 Local Authorities) |
|---|---|--------------------|-------------------|--------------------|------------------|--------------------|----------|---|
| these leisure centres. Strong competition from private companies and the delayed opening of the redeveloped Eastern Leisure Centre and new STAR Hub also affected attendance levels. However, there will be significant investment in leisure facilities within the next few years.   |   |                    |                   |                    |                  |                    |          |   |
| PLA/006b  | The number of additional affordable housing units provided during the year as a percentage of all additional housing units provided during the year | 64%                | 20%               | 52%                | 35%              | Met target         | Declined | 5   |
| Performance in this indicator continues to be well above the Wales average of 35% and we have achieved a 29% increase in affordable housing delivered in Cardiff. (Please note that this indicator is not comparable to those affordable housing indicators as contained within the Local Development Plan Annual Monitoring Report.)   |   |                    |                   |                    |                  |                    |          |   |
| PSR/009   | Food establishments which are 'broadly compliant' with food hygiene standards   | 93.00%             | 92.00%            | 90.74%             | 95.16%           | Didn't meet target | Declined | 21  |
| This measure provides an indication of how well a food business complies with food hygiene legislation. Improvements made to the inspections programme of lower risk premises has enabled the service to increase the number of inspections carried out on D rated premises within the City. This represents an additional 300 businesses inspected compared to last year. Many of these low risk businesses have not been inspected for 3- 5 years and during this time, in some instances, standards were found to have deteriorated which has resulted in food hygiene ratings being downgraded and an increase in risk category. This has inevitably impacted negatively on the overall number of food premises rated 3-5. As the SRS visits new premises the inspection process will drive up standards for the future. However, ultimately, the score is a reflection of business performance and not that of the SRS. Premises are only deemed to be broadly compliant if specified risk scores are achieved for cleanliness, structural issues, and confidence in the management of the business. |   |                    |                   |                    |                  |                    |          |   |
| PSR/002   | The average number of calendar days taken to deliver a disabled facilities grant  | 247                | 220               | 200                | 225              | Met target         | Improved | 7   |
| The Council continues to invest in and deliver a significant number of adaptations as a key part of the preventative services agenda to enable people to remain independent in their own homes.   |   |                    |                   |                    |                  |                    |          |   |
| PSR/004   | Private sector  | 2.68%              | 6.60%             | 0.76%              | 8.79%            | Didn't             | Declined | 21  |

| Reference  | Success Indicators  | 2015-16<br>Outturn | 2016-17<br>Target | 2016-17<br>Outturn | Wales<br>Average | Target<br>Met | Trend    | Cardiff's Rank<br>(out of 22 Local Authorities) |
|--|---|--------------------|-------------------|--------------------|------------------|---------------|----------|---|
|  | dwellings, that had been vacant for more than 6 months, that were returned to occupation through direct action by the local authority |                    |                   |                    |                  | meet target   |          |   |
| The creation of the Shared Regulatory Service (SRS) caused an unintended hiatus in this area of work. Reports to the Scrutiny Committee have explained the reasons behind this break in service delivery and confirmed consequently that the SRS has committed an additional resource dedicated to the work of bringing empty properties back into beneficial use. Following a recruitment process a new Officer has been appointed and this will allow a resumption of proactive work by the SRS in 2017/18 and will augment the work undertaken within Cardiff Council through the running of the Houses into Homes loan scheme to improve progress against the indicator. |   |                    |                   |                    |                  |               |          |   |
| STS/005b   | Highways inspected of a high or acceptable standard of cleanliness  | 90.6%              | 90.0%             | 90.5%              | 96.6%            | Met target    | Declined | 20  |
| Additional measures are in place to further improve performance in this area. The Love Where You Live Campaign includes additional blitz operations on top of normal street cleansing, as well as working with community groups and volunteers so we can create a sense of pride in the communities that we live in.   |   |                    |                   |                    |                  |               |          |   |
| STS/006  | Fly tipping incidents cleared within 5 working days   | 97.91%             | 90.0%             | 98.35%             | 95.37%           | Met target    | Improved | 4   |
| During the past year the enforcement team has become part of a new delivery model for neighbourhood services and as such a number of improvements have been made to processes to streamline operations and more accurately and proactively report fly-tipping incidents, and clear within stipulated timescales, this together with the recruitment of new staff has increased the teams capacity to meet and exceed set targets.  |   |                    |                   |                    |                  |               |          |   |
| THS/007  | Adults aged 60+ who hold a concessionary bus pass   | 96.5%              | 94.0%             | 98.9%              | 87.0%            | Met target    | Improved | 1   |
| In 2016 there were 61,843 over 60 bus passes in circulation in Cardiff which is 17% of the overall population in Cardiff. This is a 4% increase in the number of passes in circulation from the previous year 2015, although it should be noted that we have our data cleansed every 2 years and the last data cleanse took place in 2015. The overall population of Cardiff has also increased by 1% since the previous year.   |   |                    |                   |                    |                  |               |          |   |
| THS/012  | Principal (A) roads,  | 5.2%               | 7.0%              | 6.1%               | 10.7%            | Met           | Declined | 8   |

| Reference  | Success Indicators   | 2015-16<br>Outturn | 2016-17<br>Target | 2016-17<br>Outturn | Wales<br>Average | Target<br>Met      | Trend    | Cardiff's Rank<br>(out of 22 Local Authorities) |
|--|--|--------------------|-------------------|--------------------|------------------|--------------------|----------|---|
|  | nonprincipal/classified (B) roads and non-principal/classified (C) roads that are in overall poor condition  |                    |                   |                    |                  | target             |          |   |
| In 2016-17 Cardiff applied the provisions for the programming and report of Scanner Surveys as required by the national guidance (100% of A and B roads in one direction/50% of A and B roads in both directions, 50% of C roads in one direction or 25% of C roads in both directions) plus ad hoc sections of the road network, in comparison to 2015-16 when budget allocations were made that enabled us to survey 100% of A, B and C roads in both directions – i.e. over and above the requirements of the guidance. |  |                    |                   |                    |                  |                    |          |   |
| WMT/004  | Municipal waste collected by local authorities sent to landfill  | 7.51%              | 25.0%             | 1.59%              | 9.50%            | Met Target         | Improved | 4   |
| Project Gwyrdd energy recovery facility for residual waste is maintaining a high performance. Limited materials continuing to landfill from other waste streams.   |  |                    |                   |                    |                  |                    |          |   |
| WMT/009  | Municipal waste collected by local authorities and prepared for reuse and/or recycled, including source segregated biowastes that are composted or treated biologically in another way | 58.17%             | 60.0%             | 58.12%             | 63.81%           | Didn't meet target | Declined | 20  |
| Recycling strategies continue to work to maintain and improve the recycling performance. The impacts of global markets and commercial growth have influenced the overall recycling position.   |  |                    |                   |                    |                  |                    |          |   |

## Appendix A

### Further information in relation to the Statutory Improvement Report 2016/17

This appendix is designed to give some additional narrative context around the factors influencing the targets set for Performance Indicators and the categorisation of performance against those Performance Indicators included within the 2016/17 Statutory Improvement Report.

This recognises that taken at face value some of the targets may appear out of line in relation to other data included in the report. However, there are explanations behind each target set, which, for reasons of presentation and readability, could not be fully explained in the main report. Therefore, where it is felt further explanation of the data included in the main report may be necessary, this is provided below.

#### **Every Cardiff School is a good school**

|   |   |
|---|---|
| <b>Primary Attendance</b>   | The 2016/17 (Academic Year 2015/16) target for this KPI appears to have been set at the outturn level from the previous year. This is in fact not the case and the target was set slightly higher than the previous year but this is not visible in the main report as the target figure has been rounded to the nearest percentage point.  |
| <b>% of Schools categorised as Green in the Welsh Government Categorisation Process - Primary</b>   | The presentation of targets and results in the report for this PI could be interpreted as suggesting that a target was set for 16/17 which was below the level of performance achieved in the previous year. The reason behind this is that the target setting process forms part of the corporate planning cycle, which works on a financial year basis while the availability of the performance data works on an academic year basis. The two are not aligned and therefore In this case, when the targets were set the previous year performance data was not available to inform that process. |
| <b>% of Schools categorised as Green in the Welsh Government Categorisation Process - Secondary</b> | The presentation of targets and results in the report for this PI could be interpreted as suggesting that a target was set for 16/17 which was below the level of performance achieved in the previous year. The reason behind this is that the target setting process forms part of the corporate planning cycle, which works on a financial year basis while the availability of the performance data works on an academic year basis. The two are not aligned and therefore In this case, when the targets were set the previous year performance data was not available to inform that process. |
| <b>% of Schools categorised as Green in the Welsh Government Categorisation Process - Special</b>   | The 2016/17 (Academic Year 2015/16) target for this KPI was set significantly higher (14%) than the outturn level for the previous academic year to reflect that there are only seven Special Schools in Cardiff and therefore improvement of one school into the Green category would have represented in an improvement of approximately 14% in relation to this KPI.   |

|   |
|---|
| <b>Looked after Children in Cardiff achieve their potential</b> |
|---|

|  |   |
|--|---|
| <b>% attendance of looked after pupils in primary school</b>   | Performance against this KPI is categorised as 'Maintained' despite the percentage figures indicating a slight improvement. The reason for this is that a small tolerance is used on either side of the previous year's performance level within which Performance is considered to have been maintained rather than Improved or declined. In this case the slight improvement indicated by the figures is captured within this tolerance.  |
| <b>% of looked after children returned home from care during the year</b>  | A target was not set for this indicator in 2016/17. This was a standard approach taken across Social Services in relation to all new indicators for 16/17. It was agreed to treat the first year as a benchmarking year so we could introduce realistic, meaningful and evidence-based targets in year 2.   |
| <b>% of looked after children who have experienced once or more transitional changes of school in the 12 months to 31<sup>st</sup> March</b> | The target set for 2016/17 was lower than actual performance achieved in 2015/16. The reason for this is that the target for 2016/17 was set during the 2015/16 year, so the latest available data was 2014/15 – when the result was 17.8%. The target was set to strive for incremental improvement, but to acknowledge that some young people move for positive reasons (e.g. to secure permanence or return to Cardiff) and that this will have a negative impact on the PI outturn.                   |
| <b>% of children looked after on 31<sup>st</sup> March who have had 3 or more placements during the year</b>                                 | The target set for 2016/17 was lower than actual performance achieved in 2015/16. The reason for this is that the target for 2016/17 was set during the 2015/16 year, so the latest available data was 2014/15 – when the result was 10.5%. The target acknowledged that work to secure permanence for children and to return looked after children to Cardiff where appropriate was continuing and would have a negative impact on the PI outturn, despite some of the moves being for positive reasons. |

|   |
|---|
| <b>Adult learners achieve their potential</b> |
|---|

|   |   |
|---|---|
| <b>The success rate of Adult Community Learners</b>   | The reason that the 2016/17 target for this KPI was set below the performance level for the previous year is that this is a national comparator and the target is set nationally.   |
| <b>% of Into Work service users who feel more 'Job ready' as a result of completing a work preparation course</b> | The reason that the target set for this KPI is below the previous year's performance is that the directorate sets all customer satisfaction targets at 90% as a measure of good performance. The directorate do however strive to achieve customer satisfaction rates of 100% and if performance fell below 90% a service review and action plan would be put into place. |



**People at risk in Cardiff are safeguarded**

|   |   |
|---|---|
| <b>% of Re-registrations on the Child Protection Register during the year</b> | A target was not set for this indicator in 2016/17. This was a standard approach taken across Social Services in relation to all new indicators for 16/17. It was agreed to treat the first year as a benchmarking year so we could introduce realistic, meaningful and evidence-based targets in year 2. |
| <b>% of adult protection enquiries completed within 7 working days</b>        | A target was not set for this indicator in 2016/17. This was a standard approach taken across Social Services in relation to all new indicators for 16/17. It was agreed to treat the first year as a benchmarking year so we could introduce realistic, meaningful and evidence-based targets in year 2. |
| <b>% of children supported to remain living within their family</b>           | A target was not set for this indicator in 2016/17. This was a standard approach taken across Social Services in relation to all new indicators for 16/17. It was agreed to treat the first year as a benchmarking year so we could introduce realistic, meaningful and evidence-based targets in year 2. |

**People in Cardiff have access to good quality housing**

|  |  |
|--|--|
| <b>% of commercial landlords registered with Rent Smart Wales</b>    | The target set for this KPI in 16/17 was significantly lower than the actual level of performance subsequently achieved. The reason for this is that the target was set at the outset of the scheme and there was no baseline data to benchmark against when setting a target for 2016/17. The target set was in line with the financial model for the scheme but in practice this element of the scheme subsequently developed quicker than anticipated and this led to the large overachievement against the target set for 2016/17. |
| <b>Number of landlords in Wales registered with Rent Smart Wales</b> | The target set for this KPI in 16/17 was significantly lower than the actual level of performance subsequently achieved. The reason for this is that the target was set at the outset of the scheme and there was no baseline data to benchmark against when setting a target for 2016/17. The target set was in line with the financial model for the scheme but in practice this element of the scheme subsequently developed quicker than anticipated and this led to the large overachievement against the target set for 2016/17. |
| <b>Additional weekly benefit awarded to clients</b>                  | The target for this KPI in 16/17 was significantly lower than the actual level of performance subsequently achieved. This was a new indicator for 16/17 without baseline data to benchmark against when setting the target.  |

|  |   |
|--|---|
|  | Performance against this objective significantly exceeded the target in 16/17 and the target set for 17/18 was increased using 16/17 performance as a baseline. |
|--|---|

**People in Cardiff are supported to live independently**

|   |  |
|---|--|
| <b>% of new service requests managed within the Independent Living Service</b>                | The target was significantly overachieved against in 16/17. This was a new indicator for 2016/17 and therefore there was not any baseline data to inform target setting. 16/17 data will now be used as the baseline data for any future target setting. |
| <b>% of new cases where alternative solutions were found by an Independent Living Officer</b> | The target was significantly overachieved against in 16/17. This was a new indicator for 2016/17 and therefore there was not any baseline data to inform target setting. 16/17 data will now be used as the baseline data for any future target setting. |

**Cardiff has a high quality city environment that includes attractive public spaces and good supporting transport infrastructure**

|  |   |
|--|---|
| <b>% of highways inspected of a high or acceptable standard of cleanliness</b> | Performance against this KPI is categorised as 'Maintained' despite the percentage figures indicating a slight decline. The reason for this is that a small tolerance is used on either side of the previous year's performance level within which Performance is considered to have been maintained rather than Improved or declined. In this case the slight decline indicated by the figures is captured within this tolerance |
| <b>% of A, B &amp; C roads that are in overall poor condition</b>              | Performance against this KPI is categorised as 'Maintained' despite the percentage figures indicating a slight decline. The reason for this is that a small tolerance is used on either side of the previous year's performance level within which Performance is considered to have been maintained rather than Improved or declined. In this case the slight decline indicated by the figures is captured within this tolerance |

**All young people in Cardiff make a successful transition into employment, education or training**

|  |  |
|--|--|
| <b>% of Year 13 Leavers who made a successful transition into Education, employment or training</b>    | <p>Performance against this KPI is categorised as 'Maintained' despite the percentage figures indicating a slight decline. The reason for this is that a small tolerance is used on either side of the previous year's performance level within which Performance is considered to have been maintained rather than Improved or declined. In this case the slight decline indicated by the figures is captured within this tolerance.</p> <p>The target set for this KPI in 16/17 was maintained at the performance level achieved in the previous year as this was deemed to be a very high standard of achievement which would be challenging to maintain or exceed.</p>   |
| <b>% of young people in Cardiff Schools achieving a recognised qualification by the end of year 11</b> | <p>Performance against this KPI is categorised as 'Maintained' despite the percentage figures indicating a slight decline. The reason for this is that a small tolerance is used on either side of the previous year's performance level within which Performance is considered to have been maintained rather than Improved or declined. In this case the slight decline indicated by the figures is captured within this tolerance</p> <p>The target set for this KPI in 16/17 was maintained at the performance level achieved in the previous year as this was deemed to be a very high standard of achievement which would be challenging to maintain or exceed. The 0.5% headroom in the target equates to just 18 pupils.</p> |

**Communities and partners are actively involved in the design, delivery and improvement of highly valued services**

|  |  |
|--|--|
| <b>Customer Satisfaction with Council Services</b> | <p>Performance against this KPI is categorised as 'Maintained' despite the percentage figures indicating a slight decline. The reason for this is that a small tolerance is used on either side of the previous year's performance level within which Performance is considered to have been maintained rather than Improved or declined. In this case the slight decline indicated by the figures is captured within this tolerance</p> |
| <b>% Satisfaction with Hubs</b>                    | <p>The reason that the target set for this KPI is below the previous year's performance is that the directorate sets all customer satisfaction targets at 90% as a measure of good performance. The directorate do however strive to achieve customer satisfaction rates of 100% and if performance fell below 90% a service review and action plan would be put into place.</p>   |

|   |  |
|---|--|
| <b>The number of visitors to libraries and hubs</b> | The target set for this KPI for 2016/17 was below the level of performance for the previous financial year. This reason for this is that due to the timing of the Corporate Plan the 16/17 target was set prior to year-end results for 15/16 being available. The setting of the target for the measure is particularly problematic as some aspects of the information can only be calculated at year-end, in line with the Welsh Public Library Standards guidelines. Therefore at the time the target was set, full data in relation to the previous year performance was not available to inform target setting. |
|---|--|

**The City of Cardiff Council has effective governance arrangements and improves performance in key areas**

|  |   |
|--|---|
| <b>% of National Indicators that are in the top two quarters</b> | The target for 2016/17 for this KPI was set slightly below the actual performance achieved in 2015/16. The reason for this was that a number of changes were made to the cohort of National indicators being assessed between 2015/16 and 2016/17 and given these changes, comparing results between the two years would not be comparing like for like data sets. In light of this known change and the unpredictable impact it could have on the Authority's performance against this measure, it was felt that maintaining performance at around the same level would be a realistic and challenging target for 16/17. |
| <b>% of National Indicators that met their set target</b>        | Performance against this KPI is categorised as 'Maintained' despite the percentage figures indicating a slight decline. The reason for this is that a small tolerance is used on either side of the previous year's performance level within which Performance is considered to have been maintained rather than Improved or declined. In this case the slight decline indicated by the figures is captured within this tolerance   |

My Ref: T: Scrutiny/PRAP/Comm Papers/Correspondence

Date: 6 October 2017



County Hall  
Cardiff,  
CF10 4UW  
Tel: (029) 2087 2087

Neuadd y Sir  
Caerdydd,  
CF10 4UW  
Ffôn: (029) 2087 2088

Councillor Chris Weaver,  
Cabinet Member Finance, Modernisation and Performance,  
Cardiff Council,  
County Hall,  
Cardiff  
CF10 4UW

Dear Councillor Weaver,

### **Policy Review & Performance Scrutiny Committee: 4 October 2017**

Thank you for attending the Policy Review and Performance Scrutiny Committee this week, to facilitate pre-decision scrutiny of Cardiff's Statutory Improvement Report 2016/17. The Committee warmly welcomes your view that in future there is an opportunity for us to contribute to improvement planning and processes, particularly around target setting. Following the scrutiny Members agreed that I pass on the following comments and observations captured during the Way Forward.

The Committee's overarching view of the Improvement Report in its current form is that a retrospective self-assessment of our Improvement Objectives provides little reassurance for internal Scrutiny of the Council's improvement performance, and is of limited use in this format. We are therefore pleased that, in future, performance improvement reporting will change with the replacement of Improvement Objectives by the Well-being Goals introduced by the Well-being of Future Generations (Wales) Act 2015. In future, we would welcome sight of the report earlier, together with a summary assessment of where your concerns lie, how Directorates will address them, and how they will be monitored. We consider this would assist us in our critical analysis, and therefore be a more valuable internal challenge.

The Committee found the data in this Report confusing and of varying quality. Whilst we recognise that the Improvement Report 2016/17 is backwards looking, at this point in time we are seven months into 2017/18, and expect to see information coming forward on how the Council plans to improve in the future. As such, we are

reassured to hear that a lot of thought is currently going into reviewing Key Performance Indicators. As this Committee has previously commented, we consider the indicators could be improved with a greater emphasis on qualitative as well as quantitative measurement. The Committee would welcome an opportunity to contribute to the review, and has discussed how best to achieve this.

A recurring theme of this Committee's concerns is the robustness of target setting. In 2016/17 the targets set appear, in some cases, to be lower than the previous outturn. Members unanimously agreed that less than vigorous target setting renders the Report less meaningful. It has previously expressed concern that tougher stretch targets are required in some areas. We hear your conviction that the organisation has undertaken considerable work around target setting. Therefore we consider, for the purposes of meaningful scrutiny, there needs to be more context setting in improvement performance reporting, as to what exactly performance indicators mean, and the reasoning behind the level at which they are set. Members were advised there are explanations behind the targets, and more information would enable us to scrutinise whether or not the explanations are genuine, and therefore how accurate the self-assessment. As an aside, we consider this report would benefit from an appendix explaining any anomalies. Having discussed this matter in some depth, we very much welcome the Chief Executive's suggestion that the Committee becomes more involved in the target setting for the forthcoming Corporate Plan.

During this year's work programming discussions, the Committee established that performance monitoring and improvement could more usefully take place outside of formal Scrutiny meetings. We have therefore created a Performance Panel sub-group to provide a more informal opportunity to examine performance reports in more detail. As such, the Panel would welcome the Performance Teams expertise and co-operation in its task. This Panel would be the logical opportunity for more productive involvement around target setting and improvement scrutiny, always with the intention of escalating areas of concern to the more formal full Committee. For example, we would be looking to review indicators that are misunderstood, test new targets and develop a better understanding of the new reporting model for improvement.

*To recap, going forward the Committee is requesting:*

- Earlier sight of the Improvement Report;
- A summary assessment within the report of where concerns lie, how Directorates will address them, and how they will be monitored;
- An opportunity to contribute to the review of KPI's;
- An appendix explaining any anomalies;
- Greater involvement in the target setting for the forthcoming Corporate Plan;
- The Performance Team's expertise and support for its Performance Panel, to ensure productive scrutiny of target setting and improvement.

Once again, on behalf of the Committee, please pass my sincere thanks to all who attended PRAP Scrutiny Committee for consideration of the Statutory Improvement Report 2016/17. I look forward to your co-operation with the Committee's Performance Panel.

Yours sincerely,



**COUNCILLOR DAVID WALKER**  
**CHAIR, POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE**

cc Members of the Policy Review & Performance Scrutiny Committee  
Paul Orders, Chief Executive  
Joseph Reay, Head of Performance and Partnerships  
Ian Allwood, Head of Finance  
Heather Warren, Cabinet Support Officer  
Joanne Watkins, Cabinet Office Manager

This page is intentionally left blank



**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**CABINET: 12 OCTOBER 2017**

**MENTAL HEALTH POLICY AND MENTAL HEALTH MANAGER'S GUIDE**

**FINANCE, MODERNISATION AND PERFORMANCE  
(COUNCILLOR CHRISTOPHER WEAVER)**

**AGENDA ITEM: 8**

**CORPORATE DIRECTOR RESOURCES**

**Reason for this Report**

1. To ask the Council to agree to adopt a Mental Health Policy and Manager's Guide. This will be a new policy and guidance for the Council.

**Background**

2. The Council is committed to promoting and maintaining the mental health and wellbeing of all employees through workplace practices, and encourages employees to take responsibility for their own mental health and wellbeing. In its Corporate Health Standard, Public Health Wales indicates that one in six employees will have a mental health problem at any one time.
3. Mental health conditions can present in many ways and as an employer, the Council has a duty of care to employees, which includes ensuring that managers have the necessary skills and knowledge to identify the early signs of mental ill health and be proactive in supporting their staff.
4. From a business perspective, the proactive management of employees' mental and physical health can produce a range of benefits, including the reduction of sickness absence, greater staff engagement and productivity, and reduced staff turnover, recruitment and costs.
5. This policy and guidance is a positive step towards making Cardiff Council a better place to work.
6. The policy and guidance applies to all employees of the Council, irrespective of status and/or grade, except those employed directly by schools. The policy and guidance will be commended to school governing bodies.
7. The introduction of the policy and guidance will support the Council's application for the Corporate Health Standard Silver Award and is in line with the Time to Change Wales (TTCW) pledge.

## **Reasons for Recommendations**

8. The policy and guidance will assist the Council in:
- Promoting mental health and wellbeing in the workplace by considering the sources of pressure and causes of mental distress at work, not solely dealing with the symptoms.
  - Ensuring that work place pressure is managed through a risk assessment process in line with the Council's Stress Management Policy.
  - Building and maintaining a workplace environment and culture that supports mental health and wellbeing and prevents discrimination.
  - Increasing employee knowledge and awareness of mental health and wellbeing issues and behaviours.
  - Reducing the stigma around depression and anxiety in the workplace, and all forms of mental health illness.
  - Facilitating employees' active participation in a range of initiatives/activities that support mental health and wellbeing.

## **Legal Implications**

9. The Council has a duty under **The Health and Safety at Work Act 1974** to ensure, as far as is reasonably practicable, the health safety and welfare at work of all employees.
10. **The Equality Act 2010** sets out an employer's duty to make reasonable adjustments for people with disabilities in order to ensure that they have the same access as a non-disabled person to everything that involves gaining or keeping employment. According to the Act, a person is defined as disabled if they have a **mental** or physical impairment that has a substantial long-term (i.e. more than 12 months) adverse effect on their normal day-to-day activities. A person is also protected under the Act if they have been affected in this way in the past but have been well for some time.

## **Financial Implications**

11. There are no direct financial implications arising from this report.

## **Human Resource Implications**

12. The introduction of the policy and its guidance have been discussed with the Cardiff Managers Forum, Ambassadors Forum, the Employee Networks, the Corporate Health Group and the Time to Change Wales sub group. The new policy will need to be communicated to employees and managers, and mental health training is proposed via the Cardiff Academy. The Trade Unions have been consulted and warmly support the policy and its guidance.

## **RECOMMENDATIONS**

Cabinet is recommended to:

1. Approve the adoption of the attached Mental Health Policy and Manager's Guidance (Appendices A and B).
2. Ensure that it is publicised to all employees in an appropriate format and relevant media.
3. Commend the key principles of the policy to Members and agree that Officers follow up with the WLGA in terms of member development.

**CHRISTINE SALTER**  
**CORPORATE DIRECTOR RESOURCES**  
6 October 2017

*The following appendices are attached:*

Appendix A – Mental Health Policy  
Appendix B – Mental Health –Manager's Guide

This page is intentionally left blank



# MENTAL HEALTH POLICY

Mae'r ddogfen hon ar gael yn Gymraeg.  
This document is available in Welsh.

|                         |  |
|-------------------------|--|
| DATE DOCUMENT PUBLISHED |  |
| APPROVED BY             |  |
| APPROVAL DATE           |  |
| DOCUMENT OWNER          |  |
| DATE FOR REVIEW         |  |

## CONTENTS

| SECTION<br>NUMBER | CONTENT   | PAGE<br>NUMBER                  |
|-------------------|---|---------------------------------|
| 1                 | Introduction, Roles and Responsibilities  | 3-4                             |
| 2                 | Policy <ul style="list-style-type: none"> <li>• Purpose</li> <li>• Who is covered?</li> <li>• Key Principles</li> <li>• What is mental health?</li> </ul>   | 5<br>5<br>5<br>5-6              |
| 3                 | Procedure <ul style="list-style-type: none"> <li>• Spotting the Early Signs</li> <li>• Team Members</li> <li>• Manager's Own Health</li> <li>• Reasonable Adjustments</li> <li>• Good Practice for Applying Workplace Adjustments</li> <li>• Practical Examples of Workplace Adjustments</li> </ul> | 7<br>7<br>8<br>8<br>8-9<br>9-10 |
| 4                 | Related Documents   | 10                              |
| 5                 | Support Services  | 11-14                           |
| 6                 | Appendix 1-Employee Wellness Action Plan  | 15                              |

## **SECTION 1 - INTRODUCTION, ROLES and RESPONSIBILITIES**

### **Policy Statement**

1. Mental health conditions are widespread and most of us will either experience one, or know someone who has experienced one. In its Corporate Health Standard, Public Health Wales indicates that one in six employees will have a mental health problem at any one time. Cardiff Council is committed to promoting and maintaining the mental health and wellbeing of all employees through workplace practices, and encourage employees to take responsibility for their own mental health and wellbeing.
2. Mental health conditions can present in many ways and as an employer, the Council has a duty of care to employees which includes ensuring that managers have the necessary skills and knowledge to identify the early signs of mental ill health and be proactive in supporting their staff.
3. From a business perspective, the proactive management of employees' mental and physical health can produce a range of benefits, including the reduction of sickness absence, greater staff engagement and productivity, and reduced staff turnover, recruitment and costs.
4. The Council can offer a range of support from within and outside the authority to provide professional and practical help. Additionally an employee's Trade Union may also be a source of support.
5. This policy and supporting documentation (Mental Health – a Manager's Guide) is a positive step towards making Cardiff Council a better place to work.

### **Roles and Responsibilities**

6. It is important that everyone clearly understands their roles and responsibilities within these processes.

### **Managers Responsibilities**

- (In addition to their responsibilities as employees):
- Ensure that all employees are made aware of this policy.
- Actively support and contribute to the implementation of this policy.
- Refer employees for assistance and support as appropriate.
- Maintaining confidentiality with the exception of safeguarding or criminal issues where confidentiality cannot be ensured.
- Approaching issues sensitively without making moral judgements.
- Seek advice from HR People Services when required.

- Know your limitations - you are not a health professional. Ensure you have the right information to signpost employees to appropriate advice, treatment and support services.

### **Employee Responsibilities**

It is the employee's responsibility to:

- Understand this policy and seek clarification from management where required.
- Support fellow workers in their awareness of this policy.
- Support and contribute to the Council's aim of providing a mentally healthy and supportive environment for all employees.
- Take reasonable care of their own mental health and wellbeing, including physical health.
- Take reasonable care to ensure their actions do not affect the health and wellbeing and safety of other people in the workplace.

### **HR People Services Responsibilities**

- Advise managers on the consistent application of the policy.
- Provide all employees and managers with information and advice as necessary.
- Refer employees for assistance and support as necessary.
- Review the application of the policy and procedures in the light of operational experience.

### **Occupational Health Service Responsibilities**

- Provide OH advice at individual case conferences, upon request
- Provide early intervention and support to managers and employees facing problems or crisis, which could affect their work capacity and fitness
- Liaise with other health professionals such as GPs or Consultants to enable full case assessment
- Refer cases to an Occupational Health Physician or Occupational Health Consultant, as appropriate
- Provide access to Physiotherapy Services, comprising a maximum of six sessions
- Provide access to specialist CBT mental health services, in cases requiring more complex psychotherapeutic intervention
- Offer advice on the health and disability parameters of the Equality Act 2010



## SECTION 2 - POLICY

### Purpose

7. In keeping with the Council's Employee Health and Wellbeing Strategy, the Council believes that the mental health and wellbeing of its employees is key to organisational success and sustainability. The Council aims to:
- Promote mental health and wellbeing in the workplace by considering the sources of pressure and causes of mental distress at work, not solely dealing with the symptoms.
  - Ensure that work place pressure is managed through a risk assessment process in line with the Council's Stress Management Policy
  - Build and maintain a workplace environment and culture that supports mental health and wellbeing and prevents discrimination.
  - Increase employee knowledge and awareness of mental health and wellbeing issues and behaviours.
  - Reduce stigma around depression and anxiety in the workplace, and all forms of mental health illness.
  - Facilitate employees' active participation in a range of initiatives/activities that support mental health and wellbeing.

### Who is covered by this Policy?

8. This Policy applies to all employees of the Council, irrespective of status and/ or grade, except those employed directly by Schools. The policy is commended to school governing bodies.

### Key Principles

9. ACAS have stated that there are three things employers can do to help maintain the health of employees, and help those with mental health conditions to remain in work and be productive:
- **Spot the signs** – This may initially mean taking a note of what you see as you walk around or in team meetings and then choosing the right moment to intervene.
  - **Engage with the problem** – There are some good practical steps you can take to help with coping strategies, and some legal requirements you need to bear in mind, for example your duty to make reasonable workplace adjustments to the working environment in certain circumstances
  - **Keeping a watching brief** – This does not necessarily mean passively observing, although in some circumstances this could be the best option. Promote awareness of mental health issues and create a culture where

employees feel they can talk to you about their concerns. Keeping communication channels open is critical.

### **What is Mental Health?**

10. Mental health is the mental and emotional state in which we feel able to cope with the normal stresses of everyday life. If we are feeling good about ourselves we often work productively, interact well with colleagues and make a valuable contribution to our team or workplace.
11. Positive mental health is rarely an absolute state. One may feel in good mental health generally but also suffer stress or anxiety from time to time. Mental ill health can range from feeling 'a bit down' to common disorders such as anxiety and depression and, in limited cases, to severe mental illnesses such as bipolar disorder or schizophrenia.
12. Mental health conditions may emerge suddenly, as a result of a specific event or incident, or gradually, over a period of time when the condition may worsen or improve. Mental ill health is very common, with 1 in 4 experiencing a period of mental ill health in the course of their lifetime. It is therefore essential that managers become confident in supporting staff with mental health issues.
13. It is important to realise that most mental health problems are short lived. Even when people experience more serious, long-term or recurring problems, they are still able to live meaningful and satisfying lives. This may mean making some adjustments to accommodate the effects of their mental health problems
14. Although certain symptoms are common in specific mental health conditions, no two people behave in exactly the same way when they are unwell. Many people who live with or are developing a mental health problem try to keep their feelings hidden because they are afraid of the reaction of others. Many people feel troubled without having a diagnosed or diagnosable mental health condition – although that does not mean they are not struggling to cope with daily life.
15. A range of factors within and beyond the workplace can contribute to mental health conditions. Outside work, these can include bereavement, debt, family problems, addiction, relationship breakdown, and housing problems. Within work - organisational change, workload, nature of relationships at work and management styles can affect an employee's mental health.

### **Addressing the Stigma of Mental Health Conditions**

16. In recent years, National Campaigns have gone some way to removing the stigma attached to mental illness. It is important for employees to know there is no shame attached to admitting that they may have a problem. It is

not a sign of weakness to report that certain aspects of work or home life are having a negative effect on an individual's wellbeing.

17. The stigma associated with mental health remains a major obstacle to the effective diagnosis and treatment of mental health conditions. It can prevent employees from talking to colleagues or managers about their problems because they fear discrimination. It may even prevent them from acknowledging to themselves that they have a problem.

### **SECTION 3 – PROCEDURE**

18. HR People Services will provide advice at any stage to managers or employees on the implementation of the policy. Managers are not expected to counsel employees or provide medical advice, indeed it would be considered inadvisable to provide unqualified counsel.
19. People who experience wellbeing in the workplace perform well and are therefore more effective in their roles. It is important to remember that everyone's experience of mental ill health is different –so two people with a diagnosis of depression may have different symptoms and need different adjustments.
20. If you think that an employee may have a mental health condition managers should try speaking with them in order to seek to persuade them to see their GP or Occupational Health. The most important thing is to let them know you are there to help and provide support. Not to judge them or make them do anything they feel uncomfortable about.
21. Practical guidance on dealing with an employee's disclosure about a mental health problem is contained in the Mental Health Manager's Guide.

#### **Spotting the Early Signs**

22. How people are treated and managed on a day-to-day basis is central to their mental well-being and engagement. Thus line managers have a key role in supporting well-being, spotting early signs of mental health problems and initiating early intervention. As with all medical conditions, early interventions and preventative measures have benefits for all.
23. Mental health must be managed in the same way as any other medical condition. Line managers should know their team better than anyone and are therefore ideally placed to spot the early signs that someone may be mentally unwell.
24. Getting it right is often a matter of common sense. A good manager will regularly ask staff how they are, take an interest in their wellbeing, communicate expectations, monitor and review workloads and be

personally accessible. People with mental health issues say that having a supportive line manager makes a great difference to their working life.

### **Team Members**

- 25.** The manager also need to think about the effect on other team members when one member of the team has mental ill-health. You may need to discuss with the individual concerned whether they are willing to share some information with the rest of the team. You may need to raise awareness about mental ill-health, and what you can all do to help. You may also need to deal with other members of the team feeling under additional pressure.

### **Manager's Own Health**

- 26.** As a manager who is managing a team member who has mental health issues, you may feel that there is a tension between your desire to support a team member and your need to ensure that work gets completed to deadlines. You may feel frustrated, or out of your depth and in need of support yourself. Managing someone with complex mental health issues may be challenging, and you may find it helpful to talk the situation through with your own line manager, Occupational Health staff, or a HR officer. Remember that you need to protect your own mental health wellbeing.

### **Reasonable Adjustments**

- 27.** There are a number of reasons why employers should take steps to make adjustments for people with mental health conditions. From a regulatory perspective, the Equality Act (2010) outlines an employer's duty to make reasonable adjustments for people with disabilities in order to ensure that they have the same access to everything that involves gaining or keeping employment as a non-disabled person. According to the Act, a person is defined as disabled if they have a mental or physical impairment that has a substantial long-term (i.e. more than 12 months) effect on their normal day-to-day activities. A person is also protected under the Act if they have been affected in this way in the past but have been well for some time.

- 28.** It is good practice to make adjustments that are 'reasonable' for any employee with mental health conditions, whether or not they may be covered by the Equality Act. Advice should be sought from Occupational Health.

**29. Good practice for applying workplace adjustments (Refer to Reasonable Adjustments Guidance 5.C.275)**

- Have an open, honest and practical conversation with the person about how their mental health condition impacts their work and what adjustments can be made.

- Ask the individual what they need – they are often the best experts of managing their condition.
- Focus on what the person can do – not what they can't.
- Tailor adjustments to the specific needs and abilities of the individual – be creative.
- Be flexible – as some mental health conditions can be episodic. It may be more helpful to agree adjustments that can be implemented as and when required and revoked when not.
- Regularly review the adjustments to ensure they are working and are still appropriate.
- Be realistic about what you can offer. If you are unsure, consult HR People Services.
- With the permission of the individual communicate the adjustments to other team members to alleviate perceptions of favourable treatment.
- Refer to Occupational Health if appropriate or sign post to support services.

## **32. Practical examples of workplace adjustments**

- Being flexible and creative is important when considering solutions. Below are examples, which could act as prompts for line managers and employees exploring these issues together and would be subject to the service requirements of the Directorate.

## **30. Working hours or patterns**

- Take a flexible approach to start/finish times and/or shift patterns in line with the Flexible Working Policy.
- Phased return to work.
- Equal amount of break time, but in shorter, more frequent chunks.
- Allow someone to arrange their annual leave so that is spaced regularly throughout the year.
- Allow the possibility to work from home at times.
- Temporary reallocation of some tasks.

### **31. Physical environment**

- Minimise noise – e.g. reducing pitch or volume of telephone ring tones providing office/room dividers/partitions if practical.
- Provide a quiet space for breaks away from the main workspace.
- Allow for increased personal space.
- Move workstation – to ensure for example that someone does not have their back to the door.

### **32. Support with workload**

- Increase frequency of supervision.
- Support someone to prioritise their work.
- Allow the individual to focus on a specific piece of work.

### **33. Support from others**

- Provide a buddy or mentor.
- Consider mediation as an option if there are difficulties between colleagues.
- See section 5

### **37. Employee Wellness Action Plan**

- Discuss Completing the Employee Wellness Action Plan and action accordingly.

## **SECTION 4 – RELATED DOCUMENTS**

Mental Health –A Manager’s Guide  
Attendance and Wellbeing Policy 1.CM.049  
Flexible Working Policy 1.CM.088  
Reasonable Adjustments Guidance 5.C.275  
Redeployment Policy 1.CM.207  
Stress Management Policy 1.CM.118  
Stress Risk Assessment Code of Guidance 1.CM.113  
Carers Policy 1.CM.188  
Management of Alcohol, Drugs and Substance Misuse 1.CM.134

## SECTION 5 SUPPORT SERVICES

### **Cardiff Academy**

Offers a range of classroom based and e-learning. Topics include Stress Awareness and Control Programme, Stress Control 1 to 1 sessions, Mental Health in the Workplace, Handling Difficult Conversations, Equality and Diversity. Telephone 029 2034 6050 (Ext. 46050)

Email: [CardiffAcademy@Cardiff.gov.uk](mailto:CardiffAcademy@Cardiff.gov.uk)

### **Employee Assistance Programme – Carefirst**

This free phone telephone service is available 24 hours a day, 365 days of the year. All calls are answered directly by a team of qualified and experienced counsellors. Professional information and advice services are also provided by a separate team of information specialists plus there is access to a web based information service.

Telephone 0800 174319

<http://cmsweb/cardiff/content.asp?id=40976>

### **Employee Counselling Service**

The Employee Counselling Service (ECS) offers free and confidential counselling to anyone who is employed by the Cardiff Council.

Telephone 029 2078 8500

<http://cmsweb/cardiff/content.asp?id=11153&d1=0>

### **NHS Choices**

The NHS website has a wide range of advice and practical tools for raising awareness of mental health issues, self-management of symptoms and sources of further specialist help.

[www.nhs.uk/livewell/mentalhealth](http://www.nhs.uk/livewell/mentalhealth)

### **NHS Direct Wales**

Health advice 24 hours a day, 365 days a year.

Telephone 0845 4647

[www.nhsdirect.wales.nhs.uk](http://www.nhsdirect.wales.nhs.uk)

### **Centre for Mental Health**

The Centre for Mental Health works to improve the quality of life for people with mental health problems by influencing policy and practice in mental health and related services. It focuses on criminal justice and employment.

Telephone: 020 7827 8300

[www.centreformentalhealth.org.uk](http://www.centreformentalhealth.org.uk)

### **Samaritans**

Provides confidential, non-judgmental emotional support for people experiencing feelings of distress or despair, including those that could lead to suicide. You can phone, email, write a letter or in most cases talk to someone face to face.

Telephone: 08457 90 90 90 (24 hours a day) or 116 113

Cardiff 02920 344022 (9am to 9pm)  
Email [jo@samaritans.org](mailto:jo@samaritans.org)  
[www.samaritans.org](http://www.samaritans.org)

### **Mental Health Foundation**

A UK charity for everyone's mental health, which has prevention at the heart of what they do. It aims to find and address sources of mental health problems. They offer information, guidance and publications on a range of issues associated with mental health. Their website also includes podcasts and videos.  
[www.mentalhealth.org.uk](http://www.mentalhealth.org.uk)

### **CALL (Community Advice and Listening Line)**

Offers emotional support and information/literature on Mental Health and related matters to the people of Wales. Anyone concerned about their own mental health or that of a relative or friend can access the service. C.A.L.L. Helpline offers a confidential listening and support service.  
Telephone 0800 132 737  
[www.callhelpline.org.uk](http://www.callhelpline.org.uk)

### **Saneline**

Saneline is a national mental health helpline providing information and support to people with mental health problems and those who support them. If you are a carer needing support you can contact all of the above as well as Carers Direct and the Princess Royal Trust for Carers, both of whom are able to provide support and advice on any issues affecting you  
Telephone 0845 767 8000 (6pm-11pm)  
[www.sane.org.uk](http://www.sane.org.uk)

### **Rethink Mental Illness Advice Line**

Rethink is the largest national voluntary sector provider of mental health services with 340 services and more than 130 support groups. It helps over 48,000 people every year through its services, support groups and by providing information on mental health problems.

It provides expert advice and information to people with mental health problems and those who care for them, as well as giving help to health professionals, employers and staff.

Telephone 0845 456 0455 (10am-1pm Monday to Friday)  
Email [info@rethink.org](mailto:info@rethink.org)  
[www.rethink.org](http://www.rethink.org)

Helpline: 0300 5000 927  
[www.rethink.org](http://www.rethink.org)

### **Mind Infoline**

Mind is the leading mental health charity in England and Wales. It campaigns to create a better life for everyone with experience of mental distress. Mind



provides confidential mental health information services. With support and understanding, Mind enables people to make informed choices. The Infoline gives information on types of mental distress, where to get help, drug treatments, alternative therapies and advocacy. Mind also has a network of nearly 200 local Mind associations providing local services.

Telephone: 0300 123 3393 (9am-5pm Monday to Friday)

Email [info@mind.org.uk](mailto:info@mind.org.uk)

[www.mind.org.uk](http://www.mind.org.uk)

### **Education Support Partnership**

Advice, support and Counselling available to teachers and other employees in Education services. Operates 24 hours a day, 7 days a week.

Telephone: 08000562561

[www.educationsupportpartnership.org.uk](http://www.educationsupportpartnership.org.uk)

### **TUC**

Advice on mental health first aid.

Website [www.tuc.org.uk](http://www.tuc.org.uk)

### **Cognitive Behaviour Therapy**

[WWW.MOODJUICE.CO.UK](http://WWW.MOODJUICE.CO.UK)

[WWW.MOODGYM.CO.UK](http://WWW.MOODGYM.CO.UK).

### **Dewis Wales**

Information and advice about individual well-being or how you can help someone else.

### **Sources of advice and information for managers:**

Employee Assistance Programme Manager Support Line

NHS Health for Work Adviceline

Tel: 0800 077 8844

<http://www.nhshealthatwork.co.uk/>

The Mind Infoline

Lines are open 9am to 6pm, Monday to Friday (except for bank holidays).

Tel: 0300 123 3393 [info@mind.org.uk](mailto:info@mind.org.uk). Text: 86463

Mindful Employer - [www.mindfulemployer.net](http://www.mindfulemployer.net)

Developed, led and supported by employers, the MINDFUL EMPLOYER® initiative is aimed at increasing awareness of mental health at work and providing support for businesses in recruiting and retaining employees.

Centre for Mental Health - <http://www.centreformentalhealth.org.uk/>

The Centre for Mental Health aims to help to create a society in which people with mental health problems enjoy equal chances in life to those without.

Health and Safety Executive – <http://www.hse.gov.uk/stress/>

Mental Health First Aid Guidance for Line Managers-  
[http://mhfaengland.org/files/5613/9101/5215/MHFA\\_Line\\_Managers\\_Resource.pdf](http://mhfaengland.org/files/5613/9101/5215/MHFA_Line_Managers_Resource.pdf)

Time to Change Wales - Time to Change Wales is the first national campaign to end the stigma and discrimination faced by people with mental health problems. <http://www.timetochangewales.org.uk/en/>

### **Bereavement**

Cruse Bereavement Care helpline for bereaved people and those caring for bereaved people

Tel: 0844 477 9400

Email: [helpline@cruse.org.uk](mailto:helpline@cruse.org.uk)

[www.Crusebereavementcare.org.uk](http://www.Crusebereavementcare.org.uk)

### **Teachers**

Teacher Support Network is an independent charity that provides practical and emotional support to trainee, serving and retired teachers and their families.

24/7 Support Line; 08000 562 561(UK) 08000 855 088 (Wales)

Email: [support@teachersupport.info](mailto:support@teachersupport.info) [www.teachersupport.info](http://www.teachersupport.info)

### **Debt**

Stepchange Debt Charity provides help for anyone in debt or concerned they may fall into debt

Freephone 0800 138 111(includes all mobiles) [www.stepchange.org](http://www.stepchange.org)

Email [www. Stepchnage.org/contactus/sendusanemail.aspx](http://www.Stepchnage.org/contactus/sendusanemail.aspx)

### **Gambling**

Gamcare offers confidential counselling, advice and information for anyone affected by a gambling dependency.

[Tel:0808](http://Tel:0808) 802 0133 [www.gamcare.org.uk](http://www.gamcare.org.uk)

## Appendix 1

### **EMPLOYEE WELLNESS ACTION PLAN**

The information in this form will be held confidentially and should be regularly reviewed by the employee and line manager. Whilst the employee only needs to provide information that they are comfortable sharing and that relates to their role and workplace, the aim is to provide support and therefore the sharing of information will aid this. It can help the employee and manager to agree, together, how to practically support you the employee in your role and address any health needs. It is the responsibility of the manager to ensure that data gathered in this form will be kept confidential and will not be shared with anyone without the permission of the employee, the exception to this is safeguarding or criminal issues where confidentiality cannot be ensured.

However, it should be recognised that some mental health issues are irregular and ill defined. The unpredictability may therefore make the completion of a plan difficult.

The employee may wish to complete the action plan themselves and then arrange a meeting to discuss. Remember it is important to choose an appropriate place – somewhere private and quiet where the person feels comfortable and equal.

#### 1. What helps you stay mentally healthy at work?

(For example taking an adequate lunch break away from your desk, getting some exercise before or after work or in your lunchbreak, light and space in the office, opportunities to get to know colleagues, quiet place to work)

#### 2. What can your manager do to proactively support you to stay mentally healthy at work? (For example regular feedback and catch-ups, flexible working patterns, explaining wider organisational developments minimising impact of unsuitable environment (heat, light, noise, etc), home working)

#### 3. Are there any situations at work that can trigger poor mental health for you? (For example conflict at work, organisational change, tight deadlines, something not going to plan)

4. How might experiencing poor mental health impact on your work?  
(For example you may find it difficult to make decisions, struggle to prioritise work tasks, difficulty with concentration, drowsiness, confusion, headaches, tiredness)

What does good mental health at work look like for you?

5. Are there any early warning signs that we might notice when you are starting to experience poor mental health? (For example changes in normal working patterns, withdrawing from colleagues tiredness, changes in expressing self, changes in clothing/hygiene)

6. What support could be put in place to minimise triggers or to support you to manage symptoms? (For example: extra catch-up time with line manager, environmental factors)

7. Are there elements of your individual working style or temperament that it is worth your manager being aware of?

(For example a preference for more face to face or more email contact, a need for quiet reflection time prior to meetings or creative tasks, negotiation on deadlines before they are set, having access to a mentor for questions you might not want to bother your manager about, having a written plan of work in place which can be reviewed and amended regularly, clear deadlines if you have a tendency to over-work a task, tendency to have particularly high or low energy in the morning or in the afternoon)

8. If we notice early warning signs that you are experiencing poor mental health – what should we do?

(For example talk to you discreetly about it, contact someone that you have asked to be contacted)

9. What steps can you take if you start to experience poor mental health at work? Is there anything we need to do to facilitate them?  
(For example you might like to take a break from your desk and go for a short walk, or ask your line manager for support)

10. Is there anything else that you would like to share?

11. Agreed actions( if appropriate)

12. What (if any) information may be shared with colleagues?

Employee  
signature\_\_\_\_\_

Date\_\_\_\_\_

Line manager  
signature\_\_\_\_\_

Date\_\_\_\_\_

Date to be reviewed\_\_\_\_\_

## **Mental Health - Manager's Guide**

**Cardiff Council  
HR People Services  
Employee Relations Team**

**Mae'r ddogfen hon ar gael yn Gymraeg.  
This document is available in Welsh**

## Contents

1. Introduction
2. Identifying early signs of stress or possible mental ill-health
3. An employee discloses a mental health issue
4. Following a disclosure
5. Planning ahead
6. While an employee is off sick
7. When an employee returns from sickness absence
8. Performance concerns
9. Tips for talking about mental health concerns
10. What next?
11. Colleagues having concerns about fellow employees
12. Related Documents

Appendix 1 Support Contact Details

Appendix 2 Employee Wellness Action Plan



## **1.0 Introduction**

---

1.1 The Council, through its managers and employees must seek to prevent stress at work and ensure that work place pressure is addressed through a risk assessment process.

1.2 Managers must ensure they promote mental health and wellbeing in the workplace. They must seek to build and maintain a workplace environment and culture that supports mental health and prevent discrimination.

1.3 This guidance is designed to assist line managers in dealing with an employee's disclosure about a mental health concern. Mental health concerns may emerge gradually, suddenly, as a result of a specific event, or may be known to you due to a disclosure at the recruitment stage.

1.4 Ideally, speaking about mental health problems should be an intrinsic part of the culture of your workplace. Remember that the Council has a legal duty to make reasonable adjustments for disabled people, including those with mental health issues. However, it is imperative to know your limitations – line managers are not health professionals, and are not expected to counsel employees or provide medical advice.

1.5 This guidance should be read in conjunction with the Council's Mental Health Policy.

## **2.0 Identifying early signs of stress or possible mental ill-health**

---

2.1 Identifying signs of stress or mental ill health at an early stage means that managers can encourage an employee to seek help before difficulties escalate into a crisis or sickness absence. Often a key indicator is a change in typical behaviour. Symptoms will vary, and every employee's experience is different, but potential indicators include:

- physical symptoms e.g. fatigue, headaches, indigestion, changes in sleep patterns;
- psychological symptoms e.g. including anxiety, tearfulness, low mood, indecisiveness, loss of humour, illogical thought processes;
- behavioural symptoms e.g. including increased smoking and drinking, withdrawal, irritability, restlessness, uncharacteristic errors, and uncharacteristic problems with colleagues,
- changed attendance patterns (lateness, working long hours, taking leave at short notice).
- Slipping hygiene or poor self care.

- Over commitment or positivity-possible followed by failure to deliver.

2.2 If managers notice some of these signs, or have other reasons to think that an employee is not well, it would be appropriate to talk to the employee privately to explore what is going on. Remember that even if an employee is displaying some of these signs it does not automatically mean that they have a mental health problem. The person may have a different health condition or some other issue.

2.3 An employee who is experiencing early signs of mental ill health may have difficulty in recognising that they have a real health problem and need to seek medical help. You may want to encourage them to access the Employee Assistance Programme, seek a referral to Occupational Health, visit their G.P. or sign post to the support detailed at appendix 1.

2.4 There may be occasions when you suspect from the employee's behaviour that they may have a mental health issue, but they insist that there is no problem. In this situation, you need to establish clear expectations for behaviour and performance. It may take a while before the employee recognises that they are not functioning well. Alternative it may be necessary to seek specific advice from HR particularly if the employee behaviour is causing concern whereby colleagues feel endangered for both the employee's safety and their own.

### **3.0 An Employee discloses a mental health issue**

---

3.1 An employee disclosing a mental health problem may do this in a planned one to one meeting or may ask to speak with you separately. Remember that you do not need to be an expert to talk about mental health.

3.2 Choose an appropriate place – somewhere private and quiet where the person feels comfortable and equal. Possibly a neutral space outside of the workplace or away from the main office. It would not be appropriate at any point to hold discussions in a place where other employees may overhear conversations.

3.3 It is important that the employee has some control over the space they are disclosing in. Ideally, your workplace will have a quiet room or a space where you will be able to have a private conversation. Identify if it is appropriate to move the conversation somewhere private. Treat this as an informal conversation. Unless it is in the realms of a performance management meeting, this should not be considered a formal discussion.

3.4 If an employee tells you they have a mental health problem aim to hold an open and honest conversation with them. Disclosing a mental health problem may feel a risky step to take, therefore it is important to keeping an open mind and listen to the employee. Avoid making assumptions about a person's symptoms, or how they may affect their ability to do their job. Many people manage their condition and perform their role to a high standard.

3.5 Reassure the employee that you will treat this as confidential information, and you will not pass on private information to their colleagues unless it is agreed what information can be shared. However, it is essential to inform an employee that should they indicate something that means you believe that they or someone else is at risk of harm, when you have a duty of care to speak.

3.6 Encourage the employee to talk – ask simple, open and non-judgmental questions and let them explain in their own words how their mental health problem manifests, the triggers, how it impacts on their work and what support they need.

3.7 Do not make assumptions – do not try to guess what symptoms an employee might have and how these might affect their ability to do their job. Many people are able to manage their mental health problem but may require support measures when experiencing a difficult period.

3.8 Listen to them and respond flexibly – everyone's experience of a mental health problem is different so treat people as individuals and focus on the person, not the problem. Adapt your support to suit the employee and involve them as much as possible in finding solutions to any work related difficulties they are experiencing.

3.9 Remember effective reasonable adjustments are often quite individual but need not be costly or require huge changes. Often it might be offering flexible working hours or moving to a quieter desk.

3.10 Be aware of risks outside the workplace - Be aware of what is happening in people's personal lives as stress outside of work, for example due to illness, bereavement or financial worries might be contributing to them struggling to cope in the workplace.

3.11 Be honest and clear – if there are specific grounds for concern, such as high absence levels or impaired performance, it is important to address these at an early stage.

3.12 Ensure confidentiality – people need to be reassured of confidentiality. It is sensitive information and should be shared with as few people as possible. Discuss with the individual what information they would like shared and with whom. However it is essential to inform the employee that if it is a safeguarding or criminal issue confidentiality cannot be ensured and appropriate steps may need to be taken.

3.13 Safeguarding concerns - If an individual indicates, they cannot keep themselves or others safe or has suicidal thoughts they should be encouraged to seek help immediately. Depending on the circumstances this may involve:

- going to a hospital A&E
- contacting their own GP for an immediate referral
- contacting occupational health
- contacting the Samaritans or other appropriate organisation
- contacting their carer or other relevant individual
- contacting NHS Direct.
- calling 999

The most important thing will be to encourage the employee to seek professional help. The manager should, in turn seek immediate support from their own line manager or HR People Services as to what steps may be appropriate.

3.14 Being at Work - explore how the condition affects the employee, and how you can help them at work. Being at work, rather than taking sickness absence, helps to maintain mental wellbeing. The employee benefits from the regular routine, from being able to perform useful work and from the social contacts. There may be things that a manager can do to help the employee.

3.15 Encourage the employee to seek advice and support – they should speak to their GP about available support from the NHS or if appropriate a referral to Occupational Health should be made. A list of external and internal support is detailed in appendix 1 and information is available on the Council's intranet.

3.16 Reassure them – Employees may not always be ready to talk fully about the problems they are experiencing so it is important you outline what support is available, tell them your door is always open and let them know you will help to ensure they get the support they need.

3.17 Medication – Employees experiencing mental health issue may have been or will be prescribed medication. Unfortunately, certain medications can have negative and debilitating side effects, particularly in the early stages of treatment. These can include:

- Nausea
- Vomiting
- Insomnia
- Dizziness
- Drowsiness

## 4.0 Following Disclosure

---

4.1 Record the conversation as accurately as you can to make a plan with the employee to carry out the next steps. This will help with your commitment to supporting the employee, provide a copy to the employee involved to ensure they agree that it is accurate.

4.2 The Equality Act (2010) outlines an employer's duty to make reasonable adjustments for people with disabilities in order to ensure that they have the same access to everything that involves gaining or keeping employment as a non-disabled person. If relevant, seek advice for HR People Service or Occupational Health.

4.3 It may be appropriate to inform someone else of the disclosure. This may be for the safety of the employee, or others, or it may be to ensure continuity of support

during their absence or annual leave. This needs to be discussed with the employee first.

4.4 Commit to regular catch-ups or one to one meetings to continue the conversation and help the employee feel that their mental health problem is being treated in the same way as a physical illness would.

4.5 Seek advice and support yourself. The Employee Assistance Programme can provide tailored advice to support employees.

## **5.0 Planning Ahead**

---

5.1 Develop an action plan – work with your employee to develop an individual action plan which identifies the signs of their mental health problem, triggers for stress, the possible impact on their work, who to contact in a crisis, and what support they might need. (Appendix 2) The plan should include an agreed time to review the support measures to see if they are working. Where appropriate seek advice from the Occupational Health Service or from HR People Services. It is likely the employee will require a period of time to complete the action plan and an additional meeting or meetings to discuss. It should however, be recognised that some mental health issues are episodic, and nebulous. The unpredictability may therefore make the completion of a plan difficult.

The plan may contain:

- Details of possible reasonable adjustments to help the employee stay healthy in the workplace.
- A list of factors that can contribute to the employee becoming unwell, and how the employee will manage them if they cannot be avoided.
- Early warning signs of an employee's deteriorating mental health, and how they would like their manager (or were appropriate colleagues) to respond.
- Definite signs that the employee is unwell and how they would like their manager to respond.
- Contact numbers for the manager to call if they are concerned about the employee's health.
- Agreement as to who may see the information.
- Signatures from manager and employee that the information expresses their agreement.
- Review date to be agreed mutually.
- Things that the employee undertakes to do outside work to support themselves in returning to good health e.g. balanced diet, adequate sleep etc.

## **6.0 While an employee is off sick:**

---

#### 6.1 Actions to be considered:

- Keep in regular contact with the employee, in line with the Attendance and Wellbeing Policy.
- Arrange how work will be handled during the employee's absence. It should not just pile up until the person's return. This is especially important if the original difficulties were related to the stress of managing the workload. The Stress Management Policy (1.CM.118 ) can provide further guidance.
- Consider whether any reasonable adjustments are needed in the workplace.
- Discuss a phased return to work.
- Manage the absence in line with the Attendance and Wellbeing Policy.

### **7.0 When an employee returns from sickness absence:**

---

- Hold a return-to-work interview to discuss any support needs and agree regular reviews. Discuss an early warning system for any future difficulties.
- If workplace stress contributed to the employee's ill health, agree a plan for how to prevent a recurrence of their illness. This may involve assistance with prioritising, reallocation of some work, further training or revision of work processes.
- Consider a gradual resumption of tasks. It may be better for the employee to start with a limited number of tasks.
- If agreed brief other team members about the employee's wishes, so that they can be supportive but not intrusive. Respect the employee's wishes on privacy. In general a simple enquiry about an employee's wellbeing can be supportive and may help prevent any feelings of isolation.
- Update the employee about any workplace developments in their absence.
- Remember that even though the employee is back at work, they may still be living with mental ill health. Being at work may be part of their recovery process.
- Monitor performance and give the employee honest feedback.
- All of the above should be carried out in line with any guidance/reports from Occupational Health.

### **8.0 Performance concerns**

8.1 If there are concerns about poor performance, the manager should explore whether there is a health or disability issue, or where it is known a mental health issue, before implementing any formal performance management steps. Asking simple questions about how an employee is, and whether anything is affecting their performance can give them an opportunity to disclose a disability, mental health issue or something else going on in their lives. It may also be useful to ask about relations with colleagues.

8.2 Managers should not force employee to disclose a mental health issue, or suggest they are ill, but can explore this in a way that is not intrusive or judgemental. One way is to start from your own observations e.g. "I've noticed that you've been having a lot of headaches recently. How are you feeling?"

8.3 If the manager is aware of a mental health issue, they should explore possible reasonable adjustments for mental ill health and performance should be monitored (Reasonable Adjustments Guidance - 5.C.275). In the small number of cases where an employee with severe mental health issues is unable to perform their role despite adjustments, advice should be sought from HR People Services.

8.4 Evidence of performance, including attendance records, should be collected, and should form the basis for an honest discussion between manager and employee. This makes it more difficult for the employee to deny the existence of any difficulties.

8.5 It may be helpful for a second person to sit in as an observer on all one-to-one meetings or the employee may wish to be accompanied by their Trade Union representative. A person with complex mental health issues may have difficulty in making a realistic assessment of a situation.

8.6 Managers should refer to the Capability Policy before commencing any process regarding performance and a referral to Occupational Health should be considered.

## 9.0 Tips for talking about mental health concerns

---

### 9.1 Where

- In private, preserving confidentiality for the employee. Avoid glass-walled offices.
- In a venue where the employee feels equal e.g. seated at same level.
- An employee who is on sickness absence may find it easier to meet away from the office on neutral ground.
- Avoid interruptions by phone or other people. Make sure people cannot walk in on you.



- A place where any conversations cannot be overheard

## 9.2 How

- Speak calmly.
- Listen carefully.
- Set clear parameters for confidentiality: "I'm not going to share this information with anyone unless I believe that you or someone else is at risk of harm, when I have a duty of care to speak."
- Encourage the employee to talk.
- Be prepared for some silences – it may be difficult for an employee to talk.
- Avoid being too prescriptive with advice or recommendations. The employee must agree to any actions proposed.
- Try to use open questions such as:
  - "You seem a bit down/angry/under pressure, how are you feeling?"
  - "Would you like to talk about it?"
  - "How can I help or support you?"
  - "Have you spoken to your GP or anyone else?"
- Try to keep your own emotions out of the situation. An approach of curiosity, and wanting to learn, may work best. The employee may already be having difficulty in managing their powerful feelings. Sometimes you may be able to help them recognise how they are feeling, and add a broader view, "I hear that you are annoyed with yourself for making that error, but you recognised it immediately and took appropriate action."
- Focus on solutions not problems.

## 10.0 What next?

10.1 It is important that several things emerge from any discussion:

- The employee should feel reassured that they have been listened to.
- The manager and employee agree a plan of action and support, detailing the steps that will be taken to help the employee recover.
- Agree whether further support will be sought e.g. from Occupational Health Service.
- A time and place are agreed for a meeting to review whether any support agreed is working, and whether the employee is benefitting.

## 11.0 Colleagues having concerns about fellow employees

An employee with a mental health issue will sometimes come to the notice of a fellow employee/s. It is in the employee's interests to be offered support as soon as



possible, as it improves the chances of a successful outcome. It is imperative that managers create an environment where colleagues feel confident to be open and supportive in these circumstances. Although it may be difficult, employees are encouraged to raise the issue with their line manager.

## **12.0 Related Documents**

Mental Health Policy

Attendance and Wellbeing Policy 1.CM.049

Flexible Working Policy 1.CM.088

Reasonable Adjustments Guidance 5.C.275

Redeployment Policy 1.CM.207

Stress Management Policy 1.CM.118

Stress Risk Assessment Code of Guidance 1.CM.113

Carers Policy 1.CM.188

Management of Alcohol, Drugs and Substance Misuse 1.CM.134

DRAFT

## Appendix 1 Support Contact Details

### Cardiff Academy

Offers a range of classroom based and e-learning. Topics include Stress Awareness and Control Programme, Stress Control 1 to 1 sessions, Mental Health in the Workplace, Handling Difficult Conversations, Equality and Diversity. Telephone 029 2034 6050 (Ext. 46050)  
Email: [CardiffAcademy@Cardiff.gov.uk](mailto:CardiffAcademy@Cardiff.gov.uk)

### Employee Counselling Service

The Employee Counselling Service (ECS) offers free and confidential counselling to anyone who is employed by the Cardiff Council.  
Telephone 029 2078 8301  
<http://cmsweb/cardiff/content.asp?id=11153&d1=0>

### Employee Assistance Programme – Carefirst

This free phone telephone service is available 24 hours a day, 365 days of the year. All calls are answered directly by a team of qualified and experienced counsellors. Professional information and advice services are also provided by a separate team of information specialists plus there is access to a web based information service.  
Telephone 0800 174319  
<http://cmsweb/cardiff/content.asp?id=40976>

### NHS Choices

The NHS website has a wide range of advice and practical tools for raising awareness of mental health issues, self-management of symptoms and sources of further specialist help.  
[www.nhs.uk/livewell/mentalhealth](http://www.nhs.uk/livewell/mentalhealth)

### NHS Direct Wales

Health advice 24 hours a day, 365 days a year.  
Telephone 0845 4647  
[www.nhsdirect.wales.nhs.uk](http://www.nhsdirect.wales.nhs.uk)

### Centre for Mental Health

The Centre for Mental Health works to improve the quality of life for people with mental health problems by influencing policy and practice in mental health and related services. It focuses on criminal justice and employment.  
Tel: 020 7827 8300  
[www.centreformentalhealth.org.uk](http://www.centreformentalhealth.org.uk)

### Samaritans

Provides confidential, non-judgmental emotional support for people experiencing feelings of distress or despair, including those that could lead to suicide. You can phone, email, write a letter or in most cases talk to someone face to face.  
Telephone: 08457 90 90 90 (24 hours a day)  
Email [jo@samaritans.org](mailto:jo@samaritans.org)  
[www.samaritans.org](http://www.samaritans.org)

### Mental Health Foundation

A UK charity for everyone's mental health, which has prevention at the heart of what they do. It aims to find and address sources of mental health problems. They offer information, guidance and publications on a range of issues associated with mental health. Their website also includes podcasts and videos.

[www.mentalhealth.org.uk](http://www.mentalhealth.org.uk)

### **CALL (Community Advice and Listening Line)**

Offers emotional support and information/literature on Mental Health and related matters to the people of Wales. Anyone concerned about their own mental health or that of a relative or friend can access the service. C.A.L.L. Helpline offers a confidential listening and support service

Telephone 0800 132 737

[www.callhelpline.org.uk](http://www.callhelpline.org.uk)

### **Saneline**

Saneline is a national mental health helpline providing information and support to people with mental health problems and those who support them. If you're a carer needing support you can contact all of the above as well as Carers Direct and the Princess Royal Trust for Carers, both of whom are able to provide support and advice on any issues affecting you

Telephone 0845 767 8000 (6pm-11pm)

[www.sane.org.uk](http://www.sane.org.uk)

### **Rethink Mental Illness Advice Line**

Rethink is the largest national voluntary sector provider of mental health services with 340 services and more than 130 support groups. It helps over 48,000 people every year through its services, support groups and by providing information on mental health problems.

It expert advice and information to people with mental health problems and those who care for them, as well as giving help to health professionals, employers and staff.

Telephone 0845 456 0455 (10am-1pm Monday to Friday)

Email [info@rethink.org](mailto:info@rethink.org)

[www.rethink.org](http://www.rethink.org)

Helpline: 0300 5000 927

[www.rethink.org](http://www.rethink.org)

### **Mind Infoline**

Mind is the leading mental health charity in England and Wales. It campaigns to create a better life for everyone with experience of mental distress. Mind provides confidential mental health information services. With support and understanding, Mind enables people to make informed choices. The Infoline gives information on types of mental distress, where to get help, drug treatments, alternative therapies and advocacy. Mind also has a network of nearly 200 local Mind associations providing local services.

Telephone: 0300 123 3393 (9am-5pm Monday to Friday)

Email [info@mind.org.uk](mailto:info@mind.org.uk)

[www.mind.org.uk](http://www.mind.org.uk)

### **Education Support Partnership**

Advice, support and Counselling available to teachers and other employees in Education services. Operates 24 hours a day, 7 days a week.

Telephone: 08000562561

[www.educationsupportpartnership.org.uk](http://www.educationsupportpartnership.org.uk)

### **TUC**

Advice on mental health first aid.

Website [www.tuc.org.uk](http://www.tuc.org.uk)

### **Cognitive Behaviour Therapy**

[WWW.MOODJUICE.CO.UK](http://WWW.MOODJUICE.CO.UK)

[WWW.MOODGYM.CO.UK](http://WWW.MOODGYM.CO.UK)

### **Dewis Wales**

Information and advice about individual well-being or how you can help someone else.

### **Sources of advice and information for managers:**

Employee Assistance Programme Manager Support Line

NHS Health for Work Adviceline

Tel: 0800 077 8844

<http://www.nhshealthatwork.co.uk/>

The Mind Infoline

Lines are open 9am to 6pm, Monday to Friday (except for bank holidays).

Tel: 0300 123 3393 [info@mind.org.uk](mailto:info@mind.org.uk). Text: 86463

Mindful Employer - [www.mindfulemployer.net](http://www.mindfulemployer.net)

Developed, led and supported by employers, the MINDFUL EMPLOYER® initiative is aimed at increasing awareness of mental health at work and providing support for businesses in recruiting and retaining employees.

Centre for Mental Health - <http://www.centreformentalhealth.org.uk/>

The Centre for Mental Health aims to help to create a society in which people with mental health problems enjoy equal chances in life to those without.

Health and Safety Executive – <http://www.hse.gov.uk/stress/>

Mental Health First Aid Guidance for Line Managers-

[http://mhfaengland.org/files/5613/9101/5215/MHFA\\_Line\\_Managers\\_Resource.pdf](http://mhfaengland.org/files/5613/9101/5215/MHFA_Line_Managers_Resource.pdf)

Time to Change Wales - Time to Change Wales is the first national campaign to end the stigma and discrimination faced by people with mental health problems.

<http://www.timetochangewales.org.uk/en/>

### **Bereavement**

Cruse Bereavement Care helpline for bereaved people and those caring for bereaved people

Tel: 0844 477 9400

Email: [helpline@cruse.org.uk](mailto:helpline@cruse.org.uk)

[Crusebereavementcare.org.uk](http://Crusebereavementcare.org.uk)

### **Teachers**

Teacher Support Network is an independent charity that provides practical and emotional support to trainee, serving and retired teachers and their families.

24/7 Support Line; 08000 562 561(UK) 08000 855 088 (Wales)

Email: [support@teachersupport.info](mailto:support@teachersupport.info) [www.teachersupport.info](http://www.teachersupport.info)

### **Debt**

Stepchange Debt Charity provides help for anyone in debt or concerned they may fall into debt

Freephone 0800 138 111(includes all mobiles) [www.stepchange.org](http://www.stepchange.org)

Email [www. Stepchnage.org/contactus/sendusanemail.aspx](http://www.Stepchnage.org/contactus/sendusanemail.aspx)

### **Gambling**

Gamcare offers confidential counselling, advice and information for anyone affected by a gambling dependency.

[Tel:0808 802 0133](tel:08088020133) [www.gamcare.org.uk](http://www.gamcare.org.uk)

## Appendix 2

### EMPLOYEE WELLNESS ACTION PLAN

The information in this form will be held confidentially and should be regularly reviewed by the employee and line manager. Whilst the employee only needs to provide information that they are comfortable sharing and that relates to their role and workplace, the aim is to provide support and therefore the sharing of information will aid this. It can help the employee and manager to agree, together, how to practically support you the employee in your role and address any health needs. It is the responsibility of the manager to ensure that data gathered in this form will be kept confidential and will not be shared with anyone without the permission of the employee, the exception to this is safeguarding or criminal issues where confidentiality cannot be ensured.

However, it should be recognised that some mental health issues are irregular and ill defined. The unpredictability may therefore make the completion of a plan difficult.

The employee may wish to complete the action plan themselves and then arrange a meeting to discuss. Remember it is important to choose an appropriate place – somewhere private and quiet where the person feels comfortable and equal.

#### 1. What helps you stay mentally healthy at work?

(For example taking an adequate lunch break away from your desk, getting some exercise before or after work or in your lunchbreak, light and space in the office, opportunities to get to know colleagues, quiet place to work)

#### 2. What can your manager do to proactively support you to stay mentally healthy at work? (For example regular feedback and catch-ups, flexible working patterns, explaining wider organisational developments minimising impact of unsuitable environment (heat, light, noise, etc), home working)

#### 3. Are there any situations at work that can trigger poor mental health for you? (For example conflict at work, organisational change, tight deadlines, something not going to plan)

#### 4. How might experiencing poor mental health impact on your work?

(For example you may find it difficult to make decisions, struggle to prioritise work tasks, difficulty with concentration, drowsiness, confusion, headaches, tiredness)  
What does good mental health at work look like for you?

#### 5. Are there any early warning signs that we might notice when you are starting to experience poor mental health? (For example changes in normal working

patterns, withdrawing from colleagues tiredness, changes in expressing self, changes in clothing/hygiene)

6. What support could be put in place to minimise triggers or to support you to manage symptoms? (For example: extra catch-up time with line manager, environmental factors)

7. Are there elements of your individual working style or temperament that it is worth your manager being aware of?

(For example a preference for more face to face or more email contact, a need for quiet reflection time prior to meetings or creative tasks, negotiation on deadlines before they are set, having access to a mentor for questions you might not want to bother your manager about, having a written plan of work in place which can be reviewed and amended regularly, clear deadlines if you have a tendency to over-work a task, tendency to have particularly high or low energy in the morning or in the afternoon)

8. If we notice early warning signs that you are experiencing poor mental health – what should we do?

(For example talk to you discreetly about it, contact someone that you have asked to be contacted)

9. What steps can you take if you start to experience poor mental health at work? Is there anything we need to do to facilitate them?

(For example you might like to take a break from your desk and go for a short walk, or ask your line manager for support)

10. Is there anything else that you would like to share?

11. Agreed actions( if appropriate)

12. What (if any) information may be shared with colleagues?

Employee signature\_\_\_\_\_

Date\_\_\_\_\_

Line manager signature\_\_\_\_\_

Date\_\_\_\_\_

Date to be reviewed\_\_\_\_\_

DRAFT



**CARDIFF COUNCIL  
CYNGOR CAERDYDD**



**CABINET MEETING: 12 OCTOBER 2017**

**ACQUISITION OF NEW BUILD HOUSING SCHEME AT  
COLLEGE BUILDINGS, COURTENAY ROAD, SPOTT FOR  
COUNCIL HOUSING**

**HOUSING AND COMMUNITIES (COUNCILLOR LYNDA  
THORNE)**

**AGENDA ITEM: 9**

**DIRECTOR OF COMMUNITIES, HOUSING AND CUSTOMER SERVICE**

***The Appendices to this report are not for publication as it contains  
exempt information of the description contained in paragraph 14 of Part 4  
and paragraph 21 of Part 5 of Schedule 12A to the Local Government Act  
1972***

**Reason for this Report**

1. To approve the Council entering into a contract with Cadwyn Housing Association for the acquisition of new flats to be built on the Courtenay Road, Splott site for an agreed contract sum.

**Background**

2. The Council has a target of delivering at least 1,000 new council homes within 5 years and this scheme will be part of this delivery.
3. The site is located in the Splott area of Cardiff, to the East of the City Centre and to the south of Newport Road. The site is surrounded by residential properties and the area mostly consists of terraced housing.
4. The site is a flat and rectangular with the principal vehicular access from Courtenay Road, although there is a secondary smaller entrance to the rear of the site via University Place. The area is in a good location for access into the city centre, being served by a regular bus service along Splott Road immediately to the west of the site and Habershon Street immediately to the north.
5. The Splott ward is identified as an area where there are high levels of housing need for both Council and Registered Social Landlord affordable rented properties. The apartments will provide much needed quality council homes in a city centre environment with all the benefits of good access to local amenities and public transport.

6. Planning consent has been granted for a development of 2 small and 1 larger contemporary apartment blocks which will regenerate a currently vacant site. The scheme will consist of 20 x 1 bed apartments and 10 x 2 bed apartments. A planning permission was issued on 15<sup>th</sup> June 2017, and all apartments are designed to Welsh Government Design Quality Requirements (DQR).

## Issues

7. **Costs** – the scheme is being offered to the Council under a ‘package deal’ arrangement. ‘Package deals’ are a way of generating new affordable housing developments where the scheme proposal, site layout and unit designs are led by the developer or landowner, which in this case is Cadwyn Housing Association who own the land. The Council will enter into an appropriate form of contract and the cost of the ‘package deal’ (build costs, land costs & on-costs) offered by Cadwyn Housing Association has been independently verified by Strongs Partnership Ltd, Chartered Quantity Surveyors on behalf of Cardiff Council. This is attached in appendix 1.
8. **Land Valuation** - the land value has been assessed and verified by the District Valuation Service at 20<sup>th</sup> July 2017. This is attached in appendix 2.
9. **Financial Viability** – the total scheme is being offered to the Council on a ‘turn-key’ basis for a fixed sum of which includes acquisition costs, works and all fees/charges. A ‘turn-key’ basis means they will be providing completed units that are ready for immediate occupation.
10. The scheme viability has been assessed using the ProVal Viability Toolkit, with the baseline viability indicating that the scheme would achieve a payback of circa 37 years, with an allocation of 58% subsidy. The amount of subsidy required represents the same as the rate a Registered Social Landlord (RSL) would use when applying to Welsh Government for funding.
11. For the purposes of viability we have assumed current standard rents for 1 and 2 bed flats with no uplift for a new build premium. If a new build uplift is implemented this will improve the viability.
12. Given that the scheme is not viable without subsidy, we will be submitting the scheme to Welsh Government for inclusion within Cardiff Council’s ‘Affordable Housing Grant’ (AHG) allocation. The ‘Affordable Housing Grant’ (AHG) is a grant being made available to subsidise the yearly servicing of private finance (interest and capital) to build affordable housing, and will be available over a 29 year period. Should the scheme not be approved for Affordable Housing Grant Planning Gain funding will be used.

### **Local Member consultation**

13. Local Ward Members have been consulted about this proposal – no objections have been received.

### **Reason for Recommendations**

14. The recommended decision is that the Council proceed with entering into an appropriate contract with Cadwyn Housing Association for the acquisition of 30 new flats to be built at the Courtenay Road, Splott site for the purpose of new Council houses for an agreed contract sum.
15. To enable Communities & Housing to purchase the units for new Council house development within the Housing Revenue Account (HRA) as part of the delivery of 1,000 new council homes.

### **Financial Implications**

16. The report proposes the purchase of Housing units to make available for Social Housing. Funding is available in the approved HRA Capital Programme and Business Plan for the purchase and development of new units to support the delivery of new homes.
17. As identified in the report, the development of the site will require a subsidy to ensure affordability and options are available to secure subsidy in terms of WG support and Affordable Housing Planning Gain where received or certain in terms of receipt. Any finalisation of legal agreement will be subject to confirmation that subsidy is in place, including review of the terms and conditions of any eligible WG Funding.
18. Long term HRA Capital expenditure plans must remain within the current cap set by Welsh Government and remain affordable in the long term.

### **Legal Implications**

19. The Council is acquiring houses for the purpose of providing housing accommodation in accordance with its powers under Part II of the Housing Act 1985. The Council is required to obtain value for money from its property acquisitions and in this case supporting advice from the District Valuer and external costs consultants is set out in the appendix 1 & 2 to this report.

### **Strategic Estates Implications**

20. The Council's in-house surveyor is content with the external advice for the purposes of the Council's Procedure Rules for the Acquisition and Disposal of Land

## **RECOMMENDATIONS**

Cabinet is recommended to delegate authority to the Director for Communities, Housing & Customer Services to enter into a contract (following Due diligence and viability approval) with Cadwyn Housing Association, for the acquisition at an agreed contract sum, of 30 new build flats to be developed by Cadwyn at Courtenay Road Splott.

**SARAH MCGILL**

**Director of Communities, Housing & Customer Services**

6 October 2017

*The following appendices are attached:*

Appendix 1 – Independently verification Strongs Partnership Ltd (confidential)

Appendix 2 - District Valuation Service Land Value Assessment (confidential)

*The following background papers have been taken into account*

The viability assessment

By virtue of paragraph(s) 14, 21 of Part(s) 4 and 5 of Schedule 12A of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank

By virtue of paragraph(s) 12, 21 of Part(s) 4 and 5 of Schedule 12A of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank