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AGENDA

Committee POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE

Date and Time of Meeting TUESDAY, 8 MARCH 2016, 4.30 PM

Venue COMMITTEE ROOM 4 - COUNTY HALL

Membership Councillor Howells (Chair)
Councillors Hunt, McKerlich, Murphy, Thomas, Wild and Sanders
(2 vacancies)

1 Apologies for Absence

To receive apologies for absence.

2 Declarations of Interest

To be made at the start of the agenda item in question, in accordance with the Members' Code of Conduct.

3 Corporate Assessment Follow on - Wales Audit Office (*Pages 1 - 30*)

- a) Representatives of the Wales Audit Office will be in attendance: Alan Morris, Group Leader; Non Jenkins, Local Government Manager (South East); and Chris Pugh, Performance Audit Lead.
- b) Councillor Phil Bale, Leader will be in attendance and may wish to make a statement.
- c) Also in attendance to answer Members questions Paul Orders, Chief Executive; and Christine Salter, Corporate Director Resources;
- d) Questions by Members of the Committee.

4 Quarter 3 Performance 2015/16 (*Pages 31 - 90*)

- a) Councillor Graham Hinchey, Cabinet Member Corporate Services & Performance will be in attendance and may wish to make a statement.
- b) Also in attendance to answer Members questions. Christine Salter, Corporate Director Resources; and Joseph Raey, Head of Performance & Partnerships
- c) Questions by Members of the Committee.

5 Draft Strategic Equality Plan (Pages 91 - 172)

- a) Councillor De'Ath, Cabinet Member Safety, Engagement & Democracy will be in attendance and may wish to make a statement.
- b) Also in attendance to answer Members questions Christine Salter, Corporate Director Resources, Paul Keeping, Operational Manager (Scrutiny & Equalities) and Caryle Alleyne, Equalities Officer.
- c) Questions by Members of the Committee.

6 Committee Business (Pages 173 - 216)

- Correspondence Update.
- Way Forward.

7 Date of next meeting - Tuesday 12 April 2016 at 4.30pm in Committee Room 4

David Marr

Interim Monitoring Officer

Date: Wednesday, 2 March 2016

Contact: Kate Rees 029 2087 2434 a.redmond@cardiff.gov.uk

WALES AUDIT OFFICE CORPORATE ASSESSMENT FOLLOW ON

Reason for this Report

1. To provide an opportunity for the Committee to receive the Council's Corporate Assessment Follow On report published by the Wales Audit Office (WAO). A copy of the WAO's report was released on 26 February 2016 and is attached as **Appendix A**.
2. The Corporate Assessment Follow On assessment will be formally presented to the Cabinet at its meeting on 10 March 2016, presented to the Audit Committee on 22 March 2015, and to all Council Members in a series of briefings.

Background

3. The Local Government (Wales) Measure 2009 gives the Auditor General the power to assess and report on the Council's arrangements to secure continuous improvement. The WAO's cycle of Corporate Assessment means the Council can expect to receive this type of formal assessment every four years.
4. The fieldwork undertaken by WAO for a Corporate Assessment focuses on the extent to which arrangements in the Council are contributing to delivering improved service performance and outcomes for citizens. Having carried out such fieldwork the Auditor General can:
 - a. make proposals for improvement, which he will expect the Council to address and which he will follow up;
 - b. make formal recommendations which the Council must respond to in 30 days;

- c. conduct a special inspection; and
 - d. recommend to Ministers of the Welsh Government that they intervene in some way.
5. The Corporate Assessment that preceded this Follow On report was issued in September 2014 and can be found in Cabinet papers of 18. September 2014, accessed via the following link
<http://cardiff.moderngov.co.uk/CeListDocuments.aspx?Committeed=151&MeetingId=483&DF=18%2f09%2f2014&Ver=2>
6. In summary the Auditor General concluded that '***Fragmented leadership and management have meant that weak performance in key service areas has not improved***'. This conclusion in September 2014 was based on evidence of political and managerial instability over a number of years; a lack of effective means of delivery for citizens; decision-making processes that were inefficient and lacked transparency; performance management failing to consistently secure improvement; uncertain prospects for achieving proposed savings in 2014-15; unsustainable methods of service delivery; inconsistent implementation of human resource arrangements; and not managing land and property assets well. There was however evidence of the Council collaborating well with others to improve outcomes for citizens; improving information technology; and improving information management arrangements.
7. The report made one formal proposal for improvement, that the Council ensures the implementation of its Organisational Development Plan to resolve the issues, listed at point 5.
8. The Follow On Review assessment published on 26 February 2016 took place over several weeks in Autumn 2015, with WAO observing the way the Council works and interviewing staff, directors, managers and politicians to find out if improvements had been made since their initial assessment visit early in 2014. The Review sought to answer the question '*Is the Council effectively addressing the issues raised in the Corporate Assessment?*'

Corporate Assessment Follow On – The Findings.

9. The Auditor General’s judgement following the Review is 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.***”
10. The Council has received one formal recommendation, that seeks to ensure it addresses 14 clear proposals for improvement to deliver improved outcomes within the next 12 months.
11. The proposals for improvement can be found on **pages 6-8 of Appendix A**, and sit under four headlines; Leadership and Management; Governance; Performance Reporting; and Corporate Enablers.
12. Having received the Corporate Assessment Follow On the Council is required to respond by preparing a statement of action and proposed timetable within 30 days.

Way Forward

13. Representatives of the Auditor General, Alan Morris, Group Leader, Non Jenkins, Local Government Manager (South East), and Chris Pugh, Performance Audit Lead, will be in attendance at the meeting to present the findings of the WAO Corporate Assessment Follow On and to answer Members’ questions.
14. The Leader, Councillor Phil Bale, Chief Executive, Paul Orders, and Corporate Director Resources, Christine Salter, have been invited to attend the meeting to outline the Council’s response and next steps, and to answer Members’ questions.

Legal Implications

15. 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 any modifications. 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 powers 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. Scrutiny Procedure Rules; (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.

Financial Implications

16. 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. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

RECOMMENDATIONS

The Committee is recommended to:

- i. Consider the information presented in this report and at the meeting;
- ii. Consider whether it wishes to make any comments to the Cabinet; and
- iii. Consider whether it wishes to schedule any further scrutiny of the issues identified in the Follow On report.

David Marr

Interim Monitoring Officer

2 March 2016

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WALES AUDIT OFFICE
SWYDDFA ARCHWILIO CYMRU

Corporate Assessment Follow On

City of Cardiff Council

Issued: February 2016
Document reference: 735A2015



This Corporate Assessment Follow On report has been prepared on behalf of the Auditor General for Wales by Non Jenkins, Chris Pugh, David Wilson, Sara-Jayne Byrne, Allison Rees, Phil Morgan, Avril Watkins, Andrew Strong and Emily Owen delivered the work, under the direction of Alan Morris.

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The Auditor General is independent of government, and is appointed by Her Majesty the Queen. The Auditor General undertakes his work using staff and other resources provided by the Wales Audit Office, which is a statutory board established for that purpose and to monitor and advise the Auditor General. The Wales Audit Office is held to account by the National Assembly.

Together with appointed auditors, the Auditor General audits local government bodies in Wales, including unitary authorities, police, probation, fire and rescue authorities, national parks and community councils. He also conducts local government value for money studies and assesses compliance with the requirements of the Local Government (Wales) Measure 2009.

Beyond local government, the Auditor General is the external auditor of the Welsh Government and its sponsored and related public bodies, the Assembly Commission and National Health Service bodies in Wales.

The Auditor General and staff of the Wales Audit Office aim to provide public-focused and proportionate reporting on the stewardship of public resources and in the process provide insight and promote improvement.

Cover image credit - Kieran Ridley

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Summary report

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

- 1 In September 2014 we reported our Corporate Assessment of the City of Cardiff Council, which concluded that 'Fragmented leadership and management have meant that weak performance in key service areas has not improved.' We came to this conclusion because:
 - a political and managerial instability over a number of years has meant that the Council has been unable to develop the culture and framework necessary for continuous improvement;
 - b the Council has identified what it wants to achieve for its citizens but has lacked an effective means of delivery;
 - c some processes intended to ensure good governance are not being implemented, and decision-making processes are inefficient and lack transparency;
 - d whilst there have been some recent changes, performance management has failed to consistently secure improvement in the past;
 - e although the Council ensures a balanced budget, prospects for achieving proposed savings in 2014-15 are uncertain and the anticipated level of future funding means current methods of service delivery are unsustainable;
 - f corporate human resource arrangements are founded on positive practice but are not being implemented consistently;
 - g the Council is improving its use of information technology and its information management arrangements;
 - h the Council is not managing its land and property assets well; and
 - i the Council engages well in collaboration with others and is able to demonstrate improved outcomes for citizens.
- 2 The Corporate assessment report made one proposal for improvement, which was that 'the Council ensures the implementation of its Organisational Development Plan resolves the range of issues identified in this assessment'.
- 3 This follow-on review seeks to answer the question: 'Is the Council effectively addressing the issues raised in the Corporate Assessment?'

- 4 In order to inform our Corporate Assessment Follow-on we also undertook two tracer reviews of the decision-making processes in relation to:
- a revisions to the Council’s leisure services and its progress in taking forward alternative delivery models; and
 - b revisions to the Council’s waste strategy (and associated arrangements).

The findings of these tracer reviews have informed our corporate assessment follow-on work and have been incorporated into this report.

- 5 Our follow-on review concludes 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.’**

- 6 We came to this conclusion because:

- a overall, the Council has responded positively to the Corporate Assessment findings, and put better arrangements in place to support improvement and address longstanding issues; and
- b the Council is now at a critical point in ensuring that improved arrangements are embedded and implemented consistently and constructively across the organisation in order to achieve a step change in delivering improved outcomes.

Recommendations and Proposals for Improvement

- 7 In this report, the Auditor General has made one formal recommendation and 14 proposals for improvement as follows.

Recommendations

Recommendation	
R1	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.

Proposals for Improvement

Proposals for Improvement	
Leadership and management	
P1	Develop further engagement opportunities with staff and Members to consistently embed a constructive performance management culture across the organisation to help deliver improved outcomes.
Governance	
P2	Clarify the roles and responsibilities within the Council's decision making framework. In particular: <ul style="list-style-type: none">a ensuring that meetings of the Informal Cabinet meetings are recorded appropriately;b ensuring that the title and roles of Assistants to Cabinet Members' are applied consistently ensuring that their limited roles and responsibilities do not cloud any accountabilities;c review the role and membership of Cabinet Advisory Groups to ensure that those members involved do not sit on any Scrutiny Committee responsible for scrutinising the same/similar issues; andd ensure that a decision is made on the issue about whether to delegate executive decision-making to individual Cabinet Members.
P3	Further strengthen the Council's scrutiny function by: <ul style="list-style-type: none">a developing an approach to scrutinising cross cutting issues; andb ensuring that any vacancies on scrutiny committees are filled quickly.
P4	Ensure that all committee agendas, minutes and decision-logs are published in a timely manner on the Council's website, and increase the number of committees that are webcast.
P5	Enhance Member accountability by: <ul style="list-style-type: none">a ensuring that the Standards and Ethics Committee plays a more proactive role in promoting and enforcing the Cardiff Undertaking for Councillors and supporting policies in relation to Member conduct and behaviour; andb strengthening member development and learning programmes based on competency assessments to improve skills and understanding to enable them to undertake their roles more effectively; andc determining what training should be considered essential for Members to discharge their role effectively.

Proposals for Improvement

Performance Reporting

- P6 Further strengthen **performance reporting arrangements** to support decision making by:
- a including SMART performance measures within directorate delivery plans, and ensure that these are reported to Cabinet and scrutiny to demonstrate progress;
 - b consistently using and reporting on a Red/Amber/Green rating for Corporate Plan commitment actions and Directorate Plan actions in quarterly reports provided to Scrutiny;
 - c mandating consistent service level plans; and
 - d prioritising key performance indicators (KPIs) where the Council will seek to demonstrate improved performance and outcomes.

Corporate Enablers

- P7 Adopt a more cohesive and co-ordinated approach to **corporate enabler functions** to better help the Council drive improvement.
- P8 Further develop the Council's **performance management arrangements** by
- a enhancing the Council's performance management strategy to include guidelines timescales, processes and procedures to support a consistent approach; and
 - b increasing the level of performance management and challenge undertaken by the central performance team.
- P9 Further develop the Council's **Human Resource** processes and strategies by:
- a strengthening the Council's staff appraisal process by including explicitly measurable objectives, capturing information on training on a corporate basis, and developing links to staff's future career aspirations to support workforce and succession planning; and
 - b further embedding the Council's workforce strategy and integrating this with financial and service planning.
- P10 Complete the data capture exercise relating to the **use of assets** and develop a single system to hold appropriate asset management information.
- P11 Ensure all outstanding actions from the Construction Excellence Wales review of the Council's building maintenance framework are completed.

Proposals for Improvement

Corporate Enablers

- P12 Further strengthen the Council's **financial planning processes** by:
- a developing more explicit links between the Medium Term Financial Plan and the Council's improvement planning arrangements;
 - b strengthening links between the Medium Term Financial Plan and service plans;
 - c ensuring that savings proposals owned by Directorates are linked to the Organisational Development Programme where relevant, are fully costed, and that delivery is driven by the Organisational Development Programme Board; and
 - d ensuring all budget savings plans are fully developed as appropriate with realistic timescales when the annual budget is set.
- P13 Further strengthen the Council's **IT arrangements** by:
- a further developing the draft Digital ICT strategy and formally agreeing this strategic vision for delivering digitally enabled services;
 - b deploying the Customer Relationship Management system fully to appropriate services across the Council;
 - c implementing the mobile scheduling and flexible working technologies where appropriate; and
 - d expanding the number and depth of ICT KPIs measured and reported, to cover the whole ICT service, and benchmark against public service comparators.
- P14 Further strengthen the Council's **information governance arrangements** by:
- a completing the outstanding actions from the Information Commissioner's Office audit on data protection and information confidentiality;
 - b increasing the level of staff completion of the Council's information confidentiality and data protection e-learning training programme;
 - c fully implementing the Electronic Records Management System across the Council;
 - d improving the Council's response rates against statutory targets in respect of data protection subject access requests and Freedom of Information Act requests; and
 - e completing a Caldicott principles into practice self-assessment.

- 8 The Council must respond to the formal recommendation by preparing a statement of action and proposed timetable within 30 days of receipt of this report.

Detailed report

Overall, the Council has responded positively to the Corporate Assessment findings, and put better arrangements in place to support improvement and address longstanding issues



The Council's leadership and management have become more cohesive, have improved engagement with members and staff, and have put in place a clear strategic direction

- 9 Since our Corporate Assessment in September 2014, the Council's leadership is more cohesive. The Leader was appointed in March 2014, and a new Cabinet was put in place following a competitive selection process.
- 10 The Council's leadership and management have improved the culture of the organisation by promoting better engagement with members and staff and encouraging greater openness and self-awareness of the Council's weaknesses and strengths.
- 11 The leadership has taken a number of steps to develop and promote an engaging culture, including the practice of involving opposition leaders in various discussions. For example:
 - a opposition leaders continue to be routinely invited to attend Cabinet meetings in order to raise any issues and ask questions directly of the Cabinet;
 - b the Leader continues to hold regular meetings with opposition leaders;
 - c opposition leaders are invited to attend and partake in the Council's Challenge Forum meetings;
 - d the Chair of the Policy Review & Performance Scrutiny Committee is invited to attend the Council's Challenge Forum meetings in an observer capacity; and
 - e there is clear commitment to supporting the development of the skills of Members via a Member development strategy.
- 12 During our review, we identified a significant consensus of support for the Chief Executive, both from officers and Members. Like the Leader, the Chief Executive has adopted an inclusive approach to engaging with officers, regularly meeting with front line staff and middle tier managers to discuss the Council's improvement progress.
- 13 There is a clear and open commitment, both politically and managerially, to recognise and address the Council's longstanding poor performance.
- 14 The Council has established a clear strategic direction. The Council's Corporate Plan 2015-17 identifies four priorities which are supported by 11 improvement objectives. To assess whether the Council will be successful in delivering its priorities and objectives, national and local indicators to measure performance have been identified. Mandatory directorate delivery plans have been introduced containing the actions and indicators from the Corporate Plan 2015-17, to drive and deliver improvement at a service level.

- 15 The Council has more recently responded proactively to the Welsh Government's long-term strategy of achieving zero waste, addressing the fact that previously it has not achieved Welsh Government targets in relation to recycling. The Council's new waste strategy was consulted on as part of Ask Cardiff 2015, and approved by Cabinet in April 2015. In developing the new strategy, there was appropriate scrutiny with clear, timely and transparent decision making. The impact of the waste strategy on the Council's recycling rates is uncertain as the final performance against recycling targets for 2015-16 is not yet known.
- 16 Following a review of potential alternative delivery models for leisure services in January 2014 by Max Associates, the Council's Cabinet decided to carry out a procurement process for the future management of 11 leisure facilities and two Arts venues. Officers and Members had consistent views in relation to the desired outcomes and the delivery model for leisure services in the future. Residents were consulted on the proposals via Ask Cardiff 2015 and a project board has been established to oversee the project. The new Director of City Operations has a proactive role in this project to embed accountability arrangements.
- 17 The CSSIW published its Annual Review and Evaluation of the Council's Performance 2014-2015 in October 2015 which reported that:
- a The director for social services presents a clear picture of the challenges and areas of progress made within the directorate over the past year. The director also sets clear aims to deliver improvements over the coming year.
 - b The Council is undertaking a strategic overview of services which is enabling the Council to begin to plan for changes within the department.
- 18 During October 2015, Estyn undertook a Significant Improvement visit at the Council to review progress against recommendations made during a monitoring visit in February 2014. One of the recommendations was to 'Improve the effectiveness of the joint planning across the range of partnership working'. In respect of this recommendation, Estyn reported that there is now a more strategic approach to building a culture of partnership working where partners are working more closely to improve wellbeing in order to address underachievement. In addition Estyn reported that there is an increase in the effectiveness of the Council's consultation, and this shift in culture has resulted in better engagement between the Council and its schools.
- 19 Estyn concludes that overall, improvements in partnership working are contributing to better outcomes in schools. Over the period 2013-2015 there has been an improvement of around nine per cent in the proportion of Cardiff pupils achieving the level 2 threshold including English or Welsh and mathematics. During the same period, there have also been improvements in the proportion of pupils achieving the Foundation Phase Outcome Indicator and the core subject indicator at key stage 2. Although secondary attendance levels did not improve in 2014-

15, historical increases from previous years have been maintained. However, the Council has been less effective in working with partners to reduce exclusions and increase the proportion of young people who are engaged in education, employment or training.

- 20 The Council's restructure of its senior management was completed in June 2015, reducing the number of Directors from 11 to seven to help reduce silo working between departments and improve co-ordination and communication amongst the senior management team. Through our interviews with officers and Members we found that overall the restructure was seen as a positive action, and was starting to help improve the effectiveness of delivering services as well as reducing silo working.

Improving governance arrangements are helping to promote a better culture of accountability and risk management

- 21 Cabinet meetings are conducted in an appropriate manner, and Cabinet members are settling into their roles with robust challenge provided via the opposition leader's questioning. From our observations, reports provided to Cabinet are well written and presented effectively.
- 22 The Council's scrutiny function is improving. Actions from scrutiny meetings are issued to the relevant Cabinet member by the Scrutiny Committee Chair, and our review found that Cabinet members respond promptly.
- 23 The Council's Standards and Ethics Committee has a clear remit to monitor the conduct of members. The Committee, in liaison with the Council's Monitoring Officer, has also organised various training events for Members, including sessions on the appropriate use of Social Media and Data Protection. The Committee's members have also started to attend various Council committee meetings to observe.
- 24 The Council's Audit Committee has an important status within the Council, with the Leader and Chief Executive attending to make presentations on relevant issues. In October 2015, the Committee introduced a tracker system to monitor external regulator reports and Council actions in respect of relevant recommendations and proposals for improvement.
- 25 The quality and impact of the Council's wider accountability processes have improved. These improvements include appraisals for the Leader and Cabinet Members as well as the Chief Executive, and the introduction of a number of mechanisms to directly challenge directorate performance and increase personal accountability of senior managers. For example, the introduction of the Challenge Forum and the Star Chamber.

- 26 The Council has improved the way it identifies and manages risks. The corporate risk register identifies 25 corporate risks and sets out how these are to be managed. The risk management policy contains clear definitions and guidance to officers when determining levels of risk. The Cabinet reviews the risk register on a bi-annual basis and corporate risks are included within the quarterly performance reports to Cabinet.
- 27 The Council has addressed the recommendations from the Information Commissioner's Office 'Undertaking'¹ from August 2013, relating to arrangements for responding to data protection subject access requests. In June 2014 the Information Commissioner's Office found that 'reasonable assurance' could be taken from the Council's information governance arrangements, whilst providing a number of recommendations for improvement. A follow-up review was undertaken in October 2014 and found that further progress had been made.
- 28 The Council has developed an Information Management Strategy for the period 2014-18. A Records Management Policy has also been developed to support the Information Management Strategy which sets out the Council's record retention arrangements. A corporate wide Electronic Records Management System has been piloted and implemented in a small number of areas across the Council as part of the Information Management Strategy. In September 2015 the Council updated its Information Governance Training strategy, with the Information Management Strategy and Records Management Policy being embedded into its e-learning modules for staff.

The Council's leadership and management are committed to establishing a better performance management culture and improved arrangements are in place to monitor outcomes

- 29 Longstanding performance management weaknesses are beginning to be addressed and a better performance management culture is emerging. The Leader and Chief Executive are leading efforts to ensure consistent application of performance management across the Council. A performance management strategy has been developed that conveys the importance of reliable, consistent, timely and accurate performance information.
- 30 Quarterly performance reports relating to the Council's directorate delivery plans are presented to Cabinet and Scrutiny Committees. These reports provide both an update on key actions and targets and identify any emerging challenges and risks, which are accompanied by mitigating actions.
- 31 The Council has also introduced the 'Star Chamber' to enable the Leader, Cabinet Members and the Chief Executive to scrutinise directors in respect of their quarterly performance reports. Our observation of the Star Chamber identified that it offers a robust mechanism to question and challenge directorate performance.

¹ There are a number of tools available to the Information Commissioner's Office for taking action to change the behaviour of organisations and individuals that collect, use and keep personal information. One option the issuing of an 'undertaking' committing an organisation to a particular course of action in order to improve its compliance. **Taking Action - Data Protection page on The Information Commissioner's website**

- 32 Cabinet Members recognise the Council's National Strategic Indicators (NSIs) and Public Accountability Measures (PAMs) as important measures of progress and success. The Council has shown ambition by stating in its Corporate Plan that for 2015-16 and 2016-17 it is aiming for over 50 per cent of its NSIs and PAMs to be ranked in the top half when compared against all Welsh Councils.
- 33 As part of our review, we carried out an examination of a sample of the Council's Performance Indicators and operational data systems. Data quality reviews are undertaken to gain assurance that the Council's performance measurement systems are robust and that resulting performance data is accurate. We examined six performance indicators (four National strategic indicators and two local indicators) and the underlying systems used to compile the results.
- 34 For those indicators we reviewed we found that the performance measurement systems are robust and that resulting performance data was generally accurate. Support is provided by the central performance team to assess and verify performance information.

The Council has improved its arrangements for financial planning, HR management, and asset management and IT

The Council's medium term financial plan has been extended to cover a longer period, and there is increased engagement with directorates in the setting of targets and reshaping of the budget

- 35 The Council's Medium Term Financial Plan now covers the period 2016-17 to 2018-19. Positive steps have been taken to improve the identification of savings for 2016-17 and for the medium term, through engagement with directorates and an exercise to reshape the base budget. Members and directorates are actively involved in the process of setting the savings targets.
- 36 The Council has also raised the profile of financial resilience in a number of ways, including: finance training programmes; member seminars; and the sharing of summarised budget and financial information via a Financial Resilience Dashboard.

The Council's Human Resource arrangements are helping to strengthen staff capacity and capability

- 37 A revised Personal Performance and Development Review policy was implemented in April 2015. The policy sets out the performance appraisal purpose, relevant roles and responsibilities and the procedure for setting objectives and rating staff performance. A target has been set for 90 per cent completion of staff appraisals by quarter four of 2015-16. As at January 2016, the Council's compliance rate with performance reviews has improved, with 90 per cent of staff having completed the appraisal process.
- 38 The Council has made improvements to days lost to sickness absence by implementing a range of proactive and reactive measures. These include; introducing specific objectives for managers relating to sickness absence, a revision of the Attendance and Well Being policy, a tool kit and a training programme.
- 39 The Council has developed a Workforce Strategy for the period 2015-2018, which recognises the need to respond to future financial and delivery challenges. The strategy is aligned with the Council's vision, values and priorities as set out in its Corporate Plan 2015-17, and places an increased emphasis and priority on workforce planning, identifying the gaps in the current workforce and what the future human resource requirements will be. The strategy contains a basic profile of the current workforce and a clear action plan, with explicit outcomes for seven priority areas:
- a workforce planning,
 - b performance management;
 - c employee voice;
 - d trade union partnership;
 - e learning and development;
 - f health and wellbeing; and
 - g the employee charter.
- 40 Progress against the strategy is reported on a quarterly basis to the Enabling and Commissioning Programme Board and the Organisational Development Board.

The Council is developing a more strategic and co-ordinated approach to the management of assets

- 41 The Corporate Asset Management Plan identifies the strategic importance of utilising its assets more effectively and sets targets for reduced costs and appropriate ownership. The Asset Management Board and Asset Management Working Group bring together managers from across the Council and its partners to manage assets as a corporate resource, rather than on an individual directorate basis.
- 42 Information held on assets has also improved. The Council now maintains a register of all properties including detailed information about them, such as running costs, floor area and backlog maintenance. Awareness amongst staff of the importance of asset management has been raised via a poster campaign.

The Council has taken steps to develop and deploy digital services and flexible working technologies

- 43 A draft Digital Strategy is being further developed to deploy a 'digital first' approach to redesigning services. This approach is designed to enable the public to communicate and transact with the Council electronically, whilst paying for services using mobile technologies through fully automated IT systems. The Council acknowledges that modern technology needs to be combined with a customer-focussed approach to ensure services are easy to use and efficient. The Council is aiming to converge the IT systems used across the organisation to focus on fewer corporate solutions and standards for the storing of information.
- 44 The deployment of a new Customer Relationship Management system is planned for December 2015. This maintains all public contacts and services in a single IT system, enabling new channels for a more automated based service delivery; for example, reporting a missed bin collection via a mobile device. The Council has developed a three-year phased implementation plan for the system and aims to move all services online by 2018-19.
- 45 The Council has also begun implementing flexible working technologies across service areas. From May 2014 mobile scheduling was introduced to Community Maintenance to automate and redesign services, allowing Council staff to work in a more agile and efficient way. Mobile scheduling is currently planned for deployment in Adult re-ablement by the end of 2015.

The Council is now at a critical point in ensuring that improved arrangements are embedded and implemented consistently and constructively across the organisation in order to achieve a step change in delivering improved outcomes

The commitment of the Council's Leadership and Management to a cohesive and inclusive culture is not always being engaged with consistently or constructively across the Council

- 46 The Council's leadership and management have demonstrated increased cohesion and engagement and set out clearer strategic aims regarding performance and accountability. However, the extent to which these arrangements and new opportunities are constructively engaged with is not consistent across the Council. We found that the extent to which performance management and accountability was embedded throughout the organisation was variable.
- 47 The Council has acknowledged strategic weaknesses within Adult Social Care, and commissioned the services of a peer reviewer to undertake a diagnostic assessment of the service. The diagnostic identified that professional leadership in the service has been underpowered, and while the senior team operated effectively as individuals there has been limited collective action. The Council reported this to its Community and Adult Services Scrutiny Committee, which shows its openness and a commitment to surface and address longstanding issues collectively in an engaged manner.
- 48 Whilst it is clear that most Members and officers we spoke to as part of this review are positive about the direction in which the Leadership and Management are developing a more engaged culture, they were also clear that the arrangements and new opportunities to engage are not being consistently or constructively engaged with by all. Variable Member engagement and attendance are observed at Scrutiny Committee meetings, the Leader's meetings with opposition leaders, the Challenge Forum, Member Training and Member Briefing sessions. However, commitment to attending and engaging in full Council meetings, which are always webcast to the public, is strong.

There are a number of weaknesses in governance arrangements, some of them longstanding, that are yet to be fully addressed

- 49 The Council's Standards and Ethics Committee is not sufficiently proactive in taking action relating to concerns we identified regarding the conduct of a small number of Members. The Council has in place the 'Cardiff Undertaking' for Members, setting out expectations in relation to their conduct. The Standards Committee has also set out in its Annual Report the 10 general principles of public life and its commitment to play a positive and proactive role. However, the Committee could do more to visibly enforce the principles and the Cardiff Undertaking, as it appears that Member engagement is not consistently positive, professional and constructive. Some Members have openly disengaged in Council business and feel the need to engage with the media and social media to get their points across.

- 50 The Standards and Ethics Committee, in liaison with the Monitoring Officer, organises various training for Members. However, it should give further consideration to how it can increase the number of members attending the training sessions, and what training should be considered essential for Members to discharge their role effectively, for example, the use of social media and data protection.
- 51 The Council has Informal Cabinet meetings, as is the usual practice in most Councils. However, the role and responsibilities of the Informal Cabinet need to be clarified and communicated to Members and officers. Appropriate documentation and records of discussions as well as actions should be kept to enable a clear decision making trail (including recording when it has been agreed not to take a decision or not to consider a specific option).
- 52 Three Assistants to Cabinet Members have been appointed. Their functions are clearly defined in the Council's constitution, but during our review they were often referred to as Assistant Cabinet Members, which are posts that are not permissible. This lack of clarity raises the risk that they may be perceived to be members of the Cabinet or inappropriately become directly involved in the decision making process. However, the Council advised us that they did not do so.
- 53 An Affordable Housing Advisory Group, which provides advice to the Cabinet on specific policy issues, has been established. There are two Members who are both part of the Advisory Group and a Scrutiny Committee whose remit covers the policy area being developed by the Advisory Group that they sit on. This clouds accountability arrangements and the independence of Scrutiny.
- 54 Decisions relating to the Council's executive functions are taken by the Cabinet as a whole or delegated to its Senior Officers. These arrangements are set out in the Council's constitution and recorded in its decision register, both of which are available on the Council's website. The Council has started to consider whether to delegate some of these executive decisions to individual Cabinet Members so as to help speed up executive decision-making, in line with the comments we made in our September 2014 Corporate Assessment report. However, the issue of whether to delegate executive decisions to individual Cabinet Members has not yet been resolved by the Council.
- 55 The Scrutiny Committees have a number of vacancies, and often have low member attendance. Not all Members are perceived to be fulfilling their democratically elected roles, and the responsibilities entrusted to them to constructively challenge policy and decision makers. This undermines the potential effectiveness and impact of Scrutiny.
- 56 Transparency via the Council's webcasting is not consistent. Currently only full Council and, since November 2015, Planning Committee meetings are webcast live. The Council is developing the wider use of webcasting through the use of trials, but it has yet to be fully implemented for all committee meetings.

- 57 Whilst improvements have been made in ensuring that committee minutes are promptly and accurately published on the Council's website, there are still some instances where this is not the case.
- 58 The Council is aware that a number of the recommendations made by the Information Commissioner in June 2014 during its review of the Council's information governance arrangements have yet to be fully addressed.
- 59 The Council is currently below its target for completion of information confidentiality and data protection e-learning. As at October 2015, 81 per cent of staff had completed the training for 2015 against a target of 85 per cent.
- 60 The Council started to implement a corporate Electronic Records Management System during 2015. However, this has only been piloted in a small number of areas and not rolled out across the whole Council.
- 61 The Council monitors its response to data protection subject access requests and Freedom of Information Act requests against statutory targets. At the time of our review, data protection information subject access requests have been measured at 86 per cent against a compliance target of 90 per cent for responses within 40 days. All Freedom of Information Act requests must be responded to within twenty days. At the time of our review, the Council had only achieved this in respect of 75 per cent of requests managed by the corporate information management team, and 71 per cent in respect of requests managed by the Council's directorates.
- 62 In April 2014 the Council formally acknowledged the Director of Social Services as the Caldicott Guardian². Whilst it is good practice to complete a Caldicott Principles into Practice self-assessment on the Council's Caldicott arrangements, as at December 2015 this has not been done.

The Council is yet to demonstrate a step change in improvement in some key service areas and does not consistently report performance measures effectively

- 63 During October 2015, Estyn undertook a Significant Improvement visit at the Council to review progress against recommendations made during the monitoring visit in February 2014. One of the recommendations being followed up was 'Reduce exclusions and reduce the proportion of young people who are not in education, employment or training post-16'. In respect of this recommendation, Estyn identified that the percentage of young people who are not in education, employment or training (NEET) in Cardiff continues to fall. Despite this, the Council continues to be one of the worst performing in Wales and the variation across schools is too great. In Cardiff schools in 2014, Year 11 NEETs ranged from 0.4 per cent to 13 per cent.

² Caldicott Guardians ensure that all organisations working in Health and Social Care have appropriate policies and processes in place to protect sensitive information, in the form of patient-identifiable data, from unnecessary and insecure disclosure. NHS Wales Informatics Service, **Caldicott (Principles into Practice (C-PIP) Foundation Manual for Caldicott Guardians**, Second Edition 2012.

- 64 The CSSIW published its Annual Review and Evaluation of the Council's Performance 2014-2015 in October 2015, which reported that performance indicators that demonstrate some key areas of performance still require improvement. CSSIW, **Performance Evaluation Report 2014–15: The City of Cardiff Council social services**, October 2015.
- 65 There are 18 NSI and PAMs relating to adult and children services. The Council's performance declined between 2013-14 and 2014-15 in respect of fourteen of these performance indicators, with three improving and one remaining unchanged.
- 66 In 2013-14 the Council did not meet the Welsh Government target of 52 per cent for recycling, only achieving 49.7 per cent, ranking it twentieth out of twenty two when compared to all Councils in Wales. In 2014-15 the Council exceeded the 52 per cent target, achieving 53.3 per cent. However, the Council has acknowledged that this improvement was, in part, due to the inclusion in the figures of a stockpile of street sweepings, which was a one-off inclusion. The Welsh Government recycling target for 2015-16 is 58 per cent. The Council will require a step change in performance to meet this target, and it has launched a new strategy to help it achieve this. The Council is confident that this target will be met, however, until the end of 2015-16 this is uncertain.
- 67 Based on the National Strategic Indicators (NSIs) and Public Accountability Measures (PAMs), the Council's overall performance has declined. The 2014-15 NSI and PAM data shows 26 indicators declined with 18 improving and one unchanged.
- 68 The content and presentation of information in the quarter one performance report presented to Cabinet varied between Directorates. The report set out all of the indicators against which the Council measures progress, including NSIs, PAMs and other local indicators. Progress against target for these indicators is reported using a Green/Amber/Red rating where: Green is on target; Amber is not on target but is recoverable in relation to its target; and Red is not on target and significant work is required to recover it to a position of being on target. In respect of these indicators 62 are rated as Green, 34 as Amber and 14 as Red. Whilst each Directorate sets out how many Corporate Plan Commitment actions and Directorate Plan actions are Green, Amber or Red, the narrative does not consistently explain which rating is attached to the specific actions.
- 69 Scrutiny Committees receive the quarterly performance reports in the same format as those presented to Cabinet. Therefore, the weaknesses relating to performance reporting to Cabinet are replicated during the scrutiny process.
- 70 Both officers and Members acknowledge that, due to current financial constraints, the Council can no longer improve the performance of all NSI and PAM indicators. However, our interviewees were uncertain which indicators the Council should target to improve performance.

- 71 The Council's Corporate Plan 2015-17 and directorate delivery plans do not always contain baseline data to provide the necessary context for the Council's performance. The quality of performance measures varies in the directorate delivery plans, as measures are often not outcome focussed. In addition, not all plans contain information in relation to partners, or links to the Council's Medium Term Financial Plan.
- 72 Service Level plans are not mandatory, and those that are in place are inconsistent. We reviewed four service plans, which three had different timescales: 2015-16; 2015-17; and 2015-18. There is also a lack of consistency in the performance measures contained within the service level plans against which improvement can be measured, and services held to account.

Corporate enabler functions are not operating in a sufficiently cohesive way to drive improvement

- 73 Corporate enabler functions should support the efficient and effective delivery of Council services. The Council's enabling functions, such as Performance Management, Human Resources, Asset Management, Procurement, Finance and IT, are being strengthened. However, they are not yet working in a sufficiently cohesive way to provide the necessary strong core of support and challenge to help the Council drive service improvement.
- 74 Performance management arrangements are underpowered and are not implemented fully across the Council. The Council has produced a performance management strategy that conveys the importance of performance management information. However, the strategy lacks the guidance, timescales, processes and procedures necessary to ensure a consistent approach and to support accountability. Our interviews identified mixed views on the level of challenge provided by the central performance team to the directorates. It appears to us that the role of the central performance team is to monitor rather than support the management and improvement of performance. In October 2015 the Council published its annual assessment of performance in respect of the previous year, in accordance with the Local Government (Wales) Measure 2009 (the Measure). The Council failed to provide an overall assessment of performance for each of the Council's improvement objectives, and therefore failed to satisfy the requirements of the Measure.
- 75 Whilst the Council has a workforce strategy in place, it is unclear how workforce planning is embedded in and integrated with financial and service planning. The staff appraisal process does not consistently contain sufficiently explicit measurable objectives. Nor does the appraisal process produce corporate information on training received and delivered, and the workforce's future career aspirations.

- 76 Improved arrangements to manage assets are yet to be fully established. The Council has yet to complete its assessment of the current use and suitability of its assets its future accommodation needs. Management information relating to assets is not drawn from a single system, instead coming from a range of sources requiring manual collation to produce management reports. This inefficient arrangement is hindering the Council from being able to fully deliver its Corporate Asset Management Strategy.
- 77 The Council has responded to a review of its building maintenance framework by Construction Excellence Wales in June 2015. The report contained a number of criticisms concerning accountability, the management of property assets, communication, decision-making, inefficiencies and waste, and the non-management of performance. A detailed action plan has been developed and its progress was reported to the Audit Committee in November 2015. However, whilst some actions in the plan have been completed a number are outstanding and were not achieved by the target completion date.
- 78 As part of the Council's decision to consider alternative delivery models for leisure services, we identified that the original timescale for the procurement process relating to the future management of a number of leisure venues was not achieved. We found that it was uncertain when the procurement process would conclude and when Cabinet would be required to make a decision. We also identified that the support provided to Cabinet Members to facilitate the decision making in relation to the procurement could have been strengthened. For example, by providing briefings to Members on the complexities in the procurement process. Delays in the procurement process may impact on the achievement of the Council's 2015-16 savings, although the Council is confident that the required savings will be achieved elsewhere within the same directorate.
- 79 The Council is developing financial savings plans but these are not yet fully developed or underpinned by a robust delivery strategy. The Council reported a net surplus of £1.741 million on its 2014-15 budget. This was achieved by application of one-off savings not originally anticipated, and the use of the centrally held £4 million contingency budget to mitigate planned savings not being achieved. In-year service overspends are reported transparently, but the year-end position is balanced using corporate flexibilities, including the contingency budget savings.
- 80 The outturn position included a shortfall on the 2014-15 savings target of £6.9 million. Current projections are that £2.8 million of this shortfall, along with £5.7 million of the 2015-16 target savings are unlikely to be achieved by 31 March 2016. Undelivered savings mainly relate to service delivery changes which have not happened or are taking longer to implement than anticipated, resulting in either a part-year or no in-year saving. This suggests that savings plans are not sufficiently advanced when the budget is set.

- 81 The Council has forecast a Medium Term Financial Plan shortfall of £116 million for the period 2016-17 to 2018-19, which includes a target of £44 million for policy-led savings. The Council recognises that the budget gap for future years is subject to change and key variables will need to flex to reflect this. The Council's Organisational Development Plan is the key driver for reviewing the shape and scope of services that can be delivered within the budget available. However, savings plans included in the Medium Term Financial Plan are not directly linked to work streams or projects in the Organisational Development Plan.
- 82 During 2015-16, we undertook a separate review in relation to the Council's financial resilience. The report has been issued separately to the Council and summarised in this report.
- 83 The pace at which the Council has deployed new initiatives using technology to deliver service modernisation and support business transformation has been slower than planned. The Council intended to start the three-year roll out of the Customer Relationship Management System in October 2015, but at the time of reporting this has not occurred. It is also uncertain whether the Council will be able to manage the deployment of the Customer Relationship Management system to meet the timescales identified in the strategic three-year road map, and deliver the expected benefits. Given current financial constraints, the Council is facing a challenge to provide sufficient capital and revenue budget to upgrade ageing IT systems.
- 84 The pace of deployment of business process change projects has been slow until more recently. For example, the roll out of mobile scheduling has not yet been implemented consistently across the Council. Service redesign and cultural changes have also not occurred consistently to allow the Council to increase the pace of the roll-out of mobile scheduling to automate manual processes.
- 85 ICT KPIs have been developed and aligned to the emerging corporate performance management approach developed in 2014. The KPIs on the ICT service are reported quarterly at a directorate and corporate level. However, this small number of KPIs provide limited information and do not cover wider ICT service criteria such as cost measures. In addition, assessment of the Council's ICT service performance does not include benchmarking against comparators.

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CITY AND COUNTY OF CARDIFF
DINAS A SIR CAERDYDD

POLICY REVIEW & PERFORMANCE
SCRUTINY COMMITTEE

8 March 2016

QUARTER 3 PERFORMANCE REPORT 2015-16 (October to December)

Reason for this Report

1. To present the City of Cardiff Council's performance report for Quarter 3 (October to December) of 2015/16. The Performance Report for Quarter 3 2015/16 is attached at **Appendix A**.

Background

2. The Council's Performance Management Framework includes the production of Quarterly Performance Reports designed to provide an overview of directorate performance. Effective scrutiny of performance is an important component of the Framework as it provides the opportunity to challenge performance levels, and helps the Council reprioritise efforts to secure the delivery of the Council's priorities and targets.
3. Each Quarter, the Policy Review & Performance Scrutiny Committee receives the overall performance report for the Council prior to the report going to Cabinet, while other Scrutiny Committees receive the reports of those Directorates that fall within their terms of reference. Policy Review & Performance Scrutiny Committee's role is twofold:
 - To consider the overall performance of the organisation and the actions being taken to ensure that agreed targets and commitments are delivered
 - To scrutinise the performance of the services that fall under the terms of reference of the Committee. This includes the performance of three Directorates: Corporate, Resources, and Governance & Legal Services; in addition property elements of the Economic Development Directorate;

and customer elements of the Communities, Housing & Customer Services Directorate.

4. The Policy Review and Performance Scrutiny Committee decided during work programming discussions that its approach to monitoring Council Performance in 2015/16 would be to consider Quarter 1 and Quarter 3 performance reports at full Committee, to delegate responsibility to the Chair in discussion with the Principal Scrutiny Officer to review Quarter 2 and Quarter 4, and bring to the Committee's attention any matters of concern.

Performance Overview

5. As part of the development of the performance management arrangements in the Council, and specifically in relation to improving the internal challenge regarding performance of services, the Council has a 'Star Chamber' where the Chief Executive, Directors and Cabinet Members have an open and candid debate regarding performance levels, and challenges facing service delivery, at which a set of actions are agreed. The Chair of this Committee has been invited to observe Star Chamber.

Quarter 3 Performance Report Structure

6. Attached at **Appendix A** is the Quarter 3 2015-16 performance report. This report provides a corporate overview covering:
 - Financial performance
 - Various staffing items (Sickness absence, PPDR Compliance etc)
Return to work compliance data has also been provided to show a more detailed picture
 - Employee Costs (including overtime and agency spend)
 - Customer Contact
 - FOI requests compliance with statutory timescales
 - Progress against the Outcome Agreement.

7. The Performance Report is followed by an analysis of performance for each Directorate, including:
 - Key performance indicators
 - Progress against Corporate Plan commitments
 - Financial performance
 - Management issues
 - Key challenges & risks.

8. Performance reports for Quarter 3 have been through 'Star Chamber' sessions where Cabinet Members and Directors have reviewed and challenged performance and agreed actions that need to be taken to address issues raised in the report. Those actions are noted in this report following the summary of key issues for each Directorate below.

Summary of key issues from Corporate Overview

9. Across all Directorates 69% of Corporate Plan commitments are Green and 58% of Performance Indicators are Green.

10. Members' attention is drawn to the following key issues arising from the corporate overview of performance:

Customer Contact – A notable increase in Twitter Media followers from 46,534 (English and Welsh) in Quarter 2 to 52,163, and whilst new and corporate complaints have fallen compared with Quarter 2, both categories are notably higher than Quarter 3, 2014/15.

Staff & Agency Costs – Agency costs in Quarter 3 were 8.6% of staff costs, compared with 8.1% in Quarter 2; whilst overtime was 2.19% of staff costs between October and December, compared with 2.29% at Quarter 2.

Sickness Absence – The sickness figure for Quarter 3 is 6.8 days lost per FTE and this represents a decrease over the same time period in the previous financial year (7.43) and is the lowest Quarter 3 figure for 5 years.

The current end of year 2015/16 forecast is 9.2 FTE days lost against a target of 9.0 FTE days lost.

Personal Performance and Development Reviews (PPDR) – As at 8 January 2016 PPDR half year review compliance was 90%, an improvement when compared with 85.8% in Quarter 3 2014/15.

Freedom of Information Requests – Previously the Committee has challenged officers to improve performance of “multi-service” FOI requests, where the Council was achieving a low level of compliance (31%) with statutory response timescales. In Quarter 3 2015/16 the Council handled 50 multi-function requests and compliance was 78%, which is consistent with figures reported in Quarter 2 2015/16.

Summary of Key Issues – Directorates

City Operations

11. Significant improvement has been made in the ‘in year’ financial position to reduce the estimated overspend from £1.5m to a projected level of £149,000 at the year end.
12. In relation to ensuring that the private rented sector is fit for purpose and homes meet legal standards to protect the health of tenants, applications from landlords have not been forthcoming at an acceptable rate. A proactive exercise has been carried out to identify Houses in Multiple Occupation.
13. The implementation of service changes to enable the Council to meet its statutory recycling target is currently running approximately six months behind the original schedule due to the consequences of the call-in of the Cabinet decision (CAB/15/25) over the summer period. The schedule has been revised and is currently on track and Phase 2 – Charging for non-residents use of Household Waste Recycling Centres – commenced on 2 January 2016.
14. Performance in relation to the percentage of major planning applications determined within 13 weeks has declined in Quarter 3 to 5% from 14.2% in

Quarter 2. Preparations are underway in relation to the development of a Business Plan by March 2016 which will identify measures to include remedial actions to improve performance in this area.

15. *Star Chamber Actions*

- *Analyse agency and overtime spend to understand where the costs are being incurred and why, for consideration in relation to ADM discussions for Wholly Owned Company and Modified In House options.*
- *Investigate opportunities to inform 'new' householders about recycling awareness especially in student areas of the city where 'turnover' is high*
- *Explore the feasibility of 'self-help' services, CRM for example, to support the planning process to help speed up the planning applications process by homeowners.*
- *Review the strategy to remove automated conveniences and ensure signposting to alternative locations.*

Communities, Housing & Customer Services

16. Rent Smart Wales was launched 23 November 2015 and is a Landlord Licensing scheme hailed as a UK first; it is being hosted by Cardiff Council on behalf of Wales 22 local authorities. The new registration and licensing scheme will raise awareness with landlords, agents and tenants of their rights and responsibilities.
17. Reducing the time to let Council owned vacant properties remains a key challenge and an increase in the number of properties becoming void will cause further performance issues in January and February 2016. However, performance in Quarter 3 improved to 79 days compared to 94 days in Quarter 2 and close monitoring of performance alongside a review of processes is currently being undertaken.
18. In Quarter 3, the Community & Adult Services Scrutiny Committee's Performance Panel undertook a deep dive into the management of voids in council housing. The subsequent report was submitted to the relevant

Cabinet Member in January 2016 and a response to the recommendations from the deep dive is expected shortly.

19. In addition the Council employed Constructing Excellence Wales to undertake a review into the Building Maintenance Framework Contract, which includes the use of contractors to carry out repairs & maintenance work to council housing vacant properties. This review has been considered by Audit Committee at its meeting 30 November 2015 and is due to be considered at Cabinet 10 March 2016.'
20. The average number of calendar days taken to deliver a Disabled Facilities Grant has continued to increase in Quarter 3 with 248 days taken, compared to 240 in Quarter 2 2015/16. Additional funding has been identified to address the backlog and the work has been issued to the contractor.
21. *Star Chamber Actions*
 - *Write to the Welsh Government to establish the long-term funding position for Disabled Facilities Grants.*
 - *Members request to visit the Smart House.*

Economic Development

22. City Deal is progressing well and Welsh Government are now integrated into the process; work is ongoing towards a final submission in March 2016.
23. In relation to Central Square a lease has now been signed by the BBC for a new Head Quarters and the Transport Interchange (bus station) is progressing on-track.
24. The Council has embarked on a review of the Cardiff Business Council in anticipation of future funding shortfalls and the City Deal opportunity. Membership currently stands at 166 against an annual target of 1,000.
25. *Star Chamber Actions*

- *Review the advertising strategy to consider a saturation point in relation to illuminated signage.*
- *Consider additional information regarding the relocated bus station on access routes into the City.*
- *Regular reports required by Cabinet in relation to the Asset Management Strategy.*
- *Review measures used by European cities and Core cites to evidence growing tourism for consideration and possible inclusion in the Corporate Plan*
- *Report regarding alternative locations, taking into consideration current benefits of the location of the Registry Office in City Hall.*
- *A briefing was requested in relation to Cardiff Market.*

Education and Lifelong Learning

26. Final data shows that the rate of improvement at Key Stage 4 is greater in Cardiff when compared to the rest of Wales. Outcomes for vulnerable learners, minority ethnic pupils and Looked After Children have also improved but are still significantly below average.
27. In relation to Challenge Cymru Schools the local authority has taken intervention action in three schools and leadership capacity has been increased. Although progress is being made, standards remain unacceptably low.
28. Delivery of the 21st Century Schools Programme has progressed significantly with the new Eastern High School design complete and planning permission granted. Demolition of the buildings is due for completion Spring 2016 and the new school to be delivered by September 2017.
29. Star Chamber Actions
- *Undertake a review of existing governor training.*
 - *Understanding the need for a sustainable model of school governance to be raised with Welsh Government especially in light of new schools, federated governing bodies and consultant governors.*

- *A briefing paper to be provided to Cabinet on the model to manage community facilities through subcommittee of the Governing Body.*
- *Provide a report in relation to the current number of children that participate in Elective Home Education and what support and monitoring is undertaken.*
- *Provide a briefing on Cantonian High School to informal Cabinet.*
- *Review the opportunities afforded by the City Deal to link schools in the west of the city with partners in the cultural sector.*

Governance & Legal Services

30. In relation to improving the number of eligible electors, registering through the targeted use of social media and marketing campaigns and annual canvass has been completed with a shortfall of 4,651 electors against the eligible electorate.

31. Star Chamber Actions

- *Undertake an evaluation of the Members IT investments (Tablets) to include Member satisfaction and cost savings and learning, and provide an update to cabinet.*

Resources

32. Work is being undertaken to consider the impact on insurance of Alternative Delivery Models (ADMs) and Community Asset Transfers. Resource services face significant challenge in relation to the ADMs around the needs and support required to implement changes and support new models.

33. The demand on the HR People Services Recruit Team remains high and to mitigate this review of how the Council uses Casual Staff is being undertaken.

34. Star Chamber Actions

- *Report on the capacity of HR and the cost of, and provide support to directorates in relation to Sickness Absence Management.*

- *Report on the lessons learned to share in relation to Shared Regulatory Services.*

Social Services - Adult Social Services

35. Challenges remain in Adult Services to deliver the financial savings brought forward from 2014/15, and the planned savings predicated on the recommissioning of services. Regular Scrutiny of progress is being maintained.
36. Whilst performance in relation to Delayed Transfers of Care for Social Care reasons showed some improvement for the months of October and November 2015, the overall picture at the end of Quarter 3 shows worsening performance when compared to the same period in 2014/15. Figures show a total of 187 Delayed Transfers of Care compared with 139 during the same period in 2014/15. Community Resource Teams have moved to a 7 day working week to enable a weekend discharge service and Adult Services have met with Domiciliary Care providers to explore opportunities to improve capacity. However, appropriate application of the escalating concerns process has led to a reduction in the capacity of the domiciliary care market. Therefore, performance in relation to Delayed Transfers of Care remains red.
37. The rate of older people aged 65+ whom the authority supports in care homes is currently over its annual target of 18 with a result of 18.41 at Quarter 3. Through the Delayed Transfer of Care Action Plan the Council is actively working with Health partners to increase the domiciliary care choices following discharge from hospital.
38. Performance in relation to Direct Payments has improved in Quarter 3 to 610 when compared to 602 in Quarter 2 2015/16. There are currently 46 adults working towards Direct Payments. The focus remains on the recommissioning of the service.
39. Star Chamber Actions

- *Review the PPDR and supervision for social workers in both adults' and children's to avoid duplication, and establish how to feed this into DigiGov.*
- *Quarterly updates of Improvement Board required for April 2016*

Social Services - Children's Services

40. Concerns were raised in Quarter 2 regarding performance in relation to the timeliness of Personal Education Plans for Looked After Children and data for Quarter 3 shows no improvement to date. Operational and Team Managers need to prioritise improvement in this area.
41. The Early Help and Preventative Strategy was launched during Quarter 3 and a number of developments have taken place including a pilot of the Joint Assessment Family Framework and the identification of accommodation for the Adolescent Resource Centre.
42. Concerns were raised in relation to the Enhanced Fostering Scheme in Quarter 2 regarding the capacity of the provider to deliver on its commitments; in Quarter 3 a decision to end the contract was taken due to a lack of suitable placements. Actions are being taken which include the identification of alternative placements for young people to return to Cardiff.
43. Star Chamber Actions
 - *Review the PPDR and supervision for social workers in both adults' and children's to avoid duplication and establish how to feed this into DigiGov.*
 - *Quarterly updates of Improvement Board required for April 2016*

Previous Scrutiny

44. The Committee considered the **Quarter 1 2014-15** Performance Report at its September 2015 meeting, following which Members noted improved sickness absence levels, falling numbers of complaints and increasing staff survey response rates. There were some concerns around Adult Social Care and Children's Services performance, work required in Education

around school governors and Looked After Children, and stated that the Organisational Development Programme remained a critical vehicle for improving performance, which the Committee will continue to monitor closely.

45. Members expressed concern that staff costs in all Directorates other than the Resources Directorate were overspent at this early point in the financial year, and of particular concern was the level of overspend on agency budgets. The Committee indicated it will be looking for an improvement in recovering the overspend on staff budgets when it next monitors performance.
46. The Committee requested more statistical information around comparative demographics across authorities, and was offered sight of the Cardiff & Vale UHB analysis of need.
47. At Quarter 1 Members were concerned that only 77% of Members' enquiries to the City Operations Directorate were responded to on time, significantly lower than other Directorates. The Committee noted that this related to changes in waste management arrangements. Members were looking to assess whether the Members' Enquiries service was improving and therefore requested that future quarterly monitoring reports provide comparator information for at least the previous quarter. The Committee requested that future quarterly monitoring reports provide comparator information for at least the previous quarter to enable assessment of whether the Members Enquiries service is improving.
48. The Committee was pleased that the Challenge Forum and Star Chamber approaches remained in place, and that political Group Leaders had been added to the Terms of Reference of the Challenge Forum as a result of a previous scrutiny request.
49. As the Committee with responsibility for scrutinising the performance of the Resources Directorate, Members noted that a series of service reviews undertaken last year had helped in mitigating the level of risk of having less staff and that the Directorate would need more staff if the Council

implements the Alternative Delivery Model for delivering frontline services. They also agreed that corporate services – such as Human Resources, Legal and Finance Services – generally need relieving of requests for service from Directorates on low level service issues

Way Forward

50. Councillor Graham Hinchey, Cabinet Member Performance & Resources, has been invited to attend for this item. Christine Salter, Corporate Director Resources; and Joseph Reay, Head of Performance & Partnerships have also been invited to present the report and answer any questions Members may have.

Legal Implications

51. 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 any modifications. 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 powers 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. Scrutiny Procedure Rules; (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.

Financial Implications

52. 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. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

RECOMMENDATIONS

The Committee is recommended to:

- Note the contents of the report attached at **Appendix A**;
- Consider whether it wishes to refer any comments or concerns to the Cabinet Member with responsibility for Council Performance.

JOSEPH REAY

Head of Performance and Partnerships

1 March 2016

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Q3 Delivery and Performance Report 2015/16

Progress against actions in the Corporate Plan 2015/16

Q3 2015/16 – (397*)



*Including 1 (0.25%) N/A

Progress against relevant Performance Indicators

Q3 2015/16 – (125*)



*Excluding 98 Annual indicators, 28 with no results and 13 N/A

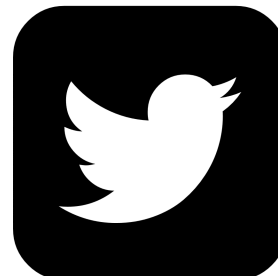
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Q3 Customer Contact



Twitter Media followers
50,323 followers in English
1,840 followers in Welsh
4,834 Likes on Facebook



Complaints	Q1 (14/15)	Q2 (14/15)	Q3 (14/15)	Q4 (14/15)	Q1 (15/16)	Q2 (15/16)	Q3 (15/16)
New Complaints Received	682	676	507	533	497	603	569
Corporate Complaints	675	670	502	547	490	599	563
Complaints through the medium of Welsh	7	6	5	6	7	4	6
Acknowledgements not sent within 5 days	26	15	15	12	7	23	18
Response not sent within 20 days	55	37	33	25	39	34	36
Compliments Received	434	427	371	328	288	293	303

Directorate	Members Enquiries Received			Responded on time			
	Q1	Q2	Q3	Q2	Q2%	Q3	Q3 %
City Operations	437	567	543	396	70%	399	73%
Communities	119	127	101	107	84%	85	84%
Economic	3	2	6	1	50%	6	100%
Education	11	10	9	6	60%	8	89%
Gov & Legal	5	1	2	0	-	2	100%
Resources	17	12	8	11	92%	5	63%
SS - Adults	5	7	2	5	71%	1	50%
SS— Children's	0	3	1	2	67%	1	100%
Total	597	729	672	528	72%	507	75%

During Q3 Waste have continued to receive high volumes of member enquiries, whilst Highways have made considerable effort to reduce late cases and respond proactively to Requests for Service. Approx. 15% of enquiries account for Request for Service. The Members Central Team continue to work with areas that have poor response performance to take action to improve this.

Total Staff Costs at Q3 £133,522,581

Total Agency Costs at Q3 £11,476,890

Total Overtime Costs at Q3 £2,928,808

The spend on agency may reflect an overspend against budget as there may be vacant posts where there is a budget but the staff are employed through an agency, so the permanent staff budget will show an underspend and the agency staff an overspend.

Staff Costs to End Q3	% of Annual Budget		% Spend Agency	% Spend Overtime
£37,176,397	75.83%	City	14.21%	3.53%
£16,974,630	76.23%	Operations		
£1,271,376	73.86%	Communities	7.64%	1.69%
£8,764,310	77.30%	Corp Mgmt	4.22%	0.21%
£15,613,123	72.26%	Economic	9.14%	3.94%
£2,408,208	69.86%	Education	3.31%	0.81%
£27,348,406	69.15%	Gov & Legal	5.59%	0.24%
£11,846,889	79.15%	Resources	3.06%	1.29%
£12,119,243	71.82%	SS-Adults	3.62%	3.74%
		SS-Children's	17.54%	0.46%

**Agency
8.60%**

**Overtime
2.19%**

Staff Costs at Quarter 3

Directorate	Staff Budget	Spend to Month 9	% Annual	Overtime Budget	Overtime to Month 9	Overtime Spend as % of Employee Spend	Agency Budget	Agency Spend to Month 9	Agency Spend as % of Employee Spend
City Operations	49,029,025	37,176,397	75.83%	1,858,645	1,312,107	3.53%	3,944,645	5,281,847	14.21%
Communities, Housing & Customer Svcs	22,266,340	16,974,630	76.23%	327,210	286,972	1.69%	161,270	1,296,551	7.64%
Corporate Management	1,721,280	1,271,376	73.86%	0	2,640	0.21%	0	53,663	4.22%
Economic Development	11,337,550	8,764,310	77.30%	376,160	345,336	3.94%	424,920	801,310	9.14%
Education	21,606,020	15,613,123	72.26%	0	126,047	0.81%	195,290	517,246	3.31%
Governance & Legal Services	3,447,260	2,408,208	69.86%	0	5,676	0.24%	0	134,651	5.59%
Resources	39,549,081	27,348,406	69.15%	386,180	351,655	1.29%	285,950	837,281	3.06%
Adult Services	14,967,960	11,846,889	79.15%	58,720	442,794	3.74%	30,330	428,755	3.62%
Children Services	16,873,980	12,119,243	71.82%	0	55,579	0.46%	510,930	2,125,587	17.54%
Grand Total	180,798,496	133,522,581	73.85%	3,006,915	2,928,808	2.19%	5,553,335	11,476,890	8.60%

***The Total for Staff Budget excludes the Social Services total but includes the figures for Social Services – Adults and Social Services - Children**

Sickness Absence Q3

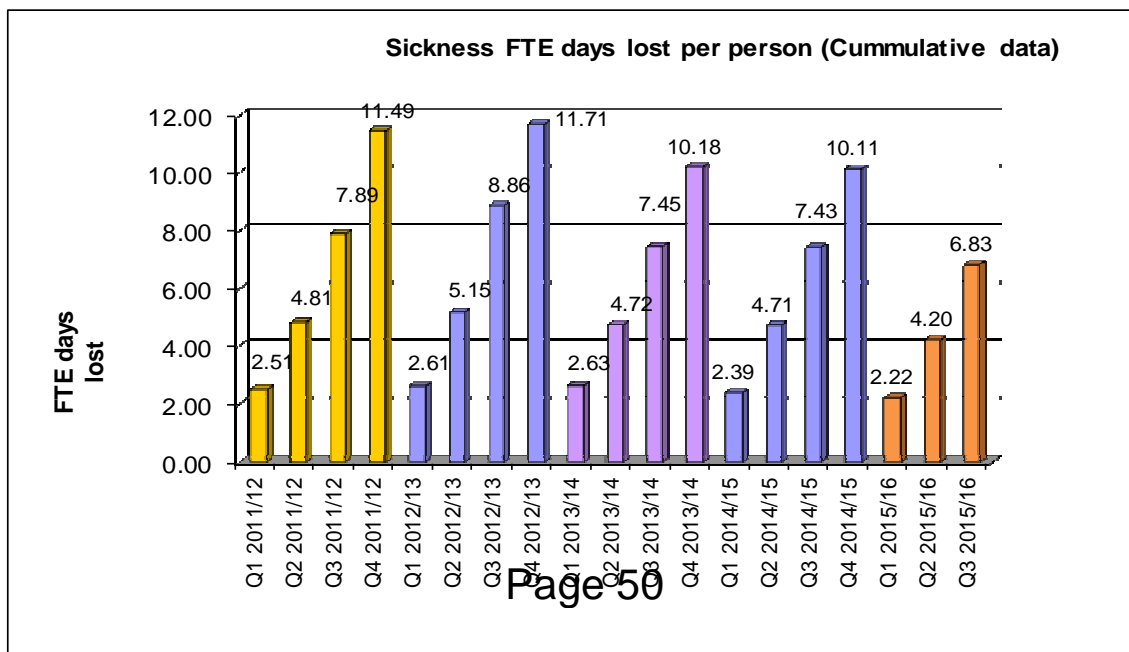
FTE days

2015/16

6.8

	Av FTE Numbers	FTE Annual Target	Q3 Days lost	Forecast for 2015/16
City Operations	1,375	13.0	9.5	12.8
Communities	960	9.0	7.8	10.6
Economic Development	245	6.0	5.8	7.9
Education	750	8.0	5.0	6.8
Education - Schools	5,400	7.8	5.7	7.6
Governance & Legal	85	6.0	4.3	5.8
Resources	927	8.0	6.2	8.4
SS - Adult	650	13.0	10.7	14.4
SS - Children's	350	13.0	11.1	15.0
Total	10,746*	9.0	6.8	9.2

*This figure includes schools based education staff. The information for Quarter 3 shows a decrease in the number of days lost when compared to the same period in 2014/15. Performance in Quarter 3 is also the lowest in 5 years. The current forecast for the year end is 9.2 days lost per FTE. Performance continues to improving. However it is important to maintain the focus on the effective management of sickness across the Council. Part of the focus has been on the roll out of mandatory e-learning training on the Attendance and Wellbeing Policy; the continued in depth work in directorates to support further improvement; the identification and sharing of good practice across the council; and the introduction of an Employee Assistance programme with 24/7 access for all employees.



Quarter 3
Personal Performance and Development Review Compliance as at 8th January 2016

Organisation Name	PPDR Half Year Review Compliance		
	Total (Head Count)	Completed	Percentage (%)
City Operations	1328	1227	92.4%
Communities, Housing & Customer Services	1033	969	93.8%
Economic Development	255	232	91.0%
Education & Lifelong Learning (exc schools and central teachers)	825	670	81.2%
Governance & Legal Services	80	69	86.3%
Resources	1280	1187	92.7%
Social Services – Adults	627	581	92.7%
Social Services – Childrens	343	259	75.5%
Social Services (Total)	970	840	86.6%
Total	5792	5194	90%

Compliance for the completed half year review stage has improved from 85.8% in 2014/15 to 89.7% in 2015/16. Whilst compliance has improved, actions are being taken across the Council to ensure that the PPDR process is followed with a focus on half year PPDR reviews being completed.

Information Requests

Change and Improvement Managed Requests						
Function	FOI		DPA		Overall IR Compliance	
	Due	Compliance	Due	Compliance	Due	Compliance
Children's Services	31	93.55%	15	100.00%	46	95.65%
Crematoria & Cemeteries	2	100.00%	0	-	2	100.00%
Communication & Media	7	100.00%	0	-	7	100.00%
CTS	0	-	0	-	0	-
Culture & Tourism	0	-	0	-	0	-
Democratic Services	9	55.56%	0	-	9	55.56%
Econ & Major Projects	14	78.57%	0	-	14	78.57%
Education	22	81.82%	3	100.00%	25	84.00%
Emergency Management	0	-	0	-	0	-
Enterprise	0	-	0	-	0	-
Enterprise Archi	0	-	0	-	0	-
Environmental Health	18	100.00%	0	-	18	100.00%
Exchequer & Dev	0	-	0	-	0	-
Facilities Management	4	50.00%	0	-	4	50.00%
Finance & Procurement	76	97.37%	1	100.00%	77	97.40%
Harbour Authority	0	-	0	-	0	-
Health & Safety	1	-	0	-	1	-
Highways & Transport	74	98.65%	0	-	74	98.65%
HRPS	22	59.09%	6	83.33%	28	64.29%
ICT	4	100.00%	0	-	4	100.00%
Improvement & Info	4	50.00%	47	93.62%	51	90.20%
Infrastructure	0	-	0	-	0	-
Legal Services	5	80.00%	0	-	5	80.00%
Licensing	17	88.24%	0	-	17	88.24%
Parks & Sport	17	58.82%	0	-	17	58.82%
Planning	12	83.33%	0	-	12	83.33%
Policy, Partnership	1	100.00%	0	-	1	100.00%
Project, Design, Dev	0	-	0	-	0	-
Procurement	7	100.00%	0	-	7	100.00%
Regeneration Prog	0	-	0	-	0	-
Risk & Audit	0	-	0	-	0	-
Scrutiny Services	0	-	0	-	0	-
Shared Services	0	-	0	-	0	-
Strategic Estates	0	-	0	-	0	-
Trading Standards	12	83.33%	3	-	15	66.67%
Traffic Network Man	1	100.00%	80	100.00%	81	100.00%
Waste Management	18	61.11%	0	-	18	61.11%
Total	379	86.81%	155	95.48%	534	89.33%
Multi-Function	42	78.57%	8	75.00%	50	78.00%
Total	457	83.81%	188	92.55%	645	86.36%

645
Requests
86.36%
compliance

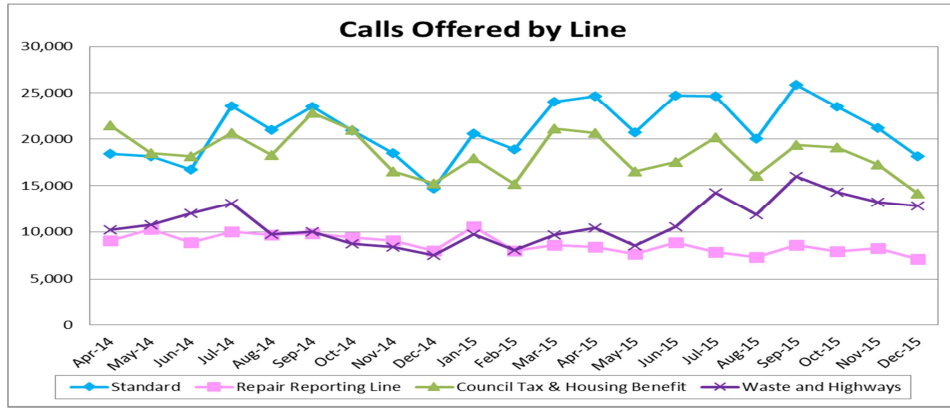
In Quarter 3 the Council handled 645 information requests under FOI & DPA Legislation. This was a 20% increase from Quarter 2. Although the central team have taken on more service requests and there has been an increase in volume there have still been slight overall increases in compliance with requests managed centrally. Compliance with requests managed by Directorates remains below the Council's target of 85%. The Improvement & Information Team are looking at further opportunities for improving these services. Compliance in relation to Children's Services requests has improved from 75% to 95.65% as a result of these being brought into the Improvement and Information Team. The Multi Function requests cover a number of service areas. The Council handled 50 of these requests during Quarter 3 & compliance with these was 78%.

61
Requests
67.21%
compliance

Requests Managed by Directorates						
Function	FOI		DPA		Overall IR Compliance	
	Due	Compliance	Due	Compliance	Due	Compliance
Customer Services	6	50.00%	0	-	6	50.00%
Health & Social Care	12	58.33%	22	81.82%	34	73.53%
Housing	18	61.11%	3	66.67%	21	61.90%
Total	36	58.33%	25	80.00%	61	67.21%

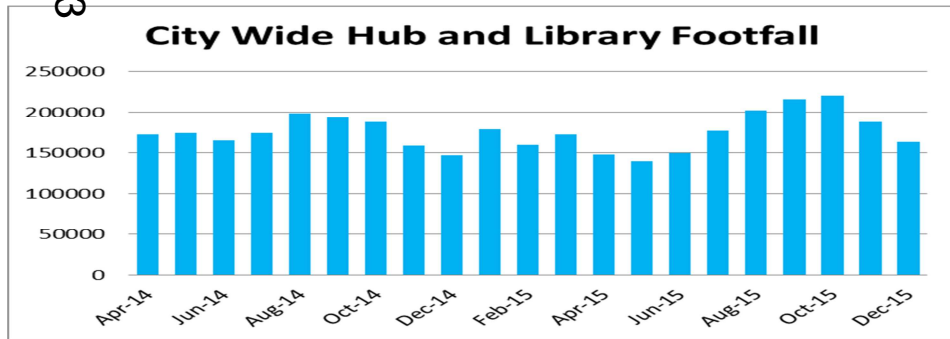
Customer Contact

Calls offered to C2C



Update: Quarter 3 has seen a decrease in call volumes, particularly compared to Quarter 2 which saw C2C's busiest month since opening with high call volumes regarding the city wide waste restrictions programme. December historically sees a decrease in calls. Over the quarter an answer rate of 96% was achieved by C2C.

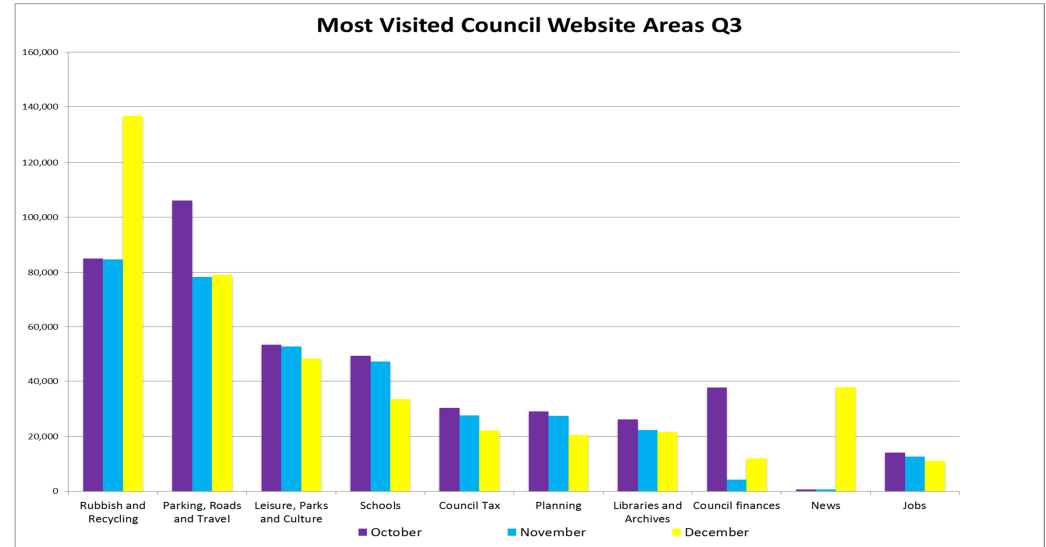
Total Footfall in both Libraries & Hubs across the City



Update: Quarter 3 2015/16 saw 571,626 visitors, an increase of 78,206 against the Quarter 3 2014/15 volume of 493,420. This is despite the ongoing closure of Roath library due to Health & Safety considerations, as well as the closure of Grangetown library, closed for refurbishment and there has been a short closure at St Mellons library due to building work.

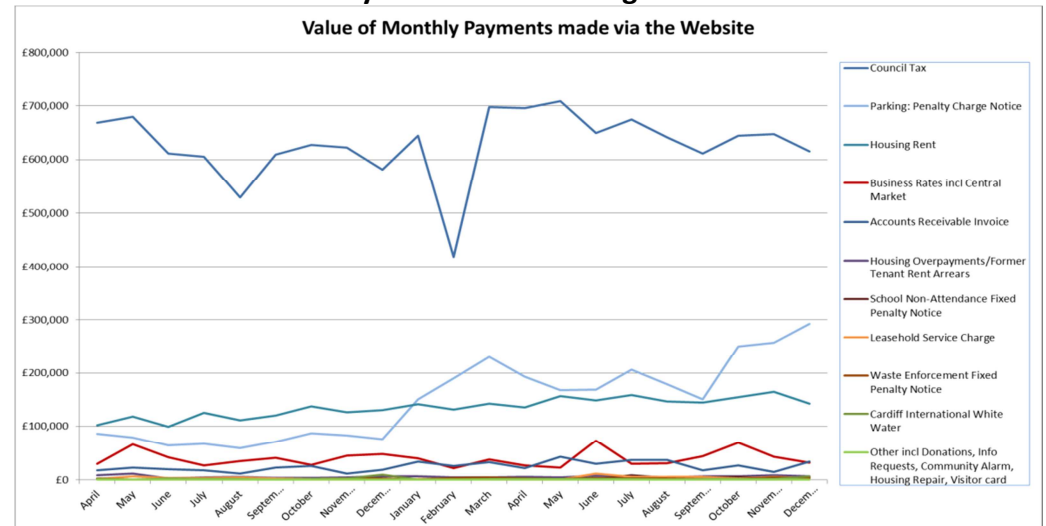
Most visited Website Areas

Most Visited Council Website Areas Q3



This chart shows (in descending order) the comparative levels of interest / page views by customers on the top 10 most viewed sections of the site each month during Quarter 3.

The value of Payments made through the Website



Outcome Agreement Measures for Q3 2015/16

Economic Development

Measure	2015/16 Target	Q1 15/16	Q2 15/16	Q3 15/16
Businesses supported	50	153	229	303
New & safeguarded jobs in businesses supported financially by the Council	500			Awaiting info
New & safeguarded jobs in businesses supported financially or otherwise by the Council	1000	478	1653	2099
Grade A office space	100,000 Sqft	180,000sq ft		Awaiting info
Jobs 10% above average Wales salary	20%			Awaiting info
Grant aid and private sector finance to companies assisted by the Council	£1,000,000	£1.044m	£5.130m	£6,959,014

Education, Employment & Training

Measure	Q1 15/16	Q2 15/16	Q3 15/16	Annual Target
Number of work experience placements*	277	62	27	1000
Number of businesses attending jobs fair events	2	39	4	70
% Year 11 leavers NEET**	N/A	N/A	4.5% provisional	2.5%
Year 13/14 leavers NEET**			2.6% provisional	3%

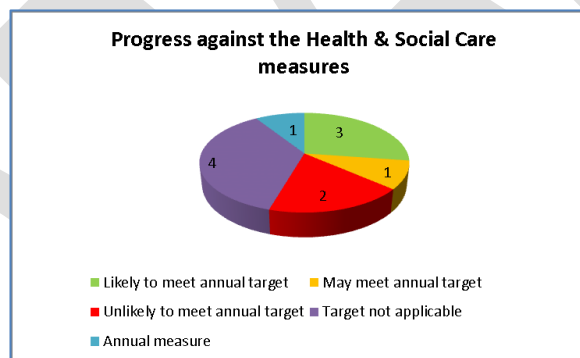
*Welsh Government has ceased Careers Wales funding which is adversely affecting our ability to deliver against target.

** Cardiff's NEET figures will not be verified until March 2016

Education

Measure	Academic Year 14/15	Annual Target
% pupils achieving foundation phase indicator	86.73%	85.8%
% pupils KS2 achieving CSI	87.76%	86.5%
% pupils KS3 achieving CSI	83.40%	79.3%
% pupils KS4 achieving Level 2 threshold	59.3%	60%
No. of Schools placed in special measures or significant improvement	6	0
Attendance at Primary School	95.1%	94.6%
Attendance at secondary school	93.86%	94.1%

Health & Social Care



The indicators that are unlikely to meet annual target relate to home care and care home packages and delayed transfers of care.

Housing

Measure	Q1 15/16	Q2 15/16	Q3 15/16	Annual Target
Boiler upgrades*	320	362	92	550
Roof replacements	85	96	63	240
Cladding of flats**	0	0	0	40

*Contract on accelerated programme and all non-A rated boilers now issued for replacement

**Planned works for Jan / Feb / March to complete the target

Directorate: City Operations

Director: Andrew Gregory

Councillor: Derbyshire, Patel & Bradbury

Q3 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£52,389,000	£52,538,000	£149,000	0.28%

Number of Employees (FTE)	1,375
Sickness Absence YTD (Days Per Person)	9.5
PPDR Compliance Stage (Permanent Staff)	92.4%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£12,058,000	£10,618,000	£1,440,000	11.94%

Q3 Progress against Corporate Plan Commitment Actions 2015/16 (Total 40)

Green 52.5% (21)	Amber 37.5% (15)	Red 10% (4)
------------------	------------------	-------------

Q3 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total 45)

Green 66.7% (30)	Amber 33.3% (15)
------------------	------------------

Progress on Challenges Identified in Q2 (previous quarter)

Delivering a Balanced Budget in year/2016/17 – The Directorate has identified detailed savings/income areas and targets for 2016/17. Following a focussed directorate initiative significant progress has been made on the in-year position. From an initial estimated overspend of £1.5m approx., previous quarter deficit of £660K, this has been reduced currently to a projected overspend of £149K. Further detailed work is taking place in critical areas and we are fully confident that a balanced position will be delivered year end.

Ensuring that Robust FBC for Infrastructure Services ADM is delivered – The detailed ADM / In-house project programme for the Full Business Case work is taking place. The Cabinet Report timeline has moved to March 2016.

Managing and reducing sickness absence/Changing Working Environment Culture – The sickness level result at Q3 is 9.5 FTE days is currently significantly below the target of 13 FTE days. There are two main areas of further work. 1. Establishing effective sickness absence policy monitoring and management across the Directorate – with particular ‘hotspot’ areas where sickness is on or over specified targets – a directorate-wide management group has been established and work is in progress. 2. In focused areas a process of staff / management engagement to develop a more motivated / engaged working environment. This work is will take place within the proposed ADM model that proceeds.

Bereavement Strategy Implementation: Ongoing work taking place to identify and deliver a site.

Q3 Service Delivery

Directorate Delivery Plan

Ensure the private rented sector is fit for purpose and homes meet legal standards to protect the health of tenants – (Amber) – Applications have not been forthcoming from landlords at an acceptable rate. The team has carried out a proactive exercise in the northern part of the district to identify HMOs and there is a need to carry out a similar piece of work in the south. Following on from the collaboration restructure of Shared Regulatory Services, the focus of the team is on the training of new team members who will take on the HMO licensing function and reconfiguring the team to meet the challenges moving forward during 2016/17.

Support Welsh Government and other key stakeholders in the formulation of proposals to develop the Cardiff City Region Metro / City Deal (Green) - Proactive work is taking place to identify key strategic proposals as a part of the City Deal / Metro. Contractor on site for the ‘Metro funded’ schemes on the A469 and A470.

Develop a new Master Plan and Action Plan for Cardiff Bay (Green) – Reporting anticipated in Q4. Cabinet Report being prepared.

Adopt the Local Development Plan (Green) – Major step forward, Fact Check version of Inspector’s report received on 18th Dec and returned on 23rd December. Report has been prepared for Jan Cabinet and Council.

Establish an Energy Prospectus (Green) – The delivery of projects is proceeding, though a proposed review of the Prospectus is delayed due to a shift in Government policy with regard to renewables. The review will recommence once there is a settled position on the implications of the policy change.

Establish a new strategy for highways and transport asset maintenance & renewal (Amber) - Meeting arranged with Director of Communities, Housing and Customer Service to discuss a ‘one Council’ approach to asset management for housing infrastructure. Discussions with Parks and other services in City Operations to take place. Asset Investment Strategy discussed with Corporate Director Resources and a Cabinet Report will go in Spring 2016 with the strategy being reviewed at the Investment Review Board prior to this.

Develop a Cardiff Cycle Strategy benchmarked against European best practice (Green) - Consultation on the draft Existing

Routes Map for Active Travel closed on 29th December 2015. On programme.

Introduce new models of service provision for play services in the city (Amber) – Consultation is currently taking place with local members and stakeholders on a new model for play services. Good progress being made

Establish the future cultural and leisure needs of the city (Amber) – The procurement process for the 2 bidders is currently taking place. Report with proposed way forward on programme to be presented to Cabinet March 2016

Commence implementation of a new approach to infrastructure services (Amber) – The Full Business Case work has been progressed. OMs have completed Due Diligence and Future Strategy Templates for each service in scope. The collated information will be used to prepare the Business Cases for both the Modified In-house and Wholly Owned Company models which will be contained within the Full Business Case presented to Cabinet in March 2016. The Full Business Case Board has met monthly to review project progress. Meetings with the Unions have been held on a regular basis – initially monthly, and then fortnightly towards the end of Q3. They will be held on a weekly basis during the early part of Q4.

Implement service changes for Cardiff to enable the Council to meet its statutory recycling target (58%) (Amber) – Phase 1; Press & Social Media are being used to inform and reflect current changes. Phase 2; Charging for non-residents commenced on the 2nd Jan 2016, potential North Cardiff sites have been identified, the delay in the decision due the Call-in has resulted in the project running approx. 6 months behind the original schedule, the project is running on track for the revised schedule. Phases 3&4; Whole timeline set back pending data form collections changes. Currently undertaking detailed discussions with WAG and Heads of Service across Wales.

Implement the regional service for regulatory Services with the Vale of Glamorgan and Bridgend Councils (Amber) - A review of the Licensing fees for Taxi driver and taxi operators was conducted in the period in line with the change in the law to make provision for the issue of licences over longer periods of time. Those fees were agreed by the Public Protection Committee and came into force on 1st October 2015. The population of the new structure was completed in Dec 2015 and the fee setting process for other licences predicated upon the new structure, will commence in Q4 for the 2016/17 financial year. The service is developing a workforce plan that will be implemented in Q4 following the population of the new structure. The plan will underpin the professional development of officers, particularly those undertaking new or enhanced roles.

Management

Sickness Absence – Q3 position (as at 13/1/16) is 9.4 FTE days lost against target of 13 FTE days. A number of actions are being taken forward to focus on attendance management which include; APSE benchmarking, working closely with OCC Health, specifically reviewing short and long term absence target etc. **PP&DRs** – Half Year Reviews have been confirmed as 92.4% against target of 85%, managers are actively working to improve position.

Health & Safety – The Directorate’s H&S Policy and Action Plan have now been published and are available via CIS. Up to Dec 2015 there have been 165 accidents / incidents of which 87 were near misses (no injury related), there have been 4 specified major injuries, 433 days lost due to accidents and an identified trend of “hit by something fixed or stationary” (56).

Key Performance Indicator Data – Q3 2015/16

Q3 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (Total 19.)

Green 5.2% (1)

Amber 10.5% (2)

Red 5.2% (1)

10 (52.6%) of the indicators are annual and 5 (26.3%) have no result available at this stage as the data is still being collected, interrogated and verified.

National Strategic Indicators and Public Accountability Measures

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
LCS/002b - The number of visits to local authority sport and leisure centres during the year where the visitor will be participating in physical activity, per 1,000 population	8084	Annual Result				9647		
PPN/009 - The percentage of food establishments which are ‘broadly compliant’ with food hygiene standards	91.76%	93%	93.8%	94.4		92%		G
PSR/004 – The percentage of private sector dwellings that had been vacant for more than 6 months at 1 April which were returned to occupation during the year through direct action by the local authority	6.54%	1.03%	2.67%	0%		6.60%		A

Cumulative – dependant on result at Q4 to meet target. **Page 56** per question mark

National Strategic Indicators and Public Accountability Measures

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
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	93%	Annual Result				20%		
STS/005b - The percentage of highways and relevant land inspected of a high or acceptable standard of cleanliness	86.80%	Annual Result				90%		
STS/006 - The percentage of reported fly tipping incidents cleared within 5 working days	82.51%	96.2%	96.9%	Awaited		90%		G
THS/007 - The percentage of adults aged 60+ who hold a concessionary bus pass	100%	93.7%	94.6%	95.5%		94%		G
THS/012 - The percentage of principal (A) roads, non-principal (B) roads and non-principal (C) roads that are in overall poor condition	6.80%	Annual Result				Aggregated indicator		
WMT/004b - The percentage of municipal waste collected by local authorities sent to landfill	32.57%	12.2%	18.1%	Awaited		30%		G
Awaiting validation by NRW								
WMT/009b - The percentage of 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	53.38%	57.1%	54.4%	Awaited		58%		A
Awaiting validation by NRW								
CAM/037 - The percentage change in the average Display Energy Certificate (DEC) score within local authority public buildings over 1,000 square metres	New 2015-16	Annual Result				3%		
New indicator								

Directorate Delivery Plan Indicators

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
PLA/004 (a) - % of major planning applications determined during the year within 13 weeks	20%	11.8%	14.2%	5%		25%		R
PLA/004 (c) - % of householder planning applications determined during the year within 8 weeks	71.1%	64.8%	68.3%	75.7%		80%		A

The Planning Service is fully aware of the need to bring this indicator back into a positive position. Also, it fails to recognise the very substantial improvements currently taking place that will shortly be presentable. The reason for this current underperformance is: (i) As part of recent improvement measures, staff have been 'flushing out' older applications within the system. Therefore, 20 majors were determined in Q3, more than any quarter in 2014/2015 or 2015/16; (ii) The volume of determining majors has risen for 2015/16 as a whole (Q1-Q3 combined) with more determined to date than for the whole of 2014/15; (iii) major applications associated with the LDP have been stalled but now will move; (iv) New monitoring and management measures have recently been put in place this has already seen a significant improvement in the turnaround of householders/minors/others (up to 85.7% within 8 weeks for December 2015) which accounts for approximately 98% of all applications processed. For the reasons outlined above, improvements to majors will take slightly longer to run through the system. Taking account the above, it is envisaged the performance in relation to majors will henceforth significantly improve. A target of 25% for Q4 (Green) is considered reasonable in these circumstances but with a commitment for further gradual improvement through Q1 to Q4 within 2016/17 to even more positive service achievement.

<p>Q3 Challenges Identified</p> <p>Significant issues identified within Highway Operations relating to non-compliance of BS ISO 9001 Quality Management System which could result in major non conformities, loss of registration at next BSI visit and implications for accreditation to National Highway Sector Schemes.</p> <p>New Government Policies on renewable energy generation were published at the end of December; these significantly reduced the financial support that renewable energy schemes get through the Feed In Tariff and other incentives. This has presented significant challenges for current and proposed renewables schemes and, therefore, for the Council's agreed carbon reduction commitments.</p> <p>Delivering a Balanced Budget in year 2016/17.</p>	<p>Q3 Actions being taken</p> <p>Immediate management action plan identified to help off-set non compliances, however significant remedial work required to ensure management system is fully compliant to ISO 9001 Standard.</p> <p>A series of live schemes, including Radyr Weir and some Solar Roof installations have been accelerated to ensure that they connect in advance of the proposed changes, thus maintaining the basis of their business cases. Other schemes, in particular Lamby Way Solar Farm, and future solar roof schemes, are being reviewed to establish alternative delivery routes. Following this review and re-prioritisation a new Renewable Energy delivery plan will be proposed.</p> <p>On-going work is required to ensure that all proposed budget savings and income generation is delivered in a timely manner.</p>
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Q3 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
<p>Climate Change and energy security</p> <p>- Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.</p>	Red	Red	<p>Q3 update - In summary this covers position on climate change resilience PI, new energy policy, energy budgets, local power generation and delivering renewables.</p>	Andrew Gregory
<p>Food Safety Management -</p> <p>Ineffective food safety management systems including procurement leading to unsafe food at Cardiff Council food business outlets, events & venues.</p>	Red	Red / Amber	<p>Q3 update - Continuing to support the corporate system through the year, but now the SRS structure is in place we need to agree new working arrangements with Cardiff; these discussions are on-going. Many of the processes created over the last three years have bedded in and if they continue to be operated the level of risk has been reduced. While one cannot eliminate every risk, the Council is in a more robust position than when this project started. Deviation from the agreed protocols would need careful consideration.</p>	Andrew Gregory
<p>Preparation of Local Development Plan - Preparing a plan that is considered 'sound' by the Inspector, within the proposed timetable.</p>	Red	Red / Amber	<p>Q3 update - Given receipt of Inspector's 'fact check' report, and imminent receipt of final report /adoption at Council, it is expected that the project will be completed in Q4, it is anticipated that this risk can then be closed down.</p>	Andrew Gregory
<p>Waste Management - Failure to achieve targets for Landfill allowance, specifically for Biodegradable Municipal Waste and WG statutory Recycling Targets. Ineffective delivery of recycling targets and residual waste</p>	Red	Amber / Green	<p>Q3 update - The end of year position for statutory recycling and Biodegradable Municipal Waste to landfill targets have been exceeded (full NRW validation is pending). The Project Gywrdd commissioning means that the risk of failing our Biodegradable Municipal</p>	Andrew Gregory

treatment.			Waste target has been virtually removed. The risks for 15/16 remain on recycling performance remains red as the target increases from 52% to 58% this year. But strategy initiatives are being completed to schedule, such as the restricting project and bottom ash recycling. Influences such as bad weather/snow can also influence the recycling performance in Q4. Delays in HWRC progression will influence the end of year, but the restricting and IBA recycling will contribute to increased recycling.	
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Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
Significant risk with financial targets in not being able to be met.	Red	Red / Amber	Mitigation strategy in place and financial position is significantly improving in terms of in-year position.	Andrew Gregory
Should timescale for procurement on Leisure Centres alternative management not be met, savings would be delayed or not achieved.	Red	Red	Actively working through milestones and mitigating actions to progress matters.	Andrew Gregory

Directorate: Communities, Housing & Customer Services

Director: Sarah McGill Councillors: Bale, Hinchey, Elsmore, Bradbury, De'Ath and Derbyshire

Q3 2015/16

Number of Employees (FTE)	960
Sickness Absence YTD (Days Per Person)	7.8
PPDR Compliance Stage (Permanent Staff)	93.8%

Budget	Projected Outturn	Variance	Variance (%)
£46,976,000	£46,976,000	0	-

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£1,962,000	£1,508,000	£454,000	23.13%

Q3 Progress against Corporate Plan Commitment Actions 2015/16 (Total No. 15)

Green 87% (13)

Amber 13% (2)

Q3 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No. 45)

Green 73% (33)

Amber 27% (12)

Progress on Challenges Identified Q2 (previous quarter)

Alarm Receiving Centre – finalisation of work with the transmission network so the service is fully operational.

The cause of the issue, identified as a faulty Power of Ethernet Cable, has now been rectified and footage is now being received from all sites back to the Alarm Receiving Centre.

The launch of Rent Smart Wales – success relies on all work streams progressing in accordance with the project plan and the development of the website which will manage the customer facing and staff interactions.

Rent Smart Wales launched on the 23rd November and is a landmark landlord licensing scheme hailed as UK first being hosted by Cardiff Council. The new registration and licensing scheme will prevent rogue landlords and agents from letting and managing properties in Wales. It will also raise awareness with landlords, agents and tenants of their respective rights and responsibilities.

All new staff were in place on the launch date having completed 3-4 weeks of induction training, documentation to support the processes had been developed and the infrastructure and database required for launch was in place. The marketing campaign, led by Welsh Government, was implemented and publicity included Lesley Griffiths AM and Cllr Bob Derbyshire visiting Willcox House with press. Further development to the website / database is required post launch to ensure system is fit for next steps in the processing of registrations and licensing applications. A review of the fees set for Agents is also under consideration.

SAP Customer Relationship Management System – the continuation of the phased rollout.

Delays to deployment have been raised direct with SAP on communication templates generated by the contact centre. Housing Repairs and Standard team work items have been completed and are in the production for CRM.

Voids - Reducing the time taken to let vacant properties remains a key challenge.

An additional Manager has been appointed and performance improved in December, with 79 days taken to let properties in Q3, down from 94 days in Q2. However, there has been an increase in the number of properties becoming void and this will cause issues with performance going forward during January/February. The fortnightly meetings continue and close monitoring of performance is being carried out and processes are being reviewed to improve overall performance.

Disabled Facilities Grants- Issues with the number of days taken to deliver the grants.

Additional Capital funding was agreed until the 31st March, which will alleviate demand and reduce the backlog. A review of the eligibility criteria and adaptations that are funded is underway to ensure best use of funds. Further work is being done to manage contractor performance, a review of the contractual arrangements in place under the Building Maintenance framework is being carried and consideration is being given to providing some works in-house out to ensure value for money is achieved.

Q3 Service Delivery

Budget

At the end of Quarter 3 the Directorate is projecting a balanced position; all savings proposals have now been implemented. The achievement of ambitious income targets through the commercialisation of services are yet to be achieved, however this is being offset by underspends within the Directorate.

Directorate Delivery Plan

Adult Community Learning – During term 1 (September – December) 1,237 people enrolled with Learning for Work Following the new programme launch for academic year 2015/16 in September, by the end of Term 1 (December 2015) there had been a total of 1237 enrolments for Learning for Work, 274 enrolments for DICE Learning for Work and 682 enrolments for Into Work Services. This reflects a 10.4% increase for enrolment numbers.

Alarm Receiving Centre – The recruitment of a Marketing Manager at the end of Quarter 2 led to a reinvention of the

advertising of the packages available and has shown increases in Telecare referrals, connections and customers during Quarter 3. Telecare brochures are currently being created with a new look and feel in line with the branding change. There has been a 177% increase in visitors to the Telecare Website' this shows that information regarding Telecare is being circulated and communicated out to the public domain.

Welsh Public Library Standards - The WPLS report was submitted for scrutiny in November, members were positive regarding Cardiff's WPLS performance. A database has been set up to enable the efficient collection and reporting of libraries performance information; this is now live – although further modifications will be necessary moving forward.

First point of Contact for Adult Social Care - Performance is going well with improved resolution at first point of contact. Prior to the First Point of Contact going live, 70% of calls were passed to Social Care, the latest overall average has reduced to 50% being passed to Social care.

Welfare Reform - The new Welfare Liaison team are now fully operational and assisting council tenants with Universal Credit and other welfare reform issues. Face to Face services for Universal Credit are now available through the Hubs. This includes budgeting advice and assistance to get on line and to open a bank account. The Housing Service together with the RSLs in Cardiff have applied to pilot the Trusted Partner arrangements which will allow landlords to provide more assistance to vulnerable tenants.

Hubs - Rumney Partnership Hub opened in November, and monitoring systems in place to record user numbers and customer feedback. Grangetown hub is opened in January and 300 customers were seen in the first day of operation.

Management

Health & Safety - Following the completion and publishing of the H&S Action Plan, a summary is being pulled together to make the information as accessible as possible.

PPDR Status – The PPDR compliance remains high, with dip sampling carried out across the Directorate which showed consistent high quality.

Sickness – The Directorate provides a number of face to face client services, which has an impact on sickness figures overall, the Directorate has also been affected by internal restructuring within the Directorate. Regular monitoring takes place within the Directorate to manage sickness absence.

Key Performance Indicator Data – Q3 2015/16

Q3 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (Total No. 45)

Green 81% (25)

Amber 13% (4)

Red 6% (2)

***6 annual, 3 Not Targeted and 5 closed**

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
The average number of calendar days taken to deliver a Disabled Facilities Grant	193	214	240	248		200		R
The main reason for delay in delivering adaptations was the lack of available funding. Requests for service have increased year on year while capital allocation has reduced, as a result it was necessary to slow down the delivery of adaptations. The Council has now recognised this and has identified additional funding to be used to address the backlog and this work has now been issued to the contractor. The performance indicator is likely to continue to be below target this year while these older cases are cleared.								
The number of library materials issued, during the year, per 1,000 population	4,727	967	2,132	3,109		5000		A
During Q3 Roath library was closed and Grangetown Library was closed for refurbishments and has now opened as a hub. There has been the temporary closure of St Mellons Hub for building work; these have contributed to the reduction in issues. In addition to this the performance indicator is cumulative; meaning the closure of Central Library in Q2 will impact on this result for the remainder of the current financial year. As footfall and PC use figures show an increase this demonstrates that the public are using the many other facilities available in the libraries.								
The number of visits to Public Libraries during the year, per 1,000 population	8,376	1,217	2,800	4,441		6000		G
The percentage of all potentially homeless households for whom homelessness was prevented for at least 6 months	New indicators are currently being developed following new legislation with a significant change in direction							
The average number of days that all homeless households spent in Other forms of temporary accommodation								
Percentage of C2C Calls Answered	86.9%	92%	93%	96%		93%		G

BNF/002 (a)CTR : Speed of processing: Average time for processing new Council Tax Reduction claims	18.9	19.94	18.42	14.54		21		G
BNF/002 (a)HB : Speed of processing: Average time for processing new Housing Benefit claims	21.3	22.95	21.0	17.7		21		G
Vacant Local Authority stock as percentage of overall stock (as at the end of the period)	1.55%	1.53%	1.35%	1.58%		1.5%		A
The number of current voids has increased slightly over the past quarter. There has been an increase in properties becoming vacant as tenants moved to new build housing association schemes.								
The total amount of rent lost due to lettable units of permanent accommodation being empty as a percentage of the total rent debit for the financial year.	2.12%	1.8%	1.9%	2%		2%		G
The total amount of rent lost due to lettable units of permanent accommodation being empty was £351,167.66 in Quarter 3, a cumulative total of £968,596.02 Year to date which compares favourably to the cumulative figure for the same time in 2014/15 was £1,049,321.39. This amount includes some properties being held vacant for demolition and redevelopment under the Housing Partnership Programme.								
HLS/014 : The average number of calendar days taken to let lettable units of permanent accommodation during the financial year	112.7	103	94	79		Q1-90 Q2-80 Q3-70 Q4-60		A
Overall letting time continues to decrease. The pilot 'quick turnaround' voids project has reduced void time, vacant work costs and rent loss. However, the number of new void properties has increased recently, in part due to the Welfare Reform changes affecting under 35s. If this trend continues it may have an adverse effect on future letting times.								
The percentage of emergency repairs completed within target time	95%	95 %	98%	95%		90%		G

Q3 Challenges Identified

Q3 Actions being taken

<p>SAP Customer Relationship Management System – the continuation of the phased roll out</p> <p>Council Tax Annual Billing – 152,000 bills will be issued in March and C2C will handle the customer contact. It's predicted the maximum 5% cost increases will be applied for a 2nd year in a row and customer complaints will increase as a result.</p> <p>Cardiff's Historical Collections – the potential redistribution of collections to partner institutions</p> <p>Local Studies - relocation</p> <p>Disabled Adaptations - The delivery time for adaptations remains of concern.</p> <p>Void Turn Around Times - an increase in the turn-around times for void properties remain a concern.</p> <p>Welfare Reform – The phasing in of Universal</p>	<p>This challenge is ongoing, which robust project management by senior managers in place to ensure successful roll out of the system.</p> <p>6 representatives are undergoing training from the council tax and benefits departments to increase C2C's call handling capacity and bolster the number of staff that can be utilized in an overflow capacity during times of peak call volume. A series of Tweets detailing the advantages of the portal for council tax self-service are being planned with communications. Direct promotion of on-line services for students via Students Unions and University websites.</p> <p>Work will continue through the Advisory Group to establish recommendations for the redistribution of the Legacy collections with support from Welsh Government. These recommendations will be required to be considered by a cabinet report.</p> <p>Subject to the results of a public consultation work will continue to establish a new location for Local Studies.</p> <p>A large number of jobs have been issued to the contractor and an undertaking has been given that these will be cleared by the end of March. This will need continued monitoring with regard to timescales and quality of work. The development of an Action Plan is currently underway.</p> <p>The roll out of the Fast Track System during the quarter was successful. There has been an increase in the number of properties becoming empty and this is likely increase times as attempts are made to transfer tenants ahead of the WR changes that will have affect from April (see below).</p> <p>This will require further changes to the allocations policy and could</p>
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Credit has started in Cardiff and this is likely to start impacting on rent collection in the next quarter. The Autumn statement included further changes to HB for social rents, limiting the HB that can be claimed to LHA levels and introducing a shared accommodation rate which will apply to all those under 35.	potentially impact on void property turn around.
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Q3 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
Welfare Reform - That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform Bill 2011	Red	Red	<ul style="list-style-type: none"> Welfare Reform Group is working well in coordinating multi-agency activity Discretionary Housing payments are being used to top up the benefit claims of those most affected Tenants adversely affected are being supported to exchange properties, tenants given greater choice on new properties and reducing void rent loss Face to face services are being provided across Cardiff to assist people with claiming Universal Credit and in returning to work. 	Sarah McGill

Emerging Risks Identified this Quarter				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
UK Autumn Statement Social rents to be limited to Local Housing Allowance Rates for new tenants from 1.4.16 <ul style="list-style-type: none"> Shared accommodation rate to be applied to tenants under 35 Limit to apply to supported accommodation including domestic violence refuges and hostels Change to HB takes place 1.4.18 but allocation policy will need to change from 1.4.16. 	Red	Amber/ Green	<ul style="list-style-type: none"> Information and advice being developed for existing tenants to advise that HB entitlement may be lost if they move house Moves for under 35s affected by the bedroom tax are being prioritized. Change to the allocation policy is being considered for under 35s Possibility of developing smaller accommodation units within the shared accommodation rate is under consideration Possibility of developing and managing shared accommodation is being considered 	Sarah McGill

Update on Previous Quarters Emerging Risks				
Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner

<p>UKs Budget Announcement</p> <ul style="list-style-type: none"> • Benefit Cap reduced to £20,000 (previous risk profiled on £23,000) • Freeze on benefits • Tax credit changes • Budget settlements on areas where there is devolved powers in Wales is currently not known, including 1% cut to social housing rents 	<p>Red</p>	<p>Amber/ Green</p>	<ul style="list-style-type: none"> • Welsh Government have decided not to cut social housing rents but to continue their previous rent policy. • Work is underway to identify those affected by the benefit cap and to advise tenants accordingly. 	<p>Sarah McGill</p>
<p>Increasing homelessness and rough sleeping in the city</p> <ul style="list-style-type: none"> • the increase in rough sleepers includes EEA Nationals who are affected by changes to rules for benefits and housing 	<p>Red/ Amber</p>	<p>Amber/ Green</p>	<ul style="list-style-type: none"> • A temporary increase in resource to the Outreach Team • Consideration of additional units for the Rough Sleeper project to assist those with complex needs • To hold hostel vacancies for identified individuals currently sleeping rough or those with complex needs • To work with the Salvation Army to develop a pilot scheme for an intervention and reconnection service for EEA Nationals. 	<p>Sarah McGill</p>

Directorate: Economic Development

Director: Neil Hanratty

Councillor: Phil Bale, Peter Bradbury, Graham Hinchey

Q3 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£2,162,000	£2,474,000	£312,000	12.97%

Number of Employees (FTE)	245
Sickness Absence YTD (Days Per Person)	5.8
PPDR Compliance Stage (Permanent Staff)	91%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£1,334,000	£1,073,000	£261,000	19.56%

Q3 Progress against Corporate Plan Commitment Actions 2015/16 (Total No.19)

Green 95% (18)

Amber
5% (1)

Q3 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No.14)

Green 93% (13)

Amber
7% (1)

Progress on Challenges Identified Q2 (previous quarter)

- City Deal** – the City Deal process is progressing well. Welsh Government now integrated into the process. Announcements made by central government in November statement. Work ongoing towards a final submission in March.
- Central Square** – Leased signed by BBC for new HQ. Work on bus station progressing on-track. Results of public consultation reported to Cabinet in December. The planning application for demolition of Marland House and the NCP car park submitted in December. Work started on preparing planning application for the new bus station.
- Multi-purpose Arena** – Work progressing on financial plan. New opportunities to access infrastructure funding being explored to help move the project forward.
- ISV** – Ice rink on-track to be completed in Q4. Discussions have been initiated with the developer regarding phase 2 of the sports village development.
- Funding for business** – opportunities to provide new financial support initiatives for business are being explored through the City Deal.

Q3 Service Delivery

Finance

Economic Development are projecting a reduced overspend of £312,000 against a net budget of £2,158m. Workshops are projecting £50,000 additional rental income along with additional bus shelter projected income of £350,000. This will be used to offset overspends of £430,000 in Culture Venues and Events, £100,000 in Property and £183,000 in Major Projects of which £93,000 relates to offsetting the Dr Who Experience naming rights income shortfall.

Directorate Delivery Plan

- Deliver, with partners, 200,000 square feet of Grade A office as part of a new business district in the vicinity of central station between March 2014 and March 2016** - Building one nearing completion and due for occupation in February. Contractors now commissioned by the developer to commence works on BBC HQ and Building 2 and works are underway. Public realm associated with building one has commenced. Preparation works for the public realm relating to the wider square are underway.
- Implement a delivery strategy to progress a Multi-Purpose Arena by March 2016** – Work to prepare for a procurement process is underway with a view to beginning the process in Spring, subject to financial plan.
- Transport Interchange** - Detailed design has started. Commenced stakeholder consultation to inform the detailed design process and preparation of the Transport Assessment.
- Develop a heritage quarter proposal for the Civic Centre, including a plan for the refurbishment of City Hall by March 2016** – Cathay's Park Urban Design Framework completed. Masterplan to be agreed with partners in Q4. Work on plan for City Hall will follow this work.
- Establish a new Tourism Development Strategy by June 2015 with a view to doubling the value of overnight tourism in the city-region by 2020** - As well as funding received from Visit Wales, additional partner/ stakeholder support funding has been sourced from the Local Authorities in SE Wales and contributions from the private sector (such as Cardiff Hoteliers Association, Cardiff Venues including Motorpoint Arena, Wales Millennium Stadium) and Celtic Manor Resort to undertake a marketing campaign and associated activity to be delivered by end of March

2016.

6. **Deliver the approved Property Strategy** - On track to achieve the Asset Management targets for this year. Projecting, at year end, a 5% reduction in the gross internal area of buildings in operational use. 4.4% reduction in the total running costs of occupied operational buildings. £5.6 million reduction in the maintenance backlog. Agreed asset management targets for 2016/17.
7. **Delivery of an Office Rationalisation programme to deliver £1m of revenue savings and £6m of capital receipts by December 2017** – On track to relocate teams from Mynachdy Centre, Howardian Centre and Global Link.
8. **Establish the future cultural and leisure needs of the city and ensure the sustainable delivery of cultural and leisure infrastructure and services at less cost through new operating models, by June 2016** – First stage of submissions have been made. Now undertaking evaluation to see whether bids meet Council objectives. Discussions with legal regarding timescales for contract documentation.
Cultural Consortium - Meeting held with relevant stakeholders to discuss the potential of a Capital of Culture Bid. A further discussion will be held with the Cultural Consortium in February.
Functions and retail catering units - Independent review completed. Improvements around menu's and retail operation have been implemented. An improvement plan is now under production with a view to being implemented as soon as possible.

Management

Health and Safety – Regular consultation with trade union representatives established. End of year Sickness absence level predicted at 7.6, below the annual target.

Welsh Bilingual Service – Managers of front line teams have assessed their Welsh language requirement. Linguistic Assessments to be progressed.

Key Performance Indicator Data – Q3 2015/16

Q3 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (Total No. 32)*

Green 56.25% (18)

Amber 6.25% (2)

*including 12(37.50%) unable to collate until the end of the year as awaiting data for denominator or activity planned during Q4

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
Grow membership of the Cardiff Business Council to 1,000 members (by 2016) (cumulative result)	120	164	166			1,000		A
The Council has embarked upon a review of the organisation in anticipation of future funding shortfalls and the City Deal opportunity.								
Number of Attendances At Cardiff Castle (cumulative result)	274,285	76,636	176,562	235,572		285,000		A
During quarter 3, 59,010 paid admissions to the Castle, exceeding the quarter 3 target of 52,553.								
Cardiff Castle Total Income (cumulative result)	£3,367,462	£994,751	£2,170,716	£2,863,012		£3,105,000		G
Retained Income For St David's Hall and New Theatre (cumulative result)	£1,269,492	£405,605	£683,805	1,308,686		£1,338,480		G
Customer Satisfaction Level For Cardiff Castle	NPS+53	NPS+25	NPS+47	NPS+60		NPS+50		G
Number of new and safeguarded jobs in businesses supported by the Council (financially or otherwise) (cumulative result)	2,395	478	1,653	2,099		1,000		G
Investment Portfolio Income	£4.023m	£1,073m	£1,915m	£3,124m		£4.3m		G

Q3 Challenges Identified	Q3 Actions being taken
<p>1. City Deal – maintaining momentum towards the completion of a bid in Q4.</p> <p>2. Central Square – agreeing a financial approach to the delivery of the new bus station and implementing a programme of stakeholder engagement.</p> <p>3. Ice Rink – completion and open for public use in Q4</p> <p>4. Capital Receipts – conclusion of deals to secure capital receipts by the end of the financial year.</p> <p>5. Coal Exchange – progressing arrangements for a private sector solution to the coal exchange including the appropriate engagement of stakeholders.</p> <p>6. Culture, Venues & Events - undertake organisational restructure to enable delivery of savings and operational efficiencies in the new financial year</p> <p>7. Provide interim TIC facility in the city centre.</p> <p>8. Finalise the Civic Centre masterplan work and develop proposals for the use of City Hall.</p> <p>9. BID – maintaining momentum towards a vote.</p> <p>10. Welsh Language Centre – finalise details for completion of the WLC in Q4.</p> <p>11. Culture ADM – progress procurement process towards an outcome.</p> <p>12. Heritage Trust/Mansion House – agreeing a way forward.</p> <p>13. Digital advertising – ensuring infrastructure and contracts are in place to enable income to be received from Q1 16/17.</p> <p>14. Cardiff Business Council – manage the transition to a new regional arrangement.</p>	<p>1. Development of an agreed bid through a series of workshops and meetings.</p> <p>2. Regular meetings with finance and the developer to develop a financial proposition.</p> <p>3. Continue work with the developer to resolve any outstanding issues to ensure the facility can be opened to the public in Q4.</p> <p>4. Continue to closely monitor progress with disposals.</p> <p>5. Work with all stakeholders to agree a common view of the way forward to restore the Coal Exchange.</p> <p>6. Discuss with unions and staff and progress the restructuring.</p> <p>7. Identify preferred location and operational plan for new TIC presence in the city-centre.</p> <p>8. Complete masterplan work and begin consultation.</p> <p>9. Continue to work with the local business stakeholders and appointed consultants to prepare for a vote.</p> <p>10. Continue discussions with tenants and Museum Trustees to ensure all occupiers needs are meet. Monitor completion of fit-out works.</p> <p>11. Evaluate proposals and negotiate a contract with preferred bidder in Q4.</p> <p>12. Advice being presented in Q4 with related action plan.</p> <p>13. Regular meetings with supplier and planning officers to ensure programme is delivered on schedule.</p> <p>14. Work with a range of business stakeholders, local authorities and Welsh Government to agree a new model for business engagement at a city region level.</p>

Q3 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
Asset Management - Ensure effective operation of the Council's Asset Management Board to achieve effective strategic oversight and identified savings.	Red	Red / Amber	(Q2): Prepare report on future strategy and direction of the Council's Non Operational Investment Estate to be considered by Cabinet in November 2015. (Q3) Non Operational Investment Estate arrangements agreed by Cabinet.	Neil Hanratty

Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
Arts Venues (Q4) Should timescale for procurement	Red	Green	(Q4) Sound control by project board and team to drive procurement but ultimately	Kathryn Richards

<p>on Arts Venues alternative management not be met, savings achievement would be delayed.</p>			<p>dependent on procurement timetable and content of bids. (Q1) Progressing the procurement process, completed invitation to submit outline solutions. (Q2) Procurement process on track, tender requirements and descriptive documents issued. (Q3) First stage of submissions have been made.</p>	
<p>BID (Q4) - Restructuring of the City Centre Management team and delay with the implementation of BID.</p>	<p>Red / Amber</p>	<p>Green</p>	<p>(Q4) Agreed viable business model to take the BID process forward. Funding secured internally to progress a BID approach to City Centre Management. Advisors appointed to undertake BID application process (Q1) Task Group established to develop a baseline analysis of service delivery. (Q2) Work is progressing to develop a BID to take to a ballot position by the end of the year. Representatives from the local business community have been appointed as Chair and Vice Chair the BID task group. (Q3) BID Task Group established. Discussions with local businesses underway.</p>	<p>Ken Poole</p>
<p>Advertising Strategy (Q4) - Local Member/Planning/Highways /Safety approvals not achieved leading to delay in generating income through the advertising strategy to offset savings</p>	<p>Red / Amber</p>	<p>Green</p>	<p>(Q4) Planning applications submitted. Income expected to be realised in time for next financial year. (Q1) Terms agreed for 1st site, which is awaiting planning approval. (Q2) Large Format Digital Advertising Strategy in place. (Q3) Progressing tender of Phase 1 sites. Phase 2 sites being progressed with Planning for next phase of marketing.</p>	<p>Ken Poole</p>

Directorate: Education & Lifelong Learning

Director: Nick Batchelar

Councillor: Sarah Merry

Q3 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£234,657,00	£234,657,000	0	-

Number of Employees (FTE)	750
Sickness Absence YTD (Days Per Person)	5.0
PPDR Half Yearly review (Permanent Staff)	81.2%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£2,621,000	£2,459,000	£162,00	6.18%

Q3 Progress against Corporate Plan Commitment Actions 2015/16 (Total No. 23)

Green 70% (16)

Amber 30% (7)

Q3 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No. 50)

Green 64% (32)

Amber 32% (16)

Red 4% (2)

Progress on Challenges Identified Q2 (previous quarter)

1. *Improving outcomes for vulnerable learners, to be informed by more intelligent data analyses:* Challenge advisers have been given the necessary data by school on performance at the level 1 threshold, attendance, exclusions and NEETs to challenge schools on the appropriateness of their provision for these learners. Improved datasets have been developed to monitor exclusions by vulnerable group.
2. *There is a need to broaden the role of the challenge advisers to ensure a focus on underachievement and well-being:* There is better information sharing with challenge advisers who are demonstrating a greater level of engagement in the broader inclusion and well-being agenda.

Q3 Service Delivery

Budget

Against a budget of £234.661m the projected outturn at the end of Q3 is £234.661m an overall balanced position. Within this overall balanced position there remains areas of spend which are likely to exceed budget which are currently being offset against areas of underspend. Specific monitoring of the 2015/16 savings proposals indicate that as at Q3 there are £162k of savings that are unlikely to be achieved within the 2015/16 financial year. These are included within the overall monitoring position.

Corporate Commitments

School Performance: Final Key Stage 4 performance – Academic Year 2014/15:

The rate of improvement in the main performance indicators is greater in Cardiff than across Wales at Key Stage 4. Performance at the level 2 inclusive threshold compares favourably with performance nationally, but further improvement is still needed in the level 1 and level 2 threshold indicators. At the **level 2+ threshold** performance is above modelled expectations. There has been an improvement of 5.3 ppt to **59.3%**, which is the biggest improvement in the consortium greater than the improvement in 2014. However, in order to be in the top 25% performing authorities based on FFT estimates Cardiff's performance in this indicator would need to be 62.3%. Outcomes for vulnerable learners such as eFSM pupils, looked after children and minority ethnic pupils have also improved, but are still significantly below the average.

National Categorisation: In the primary sector, **70.5%** of schools are in standards groups 1 or 2 (out of 4) up from **48.4%** in 2014-2015. In the secondary sector, **55.6%** of schools are in standards groups 1 or 2 up from **44.4%** in 2014-2015. Final national categorisation for 2015-2016 will be reported in Q4.

Challenge Cymru Schools: In 2015 at Key Stage 4, one school improved its performance and one school maintained the increases in performance achieved in 2014 but outcomes decreased in the other four schools. In three of these schools the local authority has taken intervention action and leadership capacity has been increased. Although progress is now being made, standards remain unacceptably low. In the fourth school, there was a slight dip in outcomes but performance remains significantly above modelled expectations and further improvements are expected this year.

School Organisation Programme: Delivery of the 21st Century Schools programme has progressed significantly. The new Eastern High School Design is complete and planning permission was granted on the 13th January 2016. Demolition of buildings on the site is due to start week commencing the 18th January 2016 and is expected to be complete by late Spring 2016. Wilmott Dixon are due to take possession of the site by 5th May 2016, with the new school to be delivered by September 2017. Consultation on the new high school in the West, Four Wards primaries and Willows primaries took place in Autumn 2015 and the statutory notices were published on the 7th January 2016. A report will be presented to Cabinet for determination of the proposals in March 2016. Primaries procurement is on schedule and due to go to tender week commencing 21st January 2016. Primaries to proceed are due to be delivered by September 2017.

School Governance: As at the end of December 2015, the % of governor vacancies has decreased to 8.73% (169 governors), compared to 9.35% (179 governors) at the end of the last quarter. The % of LA governor vacancies has increased to 8.72% (34 governors) from 6.92% (27 governors). It is anticipated that 11 new LA governors will be recommended for appointment at the next panel meeting in January 2016.

NEETS, VAP & The Youth Guarantee: Cardiff's NEET figures will not be verified until March 2016 but the LA's monitoring indicates that the position for 2015 is close to last year's figure of 4.26% and is likely to be in the region of 4.5% with 152 pupils of a cohort of 3,343 not in EET at the time of the Destinations count. (151 pupils of a cohort of 3546 in 2014). Disappointingly the NEET picture therefore remains static due in part to high levels of NEETs from a minority of schools. The Vulnerability Profile has been run in all secondary schools for 2015/16 and current year 11 pupils identified as at risk have been allocated for additional support. Support to schools will be differentiated where the numbers of NEETs are highest. The Council's approach to youth engagement and progression has been refocused, through the development of a whole Council approach, working with partners across the city, to ensuring positive destinations for young people in Cardiff. A paper, outlining this approach will be considered by the Cabinet of Cardiff Council in January 2016. Two European Social Fund bids have been finalised, in conjunction with Newport CC (lead beneficiary), Monmouthshire CC, Vale of Glamorgan CC, Careers Wales, Coleg Gwent and Cardiff and Vale College, targeting young people at risk of disengagement both pre and post 16.

Looked After Children: Further work is being undertaken this term to build additional information to the virtual tracker. This information is being used to improve the identification of Looked After pupils who need additional support. A cycle of visits by the Achievement leader (Closing the Gap) is being undertaken to challenge schools where provision is not meeting the needs of Looked After Pupils. Challenge Advisers have the names of all Looked After pupils in their schools and discuss their progress on their visits with the Head teacher.

Youth Service: The commissioning process has been undertaken in all 15 neighbourhoods and grants have been issued. Disposal of buildings has progressed with four buildings remaining surplus to requirements. An Investment plan is being considered for retained buildings. Work continues to progress the new Youth Service Structure.

Delivery Plan Commitments

Admissions: The Admissions Forum is scheduled for January 18th 2016 to discuss the Admissions Policy for 2017/18.

Leadership & Governance: Partnership working to 'step up' the pace of improvement in education has been effective in strengthening an explicit policy approach to the development of federations and collaborations between schools. A working group of head teachers, including those in an executive role and those working in collaboration, has been established. Members of the Education Management Team have undertaken visits to other authorities in England and Wales to gain first-hand information about different models of schools federations and collaboration arrangements.

Teaching & Learning: Strengthening the role of Challenge Advisers - The role of the Head of Achievement and Inclusion has been broadened to include oversight of the secondary challenge advisers at the consortium. Expectations for joint working between challenge advisers and the local authority's inclusion services are now more clearly defined. These changes are resulting in improved support and challenge to schools in relation to NEETS, attendance and exclusions.

Improving provision for learners with Additional Learning Needs - Good progress is being made on ALN strategy. The consultation on the reshaping of speech and language and behaviour provision for primary age pupils is scheduled for February/March 2016.

Ethnic Minority and Traveller Achievement Service – A new central team is now in place with a clear focus on monitoring and raising outcomes for Ethnic Minority/English as an Additional Language pupils through challenge and support. All additional resources from the Education Improvement Grant (MEAG) are now being delegated to schools.

Partnerships: Exclusions-Data for the Autumn term shows a further reduction in the number of fixed term exclusions in both the primary and secondary phases and zero permanent exclusions. Further progress has been made in reducing the variation between secondary schools by reducing the number of schools that have high fixed term exclusion rates from 8 schools to 6. Of the 6 schools that continue to have high rates, 4 now have reducing rates. Two secondary schools still have very high and increasing rates of exclusion and intense support has been put in place.

Schools/ Business Links - Positive developments continue in building business-education links, including for example the formation of a Creative Education Partnership in Cardiff, linking the creative and cultural sector with education in schools and further education. This partnership will be closely linked with the development of the new secondary school, in west Cardiff as a pathfinder project.

Strategic Planning: Headteachers, governors and officers are making good progress to finalise a five year strategy for educational improvement, Cardiff 2020: Aiming for excellence – a renewed vision for Education in Cardiff.

Management (PPDR, Sickness and Health & Safety)

PPDR compliance has declined this quarter. The reasons for this decline are being reviewed to ensure an increase in participation within timescales. Work is also ongoing to continue to enhance the quality of the PPDR process, through consistent alignment on individual objectives with directorate priorities.

Directorate: Education & Lifelong Learning

Key Performance Indicator Data – Q3 2015/16

Q3 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16

(CP) = Corporate Plan KPI (NC) = Not collected in year (NYA) Not yet available (P) Provisional

*NOTE: Attainment data reported in Q3 column relates to In Year, School predictions of pupil attainment for current academic year, where this is collected in year by the Consortium.

Total Reportable in Quarter 3 = 22 of 25

Green 36% (8)

Amber 27 % (6)

Red 36% (8)

Performance Indicator	Target Academic Year 14/15	Result Academic Year 14/15	Target Academic Year 15/16	*Quarter 3 End Autumn Term 15/16	RAG
% pupils achieving Foundation Phase Outcome Indicator	85.8%	86.73%	86.4%	NC	Green
(CP) % pupils at Key Stage 2 achieving the CSI	86.5%	87.76%	88%	74%	Amber
(CP) % pupils at Key Stage 3 achieving the CSI	79.3%	83.40%	82%	NC	Green
(CP) % pupils at Key Stage 4 achieving Level 1 threshold	94.5%	92.10%	96%	94.05%	Red
% pupils at Key Stage 4 achieving Level 2 threshold	81.15%	81.6%	82.3%	78.03%	Red
(CP) % pupils at Key Stage 4 achieving L2+ threshold (inc. English/Welsh and Maths)	60%	59.3%	65%	51.94%	Amber
(CP) Average point score Key Stage 4	497	497.2	525	NC	Red
(CP) % point gap between eFSM / non FSM at Key Stage 2 CSI	16.22%	14.3%	15%	NC	Green
(CP) % point gap between eFSM / nonFSM at Key Stage 4 L 2+	30%	34.37%	27%	NC	Red
(CP) Number of LA maintained schools placed in 'Special Measures' or 'Significant Improvement' in previous year	0	6	0	0	Amber
(CP) % pupils leaving with no qualification (Yr 11)	0.3%	1.2%	0.15%	NC	Red
(CP) % Looked After Children leaving with no qualification (yr 11)	2%	NYA	2%	NC	Black
(CP) % pupils entering volume equivalent to 2 A Levels achieving Level 3 threshold	97.5%	97%	98%	NC	Amber
(CP) Attendance at Primary School	94.6%	95.1%	95.4%	95.43%	Green
(CP) Attendance at Secondary School	94.1%	93.86%	95%	94.67%	Green
(CP) The percentage of pupils assessed at end Key Stage 3, receiving teacher assessment in welsh.	11.3%	11.8%	11.9%	NC	Green
(CP) % Year 11 Leavers NEET	2.5%	4.5% (P)	2.3%	NC	Red
(CP) % Year 13/14 Leavers NEET	3%	2.6% (P)	2.5%	NC	Amber
Number fixed term exclusions in primary schools 5 days or fewer (per 1000 pupils)	8.5	9.16	8	2.3	Green
Number fixed term exclusions in primary schools 6 days or more (per 1000 pupils)	0.25	0.3	0.2	0.2	Green
Number fixed term exclusions in secondary schools 5 days or fewer (per 1000 pupils)	55	76.73	55	23.4	Amber
Number fixed term exclusions in secondary schools 6 days or more (per 1000 pupils)	3.3	4.7	3.1	0.4	Red
% School Governor Vacancies	5%	9.35%	4%	8.73%	Red
(CP) % final statements of special educational needs issued within 26 weeks (excluding exceptions)	100%	Calendar year – report Q4	100%	NC	Black
(CP) % final statements of special educational needs issued within 26 weeks (including exceptions)	72%	Calendar year – report Q4	73%	NC	Black

N.B. This set of KPIs supports the Directorate to manage performance in line with academic year cycle.

Q3 Challenges Identified

- Insufficient early intervention classes in both English and Welsh medium schools to meet the needs of primary aged children with BESD.
- A number of secondary head teacher appointments need to be made in the New Year (4).

Q3 Actions being taken

- SOP/SEN consultation on proposals to open new classes. Options for temporary placements also being considered.
- Interim arrangements are being supported by the LA, Consortium and paired schools. Recruitment approaches planned.

Q2 Risk Update

Corporate Risk

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
The Central South Consortium does not deliver effective services that challenge and support Cardiff schools to improve and Educational Attainment does not improve at the required rate.	Red/Amber	Amber	Ensure the agreed commissioning arrangements are delivered and make a positive impact on the performance of schools.	Angela Kent
Large scale programme with tight timescales for delivery, in context of very rapidly growing primary age school population.	Red	Amber	Ensure consistent monitoring and reporting of all risks to Schools Programme Board. Strengthen capacity in team.	Janine Nightingale
Schools Delegated Budgets. Secondary schools with deficit budgets do not deliver agreed deficit recovery plans, impacting on the overall budgets for all schools.	Red	Amber	The revision of the protocol for responding to schools in deficit, the alignment of LFMS Officers and Challenge Advisers, the intervention in three secondary school Governing Bodies is beginning to have a positive impact on the ability of the Council to ensure schools meet the targets set out in their deficit recovery plans.	Neil Hardee

Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
Several 'red and amber' schools are due for inspection in the next quarter. There is a risk that such schools could enter an Estyn category.	Red/Amber	Amber	Close working with the Consortium and Head teachers to deliver School Improvement Plans and adequately prepare for inspection.	Angela Kent

Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
The Careers Wales destination survey in November 2015 will determine the number of Year 11 Leavers who are 'NEET' this year. This is a key performance measure for the directorate, whereby we aim to reduce the % of young people NEET from 4.3% in 2014 to 2.5% in 2015.	Red/Amber	Red/Amber	Cardiff's NEET figures will not be verified until March 2016 but the LA's monitoring indicates that the position for 2015 is close to last year's figure of 4.26% and is likely to be in the region of 4.5% with 152 pupils of a cohort of 3,343 not in EET at the time of the Destinations count in Oct. 2015.	Angela Kent

Directorate: Governance & Legal Services

Director: Marie Rosenthal

Councillor: Daniel De'Ath

Q3 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£4,501,000	£4,489,000	(£12,000)	0.26%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£315,000	£315,000	0	-

Number of Employees (FTE)	85
Sickness Absence YTD (Days Per Person)	4.3
PPDR Compliance Stage (Permanent Staff)	86.3%

Q3 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No.14)

Green 78.5% (11)

Amber 21.5% (3)

Progress on Challenges Identified Q2 (previous quarter)

- New Welsh Language Standards** – Utilizing the translation functionality in Modern.Gov to help us meet our publishing targets for Council meeting minutes and agendas. Completed recruitment process for two Welsh translator posts.
- Welsh Language Standard 136**. All directorates have been asked to assess their Welsh bilingual service requirements for front line services. Linguistic assessments are undertaken on individual posts as they go through the DigiGOV recruitment process.
- All Wales Standards Conference** – 27 organisations from across the Welsh public sector attended the conference on 20th October, aimed at reinforcing the importance of promoting and maintaining high standards and conduct. Topics in the five workshops included, social media, whistleblowing, community councils, local resolution procedures, and the Nolan principles.
- Progress recruitment process** – Progressing 7 legal posts through the recruitment process. Made 4 appointments to date.

Q3 Service Delivery

Finance

Governance & Legal Services are predicting an end of year underspend of £12,000. This is mainly due to revised employee projections in Legal Services and employee savings in Scrutiny Services. At month 9 we are projecting a balanced position for Electoral Services and Member Services.

All in year savings have been achieved.

Directorate Delivery Plan

- Improve the number of eligible electors registering following the introduction of IER through targeted use of social media and marketing campaigns:** Annual canvass completed with a shortfall of 4,651 electors. The January update has increased by 5,598. In May the team will support the National Assembly for Wales and Police and Crime Commissioner Elections whereby Cardiff's Returning Officer has also been appointed as Regional Returning Officer for the NAW supporting 2 authorities and Police Area Returning Officer for the PCC Elections supporting 6 authorities.
- Implement recommendations of Improving Scrutiny project including a review of the structural model for delivering scrutiny** – Progressing the Scrutiny Improvement Plan 20 quick wins (Amber).
- Deliver the Council's second Strategic Equality Plan** – The Equality Strategy is being assessed and will go to Cabinet for agreement in March.
- Benchmark service performance with core cities, or relevant benchmark organisations, in order to drive better outcomes for citizens, businesses and visitors** – Shared 5 areas of good practice at the All Wales Standards Conference. Cardiff's local resolution procedure has been looked at to adopt good practice. The procedure will go to Standards & Ethics Committee in March.
- Demonstrate GAO commitment to the joint service across authorities through attendance at heritage events in all funding authorities** - We've attended heritage events in all 6 authorities and reported to the Joint Committee on the detail.
- Implement revised Welsh Language Skills Strategy in conjunction with HR and evaluate Welsh Language Awareness training module** – 79 Learners have attended Welsh Language Training since April 2015. 701 / 5,185 or 13.52% of the workforce (excluding schools based staff, agency and casual staff) have received training to a

specific level (Amber).

7. **Raise awareness of and implement the new Welsh Language Standards across all Council Directorates and prepare the Annual Monitoring Report to the Welsh Language Commissioner** – new Welsh Language Standards circulated to all Directorates. Consultation ongoing to identify barriers to compliance.
8. **Progress the development of a new Welsh Language Centre** – Final preparations underway for official opening on 1st February 2016.
9. **Assess your team's capacity to deliver a Welsh bilingual service** - 100% completion of assessments within the G&LS directorate. 17.8% posts designated Welsh Essential.
10. **Establish Phase 2 development of Modern.Gov** - Member library established and working on the development of e-petitions. 41 Councillors using devices. Second generation tablets to be rolled out with Modern.Gov application. Phase 2 features include e-petitions and improved Member self service. (Amber)
11. **Deliver improvements to scrutiny, decision making and Member development and engagement through the Improving Governance** –First half year of member development programme completed, including Gypsy Traveller briefing session held jointly with Vale of Glamorgan. Second half year of the Member Development programme to be rolled out in the New Year including, Information Governance and Planning.
12. **Implementation of Legal Service Review action plan deliver process efficiencies and achieve savings** – Implementing Legal Service Review action plan and ICT plan now funded. Focus on increased staff engagement through; regular Director Newsletters, establishment of a Staff Ambassador Group and team meetings. Legal Services case management system being updated to facilitate greater efficiencies.

Management

H&S – action plan monitored in Q3.

Sickness Absence – predicted end of year figure is 5.8 FTE days against an annual target of 6 FTE days.

PPDR – half year review compliance is now 96%, this figure reflects a high level of staff on maternity/sabbatical.

Key Performance Indicator Data – Q3 2015/16

Q3 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (Total No.24)

Green 29.5% (7)

Amber 37.5% (9)

*including 8 (33%) unable to be collated until the end of the year

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
The percentage of eligible electorate with the introduction of Individual Electoral Registration compared to the Register of Elector published in December 2014.	New		0.4% (240,086)			2014 baseline (239,139)		G
Annual canvass completed with a shortfall of 4,651 electors (-1.94%) compared to December 2014. The January update has increased by 5,598.								
Publication of draft minutes within 10 working days of the Committee	New	59%	83.7%	74.6%		80%		A
Publication times should improve following agreement of streamlined minutes.								
Percentage of Scrutiny recommendations accepted by the Cabinet	77% agreed 18% partially 5% not agreed	65% agreed 29% partially 6% not agreed	59% agreed 36% partially 5% not agreed	0		88% agreed		A
10 recommendations made in the Community and Adult Services Scrutiny Committee Inquiry Report. Awaiting Cabinet response in Q4.								
Percentage of Accessioning completed within 15 days	NEW	60%	77%	65%		80%		A
Percentage growth in take up of volunteering opportunities (hours) cumulative result	7,541	1,670	3,068	4,548		7,541		A
We might meet the target but, because of staff reductions, we've had to cut the number of work experience placements								

we offer so we will have fewer individual volunteers this year.					
Number of percentage of staff who have attended Welsh Language Awareness Training Compared to the number and percentage of staff in the workforce.	15.80%	19.85%		+2%	A
This year, 159 complete Welsh Language Awareness Training. 19.85% of the workforce (excluding schools based staff, agency and casual staff) have received language awareness training.					
Legal income achieved from land charges	NEW	£181,710	£229,094	£275,000	G
Legal income achieved from external clients	NEW	£172,072	£217,578	£352,000	A
All OM's s to ensure that any fees that have yet to be billed(for 2015/16 financial year are billed					

Q3 Challenges Identified

1. New Welsh Language Standards – limited resources to support the Council's delivery of a bilingual service

2. Voter Registration –increase voter registration

3. Legal Services – an increasing demand on the service of new work.

4. Webcasting – council meetings

Q3 Actions being taken

1. Development and Implementation of the dual language facility in Modern.Gov to publish Council and Cabinet Agenda and minutes. Participate in Welsh Language Commissioner's study of Welsh public bodies' arrangements to plan the Welsh language skills of its workforce in Q4.

2. Completed a full annual canvas in November – 16,000 pending electors, revised registration figures show 2.39%compared to figures in 2014. Progressing recruitment to new post. Letters to be sent to every household in February.

3. Progressing recruitment process for posts in Legal Services.

4. Launched live webcasting of Planning Committee in November. 130 hits on the website during webcasting of committee in November and December.

Q3 Risk Update

Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
N/A				

Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
Reduction in the numbers of eligible electors registering following introduction of IER reported	Red	Green	(Q4) Agree new communication and engagement strategy with universities to target students. Establish IER Task and Finish Group to address issue and claw back position. (Q1) Action Plan in place to ensure university student registrations are maintained and campaign in place before freshers arrive. (Q2) Implementing action plan – full canvas being carried out currently.	Ann Philpott

			(Q3) The January update has increased by 5,598.	
Failure to meet increasing customer demands on Legal Services.	Red / Amber	Amber	(Q1) Review establishment and utilise vacant posts to meet customer demand. (Q2) Progressing recruitment process for posts in Legal Services. (Q3) Made 4 appointments to date.	Marie Rosenthal
Failure to meet income targets.	Red	Green	(Q1) Lobbying Welsh Government to explore options to reduce reduction in NNDR on cultural institutions. (Q2) WG panel appointed to consider the issue and museum's expert review includes this as a recommendation. (Q3) Achieved Q3 income target.	Marie Rosenthal
Failure to meet the significant translation costs associated with the recent legislative changes (Welsh Language [Wales] Measure 2011).	Red	Red / Amber	(Q1)Preparation of a corporate consultation response to the Welsh Language Commissioner (WLC). Exploring options to develop in house simultaneous translation services. (Q2) Corporate consultation response submitted to the WLC. We continue to explore options to use existing IT system. (Q3) Utilizing the translation functionality in Modern.Gov.	Ffion Gruffudd
Failure to deliver the 20 'quick wins' identified in the recently published Improving Scrutiny Report would result in Regulatory censure, and cause reputational damage to the Council	Red Amber	Amber	(Q2) Progress in implementing recommendations will be monitored at the bimonthly Scrutiny Chairs' Liaison Forum, and the Director will task officers within the Directorate to ensure that the 20 quick wins are delivered to agreed timescale. (Q3) Progressing quick wins.	Paul Keeping

Directorate: Resources

Director: Christine Salter

Councillor: Graham Hinchey

Q3 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£16,777,000	£16,599,000	(£178,000)	(1.07%)

Number of Employees (FTE)	927
Sickness Absence YTD (Days Per Person)	6.2
PPDR Compliance Stage (Permanent Staff)	92.7%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£3,052,000	£2,905,000	£147,000	4.81%

Q3 Progress against Corporate Plan Commitment Actions 2015/16 (Total No 11)

Green 64% (7)	Amber 27% (3)	Red 9% (1)
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Q3 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No 76)

Green 71% (54)	Amber 24% (18)	Red 4% (3)
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*1 (1%) Actions are N/A

Progress on Challenges Identified Q2 (previous quarter)

1. Whilst work is being undertaken to consider the impact of ADMs and Community Asset Transfer on insurance, including benchmarking other authorities, there remains there is no formal process in place for this to be considered, and is occurring on an ad hoc basis.
2. The demand on the HRPS Recruit Team remains high; to mitigate this, a review of how the Council uses Casual staff is being undertaken. Alternative approaches are being looked at which will enable resources to be released and used to manage other recruit activities. This review will also impact on payroll and enable staff within payroll to be used more effectively.
3. Resource Services face significant challenge in relation to the ADMs in regards to the needs and support required to implement changes and support new models and what the future service might look like. Resources Support services continue to work with the project to determine individual business cases.

Q3 Service Delivery

Budget

The latest monitoring position for the Directorate shows a projected saving of £178,000 as compared to budget. The majority of services within the Directorate are either projecting an underspend or a balanced position against budget with only two areas currently projecting an overspend. This includes £154,000 in Facilities Management, mainly due to the level of costs associated with maintaining and operating FM buildings. An overspend of £48,000 is also projected in relation to Health & Safety reflecting a shortfall against savings proposals relating to a joint venture. Arrangements are now in place so that this saving will be achieved in future years.

Directorate Delivery Plan

1. A plan has been drafted regarding the future of Capital Times and a decision is awaited. If this plan is not approved it will slow down the progress and divert money, resources and time from taking forward the Digital First Strategy.
2. There are a number of issues with the current model for building services. Work has been carried out with People Too to develop a strategy for the service and this will include a review of the framework.
3. Issues around the capacity of ICT to deliver potential changes to the original scope of the agreement and there is a knock on effect in terms of information governance arrangements. These will need to be addressed through the formal governance processes of the SRS (Shared Regulatory Service).
4. ICT have upgraded all thin client users from Server 2003 and are on supported devices. However, approximately 80 (1%) devices remain on Windows XP. Customers with unsupported devices have been made fully aware of the risks associated with running applications on unsupported devices and Directorates need to make a decision or plan on how to resolve or mitigate this. ICT will work with Directorates to resolve these issues.
5. Meetings have been held with all departments and datasets for sharing has been identified for the Vulnerable Families department. The Council's legal department is considering the legal issues around the personal data concerning the families and once resolved an information sharing protocol (ISP) will be developed.

Management

Health & Safety – 4 accidents were reported in Quarter 3.

PPDR – 92.3% of staff within Resources had a half year review of their PPDR in 2015/16

Sickness – Resources had 6.2 FTE days lost per employee in Quarter 3, the forecast for the year is currently is 8.2 against a target of 8.0 FTE days lost per employee.

Key Performance Indicator Data – Q3 2015/16

Q3 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (Total No 29)

Green 21% (6)

Amber 17% (5)

Red 3% (1)

*including 12 (41%) annual performance indicators and 5 (17%) with results to follow

National Strategic Indicators and Public Accountability Measures								
Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
Reduce the levels of sickness absence (Council Wide)	10.11	2.2	4.2	6.8		9		A
The Council Wide Quarter 3 Sickness figure is 6.8 FTE days lost, this gives an outturn forecast of 9.2 FTE days lost against a target of 9.FTE days lost, work is being undertaken to reduce this by the end of Quarter 4.								

Directorate Delivery Plan Indicators								
Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
Council Tax Collection - The % of council tax due for the financial year which was received by the Authority	97.03%	28.44%	54.60%	81.66%		96.7%		G
The Council Tax collection rate at the 31 st December was 81.66% which is 0.14% below the same period last year. A proactive recovery timetable continues but clearly the 5% increase in the tax this year has had an impact on the overall rate.								
NNDR Collections - The amount of non-domestic rates received during the year, net of refunds	95.63%	32.21%	56.89%	81.80%		95.7%		A
The collection rate as at the 31 st December was 81.80% which is 0.26% below last year. A proactive approach is being taken but there are a number of accounts which are significantly in arrears which are impacting on the overall collection rate								
Reliability of top 10 ICT applications	99.99%	99.99%	99.99%	100%		99.90 %		G
Internal Customer Satisfaction of ICT services	88.97%	88.32%	88.25%	89.22%		90%		A
Increase the % of personal performance & development reviews completed for permanent staff to (Resources)	94%	93%	94.7%	92.3%		90%		G
Reduce the levels of sickness absence (Resources)	7.29	1.9	3.9	6.2		8.0		A
Customer Satisfaction through the service desk (Facilities Management)	85.5%	88.62%	85.68%	87.38%		95%		A
Building Cleaning - Income generation (£150k increase on 2014/15 result)	£5.8m	£1.5m	£2.3m	TBC		£5.95 m		
This is a trading account and based on costs, the achievement of this is dependant on the retention of business								
CTS –Income generation (£30k increase on 2014/15 result)	£206,197	£36,000	£88,000	£117,242		£236,197		R
% of information requests meeting the statutory deadline (FOI)	74.5%	76.79%	82.21%	83.81%		75%		G
% completion of Personal Performance & Development Reviews for permanent staff (Council Wide)	88%	90%	92.4%	89.7%		90%		A
% of middle managers completing the Cardiff						90%		

Directorate Delivery Plan Indicators								
Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
Managers course								
Provisional figures during Quarter 3 indicate that the 90% target for Middle Managers completing the Cardiff Manager's Programme may not be met.								

Q3 Challenges Identified

1. There are pressures from Schools and Education regarding SLA arrangements in respect of HRPS services being provided. Schools are looking into and seeking alternative providers.
2. There are pressures within ICT to deliver the Agile Working project for Social Care workers moving from Global Link around the new technology model, delivering change new processes and ways of working.
3. There are some issues regarding meeting the financial target set for recovery fines for moving traffic offences due a requirement for Welsh Government to change the regulations.

Q3 Actions being taken

1. HRPS have been in discussion with Head Teachers and working to provide Agile working for HR contact officers in respect of providing an advisory service.
2. ICT are working with Enterprise Architecture, Organisational Development, the project team and external partners to deliver the challenges in delivering a new technology model to enable Social Care to move from Global Link and undertake Agile working.
3. Work is being undertaken with Traffic & Transportation to raise the profile of the issue and lobby Welsh Government.

Q3 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
Budget Prioritisation	Red	Red	Saving proposals were received from directorates with due diligence being carried out during September. Further consultation with Cabinet Members was undertaken in early October in order for proposals to be developed, understood & agreed prior to public consultation. Public consultation is currently taking place and proposals and pressures were assessed in respect of Wellbeing of Future Generations Act.	Christine Salter (Ian Allwood)
Financial Resilience	Red	Red	Financial triggers against this snapshot continue to be developed and reviewed. A snapshot of financial resilience will be carried out in Quarter 4.	Christine Salter (Ian Allwood)
Performance Management	Red	Red	Work continues to improve the alignment of objectives from the Corporate Plan/Service Plan into PPDRs of staff & work is being undertaken to improve the quality of the PPDR's.	Christine Salter (Vivienne Pearson)

Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
N/A				

Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
PROACTIS and Sell2Wales are not presently integrated, meaning that when we start advertising procurement opportunities over £25,000 in 2016 they will have to be double entered and this is likely to result in resistance from directorate staff.	Red/Amber	Amber	It is now believed that the funding from Welsh Government to integrate Sell2Wales and PROACTIS is no longer available, to mitigate this risk the Council are looking to only advertise Procurements between £25,000 and £75,000 using PROACTIS and advertise more widely using Sell2Wales for procurements in excess of £75,000 through the use of a different eSourcing system which is integrated with Sell2Wales. Advertising requirements do not apply to collaborative frameworks including NPS arrangements which are used by directorates.	Steve Robinson
Delay in establishing the LATC will prevent work being secured with private sector organisations and SLA with the Council being developed	Amber	Amber/Green	A well received presentation made to Informal Cabinet in December on the LATC proposal, good progress is now being made with a preferred option identified. Report scheduled to be taken to Cabinet in May 2016	Steve Robinson
Insufficient staff to meet the Increasing demand from ADMs and OD projects to provide new system and efficiencies	Red/Amber	Amber	This is being mitigated by reviewing and changing ICT's charging model and recruiting short term resources and apprentices to meet demand.	Phil Bear

Directorate: Social Services - Adults

Director: Tony Young

Councillor: Susan Elsmore

Budget	Projected Outturn	Variance	Variance (%)
£91,280,000	£94,610,000	£3,330,000	3.51%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£5,356,000	£3,129,000	£2,227,000	41.57%

Number of Employees (FTE)	650
Sickness Absence YTD (Days Per Person)	10.7
PPDR Initiation of Objectives (Permanent Staff)	92.7%

Q3 Progress against Corporate Plan Commitment Actions 2015/16 (Total No 7)

Green 57% (4) Amber 29% (2) Red 14% (1)

Q3 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No 12)

Green 67% (8) Amber 25% (3) Red 8% (1)

Progress on Challenges Identified Q2 (previous quarter)

Unachieved Savings/Budget Pressures - There remains ongoing challenges in relation to the achievement of 2014/15(carried forward) and 2015/16 savings. All savings are being actively pursued; however ongoing pressures are preventing the achievement of savings predicated on recommissioning opportunities. There is robust ongoing scrutiny of the commissioning savings and regular reports regarding status is presented to the Adult Social Care Commissioning Opportunities Board. Ongoing initiatives in relation to demand management have reduced the pace of growth within the service compared to previous years and alternative models of delivery continue to be explored.

Improve Carer Assessments completed/ offers - To improve performance the following has taken place:

- A recruitment process took place for four temporary Carer Assessment Workers. Two started in post on the 04/01/16 January 2016, it is anticipated that the remaining two will be in post will by the end of January 2016.
- Work is taking place with the Independent Living Service First Point of Contact, to ensure that carers who are eligible for a Carers Assessment are informed and appropriately allocated at the initial point of enquiry.

Year to date the number of completed carer assessments has increased by 77 (19%) compared to the same period in 2014/15. The % of known carers who have had an assessment offer has increased to 62% at end of Q3 2015/16 compared to 51% for the same period 2014/15. The total number of completed carer's assessments during Q3 is 121, compared with 197 in Q2. In Q4 the Carer Assessment workers will be targeting those carers who have been offered a carers assessment.

Improve Delayed Transfers of Care (DToC) – To improve performance the following has taken place:

- DToC Improvement Group met in December 15. An action plan to improve patient flow has been revised, agreed and implemented with key partners. This includes contributing towards the University Hospital of Wales (UHW) commissioned study on the discharge pathway. There is ongoing close monitoring and a further DToC summit meeting is planned for 20/01/16.
- Community Resource Teams moved to 7 day working on 28/11/15 to provide a weekend discharge service
- Adult Services met with Domiciliary Care Providers in December to explore opportunities to improve capacity
- Additional home care managers and workers procured through the Primary Care Fund to increase capacity and facilitate a smoother and quicker discharge home in the Community Resource Teams

Result for Q3 contains October & November figures only – December figures will be available late January. Total number of DToCs in 14/15 for Oct & Nov was 39, for 15/16 during the same period the total is 35. For the comparative month of November DToC reduced from 21 in 14/15 to 12 in 15/16, a decrease of 43%. Appropriate application of the escalating concerns process has led to a reduction in the capacity of the domiciliary care market.

Improved performance on Direct Payments against target – Current arrangements with existing Provider (including service specification) will remain until 2017. Regular monthly project meetings have been established, with the main focus on the recommissioning of the service. There are currently 46 Adults working towards Direct Payments.

Improve staff sickness performance – Our target for 15/16 FTE full days lost is 13; however as at Q3 number of days lost is 10.7 with projected end of year result 14.4. Sickness performance is a standing agenda item on the Adult Services Senior Management Team weekly agenda. A Senior Service Delivery Advisor Manager attends these meetings to offer support, advice and best practice to Operational Managers.

Delivery of sustainable Social Care in Cardiff – Adult Services Improvement board was established during Q3. Adult Social Services have produced a 'Statement of Strategic Intent', which sets out the vision for the commissioning of adult social care in Cardiff for the long term.

Appropriate application of escalating concerns procedures resulting in reduced capacity in nursing and domiciliary care - As of 31/12/15 4 registered nursing homes (2 of which have dual registration) and 3 Domiciliary Care Agencies were in Escalating Concerns.

Q3 Service Delivery

Directorate Delivery Plan

- **Increase the number of people who are able to remain at home** – The Mobile Working & Scheduling Project will commence rollout in January 16, with a phased approach across the city. This will be supported by training for all staff groups within the team to ensure confidence in using the new technology. The new way of working will be fully embedded by the end of the financial year and will increase efficiencies e.g. reduction in travelling time
- **Expand the range of supported accommodation options for vulnerable young adult** – Adult Services has increased the number of individuals who are receiving Floating Support. We continue to maintain regular contact and attend review meetings with our commissioners to discuss the development of the project and ways in which we can promote it further. We have completed an evaluation with service users and case managers for constructive feedback.
- **Transitions** – Following meetings between the new Transitions Change Manager, Interim Learning Disability Operational manager and the Children's Operational manager for Intake & Assessment an action plan is being developed to review protocols in both Cardiff and the Vale to ensure consistency
- **Safeguarding** – Local Safeguarding Adults Board (LSAB) development event was held on the 18/11/15. The outcomes of which were collectively agreed included identifying priority areas of work, discussing potential strategic objectives and reviewing the Terms of Reference for the Board. A further facilitated workshop will be held in early 2016 to embed these arrangements.
- **Day opportunities for Older People**- Draft Strategy for Older People's Day opportunities is currently out for consultation, the closing date is 05/02/16. To date we have had 101 written consultation responses. All responses will be discussed and feed into the draft strategy for submission to Cabinet in March 2016.
- **Collaborative Working** – The Integrated Health and Social Care (IHSC) Partnership continues to monitor the delivery of work funded through the Intermediate Care Fund and namely the following four projects - Single Point of Access, Preventative Interventions, Accommodation Solutions and Discharge to Assess. In December 15 the Welsh Government confirmed the arrangements in relation to the remaining Intermediate Care funding (ICF) for the 2015/16 financial year. The focus of the remaining fund will be to reduce the number of people who are delayed from returning home following admission to hospital. Cardiff and Vale have been allocated an additional 190k
- **Social Services and Wellbeing (Wales) Act 2014** – A Programme delivering 9 work streams has been established. Lead officers at Director/ Assistant Director or Head of Service Level have been given responsibility for the delivery of each work stream. Cardiff and the Vale Councils, the University Health Board and the Third Sector are represented on the task and finish groups. The Implementation Plan priorities have been risk assessed and specific actions have been set out to show how we plan to address these priorities. A Local Authority Regional Steering Group for Sustainable Social Services is now in place to ensure that operational activities and progress monitoring is in place as required to ensure there is no delay in implementation.
- **Care First improvements** – Adult Social Care Performance Reporting and Data Cleansing Project Group is now established with the first meeting taking place on the 26/11/15. An action plan was agreed at the meeting and data cleansing has commenced.
- **Dementia reablement training programme** – All 22 Welsh Authorities have now received a copy of the dementia training manual. A further 54 home care staff (internal and external) have been trained since the end September 15. Two cohorts of Occupational Therapists and Occupational Therapy Assistants are to receive the training in 2016, with the first cohort starting on the 07/01/16. The programme will be rolled out into the next financial year.
- **Care Planning Pathway** – Activity & Carer's dashboard reports were presented to and signed off at ASMT on 16th December. These will be regularly produced for ASMT to support the service area in monitoring activity against relevant performance indicators. A draft core data report has been prepared with a full report to be introduced during Q4. A joint performance report was presented at DMT (Directorate Management Team) during Q3.

Management

Sickness – See above **Progress on Challenges Identified Q2**

PDDR's – 92.5% completion of half year 2015/16 process (as at 8.1.2016). Operational Managers continue to monitor the completion of cases within the expected deadlines.

Health & Safety – The Social Services Position Statement (report on progress of achieving the objectives set in the Directorate Health & Safety Action Plan 2015/16, as at 30/09/15) was submitted to Corporate Health & Safety on 01/11/15). The December 2015 Health and Safety Advisory Forum was advised of progress, which included an update by the Operational Manager for Mental Health on the Pendine Report's recommendations.

Key Performance Indicator Data – Q3 2015/16

Q3 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (20)*

Green 25% (5)

Amber 15% (3)

Red 25% (5)

*10% (2) are annual results, 20% (4) are not appropriate for target setting, 10% (1) not applicable.

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
Rate of delayed transfers of care for social care reasons per 1000 population aged 75 or over	10.92	3.65	5.82	7.31*		5.92		R
<p>* Result for Q3 contains October & November figures only – December figures will be available late January. Q2 full result 5.82 (part result reported in Delivery Report was 5.10). Although there has been a significant reduction of 43% in November, this is a cumulative indicator and calculation is based on the overall total number of delays, therefore the status at Q4 will remain Red. For management actions see Section Q3 Challenges Identified & Actions Being Taken.</p>								
Rate of older people (aged 65 or over) supported in the community per 1000 population aged 65 or over at 31 March	44.12	43.58	43.25	43.12		47		NA
<p>Target was set as part of the corporate planning process. The indicator includes people in receipt of traditional services and doesn't take into account the council's approach to signpost people to local community based options rather than meeting need through traditional commissioned care.</p>								
Rate of older people (aged 65 or over) whom the authority supports in care homes per 1000 population aged 65 or over at 31 March	18	18.12	18.24	18.41		18		R
<p>Through the DToC action plan we are actively working with Health to increase the domiciliary choices following discharge from hospital.</p>								
Percentage of clients with a care plan at 31 March whose care plans should have been reviewed that were reviewed during the year	82.04	37.78	56.6	72.44		90%		G
<p>Cumulative indicator.</p>								
The percentage of carers of adults who were offered an assessment or review of their needs in their own right during the year	64.4	29.16	49.7	62.45		90%		G
<p>Cumulative indicator. For management actions see Section Q3 Challenges Identified & Actions Being Taken</p>								
The percentage of carers who had an assessment or review of their needs in their own right during the year	26.3	20.53	24.16	23.9		58%		A
<p>Cumulative indicator. For management actions see Section Q3 Challenges Identified & Actions Being Taken</p>								
Total number of adults using the direct payments scheme at the end of the quarter	550	578	602	610		700		A
<p>For management actions see Section Q3 Challenges Identified & Actions Being Taken</p>								
The average number of working days between initial enquiry and completion of the care plan, including specialist assessments	26	23	23	24		26		G
Percentage of people helped back to independence without ongoing care services, through short term intervention	78.04	68.49	73.42	80.21		65		G
<p>* Result for Q3 contains October & November figure only – December figures will be available late January. Q2 full result 73.42 (part result reported in Delivery Report was 72.26).</p>								

Q3 Challenges Identified

- Unachieved Savings
- Improve Carer Assessments completed/ offers
- Improve Delayed Transfers of Care (DToC)
- Improve Direct Payments
- Improve staff sickness performance
- Delivery of sustainable Social Care in Cardiff
- Appropriate application of escalating concerns procedures resulting in reduced capacity in nursing and domiciliary care

Q3 Actions being taken

- There is robust ongoing scrutiny of the commissioning savings and regular reports regarding status is presented to the Adult Social Care Commissioning Opportunities Board.
- 4 Carer Assessment Workers in post by the end of January
- Close liaison with the Independent Living Service
- DToC action plan agreed. There is ongoing close monitoring.
- Community Resource teams moved to 7 day working
- Additional home care staff via the Primary Care Fund
- Work focusing on the recommissioning of the DP service
- Senior Service Delivery Advisor Manager attends SMT
- Adult Services Improvement board established during Q3.
- Adult Services are planning to launch a recruitment campaign in 2016 to attract carers to the Private Sector Agencies.

Q3 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
1. Adult Social Services - Failure to implement the Social Services & Wellbeing (Wales) Act 2014.	Red	Red/Amber	The Regional Implementation Plan was submitted to WG on 16/10/15. The Director is leading Workforce development planning for the region and an updated social care Development Workforce Plan was submitted to WG September 2015.	Tony Young/ Amanda Philips
2. Adult Social Services - Failure to reduce the cost of delivering social services.	Red	Red	Adult Social Services Position Statement completed & Improvement Board established. Robust and transparent scrutiny of budgets in place but this remains a significant challenge.	Tony Young/ Amanda Philips
3. Adult Social Services - Failure (with Health partners) to reduce the number of Cardiff residents experiencing delayed transfers of care.	Red	Red	DTOC action plan agreed and implemented with key partners. There is ongoing close monitoring.	Tony Young/ Amanda Philips
4. Capacity of external Domiciliary Care Providers - Failure to provide service to users	Red	Red	Adult services, CSSIW and the Providers are working together to improve service delivery	Tony Young/ Amanda Philips

Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
Living Wage – effects employee costs for social care providers (£7.20 wef 1.4.16)	Amber	Amber	Growth bid submitted by Directorate for budget 2016/17	Tony Young & Sarah McGill

Directorate: Social Services - Children's

Director: Tony Young

Councillor: Sue Lent

Q3 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£46,550,000	£48,140,000	£1,590,000	3.30%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£2,781,000	£1,728,000	£1,053,000	37.86%

Number of Employees (FTE)	350
Sickness Absence YTD (Days Per Person)	11.1
PPDR Compliance Stage (Permanent Staff)	75.5%

Q3 Progress against Corporate Plan Commitment Actions 2015/16 (7)

Green 57% (4)

Amber 43% (3)

Q3 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (19)

Green 53% (10)

Amber 47% (9)

Progress on Challenges Identified Q2 (previous quarter)

Cost of meeting demand pressures in relation to Unaccompanied Asylum Seeking Children and asylum seekers with no recourse to public funds:

The Welsh Government has recently confirmed its policy position in relation to families with No Recourse to Public Funds – confirming that local authorities should continue to support these families. Following confirmation from Welsh Government, the local authority is now in a position to develop a local policy and a working group will be set up to do so. This group will bring together representatives from Children's Services, Housing and Communities to ensure a more co-ordinated and consistent response to families across the Council.

Q3 Service Delivery

Budget

The month 9 position for Children's Services shows an overspend of £1.59m (3.4%) against a budget of £46.6m. As in previous years, there is ongoing pressure on external commissioning budgets, notably in relation to fostering placements. The position also reflects current projections in relation to the savings targets set for the service in 2015/16. The latest position shows an anticipated shortfall of £1.1m in relation to the savings target, although work is ongoing to reduce the number of high cost out of area placements.

Directorate Delivery Plan

Of the 7 actions in the Corporate Plan, 3 are rated amber at 31.12.15:

Child Sexual Exploitation (CSE) Strategy: The CSE Strategy has been drafted in readiness for sign off by Cabinet in Quarter 4. An interim CSE manager and permanent CSE co-ordinator have been appointed and are in post. Once approved, the interim CSE manager will lead on the implementation of the CSE Strategy. The training needs analysis for Children's Services and partner agencies has been extended to include consideration of the volume of CSE cases, categories of risk and an analysis of perpetrators. This is to ensure that the training provision reflects the complexity of the issues.

Work with Education to improve educational outcomes for looked after children and care leavers: Following concerns raised in Quarter 2 regarding performance in relation to timeliness of Personal Education Plans for looked after children, information available in Quarter 3 shows no improvement to date. Provision of information to enable proactive monitoring of PEPs is under review with a view to Operational and Team Managers prioritising improvement in this area.

Workforce Strategy: Work on the Children's Services Workforce Strategy is ongoing and is on target to be signed off and an implementation plan agreed in Quarter 4.

9 further actions from the Directorate Plan have been rated as amber. These relate to:

Improving the quality of referrals: The review of the Multi-Agency Referral Form planned for Quarter 2 has been integrated with work being undertaken in relation to the Social Services & Wellbeing (Wales) Act. Consideration is being given to adopting the Cwm Taf form which takes account of the National Minimum Core Data Set.

Safeguarding monitoring requirements: Work on the development of a suite of performance measures and mechanisms for reporting continues and is due for completion early in Quarter 1 2016-17.

YOS collaborative working: The absence of any certainty about the future of Local Authority boundaries until the recent publication of the Local Government (Wales) Bill has been an obstacle to progress. Added to which, the Youth Offending Service (YOS) was subject to a comprehensive external inspection during Quarter 3. The Chief Executive and Police & Crime Commissioner commissioned a review of YOS governance which has now made recommendations for improvement. A refresh of the governance arrangements is now underway with the Chief Executive as Chair of the Management Board. Progress in relation to the merger will be considered in that context.

Corporate Parenting Strategy: The Corporate Parenting Strategy will be considered by Cabinet in Quarter 4 and the launch will follow shortly after.

Re-commissioning of the Supervised Contact Service: Evaluation completed and tender exercise undertaken – decision to award contract expected early in Quarter 4. Currently on target for revised launch date in Quarter 1 2016-17.

Enhanced Fostering Scheme: Following concerns raised in Quarter 2 regarding the capacity of the provider to deliver on its commitments, the decision was taken in Quarter 3 to end the contract due to a lack of suitable placements. The following actions are being taken as a result:

- Identification of alternative placements for young people to facilitate return to Cardiff.
- Review of future arrangements to meet the needs of this cohort.
- Review the financial impact arising from withdrawal of the scheme.

Welsh bilingual service: Operational pressures have made the completion of the Linguistic Assessments more difficult. Managers will focus on completing them in Quarter 4.

Savings: The month 9 position for Childrens Services shows an overspend of £1.59m (3.4%) against a budget of £46.6m. As in previous years, there is ongoing pressure on external commissioning budgets, notably in relation to fostering placements. The position also reflects current projections in relation to the savings targets set for the service in 2015/16. The latest position shows an anticipated shortfall of £1.1m in relation to the savings target, although work is ongoing to reduce the number of high cost out of area placements.

Quality Assurance Framework: Milestones associated with the development of the Quality Assurance Framework have been revised due to capacity issues. A Quality Assurance Officer post has been established and the recruitment process is underway. Implementation of the Framework is planned for Quarter 1 2016-17.

Good progress has been made in relation to:

Implementation of Multi Agency Safeguarding Hub (MASH):

There has been significant progress during Quarter 3 including:

- Project Board / Team established and Project Brief signed off.
- Governance arrangements agreed; project plan being implemented.
- MASH accommodation agreed as Cardiff Bay Police Station.
- Information Sharing Protocol development underway.
- Operating model agreed.
- Staff composition agreed for MASH (met with Trade Unions).
- Vetting process for staff commenced.
- ICT infrastructure agreed.
- Information sharing platform / IT solution developments are in process.

Early Help Strategy: The Strategy was launched during Quarter 3 and is being implemented. The Prevention & Partnership Improvement Project Manager is in post and the following developments made:

- A pilot of the Joint Assessment Family Framework (JAFF) has commenced which will shape the future JAFF and Family Plan.
- The Rapid Response pilot was reviewed with a decision to continue the service and expand capacity.
- Work has commenced with Strategic Estates to identify accommodation for the Adolescent Resource Centre (ARC).
- Questionnaire has been developed for a market sounding exercise on the respite care element of the ARC.

Gateway Database: Single gateway for young people aged 16 or above to access direct housing, advice and support went live in Quarter 3, the impact of which will be monitored in Quarter 4.

Remodelling of Children's Services: Decision taken to work with families adopting a Restorative Approach which is consistent with our partners who work within early intervention and prevention services, but to compliment this approach with the Signs of Safety Framework. Proposed structure developed and OM roles are with Hay for evaluation. In relation to services for disabled children – the Change Manager is in post and the project documentation has been developed.

As a result of the success of the Children's Services Improvement Board in supporting accelerated improvement in response to the Director's 2013 diagnostic, it has been agreed that this can be stood down as previously constituted. This reflects the fact that ongoing improvement work is now better integrated into the corporate Organisational Development Programme in order to draw on corporate and cross Directorate resources more effectively and will simply continue on a mainstreamed business as usual part of the Social Services Directorate.

The Children's Social Services Improvement Board has been replaced by an Improvement Board for Services to Children. This reflects the greater confidence across the board that the internal change and improvement secured to date enables

us to raise our focus toward a much broader and more strategic agenda with key partners. The new Board met for the first time on 8th January and is chaired by the Council's Chief Executive. The Board will also oversee the recently launched Early Help Strategy to ensure effective partner buy in at the earliest stages of the lives of all children.

Management

At the time of writing, the Directorate had achieved 88% compliance with finalisation of objectives and 75% of 6 monthly reviews. A small percentage cannot be initiated due to staff absence (e.g. maternity leave and long term sick leave), and a high level of recruitment activity and new intake accounts for a proportion of the outstanding PPDRs. In order to improve compliance the Assistant Director will send a briefing to all managers to reiterate the importance of PPDRs to support and develop staff and the impact of this on staff retention. Progress will be monitored on a weekly basis at the Children's Management Team to ensure completion of 6 monthly reviews and to provide a more timely response to end of year reviews and finalisation of objectives for 2016-17.

Key Performance Indicator Data – Q3 2015/16

Q3 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (36)

Green 43% (3) **Amber 29% (2)** **Red 29% (2)**

Of the total number of indicators above 31% (11) are annual and 50% (18) have no or limited results as yet.

During 2014/15 Social Services focussed on improving performance in relation to indicators that have the greatest significance for safe and effective practice concerning children – these are represented in the second table below*. The stronger strategic focus that has characterised the Directorate's work in 2014-15 will provide a basis for improving performance against NSIs and PAMs.

National Strategic Indicators and Public Accountability Measures								
Performance Indicator	Result 14/15	Q1 Position	Q2 Position	Q3 Position	Q4 Position	Target 15/16	Year End 15-16	R.A.G.
SCC/002 - Percentage of children looked after at 31 March who have experienced one or more changes of school, during a period or periods of being looked after, which were not due to transitional arrangements, in the 12 months to 31 March	17.80%	Annual Result				11%		
SCC/004 - The percentage of children looked after on 31 March who have had three or more placements during the year	10.50%	Annual Result				8%		
SCC/011b - The percentage of initial assessments that were completed during the year where there is evidence that the child has been seen alone by the Social Worker	26.40%	28.5	29.5	30.7		Not appropriate		
Not appropriate for RAG rating as there is no target or threshold for intervention.								
SCC/025 - The percentage of statutory visits to looked after children due in the year that took place in accordance with regulations	88.90%	85.1	85.3			95%		
SCC/033d - The percentage of young people formerly looked after with whom the authority is in contact at the age of 19	90.50%	Annual Result				96%		
SCC/033e - The percentage of young people formerly looked after with whom the authority is in contact, who are known to be in suitable, non-emergency accommodation at the age of 19	91.20%	Annual Result				96%		
SCC/033f - The percentage of young people formerly looked after with whom the authority is in contact, who are known to be engaged in education, training or employment at the age of 19	56.10%	Annual Result				58%		
SCC/037 - The average external qualifications point score for 16 year old looked after children, in any local authority maintained learning setting	191	Annual Result				220		
SCC/041a - The percentage of eligible, relevant and former relevant children that have pathway plans	60.50%	Annual Result				90%		

National Strategic Indicators and Public Accountability Measures

as required				
SCC/045 - The percentage of reviews of looked after children, children on the Child Protection Register and children in need carried out in line with the statutory timetable	70.80%	Annual Result	90%	

*Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
% of referrals with decision made within 1 working day	83.1	89.8	94.1	88.2		100		R
<p>Performance has decreased in Quarter 3 as in the context of a 10% increase in the number of contacts (7,280 to 7,976) and capacity issues at Intake & Assessment. This decrease was anticipated following an increase in turnover of both permanent and agency staff during the quarter. Agency staff have been recruited early in Quarter 4 and this will help get performance back on track by year end. The recruitment of staff to permanent Intake & Assessment posts is now being prioritised. The performance report is based on electronic records, but there is evidence that the electronic capture of the information is delayed. However, management oversight confirms all referrals are subject to manager decision and prioritisation on the day of receipt.</p>								
% of referrals that are re-referrals within a year of previous referral	25.4	25.6	25.2	24.3		24		G
% of initial assessments carried out within 7 working days	50.6	67.1	91.7	83.2		80		G
% of children seen by a social worker during their initial assessment	60.9	64.4	66.6	58.0		80		R
<p>There has been a significant drive in empowering social workers and managers to undertake the most appropriate assessment at the point of referral. This has led to a range of outcomes including initial assessments:</p> <ul style="list-style-type: none"> • Proceeding straight to child protection investigations / core assessment / specialist assessments. • Being closed with no further action after receiving managers have re-evaluated the decision to proceed to initial assessment. <p>In these circumstances a full initial assessment would not have been completed - a more appropriate assessment would have been undertaken & the child seen as part of that assessment. This is commensurate with the new Social Services & Wellbeing (Wales) Act 2014 wherein a proportionate assessment will be undertaken following all referrals. The target set by the ADSS, WLGA & CSSIW pre-dates this new approach which is consistent with the direction of travel across the country.</p>								
% of core assessments carried out within 35 working days	61.0	71.2	75.1	78.6		80		A
<p>October = 72.1%; November = 80.5%; December = 82.8%</p> <p>Performance has continued to improve in Quarter 3, with both November and December exceeding the 80% target.</p>								
% of child protection reviews carried out within statutory timescales	99.8	100	99.6	100		100		G
% of social work vacancies in all teams	27.2	23.5	21.4	21.6		15		A
<p>The vacancy position has remained stable since Quarter 2, although the position has gradually deteriorated during Quarter 3. The recruitment campaign is ongoing and agreement has been reached that when all vacancies have been filled, Children's Services will continue to recruit to a "pool" of additional social workers. This will enable the service to maintain consistency of service provision and caseloads whilst managing healthy staff turnover without needing to rely on expensive agency social workers. The ambitious 15% target has been revised to 18% for 31st March 2017. Work on the Children's Services Workforce Strategy is ongoing and is on target to be signed off and an implementation plan agreed in Quarter 4.</p>								

Q3 Challenges Identified

Late publication by Welsh Government in December of the statutory guidance relating to Information, Advice and Assistance means that the time available to design, plan and train staff to support a new model of delivery that is compliant with the Social Services & Wellbeing (Wales) Act will be highly constrained. It is unlikely that the service will be able to deliver a fully compliant model before April 2016 although we understand that most Councils are in a similar or worse position.

Q3 Actions being taken

The Assistant Director leads on the implementation of Information, Advice and Assistance for the region and Cardiff has been identified as a pilot site by the Social Services Improvement Agency which will bring additional support and resource to enable accelerated implementation

Q3 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
Failure to implement the Social Services & Wellbeing (Wales) Act 2014.	Red	Red	<ul style="list-style-type: none"> • Governance arrangements in place to ensure effective monitoring of progress across the region. • Senior lead officers identified with responsibility for each work stream. • Regional task and finish groups established for each work stream and action plans being delivered. • Updated Social Care Development and Workforce Plan submitted to Welsh Government in September 2015. • Successful partnership workshop held to ensure full engagement in process. • Officers contributing to national work groups as required. • Regular reports to Scrutiny Committee with references to Cabinet in place. 	Tony Young
Failure to reduce the cost of delivering social services.	Red	Red	<p>Strategic service improvement governance arrangements including:</p> <ul style="list-style-type: none"> • Organisational Development Programme. • Improving Services to Children Board. • Vulnerable Families Partnership Board. • Social Services Reshaping Programme. 	Tony Young

Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
N/A				

Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
Ability of Enhanced Fostering Scheme provider to deliver commitments.	Red	Red/Amber	<p>Decision was taken to end the contract due to a lack of suitable placements. The following actions are being taken as a result:</p> <ul style="list-style-type: none"> ○ Identification of alternative placements for young people to facilitate return to Cardiff. ○ Review of future arrangements to meet the needs of this cohort. ○ Review the financial impact arising from withdrawal of the scheme. 	Angela Bourge

Key

Actions/Performance Indicators

Progress against Directorate Plan/Corporate Plan Actions and Performance Indicators

Green	On target for delivery
Amber	Issues are currently impacting delivery of action/result
Red	Action/result unlikely to be delivered without significant intervention

Risk

The four risk categories are as follows:

High Priority	Red – significant management action, control, evaluation or improvements required with continued proactive monitoring
Medium Priority	Red / Amber – Seek cost effective management action, control, evaluation or improvements with continued proactive monitoring.
Medium Priority	Amber / Green – Seek cost effective control improvements if possible and/or monitor and review regularly.
Low Priority	Green – Seek control improvements if possible and/or monitor and review.

Risk Matrix:

		CONSEQUENCES					
		1	2	3	4		
LIKELIHOOD	A	A1	A2	A3	A4	Likelihood: A Very Likely B Likely C Unlikely D Very Unlikely	
	B	B1	B2	B3	B4		
	C	C1	C2	C3	C4		Consequences: 1 Major 2 Significant 3 Moderate 4 Minor
	D	D1	D2	D3	D4		

**CITY AND COUNTY OF CARDIFF
DINAS A SIR CAERDYDD**

**POLICY REVIEW & PERFORMANCE
SCRUTINY COMMITTEE**

8 March 2015

CARDIFF COUNCIL STRATEGIC EQUALITY PLAN 2016 - 20

Reason for this Report

1. To provide Committee with an opportunity to consider the Council's final draft Strategic Equality Plan 2016/20 which will be presented to Cabinet on 10 March 2016 and published soon thereafter.

Background

2. In October 2015 the Committee had an early opportunity to consider the Plan at the start of a two month consultation programme to shape the final Scheme. Following the scrutiny the Chair presented Member's comments and observations to the Cabinet Member for Safety, Engagement & Democracy, attached at **Appendix 1**, and received a response attached at **Appendix 2**.
3. The Final draft Plan has been developed taking into account the results of the consultation and engagement exercise, analysis of legislative requirements, local policy drivers, and national and local datasets. Attached at **Appendix 3** are the draft report and a selection of appendices to be considered by the Cabinet on 10 March 2016.
4. The Strategic Equality Plan sets out the Council's seven draft strategic equality objectives, which Members will find on page 6 of **Appendix 3**, at point 16.

Scope of Scrutiny

5. The Committee is invited to consider the Plan, test whether its concerns and observations communicated following its previous scrutiny have been addressed;

and reflect on opportunities for further scrutiny of the Council's approach to Equalities on its future Work Programme.

Way Forward

6. At the meeting, Councillor Daniel De'Ath, Cabinet Member for Skills, Safety, Engagement and Democracy, may wish to make a statement. Christine Salter, Corporate Director Resources; Paul Keeping (Operational Manager with responsibility for Equality and Scrutiny), and Equality Officer Caryle Alleyne will answer Member's questions.

Legal Implications

7. 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 any modifications. 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 powers 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. Scrutiny Procedure Rules; (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.

Financial Implications

8. 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. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

Recommendation

The Committee is recommended to:

- a. Consider Cardiff Council's Strategic Equality Plan 2016-20;
- b. Evaluate whether concerns and observations communicated following its previous scrutiny have been addressed; and
- c. Identify opportunities for further scrutiny of the Council's approach to Equalities on its future Work Programme.

DAVID MARR

Interim Monitoring Officer

2 March 2016

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My Ref: T: Scrutiny/PRAP/Comm Papers/Correspondence

Date: 15 October 2015



Councillor Dan De'Ath,
Cabinet Member for Skills, Safety, Engagement and Democracy,
Cardiff Council,
County Hall
Cardiff
CF10 4UW

Dear Councillor De'Ath

Policy Review & Performance Scrutiny Committee: 8 October 2015
Draft Strategic Equality Plan 2016/20

Thank you for attending Committee on 8 October 2015 to help Members of the Policy Review & Performance Scrutiny Committee scrutinise the Council's draft Strategic Equality Plan 2016/20. Please can you also pass on my thanks to Marie Rosenthal, Andrew Lucas and Caryle Alleyne for presenting the draft Scheme, and for providing honest and full answers to Members' questions? I will write separately to Martyn Jones of Diverse Cymru to thank him for his independent contribution to the item.

As Chair I have been asked to detail in this letter the Members' comments and observations raised during discussion at the Way Forward. Before I do this, I will also provide feedback on the question on Equality Impact Assessment asked at the meeting by Mrs Sheila Hendrickson-Brown of Cardiff Third Sector Council.

THIRD SECTOR QUESTION: Equality Impact Assessment

Members felt that the inclusion of a Third Sector question on this Committee's agenda, posed by Sheila Hendrickson Brown of Cardiff Third Sector Council, to have been helpful in developing useful and productive debate on the topic.

The question was:

“The Council is having to make very difficult decisions and choices about cuts to local services. There is potential for specific groups of vulnerable people to experience disadvantage as a result of these decisions. Could you therefore give your view on how effective the Council’s arrangements for assessing the equality impacts of these decisions are, how do Equality Impact Assessments feed into and inform service planning, and how is the effectiveness of the agreed mitigating actions monitored once the decisions are implemented?”

We noted from your answer that while you felt that the Council is still on a learning journey in developing its equalities practice, the Council’s practice had improved in recent years. The quantity of assessments undertaken had increased significantly, and the resultant documents provide a good point of reference for Cabinet Members, scrutiny Councillors and citizens campaigning on individual issues to ensure that the Council makes effective, evidence-based decisions.

We also gathered that you felt our process and practice could further improve, and that you were planning to invest effort in ensuring that this happened. Particular points we noted were that:

1. the EIA process should extend beyond the budget process to encompass decisions made at other points in the year;
2. The Council should work to a consistent level of quality in the assessments undertaken;
3. EIAs should evidence the input and advice of third sector organisations and data; and
4. the impacts and mitigation measures identified in EIA documents should be explicitly referred to when decisions were subsequently brought for review and monitoring, so that Scrutiny Committees, officers and Cabinet Members could

see how effective they had been, and so that the EIAs have a legacy through the life cycle of the decision.

You felt that these issues could be picked up by our Strategic Equality Plan consultation, and actions built into our action plan to continue improving our performance in this area.

You also welcomed the suggestion in Sheila's supplementary question to build co-operation between the Council and its third sector partners in working together to proactively identify and manage potential impacts before budget proposals had been published, and generally support the process of co-production.

We support your aims to see improvement in this area, and will seek to monitor the progress of the Council's work on equality impact assessment during the coming budget cycle.

STRATEGIC EQUALITY PLAN 2016/20

Members were in general supportive of the arrangements set out in the draft Strategic Equality Plan, and wish you success in consulting upon and finalising the Plan in coming months. The points shared by Members at the Way Forward which emerged from Member questioning and evidence received during the item were:

- **Linkage between Objectives and the Corporate Plan:** Members queried the move away from the previous Plan's linkage between the Council's Equality Objectives and the What Matters! Strategy towards linkage with the Corporate Plan priorities. They noted officers' views that the linkage with What Matters! still remains, and that the objectives in question are ones that have tended to remain in place in successive corporate plans, but would want to ensure that our four year Equality Plan objectives will transcend topical administration priorities.
- **Resources to deliver:** I asked whether – given reductions in specialist personnel to drive equality work in recent years – the Council's current and

foreseen financial and resource pressures would be sufficient to deliver the Strategic Equality Plan. Members noted and welcomed your commitment and that of the Director of Governance and Legal Services to drive mainstreaming via managerial and political leadership. We trust that managers and Cabinet Members will deliver that leadership and make the difference in their own areas of responsibility, and will be interested to monitor this when we next review the Council's equality agenda.

- **Martyn Jones' commentary:** Members felt that Martyn Jones made a number of helpful comments in his commentary on the draft Plan. We were pleased to hear that the Council had already undertaken pre-consultation with Diverse Cymru and a number of other local groups, and also his view that the Council's linkage of its equality and scrutiny functions was an exemplar that should be considered by other local authorities.

Please can you take on board the points raised by Martyn about the potential over-emphasis on younger people in the draft Plan, when Welsh Government is developing a more age-neutral approach in its work? Martyn also made helpful suggestions around the opportunities to develop shared equality objectives with local health and criminal justice partners, the learning from Prudent Healthcare and from the Wellbeing of Future Generations Act, and the need to consider the linkage between equality and socio economic deprivation.

- **Partnership between the Council and the Third Sector:** Picking up on the earlier question from Cardiff Third Sector Council, Members can see the value of the Council working closely with its third sector partners, in providing early intervention to ensure that adverse impacts can be avoided by planning services that are inclusive and meet citizens' needs. We can see that this is likely to save money in the long run and mitigate against the need to incur cost in producing an equality impact assessment. We recognise that this partnership is enshrined in the principles of the Local Service Board, and will be interested to return to this theme when we scrutinise What Matters! Later this year.

More specific to the equalities agenda, we welcome the continuing partnership between the Council, C3SC, Diverse Cymru, Race Equality First and other local charities in delivering the Council's equality work, and hope that this will continue to thrive. We noted from Martyn Jones' evidence that Welsh Government had developed a formal relationship with third sector equality advisors, and would consider a similar forum useful for the Council to develop its strategic approach to diversity. Please could you explore this idea and advise on your views?

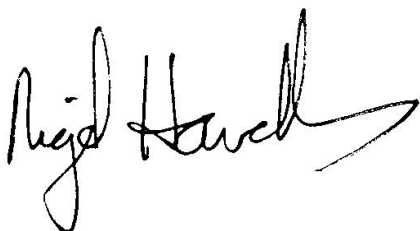
- **Focussing on outcomes:** Members noted your intention that the consultation would allow citizens and local organisations to identify actions that could usefully deliver the Council's Equality Objectives. We welcome this, and acknowledge that the action plan will have a four year duration allowing the Annual Review to measure progress and refine and review next steps. We also feel, however, that – as the equality objectives are not SMART – it will be useful for you and officers to work during the consultation period to identify what success might look like, to optimise the relatively narrow time window between the end of the consultation and the adoption of the final Plan, so that actions are identified and agreed and the Council can “hit the ground running” from the beginning of the Plan period.
- **Reaching seldom-heard citizens and employees:** Members welcome the fact that this Plan is shorter than its predecessor, and that you have produced a six page summary Plan. We hope that you will be able to use this to reach communities and parts of the workforce that have not previously been reached by previous Equality Plans. We note that you will be working through trades unions and staff ambassadors, and urge you to arrange an inclusive and wide-reaching consultation.

The Committee has no further or formal recommendations on this piece of work, but we hope that the points made above will help you to optimise the consultation and finalisation of the Plan. If Committee has agenda time to consider a final version, we will ask for this to come forward to our March agenda. Otherwise we will consider monitoring outcomes in the 2016/17 financial year.

To recap, the Committee is asking you to:

- Reflect on the aspirations you stated for the improvements to equality impact assessment, and factor these arrangements into the equality action plan;
- Ensure that our four yearly Equality Objectives are resilient to and capable of transcending immediate Corporate Plan priorities;
- Ensure that senior management and Cabinet Members explicitly champion equalities work and drive mainstreaming of equalities into everything we do;
- Reflect on the useful comments made by Martyn Jones (summarised above) and factor these arrangements into the equality action plan;
- Continue to develop effective partnerships with third sector expertise, and consider the adoption of a more formal advisory arrangement between the Council and local third sector organisations to shape Cardiff's equalities work;
- Undertake work during the consultation period to gain a clear picture of what outcomes the Council wants to see emerging from the Plan, to facilitate the process of action planning; and
- Do all you can to make the consultation with citizens and employees inclusive and effective.

Yours sincerely,



COUNCILLOR NIGEL HOWELLS
CHAIR, POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE

cc Members of the Policy Review & Performance Scrutiny Committee
Marie Rosenthal, Director of Governance and Legal Services
Paul Keeping, Operational Manager responsible for Equality and Diversity
Martyn Jones, Chief Executive, Diverse Cymru
Sheila Hendrickson-Brown, Chief Executive, Cardiff Third Sector Council



My Ref / Fy Ref: Scrutiny DD/CC

Your Ref / Eich Ref :

Date / Dyddiad: 23 November 2015

Councillor Nigel Howells
Chair, Policy Review and Performance Scrutiny Committee
County Hall
Atlantic Wharf
CARDIFF CF10 4UW

Dear / Annwyl Nigel,

**RE: POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE
8 OCTOBER 2015: STRATEGIC EQUALITY PLAN**

Thank you for your letter regarding the above. I was grateful to Committee for your considered and useful feedback on our draft Strategic Equality Plan (SEP). Thank you for also arranging for Martyn Jones to attend to provide his helpful and interesting views, and for Sheila Hendrickson-Brown to ask the question on Equality Impact Assessment.

I have reflected on the seven key points made in your letter, and am pleased to respond as follows:

- **Equality Impact Assessment:** Objective One in our draft SEP is to “*meet our specific equality objectives, and build equality into everything we do*”. You heard my thoughts on how the Council’s practice of equality impact assessment can be developed, and we will seek to reflect this into the Plan’s action plan on publication in March 2016.
- **Equality Objectives:** I feel that our draft Objectives are already broad and strategic enough to remain relevant over the four year Equality Plan period. I will, however, will discuss with Cabinet colleagues, and also



reflect on any key messages coming out of the What Matters! Refresh to ensure that our final Objectives link to the highest level of policy commitments possible.

- **Championship at Cabinet and Senior Management level:** Linking to the points made above, you will have seen in our draft SEP the statements “*each Cabinet Member has individual responsibility to mainstream diversity within their portfolio of responsibilities*” and “*each Director will have responsibility for actions within the Plan*”, with individual responsibilities also identified for the Leader, myself, the Chief Executive and the Director of Governance and Legal Services, and collective responsibility for every Council employee . I anticipate that our final Plan document will continue to reflect this commitment, and the action plan may contain targets associated with this.
- **Reflections on Martyn Jones’ commentary:** I have since you meeting updated the document, so that the version that is out for consultation is now more age neutral. I will also ask officers to explore the points made by Martyn regarding Prudential Healthcare, the Wellbeing of Future Generations and socio economic deprivation when they consult Diverse Cymru on the draft Plan on 13 November.

We have made inquiries with local public service partners regarding the possibility of working to shared equality objectives. Arrangements for the immediate period are limited by the fact that several organisations have already gone out to consultation on their objectives, but this clearly remains an aspiration moving forward.

- **Partnership with the Third Sector:** Amongst other arrangements to involve local third sector organisations in the SEP, officers have arranged to consult the Cardiff Third Sector Council on 18 November, and the points you have raised around the advisory role of the third sector will be explored then.
- **“Outcome visioning” work:** Equality Officers have now begun the process of meeting Directorate equality representatives to plan how

outcomes from the consultation process can be translated into actions in the final SEP, and this process will continue through the winter.

- **Inclusive consultation:** We will do all we can to make our consultation inclusive. As examples, arrangements are developing to consult People First, Cardiff Deaf Club and Gypsy Travellers Wales. The consultation documents have been sent to trades union representatives, as you requested.

I hope that the above information welcome, and look forward to continuing our partnership with the Committee in developing the Council's equality agenda.

Yours sincerely
Yn gwyir

A handwritten signature in black ink, appearing to read 'Dan De'Ath', written in a cursive style.

Councillor/ Y Cyngorydd Daniel De'Ath
Cabinet Member for Safety, Engagement & Democracy
Aelod Cabinet Dros Diogelwch, Ymgysylltu a Democratiaeth
Councillor for Plasnewydd/
Cyngorydd Plasnewydd

**CITY OF CARDIFF COUNCIL
CYNGOR DINAS CAERDYDD**

CABINET MEETING 10 MARCH 2016

**THE CITY OF CARDIFF COUNCIL'S STRATEGIC EQUALITY
PLAN 2016-2020**

**REPORT OF DIRECTOR OF GOVERNANCE AND LEGAL
SERVICES**

AGENDA ITEM: XX

PORTFOLIO: Safety, Skills, Democracy and Engagement

Reason for this Report

1. To enable the Cabinet to consider and approve:
 - a. the City of Cardiff Council's draft Strategic Equality Plan 2016 – 2020;
 - b. the 2014/15 Annual Review of *'Everyone Matters'* – the City of Cardiff Council's Strategic Equality Plan 2012 – 2016; and
 - c. an updated draft of the City of Cardiff Council's Ageing Well Delivery Plan 2016/17.

Background

2. The 2010 Equality Act brought together a number of separate pieces of legislation into one single Act to provide a legal framework to protect the rights of individuals and advance equality of opportunity for all. The Act sets out groups which are specifically listed as 'protected characteristics' and which include age, disability, gender reassignment, race, religion or belief, sex, sexual orientation, pregnancy and maternity, marriage and civil partnership.

3. As part of the Equality Act, the Council is bound by the Public Sector Equality Duty which requires public authorities to tackle discrimination and promote equal opportunities. In summary public bodies are required to have due regard to the need to:
 - a. Eliminate unlawful discrimination, harassment and victimization and other conduct prohibited by the Act.
 - b. Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - c. Foster good relations between people who share a protected characteristic and those who do not by tackling prejudice and promoting understanding.

4. Welsh Government has levied further Specific Equality Duties on listed public authorities in Wales, which include the requirement to:
 - a. Develop and publish a Strategic Equality Plan every four years. This plan must consider the needs for each of the 9 protected characteristics and identify objectives to help increase equality between all groups and communities across the authority
 - b. Carry out engagement
 - c. Assess the impact of policies and practices and publish these
 - d. Ensure information is accessible
 - e. Collect relevant Equality information
 - f. Collect and publish employment information
 - g. Set an equality objective to tackle pay differences
 - h. Provide staff training to increase knowledge and awareness of the Equality Act 2010
 - i. Report and publish progress on the Strategic Equality Plan
 - j. Ensure that when we 'buy services' (procurement) we take into account the General Duties of the Equality Act
 - k. Carry out a review of the Strategic Equality Plan at least every 4 years.

5. The City of Cardiff Council's draft Strategic Equality Plan 2016 – 2020 attached at **Appendix A** sets out the Council's draft strategic equality objectives. **Appendices B, C, D and E** of the report (described in more detail below) are documents forming part of the overall draft Strategic Equality Plan.

6. Also attached to this report are two related documents. One (attached at **Appendix F**) is the Council's 2014 – 15 annual report on its former Strategic Equality Plan "*Everyone Matters*". The other (attached at **Appendix G**) is an updated version of the Council's Ageing Well Delivery Plan for 2016/17, which has been further developed since its previous presentation to Cabinet in September 2015.

Issues

a) *The Strategic Equality Plan*

7. The aim of the draft Strategic Equality Plan is to identify and address any barriers that citizens and employees might face in accessing the City of Cardiff Council's services. During the process of policy development prior to the official consultation period, officers gathered a range of evidence and engaged a number of local groups to facilitate the choice of Equality Objectives and the content of the draft Equality Plan. The key steps in this process included:

1. Analysis of legislative requirements

The Council took into consideration the provisions of the Equality Act 2010, and Welsh Government's Wales Specific Equality Duties. It also analysed the Equality & Human Rights Commission's guidance on the Public Sector Equality Duty Guidance, and guidance on the Wellbeing of Future Generations Act 2015.

2. Analysis of local policy drivers

Consideration was shown to a raft of:

- externally-facing policies and strategies, from What Matters and the Council's Corporate Plan to Cardiff's Disabled Children's Strategy, Community Cohesion Plan and Ageing Well Delivery Plan
- Internally-facing policies and documents from the Council's Equal Opportunities Policy Statement, Reasonable Adjustments Policy, and Grievance and Discipline Policies to its HR Equality Action Plan.

3. Analysis of national and local datasets

A variety of local and national agencies have produced informative data to help policy makers understand dimensions of inequality and discrimination in the UK. An influential national perspective is provided by the Equality and Human Rights Commission's 2011 publication *How Fair is Wales?*

At a more local level, the Needs Assessment undertaken for the *What Matters* Partnership Strategy focused on the needs of the protected characteristics. The analysis revealed that whilst Cardiff has performed well across a range of indicators, there are some stark examples of inequality within the city.

South Wales Police's *Hate Crime Figures for Cardiff* and the Council's 2014 *Schools' Annual Report*, and 2014 *Employee Equality Report* and other similar documents provided useful figures to shape the Council's priorities.

4. Analysis of past Council consultation on equalities issues

In recent years the Council has held numerous consultations touching on issues of social justice and equalities. Officers reviewed the findings of consultations on the Council's former Disability, Gender and Race Equality Schemes, and its 2012 – 16 Strategic Equality Plan, as well as reports produced by other bodies (for instance the Community and Adult Services Scrutiny Committee's 2013 *Minority Communities' Access to Social Care* and the Project Review undertaken by the Cardiff council Access Focus Group in 2015.

5. Analysis of comparator equality schemes

To assess what represents good practice, the Council has compared the equality schemes of organisations such as Welsh Government, other welsh and English local authorities and local partners such as Cardiff and Vale University Health Board.

6. Analysis of local third sector and community priorities

The Council has benefited from information provided by local third parties such as Diverse Cymru, Race Equality First, the *Breaking the Barriers* Conference steering group, the Cardiff Prevent Stakeholders' Group and the information contained in RNIB Cymru's *Street Charter Toolkit*.

7. Engagement with Council employee equality networks

Meeting was held with representatives of the Council's BME Employee Network, Disability Network, LGBT Employee Network and Women's Network to shape the draft scheme, based on the Groups' feedback, priorities and advice.

8. Engagement with and advice from key local third sector experts

Similarly, meetings were held with the Cardiff Third Sector Council Partnership Council, the Chief Executive of Diverse Cymru and the Chief Executive of Race Equality First to hear their advice and priorities for the Council to include in its draft Scheme.

9. Engagement with and advice from City of Cardiff Council Scrutiny

Policy Review and Performance Scrutiny Committee provided its advice and feedback as the draft Strategic Equality Plan was being drafted in September 2015, and Members made a number of helpful suggestions. The Committee's input (attached at **Appendix C**) was factored into the draft document, and into the wider arrangements for consultation on the draft Plan.

b) Strategic Equality Objectives

10. On the basis of the information referred to in the above paragraph, and from advice provided by the Council's Cabinet and Senior Management Team, the Council drafted a set of Equality Objectives for consultation. To continue with the consistency of approach with the *What Matters* Partnership Strategy followed during the Council's previous Equality Plan *Everyone Matters*, the draft objectives follow have again been framed around the seven Outcomes for Cardiff set out in *What Matters*. However, for ease of communication, the number of objectives had been reduced from 18 in the previous Equality Plan to 10 in this draft Plan.
11. The draft Equality Objectives were:
 - a. Meet our Specific Equality Duties and build equality into everything we do
 - b. Support wider access to Council information and environments, and participation in Council Services
 - c. Support wider citizen consultation and engagement with the Council and the decisions it makes
 - d. Support people to challenge unfair treatment
 - e. Provide support to those who may experience barriers to achieving their full potential
 - f. Improve educational outcomes for all Cardiff learners
 - g. Reduce the number of people not in employment, education or training
 - h. Address identified pay gaps around Protected Characteristics in our workforce
 - i. Take action to build strong and cohesive communities where people can feel safe
 - j. Celebrate and promote Cardiff's heritage and diverse cultures.
12. Although the 10 draft Equality Objectives are described as "objectives" in the draft Plan, it is acknowledged that they might not be seen to conform to the accepted definition of that term, in that they are not "SMART". The Council's aim was rather to engage people in debate on an easily understandable set of priorities, with SMART actions subsequently being devised to deliver each priority once the opinions and priorities of residents were understood.

c) Wider Consultation & Engagement on the draft Plan

13. The draft Plan was widely circulated electronically and in hard copy for eight weeks of consultation in October and November 2015. The consultation was promoted via the Council's communications channels, and people were invited to provide their feedback via a consultation form. Reinforcing the electronic and paper responses received during the

consultation, the Council wanted to make sure that key stakeholders were given the opportunity to provide in-depth feedback. Direct communication was therefore arranged with a dozen local stakeholders, who all provided detailed written responses.

14. A day of engagement events was also arranged on 1 December 2015 at Cardiff City Hall, so that people could provide their views directly to the Council. Invitations were extended to a range of groups, including the Cardiff Access Focus Group, Cardiff Youth Council and 50+ Forums, and they were well attended. Also attending these events were the Equality Officers of the Cardiff & Vale University Health Board and the South Wales Fire & Rescue Service.
15. A report outlining the feedback received via these various mechanisms is attached at **Appendix D**.

d) The Final Plan Document

16. The final draft Strategic Equality Plan has been amended following the period of engagement to reflect the points raised by respondents that the Council could immediately incorporate into the Plan. The most significant change is the reduction of number of equality objectives from 10 to 7. The objectives set out at paragraphs 9e, 9f and 9g above have been merged into the single objective "Provide support to those who may experience barriers to achieving their full potential". The objectives set out at paragraphs 9i and 9j above have been merged into a new single objective "Build strong and cohesive communities where people feel safe, and able to celebrate Cardiff's diversity".

The 7 equality objectives are:

- **Meet our Specific Equality Duties and build equality into everything we do**
- **Support wider access to Council information and environments and participation in Council services**
- **Support wider citizen consultation and engagement with the Council and the decisions it makes**
- **Support people to challenge unfair treatment**
- **Provide support to those who may experience barriers to achieving their full potential**
- **Address identified pay gaps around Protected Characteristics in our workforce**
- **Build strong and cohesive communities where people feel safe and able to celebrate Cardiff's diversity**

17. A draft action plan summary for 2016/17 has also been developed, and attached at **Appendix B** of this report. These actions will be embedded within the 2016/17 Delivery Plans for each of the Council's Directorates. One action is to carefully analyse the feedback from engagement on the Plan and discuss actively with relevant Members, officers and teams to progress as far as possible each piece of feedback received. There is a commitment in the Plan to remain in contact with respondents to let them know what progress is being made.
18. An annual report on the Council's progress towards completing each of its 10 Equality Objectives will be prepared each year, and action plans for each of the following three years will be prepared on an annual basis, taking into account the progress that the Council has made during the previous 12 months. The draft Plan clearly sets out a vision for what success will look like should each of the 10 Objectives be realised, and the Council's ambition is to realise that vision for each of the 10 Objectives during the four year Plan period.
19. Officers have undertaken an equality impact assessment of the draft Strategic Equality Plan, which is attached at **Appendix E** of this report.

e) 2014/15 Annual Equalities Report

20. The Wales specific equality duties set out the requirement to produce an annual report by 31 March each year. The Council is required to produce an annual report depicting actions that have been accomplished during the reporting period towards meeting its equalities duties in relation to the Strategic Equality Plan 2012-16. This report must set out:
 - the steps the authority has taken to identify and collect relevant information
 - how the authority has used this information in meeting the three aims of the duty
 - any reasons for not collecting relevant information
 - a statement on the effectiveness of the authority's arrangements for identifying and collecting relevant information
 - progress towards fulfilling each of the authority's equality objectives
 - a statement on the effectiveness of the steps that the authority has taken to fulfil each of its equality objectives.

21. Listed public bodies in Wales must also collect and publish relevant employment information by 31 March each year. The employment information must include:

The number of men and women broken down in relation to:

- job
- grade
- pay
- contract type (including permanent and fixed term contracts)
- working pattern (including full time, part time and other flexible working pattern).

The number of employees in relation to age, disability, gender reassignment, sex, race, pregnancy and maternity, sexual orientation and religion or belief broken down by:

- people who have applied for jobs with the authority over the last year
- employees who have applied to change position within the authority, identifying how many were successful in their application and how many were not
- employees who have applied for training and how many succeeded in their application
- employees who completed the training
- employees involved in grievance procedures either as complainant or as a person against whom a complaint was made
- employees subject to disciplinary procedures
- employees who have left an authority's employment.

22. A listed public body may use its annual report to publish this employment information, and this is the mechanism the Council has selected for its Strategic Equality Plan Annual Report for 2014/15.

23. Set out at **Appendix F** of this report, therefore, is the Council's annual report on the progress it made in 2014/15 towards completion of the 18 Equality Objectives contained within its 2012 – 2016 Strategic Equality Plan. The report notes that good progress was made in many areas. The report also includes a statistical evaluation of the diversity of the Council workforce as required under the Equality Act 2010. This evaluation makes a number of key findings, and a separate action plan for 2016/17 has been included on the basis of these findings.

24. Due to the reporting capacities of the Council's main systems used by Human Resources People Services - SAP, Tribal and Digi-Gov – it is currently not possible to produce the required

reports for 'employees applying to change position by protected characteristics'. This has been indicated in the Employment Information section in **Appendix F**.

f) 2016/17 Ageing Well Delivery Plan

25. In September 2015 Cabinet adopted its first Ageing Well Delivery Plan, at the request of the Older Person's Commissioner for Wales. Officers have undertaken further work on developing this delivery plan, and the updated delivery plan is attached at **Appendix G** of this report (this plan will be jointly delivered by the Cabinet Member with responsibility for Safety, Skills, Democracy and Engagement and the Cabinet Member with responsibility for Health, Housing and Wellbeing. The main areas where the delivery plan has been updated include: Waste, Planning, Highways, Traffic and Transportation and Social Services

Local Member Consultation

26. Elected Members received a copy of the draft Strategic Equality Plan in October 2015 and were invited to make comments and suggestions on the document. Councillors Javed, Groves and Wild responded in writing.

Reasons for Recommendations

27. To enable the Cabinet to approve for publication:
- a. The City of Cardiff Council's Draft Strategic Equality Plan 2016 – 2020
 - b. The Annual Review for 2014/15 of "Everyone Matters" - The City of Cardiff Council's Strategic Equality Plan 2012 – 2016
 - c. The City of Cardiff Council's updated Ageing Well Delivery Plan for 2016/17.

Legal Implications

28. The Equality Act 2010 imposes an overarching single equality duty on local authorities. The Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011/1064 requires authorities to publish:
- a. Equality Objectives which must be reviewed every four years (Regs 3 & 4).

- b. A Strategic Equality Plan (Regs 14 & 15) which must include the Equality Objectives, how the Authority intends to fulfil the objectives, and how long this will take. The Strategic Equality Plan must be kept under review.
- c. Employment information by the 31 March each year. (Reg 9).

Financial Implications

There are no direct financial implications arising from this report. If in the event of implementing the strategy costs arise then these need to be identified from within existing budgetary or external funding sources.

RECOMMENDATIONS

The Cabinet is recommended to agree for publication:

- a. The City of Cardiff Council's Draft Strategic Equality Plan 2016 – 2020
- b. The Annual Review for 2014/15 of “*Everyone Matters*” - The City of Cardiff Council's Strategic Equality Plan 2012 – 2016
- c. The City of Cardiff Council's updated Ageing Well Delivery Plan for 2016/17.

MARIE ROSENTHAL

Director of Governance and Legal Services
17 March 2016

The following Appendices are attached:

Appendix A: The City of Cardiff Council's Draft Strategic Equality Plan – 2016 - 2020.

Appendix B: Action Plan for The City of Cardiff Council's Draft Strategic Equality Plan – 2016 - 2020.

Appendix C: Report on the Consultation undertaken on the draft Strategic Equality Plan 2016 - 2020

Appendix D: Correspondence from Policy Review & Performance Scrutiny Committee relating to The City of Cardiff Council's Draft Strategic Equality Plan – 2016 - 2020, September 2015

Appendix E: Equality Impact Assessment of The City of Cardiff Council's Draft Strategic Equality Plan – 2016 - 2020

Appendix F: Annual Review for 2014/15 of “Everyone Matters” - The City of Cardiff Council's Strategic Equality Plan 2012 - 2016

Appendix G: The City of Cardiff Council's updated Ageing Well Delivery Plan for 2016/17

A variety of Background Papers that have been taken into account in drafting this report are referenced in the body of the report, particularly at paragraph 7.

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The City of Cardiff Council's Strategic Equality Plan 2016 – 20

Equality making the
'difference for Cardiff.

YOU CAN ASK FOR THIS DOCUMENT IN A DIFFERENT FORMAT



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Appendices:

- Action Plan
- Consultation and Engagement Report
- The Protected Characteristics
- Further information on why we have chosen our objectives
- Protected Characteristic Profile for Cardiff
- The Specific Equality Duties levied by Welsh Government
- Equality Impact Assessment

Foreword from Councillor Daniel De'Ath, Cabinet Member for Skills, Safety, Democracy and Engagement

Welcome to the City of Cardiff Council's Strategic Equality Plan 2016 – 2020. The Plan sets out our ambition for equality to “make the difference”, building a fairer society for all of Cardiff's citizens, and helping achieve our vision of Cardiff becoming Europe's Most Liveable Capital City.

We will do this by delivering seven outcomes which have been jointly agreed by public service and third sector partners in the city, captured in Cardiff's “*What Matters*” Single Integrated Plan.

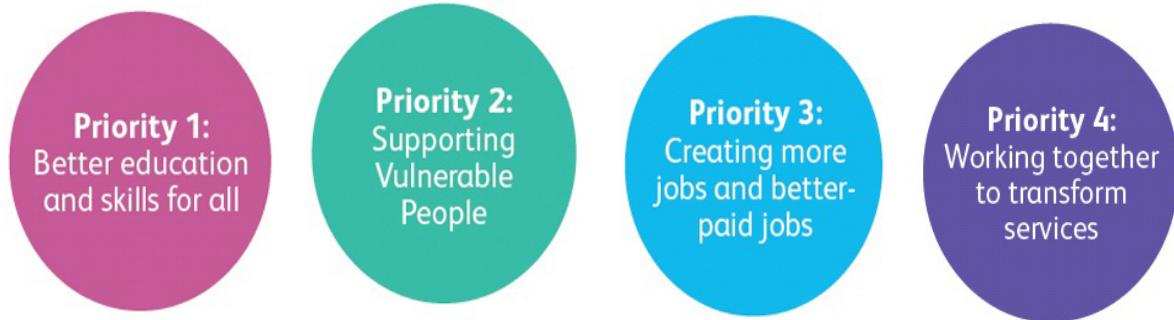
Cardiff is Wales' largest city and home to over a third of a million people from a wide range of backgrounds. We have a long and proud history of welcoming people to our city and value the diversity that this has brought and continues to bring to Cardiff and the City Region.

This Strategic Equality Plan sets out the Council's commitment to Equality, and identifies a number of key equality objectives (developed as a result of consultation and engagement) which we will focus on over the next four years and which will enable us to improve our services and Equality in Cardiff.

This Plan will be delivered in a challenging economic climate, where we have had to make significant savings during the past three years, and will need to find around £120m of additional savings during the next three. This reduction in budget means that we will have to be clear about the priority areas that are the most important to us, and which make the biggest difference for the people of Cardiff.

To do this we must have a very clear understanding of what citizens need and how they interact with the services we provide. We will need to work in smarter ways to

ensure we can focus on their priorities. Our Corporate Plan sets out the four most important priorities for Cardiff Council. The priorities identified are:



We believe that the equality objectives identified later within this Plan will complement our Corporate Plan priorities and help us deliver these in a way which will benefit all members of our community.

To deliver on these priorities we will continue to work closely with our partners (both statutory and non-statutory), local communities and individuals to ensure that we promote and deliver equality for Cardiff. As one of the largest public sector organisations in Wales, we recognise our broad-ranging responsibilities as both an employer and as a provider of a wide range of services within the city. We take these responsibilities very seriously.

The City of Cardiff Council is committed to equality, welcoming the duties contained within the Equality Act 2010. We will continue to prioritise equality and ensure that it is firmly embedded within all that we do. We recognise we have a vital role to play in helping people from all backgrounds to access the services we provide. And we will work to ensure that citizens are able to access, influence and design our services, and that those services meet the needs of all.



Councillor Daniel De'Ath

Why have we produced this Strategic Equality Plan?

This Plan has been produced to meet our duties set out in the Equality Act 2010 (Statutory Duties) (Wales) Regulations, which came into force on 6 April 2011.

The Plan revises and updates our first Strategic Equality Plan (published April 2012) and demonstrates our continued commitment to equality. It sets out for service users, elected Members, employees and partner organisations our strategic equality objectives, our reasons for choosing them and how we intend to deliver them.

In developing this Plan and in setting our new equality objectives we reviewed our previous Strategic Equality Plan and its objectives. We have taken into account the Welsh Government's *draft Equality Plan Objectives*, The Equality and Human Rights Commission's *How Fair is Wales?* and *Is Wales Fairer?* reports, and our recent annual Equality Reviews. We have engaged with the public, employees, council directorates and Members, equalities and third sector organisations.

As a result of this review and engagement undertaken we have developed new objectives that we believe will result in better equality outcomes for Cardiff. In carrying out this review and by working in partnership with our stakeholders we have been able to understand the full range of equality issues that exist within the city and have been able to develop an action plan which will help us to tackle these issues.

As an organisation we are driven by our organisational values which are:



We believe that this Equality Plan encompasses each of these values and will ensure that we continue to ensure the services we provide meet the needs of our citizens.

Who is this Strategic Equality Plan For?

This Plan is for YOU!

The Equality Act 2010 uses the term “Protected Characteristic”, which refers to people’s age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion, belief or non-belief, sex and sexual orientation.

We can see how important it is to support groups of people who our experience has shown might face particular barriers in accessing public services, or who may face prejudice or other disadvantage. Equally, we want to avoid stigmatising people unnecessarily, and of putting people into “pigeon holes”.

So while we will seek to fully comply with the Equality Act in eliminating discrimination, promoting equality and promoting good relations around the Protected Characteristics, our fundamental aim is to provide good services that meet people’s needs, and which celebrate our wonderfully diverse city.

Appendix 6 contains further information on the Protected Characteristic Profile for Cardiff.

Leadership and Responsibility for our Plan

The Council works to make equality a priority, and the management of the organisation will assign responsibility for the Scheme as follows:

Politically

The scheme will be led by the Council's Leader Cllr Phil Bale. The Cabinet Member with overall lead Portfolio responsibility for Equality is Cllr Daniel De'Ath, and each Cabinet Member has individual responsibility to mainstream diversity within their portfolio of responsibilities. Providing overarching diversity support to the Council is our Member Diversity Champion Cllr Ali Ahmed.

Officer Level

Ultimate responsibility for the Strategic Equality Plan will rest with the Chief Executive, Paul Orders, supported by the Senior Management Team. Detailed co-ordination of the Plan will be overseen by the Director of Governance and Legal Services, Marie Rosenthal.

The Council's Equality Team will provide guidance for Directorates and individual frontline teams to help them understand how they can implement and support the achievement of the Council's Equality Objectives. The Equality Team will also have responsibility for monitoring the implementation of the action plan, and for preparing annual reviews.

Each Director will have responsibility for actions within the Plan, which will be included in their Directorate's annual Delivery Plan, and which will be reported through the Council's corporate performance management arrangements.

Every Council employee is bound by the Council's Employee Charter, which ensures 'our services are delivered in a way that reflects the Council's values and behaviours'.

The Equality Act 2010

The 2010 Equality Act brings together previous disparate pieces of legislation into one place to provide a single legal framework to more effectively tackle disadvantage and discrimination. The Act sets out groups which are specifically listed as 'protected characteristics' and which include:

- Age
- Disability
- Gender Reassignment
- Marriage and Civil Partnership
- Pregnancy and Maternity
- Race
- Religion, Belief or No Belief
- Sex
- Sexual Orientation

The promotion and use of Welsh Language is not included within the Equality Act and is instead covered by requirements set out in the Welsh Language Measure 2011. It is important to include this aspect alongside the wider protected characteristics to encourage a holistic approach to the needs of all communities in designing and delivering services.

The Measure includes provisions about the official status of the Welsh language and establishes the office of the Welsh Language Commissioner. The Commissioner will have wide ranging functions to promote equality between Welsh and English. The Measure also allows for the development of 'standards' covering the integration of the Welsh language in the development and delivery of services to the public.

Appendix 4 contains further information about Protected Characteristics.

Complying with the General Duties of the Act

The Equality Act 2010 places a General Duty on public authorities in carrying out their functions to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not by tackling prejudice and promoting understanding.

Complying With the Specific Duties

Welsh Government has been given responsibility for levying Specific Duties on Welsh public bodies like Cardiff Council.

Appendix 7 contains information about the Specific Duties.

Consultation Engagement and Evidence Gathering

In order to develop the content of the draft Strategic Equality Plan and to choose the draft Equality Objectives the Council undertook a range of evidence gathering and engagement prior to the official consultation. The key steps in this process included:

- Analysis of Legislative Requirements
- Analysis of local Policy Drivers
- Analysis of current Council Equality Policy
- Analysis of national and local datasets
- Analysis of past Council consultation on equalities issues
- Analysis of comparator equality schemes
- Analysis of local third sector and community priorities
- Engagement with and advice from Council Employee Equality Networks
- Engagement with and advice from key local third sector experts
- Engagement with and advice from City of Cardiff Council Scrutiny
- Engagement events with the public

Engagement and Consultation Arrangements

The draft Plan (with draft objectives) was promoted externally on the Council's website; via the Council's Twitter feed and Council's Face-Book page. It was made available at County Hall, City Hall in Libraries and at Community Hubs. It was also widely distributed to local third sector organisations, neighbourhood partnerships and public sector partner organisations.

Key partners including Cardiff Third Sector Council (C3SC), Race Equality First (REF) and Diverse Cymru also promoted the draft Plan and the consultation via their own websites and Twitter Feeds.

The Plan was promoted internally amongst council members and employees via e-mail messages, the staff Intranet and Core Brief. It was sent to trades unions, employee equality networks and staff Ambassadors.

Accompanying the draft Plan was an electronic and paper consultation form, which asked respondents to:

- Give their view on the value and importance of each objective, and the relative priority the Council should give in pursuing each objective.
- Suggest any actions that they would like the Council to undertake to achieve each objective, or outcomes they would like to see in place as a result
- Any other comments that they wished the Council to take.

To reinforce the electronic and paper consultation responses, the Council ensured that key stakeholders were given the opportunity to provide in-depth feedback. As a result direct communication was arranged with a number of stakeholders both internal and external.

Finally, a day of engagement events was arranged on 1 December 2015 at Cardiff City Hall, so that people could provide their views directly to the Council.

Appendix 2 contains further information on our consultation and engagement

THE EQUALITY OBJECTIVES FOR THE COUNCIL'S 2016-20 STRATEGIC EQUALITY PLAN

During consultation on our draft Equality Objectives, we received a variety of helpful feedback, and have as a result reduced the number of final objectives from 10 to seven. Our draft objectives remain grouped within the overall “Outcomes for Cardiff” which have been agreed by all key partners in the Cardiff Partnership Board (LSB). By grouping them in this way it will be possible to report them through the LSB, and to work in partnership with bodies like the University Health Board, Police, Fire and Rescue and Cardiff Third Sector Council. Our objectives are:

Cardiff is a Fair, Just and Inclusive Society

- Meet our Specific Equality Duties and build equality into everything we do
- Support wide access to Council information and environments, and participation in Council Services
- Support wide citizen consultation and engagement with the Council and the decisions it makes
- Support people to challenge unfair treatment

Cardiff People are Healthy and supported to achieve their Full Potential

- Provide support to those who may experience barriers to achieving their full potential

Cardiff has a Thriving and Prosperous Economy

- Address identified pay gaps around Protected Characteristics in our workforce

Cardiff People are Safe and Feel Safe, and Cardiff is a Great Place to Live, Work and Play

- Build strong and cohesive communities where people feel safe, and able to celebrate Cardiff's diversity.

Appendix 1 contains a summary of our first year action plan for 2016/17. This indicates a number of the core activities we will undertake to progress our objectives during the year. We will, however, as part of the Council's business planning process work with each Council Directorate so that they can build a more detailed Directorate Equality Action Plan, which will be monitored through the Council's performance management arrangements.

THE EQUALITY OBJECTIVES IN DETAIL

1. Meet our Specific Equality Duties and build equality into everything we do.

Why have we chosen this objective?

- It enables us to meet the general and specific duties within the Equality Act
- It contributes to Corporate Plan Priority 4 (working with people and partners to design, deliver and improve services)
- Enhanced service user monitoring & equality impact assessments will enable the Council to understand who and what services are used by our customers, will inform the future design of services

If implemented what will success look like?

- Equality impact assessments routinely carried out and to a consistently high standard
- An agreed corporate equality monitoring form routinely used to consistently collect and report on monitoring information on employees and service users
- Evidence from the above sources informs service delivery and review
- Cardiff Council employees have access to equality training in order to improve service delivery

2. Support wider access to Council information and environments, and participation in Council services.

Why have we chosen this objective?

- It enables us to meeting the specific duties of the Equality Act regarding accessible communication
- It contributes to Corporate Plan Priority 4 (working with people and partners to design, deliver and improve services)
- The Ask Cardiff survey 2014 identified that almost a quarter of respondents (24.9%) do not find it very or fairly easy to access Council services when they needed to, with 11.5% of people indicating that it was fairly or very difficult to access services
- Ask Cardiff respondents who identified themselves as being disabled or from a minority ethnic background were most likely to find it difficult to access Council services (15.6% and 15.3% respectively)

If implemented what will success look like?

- The information provided by the Council is easy to understand and takes accounts of individuals' needs
- The Council's venues, built environment and open spaces are accessible for all to enjoy
- Cardiff residents are aware of the services we provide, and can easily access those services

3. Support wider citizen consultation and engagement with the Council and the decisions it makes.

Why have we chosen this objective?

- It enables us to meet the specific duties within the Equality Act regarding involving people
- It contributes to Corporate Plan priority 4 (working with people and partners to design, deliver and improve services)
- Results from the Cardiff Debate indicate that members of the public welcomed the opportunity to participate in conversations with the Council and its partners in the design of future services and provision
- The Well-being of Future Generations Act 2015 indicates the importance of involving people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area which the body serves

If implemented what will success look like?

- People are appropriately represented in Council consultations and engagement events, and can participate in the future design of Council services
- Cardiff Council consultations or engagement events are fully accessible for everyone

4. Support people to challenge unfair treatment.

Why have we chosen this objective?

- It enables us to meet the part of the general duty contained within the Equality Act relating to eliminating discrimination, harassment and victimisation
- Evidence from our partners at Race Equality First indicates that they have received 162 requests from service users for their discrimination casework service and that bullying is an issue in some Cardiff schools
- Evidence indicates that there has been an increase in hate crime in recent years where victims have been targeted for their perceived membership of a certain social group. This increase is particularly evident in race, homophobic and disability-related crime
- Evidence from the Council's employee equality groups suggests that policies and procedures are not consistently applied throughout the Council

If implemented what could success look like?

- Cardiff residents clearly and easily understand what discrimination is
- Cardiff residents know where to report cases of discrimination
- Anti-discrimination services in Cardiff are effective, and discrimination is reduced

5. Provide support to those who may experience barriers to achieving their full potential.

Why have we chosen this objective?

- It enables us to meet the part of the general duty contained within the Equality Act relating promoting equality of opportunity
- Income deprivation accounts for approximately 90% of the variation and severity of all other types of deprivation, including measures of health and wellbeing, child poverty and some aspects of community safety
- People from lower socio-economic groups have a poorer outlook with shorter life expectancy and higher premature death rates than those from higher groups
- Evidence indicates that children who grow-up in poverty are more likely to experience poor health, poor educational attainment, have lower ambitions and be welfare-dependent in adulthood

If implemented what could success look like?

- There is a clear understanding amongst Council service providers of the barriers facing people in accessing Council services, and there is clear evidence that this understanding is widening access to services
- People in Cardiff are able to live as independently as possible
- People in Cardiff know about the support services and help available to them
- There is clear evidence of where a protected characteristic may be a factor in the educational attainment of school pupils, and programmes are developed to address those factors

- There is evidence that attainment gaps linked to protected characteristics are reducing
- All learners are able to achieve their potential
- Programmes designed to reduce the number of people not in education or training are working
- Unemployment figures for people in Cardiff are reducing
- Young people in Cardiff are able to access suitable education or training upon leaving school at 16

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6. Address identified pay gaps around Protected Characteristics in our workforce.

Why have we chosen this objective?

- It enables us to meet the general and specific duties within the Equality Act
- Our annual workforce data identifies that the Council workforce has a 69% female / 31% male split but the majority of women are in the lowest (below £16,000) pay bracket
- Females are under-represented in the higher pay brackets
- Previous workforce data indicates that disabled people are underrepresented amongst the Council's workforce

If implemented what could success look like?

- The Council routinely collects and uses employee monitoring data around all protected characteristic groups to identify and reduce pay gaps
- Plans will be in place to enable under-represented groups to progress within the Council

7. Build strong and cohesive communities where people feel safe, and able to celebrate Cardiff's diversity

Why have we chosen this objective?

- It contributes to the Corporate Plan priority 2 (supporting people in vulnerable situations)
- It enables us to meet the general duties of the Equality Act
- It enables the Council to contribute to the Welsh Government's Community Cohesion Strategy for Wales
- The Council and its partners are committed to reducing the incidences of domestic and sexual violence and abuse
- It will enable us to bring the various protected characteristic groups together and hopefully address the increase in hate crime within Cardiff
- From April 1st 2014 until March 31st 2015 there were 930 hate crime incidents (involving victims from all protected characteristic groups) recorded in Cardiff by South Wales Police, which is an increase on the number of incidences recorded (879) during the same periods for 2013/14

If implemented what could success look like?

- The Council will promote information about organisations which support victims of domestic violence or abuse
- Members of the public will feel confident in reporting incidents of domestic violence or hate crime

- The Council regularly uses positive images to promote community cohesion messages
- Cardiff Council will publish a calendar of cultural events and promote these to both employees and to residents and visitors

Appendix 5 *Contains further evidence for why we have included each of the equality objectives.*

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Reporting and Accountability

To keep you informed on the progress of the implementing our Equality Plan we will:

- Produce an annual Equality Progress Report showing our progress on our equality objectives during the previous 12 months
- Publish an annual statistical report on the diversity of our employees.

Holding us to account

We hope that you will be satisfied with the way we are working to deliver our equality objectives but if you are not, you can:

- Contact the Council's Equalities Team via Connect 2 Cardiff
- Contact your local Councillor
- Take part in an Ask Cardiff! Survey
- Make a complaint, using the Council's Complaints procedure or call Connect 2 Cardiff on 029 2087 2087
- Raise the matter with your Neighbourhood Partnership Team.

Further information and feedback

We welcome any comments, suggestions or feedback you wish to make on our Plan. We will also be pleased to send a copy of this document in different formats or languages. Please contact us!

Cardiff Council Equalities Team, Room 263d, County Hall, Cardiff CF10 4UW
Telephone (029) 2087 2087. E-mail equalityteam@cardiff.gov.uk



Appendix 1

Equality Making the *'difference* for Cardiff.

The City of Cardiff Council's Strategic Equality Plan 2016 – 20

A Summary of Our Actions for 2016/2017



Introduction

The city of Cardiff Council has produced a Strategic Equality Plan to meet our public sector equality duties as set out in the Equality Act 2010 (Statutory Duties) (Wales) Regulations, which came into force on 6 April 2011. The Plan revises and updates our first Strategic Equality Plan (published April 2012) and demonstrates our continued commitment to equality.

The Plan sets out a number a number of equality objectives which have been developed as a result of a programme of consultation and engagement. The objectives are:

1. Meet our Specific Equality Duties and build equality into everything we do
2. Support wider access to Council information and environments and participation in Council services
3. Support wider citizen consultation and engagement with the Council and the decisions it makes
4. Support people to challenge unfair treatment
5. Provide support to those who may experience barriers to achieving their full potential
6. Address identified pay gaps around Protected Characteristics in our workforce
7. Build strong and cohesive communities where people feel safe and able to celebrate Cardiff's diversity

As a result of our consultation and engagement programme a number of actions have been identified that will help us put in place foundations during the **1st year** of our plan that we will build upon during the 2nd, 3rd and 4th year of the plan. This document highlights a number of the actions that will be taken towards during **2016/17**.

Objective 1 Meet our specific equality duties

During 2016/17 we will begin to address this objective by:

- Carry out a review of the Councils existing Equality Impact Assessment guidance
- Working with directorates to identify the current level of directorate equality monitoring.
- Produce a Council-wide generic equality monitoring form and guidance document.
- Develop a range of employee equality and diversity training packages.
- Review procurement processes to identify how equality considerations are currently built into processes.

Objective 2 Support wider access to Council information and environments and participation in Council services

- Communications Team and Equality Team to produce a briefing document and guidelines regarding accessible communication and the requirements of the Equality Act
- Bilingual Cardiff Team to work with Directorates to secure compliance with Welsh Language Standards
- Continue to provide Cardiff Council Access Focus Group as a mechanism for addressing accessibility in Cardiff's built environment
- Review the Reasonable Adjustments Policy to ensure it is fit for purpose up to date regarding information for access to buildings / workplaces for council employees.

Objective 3 Support wider citizen consultation and engagement with the Council and the decisions it makes

- Produce a management briefing document on accessible consultation and engagement and the requirements of the Equality Act.
- Produce accessible engagement and consultation guidelines for Directorates.
- Establish a baseline of current consultation / engagement number.
- Carry out regular Employee Voice employee satisfaction surveys.
- Include a question in future Ask Cardiff Survey regarding service user satisfaction levels of engagement / consultation Cardiff Council.

Objective 4 Support people to challenge unfair treatment

- Produce a briefing document identifying the various types of discrimination, and make this available within Council venues, the Council website and for employees via the Council intranet.
- Support Race Equality First to deliver a discrimination casework service
- Promote the various agencies who can support people who feel they have been received unfair treatment discriminated against within Council venues, the Council website, Capital Times and for employees via the Council intranet.
- Promote to Council employees the availability of the new Resolution Policy which will replace the existing Grievance and Bullying and Harassment policies.

Objective 5 Provide support to those who may experience barriers to achieving their full potential

- Produce a briefing document identifying the various barriers preventing people from achieving their full potential.
- Work with 3rd sector partners to produce a lessons learned report of issues faced by their services users and the barriers they face to accessing Council services.
- Work with partners to promote the 'Cardiff Commitment' and its plans to get more of Cardiff's young people into education, employment and training.
- Promote the Corporate Apprentice scheme which has been introduced in the Council.
- Implement the actions contained within Cardiff's Ageing Well local delivery plan.

Objective 6 Address identified pay gaps around Protected Characteristics in our workforce

- Carry out a review of the job evaluation process
- Produce a job evaluation toolkit which enables all job evaluation related processes to be included within one document
- Continue to promote to employees the availability of employee training
- Update the living wage for the lowest paid council employees
- Work with employee networks to identify support needed for under-represented groups to progress within the Council.

Objective 7 Build strong and cohesive communities where people feel safe and able to celebrate Cardiff's diversity

- Implement the refreshed National Community Cohesion Action Plan (2016/2017) across the Local Authority
- Neighbourhood Partnerships to promote positive messages and community cohesion in the delivery of action plans
- Promote the reporting of hate crime and ensure staff know how to report as well as what support is available
- Include a question in the Ask Cardiff Survey regarding how safe people feel or their perceptions of crime
- Produce and promote a cultural calendar of event and festivals and make it available to employees via staff intranet
- Employee networks to promote and celebrate diversity in the workplace.

For further information please contact:

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The City of Cardiff Council's DRAFT Strategic Equality Plan 2016 – 20

Consultation Feedback Report

Equality Making the
'difference for Cardiff.

YOU CAN ASK FOR THIS DOCUMENT IN A DIFFERENT FORMAT



Purpose

This report captures the key messages expressed during the recent consultation for Equality Making the 'difference' for Cardiff; Cardiff Council's Strategic Equality Plan. The consultation ran from 1st October until November 30th 2015 and culminated in 2 consultation events held on Tuesday 1st December 2015 at Cardiff City Hall.

Background

The Equality Act 2010 placed a specific duty on all local authorities to produce a Strategic Equality Plan by April 2012 and for a review of the plan to be carried out at least every 4 years.

Cardiff Council carried out a review of 'Everybody Matters' and as a result produced a revised draft Strategic Equality Plan entitled Equality Making the 'difference' for Cardiff; this draft Plan included a number of draft equality objectives.

Introduction

On 30th September 2015 the City of Cardiff Council published a draft Strategic Equality Plan for 2016 – 20. The draft plan set out 10 draft Equality Objectives for the next four years with a brief explanation of why these had been chosen, and what success in achieving the objectives might look like.

The Council acknowledge that whilst the 10 objectives indicated within the Plan do not conform to the accepted definition of that term, in that they were not "SMART"¹ our was to engage people in debate on an easily understandable set of priorities,

¹ Specific, Measurable, Agreed, Resourced and Time bound

with SMART actions subsequently being devised to deliver each priority once the opinions and priorities of residents were understood.

The consultation therefore invited respondents to indicate what actions and measures the Council could introduce to ensure success in implementing the objectives, and to provide their opinion of the relevance and importance of each objective.

Pre-Consultation Engagement and Evidence Gathering

In order to develop the content of the draft Equality Plan and to choose the draft Equality Objectives the Council undertook a range of evidence gathering and engagement prior to the official consultation. The key steps in this process included:

- **Analysis of Legislative Requirements**
- **Analysis of local Policy Drivers**
- **Analysis of current Council Equality Policy**
- **Analysis of national and local datasets**
- **Analysis of past Council consultation on equalities issues**
- **Analysis of comparator equality schemes**
- **Analysis of local third sector and community priorities**
- **Engagement with and advice from Council Employee Equality Networks**
- **Engagement with and advice from key local third sector experts**
- **Engagement with and advice from City of Cardiff Council Scrutiny**

Engagement and Consultation Arrangements

The draft Plan (with objectives) was promoted externally on the Council's website; via the Council's Twitter feed and Council's Face-Book page. It was made available at County Hall, City Hall in Libraries and at Community Hubs. It was also widely distributed to local third sector organisations, neighbourhood partnerships and public sector partner organisations.

Key partners including Cardiff Third Sector Council (C3SC), Race Equality First (REF) and Diverse Cymru also promoted the draft Plan and the consultation via their own websites and Twitter Feeds.

The Plan was promoted internally amongst council members and employees via e-mail messages, the staff Intranet and Core Brief. It was sent to trades unions, employee equality networks and staff Ambassadors.

Accompanying the draft Plan was an electronic and paper consultation form, which asked respondents to:

- Give their view on the value and importance of each objective, and the relative priority the Council should give in pursuing each objective.
- Suggest any actions that they would like the Council to undertake to achieve each objective, or outcomes they would like to see in place as a result
- Any other comments that they wished the Council to take.

To reinforce the electronic and paper consultation responses, the Council ensured that key stakeholders were given the opportunity to provide in-depth feedback. As a result direct communication was arranged with a number of stakeholders both internal and external.

Finally, a day of engagement events was arranged on 1 December 2015 at Cardiff City Hall, so that people could provide their views directly to the Council.

Key Messages from our Consultation & Engagement

The feedback we received told us:

- Respondents endorsed the Council's draft equality objectives however some felt that some of the objectives could be merged.
- Some respondents felt that the objectives should be more precise, while some felt that they could be more simply phrased. Most wanted the Council to focus on building SMART actions into an action plan. That the actions identified within the action plan can be accomplished.
- Citizens and third sector organisations have high expectations of the Council meeting its equality duties and in delivering high quality, accessible services, respecting diversity and reducing barriers to access.
- Respondents valued the way the Council engaged and consulted on the Strategic Equality Plan. They indicated the need for all future Council consultation and engagement to be inclusive and accessible to all groups and carried out in a timely manner. They also emphasised the need for the Council to feed back to respondents with clear details of the outcomes of consultation and engagement and any changes resulting from them.
- While many stakeholders recognised the Council's genuine aspiration to develop good practice, and appreciated its recent work to improve access, respondents felt that barriers still exist (for some) in accessing Council information and environments.
- Respondents emphasised the importance for the Council to clearly communicate the services that it provides and to do this through a number of different media.

- Respondents indicated that barriers preventing some people from achieving their full potential do exist.
- Employees with protected characteristics expect the Council to recognise and address the barriers they may face in the workplace.
- Third sector organisations are keen to work with the Council in delivering its equality duty, particularly the Cardiff Third Sector Council and a number of charities and local community groups specialising in diversity.

From this, we have learnt that:

- That we should revise our equality objectives
- That a consistent council wide approach is needed to ensure that we meet stakeholder expectations in meeting our equality duties and in the future delivery of accessible services, respecting diversity and reducing barriers to access.
- The Council needs to show sustained focus to achieve its objectives, developing clear priorities, leadership and agreed roles and responsibilities.
- There are opportunities to develop partnerships with third sector and public sector organisations to optimise resources in delivering the best outcomes for local people.
- It is important to be honest in reporting on the progress of our plan in order to maintain our momentum and the good will of stakeholders.

What are we going to do as a result?

- Revise our equality objectives.
- Work with Council directorates to Identify SMART Actions that will enable us to achieve our objectives
- Make a commitment to discuss with relevant Members, officers and teams, the points raised by respondents during the consultation so that we can progress as far as possible each point that was made.
- Work with colleagues within the Human Resources to identify and address barriers that some employees may face within the workplace.
- Work with third sector organisations to identify ways in which we can work together in delivering our equality duties.
- Keep respondents informed about our progress.

Respondents' views on the appropriateness of our Objectives

During the consultation period and the consultation events the Council asked those responding to indicate if they felt the 10 draft objectives were the ones the Council needed to focus on.

From the responses received via the various methods of consultation and engagement the vast majority of people broadly endorsed each of the draft objectives. However some felt objectives could be made simpler or merged.

Respondents' views on the relative importance of each Objectives

The Council asked respondents to identify which of the objectives they considered to be most important and relevant for the Council to prioritise.

People responding indicated that the most important objectives the Council needs to prioritise are:

- Meet our Specific Equality Duties and build equality into everything we do
- Provide support to those who may experience barriers to achieving their full potential
- Support wider citizen consultation and engagement with the Council and the decisions it makes
- Support people to challenge unfair treatment
- Improve educational outcomes for all Cardiff Learners
- Support wider access to Council information and environments and participation in council services

SUMMARY OF FEEDBACK RECEIVED ON OUR OBJECTIVES

Objective 1 - Meet our Specific Equality Duties and build equality into everything we do.

The feedback we received told us:

- It is important for us as the Council of the capital city of Wales to develop good practice in:
 - Assessing the Impact of Council policies, services and decisions.
 - Carrying out effective equality monitoring so that it can confidently understand who is using Council services and to help shape future provision of those services.
 - Making training and awareness on Equality and Diversity issues widely available to Council employees.
 - Ensuring that the services the Council buys are procured fairly.

Objective 2 - Support wider access to Council information and environments, and participation in Council Services.

The feedback we received told us:

- It is vitally important that the information the Council produces is easy to understand, and meets the needs of citizens with Protected Characteristics including the need for Plain English, Easy Read, British Sign Language and community languages.

- That much good work had been undertaken in improving the accessibility of physical environments within Cardiff however more work needs to be done.
- That the Council's Hubs are a good way of providing council information however more work needs to be done to ensure that people not able to access hubs or electronic information are still able to receive information.

Objective 3 - Support wider citizen consultation and engagement with the Council and the decisions it makes.

The feedback we received told us:

- Respondents had high expectations that the Council's general consultation and engagement arrangements would be inclusive of individual needs.
- Respondents with different Protected Characteristics wanted the Council to engage specifically with their communities on issues in a way that met their communication and engagement needs.
- Various third sector groups want the Council to develop a structured partnership approach with them, and engage them in supporting the Council's equalities and diversity agenda.
- The Council needs to maintain its involvement with a variety of stakeholder groups, including the Breaking the Barriers steering group, in pursuing its diversity agenda.

Objective 4 - Support people to challenge unfair treatment.

The feedback we received told us:

- Respondents want the Council to:
 - Make effective use of the data it collects to understand where patterns of unfair treatment and discrimination may exist in the city.
 - Continue to provide effective case work and advisory services to support people seeking to challenge any treatment they feel is unfair.
 - Promote the availability of services available to ensure people in Cardiff know who to report unfair treatment to.
 - Ensure that lessons learnt from the casework and advice services provided by organisations like Race Equality First and Diverse Cymru that relate to Council services are communicated appropriately within the organisation to enable improvements to be made.

Objective 5 - Provide support to those who may experience barriers to achieving their full potential.

The feedback we received told us:

- As a very wide range of people and groups face barriers in their lives, the Council needs to make good use of data to understand what barriers exist, and the effect they have on people's lives.

- Respondents cited a wide range of useful evidence and potential solutions, and we need to work with communities to find practical answers where the Council has the power to do so.

Objective 6 - Improve educational outcomes for all Cardiff learners.

The feedback we received told us:

- To identify what barriers exist for specific groups
- To ensure that avoidable barriers are overcome and learners are supported to achieve the best outcomes they can. This evidence will be discussed with the relevant officers so that focus can be given to the issues raised.
- To continue to offer Adult Community Education courses.
- To share best practice from high achieving schools with schools that need to improve.
- To ensure that learning opportunities are accessible to all services users.

Objective 7 - Reduce the number of people not in employment, education or training.

The feedback we received told us:

- That the Council and its partners should identify if any particular protected characteristic groups are over represented within the NEET statistics and work to understand why this is the case.
- That the Council needs to work with partner organisations to identify ways to provide job shadowing, training and job opportunities for those not currently in employment, education or training.
- That the Council needs to continue its work with partners to maximise employment and fairness in employment across Cardiff.

Objective 8 - Address identified pay gaps around Protected Characteristics in our workforce.

The feedback we received told us:

- While recognising that the Council has a specific duty around the gender pay gap, Council employees and community groups were keen to see the Council ensuring that people with any Protected Characteristic are allowed to flourish and achieve their potential in the Council's work force.
- Respondents provided numerous suggestions as to how this could happen, and these will be discussed with the Council's Human Resources People Services to inform their ongoing Human Resources Equality Action Plan.

Objective 9 - Take action to build strong and cohesive communities where people can feel safe.

The feedback we received told us:

- Although the term “community cohesion” is frequently applied to issues around ethnicity and religious belief, respondents had views on how people and communities across the spectrum of Protected Characteristics needed to co-exist peacefully, and be free from fear of hatred.
- Stakeholders like the Cardiff Prevent Stakeholders Group and Race Equality First’s forums have specific expertise on issues relating to Cardiff’s PREVENT Agenda, which needs to be utilised to inform our work.
- It needs to be made as easy as possible for people to know how to report hate crime with effective support available through to the end of the process by a range of partners.
- Ways to make it easier for newcomers to Cardiff to settle into the city should be explored by the council and its partners
- Respondents were aware that the Council has a Community Cohesion Action Plan, which is a useful vehicle for making progress on these issues.

Objective 10 - Celebrate and promote Cardiff's heritage and diverse cultures.

The feedback we received told us:

- It is important to promote Cardiff's diversity, but messages need to be current and relevant, and not just around the city's historic multi-cultural heritage.
- It is important for the Council to promote positive images of diversity, and to promote role models.
- That the Cardiff Partnership Board needs to work together to promote community events and diversity messages.

The City of Cardiff Council would like to thank the following:

- Those who responded via the online consultation and paper copies available in community venues

- The following organisations who responded in writing:
 - Cardiff Third Sector Council
 - Diverse Cymru
 - Race Equality First
 - Gypsy Traveller Wales
 - Trustee of Cardiff Deaf Centre
 - Cardiff's 50+ Forums
 - Cardiff Access Focus Group
 - The Council's BME Employee Network
 - The Council's Disability Employee Network
 - The Council's LGBT Employee Network
 - The Council's Women's Employee Network
 - Cardiff Youth Council Grand Council

- The following organisations who contacted the Council:
 - Cardiff Prevent Stakeholders Group
 - Race Equality First Stakeholder Forums
 - RNIB Cymru
 - Chair of Breaking the Barriers Steering Group
 - Cymdeithas yr Iaith
 - Cardiff Bhatra Sikh community

- Individuals who responded in writing.

- People attending the Equality Plan engagement events on 1 December 2015.

- Our colleagues within South Wales Fire and Rescue Service, South Wales Police and Cardiff and Vale NHS Trust

For further information please contact:

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Equality Impact Assessment
Corporate Assessment Template

Strategy Title: Strategic Equality Plan 2016 - 2020
Updating: 4 Year Review

Who is responsible for developing and implementing the Strategy ?Equality Team	
Name: Paul Keeping	Job Title: Operational Manager
Service Team: Equalities	Service Area: Governance & Legal Services
Assessment Date: 12.01.16	

1. What are the objectives of the Strategy ?

To create a robust Strategic Equality Plan for 2016 – 2020, which will enable the Council, to fulfil its duties as set out under the Equality Act 2010.

As a Local Authority and Equal Opportunities employer, Cardiff Council developed a Strategic Equality Plan for 2012 -2016, which is currently undergoing its 4 yearly review. The Strategic Equality Plan (SEP) sets out how the council will meet its duties under the Equality Act 2010 in regard to both the General and Specific Duties.

Strategic Equality Plans must contain Equality Objectives which will promote equality of opportunity and enable the Council to drive equality forward across all council services. This Equality Impact Assessment has been undertaken to identify any impacts, both positive and negative that the SEP will deliver.

Initially 10 equality objectives were proposed:

The initial SEP Objectives for 2016 – 2020 were:

- Meet our Specific Equality Duties and build equality into everything we do
- Support wider access to Council information and environments, and participation in Council services
- Support wider citizen consultation and engagement with the Council and the decisions it makes
- Support people to challenge unfair treatment
- Provide support to those who may experience barriers to achieving their full potential
- Improve educational outcomes for all Cardiff Learners
- Reduce the number of people not in employment, education or training
- Address identified pay gaps around Protected Characteristics in our workforce
- Take action to build strong and cohesive communities where people can feel safe
- Celebrate and promote Cardiff’s heritage and diverse cultures

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An eight week consultation period was held for the SEP and following the feedback and contributions received the objectives were slightly amended and as a result were reduced to a **final** seven viable equality objectives:

- Meet our Specific Equality Duties and build equality into everything we do
- Support wider access to Council information and environments and participation in Council services
- Support wider citizen consultation and engagement with the Council and the decisions it makes
- Support people to challenge unfair treatment
- Provide support to those who may experience barriers to achieving their full potential
- Address identified pay gaps around Protected Characteristics in our workforce
- Build strong and cohesive communities where people feel safe and able to celebrate Cardiff's diversity

By working with all council service areas, improvement actions will be developed that will implement the equality objectives underpinning the SEP. As actions are created, this EIA will be revisited to reflect the benefits the progress of the action has had on each of the Protected Characteristics.

2. Please provide background information on the Strategy and any research done [e.g. service users data against demographic statistics, similar EIAs done etc.]

The Equality Act 2010 requires public bodies to comply with the **General Duty**:

- Elimination of discrimination and victimisation
- Promoting equality of opportunity
- Promoting good relations between all people

And the **Specific Duties**:

- Produce a Strategic Equality Plan
- Set Equality Objectives
- Carry out engagement
- Assess the impact of policies and practices and publish these
- Ensure information is accessible
- Collect relevant Equality Information
- Collect and publish employment information
- Set equality objectives to tackle pay differences

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- Provide staff training to increase knowledge and awareness of the Equality Act
- Annually report and publish progress on the Strategic Equality Plan
- Ensure that when we 'buy services' (procurement) we take into account the General Duties of the Equality Act 2010
- Carry out a review of the Strategic Equality Plan at least every 4 years.

Research data has been gathered in numerous ways, including face-to-face meetings, written responses, an online consultation survey and a consultation event attended by public and 3rd sector organisations and individuals.

Our 3rd Sector colleagues included:

- Cardiff Third Sector Council (C3SC)
- Race Equality First (REF)
- Gypsy & Traveller Wales
- Diverse Cymru
- Cardiff Deaf Club

In order to gather as many views as possible, our third sector colleagues also promoted the consultation to their own network members.

Our partners in the public sector:

- NHS
- Police
- South Wales Fire & Rescue

Our internal partners:

- Staff Networks
- Council Service Areas
- Cardiff Access Focus Group
- Cardiff 50+ Forum
- Trade Unions
- Ward Members

The following documents have also informed the revised SEP:

- The Wellbeing of Future Generations (Wales) Act 2015
- The Breaking the Barriers Conference Report
- Welsh Language (Wales) Measures 2011
- The Corporate Plan
- What Matters Strategy 2010 - 2020
- Cardiff's Ageing Well Local Delivery Plan 2016 / 17

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- How Fair is Wales 2011 ? Report
- Scrutiny Reports
- Human Resources Business Plan
- The Social Services & Well-being (Wales) Act 2014
- Housing (Wales) Act 2014

3 Assess Impact on the Protected Characteristics

3.1 Age

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive]** 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.

The SEP will have a positive impact for people of all Age groups. Objectives contained within the Plan will help address issues such as barriers to people achieving their full potential or participating in public life. In the first year, service areas will identify actions for inclusion in the SEP action plan.

The service area actions will be monitored on a quarterly basis to ensure progress is being made in achieving the goals set out.

The introduction of council-wide service user monitoring will provide the data the council needs to ensure its services are accessible and appropriate for people of all ages. Work will commence on service user monitoring in 2016. The Ageing Well Local Delivery Plan for Cardiff will also support our endeavours for social inclusion for older people.

The newly developed Day Opportunities Strategy for Older People aims to provide support for people with high care needs by delivering high quality specialist day services.

Equality Objectives 1 – 7 will help deliver a positive impact on people of all ages.

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

No negative differentials identified. The SEP Action Plan will introduce actions that will progress the principles of equality of opportunity for people of all ages. This document will be updated as progress is made on the SEP Action Plan.

By introducing a monitoring system to collect equality information, we will be able to measure the effectiveness of our Equality Objectives and the impact of the actions agreed to promote them.

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3.2 Disability

Will this Strategy have a differential impact [positive] 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.

The Strategic Equality Plan is intended to promote equality of opportunity for all the Protected Characteristics including Disability. By identifying improvement actions with service areas we will work to ensure our services are appropriate and relevant to Disabled people and to ensure they have the opportunity to participate in public life. Work is ongoing as a result of the Breaking the Barriers Report that was developed after an event was held to look at the barriers faced by Disabled people, the report sets out several recommendations for improving services.

The recently developed Day Opportunities Strategy for Older People and Disabled people aims to provide support for people with high care needs by delivering high quality specialist day services.

Equality Objectives 1 – 7 will help to deliver positive impacts for Disabled people.

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

No negative impact identified to date, any negative impacts identified during the course of the SEP will be reflected in this EIA and updated with improvement actions to mitigate any negative impacts on Disabled people.

By introducing a monitoring system to collect equality information, we will be able to measure the effectiveness of our Equality Objectives and the impact of actions agreed to promote them.

3.3 Gender Reassignment

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

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	Yes	No	N/A
Transgender People (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.

The SEP will have positive impacts on all the protected characteristics and the council will endeavour to meet the needs of Transgendered people in the delivery of its services. The council will respect and communicate with all Transgendered people as the gender they identify with.

Equality Awareness and Hate Crime training will be key for frontline staff so they are able to understand the needs and issues faced by Transgendered people.

Equality Objectives 1 - 7 will help to deliver positive impacts for Transgender people.

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

With the introduction of service user monitoring, the council will be able to commence gathering data around Gender Reassignment which will be then be used to identify any gaps in service provision or the need for specialist services.

3.4. Marriage and Civil Partnership

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive]** 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.

Whilst Marriage and Civil Partnership are regarded as a Protected Characteristic, the council is only required to ensure no-one is discriminated against on the grounds of their marital or civil partnership status.

The council is committed to eliminating discrimination of all types and will protect the rights of married people and those in Civil Partnerships.

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

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No negative impact identified. By promoting and mainstreaming the General Duties we will ensure equality of opportunity for all, regardless of marital or civil partnership status.

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.

The council will uphold and promote the general duty to eliminate discrimination and victimisation to anyone who is pregnant or who is in their maternity period. Equality Objectives 1, 4 & 5 will help address any barriers experienced on the grounds of pregnancy of maternity.

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

No negative impacts identified in relation to Pregnancy and Maternity

3.6 Race

Will this Policy/Strategy/Project//Procedure/Service/Function have a **differential impact [positive]** 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.

Improvement actions will be created to progress Community Cohesion amongst our local communities to enable the council to meet the General Duty and promote good relations between all people. The council values the diversity and skills that different

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communities have brought to Cardiff and will build on its work to promote equality of opportunity so everyone has the chance to achieve their full potential and participate in public life.

The newly developed council Hubs provide advice and signposting to appropriate council services and are also able to deliver services in various community languages. Actions created around objectives 1 – 7 will enable positive outcomes for people of all ethnicities, backgrounds and lifestyles.

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

With the introduction of service user monitoring, the council will be able to commence gathering national identity and ethnicity data which will be then be used to identify any gaps in service provision or the need for specialist services.

3.7 Religion, Belief or Non-Belief

Will this Strategy have a **differential impact [positive]** 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.

Cardiff is home to people of many Faiths and the council recognises the barriers faced by some individuals and communities as a result of their beliefs. The council respects and values the diversity of Faith groups that exist in Cardiff and equally respects those with no belief or faith.

The principles of the General Duty will be key in building good relations between people of different faiths and no faith and work is ongoing through the PREVENT and Community Cohesion agendas.

Improvement actions will be created to support this work eg. Training around Hate Incidents / Crime and Equality Awareness.

Equality Objectives 1,2,3,4,5, & 7 will enable the development of actions to support people of different Beliefs and Non Belief and build strong cohesive communities where difference is valued and people feel safe.

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What action(s) can you take to address the differential impact?
<p>Equality Awareness and Hate Crime training can help break the 'myths' and stereotyping surrounding faith- based communities. Actions will be created to eliminate discrimination and promote good relations between all people.</p> <p>With the introduction of service user monitoring, the council will be able to commence gathering data in relation to Belief and Non Belief to better understand the needs of the different faith communities and to help build robust relationships across the different faiths and local communities.</p>

3.8 Sex

Will this Policy/Strategy/Project/Procedure/Service/Function have a **differential impact [positive]** 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.
<p>The SEP will have a positive impact for both men and women. There are more women than men resident in Cardiff and the council will ensure that services are equally appropriate for both sexes. Objective 6 is around addressing pay gaps in the workforce between those with a protected characteristic which will assist with equal pay claims. Equality objectives 1 – 7 will enable the council to promote equality between men and women and take action where inequality exists.</p>
What action(s) can you take to address the differential impact?
<p>No negative impact identified to date. With the introduction of service user monitoring, the council will be able to commence gathering data which will be then be used to identify any gaps or inequalities in service provision between men and women.</p>

3.9 Sexual Orientation

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

	Yes	No	N/A
Bisexual	x		
Gay Men	x		
Gay Women/Lesbians	x		

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

The SEP is a vehicle for mainstreaming equality into the working practices of the council. The SEP is intended to have a positive impact on people of all sexual orientations and the principles of the General Duty will be key in eliminating discrimination and victimisation against people due their sexual orientation and promoting good relations between those who share a protected characteristic and those who do not.

Equality Objectives 1 – 7 will help promote equality of opportunity and support people to challenge unfair treatment on the grounds of sexual orientation

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

With the introduction of service user monitoring, the council will be able to commence gathering data around sexual orientation which will be then be used to identify any gaps in service provision or the need for specialist services.

3.10 Welsh Language

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

	Yes	No	N/A
Welsh Language	x		

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

The Welsh Language Measures require Local Authorities to treat the Welsh Language on an equal footing with the English Language. Monitoring of the Welsh Language across service areas is undertaken by Bilingual Cardiff. The Welsh Language is treated as a Protected Characteristic in Wales and Where a preference for communication in Welsh is requested, this should be recorded and provision made to accommodate the request.

Equality objectives 1,2,3,4 & 5 will help embed the Welsh Language into the daily work of the council giving Welsh Language speakers the opportunity to conduct council business in their preferred language.

CARDIFF COUNCIL

**Equality Impact Assessment
Corporate Assessment Template**

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

No negative impact identified in relation to the Welsh Language.
With the introduction of service user monitoring, the council will be able to commence gathering data on our Welsh speaking service users, this data will then be recorded so any future communication will be in the customers preferred language.

4. Consultation and Engagement

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

As stated above, a consultation period of 8 weeks was held, giving people an opportunity to have their say on the SEP and the Equality Objectives developed for the revised plan. An engagement event was held in City Hall at the beginning of December 2015 with attendees made up of a range of organisations and individuals.

This EIA is a living document that will develop alongside the revised Strategic Equality Plan for 2016 – 2020 and will be updated to reflect any agreed improvement actions.

Any negative impacts that are identified as the SEP progresses can be addressed and where possible improvement actions will be developed to counter any barriers to achieving the Equality Objectives.

A monitoring system is to be introduced to allow for the collection of equality data which will then be used to assess any gaps in service provision and provide ready data to inform the completion of future EIA's.

This means that we will have a clearer picture of our customers' needs which will enable the council in targeting resources to those who are most vulnerable.

We will endeavour to 'get back 'to those who participated in the consultation to inform them how we used their comments in relation to the SEP equality objectives and to thank them for their contributions.

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

Groups	Actions
Age	Improvement actions to be added
Disability	Improvement actions to be added
Gender Reassignment	Improvement actions to be added
Marriage & Civil Partnership	No improvement actions necessary
Pregnancy & Maternity	Improvement actions to be added

CARDIFF COUNCIL

Equality Impact Assessment Corporate Assessment Template

Race	Improvement actions to be added
Religion/Belief	Improvement actions to be added
Sex	Improvement actions to be added
Sexual Orientation	Improvement actions to be added
Welsh Language	Improvement actions to be added
Generic Over-Arching [applicable to all the above groups]	Revisit this EIA to update any improvement actions created to meet each objective and to measure progress on an annual basis.

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 : Caryle Alleyne	Date:05.02.16
Designation: Equality Officer	
Approved By: Paul Keeping	
Designation: Operational Manager	
Service Area: Governance & Legal Services	

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

CITY AND COUNTY OF CARDIFF
DINAS A SIR CAERDYDD

POLICY REVIEW & PERFORMANCE
SCRUTINY COMMITTEE

8 March 2016

CORRESPONDENCE – INFORMATION REPORT

Background

1. Following Scrutiny Committee meetings, the Chair writes a letter to the relevant Cabinet Member or senior officer, summing up the Committee's comments, concerns and recommendations regarding the issues considered during that meeting. The Committee are routinely offered an opportunity to comment on a draft of the letter before it is forwarded to the Cabinet Member. The letter usually asks for a response from the Cabinet Member to any recommendations made, and sometimes requests further information.

Issues

2. A copy of the ***Correspondence Monitoring Sheet*** detailing the Committee's correspondence, and analysing responses received since the January meeting, is attached at **Appendix 1**. Also attached to this report are copies of all relevant correspondence referred to in the monitoring sheet. For quick reference see table below.
- 3.

Committee	Scrutiny	Appendix
17 February 2016	Corporate Plan 2016-18 & Budget proposals 2016-17	Letter : 2a Response: 2b
12 January 2016	Partnership scrutiny: What Matters – 2015 Review	Letter: 3a Response: 3b
	Corporate Plan 2016-18	Letter : 4a Response: not required
1 December 2015	ADM governance	Letter: 5a Response: 5b
5 November 2015	Non Operational Investment Property	Letter: 6a Response: 6b

Legal Implications

3. 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 any modifications. 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 powers 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. Scrutiny Procedure Rules; (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.

Financial Implications

4. 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. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

Recommendation

The Committee is recommended to note the content of this report and appendices, and decide whether it wishes to take any further actions, or request any further information.

DAVID MARR
Interim Monitoring Officer
2 March 2016

Policy Review and Performance Scrutiny Committee

Correspondence update 2015 - 16

Committee date & topic	Recipient	Comments/Information requested	Response received	Response	Future Action
17 February 2016 Corporate Plan 16/18 & Budget Proposals 17/18	Cllr Bale	<i>See Appendix 2a</i>	25.2.16	<i>See Appendix 2b</i>	
12 January 2016 Cardiff Partnership Board – What Matters Review	Cllr Bale	<p>The Committee:</p> <ul style="list-style-type: none"> • Will programme scrutiny of the What Matters Action Plan in line with the Boards indication that the Plan will be produced by April 2016; • Would be grateful for a briefing on what the CPB will be addressing over the next 5 years in advance of scrutinising the Action Plan; 	27.1.16	<ul style="list-style-type: none"> • Action Plan will be developed by April 2016 following stakeholder discussions and Partnership would welcome opportunity to discuss further. • Annual Reports (published summer 2015) set out achievements in terms of outcomes for citizens and performance measures. They have been circulated to all Members and available on the CPB website. Quarterly reports submitted to Welsh 	

		<ul style="list-style-type: none"> • Would be grateful for more detail, and costs to the Council of supporting the work of the CPB; • Would be grateful to have sight of the Board's consultation/stakeholder plan. • Will seek to clarify future governance arrangements in 		<p>Government. Milestones for each of the Programmes on the CPB website.</p> <ul style="list-style-type: none"> • See letter at xx for detail and list of tasks supported. Core secretariat consists of 0.3 of an Operational Manager, 3.5 FTE and 7 Neighbourhood Partnership at a total cost to the Council of £375,500 (inc on-costs). Compared with 36.3 FTE at a cost of £1,338,510 five years ago in 2011. • The Board does not have a stand alone consultation plan, but through the Joint Communications Group makes use of existing established mechanisms and identifies opportunities for joint working. • Happy to discuss potential ideas once the Committee 	
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Correspondence Monitoring Sheet

Appendix 1

		discussion with all scrutiny committee chairs, Cabinet and the CPB.		has developed proposals.	
12 January 2016 Corporate Plan 16/18	Cllr Bale	<p>The Committee:</p> <ul style="list-style-type: none"> • Considers the Draft 2016-18 Corporate Plan is a considerable improvement on last year's Plan • Commitments (P28) should be ordered in line with Measures (P29); • Requests reflection on the use of '<i>drawbacks</i>' in the Leader's foreword on page 3; • Requests the inclusion of targets and outcomes of the previous, current, and forthcoming years, illustrating a three year 	Not requested		

Correspondence Monitoring Sheet

Appendix 1

		trend.			
1 December 2015	Cllr Derbyshire	<p>The Committee:</p> <ul style="list-style-type: none"> • Recommends that the Council takes external advice as to Member involvement in the Board; • Endorses your suggestion that the nominated Member(s) should be non-executive Councillors; • Endorses your view that the nominated Member(s) should ideally have business skills and expertise; and therefore; • Considers it appropriate to adopt a competitive process to ensure the right 	13. 1. 16	<ul style="list-style-type: none"> • Confirm People Too representatives have been working closely with the in-house team to develop and transfer expertise as are Bevan Brittan regarding the provision of legal services. • Welcome • Agree • Agree there should be an open and fair process to appoint nominated Members. 	

		<p>appointment(s).</p> <ul style="list-style-type: none"> • Wishes to scrutinise the final contract should the Council decide to go ahead; • Will be seeking your co-operation to engage with the Transition Board in monitoring the progress of matters that fall within our Terms of Reference; • Will be grateful to have sight of the list of SME's with whom services under consideration for transfer to the new Company are currently working. 		<ul style="list-style-type: none"> • Will be happy to present proposals to Scrutiny Committees regarding the Council's contract with the Wholly Owned Company if it is decided that this is the preferred way forward for the Council. • Confirm scrutiny will have an opportunity to engage with Transition Board at the appropriate time. • A list of the SME's currently working for the services within scope of the project will be collated and forwarded in the next couple of weeks. 	
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<p>5 November 2015</p> <p>Non Operational Investment Property Estate</p>		<p>The Committee :</p> <ul style="list-style-type: none"> • highlight the risk to income of disposing of capital assets; • Note the key principles, that where the Council sells a non operational property the proceeds will be ring fenced to remodel existing properties, or purchase new properties with the potential to generate higher rents; • Reassured that all Council owned buildings with a community value will be retained within the Operational Estate. • Acknowledge accountability for decisions taken by the Board will sit with professional officers advised by commercial advisers, reporting to you, with an annual report of its activities included in the Council's 	<p>18.2.16</p>	<ul style="list-style-type: none"> • The strategy is focussed on generating increased revenue and poor yielding properties will certainly be considered for disposal. However, we will also look to capitalise on opportunities that may arise out of redevelopment schemes where the City Council can share in the development value. 	
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		<p>Asset Management Plan programmed for Cabinet consideration.,</p> <ul style="list-style-type: none"> • Will be interested in the performance of the Board in maximising income from the Council's estate. • Expect to have sight of an annual cash flow statement that details all sources and allocation of funding on Non Operational Property. • Seeking reassurance that an ethical and community focussed framework for investment has been implemented, • Will be looking for a fuller 		<ul style="list-style-type: none"> • In addition to regular updates that will be provided to Cabinet, the investment board would also be pleased to provide an annual report to the Policy Review & Performance Committee together with a cash flow statement. The annual report is expected to be available in May this year. 	
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		<p>explanation of how the new Investment Estate Board is identifying new assets.</p> <ul style="list-style-type: none"> • Will consider disposal case examples from the list of investment properties, to reassure itself that the framework is being adhered to. • Feels it is important to preserve the quality of the public realm in prominent locations. It urges that all opportunities for the Council to control development on such sites the Board decides to sell seek to prevent over development with bland options. • Feels Cardiff is short of hotel space, and when you consider selling such property would urge you to preserve some control over 		<ul style="list-style-type: none"> • The investment board will seek to retain an element of control over sites where it is practical to do so, however in regard to the issues you raise relating to over development and design quality, this will predominantly be controlled through the planning process. In this context we would expect all new development to adhere to the city's new Liveable City Design Guide, and we will also ensure that in regard to the disposal of City Council assets ethical considerations will be part of the process to ensure that 	
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		<p>the site's future use.</p> <ul style="list-style-type: none"> • Fully endorses the retention of some public houses for income purposes, and others for community benefit. • Timescales for implementation remain unclear. 		<p>assets are not used inappropriately in the future, or counter to community considerations.</p> <ul style="list-style-type: none"> • In regard to your concerns relating to timescales for implementation, we are currently undertaking a procurement process to enable us to appoint an advisor to sit on the board. Following this we will then commence the analysis of each category of property. 	
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Date: 18 February 2016

Councillor Phil Bale
Leader
City of Cardiff Council
County Hall
Cardiff
CF10 4UW



Dear Councillor Bale

Policy Review & Performance Scrutiny Committee: 17 February 2016.

On behalf of the Policy Review and Performance Scrutiny Committee sincere thanks for attending Committee yesterday together with Councillors Hinchey and De'Ath to facilitate consideration of the draft Corporate Plan 2016-18 and the draft Budget Proposals 2016-17. The Committee is grateful for your time, and for the co-operation of all Directors and officers in attendance to answer Members' questions. This letter captures the observations and concerns of the Committee in a structure that reflects the Committee proceedings. Firstly, comments on the Corporate Plan, secondly on the overarching budget position, followed by comments on the budget proposals of the specific service areas that fall within the terms of reference of this Committee.

Draft Corporate Plan 2016-18

The Committee wishes to re-iterate that it feels the draft 2016-18 Corporate Plan is a considerable improvement on previous Plans, and thank you for making the final draft Corporate Plan available to all Scrutiny Committees in a timely manner. This has ensured proportionate scrutiny of the Council's key strategic planning document alongside budget proposals. There are a few opportunities for improvement of this final draft that Members wish to record as follows:

- Members wish to endorse an issue highlighted by the Community and Adult Services Scrutiny Committee, that the Measuring Progress sections within the Plan could be improved. Specifically, we wish to highlight the potential to refine the read across between the Plan and Appendix 1 in respect of the number of Measures associated with objectives.
- Within the Delivering Our Vision section of the Plan (page 6) we urge that you include an explanatory note that details the links between the 'Well-Being Goals', 'Cardiff Outcomes' and 'Council Priorities'.

Overarching Budget Proposals 2016-17

The Committee notes that you consider there has been a good response to the consultation exercise, and that this year the approach to Member briefings has been more open and inclusive. We welcome the greater openness, and an apparently more rigorous budget setting process, and will test this via budget monitoring later in the year.

The Members were interested to hear from Unison that they have some concerns around the reflectiveness of the Council's workforce of the communities it serves. We note Councillor Hinchey will write separately to the Union on this matter. Members wish to follow up the concerns highlighted and will consider taking a look at the changing composition of staff over time. The Committee will address this during its future work programming for 2016/17.

The Committee wishes to express concern at the evident internal cost inflation and its impact on the savings made over time. Members accept that the real challenge is the moral obligation faced by a public service. The Committee feels there are green shoots of progress in savings made and note the Council is more business like, having reviewed many HR policies and specifically improved in areas such as sickness absence and agency costs. Members note that many services delivered by the Council are non regulatory but important for moving Cardiff forward, and therefore commend the lobbying of Welsh Government to ensure continuing progress for the City and many service areas.

In respect of the Changes for Cardiff budget consultation Members have some concerns around the presentation of results across methodologies of research, and whether consequently results are skewed. They are therefore pleased that the results of the budget consultation are considered just one source of information in the decision making process. However, Members would like to see caveats to the methodology highlighted more strongly in the report.

The Committee is seeking further assurance of the detailed planning behind risk assessments. Members understand the Council cannot eliminate risk and are pleased that the results of previous budget setting exercises have informed this year's risk assessments. They note that overall the administration will aim for 90% of detailed risk plans to be in place by April 2016. Members are assured that the methodological approach to risk assessment is uniform across Council Directorates, and are pleased to hear that all risk assessments are moderated by the finance team.

Members feel reassured that the overall balance of schools budgets will not worsen despite the Council increasing schools budgets, having heard that some external

schools grants would be cut. The Committee notes that the majority of capital receipts are schools related.

Corporate Management Proposals

Line 65: Corporate initiative efficiencies, reduction in the amount available to support events and market the city. The Committee is concerned as to whether service area budgets have planned for a decrease in budget support for marketing the City, and note that the Communications and Media team will aim to offset these savings with a digital media strategy. Members note your confidence that the contingency pot for events is sufficient, although there is no reserve funding for events. Members wish to point out that for events the calibre of the Champions League Final the Council will often be required to provide match funding. We also note that big events in the City are now required to be cost neutral.

Economic Development Proposals

Lines 72 and 82: In relation to proposals to increase rental income from the Council's property estate the Committee notes the proposals are based on current occupier levels. They accept that independent advice points to the importance of re-investing to maintain and improve the existing estate to preserve future rental income.

The Committee recognises the change in the Council's Economic Development role compared with fifteen years ago, and that the intervention of Welsh Government means that our role is in facilitating activity, enabling the private sector to deliver projects that add value and improve Cardiff's offer.

The Committee feels it has an important role in overseeing the appropriate use of land and buildings across the City, taking account of communities versus commercialism, and will seek to regularly monitor progress in its work programming.

Governance & Legal Services Proposals

Line 96: The Committee wishes to endorse the Director of Governance and Legal Services' comment that the 2015/16 output of the scrutiny function has been significant despite two vacant scrutiny research posts. Members agree that the Council's five scrutiny committees benefit from having individual support, and recognise the commitment within the service. However, they feel the research function has been stripped to the bone.

Members noted that the reduction in two vacant posts has not been recorded in the Employee Implications of the Budget report. They take on board your explanation for

this, that additional financial pressure funding has been allocated to scrutiny on the basis that the service will be subject to a review during the year.

Line 97: The Committee is pleased that the Council will be saving money with the in-house provision of Welsh language translation at council meetings.

Line 99: Members note the risk attached to the proposed 15% increase in land charges given the existence of private agents delivering a similar service, but feel this is reasonable as the quality of reports delivered by the Council is considered notably better.

Resources Proposals

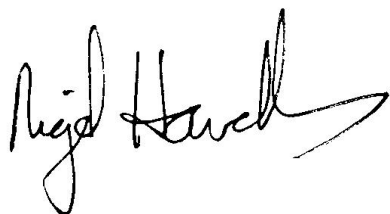
Line 118: Members note your explanation that the uncertainty around the Alternative Delivery Model explains why line 118, ADM Security and Cleaning, is a Red risk.

Line 104: In light of recent negative publicity Members are seeking assurance that the Council is adequately covered with current levels of audit support. They note that benefit fraud has recently been moved from the Council to the DWP; the posts lost are not pure audit staff; the Audit Committee has considered the proposal; and the audit manager is comfortable that with current resources he can still provide assurance to the section 151 officer.

In respect of the Capital budget Members note your confidence that the allocation of investment in ICT is adequate to support the proposed new ways of delivering council services currently under development.

Finally could I ask that you relay our comments and observations to Cabinet when it considers the Corporate Plan 2016-18 and Budget Proposals 2016/17 tomorrow. Once again please pass on my thanks to all Cabinet Members and witnesses who attended for consideration of these fundamental Council documents.

Yours sincerely



**COUNCILLOR NIGEL HOWELLS
CHAIR, POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE**

cc Councillor Hinchey,
Councillor De'Ath
Paul Orders, Chief Executive
Christine Salter, Section 151 Officer
Philip Lenz, Chief Human Resources Officer
Gareth Newell, Head of Cabinet Office
Edward Janes, Principal Research and Consultation Officer
Ian Allwood, Head of Finance
Neil Hanratty, Director of Economic Development
Helen Jones, Head of Property
Marie Rosenthal, Director of Governance & Legal Services
Claire Deguara, Cabinet Support Office
Members of the Policy Review & Performance Scrutiny Committee
Chairs of Scrutiny Committees



Fy Nghyf / My Ref: CM33641

Eich Cyf / Your Ref: Scrutiny/Correspondence/Cllr Howells

Dyddiad / Date: [25 February 2016]

Nigel Howells
Cardiff County Council
Atlantic Wharf
Cardiff
CF10 4UW

Annwyl / Dear Councillor Howells

RE: Policy Review and Performance Scrutiny Committee – Corporate Plan and Draft Cabinet Budget Proposals – 17 February 2016

Thank you for your letter of the 18 February 2016 in respect of your scrutiny of the Corporate Plan and budget proposals.

This response to your letter relates to multiple cabinet portfolios and directorates and has been written in consultation with all Cabinet Members and Directors that have responsibility for the relevant functions.

The following paragraphs set out responses to your specific points raised.

Draft Corporate Plan

With regard to the Committee's suggested opportunities for improvement to the draft Corporate Plan 2016-18, I can confirm that the 'Key Terms' section on page 10 of the Plan has been amended to clarify the difference in the measures contained in the main body of the Plan and those in Appendix A. I can further confirm that page 6 of the Corporate Plan has been amended to include a new table and additional wording to help explain and clarify the links between the national 'Well-Being Goals' contained in the Well-being of Future Generations (Wales) Act 2015; the 7 'Cardiff Outcomes' contained in the What Matters strategy; the 4 'Council Priorities' and the specific 'Improvement Objectives' contained in the Plan.

ATEBWCH I / PLEASE REPLY TO:

Swyddfa'r Arweinydd, Ystafell 525, Neuadd y Sir, Glanfa'r Iwerydd, Caerdydd CF10 4UW
Ffôn (029) 2087 2500 Ffacs (029) 2087 2599

Office of the Leader, Room 525, County Hall, Atlantic Wharf, Cardiff CF10 4UW
Tel (029) 2087 2500 Fax (029) 2087 2599



Economic Development

With regard to lines 72 and 82 the Directorate will be happy to present updates on the use of land and buildings across the city to the Policy Review and Performance Scrutiny Committee on an annual basis to provide assurances that we are doing so in a way which balances the financial pressures faced by the Council with community interests.

Governance and Legal Services

Thank you for your constructive comments in relation to the Governance and Legal Services Proposals. We will ensure that sufficient resources remain available to support the work of the scrutiny committees. We will also closely monitor the impact of the local land charge fee increases.

Corporate Management Proposals

I note the Committee's concerns regarding the availability of funding to support events and market the city. I am of the opinion however that sufficient resources will be available but will keep this under review.

Resources Proposals

As the Committee letter notes, explanations in relation to the specific areas raised were provided at the meeting. I note your comments in respect of Audit resources and will keep the matters under review. The budget report does highlight this as a risk in terms of reduction in headcount and potential impact on financial controls. I understand that the allocations of investment in ICT are adequate to support the proposed new ways of working currently under development.

I hope that this letter captures all the points raised in your letter and thank you again for your support in the budget process

Yn gywir,
Yours sincerely,



**CYNGHORYDD / COUNCILLOR PHIL BALE
ARWEINYDD, CYNGOR DINAS CAERDYDD
LEADER, THE CITY OF CARDIFF COUNCIL**

Date: 18 January 2016

Councillor Phil Bale
Council Leader,
Cardiff Council,
County Hall
Cardiff
CF10 4UW



County Hall
Cardiff,
CF10 4UW
Tel: (029) 2087 2087

Neuadd y Sir
Caerdydd,
CF10 4UW
Ffôn: (029) 2087 2088

Dear Councillor Bale,

**Policy Review & Performance Scrutiny Committee: 12 January 2016
Cardiff Partnership Board, What Matters Review 2015.**

The Policy Review & Performance Scrutiny Committee has asked that as Chair I thank you, and representatives of the Cardiff Partnership Board (CPB), for your recent attendance at Committee for consideration of the What Matters Review 2015. Members have asked me to advise you of their comments and observations for the Board's consideration at its forthcoming meeting.

Following this timely scrutiny against the national policy context for partnership working, the Committee recognises the benefits of the CPB as a platform for addressing big issues within the City, such as inequality and the challenge of changing behaviours. Members accept your assurance that external regulators recognise the quality of the Council's partnership work; however note that partners consider there is way to go on the journey. The Committee feels some of the responses were a little defensive and lacked a clarity that would enable it to take an assured view on the achievements of the Board to date.

The Committee acknowledges What Matters is the overarching strategic plan from which priorities within the Council's Corporate Plan, Cardiff Liveable City document, and Directorate Delivery Plans flow. However it feels scrutiny of the Action Plan that breathes life into What Matters will facilitate a more satisfying scrutiny of the Board's activities, and will therefore programme scrutiny in line with your indication that the Plan will be produced by April 2016.

Members are looking for evidence of outcomes that are a direct result of the CPB's existence. We therefore note the significant achievement that the Board has secured a common, consistent connection between the Corporate Plans of all partners, without which work could not begin. Members recognise that the first five years have delivered secure partner relationships that will be key to resolving disagreements that might arise amongst partners as they tackle the difficult issues.

Clearly those relationships have resulted in a preparedness to share data. However Members have no mechanism for measuring whether those outcomes are what was expected, and were disappointed that the presentation lacked a focus on achievements to date, and evidence of how the Board measures its own achievements.

Specifically the Committee is requesting greater clarity of what the CPB is currently working on, and feels What Matters 2015 would benefit from a higher profile of the outcomes for citizens resulting from the work of the Board. Members look forward to greater detail of what the CPB will be addressing over the next 5 years.

The Committee values the improvement in understanding, the development of neighbourhood profiles, and the benefit of an overarching needs assessment, made possible by partners sharing data. They note that both the Social Services and Well-being Act 2014, and the Well-being of Future Generations Act 2015, require needs assessments. Members wish to endorse the Board's representation to Welsh Government to ensure needs assessments, and other data set developments, are shared to avoid duplication of effort, and one set of outcomes produced.

The Committee was pleased to hear that the Chief Executive considers there are conversations to have around how the Council resources its statutory partnership and scrutiny responsibilities, introduced by the Well-being of Future Generations Act 2015. We acknowledge that partners bring different skills and approaches to delivering partnership work and note that our health partner has tried to embed rather than isolate partnership roles making it difficult to quantify and compare contributions. We also note that Welsh Government has recently removed some funding for partnership work. Taking all this into consideration there is clearly a cost to supporting the work of the CPB, on which we would like more clarification than you were able to provide at the meeting. You suggested the Council provides a small

core secretariat to the Board, which consists of a proportion of the Operational Manager's role, and one and a half neighbourhood support officers. We would be grateful if you would provide us with more detail, and costings.

Members are pleased to hear that through the Cardiff Third Sector Council partner the Board is engaging effectively with eight hundred organisations, but wish to stress the importance of engaging with the most vulnerable through networks and social media when relaunching What Matters. We would therefore be grateful to have sight of the Board's consultation/stakeholder plan.

The Committee feels it is important that the commitment the Council and its partners apply to the CPB has an impact on the end service user experience. We are pleased the Board considers services are now better designed around individuals, and note the examples that health clusters around neighbourhoods are based on critical information derived from the needs assessment; the redesign of frontline service specifications around child mental health using intelligence shared by other partners; and the improved neighbourhood involvement with Members and hard to reach groups. We therefore concur with partners that there is scope for further improvement in service integration.

Whilst the Committee is unconvinced that it is clear to the ordinary citizen which partner is responsible for which service, Members are interested that in no other part of Wales are all key service partners brought together to focus on such small neighbourhood areas. We acknowledge that the police service considers the neighbourhood structure enables them to be more responsive in dealing with issues such as the night time economy.

The Committee is keen to ensure greater collective transparency and accountability around the decision-making processes that involve all partners, for the benefit of the citizen. Whilst you assure Members that there are currently arrangements in place for the CPB to scrutinise its own operations, and to provide quarterly and annual reports to Welsh Government, with the temporary decommissioning of the LSB Scrutiny Panel we consider there is a need for Cabinet, CPB, and Scrutiny to consider how best to meet the requirements of forthcoming legislation.

The Committee agrees that successful partnership working means partners must be held collectively to account and cannot use strategic level decision making to pass responsibility onto one partner. Partnership rather than individual accountability must be retained. Members feel it is important that the level of scrutiny of partnership work is proportionate to the responsibility vested in the CPB. Therefore as you indicated you are open to suggestions as to how the Board can improve its accountability arrangements we will seek to clarify arrangements in discussion with all scrutiny committee chairs, yourself and the Board.

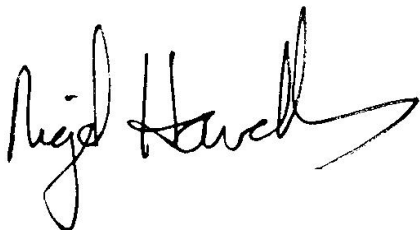
The Committee will encourage all scrutiny committees to undertake deep dives relevant to their Terms of Reference into the What Matters work streams and wish to commission desk based secondary research that enables it to take an informed overview of how best to firm up governance arrangements going forward.

To recap, the Committee:

- Will programme scrutiny of the What Matters Action Plan in line with your indication that the Plan will be produced by April 2016;
- Would be grateful for a briefing on what the CPB will be addressing over the next 5 years in advance of scrutinising the Action Plan;
- Would be grateful if you would provide us with more detail, and costs to the Council of supporting the work of the CPB;
- Would be grateful to have sight of the Board's consultation/stakeholder plan.
- Will seek to clarify future governance arrangements in discussion with all scrutiny committee chairs, Cabinet and the CPB.

Once again many thanks for your engagement with the Committee on this matter. As the Council's Committee with designated responsibility for overarching scrutiny of the Board I look forward to welcoming you on a regular basis in the future. The Committee would be grateful for a formal response to this letter.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Nigel Howells', with a stylized flourish at the end.

COUNCILLOR NIGEL HOWELLS
CHAIR, POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE

cc

Members of the Policy Review & Performance Scrutiny Committee;
Paul Orders, Chief Executive;
Sarah McGill, Director Communities, Housing & Customer Services;
Rachel Jones, Policy, Partnerships and Citizen Focus Manager for Cardiff;
Sharon Hopkins, Executive Director of Public Health, Cardiff & Vale UHB;
Sheila Hendrickson Brown, Chief Officer, Cardiff Third Sector Council;
Superintendent Steve Jones, South Wales Police;
Gareth Newell, Head of the Cabinet Office;
Joanne Watkins, Cabinet Business Manager.

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Fy Nghyf / My Ref: CM33265

Eich Cyf / Your Ref:

Dyddiad / Date: 27th January 2016

Councillor Nigel Howells
City of Cardiff Council
Atlantic Wharf
Cardiff
CF10 4UW

Annwyl / Dear Nigel

PRAP 12 January 2016 - What Matters Review

Thank you for your letter of 18th January 2016, which was also discussed at the meeting of the Cardiff Partnership Board on the same day.

Partners were a little surprised to note the observation that the Committee felt that some of the responses were defensive and lacked clarity as those attending did not share this view. There is a wealth of information and reports publically available on the work of the Cardiff Partnership and the Board would be happy share any further information as requested by the Committee.

As highlighted during the meeting, the Action Plan, which will sit below the What Matters Strategy, will be developed by April 2016 following stakeholder discussions and the Partnership would welcome the opportunity to discuss this further once it has been finalised.

Regarding the achievements to date of the Cardiff Partnership, Annual Reports have been produced since the publication of What Matters (the last one being Summer 2015) which clearly set out achievements both in terms of outcomes for citizens and performance measures. These reports have been circulated to all Council Members and are publically available on the Cardiff Partnership website. In addition, these reports, along with quarterly progress reports, are submitted to Welsh Government for review as part of our reporting requirements. Information around milestones for each of the Programmes is also readily available on the Cardiff Partnership website.

ATEBWCH I / PLEASE REPLY TO:

Swyddfa'r Arweinydd, Ystafell 525, Neuadd y Sir, Glanfa'r Iwerydd, Caerdydd CF10 4UW
Ffôn (029) 2087 2500 Ffacs (029) 2087 2599

Office of the Leader, Room 525, County Hall, Atlantic Wharf, Cardiff CF10 4UW
Tel (029) 2087 2500 Fax (029) 2087 2599



In relation to costs to provide the core secretariat for the Partnership, it would no doubt be helpful to committee to clarify that these relate to:

- servicing the meetings (eg preparing agendas, papers and minutes);
- undertaking the annual review;
- undertaking the strategic needs assessment
- preparing programme and neighbourhood intelligence reports
- providing policy support and responses on statutory partnership agendas such as community safety; children and young people and poverty;
- providing co-ordination of the partnership programmes and quarterly performance reporting;
- maintaining the Cardiff Partnership website;
- undertaking stakeholder engagement; and
- progressing some partnership initiatives agreed by the Board.

The support to provide this consists of approximately 0.3 FTE of the Operational Manager's role and approximately 2.5 FTE policy and performance support and 1 FTE partnership analyst function. The approximate cost to the Council for providing the statutory partnership secretariat is £143,800 (including on-costs). In addition there are six Neighbourhood Partnership Officers and a Neighbourhood Co-ordinator at a cost of £231,7000 (including on costs). This resource should be compared back to the resource in existence in 2011 which, as part of a review undertaken at the time, identified 36.3 FTE posts at a cost of £1,338,510.

The Cardiff Third Sector Council, by its very nature, already works with vulnerable groups and through its established networks and will continue to do so going forward. Social media has also played an increasing role in promoting the work of the partnership and content is regularly communicated via the City Council, South Wales Police, C3SC, Communities First, Cardiff Debate and other partner twitter accounts and Facebook pages. The Board does not have a stand alone consultation plan but, through the Joint Communications group, makes use of existing established mechanisms depending on the particular issue and also identifies opportunities for joint working (e.g. as in the case of the social media campaign for the Public Services Day in June 2015).

The Cardiff Partnership is happy to discuss potential ideas for the scrutiny of partnership working in the future, once the Committee has developed proposals for this to be undertaken.

Yn gywir,
Yours sincerely,



**CYNGHORYDD / COUNCILLOR PHIL BALE
ARWEINYDD, CYNGOR DINAS CAERDYDD
LEADER, THE CITY OF CARDIFF COUNCIL**

Date: 20 January 2016

Councillor Phil Bale
Council Leader,
Cardiff Council,
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Dear Councillor Bale,

**Policy Review & Performance Scrutiny Committee: 12 January 2016
Corporate Plan 2016-18.**

Thank you for your recent attendance at Committee to seek the Committee's views regarding the refreshed Corporate Plan 2016-18. Members were delighted to have an early opportunity to help inform development of the Plan, and have asked me to advise you of their comments and observations.

The Committee feels the draft 2016-18 Corporate Plan is a considerable improvement on last year's Plan, which it was heavily involved in redesigning. As this document is effectively the Council's improvement plan, we look forward to scrutinising the proposed budget 2016/17 that supports it, and will be looking to ensure the budget lines do not dilute the aspirations of the Corporate Plan. Members acknowledge that this is a live document, and are most grateful that you have made it clear that the Committee's observations are welcome.

Members wish to offer the following specific suggestions they feel would strengthen the document:

- Pages 28 and 29 - we suggest ordering 'Commitments' (P28) in line with 'Measures' would improve readability.
- Page 3 Foreword by the Leader. Paragraph 2 '*benefits of a big City, but none of the drawbacks*'. Members would like you to reflect on the use of '*drawbacks*'.

The Committee is concerned that the draft report does not contain benchmarks that will enable it to monitor whether 2015/16 targets have been achieved. They note your reassurance that, as previously requested by this Committee, there will be key

council targets added to the document and additional information in the appendices. They also note your explanation that targets will be set when Quarter 3 results become available. However, additional to this information, they feel a significant improvement to the Plan would be the inclusion of targets and outcomes of the previous, current, and forthcoming years, culminating in a three year trend. They are therefore delighted that you agreed to look into this.

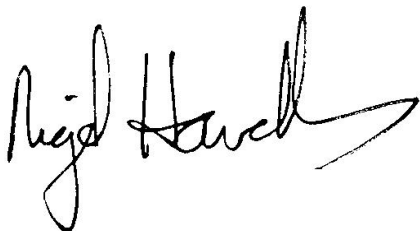
Taking into account the hierarchy of business planning documents, where the *Corporate Plan* is silent on Council specific tasks set out in the overarching *What Matters* partnership strategy, Members are reassured to hear these will be picked up in the relevant *Directorate Delivery Plans*. Members agree that adopting a more focussed Corporate Plan could blot out some aspirations and are pleased to note any gaps are captured in the Core Business section of the Corporate Plan.

To recap, when the final draft Corporate Plan 2016-18 is presented to Committee, we will be looking for:

- Commitments (P28) ordered in line with Measures (P29);
- Reflection on the use of 'drawbacks' in the Leader's foreword on page 3;
- The inclusion of targets and outcomes of the previous, current, and forthcoming years, illustrating a three year trend.

We look forward to the final draft Corporate Plan being made available in time for all Scrutiny Committees to ensure proportionate scrutiny of the Council's key strategic planning document alongside budget proposals. Once again many thanks for your engagement with the Committee on this matter. We will not require a formal response to this letter as a further opportunity to re-consider the final draft Plan alongside the budget proposals is programmed for 17 February 2016.

Yours sincerely,



COUNCILLOR NIGEL HOWELLS
Chair, Policy Review and Performance Scrutiny Committee

cc

Members of the Policy Review & Performance Scrutiny Committee;
Paul Orders, Chief Executive;
Gareth Newell, Head of the Cabinet Office;
Joanne Watkins, Cabinet Business Manager.

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Date: 8 December 2015

Councillor Bob Derbyshire
Cabinet Member, Environment,
Cardiff Council,
County Hall
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Tel: (029) 2087 2087

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Dear Councillor Derbyshire,

Policy Review & Performance Scrutiny Committee: 1 December 2015
ADM Governance – Infrastructure Services Governance Options

Please accept my sincere thanks on behalf of the Committee for attending the Policy Review and Performance Scrutiny Committee to facilitate consideration of the ADM Governance options. Please also pass the Committee's thanks to your officers who supported the scrutiny. Members of the Committee have asked me to pass on the following observations and recommendations following their discussion at the Way Forward.

The Committee notes you were keen to discuss the potential governance arrangements of an arms length company to deliver essential Council services, and is pleased you afforded Members the opportunity to contribute their views on developing proposals in a timely fashion. As you are aware we will join with the Environment Committee to scrutinise the Full Business Case, and should the Council decide to go ahead this Committee also wishes to factor scrutiny of the final contract into its future work programme.

We note the Council has commissioned external legal expertise in preparing this report, and wish to endorse the approach taken by the appointed company, *Bevan Britton*, to work *with* the in house legal team in developing its own internal expertise. We also note that the Council has commissioned external commercial advice from *Peopletoo* and, having heard how important it will be that Board Members and budget holders develop commercial acumen, we would urge that this company takes a similar approach.

To ensure tight control on the Company the Committee wishes to highlight the importance of adhering both to the Companies Act and the Council's governance requirements. We feel that it will be critical to have appropriate accounting procedures and standing orders in place for the new company. We acknowledge that the finance director will be employed by the company and answerable to its Board. Balancing the need for Council control, the Committee also wishes to caution against hampering the Company by putting in place too many reserved powers.

The Committee notes that Member and officer Board Member roles would be one and the same, and feels there needs to be clarity around the Member-Officer relationship. We note with caution your suggestion that in the longer term the Board might have little Member representation and welcome the opportunity to offer our view on this matter.

The Committee:

- Recommends that the Council takes external advice as to Member involvement in the Board;
- Endorses your suggestion that the nominated Member(s) should be non-executive Councillors;
- Endorses your view that the nominated Member(s) should ideally have business skills and expertise; and therefore;
- Considers it appropriate to adopt a competitive process to ensure the right appointment(s).

We understand that, should the proposals be accepted, the scale of the operation will require a Transition Board to be put in place. We will be seeking your co-operation for this Committee to engage with the Transition Board in monitoring the progress of matters that fall within our Terms of Reference, as the Board introduces new arrangements that impact on the finances and staff of the Council.

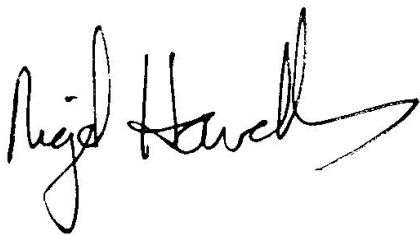
Finally, the Committee wishes to ensure that the new operating arrangements maintain the existing Council ethos of working with SME's. In this respect we would be grateful to have sight of the list of SME's with whom services under consideration for transfer to the new Company are currently working.

To recap, the Committee:

- wishes to scrutinise the final contract should the Council decide to go ahead;
- will be seeking your co-operation to engage with the Transition Board in monitoring the progress of matters that fall within our Terms of Reference;
- will be grateful to have sight of the list of SME's with whom services under consideration for transfer to the new Company are currently working.

Once again on behalf of the Committee, please pass my thanks to all who attended PRAP Scrutiny Committee to brief Members on the proposals for the governance of an arms length company to deliver many of the Council's front facing services. I look forward to scrutinising the Full Business Case together with the Environment Scrutiny Committee in due course.

Yours sincerely,



COUNCILLOR NIGEL HOWELLS
CHAIR, POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE

cc

Members of the Policy Review & Performance Scrutiny Committee;
Marie Rosenthal, Director Governance & Legal Services;
Tara King, Assistant Director Environment
Gareth Newell, Head of the Cabinet Office;
Joanne Watkins, Cabinet Business Manager;

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**SWYDDFA CYMORTH Y CABINET
CABINET SUPPORT OFFICE**

Fy Nghyf / My Ref : CM32975
Eich Cyf / Your Ref :
Dyddiad / Date: 13th January 2016



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Councillor Nigel Howells
Chairperson Policy Review and Performance Committee
Cardiff County Council
Atlantic Wharf
Cardiff
CF10 4UW

Annwyl / Dear Nigel

**Policy Review & Performance Committee 1 December 2015
ADM Governance - Infrastructure Services Governance Options**

Thank you for your letter dated 8 December 2015 in respect of the above.

Firstly, thank you for the opportunity to present information regarding the governance of a company wholly owned by the Council, should it be established under the Infrastructure Services project, to the Policy Review and Performance Scrutiny Committee on 1 December 2015.

In terms of the points/queries raised in your letter: -

Review of Final Contract if a Wholly Owned Company is Established

I confirm that myself and relevant officers would be happy to present proposals to Scrutiny Committee regarding the contract with the company if it is decided that this is the preferred way forward for the Council.

Working with In-House Teams

I confirm from the time that People Too was appointed, its representatives have been working closely with the in-house team to develop and transfer expertise in the same way now being done by Bevan Brittan regarding the provision of legal services.

Reserved Matters

As explained by officers at the meeting, should a company be established, it will be important that there is an appropriate balance between Council control and company autonomy. It would not be intended to include any Reserved Matters over and above those necessary to achieve this appropriate balance. It is intended that outline proposals be included within the Full Business Case which will be considered by Scrutiny ahead of Cabinet.

PLEASE REPLY TO / ATEBWCH I : Cabinet Support Office / Swyddfa Cymorth Y Cabinet,
Room / Ystafell 518, County Hall / Neuadd y Sir,
Atlantic Wharf / Stryd y Lwerydd, Cardiff / Caerdydd



Appointments to the Board

I welcome your endorsement of the suggestion that nominated Members to serve on the Board should ideally be non-executive and have relevant business skill and expertise. I agree that it is also important that we have an open and fair process to appoint nominated Members.

Transition Board

I confirm that if Council decides that a company should be established, there will be opportunity for Scrutiny to engage with the Transition Board at the appropriate time.

Small Medium Enterprises (SMEs) Currently Working with the Services In Scope

A list of the SMEs currently working for the services within scope of the project will be collated and forwarded to you within the next couple of weeks.

I hope this response is helpful and I look forward to presenting the Full Business Case to the Policy Review and Performance Scrutiny Committee early February 2016.

Yn gwyir
Yours sincerely



Councillor / Y Cynghorydd Bob Derbyshire
Cabinet Member for Environment
Aelod Cabinet Dros Yr Amgylchedd

Date: 5 November 2015

Councillor Phil Bale
Council Leader,
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Dear Councillor Bale,

**Policy Review & Performance Scrutiny Committee: 3 November 2015
Non Operational Investment Property Estate**

On behalf of the Policy Review and Performance Scrutiny Committee my sincere thanks for facilitating consideration of the Council's proposals for dealing with its Non Operational Property on 3 November 2015. Members welcomed the opportunity for pre-decision scrutiny of the proposed governance of our estate, and following their discussion at the Way Forward have asked me to pass on their comments and observations.

Firstly, the Committee wishes to highlight the risk to income of disposing of capital assets. Members were reassured that the new strategy is focussed on generating more money, and the new Investment Estate Board will dispose of a property only where its yield is currently poor. They note the key principles, that where the Council sells a non operational property the proceeds will be ring fenced to remodel existing properties, or purchase new properties with the potential to generate higher rents; and where the yield on a property is good the Investment Estate Board will retain it. Members were also particularly reassured to hear that all Council owned buildings with a community value will be retained within the Operational Estate.

Members wish to take up your offer to report annually on the performance of the Investment Estate Board to this Committee. It is clear that accountability for decisions taken by the Board will sit with professional officers advised by commercial advisers, reporting to yourself, with an annual report of its activities included in the Council's Asset Management Plan programmed for Cabinet consideration. As these properties will be assessed to have no ward Member or community implications, the

Committee's interest will be in the performance of the Board in maximising income from the Council's estate. We would therefore expect to have sight of an annual cash flow statement that details all sources and allocation of funding on Non Operational Property.

When the Committee scrutinises the Investment Estate in the future it will be seeking reassurance that an ethical and community focussed framework for investment has been implemented, and will be looking for a fuller explanation of how the new Investment Estate Board is identifying new assets. It will also seek to consider disposal case examples from the list of investment properties, to reassure itself that the framework is being adhered to.

The Committee feels it is important to preserve the quality of the public realm in prominent locations. It urges that all opportunities for the Council to control development on such sites the Board decides to sell seeks to prevent over development with bland options, as often characterised by student accommodation developments. Members take on board that most property is sold as an investment in a going concern, and any constraints the Council impose will impact on the income generated. They were therefore pleased to hear you are committed to protecting future opportunities to preserve quality of life in Cardiff and maintain the City's liveability profile.

Similarly they feel Cardiff is still short of hotel space, and when you consider selling such property would urge you to preserve some control over the site's future use. The Committee fully endorses the retention of some public houses for income purposes, and others for community benefit.

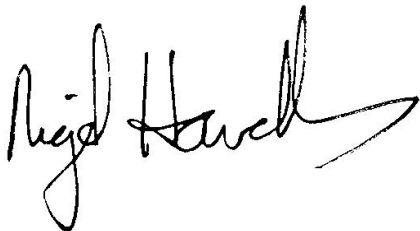
The Committee is pleased to hear that the estate is currently generating a good income, and that the new proposals will refine the Council's ability to develop its property portfolio to a point where it makes money. However it feels the timescales for implementation remain unclear and will retain a close watching brief.

To re-cap, the Committee will be pleased to receive:

An annual report to the Policy Review & Performance Scrutiny Committee on the performance of the Investment Estate Board; supported by a cash flow statement outlining all sources of income and allocation of funding.

Finally, on behalf of the Committee, I wish to thank you and the officers for your continued support for the internal challenge of important issues.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Nigel Howells', with a long, sweeping horizontal stroke at the end.

**COUNCILLOR NIGEL HOWELLS
CHAIR, POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE**

cc

Members of the Policy Review & Performance Scrutiny Committee;
Neil Hanratty, Director of Economic Development
Helen Jones, Corporate Property and Estates Manager
Gareth Newell, Head of the Cabinet Office;
Joanne Watkins, Cabinet Business Manager;

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**SWYDDFA'R ARWEINYDD
OFFICE OF THE LEADER**

Fy Nghyf / My Ref: CM32666

Eich Cyf / Your Ref:

Dyddiad / Date: 18th February 2016

Councillor Nigel Howells
Cardiff City Council
Atlantic Wharf
Cardiff
CF10 4UW

Annwyl / Dear Nigel

PRAP Scrutiny - Non Operational Property

Thank you for your letter following the Policy Review & Performance Scrutiny Committee on 3rd November 2015. I would like to take this opportunity to respond to a couple of minor inaccuracies.

The strategy is indeed focussed on generating increased revenue and poor yielding properties will certainly be considered for disposal. However, we will also look to capitalise on opportunities that may arise out of redevelopment schemes where the City Council can share in the development value.

The investment board will seek to retain an element of control over sites where it is practical to do so, however in regard to the issues you raise relating to over development and design quality, this will predominantly be controlled through the planning process. In this context we would expect all new development to adhere to the city's new Liveable City Design Guide, and we will also ensure that in regard to the disposal of City Council assets ethical considerations will be part of the process to ensure that assets are not used inappropriately in the future, or counter to community considerations.

In regard to your concerns relating to timescales for implementation, we are currently undertaking a procurement process to enable us to appoint an advisor to sit on the board. Following this we will then commence the analysis of each category of property.

In addition to regular updates that will be provided to Cabinet, the investment board would also be pleased to provide an annual report to the Policy Review & Performance Committee together with a cash flow statement. The annual report is expected to be available in May this year.

Yn gywir,
Yours sincerely,



ATEBWCH I / PLEASE REPLY TO:

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**CYNGHORYDD / COUNCILLOR PHIL BALE
ARWEINYDD, CYNGOR DINAS CAERDYDD
LEADER, THE CITY OF CARDIFF COUNCIL**