

Agenda



Newport City Council

Date: Tuesday, 31 January 2017
Time: 5.00 pm
Venue: Council Chambers - Civic Centre
To: **All Members of the City Council**

WEBCASTING NOTICE

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If you have any queries regarding this, please contact the Chief Democratic Services Officer.

Item	Wards Affected
1. <u>Agenda Cymraeg / Welsh</u> (Pages 5 - 8)	
2. <u>Apologies</u>	
3. <u>Declarations of Interest</u>	
4. <u>Preliminaries</u>	
5. <u>Minutes</u> (Pages 9 - 16)	
6. <u>Appointments</u>	All Wards
7. <u>Police Issues: Police and Crime Commissioner</u> This month the regular session with the Local Commander is replaced by a 30 Minute session with Mr Jeff Cuthbert the Police and Crime Commissioner	

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Date of Issue: Monday, 23 January 2017

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| 8. | <u>City Deal</u> (Pages 17 - 144) | All Wards |
| 9. | <u>Social Services and Wellbeing Act: Population Needs Assessment</u>
(Pages 145 - 230) | All Wards |
| 10. | <u>Improvement Plan Review for 2017-18</u> (Pages 231 - 278) | All Wards |
| 11. | <u>Council Tax Reduction Scheme</u> (Pages 279 - 284) | All Wards |
| 12. | <u>Treasury Management</u> (Pages 285 - 300) | All Wards |
| 13. | <u>Schedule of Meetings</u> (Pages 301 - 318) | All Wards |
| 14. | <u>Nomination of the mayor for the coming municipal year</u> | All Wards |
| 15. | <u>Questions to the Chair of the Cabinet</u> | |

To provide an opportunity for councillors to ask questions to the Chair of the Cabinet in accordance with the Council's Standing Orders.

Process: No more than 30 minutes will be allocated at the Council meeting for oral questions to the Leader

If members are unable to ask their question orally within the allocated time, remaining questions will be answered in writing. The question and response will be appended to the minutes.

The question must be addressed through the Mayor or the person presiding at the meeting and not directly to the person being questioned

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| 16. | <u>Questions to cabinet members</u> | All Wards |
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To provide an opportunity to pose Questions to Cabinet Members in line with Standing Orders

Process: *No more than 10 minutes will be allocated at the Council meeting for questions to each Cabinet Member.*

Members will have needed to submit their proposed questions in writing in accordance with Standing Orders. If members are unable to ask their question orally within the allocated time, remaining questions will be answered in writing. The question and response will be appended to the minutes.

The question must be addressed through the Mayor or the person presiding at the meeting and not directly to the person being questioned.

Questions will be posed to cabinet members in the following order:

- Deputy Leader and Cabinet Member for Environment Sustainability and Transport
- Cabinet Member for Education & Young People
- Cabinet Member for Finance and Resources
- CM for Community Services, Work and Skills
- Cabinet Member for Regulatory Functions

- Cabinet Member for Regeneration & Investment
- Cabinet Member for Adult Social Services & Housing
- Cabinet Member for Culture, Leisure and Sport

For Information: A digest of recent decision schedules issued by Cabinet, Cabinet Members and Minutes of recent meetings of Committees has been circulated electronically to all Members of the Council.

17. Questions to Chairs of Committees

All Wards

To provide the opportunity to pose questions to the Chairs of the Committees in the following order:

- I. Scrutiny Committees
 - Community Planning and Development
 - Learning, Caring and Leisure
 - Street Scene, Regeneration and Safety

II. Planning Committee

III. Licensing Committee

IV. Democratic Services Committee

Process: No more than 10 minutes will be allocated at the Council meeting for questions to each Chair.

Members will have needed to submit their proposed questions in writing in accordance with Standing Orders. If members are unable to ask their question orally within the allocated time, remaining questions will be answered in writing. The question and response will be appended to the minutes.

The question must be addressed through the Mayor or the person presiding at the meeting and not directly to the person being questioned.

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Agenda



Cyngor Dinas Casnewydd

Dyddiad: 31/1/17

Amser: 5.00 pm

Lleoliad: Siambrau'r Cyngor - Canolfan Ddinesig

At sylw: **Pob Aelod o'r Cyngor Dinas**

HYSBYSIAD GWE-DDARLLEDU

Gall y cyfarfod hwn gael ei ffilmio ar gyfer darllediad byw neu ddarllediad wedi hynny trwy wefan y Cyngor.

Ar ddechrau'r cyfarfod, bydd y Maer, Cadeirydd neu'r Person sy'n Llywyddu yn cadarnhau os yw cyfan neu ran o'r cyfarfod yn cael ei ffilmio. Efallai y bydd y delweddau a recordiad sain yn cael eu defnyddio hefyd at ddibenion hyfforddiant o fewn y Cyngor.

Yn gyffredinol, nid yw'r ardaloedd eistedd cyhoeddus yn cael eu ffilmio. Fodd bynnag, wrth fynd i mewn i'r ystafell gyfarfod a defnyddio'r ardal seddau cyhoeddus, rydych yn rhoi caniatâd i chi gael eich ffilmio a defnydd posibl o rhai delweddau a recordiadau sain ar gyfer gwe-ddarlledu a/neu ddibenion hyfforddiant.

Os oes gennych unrhyw ymholiadau ynghylch hyn, cysylltwch â Phrif Swyddog Gwasanaethau Democrataidd.

Eitem

- 1. Agenda Cymraeg**
- 2. Ymddiheuriadau am absenoldeb.**
- 3. Datganiadau o fuddiant personol**
- 4. Rhagarweiniadau - cyhoeddiadau gan y maer**
- 5. Cofnodion**
- 6. Penodiadau**
- 7. Polisi Taliadau a Gwobrwyo: Comisiynydd yr Heddlu a Throseddu**
- 8. Cytundeb Dinas**

9. Asesiad o anghenion y boblogaeth

10. Cynllun gwella

11. Cynllun gostyngiadau'r dreth gyngor

12. Rheolaeth ariannol

13. Dyddiadur

14. Enwebiad y maer

15. Cwestiynau i Gadeirydd y Cabinet

I roi'r cyfle i gynghorwyr ofyn cwestiynau i Gadeirydd y Cabinet yn unol â Rheolau Sefydlog y Cyngor.

Proses: Ni chaiff mwy na 30 munud eu cadw yng nghyfarfod y Cyngor ar gyfer cwestiynau llafar i'r Arweinydd

Os nad yw'r aelodau yn gallu gofyn eu cwestiwn ar lafar o fewn yr amser a glustnodwyd, bydd y cwestiynau sy'n weddill yn cael eu hateb yn ysgrifenedig. Bydd y cwestiwn ac ymateb yn cael eu hatodi i'r cofnodion.

Rhaid i'r cwestiwn cael sylw drwy'r Maer neu'r sawl sy'n llywyddu yn y cyfarfod ac nid yn uniongyrchol at y person a holir

16. Cwestiynau i Aelodau Cabinet

I roi'r cyfle i ofyn cwestiynau i Aelodau'r Cabinet yn unol â Rheolau Sefydlog

Proses: Ni chaiff mwy na 10 munud eu cadw yng nghyfarfod y Cyngor ar gyfer cwestiynau i bob Aelod Cabinet unigol.

Bydd angen i'r Aelodau cyflwyno eu cwestiynau arfaethedig yn ysgrifenedig yn unol â'r Rheolau Sefydlog. Os nad yw'r aelodau yn gallu gofyn eu cwestiwn ar lafar o fewn yr amser a glustnodwyd, bydd y cwestiynau sy'n weddill yn cael eu hateb yn ysgrifenedig. Bydd y cwestiwn ac ymateb yn cael eu hatodi i'r cofnodion.

Rhaid i'r cwestiwn cael sylw drwy'r Maer neu'r sawl sy'n llywyddu yn y cyfarfod ac nid yn uniongyrchol at y person a holir

Bydd y cwestiynau yn cael eu gofyn i aelodau'r cabinet yn y drefn ganlynol:

- Dirprwy Arweinydd / Aelod Cabinet dros yr Amgylchedd, Cynaliadwyedd a Thrafnidiaeth
- Aelod Cabinet dros Addysg a Phobl Ifanc
- Aelod Cabinet dros Gyllid ac Adnoddau
- Aelod Cabinet dros Wasanaethau yn y Gymuned, Gwaith a Sgiliau
- Aelod Cabinet dros Swyddogaethau Rheoleiddio
- Aelod Cabinet dros Adfywio a Buddsoddi
- Aelod Cabinet dros Wasanaethau Cymdeithasol i Oedolion a Thai
- Aelod Cabinet dros Ddiwylliant, Hamdden a Chwaraeon

Er Gwybodaeth: Mae crynodeb o amserlenni penderfyniad diweddar a gyhoeddwyd gan y Cabinet, Aelodau Cabinet a Chofnodion cyfarfodydd diweddar y Pwyllgorau wedi cael ei gylchredeg yn electronig at bob Aelod o'r Cyngor.

17. Cwestiynau i Gadeiryddion Pwyllgorau

Bydd y cwestiynau yn cael eu gofyn i Gadeiryddion Pwyllgorau yn y drefn ganlynol:

I. Pwyllgorau Craffu

- Cynllunio a Datblygu Cymunedol
- Dysgu, Gofalu a Hamdden
- Gwasanaethau Stryd yn Un, Adfywio a Diogelwch

II. Pwyllgor Cynllunio

III. Pwyllgor Trwyddedu

IV. Pwyllgor Gwasanaethau Democrataidd

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Minutes



Council

Date: 27 September 2016

Time: 5.00 pm

Present: Councillors D Atwell (Chair), M Al-Nuami, O Ali, P Cockeram, M Cornelious, K Critchley, D Davies, C Evans, M Evans, C Ferris, D Fouweather, E Garland, G Giles, J Guy, P Hannon, D Harvey, I Hayat, P Huntley, R Hutchings, R Jeavons, C Jenkins, M Kellaway, M Linton, D Mayer, S Mlewa, R Mogford, R Poole, J Mudd, M Rahman, J Richards, M Spencer, H Thomas, K Thomas, R Truman, T Watkins, M Whitcutt, R White, K Whitehead, D Wilcox, D Williams and Townsend

Apologies: Councillors T Bond, R Bright, E Corten, V Delahaye, C Maxfield, A Morris, C Suller, T Suller and J Cleverly

1. Preliminaries

Mrs Anne Gatehouse and Ms Christine Jones

The Mayor announced that since the last meeting, Council had been informed of the passing of Mrs Anne Gatehouse and Ms Christine Jones, both of whom were leading Members of the Friends of Newport Transporter Bridge. Mrs Gatehouse also oversaw the Jerome Gatehouse Foundation set up to preserve her husband's vast and important collection of military band memorabilia. The Mayor passed on the Council's condolences to both families.

Councillor Carmel Townsend

The Mayor announced that Councillor Carmel Townsend had been elected at the recent By Election in the St. Julians Ward. The Leader introduced Councillor Townsend to the Mayor and to the Council.

2. Minutes

Councillor Paul Hannon queried the Leader's quote in the minutes of "a press article in May 2016 which showed that 5 million people had visited Friar's Walk in the first 6 months of operation". Councillor Hannon questioned whether the figure of 5 million was correct or a misreporting of the facts. Officers agreed to look into this and report back.

Subject to verification of the above query, the minutes of the meeting of the City Council held on 26 July 2016 were confirmed as a true record and signed by the Mayor.

3. Appointments

Dispensation for Extended Absences

Councillor Debbie Harvey reported that she had met with Councillor Fouweather in August to consider two requests from Councillors to allow their continued absence from Council

business. It was reported that Councillor Maxfield was suffering from an extended illness that would lead her to be absent from meetings beyond a six month period. Approval was requested to allow her absence until her return to health. Councillor Bright was also suffering from a long-term illness and required approval for non-attendance beyond six months, until his return to health.

Councillor David Fouweather seconded the motion, wishing both Councillors well.

Resolved

To grant dispensation for absence to Councillors Bright and Maxfield as described above.

Appointments

The Proper Officer had also been notified of the following appointments:

Street Scene, Regeneration and Safety Scrutiny Committee: Councillor Miqdad Al-Nuaimi to replace Councillor Majid Rahman.

Licensing Committee: Councillor Debbie Harvey to replace Councillor Trevor Watkins.

Newport Transport: Councillor Deborah Davies to replace Councillor Rhys Hutchings.

Fairness Commission: Councillor David Williams to replace Councillor Ray Mogford.

Social Services Rota Visits: Councillor Mark Spencer to replace Councillor Rhys Hutchings.

Governors:

- Kieron Dineen – Ysgol Gymraeg Ifor Hael
- Karen Seager – Malpas Court Primary
- Councillor Gail Giles – Caerleon Lodge Hill Primary
- Councillor Paul Huntley – Caerleon Lodge Hill Primary
- Caroline McLachlan – Caerleon Lodge Hill Primary
- Councillor John Richards – Lliswerry Primary
- Councillor David Fouweather – Ysgol Gymraeg Bro Teyrnnon

4. Police Issues

The Mayor welcomed Superintendent Glyn Fernquest to the meeting.

The Superintendent reported on recent events in the city, noting the impact that the success of Friar's Walk has had on the way the Council and the Police do business, presenting new challenges that were all part of policing a vibrant community and successful city. He particularly thanked Members for assistance with a recent issue regarding the timing of a protest, which Councillors were able to help resolve through their links in the community.

Superintendent Fernquest updated the Council regarding action on recent criminal activity and ongoing police operations. He also outlined future events being held in Cardiff which would have an impact on local policing and infrastructure.

In response to Councillor Truman's concerns regarding local traffic issues, including parking, Superintendent Fernquest reiterated the commitment to engage and enforce where particular problem areas and times were highlighted, although it was also noted that education was the most effective tool in dealing with these issues.

Councillor Al-Nuaimi asked for the Superintendent's view on decriminalising parking. Superintendent Fernquest responded that, while the majority of other areas had taken that route, the Police would support the Council as best they could whether or not parking was decriminalised.

Superintendent Fernquest informed Councillor Fouweather that actions were being taken to tackle a spike in crime in the Allt-yr-yn ward. The concerns regarding parking were also noted.

Superintendent Fernquest informed Councillor Garland that leaflet drops could be made, alongside reminders on social media, to raise residents' awareness of car crime and security.

Superintendent Fernquest recognised Councillor Cockeram's safety concerns regarding the increased traffic on Malpas Road due to the night closures of the Brynglas Tunnels. Whilst roadworks and additional traffic pressures were not within the control of the Police, the Superintendent agreed to look at resources available to undertake safety checks and other mitigating measures.

The Superintendent agreed to look into the issues raised by Councillor Chris Evans regarding non-attendance of Police at pre-arranged surgeries.

Councillor Charles Ferris shared the recent experiences of the street pastors encountering more rough sleepers who were new to the area. Superintendent Fernquest confirmed that local officers had also noted this, and were looking to develop a working group with partner agencies, including the council, to address this new challenge and provide the necessary support to these individuals.

The Superintendent updated Councillor Critchley on police recruitment.

Councillors Whitehead and Hannon thanked local police for recent actions and assistance in their wards.

5. Annual Report by the Overview and Scrutiny Committees

Councillor Omar Ali, Chair of the Street Scene, Regeneration and Safety Scrutiny Committee, presented the Annual Report of the Overview and Scrutiny Committees. He highlighted the good progress made in the last year, and the continuing focus of the new Committee Chairs on strengthening the structure of scrutiny so it is in a strong position for the new Council in May. In particular, in the coming year scrutiny would be working on:

- Developing pre-meetings, to focus challenge and improve questioning;
- Introducing an effective system of public services board scrutiny;
- Implementing the public engagement strategy;
- Developing scrutiny's role in performance management; and
- Delivering and developing training and induction events for Scrutiny Members.

Finally, Councillor Ali thanked the Scrutiny Team and other officers who supported scrutiny in driving forward continuous improvement.

Councillor David Williams, Chair of the Community Planning and Development Scrutiny Committee, seconded the report.

The Leader spoke in support of the report, outlining some positive feedback that had been received from the Welsh Local Government Association following a recent training session with the Committee Chairs and Scrutiny Team.

Some Members commented upon the heavy workload of the Committees, over-emphasis on process, and limited impact of scrutiny.

Resolved

To agree the content of the annual report as a basis for the work of the Scrutiny Committees in the coming year.

6. Annual Report by the Standards Committee

Mrs Hazel Taylor OBE, Chair of the Standards Committee, attended for this item.

Before the report was presented, as Mrs Taylor had recently retired from her position as Chair and Committee Member, the Mayor led Members in thanking Mrs Taylor for her contribution to the Standards Committee over 15 years. The Leader, the Leader of the Opposition, and a number of other Members paid tribute to Mrs Taylor's dedication and service to local public services during her long and distinguished career. The Council also offered its thanks to Mr John Pickering, Vice-Chair of the Standards Committee, who was also standing down from the Committee.

Mrs Taylor thanked Members for their kind words. In presenting the report, she commended the Council for its attitude to ethical standards in public life, and highlighted the Council's excellent record of never having any serious complaints upheld and sanctions imposed against individual Members. There was however no room for complacency, and Mrs Taylor highlighted the need to continue the focus on ethical standards.

Mrs Taylor paid tribute to retiring Vice Chair John Pickering, and Committee Member Gerald Hancock who would be retiring later in the year. She also thanked the staff at the Civic Centre for their excellent support during her time of office.

Resolved

To receive the Standards Committee Annual Report for 2015/16 and to note the forward work programme.

7. Annual Review of the 2015-2016 Improvement Plan

The Leader of the Council moved the report, which set out progress made against the priorities set out in the 2015/16 Improvement Plan.

In presenting the report, the Leader highlighted that overall progress against the plan's priorities had been assessed as "good", and the Council had also continued to improve performance against National Strategic Indicators and Public Accountability Measures, with performance on 60% of national measures either improved or maintained.

The Leader recognised, however, that there were still areas in need of improvement, and those areas of underperformance were the subject of challenge and review by the Cabinet, within the context of an increasingly difficult financial environment. The Leader ended her presentation by highlighting the overall aim of the Council, to provide the best possible outcomes and the highest possible services for the city and its residents.

The Leader of the Opposition moved the following amendment:

To amend the proposal in the report to add "and to continue to scrutinise areas of underperformance".

In presenting the amendment, the Leader of the Opposition stated that, while he supported the original proposal “to note the content of the report and to commend areas of successful service delivery”, the proposed amendment would make it a matter of public record that areas of underperformance would continue to be subject to scrutiny and challenge.

The amendment was seconded by Councillor David Fouweather.

A number of Members spoke for and against the amendment. Points made for the amendment included:

- Reports should not just focus upon the positive achievements.
- Times were challenging, and priorities were more difficult to achieve, so it was more important than ever to ensure that underperformance was scrutinised properly.
- This was a simple amendment that would make clear the intention to challenge problem areas.

Points made against the amendment included:

- There is already an ongoing process of scrutiny looking at underperformance, and Council is already subject to significant scrutiny from external agencies such as the Wales Audit Office.
- Any Member can refer an issue to scrutiny at any time.
- The amendment was not relevant within the context of the report, as there was no implication that underperformance would not be scrutinised.

The vote was put to the Council and the amendment was **lost**.

The substantive motion was then considered. A vote was taken and the substantive motion was carried.

Resolved

To note the content of the report and to commend areas of successful service delivery.

8. Heads of Service : Pay Bands

All Heads of Service were required to leave the Chamber during consideration of this item, due to their personal interest in the report.

The Chief Executive presented the report, providing some detail on the context and background to the issue. He reminded Council that pay for Heads of Service had not been included in the main Total Reward exercise, as Cabinet had agreed to conclude negotiations for the rest of workforce before reviewing senior pay. The Total Reward agreement had now been implemented, and Cabinet had therefore agreed to commission Hay to undertake a job evaluation exercise to review the Head of Service posts. The results of this exercise were included in the report, and Council was being asked to acknowledge the outcome and implement the recommended changes.

The Chief Executive highlighted that this had been an independent process, undertaken by an external partner. The results had also been evaluated and endorsed by the Independent Remuneration Panel. Due to the conflict of interest for the Monitoring Officer, Geldards had been instructed by the Chief Executive to provide independent legal advice in relation to the issue of Heads of Service pay, and their comments had been included in the report. Kim Howell of Geldards was also in attendance at the Council meeting to answer Members' questions and provide any points of clarification on the legal advice given.

Finally the Chief Executive noted the issues also set out in the report regarding market rates, although it was recognised that this was an issue across the Council. However Council was alerted to the risks surrounding market rates for Heads of Service, particularly regarding recruitment and retention, although there were no specific proposals before Council at this time regarding pay levels.

Members were invited to ask any questions they may have on the content of the report, before the debate on the proposal before them was opened.

Points of clarification were provided in response to Member questions, including:

- This report was produced independently from the Council, endorsed by the Independent Remuneration Panel and subject to independent legal advice.
- The report was not legally binding. The only legally binding evaluation would be that of an employment tribunal determining an equal value claim, which would also entitle the claimants to retrospective compensation. This was not the case for this report, and Council were being asked whether or not to act upon its recommendations.
- There would be no impact upon roles below Head of service level, as these had already been evaluated through a separate job evaluation process.
- There was a risk around equal pay claims if the senior roles were not subject to evaluation.
- The issues raised around market rates for senior pay were entirely separate from the job evaluation exercise undertaken by Hay. Pay rates were being highlighted as a risk, and it would be a matter for Council whether to address this in the future. The issue to hand was to resolve the gap in completing job evaluation.
- The cost of the Hay job evaluation report was £8,000 plus VAT.
- It was confirmed that decisions relating to Chief Officer remuneration were a matter for Council (Constitution: Article 4: 4.2.XII).

The report was moved by the Leader and seconded by the Deputy Leader. A number of Members spoke on the report. Points raised included:

- There should be parity in the pay of people working at the same level and with comparable responsibilities.
- The Council had a responsibility as an employer to act in a fair, balanced and principled way, and in accordance with employment law.
- This report was the final part of the job evaluation process which had been undertaken across the whole Council, in an open and transparent way.
- The recruitment and retention issues associated with market rates of pay were also a concern, and the Council needed to look at different ways to address this going forward.

Resolved

1. To acknowledge the outcome of a recent job evaluation exercise for Heads of Service and move three identified posts to HDS02 in line with the outcome of that exercise.
2. To note the ongoing recruitment and retention issues for this staffing group due to market rate values being inconsistent with NCC's current pay levels.

9. Questions to the Chair of the Cabinet

There were no questions to the Chair of Cabinet on this occasion.

10. Questions to Cabinet Members

There were no questions to the Cabinet Members on this occasion.

11. **Questions to Committee Chairs**

There were no questions to the Chairs on this occasion.

12. **Standards Committee - Minutes**

The minutes of the meeting of the Standards Committee held on 15 September 2016 were received by the Council.

The meeting terminated at 7.30 pm

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Report

Council

Part 1

Date: 31st January, 2017

Item No:

Subject Cardiff Capital Region City Deal

Purpose The purpose of the report is to seek approval:

- To formally establish the Cardiff Capital Region ('CCR') Joint Cabinet (the 'Regional Cabinet'), as a joint committee, to oversee the Region's economic growth and to deliver the commitments set out in the CCR City Deal.
- Of the CCR City Deal Joint Working Agreement ('JWA'), the CCR City Deal Assurance Framework and Implementation Plan which are required to establish the Regional Cabinet and the City Deal Investment Fund.

Author Will Godfrey, Chief Executive

Ward All Wards

Summary In March 2016, Newport City Council was a signatory to the Heads of Terms agreement for the Cardiff Capital Region City Deal (CCRCD). This set out the headline terms of an agreement between UK Govt, Welsh Govt and the 10 local authorities of the SE Wales region to secure investment of £1.229bn to promote economic growth across the region.

We are now at the stage where further consideration has been given to the principles outlined and the Council is now required to consider taking the next steps to commit to the terms of the city deal.

Proposal It is recommended that Council:-

- 1) Approve the Joint Working Agreement (the 'JWA') as the legal document that formally establishes the Cardiff Capital Region ('CCR') Joint Committee (the 'Regional Cabinet') as a Joint Committee, with delegated functions, with a Commencement Date of the 1st March 2017. The elected member representative to the Regional Cabinet shall be the Leader of the Council, or his/her nominated Deputy;
- 2) Approve the financial contributions from each constituent council towards the collective £120m total, (together with such associated costs e.g. carry costs), as detailed in the body of this report;

- 3) Approve the carry forward of any remaining revenue funds from 2016/2017, contributed by each constituent council, into 2017/2018 in order that the support structure for the Regional Cabinet continues;
- 4) Approve the collective revenue contributions of up to £1m (inclusive of Recommendation 2.3 above, on a proportional basis as set out in the JWA) to the 2017/2018 budget, in order that the support structure for the Regional Cabinet continues;
- 5) Approve that the City of Cardiff Council acts as the Accountable Body with the responsibilities as set out in the JWA;
- 6) Approve the Assurance Framework as the open and transparent, robust decision making process for considering all proposals requiring support from the CCR City Deal Wider Investment Fund;
- 7) Approve the Implementation Plan in the form attached to the JWA, subject to each constituent council approving the JWA Business Plan;
- 8) Approve the Chief Executive in consultation with the Leader of the Council, the Monitoring Officer and s151 Officer be granted delegated authority to agree such amendments as are necessary to the JWA, Assurance Framework and Implementation Plan (as are appropriate) from the date of acceptance of these recommendations to the Commencement Date of the 1st March 2017;
- 9) Approve the Chief Executive in consultation with the Leader of the Council, the Monitoring Officer and s151 Officer be granted delegated authority to agree whether the Council should continue to explore the opportunity to continue to participate in the CCR City Deal in the event that one or more of the ten constituent councils fail to agree any of the recommendations; and
- 10) Approve the Leader of the Council or her nominated Deputy be granted delegated authority to sign the JWA on behalf of the Council.

Action by Chief Executive

Timetable If Council agrees the recommendations there will be immediate action to take and a signing ceremony is planned for 1 March 2017.

This report was prepared after consultation with:

- Leader of the Council
- Seminar for all Council members held on 19th January 2017
- Monitoring Officer
- S151 Officer

Background

On 15th March 2016, each of the ten constituent council leaders in South East Wales, the First Minister, the Welsh Government Minister for Finance and Government Business, the Secretary of State for Wales and the Chief Secretary to the Treasury signed the Cardiff Capital Region ('CCR') City Deal Heads of Terms Agreement. The City Deal is therefore an agreement between the UK Government, Welsh Government and the ten leaders of the CCR. It includes:

- A £1.2 billion investment in the CCR's infrastructure through a 20-year Investment Fund;
- The creation of a non-statutory Regional Transport Authority to co-ordinate transport planning and investment, in partnership with the Welsh Government;
- The creation of a CCR Skills and Employment Board;
- The CCR and the Welsh Government will work with the Department of Work and Pensions to co-design the future employment support from 2017 for people with a health condition or disability and/or long term unemployed;
- A CCR Business Organisation will be established to ensure that there is a single voice for business to work with local authority leaders; and
- The Welsh Government and the CCR commitment to a new partnership approach to housing development and regeneration. This will ensure the delivery of sustainable communities, through the use and re-use of property and sites.

To ensure the right investments are made to achieve significant economic growth the CCR City Deal has set a small number of key targets, which are: the creation of 25,000 new jobs by 2036; and leveraging £4 billion of private sector investment as a result of the £1.2bn public sector investment.

Since the 15th March 2016, the ten constituent councils have been working with the Welsh and UK Governments to establish the governance arrangements required to release the £1.2bn of investment. This has also clarified the management and control over the CCR City Deal Investment Fund, which comprises two distinct elements:-

- .1 **£734m – METRO scheme.** This will comprise £503m, Welsh Government funding provided over the first seven years of the Investment Fund, from 2016/17 to 2022/23; £106 million from the European Development Fund (which is committed and guaranteed following Brexit by both UK and Welsh Government); and £125m from UK Government. This element will be the direct responsibility of Welsh Government.
- 2 **£495m – Regional Cabinet Fund,** comprising the ten constituent councils' commitment to borrow £120 million over the 20 year period of the Investment Fund, together with the £375m from UK Government, for investment in infrastructure, housing, skills and training, innovation, business growth and "Metro plus" transport proposals. This element will be the responsibility of the CCR Regional Cabinet.

In addition, the existing Shadow Joint Cabinet (constituted in advance of the formal establishment of the Regional Cabinet):

- Created a Shadow CCR Transport Authority;
- Agreed to the creation of the CCR Economic Growth Partnership that brings together business, higher education and local government; and

- Commissioned an independent Growth and Competitiveness Commission. The Commission's purpose has been to support the Region's economic and investment strategy by reviewing the evidence about the CCR, its challenges and opportunities for economic growth and making recommendations as to how the CCR can achieve its full growth potential.

The independent Growth and Competitiveness Commission reported its findings on 16th December 2016, and a link to the Commission's report can be found below.

http://cardiffcapitalregioncitydeal.wales/report/growth & comp_com_process_web.pdf

The Commission's review supported the key proposed investment themes set out in the City Deal Heads of Terms Agreement, and concluded that:

*"The Cardiff Capital Region has the potential to **develop into a prosperous capital city-region for Wales**, with multiple benefits for the Welsh economy and all the people of Wales. The Capital Region can be a decision making centre, a global gateway for capital, trade, and visitors, a knowledge hub, and a major population centre and business cluster for Wales, providing opportunities and resources for other regions to develop. There are many points of progress in the capital region over the past 20 years but more is needed in the next cycle to take it forward. In particular, an integrated economic strategy that is sequenced with increased investment in infrastructure and place renewal is now required. This should focus on:*

- *Improving inter-connectivity within the region to increase opportunities, choices, and mobility of people, jobs and investment, to foster a region with multiple locations of growth that play to those area's strengths.*
- *Investment in education, skills and employability to improve productivity and participation the economy.*
- *Enhancing the business climate for emerging sectors, enterprises and innovation that can spawn new sources of jobs and incomes into the longer-term future.*

Such a strategy should be complemented by enhanced governance integration, confident promotion and story-telling, and leveraging of private sector and institutional investment."

NEXT STEPS

The next step is to formally establish the Regional Cabinet and agree the terms and conditions of the City Deal Investment Fund. There are three specific requirements to be met, set by UK and Welsh Governments, namely:-

- The transition of the Regional Cabinet out of the "Shadow" arrangements;
- Formal approval of the Assurance Framework for the Investment Fund; and
- Formal approval of the Implementation Plan.

Details of these are as follows:-

- **The JWA** – attached as Appendix 1 to the report.

The JWA is the legal document that formally establishes the 'Regional Cabinet' as a Joint Committee, with delegated functions, with a Commencement Date of the 1st March 2017.

Clause 9 and Schedule 1 of the JWA set out the decision making and delegations policy for dealing with matters and decisions relating to the CCR City Deal. There are three categories of delegations being (i) matters delegated to the Programme Director; (ii) matters delegated to the Joint Committee and (iii) matters reserved to the Councils.

A matter reserved to the Councils means it is a matter which will have to be referred to each Council for a decision rather than being taken by the Regional Cabinet and a matter requiring unanimous approval of all ten constituent councils before being able to be implemented. There are three matters which are to be reserved to the constituent councils and thus this Council would be required to take a subsequent decision on, namely;

1. Approval and adoption of the JWA Business Plan means the strategy which defines the regional objectives (*including the high level programme, which shall include amongst other matters, the indicative investment programme for the “Programme Themes” (as such Programme Themes are defined under the Implementation Plan) and any agreed strategic projects together with the indicative spend profile for the wider investment fund) and as more particularly defined in the JWA.*
2. Agreeing any increase to the Affordability Envelope (which means the overall costs and investment by each Council under the JWA over the 25 year evaluation period, which shall not exceed in aggregate £210,800,000 and shall include, without limitation, all interest and UK Government ‘cost to carry’ and shall be updated to reflect the terms of the JWA Business Plan including the high level programme (once approved by the constituent councils) to include, amongst other matters, the annual spend profile for each council);
3. Approval of any increase to the Councils’ Contribution above the £120M.

The JWA does allow the Regional Cabinet to commit and/or spend up to £50m before the reserved matter 1 above has been considered by the 10 constituent councils. The £50m is approximately 10% of the £495m Investment Fund, and would be funded by the first five years of UK Government funding, which is £50m. If the Regional Cabinet does commit or spend a sum up to £50m before the reserved matter 1 above is considered by the 10 councils, and not all 10 councils approve reserved matter 1, there is a risk that the UK Government funding would have to be returned and the 10 constituent councils would have to cover this cost from within their existing budgets.

- **The Assurance Framework** - The Assurance Framework – set out in Schedule 8 to the JWA - is the document that outlines the set of systems, processes and protocols designed to provide an evidence-based and independent assessment of the governance, risk management, and control processes of CCR City Deal Investment Fund.
- **The Implementation Plan** - The Implementation Plan – set out in Schedule 9 to the JWA - details the work to be undertaken over the next three to five years, setting out the key milestones and activities, against which the Gateway Review (as defined in the JWA) will assess performance of the City Deal activities at the first 5 year stage.

Over the course of the next few weeks, all ten constituent councils will be asked to agree to the recommendations set out in this report, which have been consistently presented to all ten councils. Once all ten constituent councils agree to the Assurance Framework and the Implementation Plan they need to be submitted to the Welsh and UK Governments by the end

of February 2017 and finalised by 31st March 2017, in order to release this financial year's funding contribution from UK Government.

Financial Summary

The s151 officers have modelled a number of potential scenarios, agreeing appropriate assumptions in respect of variables such as the profile of likely spend interest rates for borrowing, the split of capital and revenue funding and the treatment of inflation. The result of this detailed work is a prudent funding model based on:

- UK Government Grant Contribution of £375 million
- Local Authority Capital Contribution of £120 million
- Borrowing Repayment Term of 25 years
- Borrowing Interest Rate at 3%

The modelling estimates that the total costs of the deal at the regional level is projected to be £210.8m, this being the overall 'affordability envelope' for the 10 constituent Councils. This is based on:

- Central Government (UK/WG) 'Cost of Carry' costs at £44m, that is, the interest costs associated with up-front borrowing of the UK Government grant contribution of £375m ahead of its receipt.
- Local Authority costs of their capital contribution at £166.8m, that is, the principal and interest cost associated with borrowing the £120m capital contribution to be made by the Local Authorities.

Based on proportion of total population for the City Deal area, Newport's City Council's share of financial contributions is 9.8%. The annual revenue budget requirement to fund this contribution is profiled over the life of the deal given the timing of spend and income requirements, resulting in the following indicative financial commitments:

- A revenue contribution of £20.7m over the 25 year programme
- Year 1-5 revenue contribution of £1,045k
- Revenue contribution peaking in year 11 at £1,307k in that year

This Council will need to include a sum within its base budget requirements when the first year contribution is needed and will need to set aside funding to support future years as part of its medium term financial planning arrangements. Use of the Treasury Equalisation Reserve will be explored to support City Deal so that fluctuations in annual contributions can be smoothed and any volatility minimised from annual budget setting requirements.

Approval of the JWA Business Plan is a Reserved Matter and will be brought back to full Council for final consideration and approval. Central to this will be the development of the proposed programme of investment that will be undertaken as part of the City Deal initiative. The business plan will provide the council with confirmation of its affordability exposure over the life of the City Deal.

Whilst the overall Financial Envelope is being agreed now, any changes to Newport's annual profile will be reflected in the business plan along with the implications of any financial matters unresolved at this time.

Risks

It is understood that the continuation of UK/Welsh Government funding is subject to securing satisfactory 'Gateway Reviews' as part of the Investment Fund Assurance Framework adopted. Reviews are likely to be structured to occur at Years 5, 10 and 15. Funding from Year 6 onwards will therefore be subject to the agreed performance objectives being achieved at each of the gateway stages.

An Investment Fund structured on this basis introduces a level of uncertainty, as there will be a requirement to borrow in advance of receipt of UK/Welsh Government grant and meet the associated interest costs. Therefore, in the event that the agreed performance targets are not fully achieved, there is a risk that UK/Welsh Government funding may be reduced or even cease. Under these circumstances any reduction will represent a further cost to the City Deal in the event that there are projects that have committed that are reliant on the full level of future grant. Furthermore, this position assumes that there is no 'clawback' provision within the UK/Welsh Government Terms & Conditions, which is yet to be confirmed. In order to mitigate this risk, the projects selected will go through a detailed economic modelling assessment to inform the key discussions that will take place around performance measures. The final performance targets agreed will include a 'margin of safety', which will further reduce the risk of targets not being achieved.

The Welsh Government and Wales Audit Office have been engaged in respect of a number of technical and accounting matters including the finalisation of grant Terms and Conditions. These matters need to be resolved with the Wales Audit Office and be confirmed with the external auditors responsible for the audit of the ten partnership councils. These matters have arisen due to the way City Deal Investment Funds tend to typically operate i.e. grant expenditure being incurred ahead of receipt. The Glasgow & Clyde Valley City Deal also faced these challenges, successfully resolved these matters with their auditors. In relation to those matters which could give rise to affordability implications, the approach adopted within the affordability modelling reflects the successful approach adopted by the Glasgow City Deal. However, it should be recognised that until such time as written agreement is in place with Wales Audit Office on these matters, these remain as key project risks, albeit that any changes that result in an increase to the Affordability Envelope is a matter reserved back to each Council.

Once the JWA is approved, councils will be 'locked-in' for a minimum period of five years. As with other Joint Committee's the legal implications set out that the cost of withdrawing are likely to be substantial and are effectively designed to keep councils locked in for the duration of the City Deal.

Links to Council Policies and Priorities

The core mission of the Council is "Improving People's Lives". The Cardiff Capital Region City Deal is focused on improving economic outcomes which is entirely consistent with this mission statement

Options Available

There are two options:

- 1) Agree the terms of the City Deal and sign up to the commitment outlined in this report.
- 2) Reject the terms of the deal.

Preferred Option and Why

Option 1 is the recommended course of action. If council rejects the deal it is likely that Newport City Council will lose investment in important infrastructure. This would have a detrimental impact on the communities of the city.

Comments of Chief Financial Officer

The attached report provides an update on the work completed since the report to the Cabinet on February 2016. In addition, the report seeks the approval of key documents that will form the basis of how the City Deal will be governed (Joint Working Agreement), how the investment fund will be managed and approved (Assurance Framework) and proposals for implementing the City Deal (Implementation Plan).

As noted in the report, once the Business Plan is agreed, then the signing of the JWA now will enter the Council into a long term commitment which will require it to fund the revenue implications of the borrowing and other costs associated with the delivery of the agreed programme. In addition, councils will be 'locked-in' for a minimum period of five years with cost of withdrawing likely to be substantial and are effectively designed to keep councils locked in for the duration of the City Deal

As set-out in this report, approval of the City Deal Business Plan is a Reserved Matter and will be brought back to the Cabinet and Full Council for final consideration and approval. Central to this will be the development of the proposed programme of investment that will be undertaken as part of the City Deal initiative. The business plan will provide the council with confirmation of its affordability exposure over the life of the City Deal i.e. whilst the overall Financial Envelope is being agreed now, any changes to Newport's annual profile will need to be set-out in the business plan along with the implications of any financial matters unresolved at this time and highlighted in the report above.

Once the Reserved Matter is satisfied, a further report will need to be brought back to Cabinet and Full Council to deal with the budget framework issues that arise from the City Deal Business Plan, as well as the impact on the council's Treasury Management Strategy and performance indicators. The Local Authority (Capital Finance and Accounting) (Wales) Regulations 2003 and the Prudential Code for Capital Finance in Local Authorities put the principles of Prudence, Affordability and Sustainability at the centre of all decisions made in relation to capital expenditure. The reports setting the final approvals will need to ensure that these principles are fully satisfied over the full term of the City Deal Business Plan.

Comments of Monitoring Officer

The proposed action is in accordance with the Council's statutory powers under the Local Authorities (Goods and Services) Act 1970, the Local Government Act 1972, the Local Government (Wales) Act 1994 and the Local Government Act 2000. This statutory framework provides a range of legal powers which enable the Council to enter into collaborative arrangements with other local authorities and public bodies and to incur expenditure in relation to the joint discharge of functions and the provision of services.

The principles of collaborative working and pooled funding required to deliver the City Deal have already been agreed as part of the Heads of Terms Agreement signed by the local authorities, the Welsh Government, the Secretary of State for Wales and H M Treasury on 15th March 2016. However, in order to take the scheme forward and to secure the Welsh Government and Treasury funding, the local authorities are now required to enter into a legally binding Joint Working Agreement to establish the

necessary joint governance arrangements and to commit the necessary funding to establish the Regional Investment Fund. Because this will require a formal delegation of decision-making to a joint Regional Cabinet and a long-term budget commitment in terms of the overall affordability envelope and each council's proportionate contribution, these decisions will have to be taken by full Council (although Cabinet are able to sanction the delegation of executive powers to the Regional Cabinet).

The Regional Cabinet will be established as a Joint Executive Committee and will be empowered under Section 20 of the Local Government Act to take collective executive decisions on a majority basis (with each council having equal voting rights) regarding the approval of individual City Deal projects. This is a Treasury funding requirement to demonstrate commitment to collaborative regional working. Once the governance arrangements have been established, then only a limited number of "Reserved Matter" decisions will have to be brought back to each individual council for unanimous approval. The reserved decisions mainly relate to the JWA Business Plan (which includes the outline programme and indicative spending profile) and any changes to the financial envelope. All other major executive decisions are then delegated to the Regional Cabinet; they would only need to make recommendations back to the individual Councils if there was any material change to the Business Plan and a need for further financial contributions or Welsh Government imposed any onerous funding conditions.

The Council has the legal power to enter into the funding commitments under the in exercise of its general "well-being" powers under Section 2 of the Local Government Act 2000. This gives the Council a wide ranging discretionary power to do anything that it considers is likely to promote or improve the environmental, economic and social well-being of the area and/or persons within the area. Provided that the Council reasonably considers that its financial contribution towards the City Deal Investment Fund will benefit Newport, either directly or indirectly, then it does not matter that the money is spend or invested outside the area. Therefore, the fact that individual City Deal projects may be located outside of Newport does not prevent the Council from making a financial contribution, provided there is an overall regional "well-being" objective. It is clear from the other documents attached to the JWA, namely the Assurance Framework and the Implementation Plan, that the proposed City Deal strategic objectives and the assessment criteria for individual projects, are consistent with the priorities and objectives set out in the Council's Community Strategy and should promote and improve the economic and social well-being of Newport and its citizens. As such, the terms of the proposed JWA are considered to fall within the Council's discretionary "well-being" powers.

The Council will need to enter into a legally binding commitment under the JWA to this collaborative arrangement on 1st March 2016. That does lock the Council into certain obligations before a detailed investment programme of projects and individual spending profiles have been agreed. There is an initial "lock-in" period of 5 years, to coincide with the first Treasury gateway review, and no council can withdraw during this period. Also, even though individual councils can withdraw on 12 months' notice after the first 5 years, there are significant financial consequences of withdrawal. This is intended to reflect the longer term commitment required from all partners to deliver the City Deal programme and to secure the investment benefits in terms of regional growth.

Even though the councils will be required to enter into these binding legal and financial commitments up front, without any certainty at this stage about the individual projects, there are a number of safeguards built into the process. Firstly, the JWA will contain the overall financial envelope that the Councils are committing to, collectively and individually, and a profile of the total costs for each authority (to include the "carry-forward" costs of advance borrowing over the first 10 years, before all the tranches of HMT are released). Secondly, the JWA Business Plan (to include the indicative implementation programme and spend profiles) will be a Reserved Matter which will need to be reported back to each of the councils for unanimous approval in the next 12 months. Finally, the Assurance Framework and gateway review processes also provide further safeguards that the committed funding can only be used by the Regional Cabinet on projects that meet the relevant criteria and objectives for regional investment and growth.

Therefore, it would be reasonable and in accordance with the Council's discretionary legal powers to agree the recommendations and enter into these commitments.

Staffing Implications: Comments of Head of People and Business Change

There are no staffing implications

Comments of Cabinet Member

The Leader of the Council supports the recommendations included in this report

Scrutiny Committees

The report hasn't been presented to scrutiny committee as consideration of the proposal is being subjected to full council approval.

Equalities Impact Assessment

At this stage the proposals do not require an equalities impact assessment. This will take place when the reserved matter comes back to council for consideration.

Children and Families (Wales) Measure

n/a

Consultation

A briefing session was held for all council members on 19th January to provide background information prior to this meeting.

Background Papers

The Joint Working Agreement is attached at appendix 1 to this report. The document also includes the Assurance Framework and Implementation plan.

Dated: 20th January, 2017

Date: 19.01.17

DATED _____ **2017**

- (1) **BLAENAU GWENT COUNTY BOROUGH COUNCIL**
- (2) **BRIDGEND COUNTY BOROUGH COUNCIL**
- (3) **CAERPHILLY COUNTY BOROUGH COUNCIL**
- (4) **THE COUNTY COUNCIL OF THE CITY AND COUNTY OF
CARDIFF**
- (5) **MERTHYR TYDFIL COUNTY BOROUGH COUNCIL**
- (6) **MONMOUTHSHIRE COUNTY COUNCIL**
- (7) **NEWPORT CITY COUNCIL**
- (8) **RHONDDA CYNON TAFF COUNTY BOROUGH COUNCIL**
- (9) **TORFAEN COUNTY BOROUGH COUNCIL**
- (10) **THE VALE OF GLAMORGAN COUNCIL**

JOINT WORKING AGREEMENT
in relation to the delivery of the Cardiff Capital Region City Deal



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THIS AGREEMENT is made on

2017

BETWEEN

- (1) **BLAENAU GWENT COUNTY BOROUGH COUNCIL** of Municipal Offices, Civic Centre, Ebbw Vale, Gwent, NP23 6XB ("**Blaenau Gwent Council**");
- (2) **BRIDGEND COUNTY BOROUGH COUNCIL** of Civic Offices, Angel Street, Bridgend, CF31 4WB ("**Bridgend Council**");
- (3) **CAERPHILLY COUNTY BOROUGH COUNCIL** of Penallta House, Tredomen Park, Ystrad Mynach, Hengoed, CF82 7PG ("**Caerphilly Council**");
- (4) **THE COUNTY COUNCIL OF THE CITY AND COUNTY OF CARDIFF** of County Hall, Atlantic Wharf, Cardiff, CF10 4UW (the "**City of Cardiff Council**");
- (5) **MERTHYR TYDFIL COUNTY BOROUGH COUNCIL** of Civic Centre, Castle Street, Merthyr Tydfil, CF47 8AN ("**Merthyr Tydfil Council**");
- (6) **MONMOUTHSHIRE COUNTY COUNCIL** of County Hall, The Rhadyr, Usk, NP15 1GA ("**Monmouthshire Council**");
- (7) **NEWPORT CITY COUNCIL** of Civic Centre, Newport, NP20 4UR ("**Newport Council**");
- (8) **RHONDDA CYNON TAFF COUNTY BOROUGH COUNCIL** of The Pavilions, Cambrian Park, Clydach Vale, Tonypany, CF40 2XX ("**Rhondda Cynon Taff Council**");
- (9) **TORFAEN COUNTY BOROUGH COUNCIL** of Civic Centre, Pontypool, NP4 6YB ("**Torfaen Council**"); and
- (10) **THE VALE OF GLAMORGAN COUNCIL** of Civic Offices, Holton Road, Barry, CF63 4RU ("**Vale of Glamorgan**"),

(together referred to as "**the Councils**" and individually as a "**Council**")

BACKGROUND

- (A) The Councils have agreed to work together and enter into this Agreement to formalise their respective roles and responsibilities in order to discharge the Councils' obligations in relation to the Cardiff Capital Region City Deal. For the avoidance of doubt, the South East Wales Metro Scheme is being financed and procured directly by the Welsh Government outside of this Agreement and the Councils are not assuming any obligations or liabilities whatsoever in respect of the South East Wales Metro Scheme.
- (B) The Councils have agreed to create a Joint Committee with a robust governance arrangement that will be responsible for overseeing and co-ordinating the discharge of the Councils' obligations in relation to the City Deal. The Joint Committee shall, amongst other matters, be responsible for the establishment of and management of the Cardiff Capital Region Wider Investment Fund(s) and delivery of key projects, in each case, as determined by the Joint Committee from time to time.
- (C) The Councils have agreed to appoint the City of Cardiff Council to act as the Accountable Body for and on behalf of the Councils and to discharge the Councils' obligations in relation to the City Deal pursuant to and in accordance with this Agreement.

- (D) The Councils wish to enter into this Agreement and deliver the City Deal pursuant to the powers conferred on them by Sections 101, 102, 111 and 113 of the Local Government Act 1972, Section 1 of the Local Authority (Goods & Services) Act 1970, Section 25 of the Local Government (Wales) Act 1994, Section 2, 19 and 20 of the Local Government Act 2000, Section 9 of the Local Government Wales Measure 2009 and all other enabling powers now vested in the Councils.

1. DEFINITIONS AND INTERPRETATION

- 1.1 In this Agreement and the Recitals, unless, the context otherwise requires the following terms shall have the meaning given to them below:-

"Accountable Body"	means the Council appointed under Clause 4 (Accountable Body) who shall be responsible for receiving and spending funds for and on behalf of the Councils in relation to the City Deal in accordance with the funding condition relating thereto and whose duties are set out under Clause 5 (Duties of the Accountable Body)
"Accounting Period"	means those periods set out in Schedule 6 (Accounting Periods) as may be amended from time to time in accordance with the terms of this Agreement
"Affordability Envelope"	means the overall costs and investment by each Council pursuant to their proportion of the Councils' Contribution under this Agreement over the 25 (twenty five) year evaluation period, which shall not exceed in aggregate £210,800,000 (two hundred and ten million eight hundred thousand pounds) and shall include, without limitation, all interest, inflation and UK Government cost to carry and shall be updated and will be reflected within the terms of the JWA Business Plan (as part of its approval by the Councils) to include, amongst other matters, the annual spend profile for each Council
"Annual Budget"	means the approved annual budget of the Accountable Body held for and on behalf of the Councils and as set out in Clause 12.4 (Annual Budget) in relation to the payment of any Joint Committee Costs in accordance with this Agreement
"Annual Business Plan"	means each business plan referred to in Clause 7.3 (Annual Business Plans) in relation to the annual spend for approved project(s) to be implemented in that Accounting Period in relation to the City Deal (and the manner and form of such implementation), as the same may be prepared, varied or updated from time to time in accordance with the provisions of this Agreement
"Assurance Framework"	means the Councils' systems, processes and protocols to assess the governance, risk management and control processes of the Councils for the discharge of their obligations in relation to the City Deal attached at 0 (Assurance Framework) of this Agreement

"Business Day"	means any day other than a Saturday or Sunday or a public or bank holiday in England and/or Wales
"Cardiff Capital Region"	comprises of the ten administrative areas of Blaenau Gwent Council, Bridgend Council, Caerphilly Council, the City of Cardiff Council, Merthyr Tydfil Council, Monmouthshire Council, Newport Council, Rhondda Cynon Taff Council, Torfaen Council and the Vale of Glamorgan Council
"Cardiff Capital Region Wider Investment Fund"	means the fund or funds to be established by the Councils from time to time in accordance with the terms of this Agreement in pursuance of the City Deal objectives
"CDEL"	means capital departmental expenditure limits
"CEDR"	means the Centre for Dispute Resolution
"City Deal"	means the agreement between the Welsh Government, the UK Government and the Councils dated 15 March 2016 and appended at Schedule 7 (City Deal) to this Agreement
"Commencement Date"	means the date of this Agreement
"Conditions Longstop Date"	means as defined in Clause 2.3 (Conditions Subsequent)
"Confidential Information"	all know-how and other information whether commercial, financial, technical or otherwise relating to the business, affairs or methods of all or any Council, which is contained in or discernible in any form whatsoever (including without limitation software, data, drawings, films, documents and computer-readable media) whether or not marked or designated as confidential or proprietary or which is disclosed orally or by demonstration and which is described at the time of disclosure as confidential or is clearly so from its content or the context of disclosure
"Council Contribution"	means the funding provided by the Councils as set out in Clause 12.5.1(b) (Council Contribution)
"Decision Period"	means the period of twenty (20) Business Days from the date of the Liability Report or such other time as is unanimously agreed by all the Councils
"DPA"	means the Data Protection Act 1998
"Gateway Review"	means the five (5) yearly examination of programmes and projects by HMT to assess the progress and likelihood of the Councils' successful delivery of the City Deal (excluding the South East Wales Metro Scheme)
"HMT"	means Her Majesty's Treasury, a ministerial department of the UK Government

"HMT Contribution"	means the funding provided by HMT as set out in Clause 12.5.2 (HMT Contribution)
"HMT Funding Conditions"	means as defined in Clause 12.5.2 (HMT Contribution)
"Implementation Plan"	means the agreed implementation plan setting out, amongst other things, the process for agreeing and prioritising projects to be procured pursuant to the City Deal and as attached at 0 (Implementation Plan) to this Agreement
"Intellectual Property"	any and all patents, trade marks, trade names, copyright, moral rights, rights in design, rights in databases, know-how and all or other intellectual property rights whether or not registered or capable of registration and whether subsisting in the United Kingdom or any other part of the world together with all or any goodwill relating to them and the right to apply for registration of them
"Internal Costs"	means as defined in paragraph 1.1 of Schedule 4 (Heads of Expenditure) (and shall, for the avoidance of doubt, not include any revenue costs or capital investment relating to the implementation of any project pursuant to an Annual Business Plan) and excluding Joint Committee Costs
"IP Material"	the Intellectual Property in the Material
"Joint Committee"	means the joint committee set up by the Councils pursuant to Clause 10 (Joint Committee) of this Agreement
"Joint Committee Costs"	means as defined in paragraph 1.2 of Schedule 4 (Heads of Expenditure) (and shall, for the avoidance of doubt, not include any revenue costs or capital investment relating to the implementation of any project pursuant to an Annual Business Plan) and excluding any Internal Costs (save for the Internal Costs of the Accountable Body which shall be accounted for as Joint Committee Costs)
"Joint Committee Meeting"	means a meeting of the Joint Committee duly convened in accordance with Clause 10 (Joint Committee)

"JWA Business Plan"	means the strategy which defines the regional objectives including the high level programme to be agreed as a "Matter Reserved To The Councils" which shall include, amongst other matters, (i) the indicative investment programme for the "Programme Themes" (as such Programme Themes are defined under the Implementation Plan) and any agreed strategic projects together with the indicative spend profile for the wider investment fund (comprising of the HMT Contribution and the Council Contribution in the aggregate sum of £495,000,000 (four hundred and ninety-five million) in relation thereto and (ii) the matters set out in Clause 7.1.4 (JWA Business Plan), in order to discharge the Councils' obligations in relation to the City Deal
"Liability Report"	means a report prepared by the Accountable Body (or such other Council nominated under Clause 15.3 (Withdrawal)) acting reasonably setting out the financial and resource commitments of the relevant Council under Clause 15 (Withdrawal) or 16 (Consequences of Termination) including the items set out in Schedule 6 (Liability Report)
"Local Authority"	a principal council (as defined in Section 270 of the Local Government Act 1972) or any body of government in Wales established as a successor of a principal councils
"Lock In Period"	means the period expiring on the later of: <ul style="list-style-type: none"> (a) five (5) years from the Commencement Date; and (b) the completion of HMT's first five (5) year Gateway Review
"Material"	all data, text, graphics, images and other materials or documents created, used or supplied by a Council in connection with this Agreement unless before the first use or supply, the Council notifies the other Councils that the data, text supplied is not to be covered by this definition
"Personal Data"	means the personal data as defined in the DPA
"Programme Board"	means as defined in Clause 11.1.1 (Programme Board and Regional Programme Director)
"Programme Themes"	shall have the meaning given to it under the Implementation Plan
"Proportionate Basis"	means the relevant proportion for each Council by reference to their respective percentage contribution as set out in Clause 12.5.3 (Councils' Contribution)
"RDEL"	means resource departmental expenditure limits

"Regional Programme Director"	means the person so appointed from time to time by the Joint Committee to represent the interests of all the Councils in respect of their operational requirements for the City Deal and who shall be called the "Regional Programme Director" working under the direction of the Joint Committee and within the scope of delegation set out in Schedule 1 (Delegations Policy) (provided that any interim arrangements for the recruitment and/or employment of such Regional Programme Director agreed prior to the date of this Agreement shall continue until such time as the Accountable Body is able to effect such appointment)
"South East Wales Metro Scheme"	means:- (a) the delivery of the Valley Lines Electrification Programme; and (b) the wider Metro Scheme, both of which are more particularly defined in Section 4 (South East Wales Metro) of the City Deal
"Spending Review"	means the announcement of the Spring Budget 2017 by HMT scheduled to be on Wednesday 8 March 2017
"Translation Costs"	means costs incurred by the Accountable Body in complying with any applicable legislation relating to its obligations under this Agreement

1.2 Interpretation

In this Agreement, except where the context otherwise requires:-

- 1.2.1 the singular includes the plural and vice versa;
- 1.2.2 a reference to any clause, sub-clause, paragraph, Schedule, recital or annex is, except where expressly stated to the contrary, a reference to such clause, sub-clause, paragraph, schedule, recital or annex of and to this Agreement;
- 1.2.3 any reference to this Agreement or to any other document shall include any permitted variation, amendment or supplement to such document;
- 1.2.4 any reference to legislation shall be construed as a reference to any legislation as amended, replaced, consolidated or re-enacted;
- 1.2.5 a reference to a public organisation (to include, for the avoidance of doubt, any Council) shall be deemed to include a reference to any successor to such public organisation or any organisation or entity which has taken over either or both functions and responsibilities of such public organisation;
- 1.2.6 a reference to a person includes firms, partnerships and corporations and their successors and permitted assignees or transferees;
- 1.2.7 the schedule, clause, sub-clause and (where provided) paragraph headings and captions in the body of this Agreement do not form part of this Agreement and shall not be taken into account in its construction or interpretation;

- 1.2.8 words preceding "include", "includes", "including" and "included" shall be construed without limitation by the words which follow those words; and
- 1.2.9 any reference to the title of an officer or any of the Councils shall include any person holding such office from time to time by the same or any title substituted thereafter or such other officer of the relevant Council as that Council may from time to time appoint to carry out the duties of the officer referred to.

1.3 **Schedules**

The Schedules to this Agreement form part of this Agreement.

2. **COMMENCEMENT, DURATION AND TERMINATION**

2.1 **Duration of the Agreement**

This Agreement shall continue in full force and effect from the Commencement Date until the earlier of the following dates:-

- 2.1.1 the condition subsequent set out in Clause 2.3 (Condition Subsequent) are not satisfied or otherwise waived in writing by the Councils as a "Joint Committee Matter" with the prior agreement of the Accountable Body (in consultation with the other Councils) prior to the Conditions Longstop Date;
- 2.1.2 all the Councils agree in writing to its termination; or
- 2.1.3 there is only one (1) remaining Council who has not withdrawn from this Agreement in accordance with Clause 15 (Withdrawal).

2.2 **Termination**

Without prejudice to any other rights or remedies, this Agreement may be terminated in relation to any Council ("**Defaulter**") by the other Councils ("**Non-Defaulting Councils**") acting unanimously in giving written notice to the Defaulter effective on receipt where the Defaulter materially breaches any of the provisions of this Agreement and in the case of a breach capable of remedy fails to remedy the same within thirty (30) Business Days (or such other period as agreed by the Non-Defaulting Councils) of being notified of each breach in writing by the Non-Defaulting Councils and being required to remedy the same.

2.3 **Conditions Subsequent**

The Councils shall approve the terms of any Welsh Government funding conditions relating to the HMT Contribution as a "Joint Committee Matter" within six (6) months of the Commencement Date or by such other date as agreed by the Councils (with any such extension to be approved as a "Joint Committee Matter") with the prior agreement of the Accountable Body (in consultation with the other Councils) ("**Conditions Longstop Date**").

2.4 **Initial Project Investments**

The Parties agree and acknowledge that, notwithstanding Clause 2.3 (Conditions Subsequent) and the requirement for the Councils to agree and adopt the JWA Business Plan, the Joint Committee shall with effect from the date of this Agreement be authorised to commit up to £50,000,000 (fifty million pounds) of the HMT Contribution during the 12 month period following the date of this Agreement (or such additional period as agreed by the Councils as a Joint Committee Matter) for and on behalf of the Councils on projects approved pursuant to the terms of the Assurance Framework and the Annual Business Plan.

3. PRINCIPLES AND KEY OBJECTIVES

3.1 The Councils intend this Agreement to be legally binding.

3.2 The Councils agree to work together to discharge the Councils' obligations in relation to the City Deal pursuant to and in accordance with this Agreement.

3.3 Without prejudice to the terms of this Agreement, the Councils agree that they shall conduct their relationship in accordance with the objectives and principles set out below and shall agree the number and scope of projects to be developed in order to provide an **overall regional benefit to the Cardiff Capital Region**.

3.4 Objectives

Without prejudice to the terms of this Agreement, the Councils agree that they will conduct their relationship in accordance with the following objectives:-

3.4.1 **Connecting the Cardiff Capital Region**, its communities, businesses, jobs, facilities and services;

3.4.2 **Investing in innovation and the digital network**, creating and nurturing new high growth businesses, increasing investment in research and development, and providing the skills that businesses need now and in the future;

3.4.3 **Developing a skilled workforce and tackling unemployment**, improving the co-ordination of skills and employment support, increasing the number of people moving into work, increasing the number of people undertaking an apprenticeship or other relevant skills provision, and giving people the skills they need;

3.4.4 **Supporting enterprise and business growth**, improving the co-ordination of local and national business support arrangements, identifying barriers to growth, supporting spatial and sectoral priorities and targeting emerging opportunities for driving economic performance;

3.4.5 **Housing development and regeneration**, delivering a strategic approach to housing, regeneration, and economic growth to create an accessible, liveable, 'work-life integrated' and highly connected Cardiff Capital Region; and

3.4.6 **Developing greater city-region governance across the Cardiff Capital Region**, exploring future options for moving to even stronger and effective governance.

3.5 Principles

Without prejudice to the terms of this Agreement, the Councils agree that they will conduct their relationship in accordance with the following principles:-

3.5.1 Openness and Trust

In relation to this Agreement the Councils will be open and trusting in their dealings with each other, make information and analysis available to each other, discuss and develop ideas openly and contribute fully to all aspects of making the joint working successful. Whilst respecting the mutual need for commercial confidentiality, the Councils will willingly embrace a commitment to transparency in their dealings and in particular a need to comply with statutory access to information requirements including the Environmental Information Regulations 2004 and the Freedom of Information Act 2000 and

supporting codes of practice. The Councils will be aware of the need for and respect matters of commercial confidentiality and potential sensitivity;

3.5.2 Commitment and Drive

The Councils will be fully committed to working jointly, will seek to fully motivate employees and will address the challenges of delivering the City Deal with enthusiasm and a determination to succeed;

3.5.3 Skills and Creativity

The Councils recognise that each brings complimentary skills and knowledge which they will apply creatively to achieving the Councils' objectives, continuity, resolution of difficulties and the development of the joint working relationship and the personnel working within it. It is recognised that this will involve the appreciation and adoption of common values;

3.5.4 Effective Relationships

The roles and responsibilities of each Council will be clear with relationships developed at the appropriate levels within each organisation with direct and easy access to each other's representatives;

3.5.5 Developing and Adaptive

The Councils recognise that they are engaged in what could be a long term business relationship which needs to develop and adapt and will use reasonable endeavours to develop and maintain an effective joint process to ensure that the relationship develops appropriately and in line with these principles and objectives;

3.5.6 Reputation and Standing

The Councils agree that, in relation to this Agreement and the City Deal generally, they shall pay the utmost regard to the standing and reputation of one another, and act with regard to each Council's own employer and member codes of conduct and shall not do or fail to do anything which may bring the standing or reputation of any other Council into disrepute or attract adverse publicity to any other Council;

3.5.7 Reasonableness of Decision Making

The Councils agree that all decisions made in relation to this Agreement and the City Deal generally shall be made by them acting reasonably and in good faith;

3.5.8 Necessary Consents

Each Council hereby represents to the other Councils that it has obtained all necessary consents sufficient to ensure the delegation of functions and responsibilities provided for by this Agreement; and

3.5.9 Members and Officers Commitments

Each Council shall use its reasonable endeavours to procure that their respective members and officers who are involved in the City Deal shall at all times act in the best interests of the City Deal, and act with regard to each Council's own employer and member codes of conduct, devote sufficient

resources to deliver the City Deal and respond in a timely manner to all relevant requests from the other Councils.

4. THE CITY OF CARDIFF COUNCIL AS THE ACCOUNTABLE BODY

- 4.1 The Councils (acting severally) have agreed, with effect from the Commencement Date, the City of Cardiff Council will act as the Accountable Body responsible for discharging the Councils' obligations in relation to the City Deal pursuant to and in accordance with this Agreement for and on behalf of the Councils and the City of Cardiff Council agrees to act in that capacity subject to and in accordance with the terms and conditions of this Agreement.
- 4.2 If the Accountable Body defaults and the Agreement is terminated in respect of it pursuant to Clause 2.2 (Commencement, Duration and Termination) or the Accountable Body withdraws pursuant to Clause 15 (Withdrawal), then the replacement Accountable Body will be appointed by the Joint Committee and the withdrawing or, as applicable, defaulting Accountable Body will not have the right to vote in regard to any such appointment.
- 4.3 Where a replacement Accountable Body is appointed pursuant to Clause 4.2 above, any reference to the City of Cardiff Council (in its capacity as the initial Accountable Body) shall be read with reference to the replacement Accountable Body.
- 4.4 The Accountable Body shall act as the Accountable Body and shall receive any HMT Contribution from the Welsh Government for and on behalf of the Councils and shall hold and manage such HMT Contribution in accordance with the terms of this Agreement.

5. DUTIES OF THE ACCOUNTABLE BODY

- 5.1 For the duration of this Agreement, the Accountable Body shall:
- 5.1.1 act diligently and in good faith in all its dealings with the other Councils and it shall use its reasonable endeavours to discharge the Councils' obligations in relation to the City Deal pursuant to and in accordance with this Agreement and all applicable legislation including but not limited to:-
- (a) the Well-being of Future Generations (Wales) Act 2015;
 - (b) Welsh Language (Wales) Measure 2011; and
 - (c) the Welsh Language Standards;
- 5.1.2 act as the primary interface (on behalf of itself and the other Councils) with the Welsh Government, the UK Government and the European Regional Development Fund and any other body necessary to discharge the Councils' obligations in relation to the City Deal; and
- 5.1.3 act as the Accountable Body to hold any funds received directly from the Welsh Government, the UK Government (if any), the European Regional Development Fund (if any), the Councils and/or any other sources (if any) in relation to the City Deal and only to use and release such funds as agreed in accordance with the terms of such funding and this Agreement.

6. DUTIES OF THE OTHER COUNCILS

- 6.1 For the duration of this Agreement, the other Councils shall act diligently and in good faith in all their dealings with the Accountable Body and shall use their respective reasonable endeavours to assist the Accountable Body to discharge the Councils'

obligations in relation to the City Deal pursuant to and in accordance with this Agreement and all applicable legislation.

- 6.2 It is acknowledged and agreed that the obligations and liabilities of each Council shall bind any successor authority in the event of any local government re-organisation.

7. BUSINESS PLANS AND PROGRESS MONITORING

7.1 JWA Business Plan

7.1.1 The Joint Committee shall, no later than twelve (12) months after the Commencement Date, prepare (or procure the preparation of), finalise (acting in the best interests of the Joint Committee) and recommend for agreement and adoption by the Councils the draft JWA Business Plan which shall comply with the provisions of Clause 7.1.4 below. The intention is to create an overarching five (5) year JWA Business Plan that, amongst other matters, shall set out the Councils objectives and priorities for the delivery of the City Deal that is updated annually.

7.1.2 The decision to approve and adopt the JWA Business Plan shall be a "Matter Reserved To The Councils".

7.1.3 The Councils shall use their respective reasonable endeavours to seek to agree such draft JWA Business Plan (making any amendments they may unanimously agree) and to adopt it as the formal JWA Business Plan within 60 (sixty) Business Days of the date it is first circulated to the Councils or such other date as agreed between the Councils.

7.1.4 The JWA Business Plan shall, amongst other matters, address the following:

- (a) the updated Affordability Envelope;
- (b) the methodology for agreeing the nature, scope and prioritisation of projects to be developed for the overall benefit of the Cardiff Capital Region (in accordance with the terms of the Implementation Plan);
- (c) the methodology and responsibility for any external audits in relation to this Agreement;
- (d) the methodology and responsibility of any performance monitoring along with any performance indicators to enable the Joint Committee to measure progress against the JWA Business Plan; and
- (e) any revenue and capital monitoring reports to be prepared for the Joint Committee and the frequency of such reports.

7.2 Updated JWA Business Plan

7.2.1 The Joint Committee shall, no earlier than three (3) months and no later than one (1) month before the end of the relevant Accounting Period, prepare (or procure the preparation of), finalise, agree (acting in the best interests of the Joint Committee) and recommend for adoption to the Joint Committee a draft updated JWA Business Plan for the proceeding five years which shall comply with the provisions of Clause 7.1.4 above.

7.2.2 The decision to approve and adopt any updated JWA Business Plan shall be a "Joint Committee Matter" save to the extent that any such update amounts

to a material change to the prevailing JWA Business Plan and, in which case, the decision to approve and adopt such updated JWA Business Plan shall be a "Matter Reserved To The Councils".

- 7.2.3 The Joint Committee or the Councils (as applicable) shall use its reasonable endeavours to seek to agree such draft JWA Business Plan (making any amendments they may agree by majority) and to adopt it as the formal JWA Business Plan within 60 (sixty) Business Days of the date it is first circulated to the Joint Committee or such other date as agreed by the Councils.
- 7.2.4 The updated JWA Business Plan agreed pursuant to Clause 7.2.3 (with such amendments thereto as may be agreed by the Joint Committee or as a "Matter Reserved To The Councils" (as applicable)) shall replace the then current JWA Business Plan as the formal JWA Business Plan upon the later of:
- (a) the expiry of the then current JWA Business Plan; and
 - (b) the date of the Joint Committee' approval to it in accordance with Clause 10 (Joint Committee) or, as applicable, the date the updated JWA Business Plan is approved by the Councils as a "Matter Reserved To The Councils".
- 7.2.5 Subject to Clause 7.5, until such time as it is replaced in accordance with Clause 7.2.3, the JWA Business Plan that has most recently been adopted as the formal JWA Business Plan shall continue to be the formal binding JWA Business Plan.
- 7.2.6 Where the draft JWA Business Plan circulated under Clause 7.2.1 has not been approved by the Joint Committee or the Councils (as applicable) by the date six (6) calendar months following the date it is first circulated to the Joint Committee, the matter shall be deemed to be a JC Unresolved Matter and Clause 10.13 (Joint Committee) shall apply or where such approval is to be granted as a "Matter Reserved To The Councils", the JWA Business Plan shall be deemed not to have been approved following such six (6) calendar month period.

7.3 Annual Business Plans

- 7.3.1 The Joint Committee anticipates discharging the obligations of the Councils in relation to the City Deal through a number of projects and in respect of each Accounting Period the Regional Programme Director shall procure the preparation of, and (no later than 90 (ninety) Business Days prior to the envisaged commencement of the relevant Accounting Period) procure the circulation to the Joint Committee of a draft Annual Business Plan in relation to the annual spend for approved project(s) to be implemented in that Accounting Period in relation to the City Deal.
- 7.3.2 Within 30 (thirty) Business Days of the date of circulation of a draft Annual Business Plan in relation to an Accounting Period a Joint Committee Meeting shall be convened in accordance with Clause 10 (Joint Committee) for the consideration of and (if the Joint Committee so agrees) approval of the draft Annual Business Plan.
- 7.3.3 The Regional Programme Director shall convene a Joint Committee Meeting in accordance with Clause 10 (Joint Committee) to discuss the continued suitability of an Annual Business Plan and any required amendments thereto on or around the date 30 (thirty) Business Days prior to the envisaged date of commencement of the relevant Accounting Period. Any such

amendments must be approved by the Joint Committee pursuant to Clause 7.3.2 in order to become effective.

- 7.3.4 Where the draft Annual Business Plan circulated under Clause 7.3.1 has not been approved by the Joint Committee by the date six (6) calendar months following the date it is first circulated to the Joint Committee, the matter shall be deemed to be a JC Unresolved Matter and Clause 10.13 (Joint Committee) shall apply.

7.4 **Progress Monitoring**

- 7.4.1 Progress against each JWA Business Plan and Annual Business Plan shall be regularly reviewed at the Joint Committee Meetings.
- 7.4.2 If, at any Joint Committee Meeting, any of the elected members or deputy (as applicable) in their reasonable opinion, believe that there has been a material failure of the Councils to comply with a relevant JWA Business Plan and/or Annual Business Plan, the Joint Committee shall discuss appropriate action to immediately rectify the relevant failure and/or mitigate the effects of such failure as far as possible.
- 7.4.3 Subject to Clause 7.4.3, any variations to the JWA Business Plan or an Annual Business Plan shall be effective only if approved by the Joint Committee in accordance with Clause 10 (Joint Committee).

7.5 **Incorporation of Annual Business Plans into the JWA Business Plan**

Upon a draft Annual Business Plan being approved in accordance with this Clause 7, or an approved Annual Business Plan being validly varied or updated in accordance with this Clause 7, the JWA Business Plan shall be deemed to have been amended on and with effect from the date of the same insofar as such amendments to the JWA Business Plan are necessary in order to ensure that the JWA Business Plan is fully consistent, and does not conflict, with the Annual Business Plan. The contents of the Annual Business Plan shall be deemed to have been consolidated into the JWA Business Plan automatically from time to time in accordance with this Clause 7.4.3.

8. **CARDIFF CAPITAL REGION WIDER INVESTMENT FUND(S)**

- 8.1 The Councils agree that one of the key initial projects to be developed in relation to the City Deal is the establishment and management of the Cardiff Capital Region Wider Investment Fund(s).
- 8.2 The Regional Programme Director shall procure the preparation of an Annual Business Plan for the development of the Cardiff Capital Region Wider Investment Fund(s), in accordance with Clause 7 (Business Plans and Progress Monitoring), to determine, amongst other matters, the following:-
- 8.2.1 the legal structure of the Cardiff Capital Region Wider Investment Fund and whether it shall comprise of a single or series of funds;
- 8.2.2 the investment criteria and investment policy;
- 8.2.3 the governance structure for the investment board;
- 8.2.4 the approach to performance reporting and the interplay with the Gateway Review; and
- 8.2.5 the procedure for the appointment of a fund manager.

9. **DECISION MAKING**

- 9.1 In terms of the need for decisions and other actions to be taken and carried out during the term of this Agreement, the Councils have identified the following three categories together with the means by which they will be taken:-
- 9.1.1 **"Regional Programme Director Matter"** - being a matter which it is expected that the Regional Programme Director will be able to make a decision upon and have the power to bind the Joint Committee in doing so;
 - 9.1.2 **"Joint Committee Matter"** – being a matter which it is expected the elected member (or appropriate deputy) of each Council appointed pursuant to Clause 10.4 (Joint Committee) will be able to make a decision upon and have the power to bind the Council it represents in doing so;
 - 9.1.3 **"Matter Reserved To The Councils"** – being a matter which will have to be referred to each Council for and, for the avoidance of doubt, that matter requiring a decision would not be dealt with by the elected members appointed to the Joint Committee until the unanimous decision shall have been agreed by all of the Councils,

and in each case, such matters are identified in Schedule 1 (Delegations Policy).

10. **JOINT COMMITTEE**

- 10.1 The Councils shall form the joint committee ("**Joint Committee**") for the purpose of overseeing and co-ordinating the discharge of the Councils' obligations in relation to the City Deal and to carry out the functions set out in Schedule 2 (Joint Committee Terms of Reference) and the Joint Committee shall be known as the "Cardiff Capital Region Joint Cabinet", "Joint Cabinet" or "Regional Cabinet" (as the context requires).
- 10.2 The Joint Committee may carry out such other functions as the Councils determine from time to time and approve as a "Matter Reserved To The Councils".
- 10.3 The Joint Committee shall not have power to approve any "Matter Reserved To The Councils" pursuant of Clause 9.1.3 ("**Matter Reserved To The Councils**").
- 10.4 Each Council shall appoint one (1) elected member representative to the Joint Committee. The Chairperson of the Joint Committee shall be an elected member representative of a Council appointed to the Joint Committee and shall rotate amongst the Councils on an annual basis.
- 10.5 Each Council shall be entitled from time to time to appoint a deputy for its representative but such deputy (in each case) shall only be entitled to attend meetings of the Joint Committee in the absence of his or her corresponding principal.
- 10.6 Each Council shall be entitled to invite appropriate third parties to observe Joint Committee Meetings and such third parties shall be entitled to take part in such Joint Committee Meetings at the discretion of the Chairperson of the Joint Committee. Such observers shall not have a vote.
- 10.7 The Regional Programme Director shall attend the Joint Committee meetings but shall not have the right to vote on any Joint Committee Matters.
- 10.8 Each Council may, at their discretion, replace their representatives (and their respective deputies) appointed to the Joint Committee, provided that:-
- 10.8.1 at all times, they have representatives appointed to the Joint Committee in accordance with the roles identified in Schedule 2 (Joint Committee Terms of Reference); and

- 10.8.2 any such replacement shall have no lesser status or authority than that set out in Schedule 2 (Joint Committee Terms of Reference) unless otherwise agreed by the Councils.
- 10.9 The Joint Committee shall meet on at least a quarterly basis during the second Accounting Period and thereafter as and when required in accordance with the timetable for the City Deal and, in any event, at appropriate times and on reasonable notice (to be issued through the Regional Programme Director) to carry out the Joint Committee Matters referred to in Schedule 1 (Delegations Policy) and in carrying out such activities.
- 10.10 The Regional Programme Director shall circulate a meeting agenda and any relevant information wherever possible at least five (5) Business Days prior to the Joint Committee meeting and any representative may add to the meeting agenda (i) prior to the Joint Committee meeting by written request to the Regional Programme Director and/or (ii) by request to the Chairperson at the start of the Joint Committee meeting.
- 10.11 The quorum necessary for a Joint Committee meeting shall be an elected member or appropriate deputy appointed pursuant to Clause 10.5 (Joint Committee) from at least seven (7) of the Councils at the relevant time.
- 10.12 At meetings of the Joint Committee each elected member or appropriate deputy appointed pursuant to Clause 10.5 (Joint Committee) above from each Council shall have one vote. The Chairperson shall be granted a casting vote provided always that the Councils agree and acknowledge that the Chairperson shall not under any circumstances exercise such casting vote. Decisions at meetings of the Joint Committee will be taken by a majority vote of a quorate meeting. The Regional Programme Director shall not have a vote.
- 10.13 If, at a meeting of the Joint Committee, a matter is not determined pursuant to Clause 10.12 above, that matter ("**JC Unresolved Matter**") shall be deferred for consideration at the next Joint Committee meeting which shall be convened within ten (10) Business Days of that meeting. If at the reconvened Joint Committee meeting the JC Unresolved Matter is not determined, the JC Unresolved Matter shall become a "Matter Reserved To The Councils" and shall be deferred for consideration by each Council. Each Council shall each use its reasonable endeavours to convene a full Council meeting of its councillors as soon as reasonably practicable and in any event within three (3) weeks of the Joint Committee Meeting. Where a JC Unresolved Matter is referred to each Council as a "Matter Reserved to each Council" and is not approved unanimously by each Council, the JC Unresolved Matter shall not be agreed and shall not be implemented by the Joint Committee.
- 10.14 Each Council shall provide all information reasonably required upon request by the Joint Committee to the Regional Programme Director and shall comply with any decisions of the Joint Committee to request such information.
- 10.15 Each Council shall consult with the other Councils to ensure the diligent progress of the day to day matters relating to the discharge of the Councils' obligations in relation to the City Deal.
- 10.16 Where a Council wishes to provide any information and/or serve a notice or demand on the Joint Committee, this should be served on the Regional Programme Director in accordance with Clause 23.3 (Notices). The Regional Programme Director shall keep a record of all information, notices and demands received and shall update each representative promptly.
- 10.17 The Councils agree and acknowledge that the Joint Committee shall adopt the Accountable Body's prevailing contract standing orders, financial procedure rules, codes of conduct and such other applicable policies and procedures for and behalf of the Councils in the discharge of its obligations under this Agreement.

10.18 Joint Committee May Delegate

10.18.1 The Joint Committee may delegate any of the powers which are conferred on them under this Agreement:

- (a) to such person, sub-committee or group;
- (b) to such an extent;
- (c) in relation to such matters; and
- (d) on such terms and conditions,

as they think fit from time to time.

10.18.2 The Joint Committee may allow that such delegation shall automatically authorise further delegation of the Joint Committee's powers by any person to whom they are delegated provided that the Joint Committee specifically states this within such delegation authority.

10.18.3 The Joint Committee may revoke any delegation in whole or part, or alter its terms and conditions at any time.

10.19 Sub-Committees

10.19.1 The Joint Committee shall establish as soon as reasonably practicable the following sub-committees or groups:

- (a) Programme Management Office;
- (b) Programme Board;
- (c) Regional Transport Authority;
- (d) Regional Business Organisation;
- (e) Regional Skills and Employment Board; and
- (f) Regional Economic Growth Partnership.

10.19.2 The Councils shall work together to create and agree terms of reference for, to the extent permissible by law, a Joint Audit Committee and a Joint Scrutiny Committee.

10.19.3 It is acknowledged and agreed by the Councils that the sub-committees or groups referred to in Clauses 10.19.1 and 10.19.2:

- (a) shall undertake a number of functions including but not limited to audit, scrutiny and/or consultation services pursuant to their terms of reference; and
- (b) shall not have any delegated decision making powers (unless otherwise expressly granted by the Joint Committee).

10.19.4 Sub-committees or groups to which the Joint Committee delegates any of its powers must follow procedures which are based as far as they are applicable on those provisions of this Agreement which govern the taking of decisions by the Joint Committee.

10.19.5 The Joint Committee shall establish the membership, rules of procedure or terms of reference for all or any such sub-committees or groups to, amongst other matters, clarify their respective role and scope of delegation which shall be approved by the Joint Committee.

10.19.6 The Joint Committee may create additional sub-committees or sub-groups as it sees fit from time to time.

11. **PROGRAMME BOARD AND REGIONAL PROGRAMME DIRECTOR**

11.1 **Constitution and Authority of the Programme Board**

11.1.1 The Councils shall form the programme board ("**Programme Board**") for the purpose of implementing the City Deal and the day-to-day management of the Councils' obligations in relation to the City Deal and to carry out the functions set out in Schedule 3 (Programme Board Terms of Reference).

11.1.2 The Programme Board shall not have any decision making powers pursuant to this Agreement.

11.1.3 Each Council shall appoint one senior officer representative (which may include the chief executive or equivalent) to the Programme Board and such other representatives as the Joint Committee may determine from time to time. The chairperson shall be the Regional Programme Director or such other representatives as the Joint Committee may determine from time to time.

11.1.4 Each Council shall be entitled from time to time to appoint a deputy for its senior officer and such deputy (in each case) shall be entitled to attend meetings of the Programme Board in place of its senior officer.

11.1.5 The Councils shall, at their discretion, replace their representatives (and their respective deputies) appointed to the Programme Board provided that such replacement shall be on the same basis as the original appointed and provided further that no senior officer of the Programme Board shall be removed or replaced by any Council without that Council giving prior written notice as soon as reasonably practicable and in any event within ten (10) Business Days of its intention to remove or replace that representative.

11.1.6 The Programme Board shall meet as and when required in accordance with the timetable for the City Deal and, in any event, at appropriate times and on reasonable notice (to be issued through the Regional Programme Director).

11.2 **Regional Programme Director**

11.2.1 The Regional Programme Director shall attend the Joint Committee meetings but shall not have the right to vote on any Joint Committee Matters.

11.2.2 The Regional Programme Director shall have decision making powers delegated to them personally (and not the Programme Board) pursuant to Schedule 1 (Delegations Policy).

11.2.3 Where the Regional Programme Director exercises any decision making powers, the Regional Programme Director shall first consult with the Chairperson of the Joint Committee and the relevant Joint Committee portfolio lead.

12. **COMMITMENT OF THE COUNCILS AND CONTRIBUTIONS**

12.1 General

Subject to Clause 15.11.3 (Withdrawal), the Councils agree and undertake to commit to the City Deal in accordance with the terms of this Agreement and not to commission and/or undertake any procurement and/or project that seeks or would procure the delivery of all or any part of the City Deal outside the terms of this Agreement.

12.2 Internal Costs

12.2.1 Subject to Clauses 12.2.2 and 12.2.3 (Internal Costs), the Internal Costs incurred by each Council shall be borne by the Council providing that internal resource.

12.2.2 The Councils hereby agree that if one of the Councils believes it is likely to incur disproportionate Internal Costs that matter shall be referred to the Joint Committee for a decision as to whether such costs will be disproportionate and whether any contributions should be made to this cost by the other Councils.

12.2.3 The Parties agree and acknowledge that Internal Costs incurred by the Accountable Body in relation to the City Deal shall be accounted for as Joint Committee Costs and shall be allocated amongst the Councils in accordance with Clause 12.3.1 (Joint Committee Costs).

12.3 Joint Committee Costs

12.3.1 Any Joint Committee Costs incurred by the Joint Committee shall be shared on a Proportionate Basis between the Councils pursuant to this Agreement.

12.3.2 Each Council shall be required to prepare accounts including details of any Joint Committee Costs incurred pursuant to Schedule 4 (Heads of Expenditure) ("**the Accounts**") in respect of each Accounting Period and for such further and/or other accounting periods as the Joint Committee shall determine and which shall be incorporated into Schedule 5 (Accounting Periods). For the avoidance of doubt, such Accounts shall not include any revenue costs or capital investment requirements in relation to the implementation of any project pursuant to an Annual Business Plan and shall solely relate to the operational and management costs of the Joint Committee.

12.3.3 Each Council shall:-

- (a) in the Accounts make true and complete entries of all relevant payments made by it during the previous Accounting Period;
- (b) within one (1) month of the end of each Accounting Period, each Council shall provide to the Accountable Body unaudited Accounts for such Accounting Period together with certification that such Accounts comply with this Clause 12 (Commitment of the Councils and Contributions);
- (c) nominate an individual to be responsible for ensuring that Council's own compliance with this Clause 12 (Commitment of the Councils and Contributions) and the name, address and telephone number of each individual nominated pursuant to this Clause 12.3.3(c) (Commitment of the Councils and Contributions) shall be notified to the other Councils in accordance with Clause 23 (Notices); and
- (d) if an individual nominated by a Council pursuant to Clause 12.3.3(c) (Commitment of the Councils and Contributions)

changes, that Council shall notify the other Councils forthwith of the replacement nominees.

- 12.3.4 The Accountable Body shall:
- (a) within ten (10) Business Days of receipt of the Accounts submitted by the other Councils in accordance with Clause 12.3.3(b) prepare a reconciliation statement identifying the payments made by each Council and the balance due from or owing to each; and
 - (b) within twenty (20) Business Days of the preparation of the reconciliation statement send out a copy of the reconciliation statement together with either a balancing invoice or, subject to Clause 12.3.4(b), credit payments to each Council.
- 12.3.5 The Accountable Body shall not be obliged to make any payments due under this Agreement until the Accountable Body is in receipt of funds from the Joint Committee pursuant to this Clause 12.3.
- 12.3.6 A Council receiving an invoice for payment shall pay it in full within twenty (20) Business Days. Any error in a balancing invoice must be notified to the Accountable Body within five (5) Business Days of such balancing invoice being sent out. An amended balancing invoice will be issued by the Accountable Body and the Council receiving such an invoice shall pay it in full within twenty (20) Business Days.
- 12.3.7 The Councils hereby agree that if one of the Councils carries out any work or incurs any cost or expenses to carry out any work or to incur any cost or expense that is not within the budget or scope of work set out in the JWA Business Plan, that matter shall be referred by the Regional Programme Director to the Joint Committee for a decision as to whether such work, cost or expense is part of the City Deal or whether such work, cost or expense should be the entire responsibility of the Council so carrying it out or requesting it (as the case may be).

12.4 Annual Budget

- 12.4.1 The Annual Budget shall be:
- (a) in the initial period (2017-2018) prior to receipt of any HMT Contribution by the Accountable Body, £1,000,000 (one million pounds); and
 - (b) in all other cases, the Annual Budget approved by the Joint Committee for that Accounting Period provided that the Annual Budget shall not exceed the previous Annual Budget by more than 5% (five per cent),

and the Councils shall each contribute towards the Annual Budget on a Proportionate Basis and such contribution shall be in addition to the Councils' Contribution.

- 12.4.2 Where the actual aggregate Joint Committee Costs are likely to exceed the Annual Budget by more than 5% (five per cent) such additional costs shall be met through the wider investment fund (comprising of the HMT Contribution and the Councils Contribution).

12.5 Contributions

12.5.1 Total contribution

It is acknowledged and agreed by the Councils that the discharge of the Councils' obligations in relation to the City Deal pursuant to this Agreement shall be funded as follows:

- (a) up to £375,000,000 (three hundred and seventy five million pounds) from HMT ("**HMT Contribution**");
- (b) up to £120,000,000 (one hundred and twenty million pounds) in aggregate from the Councils ("**Councils' Contribution**") and the Councils agree and acknowledge that such Councils' Contributions shall be subject to additional costs up to the Affordability Envelope (as such costs are defined therein); and
- (c) each Council's contribution towards the Annual Budget, on a Proportionate Basis, pursuant to Clause 12.4 (Annual Budget).

12.5.2 HMT Contribution

- (a) Subject to Clause 12.5.2(b), it is acknowledged and agreed by the Councils that HMT's contribution shall be provided to the Welsh Government to transfer to the Accountable Body for and on behalf of the Joint Committee in the following tranches:-
 - (i) years 2016-17 to 2020-21 in the sum of £10,000,000 (ten million pounds) resource (RDEL) funding per year;
 - (ii) years 2021-22 to 2030-31 in the sum of £22,000,000 (twenty two million pounds) capital (CDEL) funding per year;
 - (iii) years 2031-32 to 2035-36 in the sum of £21,000,000 (twenty one million pounds) capital (CDEL) funding per year.
- (b) It is acknowledged and agreed by the Councils that:
 - (i) the South East Wales Metro Scheme is being financed and procured directly by the Welsh Government outside of this Agreement;
 - (ii) the HMT Contribution does not include any contribution towards the South East Wales Metro Scheme;
 - (iii) this Agreement does not include any obligations or liabilities on the Councils in respect of the South East Wales Metro Scheme; and
 - (iv) the Councils shall agree with HMT, as part of the Gateway Reviews, whether it wishes such performance assessment to have regard to wider regional benefit of or disregard the South East Wales Metro Scheme; and
 - (v) the Councils shall agree with HMT before HMT's next Spending Review whether a proportion of the forthcoming HMT Contribution may be provided as resource (RDEL) funding in place of the current capital (CDEL) funding allocation and such agreement shall be

approved by the Councils pursuant to this Agreement as a "Joint Committee Matter".

- (c) It is acknowledged and understood by the Councils that the HMT Contribution is subject to the following funding conditions:-
- (i) approval of the Assurance Framework (which the Councils have approved and attached at Schedule 8 (Assurance Framework) to this Agreement);
 - (ii) approval of and entry into this Agreement;
 - (iii) satisfying the five (5) yearly Gateway Reviews by HMT and it is acknowledged and agreed that the form of the Gateway Reviews including, but not limited to, any sanctions if key targets are not met shall be agreed with HMT and approved by the Councils pursuant to this Agreement as a "Joint Committee Matter";
 - (iv) any Welsh Government funding conditions to be proposed by the Welsh Government and approved pursuant to this Agreement by the Councils as a "Joint Committee Matter" pursuant to Clause 2.3 (Conditions Subsequent); and
 - (v) approval of the Implementation Plan (which the Councils have approved and attached at 0 (Implementation Plan) to this Agreement),

together the "**HMT Funding Conditions**".

- (d) Each Council acknowledges and agrees that:
- (i) it accepts the HMT Funding Conditions and that it shall be bound by those conditions and shall not through any act or omission place any other Council including, but not limited to, the Accountable Body in breach of any of those conditions; and
 - (ii) any Welsh Government funding conditions remain to be agreed and if and when any such conditions are agreed pursuant to Clause 2.3 (Conditions Subsequent), each Council shall be bound by those conditions and shall not through any act or omission place any other Council including, but not limited to the Accountable Body in breach of any of those conditions.

12.5.3 Councils' Contribution

- (a) Subject to Clause 12.5.3(b), each Council shall contribute towards the aggregate Councils' Contribution in the following proportion:

Councils	Proportion of Contribution
Blaenau Gwent	4.6%

Bridgend	9.4%
Caerphilly	12.0%
Cardiff	23.7%
Merthyr Tydfil	3.9%
Monmouthshire	6.1%
Newport	9.8%
Rhondda Cynon Taff	15.8%
Torfaen	6.1%
Vale of Glamorgan	8.5%
Total	100%

- (b) It is acknowledged and agreed that the Affordability Envelope for the Councils has been approved by the Councils as at the date of this Agreement and that any decision to increase the Affordability Envelope shall be a "Matter Reserved To The Councils".

12.5.4 **Audit**

Each Council shall permit all records referred to in this Agreement to be examined and copied from time to time by the Accountable Body, or any representatives of the Accountable Body or any other representatives who reasonably require access to the same in order to undertake any audit of the funds received and spent pursuant to this Agreement.

12.5.5 **Retention of Records**

The accounts referred to in this Clause 12 (Commitment of the Councils and Contributions) shall be retained for a period of at least ten (10) years after delivery of the City Deal pursuant to this Agreement.

13. **MITIGATION**

Each Council shall at all time take all reasonable steps to minimise and mitigate any loss for which the relevant Council is entitled to bring a claim against the other Council(s) pursuant to this Agreement.

14. **LIABILITY OF THE COUNCILS**

- 14.1 The Accountable Body shall indemnify and keep indemnified each of the other Councils to this Agreement against any losses, claims, expenses, actions, demands, costs and liability suffered by that Council to the extent arising from any wilful default or breach by the Accountable Body of its obligations under this Agreement (and wilful in this context shall, for the avoidance of doubt, not include matters which are outside the reasonable control of the Accountable Body or matters arising from any negligent act or omission in relation to such obligations).

- 14.2 No claim shall be made against the Accountable Body to recover any loss or damage which may be incurred by reason of or arising out of the carrying out by the

Accountable Body of its obligations under this Agreement unless and to the extent such loss or damage arises from a wilful default or breach by the Accountable Body under Clause 14.1 (Liability of Councils).

- 14.3 Each of the other Councils (acting severally) shall indemnify and keep indemnified the Accountable Body against all losses, claims, expenses, actions, demands, costs and liabilities which the Accountable Body may incur by reason of or arising out of the carrying out by the Accountable Body of its obligations under this Agreement for that Council or arising from any wilful default or breach by a Council of its obligations under this Agreement (and wilful in this context shall, for the avoidance of doubt, not include matters which are outside the reasonable control of that Council or matters arising from any negligent act or omission in relation to such obligations) unless and to the extent that the same result from any breach by the Accountable Body of any such obligations.
- 14.4 The Councils agree and acknowledge that the amount to be paid to the Accountable Body by any of the other Councils under Clause 14.3 (Liability of Councils) shall be borne by each of the Councils to the extent of its responsibility, however in the event that the responsibility is a shared one between the Councils (so that it is not reasonably practicable to ascertain the exact responsibility between the Councils) then the amount to be paid shall be divided between the Councils on a Proportionate Basis.
- 14.5 In the event of a claim under this Clause 14 (Liability of Councils) in which it is not reasonably practicable to determine the extent of responsibility as between the Councils (including the Accountable Body), then the amount shall be divided amongst the Councils (including the Accountable Body) on a Proportionate Basis. For the avoidance of doubt, any claim arising otherwise than through the wilful default or breach by the Accountable Body or the other Councils shall be divided amongst the Councils (including the Accountable Body) on a Proportionate Basis.
- 14.6 A Council who receives a claim for losses, expenses, actions, demands, costs and liabilities shall notify and provide details of such claim as soon as is reasonably practicable the other Councils.
- 14.7 No Council shall be indemnified in accordance with this Clause 14 (Liability of Councils) unless it has given notice in accordance with Clause 14.6 (Liability of Councils) to the other Council against whom it will be enforcing its right to an indemnity under this Agreement.
- 14.8 Each Council ("**Indemnifier**") shall not be responsible or be obliged to indemnify the other Councils (including the Accountable Body) ("**Beneficiary**") to the extent that any insurances maintained by the Beneficiary at the relevant time provide an indemnity against the loss giving rise to such claim and to the extent that the Beneficiary recovers under such policy of insurance (save that the Indemnifier shall be responsible for the deductible under any such policy of insurance and any amount over the maximum amount insured under such policy of insurance).

15. **WITHDRAWAL**

- 15.1 Subject to Clause 15.2 (Withdrawal), any Council (including the Accountable Body) may at any time during this Agreement, withdraw from this Agreement in accordance with this Clause 15 (Withdrawal).
- 15.2 No Council may withdraw from this Agreement during the Lock In Period and, following such Lock In Period, the provisions of this Clause 15 shall apply.
- 15.3 Save where Clause 15.6 applies, if an Authority wishes to withdraw from the City Deal and this Agreement, it shall provide at least twelve (12) months written notice of its intention to withdraw to all the other Councils ("**Withdrawal Notice**").

- 15.4 No sooner than nine (9) months after the date of the Withdrawal Notice and no later than ten (10) months after the date of the Withdrawal Notice, the Accountable Body (or such other Council as nominated by the Joint Committee in the event that the Accountable Body issues the Withdrawal Notice) shall provide to all the Councils a Liability Report which shall be discussed by the Joint Committee at its next meeting or a specially convened meeting if the next meeting falls more than two (2) weeks after the issue of the Liability Report.
- 15.5 It is acknowledged and agreed that:
- 15.5.1 the Liability Report shall contain, as a minimum, the withdrawing Councils committed costs and liabilities up to the next Gateway Review and the withdrawing Councils committed costs and liabilities on all current projects which shall include all drawdowns of the Councils Contribution that the withdrawing Council has committed to but not yet withdrawn (whether that drawdown occurs before or after the Council formally withdraws from the City Deal and this Agreement pursuant to this Clause 15 (Withdrawal)); and
- 15.5.2 in relation to row 1 of the Liability Report in Schedule 7 (Liability Report), the withdrawing Council shall be liable to pay the higher of its committed contribution and liabilities;
- (a) up to the next Gateway Review; or
- (b) on all current projects.
- 15.6 Within the Decision Period each Council which has issued a Withdrawal Notice to the Regional Programme Director shall indicate either:-
- 15.6.1 that it withdraws from the City Deal and this Agreement; or
- 15.6.2 that it wishes to continue as a party to the City Deal and this Agreement.
- 15.7 Where further Councils (in addition to the Council issuing the Withdrawal Notice) indicate their wish to withdraw from the City Deal and this Agreement, then the provisions of Clause 15.3 (Withdrawal) shall apply to such Councils and a new Liability Report shall be prepared in respect of each of these Councils that have indicated their intention to withdraw and the provisions of Clause 15.6 (Withdrawal) shall apply.
- 15.8 Where a Council does not indicate its intentions as required by Clause 15.6 (Withdrawal) then it shall at the expiry of the Decision Period be taken to have indicated that they wish to continue as a party to the City Deal and this Agreement.
- 15.9 Any Council serving a Withdrawal Notice pursuant to Clause 15.3 or indicates that it withdraws from the City Deal and this Agreement pursuant to Clause 15.6 shall have the right to retract such Withdrawal Notice or indication that it withdraws at any point prior to the date of its withdrawal.
- 15.10 Where a Council indicates that it wishes to withdraw from the City Deal and this Agreement, then:-
- 15.10.1 the Council who shall have indicated its wish to withdraw shall pay all amounts due to be paid by it in accordance with the Liability Report and comply with its obligations under this Agreement up to the date of its withdrawal including making any payments of any expenditure referred to in Schedule 5 (Heads of Expenditure) as at that date;
- 15.10.2 the Council who shall have indicated its wish to withdraw shall be responsible for a proportion of any third party costs (which have been substantiated by the Joint Committee); and

- 15.10.3 if in the event of such a withdrawal the discharge of the Councils' obligations in relation to the City Deal is delayed then the Council who shall have indicated its wish to withdraw may be responsible for a proportion of the costs of delay to the other Councils or any costs or fines which may directly result. Such proportion will be decided by the Joint Committee and the withdrawing Council shall not be entitled to vote in this decision..
- 15.11 Where a Council withdraws from the City Deal and this Agreement in accordance with this Clause 15 (Withdrawal):
- 15.11.1 any capital asset acquired and/or secured and/or owned and provided by such withdrawing Council for the purposes of the City Deal will remain in the ownership of the withdrawing Council and the withdrawing Council will reimburse the remaining Councils their respective contributions (if any) together with any reasonable costs incurred as a result of the withdrawal or default;
- 15.11.2 the other Councils may elect to continue or discontinue with any procurement and/or project forming part of the City Deal in the administrative area of the withdrawing Council;
- 15.11.3 the withdrawing Council may elect to independently pursue the procurement of any project within its administrative area which was identified as part of the City Deal provided that it does so at its own cost without any access to any of the HMT Contribution or Councils' Contribution pursuant to this Agreement;
- 15.11.4 unless agreed otherwise by the remaining Councils, the Council who shall have indicated its wish to withdraw from the City Deal shall not remove its appointees to the Joint Committee for a period of not less than three (3) months commencing on the date of such Council's withdrawal, provided that the costs associated with those appointees to the Joint Committee shall be borne by the remaining Councils on a Proportionate Basis; and
- 15.11.5 save for the obligations set out in Clause 12 (Commitment of the Councils and Contributions), Clause 14 (Liability of the Councils), this Clause 15 (Withdrawal) and Clause 18 (Confidentiality and Announcements), the withdrawing Council shall be released from its respective obligations described in this Agreement from the date of withdrawal.

16. CONSEQUENCES OF TERMINATION

- 16.1 If the Agreement is terminated in accordance with Clause 2.2 (Termination), save for the obligations set out in Clause 12 (Commitment of the Councils and Contributions), Clause 14 (Liability of the Councils), this Clause 16 (Consequences of Termination) and Clause 18 (Confidentiality and Announcements), the Councils shall be released from their respective obligations described in this Agreement.
- 16.2 Where this Agreement is terminated in respect of that Council in accordance with Clause 2.2 (Termination):
- 16.2.1 any capital asset acquired and/or secured and/or owned and provided by such Defaulter for the purposes of the City Deal will remain in the ownership of the Defaulter and the Defaulter will reimburse the remaining Councils their respective contributions (if any) together with any reasonable costs incurred as a result of the withdrawal or default;
- 16.2.2 the other Councils may elect to continue or discontinue with any procurement and/or project forming part of the City Deal; and

- 16.2.3 the Defaulting Council may elect to independently pursue the procurement of any project within its administrative area which was identified as part of the City Deal provided that it does so at its own cost without any access to any of the HMT Contribution or Councils' Contribution pursuant to this Agreement.
- 16.3 The Councils acknowledge and agree that:-
- 16.3.1 the City Deal has been modelled on the basis of participation by all the Councils and that there are considerable economic benefits to be achieved as a result of such joint working; and
- 16.3.2 accordingly, in the event that this Agreement is terminated in relation to any Council pursuant to Clause 2.2 (Termination) such Defaulter shall be liable to the Non-Defaulting Council or Councils for their reasonable and properly incurred costs in relation to the City Deal as set out in Clause 15.5 (Withdrawal) and Schedule 6 (Liability Report).
- 17. INTELLECTUAL PROPERTY**
- 17.1 Each Council will retain all Intellectual Property in its Material.
- 17.2 Each Council will grant all of the other Councils a non exclusive, perpetual, non-transferable and royalty free licence to use, modify, amend and develop its IP Material for the discharge the Councils' obligations in relation to the City Deal and any other purpose resulting from the City Deal whether or not the party granting the licence remains a party to this Agreement.
- 17.3 Without prejudice to Clause 17.1 (Intellectual Property), if more than one Council owns or has a legal or beneficial right or interest in any aspect of the IP Material for any reason (including without limitation that no one Council can demonstrate that it independently supplied or created the relevant IP Material without the help of one or more of the other Councils), each of the Councils who contributed to the relevant IP Material will grant to all other Councils to this Agreement a non-exclusive, perpetual, non-transferable and royalty free licence to use and exploit such IP Material as if all the other Councils were the sole owner under the Copyright Design and Patents Act 1988 or any other relevant statute or rule of law.
- 17.4 For the avoidance of doubt, any entity or person who is at the date of this Agreement a party to this Agreement and who has licensed any Intellectual Property under this Agreement will have a non-exclusive, perpetual right to continue to use the licensed Intellectual Property.
- 17.5 Each Council warrants that it has or will have the necessary rights to grant the licences set out in Clause 17.2 (Intellectual Property) and 17.3 (Intellectual Property) in respect of the IP Material to be licensed.
- 17.6 Each Council agrees to execute such further documents and take such actions or do such things as may be reasonably requested by any other Councils (and at the expense of the Council(s) making the request) to give full effect to the terms of this Agreement.

18. CONFIDENTIALITY AND ANNOUNCEMENTS

- 18.1 Each Council ("**Covenanter**") shall, both during the currency of this Agreement and at all times following its termination or expiry, keep private and confidential and shall not use or disclose (whether for its own benefit or that of any third party) any Confidential Information about the business of and/or belonging to any other Council or third party which has come to its attention as a result of or in connection with this Agreement.
- 18.2 The obligation set out in Clause 18.1 (Confidentiality and Announcements) shall not relate to information which:-
- 18.2.1 comes into the public domain or is subsequently disclosed to the public (other than through default on the part of the Covenanter or any other person to whom the Covenanter is permitted to disclose such information under this Agreement); or
 - 18.2.2 is required to be disclosed by law; or
 - 18.2.3 was already in the possession of the Covenanter (without restrictions as to its use) on the date of receipt; or
 - 18.2.4 is required or recommended by the rules of any governmental or regulatory authority including any guidance from time to time as to openness and disclosure of information by public bodies; or
 - 18.2.5 is necessary to be disclosed to provide relevant information to any insurer or insurance broker in connection with obtaining any insurance required by this Agreement.
- 18.3 Where disclosure is permitted under Clause 18.2.3 (Confidentiality and Announcements) or 18.2.4 (Confidentiality and Announcements), the recipient of the information shall be subject to a similar obligation of confidentiality as that contained in this Clause 18 (Confidentiality and Announcements) and the disclosing Council shall make this known to the recipient of the information.
- 18.4 No Council shall make any public statement or issue any press release or publish any other public document relating, connected with or arising out of this Agreement or any other agreement relating to the City Deal without the prior written consent of the other Councils.

19. CONTRACTS (THIRD PARTY RIGHTS)

The Councils as parties to this Agreement do not intend that any of its terms will be enforceable by virtue of the Contracts (Rights of Third Parties) Act 1999 by any person not a party to it.

20. DISPUTE RESOLUTION

- 20.1 Any dispute arising in relation to any aspect of this Agreement shall be resolved in accordance with this Clause 20 (Dispute Resolution). The Councils undertake and agree to pursue a positive approach towards dispute resolution which seeks (in the context of this partnership) to identify a solution which avoids legal proceedings and maintains a strong working relationship between the Councils.
- 20.2 In the event of any dispute or difference between the Councils relating to this Agreement (whether this may be a matter of contractual interpretation or otherwise) then save in relation to disputes or disagreements relating to a Matter Reserved To The Councils, the matter shall be dealt with as follows by referral in the first instance to the Joint Committee who shall meet within ten (10) Business Days of notification of

the occurrence of such dispute and attempt to resolve the disputed matter in good faith.

- 20.3 In relation to a dispute or disagreement relating to a Matter Reserved To The Councils, or if the Joint Committee fails to resolve a dispute or disagreement within five (5) Business Days of meeting pursuant to Clause 20.2 (Dispute Resolution), or fails to meet in accordance with the timescales set out in Clause 20.2 (Dispute Resolution), then the Councils in dispute or the Joint Committee (as the case may be) may refer the matter for resolution to:-
- 20.3.1 the Chief Executive(a) or Council Leader(s) (as appropriate) of the Councils;
or
- 20.3.2 mediation by such party as the Councils may agree; or
- 20.3.3 the exclusive jurisdiction of the Courts of England and Wales otherwise.
- 20.4 Any dispute and/or disagreement to be determined by the Chief Executive(s) or Council Leaders (as appropriate), mediation or the Courts of England and Wales or such other body as agreed by the Councils (as the case may be) under this Agreement shall be promptly referred for determination to them.
- 20.5 The Councils shall on request promptly supply to the Chief Executive(s) or Council Leaders or mediator or the Courts of England and Wales (as the case may be) all such assistance, documents and information as may be required for the purpose of determination and the Councils shall use its reasonable endeavours to procure the prompt determination of such reference.
- 20.6 If a mediator is appointed to determine in dispute pursuant to Clause 20.3 (Dispute Resolution), then the mediator shall be deemed to act as an expert and not as an arbitrator and his determination shall (in the absence of manifest error) be conclusive and binding upon the Councils.
- 20.7 The costs of the resolution of any dispute and/or disagreement between the Councils under this Agreement shall be borne by the Councils on a Proportionate Basis to the dispute in question save as may be otherwise directed by the Chief Executive(s) or Council Leaders (as appropriate), the mediator or the Courts of England and Wales (as the case may be).

21. DATA PROTECTION

- 21.1 In relation to all Personal Data, each Council shall at all times comply with the DPA, (as a data controller if necessary) which includes (but is not limited to) maintaining a valid and up to date registration or notification under the DPA covering the data processing activities to be performed in connection with the City Deal.
- 21.2 Each Council:
- 21.2.1 shall process Personal Data belonging to any other Council only on the instructions of that Council (subject to compliance with applicable law);
- 21.2.2 shall only undertake processing of Personal Data reasonably required in connection with the City Deal and shall not transfer any Personal Data to any country or territory outside the European Economic Area; and
- 21.2.3 shall use its reasonable endeavours to procure that all relevant sub-contractors and third parties comply with this Clause 21.2 (Data Protection). For the avoidance of doubt a relevant sub-contractor is one which processes Personal Data belonging to the one or any of the Councils.

- 21.3 The Councils shall not disclose Personal Data to any third parties other than:
- 21.3.1 to employees and sub-contractors and third parties to whom such disclosure is reasonably necessary in order for the Councils to discharge the Councils' obligations in relation to the City Deal; or
 - 21.3.2 to the extent required under a court order or to comply with any applicable laws including (but not limited to) any statute, bye law, European Directive or regulation.
- provided that any disclosure to any sub-contractor or any third parties under Clause 21.3.1 (Data Protection) shall be made subject to written terms substantially the same as, and no less stringent than, the terms contained in this Clause 21 (Data Protection) and that the Councils shall give notice in writing to all other Councils of any disclosure of Personal Data belonging to them which they or a sub-contractor or third parties are required to make under Clause 21.3.2 (Data Protection) immediately they are aware of such a requirement.
- 21.3.3 The Councils shall bring into effect and maintain and shall use its reasonable endeavours to ensure that all relevant sub-contractors and any third parties have in effect and maintain all reasonable technical and organisational measures necessary to prevent unauthorised or unlawful processing of Personal Data and accidental loss or destruction of, or damage to, Personal Data including but not limited to taking reasonable steps to ensure the reliability and probity of any employee or agent of a relevant sub contractor or any third parties having access to the Personal Data.
 - 21.3.4 Any Council may, at reasonable intervals, request a written description of the technical and organisational methods employed by any other Council and the relevant sub-contractors referred to in Clause 21.2.3 (Data Protection) Within five (5) Business Days of such a request, the Council requested to do so shall supply written particulars of all such measures as it is maintaining detailed to a reasonable level such that the requesting Council can determine whether or not, in connection with the Personal Data, it is compliant with the DPA. All Councils shall use its reasonable endeavours to ensure that the sub-contractors and any third parties also comply with such request from any other Council.
- 21.4 All Councils shall ensure that any Personal Data they obtain and provide to any other Council has been lawfully obtained and complies with the DPA and that the use thereof in accordance with this Agreement shall not breach any of the provisions of the DPA.
- 21.5 If:-
- 21.5.1 under the DPA any Council is required to provide information to a data subject (as defined in the DPA) in relation to Personal Data when such data is in the possession or under control of any other Council; and
 - 21.5.2 the required Council informs the controlling Council in writing that this is the case,
- then the controlling Council shall guarantee reasonable and prompt co-operation to the required Council in meeting its obligations under the DPA including making copies of the relevant Personal Data to the extent the same are in its possession.
- 21.6 Each Council shall provide the other as soon as reasonably practicable, with such information in relation to Personal Data and their processing as the other Council may reasonably request in writing and the party asked to provide the relevant data may reasonably be able to provide in order for the other Council to:-

- 21.6.1 comply with its obligations under this Clause and the DPA; and
- 21.6.2 assess whether the processing of the relevant Personal Data in connection with this Agreement is breaching or may breach the DPA in a manner which is material and not effectively sanctioned by any guidance statement issued by the Information Commissioner.
- 21.7 The Councils shall each take reasonable precautions (having regard to the nature of their respective obligations under this Agreement) to preserve the integrity of any Personal Data.
- 21.8 The Councils shall continually review any existing information sharing protocols being used in relation to the City Deal to ensure they remain relevant to the City Deal and to identify which Personal Data needs to be processed and on what basis to ensure compliance with this Clause 21 (Data Protection).
- 22. FREEDOM OF INFORMATION AND ENVIRONMENT INFORMATION**
- 22.1 Each Council acknowledges that the other Councils are subject to the requirements of the Freedom of Information Act 2000 (“**FOIA**”) and the Environmental Information Regulations 2004 (“**EIR**”) and the Councils shall comply with the Accountable Body's policy on FOIA in respect of these information disclosure obligations to the extent they relate to the City Deal.
- 22.2 Where a Council receives a request for information under either the FOIA or the EIR in relation to information which it is holding on behalf of any of the other Councils in relation to the City Deal, it shall:
 - 22.2.1 transfer the request for information to the Accountable Body as soon as practicable after receipt and in any event within two (2) Business Days of receiving a request for information;
 - 22.2.2 provide the Accountable Body with a copy of all information in its possession or power in the form the Accountable Body reasonably requires within ten (10) Business Days (or such longer period as the Accountable Body may specify) of the Accountable Body requesting that information; and
 - 22.2.3 provide all necessary assistance as reasonably requested by the Accountable Body to enable the Accountable Body to respond to a request for information within the time for compliance set out in the FOIA or the EIR.
- 22.3 The Councils agree and acknowledge that the Accountable Body shall be responsible for co-ordinating any response on behalf of the relevant Councils to the extent they relate to the City Deal and all costs incurred shall be accounted for as Joint Committee Costs.
- 22.4 The Accountable Body shall be responsible for determining in their absolute discretion whether any information requested under the FOIA or the EIR:
 - 22.4.1 is exempt from disclosure under the FOIA or the EIR;
 - 22.4.2 is to be disclosed in response to a request for information.
- 22.5 Each Council acknowledges that the Accountable Body may be obliged under the FOIA or the EIR to disclose information:
 - 22.5.1 without consulting with the other Councils where it has not been practicable to achieve such consultation; or

22.5.2 following consultation with the other Councils and having taken their views into account.

23. NOTICES

23.1 Any notice or demand in connection with this Agreement to any Council shall be in writing and may be delivered by hand, prepaid first class post, special delivery post or email, addressed to the recipient at the address as the case may be set out in Schedule 3 (Councils' and Regional Programme Director's Details) or such other recipient address as may be notified in writing from time to time by any of the parties to this Agreement to all the other Councils to this Agreement.

23.2 Any notice or demand in connection with this Agreement to the Joint Committee shall be in writing and may be delivered by hand, prepaid first class post, special delivery post or email, addressed to the Regional Programme Director at the address as the case may be as set out in Schedule 3 (Councils' and Regional Programme Director's Details) or such other recipient address as may be notified in writing from time to time by the Regional Programme Director to all the Councils to this Agreement.

23.3 The notice or demand shall be deemed to have been duly served:-

23.3.1 if delivered by hand, when left at the proper address for service;

23.3.2 if given or made by prepaid first class post or special delivery post, forty-eight (48) hours after being posted (excluding days other than Business Days);

23.3.3 if given or made by email, at the time of transmission,

provided that, where in the case of delivery by hand or email such delivery or transmission occurs either after 4.00pm on a Business Day or on a day other than a Business Day service shall be deemed to occur at 9.00am on the next following Business Day.

23.4 For the avoidance of doubt, where proceedings to which the Civil Procedure Rules apply have been issued, the provisions of the Civil Procedure Rules must be complied with in respect of the service of documents in connection with those proceedings.

24. GOVERNING LAW

This Agreement and any non-contractual obligations arising out of or in connection with it shall be governed by and construed in all respects in accordance with the laws of England and Wales. Subject to Clause 20 (Dispute Resolution), the English and Welsh Courts shall have exclusive jurisdiction to settle any disputes which may arise out of or in connection with this Agreement.

25. ASSIGNMENTS

25.1 The rights and obligations of the Councils under this Agreement shall not be assigned, novated or otherwise transferred (whether by virtue of any legislation or any scheme pursuant to any legislation or otherwise) to any person other than to any public body (being a single entity) acquiring the whole of the Agreement and having the legal capacity, power and authority to become a party to and to perform the obligations of the relevant Council under this Agreement being:

25.1.1 a Minister of the Crown pursuant to an Order under the Ministers of the Crown Act 1975; or

25.1.2 any Local Authority which has sufficient financial standing or financial resources to perform the obligations of the relevant Council under this Agreement.

26. **WAIVER**

26.1 No failure or delay by any Council to exercise any right, power or remedy will operate as a waiver of it nor will any partial exercise preclude any further exercise of the same or some other right, power or remedy unless a waiver is given in writing by that Council.

26.2 Each Council shall pay their own costs incurred in connection with the preparation, execution, completion and implementation of this Agreement.

27. **ENTIRE AGREEMENT**

This Agreement contains all the terms which the parties have agreed in relation to the subject of this Agreement and supersedes any prior written or oral agreements, representations or understandings between the Councils relating to such subject matter. No Council has been induced to enter into this Agreement or any of these documents by statement or promise which they do not contain, save that this Clause shall not exclude any liability which one Council would otherwise have to the other in respect of any statements made fraudulently by that Council.

28. **COUNTERPARTS**

This Agreement may be executed in any number of counterparts each of which so executed shall be an original but together shall constitute one and the same instrument.

29. **RELATIONSHIP OF COUNCILS**

Each Council is an independent body and nothing contained in this Agreement shall be construed to imply that there is any relationship between the Councils of partnership or (except as expressly provided in this Agreement) of principal/agent or of employer/employee. No Council shall have the right to act on behalf of another nor to bind the other by contract or otherwise except to the extent expressly permitted by the terms of this Agreement. In particular for the avoidance of doubt, none of the provisions relating to the principles of working in partnership shall be taken to establish any partnership as defined by The Partnership Act 1890.

30. **STATUTORY RESPONSIBILITIES**

Notwithstanding anything apparently to the contrary in this Agreement, in carrying out their statutory duties, the discretion of any Council shall not be fettered or otherwise affected by the terms of this Agreement.

AS WITNESSED the duly authorised representatives of the Councils have signed this Agreement as a deed on the date written at the beginning of this Agreement.

Schedule 1

DELEGATIONS POLICY

DECISION	REGIONAL PROGRAMME DIRECTOR MATTER	JOINT COMMITTEE MATTER	MATTER RESERVED TO THE COUNCILS
KEY THEMES			
1. Approval and adoption of the JWA Business Plan			Yes
2. Approval and adoption of any updated JWA Business Plan save to the extent any such update amount to a material change to the prevailing JWA Business Plan (in which case the decision to approve and adopt such updated JWA Business Plan shall be a "Matter Reserved To The Councils")		Yes	
3. Approval and adoption of the Annual Business Plans and any updated Annual Business Plan		Yes	
4. Taking action outside of the parameters of the JWA Business Plan or any Annual Business Plan(s) for specific Programme Themes or approved projects agreed in the JWA Business Plan which shall include the number and scope of projects to be developed in order to provide an overall regional benefit to the Cardiff Capital Region		Yes	
ESTABLISHMENT OF A FUND			
5. Agreeing the legal structure of the Cardiff Capital Region Wider Investment Fund (e.g. a separate corporate entity established as a company or LLP, a Limited Partnership or a Block of Finance / Accountable Body arrangements)		Yes	
6. Agreeing the number of, size of and scope of any investment fund(s) within the scope of the Annual Budget set out in Clause 12.4 (Annual Budget)		Yes	
7. Agreeing any governance documentation		Yes	
8. Agreeing the investment criteria and investment policy to determine when		Yes	

DECISION	REGIONAL PROGRAMME DIRECTOR MATTER	JOINT COMMITTEE MATTER	MATTER RESERVED TO THE COUNCILS
investments should be made and their prioritisation			
9. Procuring and appointing a fund manager		Yes	
FUNDING AND EXPENDITURE			
10. Agreeing any increase to the Affordability Envelope			Yes
11. Approval of any increase to the Council Contribution above the £120,000,000 (one hundred and twenty million pounds) provided for under Clause 12.5.3 (Councils' Contribution)			Yes
12. Agreeing any extension of time beyond the six (6) month timescale set out under Clause 2.3 (Conditions Subsequent) to allow the Councils further time to approve any Welsh Government Funding conditions		Yes	
13. Waiver of any Condition Subsequent pursuant to Clause 2.3 (Conditions Subsequent)		Yes	
14. Approval of any disproportionate Internal Costs pursuant to Clause 12.2.2 (Commitment of the Councils and Contributions)		Yes	
15. Approval of expenditure within the approved Annual Budget of the Accountable Body held on behalf of the Councils set out in Clause 12.4 (Annual Budget)	Yes		
16. Approval of the Annual Budget pursuant to Clause 12.4.1(b) (Annual Budget)		Yes	
17. Approval of additional expenditure up to of 5% (five per cent) of the approved Annual Budget of the Accountable Body held on behalf of the Councils set out in Clause 12.4 (Annual Budget)		Yes	
18. Agreeing the form of the Gateway Reviews		Yes	
19. Agreeing any Welsh Government Funding conditions		Yes	
20. Approval of whether some of the HMT Contribution capital funding can be used as revenue pursuant to Clause 12.5.2(b)(v) (HMT		Yes	

DECISION	REGIONAL PROGRAMME DIRECTOR MATTER	JOINT COMMITTEE MATTER	MATTER RESERVED TO THE COUNCILS
Contribution)			
21. Entering into (or agreeing to enter into) any borrowing arrangement on behalf of the Joint Committee and/or giving any security in respect of any such borrowing		Yes	
22. Accepting terms and conditions in relation to any third party funding for the City Deal		Yes	
GENERAL			
23. Replacement of the Accountable Body pursuant to Clause 4.2		Yes	
24. Establishment of a sub-committee pursuant to this Agreement and determining their terms of reference and scope of delegation.		Yes	
25. Making any variations to or waiving any rights to or terminating any contracts signed by Councils / the Accountable Body (other than this Agreement) which are material to the City Deal.		Yes	
26. Amendments to the terms of this Agreement		Yes	
27. The engagement of (and terms of engagement of) any individual person as a consultant where the value of the appointment does not exceed £50,000 per Accounting Period	Yes		
28. Commencing any claim, proceedings or other litigation brought by or settling or defending any claim, proceedings or other litigation brought against the Joint Committee or individual Council in relation to the City Deal, except in relation to debt collection in the ordinary course of business.		Yes	
29. Making any announcements or releases of whatever nature in relation to the Joint Committee and the City Deal		Yes	
30. Appointment of Regional Programme Director		Yes	
31. Any other matters not covered in this Schedule 1 (Delegations Policy)		Yes	

Schedule 2**TERMS OF REFERENCE****PART 1****JOINT COMMITTEE TERMS OF REFERENCE****Aims/Purpose**

1. To oversee the progress the City Deal and to give strategic direction.
2. The Joint Committee will be the key body to oversee the City Deal and to represent the interests of the Councils and its stakeholders. The Joint Committee will also be responsible for monitoring project progress and managing the political dimensions of the City Deal.
3. It is recommended that the Joint Committee will carry out the following functions:
 - Determine the form of and number of fund(s) to deliver the City Deal.
 - Agree key projects to deliver the City Deal excluding the South East Wales Metro Scheme
 - Provide strategic direction to the Regional Programme Director (to include approval of remit for the Regional Programme Director and approval of any resourcing issues)
 - Act as a representative for each of the Councils to ensure consistency with individual objectives and visions
 - Monitor performance, management and working arrangements (to include the necessary audit and assurance checks)
 - Ensure that sufficient resources are committed to the City Deal
 - Arbitrate on any conflicts within the programme or negotiate a solution to any problems between the programme and external bodies
 - Communicate and provide progress on strategic issues within the City Deal
 - Promote partnership working between the Councils
 - Publish annual governance statement and Annual Accounts in accordance with the Assurance Framework
 - Liaise with other City Deal partners across the United Kingdom to share best practice and ensure a co-ordinated strategic approach

Terms

4. At the start of the City Deal, to agree:
 - The project plan to include key themes and funds to be progressed
 - Decision-making process prior to making recommendations to Cabinet
5. During the planning and development stages, to:
 - Review project status against the project plan
 - Monitor the management of project budget, risks and quality
 - Promote and support the project among relevant stakeholders and where appropriate obtain their consent.
 - Seek to resolve disputes where these cannot be resolved satisfactorily through other means
 - Ensure that the proposals are affordable and deliver maximum value for money for the public sector.

Procurement of contracts for goods, works or services

6. Where the Joint Committee is procuring any goods, works or services, at the start of a procurement, the Joint Committee shall agree:
 - Measures against which the benefits realisation should be measured
 - Arrangements for quality assurance and risk management
 - Arrangements for communications
 - Arrangements for procurement launch for specific projects (where appropriate)

7. As the procurements progress, to:
 - Review the project status against the project plan
 - Monitor the management of procurement budget, risks and quality
 - Agree progression through key stages (eg including but not limited to issue of the OJEU, pre-qualification stage and preferred bidder stage) and obtain all associated 'sign-offs'.
 - Agree draft procurement documents
 - Agree the process for evaluating bids and the detailed evaluation criteria and scoring
 - Report to the Cabinet on the progress of the procurement
 - Act as the ambassadors for the procurement and the project it facilitates

8. At the end of the procurement, to:
 - Ensure that the expected products have been delivered satisfactorily
 - Ensure that the pre contract risk review is completed
 - Agree any financial business cases and recommend it to Cabinet
 - Recommend award of contract to Cabinet and obtain all final 'sign-offs'.

PART 2

PROGRAMME BOARD TERMS OF REFERENCE

To be finalised and inserted by agreement of the Councils as a Joint Committee Matter

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Schedule 3

COUNCILS' AND REGIONAL PROGRAMME DIRECTOR'S DETAILS

RECIPIENT'S NAME	ADDRESS	EMAIL
Blaenau Gwent Council: Managing Director	Municipal Offices, Civic Centre, Ebbw Vale, Gwent, NP23 6XB	Stephen.Gillingham@blaenau- gwent.gov.uk
Bridgend Council: Chief Executive	Civic Offices, Angel Street, Bridgend, CF31 4WB	darren.mepham@briegend.gov.uk
Caerphilly Council: Chief Executive	Penallta House, Tredomen Park, Ystrad Mynach, Hengoed, CF82 7PG	chrisburns@carerdphilly.gov.uk
Cardiff Council: Chief Executive	County Hall, Atlantic Wharf, Cardiff, CF10 4UW	paul.orders@cardiff.gov.uk
Merthyr Tydfil Council: Chief Executive	Civic Centre, Castle Street, Merthyr Tydfil, CF47 8AN	chief.executive@merthyr.gov.uk
Monmouthshire Council: Chief Executive	Croesyceilog, Cwmbran, NP4H	PaulMatthews@monmouthshire.gov. uk
Newport Council: Chief Executive	Civic Centre, Newport, NP20 4UR	will.gogfrey@newport.gov.uk
Rhondda Cynon Taf Council: Chief Executive	The Pavilions, Cambrian Park, Clydach Vale, Tonypany, CF40 2X	christopher.d.bradshaw@rctcbc.gov. uk
Torfaen Council: Chief Executive	Civic Centre, Pontypool, NP4 6YB	alison.ward@torfaen.gov.uk
The Vale of Glamorgan County Borough Council: Managing Director	Civic Offices, Holton Road, Barry, CF63 4RU	drthomas@valeofglamorgan.gov.uk
Regional Programme Director	Civic Offices, Angel Street, Bridgend, CF31 4WB	Sheila.Davies@bridgend.gov.uk

Schedule 4**HEADS OF EXPENDITURE**

1. The following is a non-exhaustive list of the heads of expenditure that may be incurred by the Councils in the City Deal:-
 - 1.1 **"Internal Costs"** means the costs associated with each Council providing internal Council resources in relation to the City Deal which includes but is not limited to:
 - 1.1.1 Staffing costs and associated overheads
 - 1.1.2 Project management / technical & admin support
 - 1.1.3 Communications
 - 1.1.4 costs incurred in respect of managing FOIA requests pursuant to Clause 22 (Freedom of Information and Environmental Information)
 - 1.2 **"Joint Committee Costs"** means the operational and management costs of the Joint Committee which includes but is not limited to
 - 1.2.1 Staffing costs and associated overheads
 - 1.2.2 Project management / technical & admin support
 - 1.2.3 Communications
 - 1.2.4 Translation Costs
 - 1.3 For the avoidance of doubt, Internal Costs and Joint Committee Costs do not include any revenue costs or capital investment relating to the implementation of any project pursuant to an Annual Business Plan.

Schedule 5**ACCOUNTING PERIODS**

The initial Accounting Period shall be the date of this Agreement until 31st March and thereafter shall be as follows:

Start of Accounting Period	End of Accounting Period
1 April	30 June
1 July	30 September
1 October	31 December
1 January	31 March

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Schedule 6

LIABILITY REPORT

The Liability Report shall include (but shall not be limited to) irrecoverable expenditure incurred and committed in relation to the following:

	<u>Amount</u> (all figures in round pounds)
Any committed costs including but not limited to those set out in Clause 15.5 (Withdrawal)	
Procurement Costs	
Costs associated with delays and having to revisit any procurements (including but not limited to the cost of legal, financial and technical advice)	
Land costs – costs associated with identifying and procuring land	
Staff costs (and associated overheads) in progressing the scheme:- <ul style="list-style-type: none"> a) Consultancy / Advisors fees b) Internal Project Management and monitoring c) Internal Professional advice 	
All other reasonable and properly incurred costs and losses (to include the cost of preparing the Liability Report)	
Any costs, claims and damages arising from any third parties in respect of any costs relating to any delay or arising from the termination	

Certified Correct _____
(Signed)

(Date)

Schedule 7

CITY DEAL

Cardiff Capital Region City Deal

Executive Summary

1. Cardiff Capital Region has secured a deal worth £1.2 billion. Over its lifetime, local partners expect the City Deal to deliver up to 25,000 new jobs and leverage an additional £4 billion of private sector investment.

2. This City Deal will provide local partners with the powers and the resources to unlock significant economic growth across the Cardiff Capital Region. It is a deal that builds on the region's sectoral strengths, its high skill base and three successful universities. The City Deal also provides an opportunity to continue tackling the area's barriers to economic growth by: improving transport connectivity; increasing skill levels still further; supporting people into work; and giving businesses the support they need to innovate and grow.

3. This deal will also develop stronger and more effective leadership across the Cardiff Capital Region, enabling ten local authority leaders to join up decision making, pool resources and work more effectively with local businesses.

4. The Cardiff Capital Region City Deal includes:

- **£1.2 billion investment in the Cardiff Capital Region's infrastructure.** A key priority for investment will be the delivery of the South East Wales Metro, including the Valley Lines Electrification programme.
- **Connecting the region.** The Cardiff Capital Region will establish a new non-statutory **Regional Transport Authority** to co-ordinate transport planning and investment, in partnership with the Welsh Government.
- **Support for innovation and improving the digital network.** To develop capabilities in Compound Semiconductor Applications the UK Government will invest £50 million to establish a new Catapult Centre in Wales. The Cardiff Capital region will also prioritise investment in research and development and provide support for high value innovative businesses.
- **Developing a skilled workforce and tackling unemployment.** The Cardiff Capital Region Skills and Employment Board will be created (building on existing arrangements) to ensure skills and employment provision is responsive to the needs of local businesses and communities. The Cardiff Capital Region and the Welsh Government will work with the Department of Work and Pensions to co-design the future employment support from 2017, for people with a health condition or disability and/or long term unemployed.
- **Supporting enterprise and business growth.** A Cardiff Capital Region Business Organisation will be established to ensure that there is a single voice for business to work with local authority leaders.
- **Housing development and regeneration.** The Welsh Government and the Cardiff Capital Region commit to a new partnership approach to strategic planning. This will ensure the delivery of sustainable communities, through the use and re-use of property and sites.

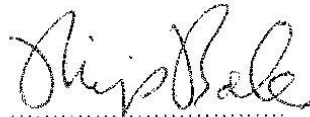
Our signing of this document, subject to relevant council approvals, confirms our joint commitment to ensure full implementation of the Cardiff Capital Region City Deal proposed by: City of Cardiff Council; Blaenau Gwent County Borough Council; Bridgend County Borough Council; Caerphilly County Borough Council; Merthyr Tydfil County Borough Council; Monmouthshire County Council; Newport City Council; Rhondda Cynon Taff County Borough Council; Torfaen County Borough Council; and Vale of Glamorgan Council.



The Rt Hon Stephen Crabb
Secretary of State for Wales



The Rt Hon Carwyn Jones
First Minister of Wales



Cllr. Phil Bale
Leader of City of Cardiff
Council



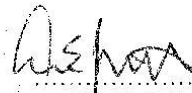
The Rt Hon Greg Hands
Chief Secretary to the
Treasury



Jane Hutt
Minister for Finance and
Government Business
Welsh Government




Cllr. Steve Thomas
Leader of Blaenau Gwent
County Borough Council



Cllr. M E J Nott OBE
Leader of Bridgend County
Borough Council



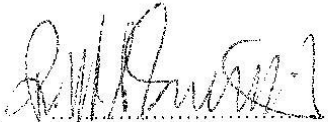
Cllr. Keith Reynolds
Leader of Caerphilly County
Borough Council



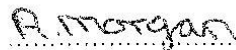
Cllr. Brendan Toomey
Leader of Merthyr Tydfil
County Borough Council



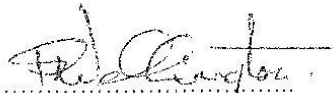
Cllr. Peter Fox
Leader of Monmouthshire
County Council



Cllr Bob Bright
Leader of Newport City
Council



Cllr. Andrew Morgan
Leader of Rhondda Cynon
Taff County Borough
Council



Cllr. Robert Wellington CBE
Leader of Torfaen County
Borough Council



Cllr. Neil Moore
Leader of Vale of
Glamorgan Council

Introduction

5. The Cardiff Capital Region is comprised of ten local authorities: Blaenau Gwent; Bridgend; Caerphilly; Cardiff; Merthyr Tydfil; Monmouthshire; Newport; Rhondda Cynon Taff; Torfaen; and Vale of Glamorgan. It is the largest city-region in Wales and accounts for approximately 50% of the total economic output of the Welsh economy, 49% of total employment and has over 38,000 active businesses.

6. The Cardiff Capital Region is an area where people want to live and work. With two cities (Cardiff and Newport) at its core, the region has seen significant regeneration and investment over recent decades. Cardiff, as the capital city, is now dynamic, fast growing and forecast to have a higher population growth rate over the next 20 years than any other city in the UK.

7. The area is home to a range of competitive business clusters with significant international and indigenous businesses across sectors such as: financial services; creative and digital industries; advanced manufacturing; life sciences; energy; and energy supply. These business clusters are serviced through a wide and supportive ecosystem. This ecosystem contains a thriving higher education sector which includes Cardiff University, Cardiff Metropolitan University and the University of South Wales..

8. However, despite these strengths, numerous challenges remain. Gross Value Added, which is a measure of goods and services produced in an area, is lower than all but one of the English Core City Regions. There are also connectivity issues across the region which makes it more difficult for people in Valley's communities to access economic opportunities.

9. Recognising these opportunities and challenges all the signatories to this deal are working together to realise the vision for the Cardiff Capital Region, which is to: *“work together to improve the lives of people in all our communities. We will maximise opportunity for all and ensure we secure sustainable economic growth for future generations”*. This City Deal provides local partners with further powers and tools to realise this vision.

Key Elements of the Deal

Cardiff Capital Region Investment Fund

10. This City Deal sets out a transformative approach in how the Cardiff Capital Region will deliver the scale and nature of investment needed to support the area's growth plans. Central to this will be the development of a 20 year £1.2 billion Investment Fund, which the Cardiff Capital Region will use to invest in a wide range of projects.

11. Both the UK and Welsh Government are contributing £500 million to this fund respectively. The Welsh Government funding will be provided over the first seven years of the Investment Fund, from 2016/17 to 2022/23. The ten local authorities in the Cardiff Capital Region will contribute a minimum of £120 million over the 20 year period of the Fund. In addition, over £100m from the European Regional Development Fund has been committed to delivering the City Deal.

12. The Cardiff Capital Region believes investments in these areas will deliver up to 25,000 new jobs and bring forward at least £4 billion of additional investment from local partners and the private sector by 2036.

South East Wales Metro

13. A key priority, which the City Deal Investment Fund will support, is the delivery of the South East Wales Metro. The scheme has the potential to provide a significantly improved public transport system that will transform the way people travel around the region.

14. Given the importance of the Metro to the UK Government, Welsh Government and Cardiff Capital Region, a proportion of the Investment Fund will be pre-allocated to the delivery of this scheme. This pre-allocation focuses on both phases of the wider Metro scheme. These are:

- The delivery of the Valley Lines Electrification programme. This City Deal reconfirms the continued shared ambition of both Government's and the Cardiff Capital Region to deliver this element of the wider Metro scheme. £325 million of the £1.2 billion Investment Fund has already been committed to the delivery of this scheme (£125 million from the UK Government, £94 million from the Welsh Government and £106 million from the European Regional Development Fund).
- The delivery of the wider South East Wales Metro scheme. The Welsh Government will pre-allocate over £400m further funding from the Investment Fund to deliver the wider ambitions around the Metro scheme, which is the subject of ongoing design work. As part of this City Deal the Welsh Government commits to involving the Cardiff Capital Region in the co-design of the wider Metro scheme and in the procurement of a delivery organisation.

15. The Department for Transport will agree the arrangements for making the agreed contribution to the Valley Lines Electrification project with the Welsh Government.

The Welsh Government will agree with the local authorities the arrangements for managing the funding of the Metro scheme, and how it interacts with funding for additional Metro investments delivered through this City Deal.

Wider Investment Priorities

16. The remaining element of the Investment Fund will be used to take forward a wide range of projects and schemes that support economic growth across the Cardiff Capital Region. Decisions on the prioritisation of these schemes will be taken by the Cardiff Capital Region Cabinet. Schemes taken forward could include: further transport schemes; investment to unlock housing and employment sites; and development of research and innovation facilities.

Investment Fund Assurance Framework

17. The ten local authorities across the Cardiff Capital Region commit to writing and adopting an assurance framework for this Investment Fund. This will be agreed by the UK and Welsh Government. By adopting the assurance framework prior to the commencement of the Investment Fund, the Cardiff Capital Region will ensure that schemes that are taken forward (outside of the South East Wales Metro which will be subject to a separate assessment against an assurance framework) represent good value for money and are underpinned by a robust business case.

18. This assurance framework will be based on existing best practice from the UK Government and Welsh Government. In addition the framework will also draw upon any local best practice for managing investment decisions across the Capital Region. Key elements that the assurance framework will include are:

- purpose, structure and operating principles of the framework;
- arrangements to ensure value for money and effective delivery through strong project development, project and options appraisal, prioritisation, and business case development;
- a description of the arrangements for supporting the effective delivery and implementation of projects and schemes, including relationships with delivery bodies; and
- arrangements which enable effective and meaningful engagement of local partners and the public in the investment decisions taken and subsequent scrutiny of these decisions.

Investment Fund Gateway Assessments

19. Cardiff Capital Region will be required to evaluate the impact of the Investment Fund in order to unlock funding that has not been pre-allocated to the South East Wales Metro programme. This will be comprised of gateway assessments every five years. To underpin these gateway assessments, an independent review will be commissioned to evaluate the economic benefits and economic impact of the investments made under the scheme, including whether the projects have been delivered on time and to budget. This assessment will be funded by the Cardiff Capital Region, but agreed at the outset with the UK Government. The next five year tranche of funding will be unlocked if the UK and Welsh Governments are satisfied

that the independent assessment shows the investments to have met key objectives and contributed to national growth.

Local Authority Borrowing

20. Throughout the course of the City Deal programme the ten Cardiff Capital Region local authorities will be responsible for financing the capital investment programme. The difference in the profile between the proposed investment and the capital grant funding may require a local authority or authorities to borrow to fund any difference in expenditure and grant. The cost of any external borrowing is the responsibility of the relevant local authority or local authorities and is to be managed in accordance with prudential principles – it must be prudent, affordable and sustainable.

21. In a scenario where a future Investment Fund Gateway is not achieved, leading to any reduction or cessation of City Deal grant, then it will be the responsibility of individual local authorities within the Cardiff Capital Region to manage the financial impact of this within their local authority budget, utilising reserves or surpluses as required.

Additional Flexibilities

22. In order to deliver the Cardiff Capital Region's City Deal commitments and a longer-term economic strategy, the ten local authorities have requested greater financial autonomy and flexibility. As part of this City Deal the Welsh Government will explore with the Cardiff Capital Region:

- the devolution of business rate income above an agreed growth baseline to provide funding for the City Deal programme;
- providing the ability to levy an infrastructure supplement;
- creating the option for the local authorities to use alternative finance sources; and
- removing conditions around some specific Welsh Government grants, to allow funding to be pooled at the regional level in areas such as school support and interventions that seek to address poverty.

Connecting the Cardiff Capital Region

23. Transport has a key role in delivering economic growth and improving outcomes for people by connecting communities, business, jobs, facilities and services. However across the Capital Region there are significant congestion and transport capacity issues that need to be addressed. The City Deal Investment Fund and South East Wales Metro will make a significant contribution to improving transport connectivity.

24. In addition to this investment the Cardiff Capital Region will establish a new non-statutory Regional Transport Authority to co-ordinate transport planning and investment, in partnership with the Welsh Government. The Cardiff Capital Region Transport Authority will be responsible for:

- pooled local transport resources;
- regional planning for the local transport network;

- working with Transport for Wales to ensure objectives for transport investment are aligned;
- exploring the creation of a single integrated ticketing platform for public transport across the Cardiff Capital Region;
- working in partnership with the Welsh Government to define the priorities of the South East Wales Metro concept and to support its delivery; and
- working in partnership with the Welsh Government to promote the development of integrated aviation routes from Cardiff Airport and St Athan Enterprise Zone, to deliver economic benefit.

Investing in Innovation and the Digital Network

25. The Cardiff Capital Region has an aspiration to extend the “arc of innovation” that runs along the M4 corridor into the Cardiff Capital Region. Capitalising on the research strengths of the Region’s three universities, the Cardiff Capital Region will designate an “Innovation District” that helps to: create and nurture new high growth businesses; increases investment in research and development; and provides the skills that businesses need now and in the future.

Developing the Compound Semiconductor Sector

26. To transform the UK’s capability, and help position Cardiff as the European leader in Compound Semiconductor applications, the UK Government will invest £50 million to establish a new Catapult in Wales. This new Catapult will complement the work of other organisations in Wales who are already working in this important area, including the Compound Semiconductor Institute at Cardiff University and the Compound Semiconductor Centre, a joint venture between Cardiff University and IQE.

27. Recognising this opportunity, the Cardiff Capital Region will prioritise interventions that support the development of an internationally-competitive Compound Semi- Conductor cluster. Local partners believe that this will put the UK at the heart of an emerging global growth technology.

Innovation Investment

28. To accelerate the growth of innovation and facilitate investment in research and development, the Cardiff Capital Region will seek to prioritise:

- mechanisms to support high growth sectors;
- the development of new facilities and employments sites;
- new approaches to public service delivery;
- the Software Academy in Newport and related programmes across the Capital Region;
- investment in intellectual property creation and commercialisation;
- adding value and complimenting existing innovation support; and
- developing a cyber-security academy with the University of South Wales.

Innovate UK

29. Innovate UK is now planning to increase its footprint and presence in Wales, in order to: raise the awareness and engagement in Innovate UK programmes and activities; to strengthen its links with business, universities and other key partners; and to work with the Welsh Government to promote and support innovation.

Data

30. Cardiff Capital Region commits to developing proposals for how better and more flexible use of data could be used to drive innovation across the public sector and within the wider economy. The Cardiff Capital Region will present a clear case to the UK Government for how a different approach to the use of specific data would improve service delivery and would benefit particular groups.

The Digital Network

31. Innovation will also be a central theme within the Cardiff Capital Region's ambition to deliver an outstanding digital infrastructure and wider ecosystem to support economic growth. To continue to build on investments in next generation broadband, and the Region's reputation as one of the fastest growing tech hubs in the UK, the Cardiff Capital Region will prioritise:

- exploring the case for direct international connectivity;
- the mobile infrastructure across 4G and 5G technologies that add value to existing provision;
- increasing Wi-Fi services across public transport;
- digital solutions to solve the big problems, such as smart housing, citizen payments and open data challenges; and
- facilitating collaboration between stakeholders to identify and exploit opportunities.

Developing a Skilled Workforce and Tackling Unemployment

32. This City Deal will improve the co-ordination and delivery of skills and employment support across the Capital Region. It will help to increase the number of people moving into work (including those that have been out of work for a long time), increase the number of people undertaking an apprenticeship or other relevant skills provision and give people the skills they need to compete in a global employment market.

The Cardiff Capital Region Skills and Employment Board

33. To ensure skills provision is adapted to local economic and social needs and provides the best value for money, the Cardiff Capital Region will strengthen the existing Learning, Skills and Innovation Partnership. This will be re-launched in 2016 as the Cardiff Capital Region Skills and Employment Board.

34. The Partnership will represent a wide range of stakeholders, including: business bodies; higher and further education; local authorities and the Welsh Government.

It will be responsible for:

- Cardiff Capital Region's skills and worklessness strategy;
- pooled local authority skills resource;
- producing an annual regional plan for employment and skills. This annual plan, led by industry, will set out how both the existing skills needs of businesses and the Capital Region's future skills challenges will be addressed;

- influencing and monitoring the delivery and impact of employment and skills programmes across the Region;
- ensuring an industry led approach to the design and delivery of apprenticeship programmes meets the needs of both business and apprentices;
- supporting the Welsh Government’s “Curriculum for Wales, Curriculum for Life” plan, by encouraging closer alignment between future employer skills needs and education provision across the region; and
- ensuring European Union funding investments in skills and employment add value and align with other programmes.

Work and Health Programme

35. Cardiff Capital Region and the Welsh Government will work with Department for Work and Pensions to co-design future employment support from 2017, for people with a health condition or disability and/or long term unemployed¹, many of whom are currently referred to the Work Programme and Work Choice.

36. The respective roles of the Department for Work and Pensions and Cardiff Capital Region in the co-design include:

- Department for Work and Pensions setting the funding envelope; however Cardiff Capital Region and the Welsh Government can top up this if they wish, but are not required to.
- Cardiff Capital Region and the Welsh Government setting out how they will join up local public services in order to improve outcomes for this group.
- Department for Work and Pensions setting the high level performance framework, ensuring support appropriately reflects labour market issues. The primary aim will be to reduce unemployment and move people into sustained employment.
- Cardiff Capital Region (working with the Welsh Government) will have input into determining specific local outcomes that reflect their labour market priorities, however these outcomes should be complementary to the ultimate employment outcome. In determining any local outcome(s) Cardiff Capital Region and the Welsh Government will work with the Department for Work and Pensions to take account of the labour market evidence base and articulate how these will both fit within the wider strategic and economic context and deliver value for money.

37. Before delivery commences the Department for Work and Pensions, Cardiff Capital Region and the Welsh Government will set out an agreement covering the respective roles of each party in the delivery and monitoring of the support. This will include a mechanism by which each party can raise and resolve any concerns that arise.

38. The Department for Work and Pensions sets the contracting arrangements, including contract package areas, but should consider any proposals from Cardiff Capital Region on contract package area geography.

39. Providers will be solely accountable to the Department for Work and Pensions, although Cardiff Capital Region and the Welsh Government will be involved in the tender evaluation.

40. The Department for Work and Pensions and Cardiff Capital Region will develop a mechanism by which Cardiff Capital Region (working with the Welsh Government) can escalate to the Department for Work and Pensions any concerns about provider performance/reaching local agreements and require the Department for Work and Pensions to take formal contract action where appropriate.

Supporting Enterprise and Business Growth

41. The Cardiff Capital Region is committed to improving the co-ordination of local and national business support arrangements. This includes working in partnership with the Welsh Government to address identified barriers to growth, support spatial and sectoral priorities and to target emerging opportunities for driving economic performance.

The Cardiff Capital Region Business Organisation

42. Local partners recognise that ensuring there is a strong business voice to guide both the design and delivery of business support across the region will be critical.

43. Therefore working with public sector partners, the business community, and representative bodies, Cardiff Capital Region will establish a Cardiff Capital Regional Business Organisation. This organisation will provide a clear business voice that will influence and shape business support programmes. In creating the Board, a mapping and consultation process will be undertaken with existing advisory Boards operating within the Region. This will ensure roles and remits are complimentary and add value. The Board will be responsible for:

- articulating the regional needs of business;
- identifying regional priorities for existing business support services; and
- designing future business support programmes.

44. Membership will be drawn from across a range of sectors and interests, including social enterprises and mutuals. A joint Confederation of British Industry, Federation of Small Business, Institute of Directors and South Wales Chamber of Commerce statement outlined the underlying principles for the Business Organisation. The final structure will be designed by the Cardiff Capital Region business community.

Integration of Local Business Support Services and Resources

45. To ensure that relevant business support and promotional activities are delivered at the Capital Region level, local resources will be aligned to create an Integrated Delivery Unit. This unit will deliver regionally significant aspects of economic development. This includes: business development; marketing; tourism; and inward investment.

46. The Integrated Delivery Unit, working in collaboration with the Welsh Government and the proposed Regional Business Organisation, will ensure that any new business support provision complements existing national initiatives. In addition, through this collaborative approach, the Welsh Government is committed to working with the Cardiff Capital Region to explore where existing business support provision can be built on or expanded, whilst avoiding duplication. A number of existing programmes (for example Business Wales, which offers a one stop shop advice and referral service to SMEs and Entrepreneurs) have already been designed through consultation with industry and have the potential to be aligned with identified regional needs and priorities.

47. Further to this, the Welsh Government is also committed to working in partnership with the Cardiff Capital Region to promote the area at a global level. As part of this, the Welsh Government will ensure greater levels of visibility with the Welsh Government's own overseas offices. In addition the Welsh Government will

continue to work closely with UK Trade and Investment to ensure that its propositions are promoted and co-ordinated across the UK Trade and Investment overseas post network.

Housing Development and Regeneration

48. Delivering an increase in house building across the Cardiff Capital Region will help to address critical housing shortages especially for first time buyers and those unable to join the 'housing ladder'. House building is also a critical element of the economy as it: stimulates demand within the supply chain during construction and through purchases by the eventual occupiers; contributes to a more balanced regional planning framework; and is a major employer in its own right.

49. The City Deal presents a unique opportunity for the ten local authority areas to come together to develop and deliver a strategic approach to housing, regeneration and economic growth which will create an accessible, liveable, 'worklife integrated' and highly connected Capital Region. To support this ambition the Cardiff Capital Region will:

- Commit to the development of a partnership between the Cardiff Capital Region and the Welsh Government to take a strategic and balanced approach to housing and regeneration, focussing development on where it is most needed – in a regional and coordinated way.
- Ensure that new housing is linked to the delivery of sustainable and balanced communities, through the re-use of property and sites. Further, both the Welsh Government and Cardiff Capital Region will ensure that proposals to improve the efficiency and quality of the housing stock are aligned with other regeneration outcomes.
- Establish a collective way of working, for example, through an asset development vehicle to progress speculative opportunities for potential Cardiff Capital Region regeneration ventures.
- Develop an integrated public-private housing offer, with clarity over tenure, mix type, design and affordability with prototyping for 'settlements of the future'.
- Utilise innovation in local procurement to secure supply chain benefits, local labour and other social clauses to maximise value.
- Establish the delivery of renewable energy-led regeneration and housing programmes and ensure the principles of 'clean-tech' are anchored within physical development initiatives. This will contribute to ensuring 'futureproofing' and creation of new supply chain networks.
- Engage the affordable housing sector providers in the region as one network. Working with Cardiff Capital Region this network will develop a regional "Housing Plus" strategy in which added value benefits such as training construction apprenticeships, energy resilience and job creation are clearly set out and adopted. This will provide a framework against which site regeneration schemes can be prioritised for investment.

50. In both the planning and delivery of new housing and regeneration projects, the Cardiff Capital Region will ensure that there is alignment to current Welsh Government programmes including Creating Vibrant and Viable Places – the Welsh Government's regeneration framework and increasing the supply and standards of housing.

Cardiff Capital Region Governance

51. The ten local authority partners of the Cardiff Capital Region City Deal have agreed to establish governance model that:

- complies with the existing statutory framework that exists in Wales to deliver this City Deal;
- strengthens and streamlines the existing governance and partnership arrangements across the Capital Region;
- improves business involvement in local decision making;
- provides confidence and assurance to both the UK and Welsh Government that the local authority leaders are making decisions which will drive economic growth across the Capital Region; and
- enables local authorities to explore with the Welsh Government alternative governance arrangements in the medium term.

Cardiff Capital Region Cabinet

52. Utilising the existing statutory framework, the ten local authorities will establish a Cardiff Capital Region Cabinet. The Cabinet will have the status of a Joint Committee and will be the ultimate decision making body in the governance structure.

53. The establishment of a Capital Region Cabinet will be the first step in the development of greater city-region governance across the Cardiff Capital Region. The Cabinet, which will comprise the ten participating local authorities, will provide the basis for initial decision making regarding the Investment Fund. In addition the Cardiff Capital Region Cabinet will be responsible for:

- management of the Cardiff Capital Region Investment Fund;
- additional devolved funding provided to the Capital Region;
- the Cardiff Capital Region Transport Authority;
- contracting with Transport for Wales on prioritised Metro projects;
- control over devolved business rate income above an agreed growth forecast, subject to Welsh Government agreement;
- strategic planning including housing, transport planning and land use;
- influencing skills and worklessness programmes;
- an Inward investment and marketing strategy; and
- considering the scope for strengthening Capital Region governance further.

54. A comprehensive agreement will be drawn up between the participating authorities which will bind and commit each individual local authority and any successor authority (in the event of local government re-organisation) for such duration as is necessary to deliver the City Deal. The agreement will also allow for the possibility of additional functions and powers to be devolved to the Cabinet in the future.

55. The Cardiff Capital Region commit to reviewing the City Deal governance and exploring the future options for moving to even stronger and effective governance that is legally binding. The review will include consulting the Welsh Government and the UK Government to identify actions needed to take forward future governance options.

Strategic Regional Planning

56. The Cardiff Capital Region, in partnership with the Welsh Government, will commit to the creation of an integrated strategic development plan that incorporates housing and employment land-use with wider transport plans. The strategic plan will provide the underpinning blue-print for development across the city-region.

Cardiff Capital Region Economic Growth Partnership

57. A Cardiff Capital Region Economic Growth Partnership will be established to bring together business, higher education and local government. The partnership would be responsible for setting the overarching city-region economic development strategy, as well as monitoring and making recommendations to the Cabinet with regard to City Deal implementation. The partnership will have a specific role to provide advice on investment decisions. This will ensure the City Deal and other interventions make an impact on economic growth and increase employment.

58. The Partnership's membership and terms of reference will be established using the best international practice such as the Danish Growth Forums, as well as the Local Enterprise Partnership model in England and the Economic Leadership Board established in Glasgow.

Independent Growth and Competitiveness Commission

59. The Cardiff Capital Region will establish an independent Growth and Competitiveness Commission to support the city region's economic and investment strategy. It will review activities related to the City Deal as well as wider economic and growth interventions.

60. The Commission's first task will be to review the evidence about the functional economic area and advise how best to generate Gross Value Added growth and support the ambitions of a dynamic capital region.

61. The Commission will be jointly established by the ten local authorities that comprise the Cardiff Capital Region in consultation with the Welsh and UK Governments.

62. The Commission will examine the challenges and opportunities for economic growth and competitiveness and make recommendations for how the Cardiff Capital Region can achieve its full growth potential.

Delivery, Monitoring and Evaluation

63. Cardiff Capital region will work with the UK Government and the Welsh Government to develop an agreed implementation, monitoring and evaluation plan in advance of implementation, which sets out the proposed approach delivery and evaluating the impact of delivery.

64. The Cardiff Capital Region City Deal will be monitored by the Joint Cabinet. The joint programme management team will provide the Cabinet, the UK Government and the Welsh Government with quarterly performance report that will:

- highlight City Deal successes;
- provide a performance narrative for each element of the City Deal against agreed implementation plan timescales;
- provide information on outputs and outcomes agreed;
- identify mitigating actions for projects and programmes that are not being delivered to agreed timescales.

65. The UK Government and Welsh Government will work with the Cardiff Capital Region to agree a timetable for the production of these reports and will convene regular progress meetings.

66. The Cardiff Capital Region commit to recognising the “City Deal” in promoting and branding investments made as a result of this Deal. This includes acknowledging the UK Government equally alongside other funding partners. The Cardiff Capital Region may wish to explore a single unique brand identity that represents the whole Capital Region area and all the partners involved in delivering the City Deal.

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Schedule 8

ASSURANCE FRAMEWORK



**Cardiff Capital Region City Deal
Wider Investment Fund
Assurance Framework**

January 2017

DRAFT FOR CIRCULATION

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1 Introduction

1.1 What is an Assurance Framework?

An Assurance Framework is a set of systems, processes and protocols designed to provide an evidence-based and independent assessment of the governance, risk management, and control processes of an organisation. The independence inherent to the Assurance Framework is derived from the separation between the sponsorship of projects/programmes and their appraisal and evaluation.

The Assurance Framework demonstrates how organisations will monitor, measure and scrutinise how objectives are being met and risks managed. It also details the processes used to ensure an adequate response to risks or lack of performance.

HM Treasury define Assurance Frameworks as “an objective examination of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organisation.”

1.2 Why does the CCRCD need Assurance Frameworks?

Adherence to the processes detailed in this Assurance Framework will assist in ensuring that funding and resources utilised for the purposes of the Cardiff Capital Region City Deal Wider Investment Fund (Wider Investment Fund) will be used appropriately to deliver stated outcomes.

1.3 Scope of the CCRCD Wider Investment Fund Assurance Framework?

The Cardiff Capital Region City Deal Investment Fund is a £1.229 billion fund consisting of a pre-allocated sum of £734m to the Metro Project and £495m to the Wider Investment Fund.

This Assurance Framework will apply to the Wider Investment Fund consisting of £375m funding provided by the UK Government and £120m committed by the constituent authorities.

The Assurance Framework will also apply to any:

- additional devolved funding provided to the Cardiff Capital Region;
- additional borrowing by the constituent authorities provided to the Cardiff Capital Region; and
- devolved business rate income above an agreed growth forecast, subject to Welsh Government agreement.

This framework does not extend to the Metro Project funding of £734m (consisting; £125m UK Government; £503m Welsh Government; and £106m ERDF funding) which is covered by a separate Assurance Framework.

1.4 Who is the Assurance Framework for?

The commitment to utilise the processes detailed in this Assurance Framework provides surety to the Welsh Government and UK Government related to funding provided for the CCRCD Wider Investment Fund.

The Assurance Framework is also designed to provide Constituent and non-Constituent Authorities, stakeholders, businesses and the public confidence in the activities associated with the Wider Investment Fund.

1.5 Approval and Monitoring of the Assurance Framework

Both the Welsh Government and UK Government must formally approve this Assurance Framework and any proposed amendments and may, from time to time, monitor its use.

The Accountable Body, for the Wider Investment Fund is responsible for ensuring adherence to the Assurance Framework. The Cardiff Capital Region Joint Assurance Committee will provide an independent scrutiny and audit function.

1.6 What is covered in this Assurance Framework?

This document is split into three further sections:

- **Section 2** details the governance and decision-making systems that underpin the Wider Investment Fund Assurance Framework;
- **Section 3** defines the Regional Economic Strategy and the Regional Impact Assessment tool and outlines how Candidate Schemes will be chosen, assessed and approved; and
- **Section 4** outlines the processes that will be followed to ensure effective management and review of the Framework.

This Assurance Framework document should be read in conjunction with the CCRCD Joint Working Agreement.

2 Governance and Decision Making

2.1 Geography of the Cardiff Capital Region

The Cardiff Capital Region is geographically defined by the area consisting the “Constituent Authorities” of:

- (1) BLAENAU GWENT COUNTY BOROUGH COUNCIL
- (2) BRIDGEND COUNTY BOROUGH COUNCIL
- (3) CAERPHILLY COUNTY BOROUGH COUNCIL
- (4) THE COUNTY COUNCIL OF THE CITY AND COUNTY OF CARDIFF
- (5) MERTHYR TYDFIL COUNTY BOROUGH COUNCIL
- (6) MONMOUTHSHIRE COUNTY COUNCIL
- (7) NEWPORT CITY COUNCIL
- (8) RHONDDA CYNON TAFF COUNTY BOROUGH COUNCIL
- (9) TORFAEN COUNTY BOROUGH COUNCIL
- (10) THE VALE OF GLAMORGAN COUNCIL

2.2 CCR City Deal Wider Investment Fund Governance Structure

The current governance structure associated with the Cardiff Capital Regional Cabinet¹ (Regional Cabinet), including the Wider Investment Fund, is shown in Figure 1. This provides details of the advisory, support and scrutiny arrangements established to underpin the Regional Cabinet and is structured to provide transparency and democratic accountability.

The detail and functioning of the Regional Cabinet and associated governance structure is included in the Joint Working Agreement² and associated terms of reference, however, a general description related to roles and responsibility related to the Wider Investment Fund is provided below.

¹ The Cardiff Capital Region Cabinet has been established as a Joint Committee with delegated powers from the constituent authorities as defined in the Joint Working Agreement. The City of Cardiff Council will act as the Accountable Body for funding flowing through this assurance framework; however the Regional Cabinet will be the ultimate decision-making body.

² The Joint Working Agreement is the comprehensive agreement that binds and commits each individual authority and any successor authority (in the event of local government re-organisation) for such duration as is necessary to deliver the City Deal.

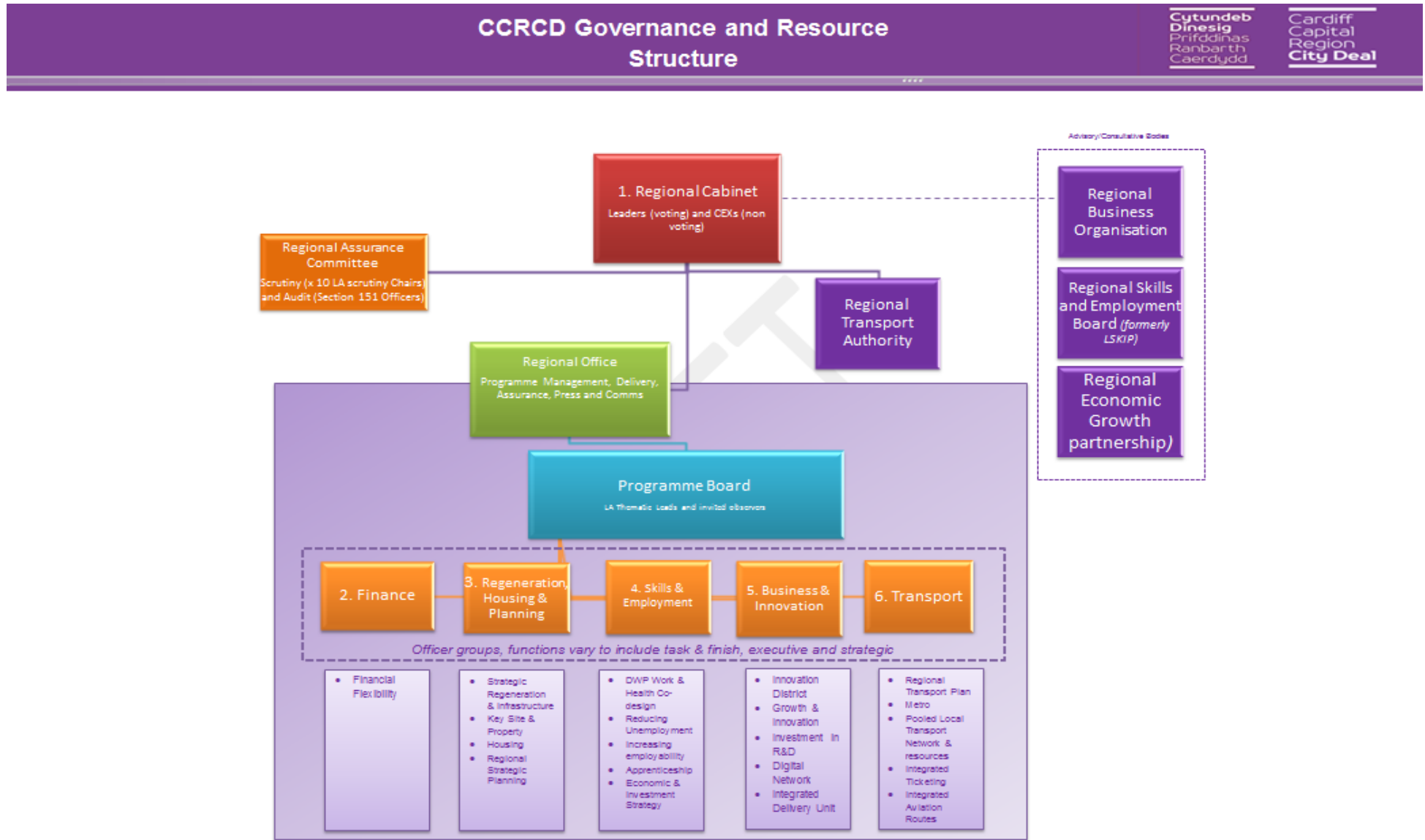


Figure 1: CCRCD Governance Map – [DRAFT]

2.2.1 The Cardiff Capital Regional Cabinet

The Regional Cabinet comprises of the ten participating local authorities and has been established to have responsibility for³:

- management of the Cardiff Capital Region Wider Investment Fund;
- additional devolved funding provided to the Capital Region;
- the Cardiff Capital Region Transport Authority;
- contracting with Transport for Wales on prioritised Metro projects;
- control over devolved business rate income above an agreed growth forecast, subject to Welsh Government agreement;
- strategic planning including housing, transport planning and land use;
- influencing skills and worklessness programmes;
- an Inward investment and marketing strategy; and
- considering the scope for strengthening Capital Region governance further.

The membership of the Regional Cabinet is made up of the Leaders of the Constituent Councils and it will be the ultimate decision making body related to the Wider Investment Fund.

To focus activity and capacity and promote delivery the Regional Cabinet is developing a Regional Economic Strategy and introducing a portfolio arrangement at both political and officer level. Each portfolio is led by two of the Leaders, from the constituent authorities, who are supported by portfolio officers made up of the Chief Executive officers of the local authorities. The portfolios are:

- Regeneration, Housing and Planning
- Work, Skills and Economy
- Business and Innovation
- Transport
- Finance & Governance

In addition, a portfolio of 'Chair of Regional Cabinet' has been established with responsibility for liaison, engagement and promotion.

The key responsibilities of the portfolio holders are:

- providing strategic direction for the portfolio area of responsibility and the development of a portfolio work programme to drive forward delivery;
- communicating a clear understanding of portfolio priorities;
- oversight of performance and delivery of the portfolio including those commitments contained in the Cardiff Capital Region City Deal Heads of Terms (Heads of Terms); and

³ Cardiff Capital Region City Deal Heads of Terms Item 53

- developing effective regional collaboration for the portfolio area of responsibility.

The Regional Cabinet is able to establish sub-committees for any matters which they feel would be better dealt with in this way. These sub-committees may be advisory and report to the Regional Cabinet with recommendation or be provided with delegated powers, from the Regional Cabinet, which will provide them with a defined level of decision making powers. The Regional Cabinet shall be advised by a Lead Head of Paid Service (nominated and agreed by the Heads of Paid Service of the ten constituent councils) who shall meet on an informal basis from time to time.

2.2.2 The CCRCD Regional Assurance Committee

The Regional Cabinet will establish a Regional Assurance Committee to provide an independent scrutiny function to ensure greater public accountability over decisions made by the Regional Cabinet and any of its sub-committees and related entities.

The role of the Assurance Committee is to provide advice, challenge and support to the Regional Cabinet. The detail, functioning and membership of the Assurance Committee will be included in the Joint Working Agreement and will be such that they do not conflict with the role and responsibilities of the Accountable Body.

The Assurance Committee will be required to:

- review and scrutinise the Regional Cabinet's financial affairs;
- receiving the Regional Cabinet's accounts and advising on their approval;
- review and assess the Regional Cabinet's risk management, internal control and corporate governance arrangements;
- review and assess the economy, efficiency and effectiveness with which resources have been used in relation to the Wider Investment Fund; and
- make reports and recommendations to the Regional Cabinet in relation to the above points.

2.2.3 The Regional Transport Authority

The Regional Cabinet will establish a Cardiff Capital Region Transport Authority to co-ordinate regional transport planning and investment, in partnership with the Welsh Government, and will be responsible for:

- Pooled local transport resources;
- Regional planning for the local transport network;
- Working with Transport for Wales to ensure objectives for transport investment are aligned;
- Supporting Welsh Government led work on integrated ticketing across the Cardiff Capital Region;
- Working in partnership with the Welsh Government and Transport for Wales to define the priorities of the South East Wales Metro and to support its delivery;

- Working in partnership with the Welsh Government, airlines and Cardiff International Airport Limited and aerospace partners to promote the development of integrated aviation routes aerospace activity at St Athan Enterprise Zone, to deliver economic benefit.

The detail, functioning and membership of the Regional Transport Authority will be included in the Joint Working Agreement and in relation to the Wider Investment Fund will enable it to:

- develop transport Candidate Schemes for assessment under the Appraisal Framework; and
- provide advice and observations related to transport Candidate Schemes submitted by other bodies.

2.2.4 Advisory/Consultation Body – Regional Business Organisation

The Regional Business Organisation will be responsible for⁴:

- articulating the regional needs of business;
- identifying regional priorities for existing business support services; and
- advising on the design of future business support programmes.

The detail, functioning and membership of the Regional Business Organisation will be included in the Joint Working Agreement and in relation to the Wider Investment Fund will enable it to:

- develop and submit relevant Candidate Schemes for assessment under the Appraisal Framework; and
- provide advice and observations on relevant Candidate Schemes submitted by other bodies.

2.2.5 Advisory/Consultation Body – Regional Skills and Employment Board

The Regional Skills and Employment Board (previously known as the LSKiP Employment and Skills Board) is a partnership which represents a wide range of stakeholders, including: business; education providers; local authorities and the Welsh Government. It will be responsible for⁵:

- Cardiff Capital Region's skills and worklessness strategy;
- Pooled local authority skills resource;
- Producing an annual regional plan for employment and skills. This annual plan, led by industry, will set out how both the existing skills needs of businesses and the Capital Region's future skills challenges will be addressed;
- Influencing and monitoring the delivery and impact of employment and skills programmes across the Region;

⁴ Cardiff Capital Region City Deal Heads of Terms Item 43

⁵ Cardiff Capital Region City Deal Heads of Terms Item 34

- Ensuring an industry led approach to the design and delivery of apprenticeship programmes meets the needs of both business and apprentices;
- Supporting the Welsh Government’s “Curriculum for Wales, Curriculum for Life” plan, by encouraging closer alignment between future employer skills needs and education provision across the region; and
- Ensuring European Union funding investments in skills and employment add value and align with other programmes.

The detail, functioning and membership of the Regional Skills and Employment Board will be included in the Joint Working Agreement and in relation to the Wider Investment Fund will enable it to:

- develop and submit relevant Candidate Schemes for assessment under the Appraisal Framework; and
- provide advice and observations on relevant Candidate Schemes submitted by other bodies.

2.2.6 Advisory/Consultation Body - Regional Economic Growth Partnership

The Regional Economic Growth Partnership will be responsible for:

- Advising on the overarching city-region economic development strategy;
- Monitoring and making recommendations to the Regional Cabinet with regard to City Deal implementation; and
- Providing advice on investment decisions.

The detail, functioning and membership of the Regional Economic Growth Partnership will be included in the Joint Working Agreement and in relation to the Wider Investment Fund will enable it to:

- develop and submit relevant Candidate Schemes for assessment under the Appraisal Framework; and
- provide advice and observations on relevant Candidate Schemes submitted by other bodies.

2.2.7 Advisory/Consultation Body – Welsh Government

The Welsh Government, although not indicated as an advisory/consultation body on the CCRCD Wider Investment Fund governance chart, have statutory responsibilities and investment programmes covering many areas encompassed by the Wider Investment Fund.

It is therefore critical that any proposed investments are additional, complementary and support actions or proposals being implemented or developed by the Welsh Government. This can only be ensured by a close working relationship and effective information sharing.

Related to the Wider Investment Fund the Welsh Government will be:

- invited to actively participate in the work being undertaken in each portfolio area; and
- consulted on all Candidate Schemes.

2.2.8 The Independent Growth and Competitiveness Commission

The Regional Cabinet established a ‘task and finish’ Commission to:

- Review the evidence about the functional economic area and advise how best to generate Gross Value Added growth and support the ambitions of a dynamic capital region in a successful Welsh Economy; and
- Examine the challenges and opportunities for economic growth and competitiveness and make recommendations for how the Cardiff Capital Region can achieve its full growth potential, and contribute most to the Welsh Economy.

The membership of the Commission consisted of Greg Clark, Helen Molyneux, Alexandra Jones, Julie-Ann Haines and Kevin Gardiner and they were supported by Cardiff University.

The Commission was established in August 2016 and completed its task on 16th December 2016 by publishing its recommendations. A number of the Commission’s recommendations are referenced in this Assurance Framework.

2.2.9 The Regional Office

The Regional Office will provide the Regional Cabinet, the UK Government and the Welsh Government with quarterly performance reports⁶ that will⁷:

- Highlight City Deal success;
- Provide a performance narrative for each element of the City Deal against agreed implementation plan timescales;
- Provide information on agreed outputs and outcomes;
- Identify mitigating actions for projects and programmes that are not being delivered to agreed timescales.

The Regional Office will be responsible for ensuring that this Assurance Framework is adhered to by developing, implementing, maintaining and monitoring a comprehensive performance management system and evaluation framework that will operate at both the corporate level and at the scheme level.

The Regional Office will ensure that all submitted schemes are eligible and that details of Candidate Schemes are issued to the appropriate Advisory/Consultation Bodies for their observation and those observations are used as part of the Assessment Framework.

The Regional Office will be responsible for the management of the programme contained in the Regional Economic Strategy, gateway reviews, and the annual Business Plans including performance and financial management of the delivery programme, undertaking due diligence as required.

The Regional Office will provide support to the Regional Cabinet including administration, engagement, and communication including events and press. The Regional Office will act

⁶ The UK Government and Welsh Government will work with the Regional Cabinet to agree a timetable for the production of these reports and will convene regular progress meetings.

⁷ Cardiff Capital Region City Deal Heads of Terms Item 64

as the delivery mechanism to enable the Accountable Body to discharge its duties in respect of the City Deal Wider Investment Fund.

The Regional Office will remain functionally independent of the Accountable Body and will be responsible for discharging those functions set out above; it will not discharge those statutory requirements which are the responsibility of the Accountable Body as the Legal entity.

2.2.10 The Cardiff Capital Region Programme Board

The Cardiff Capital Region Programme Board (Programme Board) membership will consist of the City Deal Programme Director, CEX/Managing Director and/or nominated Director, Programme Manager, Strategic Directors, or equivalent, from each constituent authority, specialist officers, and legal and financial representatives from the Accountable Body.

Related to the Wider Investment Fund the Programme Board will have three distinct roles:

- Providing Portfolio support by:
 - appointing Theme Leads, from their membership, to support the Portfolio Leads and Portfolio Officers established by the Regional Cabinet;
 - under each Theme establish a Strategic Regional Group and, as required, Task & Finish Groups to develop Wider Investment Fund proposals;
 - under each Theme develop a series of Candidate Schemes for assessment under the Candidate Scheme Appraisal Framework;
 - advise on the strategic direction for the portfolio area and assist in the development of a portfolio work programme to drive forward delivery.
- Monitor Portfolio development by:
 - providing support and collective challenge to the Portfolios and Themes including the Strategic Regional Groups and Task & Finish Groups, to ensure their work progresses the development of proposals in line with the Regional Economic Strategy including objectives and targets;
 - oversight of performance and delivery of the portfolios
- Prepare recommendations on individual Candidate Schemes and the overall programme of the Wider Implementation Fund by:
 - ensuring that all Candidate Schemes are assessed in accordance with the Wider Investment Fund Candidate Scheme Appraisal Framework;
 - preparing recommendations on Candidate Schemes whilst ensuring due regard is given to the observations provided by the Advisory/Consultation Bodies and the independent assessment;
 - providing recommendations to the Regional Cabinet on all Candidate Schemes;
 - considering the Wider Investment Fund programme of schemes as a whole to ensure they work effectively together to maximise outcomes by assessing 'total impact' and not just economic considerations;
 - providing recommendations to the Regional Cabinet on Wider Investment Fund delivery programme as a whole.

To allow the Programme Board to undertake all three functions a clear distinction will be drawn between those involved in specific Candidate Scheme development and those preparing recommendations on those schemes to the Regional Cabinet. A robust system of declaration of conflict of interest will be put in place.

2.3 Status and Role of the Accountable Body

One of the constituent authorities will be defined as the Accountable Body for the Regional Cabinet and the Wider Investment Fund and will be responsible for ensuring that funding decisions made by the Regional Cabinet are lawful and appropriate.

As the Accountable Body, overall financial arrangements are managed and accounted for through its financial systems and subject to the Standing Orders and Governance systems of that body. Funding allocated to the Regional Cabinet as part of the Cardiff Capital Region City Deal will be paid to the Accountable Body who shall ensure that those funds remain identifiable from the Accountable Body's own funds.

The Accountable Body shall, subject to the statutory role of each constituent Council's monitoring officer in relation to their Council, provide for the purposes of the Wider Investment Fund the services of its monitoring officer and employ any staff appointed by the Regional Cabinet. Subject to the statutory role of each constituent Council's s151 officer in relation to their Council, the Accountable Body shall provide for the purposes of the Regional Cabinet services of its Chief Financial Officer as Treasurer to the Regional Cabinet.

The Accountable Body shall supply the Regional Office with such support services as may reasonably be required, these may include services such as financial, legal, audit and other professional and/or technical services.

The full details and responsibilities related to the Accountable Body will be included in the Joint Working Agreement and will include; ensuring that the decisions and activities of the Regional Cabinet conform with the legal requirements regarding equalities, environmental, legislation, ensuring that funds are used legally and appropriately; and administrative functions such as payroll, preparing statement of accounts, VAT returns and liaising with external audit etc.

In performing this role, the Accountable Body as the Legal Entity therefore has responsibility to discharge all the statutory requirements in respect of the City Deal Wider Investment Fund, and is ultimately accountable for the actions of the Regional Office. The Accountable Body will ensure that it acts in a manner that is transparent, evidence based, consistent and proportionate.

2.4 Stakeholder Engagement and Transparency

Engagement with and feedback from constituent and neighbouring local authorities, stakeholders and the public has been, and will continue to be, key in shaping and defining the Regional Cabinets' actions.

Monthly newsletters will be distributed to stakeholders throughout the City Region informing them of current and planned activities and how to get involved.

Regular social media updates concerning relevant activity will be provided via the CCRCD Twitter handle @CCRCityDeal.

A calendar of events will be developed and made available on the CCRCD website www.cardiffcapitalregioncitydeal.wales, and on-going PR campaign will inform stakeholders of CCRCD activity.

Stakeholders will be able to contact the CCRCD via the CCRCD website's contact form www.cardiffcapitalregioncitydeal.wales or through social media @CCRCityDeal.

The public and stakeholders will be able to provide input via the contact form on the CCRCD website [<https://cardiffcapitalregioncitydeal.wales>]. Stakeholders will be made aware of how to provide input by being informed via the CCRCD newsletter which is available online.

Communications, engagement and marketing strategies will be developed and implemented to maximise participation and involvement and will be designed to promote and facilitate the use of the Welsh language and comply with the standards imposed by the regulations approved under the Welsh Language (Wales) Measure 2011.

The Regional Cabinet is committed to transparency in its decision-making and activities, but also recognises that for it to operate effectively there are some circumstances in which it must maintain confidentiality, particularly where commercial sensitivities are involved.

The Regional Cabinet is subject to the same accountability and transparency legislative provisions for decision making as Local Government, including public notice of meetings and the business to be conducted at those meetings, Access to Information Rules and Freedom of Information Act 2000.

The use of resources by the Regional Cabinet is subject to standard local authority checks and balances. In particular, this includes the financial duties and rules which require councils to act prudently in spending, and publish annual accounts. The development of these checks and balances will be overseen and managed by the Accountable Body.

3 Strategy, Programme and Prospectus

3.1 A Regional Economic Strategy

The Regional Cabinet, using the research and recommendations from the Growth and Competitiveness Commission, are preparing a Regional Economic Strategy that will support a competitive inclusive Cardiff Capital Region, playing to the strengths of the areas within the region to increase overall opportunity, mobility, jobs and investment⁸.

The Regional Economic Strategy will clearly define the regional objectives and include a programme detailing the targets expected from the City Deal during its lifetime and beyond⁹; together with the indicative spend profile for the wider investment fund (comprising of the HMT Contribution and the Council Contribution in the aggregate sum of £586,000,000). Although focussed on the economy the Regional Economic Strategy will also playing a role in improving the social, environment and cultural well-being of the region and may include additional targets to reflect this.

Although the procedures for the use of the Wider Investment Fund are necessarily detailed the principles are straightforward:

- The Regional Economic Strategy will contain a programme which details the expected targets to be achieved from the City Deal;
- Candidate schemes for the Wider Investment Fund will be assessed to measure how they will support the delivery of these targets; and
- A balanced programme of delivery will be managed to ensure that the defined targets are achieved.

The Regional Economic Strategy will be developed in accordance with the 'sustainable development principle' and in setting regional objectives and targets will seek to support and promote the seven well-being goals as detailed in the Well-being of Future Generations (Wales) Act.

3.2 A Regional Impact Assessment Tool

To assist in the process of assessing Candidate Schemes and measure to what extent they will support the delivery of the targets, detailed in the Regional Economic Strategy, a Regional Impact Assessment Tool is being developed.

The tool will select a broad range of indicators and factors, which are known to have a positive impact on the targets detailed in the Regional Economic Strategy, and be used to measure the level by which Candidate Schemes can contribution to those targets and assess their value for money.

The tool will be designed to consider wider sustainable development objectives and be able to assess and highlight the positive impact proposed Candidate Schemes can have on both

⁸ Growth and Competitiveness Commission Report – Recommendation 2 Economic Strategy

⁹ It is likely that the Regional Economic Strategy will include the specific outcomes recommended by the Growth and Competitiveness Commission, for example on productivity, at least 90% of UK average, median earnings to 95% of UK figure, 25,000 new jobs, employment rate of 70.5%.

social and environmental outcomes and other indirect and non-monetised benefits promoted by the City Deal and included in the Regional Economic Strategy.

An important aspect of this assessment tool will be its ability to identify the spread of any potential benefits to ensure geographic balance across the region and the ability of schemes to target need.

3.3 A Prospectus for Growth and Prosperity

For the purposes of the Wider Investment Fund schemes can take several forms including projects, programmes, investments, funds, loans, grants and contributions and may seek support in the form of capital and/or revenue funding.

The variation in potential schemes and funding requirements reflects the multi-strand approach advocated by the Growth and Competitiveness Commission¹⁰ and the wider investment priorities of the Regional Cabinet¹¹ who are committed to invest in those schemes which support regional economic growth and may cover areas as diverse as regeneration & infrastructure, housing, skills, transport, digital, business growth and sector development, research & development and innovation.

Work is being undertaken under each Regional Cabinet portfolio heading to define groupings of schemes. These groupings will be used to produce a prospectus of eligible scheme types. This strategic approach, rather than an open unstructured bidding process, will ensure a comprehensive, balanced programme that is evidence based and targeted to deliver regional economic growth.

Advice and guidance will be sought from the Regional Advisory/Consultative Bodies in the production of this prospectus to ensure that it includes sufficient flexibility to accommodate changing economic priorities, trends and business needs.

The Wider Investment Fund Prospectus (Prospectus) will define the eligible scheme types and detail the full list of Candidate Schemes showing their various stages of development through the Appraisal Framework including those schemes sufficiently developed to be included on the Wider Investment Fund Delivery Programme (Delivery Programme). The Prospectus will therefore be a live document under constant review and update.

To support this strategic approach and ensure a broad range of interventions, based on evidence, the Regional Cabinet may consider introducing initial indicative allocations of funding in relation to each portfolio and theme within the Prospectus. This approach could assist when assessing the affordability of any candidate schemes.

3.4 Candidate Schemes

Having created a prospectus of eligible scheme types, to ensure a strategic approach to investment, a process to allow appropriate schemes to be submitted for consideration will be introduced.

Candidate Schemes can be submitted by the following 'Candidate Scheme Sponsors':

- Portfolio Leads;
- The constituent authorities;

¹⁰ Growth and Competitiveness Report Page 4

¹¹ CCRCD Heads of Terms Item 16

- Welsh Government;
- UK Government;
- Advisory/Consultative Body; and
- Stipulated Stakeholder.

Portfolio Leads are supported by Portfolio Officers, Theme Leads and associated Strategic Regional Groups ensuring that sufficient suitable Candidate Schemes are being identified and developed for appraisal.

Other Candidate Scheme Sponsors can submit proposals directly for appraisal; however, they are encouraged to actively participate in the appropriate Strategic Regional Group. This will ensure the effective development of proposals which can be submitted jointly with the Portfolio Leads.

In addition, the Regional Cabinet may consider issuing a periodic open call for eligible schemes.

3.5 CCR Wider Investment Fund Scheme Appraisal Framework

Regardless of how the candidate schemes have been submitted they will all be required to follow the same appraisal process which has been developed to be transparent and equitable. This will also apply to Candidate Schemes which are only requesting partial support or a contribution and may be subject to other Appraisal Frameworks or assessment processes. Where this is the case, the Wider Investment Fund portion of the investment will be treated in the same way as a standalone scheme.

The Wider Investment Fund Scheme Appraisal Framework is shown in Figure 2 and illustrates the Gateway system to be used including business case requirements, consultation, assessment process, and the recommendation and decision making protocol.

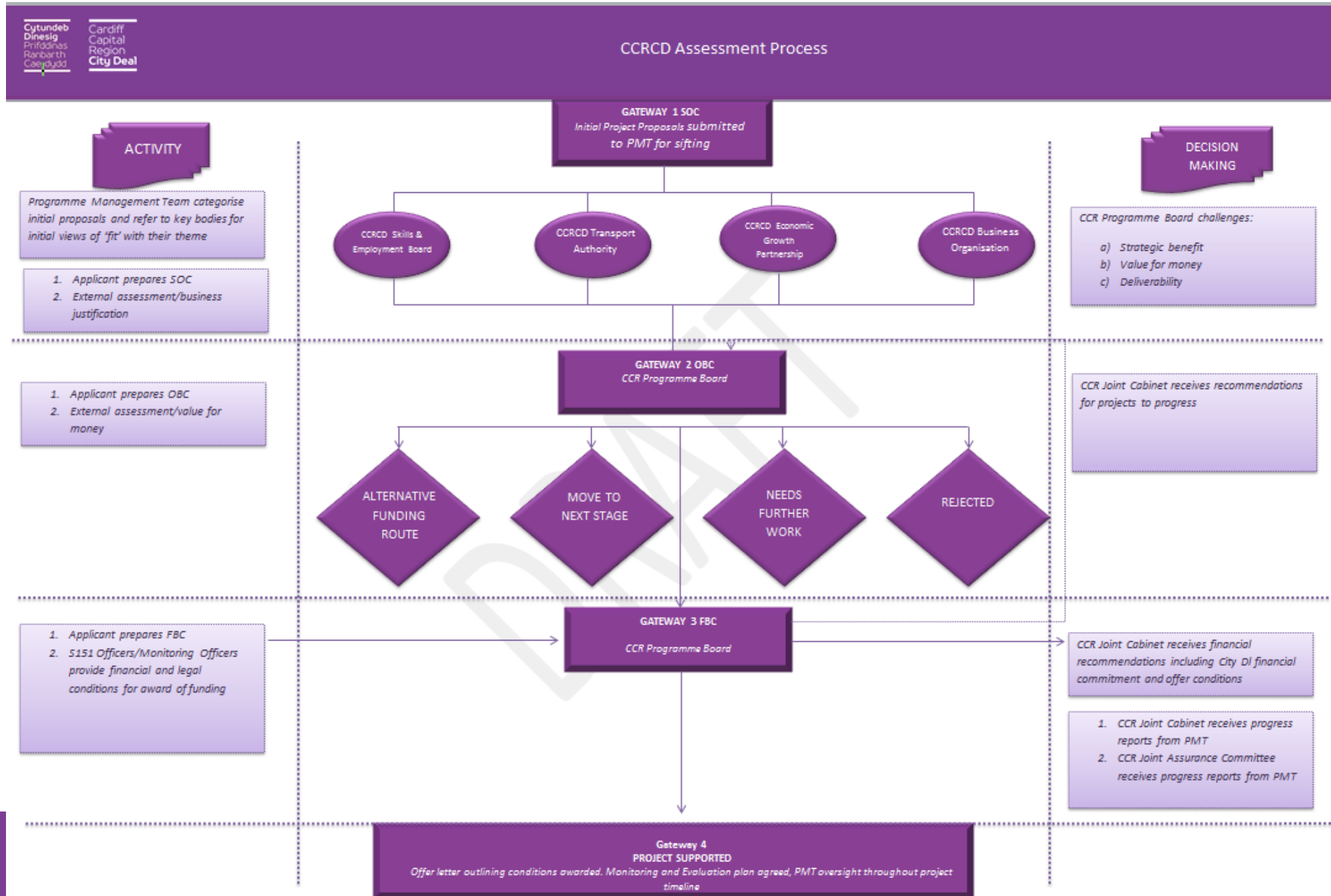
The Assessment Framework will identify those Candidate Schemes in the Prospectus which are eligible to enter the Delivery Programme.

The Regional Office is responsible for co-ordinating and managing the Appraisal Framework including procuring external independent assessments of business cases and for ensuring the separation between the sponsorship of projects/programmes and their appraisal and evaluation.

The Regional Office will produce a set of guidance documentation, including proforma, for Candidate Scheme Sponsors, detailing the various stages of the Appraisal Framework.

The appraisal process is consistent with HM Treasury's Green Book and Business Case Appraisal process and is based on the five cases model; the strategic case; the economic case; the commercial case; the financial case; and the management case.

Figure 2: CCRCD Wider Investment Fund Scheme Assessment Framework



The appraisal process will apply the principle of proportionality, with more detailed information being required for large, complex or contentious schemes. This is important to ensure Candidate Scheme Sponsors are not discouraged from submitting less complex schemes whilst ensuring that large investments are scrutinised and tested appropriately.

3.6 Appraisal Criteria

The main factor in assessing candidate schemes will be the extent to which they contribute to the targets detailed in the Regional Economic Strategy and their value for money, however, to make these assessments detailed information on those proposed schemes is required and will be developed by addressing the criteria detailed below.

The City Deal provides an opportunity to continue tackling the area's barriers to economic growth by: improving transport connectivity; increasing skill levels still further; supporting people into work; and giving businesses the support they need to innovate and grow. The City Deal therefore includes¹²:

- Connecting the region;
- Support for innovation and improving the digital network;
- Developing a skilled workforce and tackling unemployment;
- Supporting enterprise and business growth; and
- Housing development and regeneration.

In addition, the City Deal, over its lifetime, is expected to deliver up to 25,000 new jobs and leverage an additional £4 billion of private sector investment.

All Candidate Schemes are required to demonstrate how they will contribute to one or more of these objectives, and others contained in the Regional Economic Strategy, and why the scheme is needed.

The Growth and Competitiveness Commission have recommended that all Candidate Scheme should also demonstrate¹³:

- ❖ Significant scale;
- ❖ A positive impact on GVA;
- ❖ A positive impact on jobs;
- ❖ An impact beyond the local boundary area of where the investment takes place and does not displace activity within the city-region;
- ❖ Alignment with the proposed Metro investment, including investment that can unlock benefits of the Metro and address access constraints;

In addition, schemes need to demonstrate a quantifiable impact on at least two of the following:

¹² Cardiff Capital Region City Deal Heads of Terms – Executive Summary.

¹³ Growth and Competitiveness Commission Report – Recommendation 3 City Deal Investment Principles.

- Increasing employment rates (by constituency) in areas where employment rates are below the Cardiff Capital Region average;
- Increasing earnings in areas with below average earnings for the Cardiff Capital Region;
- Supporting enterprise growth and productivity gains;
- Supporting people out of employment into employment.

All Candidate Schemes are required to respond to the Growth and Competitiveness Commission investment principles demonstrating how and to what degree they comply with these recommendations.

All Candidate Schemes are required to quantify their economic impact, employment creation, scale-ability and leverage. Candidate Schemes will also have to demonstrate they are deliverable, represent value for money and that they comply with the necessary regulations including legal and state aid requirements.

3.7 Business Case Development

Three stages of business case development are required in the appraisal process:

- the Initial Proposal (Strategic Outline Case);

This is particularly important as it will focus on establishing the case for the proposal and although at this stage the scheme is not necessarily expected to be fully worked up or immediately deliverable the level of information must be sufficient to gain a clear understanding of the scheme, how it addresses the Appraisal Criteria, estimated costs and benefits.
- the Outline Business Case (OBC);

This will be a substantive business case document and will include a thorough options appraisal to justify the preferred option and an assessment of value for money to underpin the economic case.
- the Full Business Case (FBC).

This will build on the information in the OBC and confirm the scheme has the necessary contractual/procurement and delivery arrangements in place to allow the scheme to proceed.

As indicated previously, the appraisal process will apply the principle of proportionality which may result in the OBC and FBC stages being combined depending on the level and quality of information provided and the complexity of the scheme.

3.8 Support for Candidate Scheme Development

The Regional Cabinet may allocate, on request or application, funding to portfolios to support pre-feasibility and feasibility studies, and development of initial proposals and business cases to ensure that high quality Candidate Schemes are available.

3.9 Value for Money

Each Candidate Scheme must demonstrate value for money i.e. the optimal use of resources to achieve the intended outcomes.

The National Audit Office use three criteria to assess value for money:

- economy – minimising the cost of resources used or required – spending less;
- efficiency – the relationship between the outputs from goods or services and the resources to produce them – spending well; and
- effectiveness – the relationship between the intended and actual results of public spending – spending wisely.

In basic terms value for money is the degree to which benefits exceed costs and the use of HM Treasury's Green Book and Business Case Appraisal process in assessed Candidate Schemes is expected to demonstrate the potential value of any scheme.

The Candidate Scheme business case is also expected to refer, where appropriate, to guidance on value for money and other benefits specific to the nature of the proposed scheme, this will include demonstrating social return on investment and local multiplier benefits. The business case may also highlight how the schemes procurement might improve economic, social and environmental well-being of the region and how such improvements might be secured in its implementation.

The Regional Cabinet when deciding on whether to support a Candidate Scheme will take a wide range of evidence into consideration in addition to the level of value for money. There may be occasions when, although the measure of value for money is low, due to the wider regional economic impacts on the Regional Economic Strategy targets, cost effectiveness, environmental and social impact, and leverage of additional funding the Candidate Scheme will be supported.

3.10 Assessment Process

The role of the Assessment Process is to provide the framework through which a judgement can be made about whether each scheme is robust and has been rigorously assessed against a specific set of criteria to ensure that it achieves value for money.

The Candidate Scheme Sponsors will submit a Candidate Scheme Initial Proposal to the Regional Office who will categorise it against the Scheme Prospectus eligibility groupings and refer it to:

- the appropriate Advisory/Consultation Body with a request to provide observation on the proposed scheme; and
- the external business case assessor requesting that they undertake an independent review with reference to the impact assessment tool.

The Initial Proposal, with the observations and review, will be submitted to the Programme Board who are required to assess all available data and determine if:

- The case is sufficiently strong for the Candidate Scheme to move onto the next stage; or
- The scheme is returned to the Candidate Scheme Sponsor with details of where the Initial Proposal is currently not sufficiently strong to allow it to move forward to the next stage.

If the scheme is supported to go to the next stage the Candidate Scheme Sponsor will be requested to submit an Outline Business Case which, when received, will be sent to

the external business case assessor requesting that they undertake a further review of the additional detail provided.

This review will be submitted to the Programme Board who can make the following recommendations to the Regional Cabinet:

- The scheme does not fall within the Wider Investment Fund scope;
- The scheme does not provide sufficient regional benefit and should be rejected;
- The scheme, although not seeking Wider Investment Funding, is supported and should be promoted as it aligns with the overall objectives of the City Deal;
- The scheme's Outline Business Case is currently not sufficiently strong and should be returned to the Candidate Scheme Sponsor for further work; or
- The scheme should move to the next stage.

The Regional Cabinet will consider the recommendations and resolve either to accept them or based on the available data agree an alternative course of action.

If the Regional Cabinet resolve that the scheme go to the next stage the Candidate Scheme Sponsor will be requested to submit a Full Business Case which, when received, will be sent to the external business case assessor requesting that they undertake a further review of the additional detail provided. The Regional Office, in liaison with the Accountable Body, would also be requested to provide both legal and financial assessments of the proposal.

The review and assessments would be provided to the Programme Board who would submit recommendations to the Regional Cabinet.

The Regional Cabinet, as the decision-making body, would have the responsibility of confirming that the Candidate Scheme is eligible for inclusion in the Delivery Programme.

To ensure that the assessment process is equitable the Regional Office are preparing detailed guidance notes and also proforma for use in the process.

3.11 State Aid

Processes are being established to ensure that schemes supported by the Wider Investment Fund are State Aid compliant.

The business case templates will require Project Sponsors to confirm that their scheme complies with State aid Regulations and does not contravene State Aid Legislation. The templates will also require Project Sponsors to outline what advice (e.g. legal advice) they have had in relation to State Aid, and to confirm their acceptance of the following:

"All applicants need to take steps to satisfy themselves that any CCR Wider Investment Fund funding approved does not amount to unlawful State Aid. A declaration of compliance with EU State Aid regulations will be required prior to any funding being provided. If your project is awarded funds it will be subject to a condition requiring the repayment of any funding in the event that the European Commission determines that the funding constitutes unlawful State Aid."

Where required, the Accountable Body will also conduct legal due diligence to obtain further confidence that State Aid requirements have been met.

3.12 From Prospectus to Delivery Programme

The Wider Investment Fund will be used to invest in a broad range of interventions over its life time to unlock significant economic growth across the region and it can only achieve its objectives through the delivery of an effective Delivery Programme that accounts for and takes advantage of the interdependencies between individual schemes.

Each portfolio will undertake work to develop schemes and produce a potential delivery programme. However, it is recognised that each individual programme will vary related to timescales for development and implementation. In addition, financial profiles and limits, for both the Wider Investment Fund and other funding sources, may dictate when and to what scale proposals can be funded.

The final decision to release Wider Investment Funds rests with the Regional Cabinet and to do this effectively they will be responsible agreeing the Delivery Programme which delivers on their commitments, is affordable, and value for money.

Candidate Schemes which have successfully passed through the Assessment Framework will be eligible to be included on the Delivery Programme.

3.13 The CCR Wider Investment Fund Delivery Programme

The Wider Investment Fund Delivery Programme (Delivery Programme) will be informed by the details on the number, size and timescales of schemes being progressed through the portfolio and ideally once a scheme's Full Business Case has been approved it will move directly to the Delivery Programme via an offer letter/contract.

In some instances, due to existing financial commitments or changes in priority, schemes may not progress immediately to implementation and the Delivery Programme should clearly reflect these changing circumstances and how they will affect the scheme.

The Regional Cabinet will undertake regular reviews of the Delivery Programme to ensure that it is suitable to deliver on the broad range of interventions necessary to achieve the targets detailed in the Regional Economic Strategy by tackling the regions barriers to economic growth and that it reflects the regions current economic needs.

These Delivery Programme Reviews will assess the balance of interventions and ensure those schemes most likely to deliver on the targets detailed in the Regional Economic Strategy, which are affordable and can be delivered within required timescales, are prioritised.

To commence the process of programme development the Regional Cabinet will, in the first instance, agree an Implementation Plan outlining its proposals for the first 5 years.

3.14 Candidate Scheme Offer of Support and Contract Management

Candidate Schemes eligible for inclusion on the Delivery Programme will undergo a due diligence assessment.

Following approval by the Regional Cabinet the Regional Office working in conjunction with the Accountable Body will prepare an offer letter/contract for agreement with the Project Sponsor or other relevant applicant.

The offer letter may vary according to scheme type, size and complexity but is likely to contain the following which will be monitored by the Contract Management Team within the Regional Office:

- A financial profile – including monthly income and expenditure:
- A profile of outputs and outcomes to be achieved – with key milestones for delivery;
- A risk management log – detailing potential risks to the successful delivery of the scheme and how they will be managed;
- A monthly/quarterly schedule for returning monitoring information; and
- Post completion requirements

3.15 Interim Transition Plan

To apply the CCR Appraisal Process in full a number of supporting processes and actions need to be put in place including:

- A Cardiff Capital Region Economic Strategy defining the regional objectives and including a programme detailing the targets expected from the City Deal during its lifetime and beyond, together with the indicative spend profile for the Wider Investment Fund;
- A Cardiff Capital Region Impact Assessment Tool;
- Establishing the Cardiff Capital Region Advisory/Consultative Bodies; and
- Producing detailed guidance notes and proforma

To assist in co-ordinating and programming these events an Interim Transition Plan is being put in place which will set time-lines for development and detail how potential schemes will be dealt with during this interim phase.

4 Management, Evaluation and Review

4.1 Separation between Sponsorship, Assessment and Approval

For this Assurance Framework to be effective it must establish a clear separation between the sponsorship of schemes and their appraisal, evaluation and approval.

All processes and systems will make a clear distinction between those involved in the development of Candidate Schemes and those responsible for their assessment, submitting recommendations related to their suitability and providing approval.

This division of role will apply across the Appraisal and Assessment Frameworks and will mean that those involved in a portfolio will not take part in the appraisal or approval of any Candidate Schemes within that portfolio. This is especially relevant at both the Programme Board, when preparing recommendations, and at the Regional Cabinet when making decisions.

4.2 Performance Management System

The Regional Office, in liaison with the Accountable Body, is developing a comprehensive performance management system and evaluation framework which will encompass the decision-making process and programme and scheme delivery. This system will enable the Regional Cabinet to:

- Assess the effectiveness, efficiency and value for money of schemes and the overall programme;
- Monitor impact and progress towards agreed aims and goals, and to understand whether schemes are on track to deliver projected outputs and outcomes;
- Maintain scrutiny and accountability;
- Inform future investment priorities and resource allocations; and
- Inform future activities and delivery and the sharing of best practice.

Monitoring and evaluation of the Wider Investment Fund will operate at two interconnected levels, at the level of individual scheme, as defined at the FBC stage through the Assurance Framework; and at the level of the overall Delivery Programme. For schemes of significant scale or complexity the Regional Cabinet may resolve to procure external evaluation.

It will be important that monitoring and evaluation exercises are scheduled to ensure a sufficient evidence base for the 5-year Gateway Review; they will therefore cover impact and economic evaluation as well as process evaluation.

When undertaking the evaluation exercise use will be made of the Regional Impact Assessment tool and its broad range of indicators and factors, which are known to have a positive impact on the targets as detailed in the Regional Economic Strategy.

It is essential that all schemes have an effective monitoring and evaluation plan in place to assess the effectiveness of public spending over time, and so that lessons can be learnt. Schemes will monitor against the outcomes described in the economic case.

Responsibility for monitoring at a strategic level will lie with the Regional Office, whilst at the scheme level responsibility will lie with Scheme Sponsors, with the Regional Office setting compliance measures and ensuring they are adhered to and reported as required.

Over time, prioritisation and sequencing will also involve a feedback loop through which the outcomes of the monitoring and evaluation work will be used to shape future investment priorities.

4.3 Risk Management

A key role of the Assurance Framework is to ensure that risk is identified, monitored and managed appropriately, both at a corporate level and at Delivery Programme and scheme level.

To identify, monitor, manage and mitigate risks at the corporate level, a Corporate Risk Register is being developed aligned to the Wider Investment Fund objectives.

The key principle of the Corporate Risk Register is to identify strategic risks, determine where and by whom such risks are borne, to establish controls to prevent the identified risk (such as funding shortfall) from materialising or establish ways to reduce the impact. The Register will not be limited to financial risks.

As part of the business case evaluation process, Candidate Scheme Sponsors are required to develop a Scheme Risk and Issues Log. This will detail all of the schemes specific risks that have been identified during the development phase of the scheme.

Within the business case templates, being developed, the Sponsor will be required, for key risks, to estimate the impact of the risk materialising and probability of the risk occurring, attribute the risk with a Red, Amber, Green (“RAG”) rating, identify the risk owner, and provide a strategy for risk mitigation.

Scheme risks will be aggregated and reviewed at the strategic level by the Regional Office.

4.4 Contract Management

On acceptance of an offer of support the Project Sponsor or other relevant applicant will become responsible for overseeing the successful implementation and delivery of the scheme. The Regional Office, in liaison with the Accountable Body, will establish a system identifying responsibilities for the production and submission of monitoring information.

The Regional Office will be responsible for collating, recording and reporting on the progress of the individual schemes as well as the overall Delivery Programme. Where schemes do not achieve their agreed milestones for delivery the responsible person will be required to provide evidence to demonstrate they are able to get back on programme. Schemes which consistently fail to meet projected performance, both financial and output, may have funding withdrawn.

4.5 Equality, Diversity and Wellbeing

A key requirement for the Wider Investment Fund is to ensure that ‘equality duty’ is considered and programmes contribute to a fairer society and pay due regard to eliminating unlawful discrimination, advancing equality of opportunity and fostering good relations.

The Wider Investment Fund will also support the Well-being of Future Generations (Wales) Act by playing a role in improving the social, economic, environment and cultural well-being of Wales.

During the application for Wider Investment Funds scheme sponsors will be required to provide evidence they are complying with their equality duties and are supporting the 7 Well-being goals. This will be assessed through an evaluation of the business case templates submitted by applicants.

4.6 Annual Assurance Framework Review

The Assurance Framework is a 'live' document and will be subject to an annual review to ensure that material is kept up to date and to provide quality assurance on the Assurance Framework itself.

It is anticipated that the Assurance Framework will continue to evolve and develop overtime and will reflect any changes to governance arrangements, aims and objectives, economic and social priorities and Candidate Schemes criteria.

There will be a need for the Regional Cabinet in response to changes and initiatives¹⁴ which take place in the period between annual reviews. The Regional Cabinet will, having sought advice if appropriate, instruct interim changes or amendments to be made which will then be regularised at the next annual review.

The Regional Assurance Committee will have a crucial role in both assessing and recommending changes to the Assurance Framework.

4.7 Five Year Gateway Review

Through the CCR City Deal Agreement, the UK Government committed to providing the CCR City Deal with £500m over 20 years, £125m for the Metro Project and £375 for the CCR Wider Investment Fund. The £375 million is proportioned as years 1-5 at £50 million revenue, and years 6-20 at £325 million capital. The full allocation of the funding is subject to the CCRCD's successful completion of the Five Year Gateway Review, which will evaluate the impact of the CCRCD's investment of the funding in the five year period up to the Gateway Review.

Five-yearly Gateway Reviews may be used to assess investments' impact and presently the guidance suggests that economic growth will be the primary metric against which impact is assessed. However, more recent reviews recognise the fact that local and national economic impact of the Investment Fund might not be observable after five years. As a result, the national evaluation panel may use appropriate metrics, such as whether investments are being delivered to time and to budget. Although definitive assessment criteria have not been provided it is anticipated that the Regional Cabinet will have the ability to shape the assessment criteria so that it aligns with the objectives set out in its Regional Economic Strategy.

¹⁴ Examples of such changes or initiatives would include the Welsh Government's proposal to introduce a National Infrastructure Commission, the National Development Framework and the setting up of a Valleys Task Force.

Appendix 1 – List of Defined Terms

Accountable Body	<p>The Accountable Body shall, subject to the statutory role of each constituent Council's monitoring officer in relation to their Council, provide for the purposes of the City Deal Wider Investment Fund the services of its monitoring officer and employ any staff appointed by the CCR Regional Cabinet. Subject to the statutory role of each constituent Council's s151 officer in relation to their Council, the Accountable Body shall provide for the purposes of the CCR Regional Cabinet services of its Chief Financial Officer as Treasurer to the CCR Regional Cabinet.</p> <p>The Accountable Body shall supply the Regional Office with such support services as may reasonably be required, these may include services such as financial, legal, audit and other professional and/or technical services; and administrative functions such as payroll, preparing statement of accounts, VAT returns and liaising with external audit etc.</p>
Additionality	The extent to which something happens as a result of an intervention that would not have occurred in the absence of the intervention.
Advisory/Consultative Body	Identified bodies who work in support of the Regional Cabinet and are able to submit Candidate Schemes
Affordability	Affordability refers to both the absolute availability of funding to defray the costs of a project (i.e. is there a funding gap?) and the relative cost of the project in relation to other interventions that could otherwise be funded instead. A project can represent Value for Money, but not be affordable, and vice versa.
Annual Business Plan	The business plan to be agreed by the Regional Cabinet containing key objectives and delivery priorities and programme.
Appraisal Criteria	The principles and standards by which candidate schemes will be assessed and decided.
Appraisal Framework	A supporting structure underlying appraisal.
Assessment Framework	A supporting structure underlying assessment.
Assessment Process	A series of actions or steps taken in order to assess candidate schemes.
Assurance Framework	A set of systems, processes and protocols designed to provide an evidence-based and independent assessment of the governance, risk management, and control processes of an organisation.
Balanced Objectives	A series of objectives designed to ensure that the whole of the City Region (in terms of geography and people) benefits from growth.
Business Case	The justification of an activity (strategic, programme, project, operational) which typically contains costs, benefits, risks and timescales and against which continuing viability is tested.
Capital Expenditure	Expenditure on the acquisition or creation of a tangible fixed asset or expenditure which adds to and not merely maintains the value of an existing tangible fixed asset.
Candidate Scheme	Appropriate schemes submitted by specific bodies for consideration under the Wider Investment Fund.
Cardiff Capital Region	The region encompassing the constituent authorities.
Cardiff Capital Region City Deal	A £1.229 billion fund consisting of a pre-allocated sum of £734m to the Metro Project and £495m to the Wider Investment Fund.
Cardiff Capital Region Programme Board	A group that supports the senior responsible owner to deliver the programme.
Cardiff Capital Region Prospectus	A programme of Candidate Scheme development.

Constituent Authority	The 10 authorities of: Blaenau Gwent County Borough Council Bridgend County Borough Council; Caerphilly County Borough Council; The City of Cardiff Council; Merthyr Tydfil County Borough Council; Monmouthshire County Council; Newport City Council; Rhondda Cynon Taff County Borough Council; Torfaen County Borough Council; and, Vale of Glamorgan County Borough Council.
Delegated Powers	The powers delegated by authorities to their representative (Leader) on the Regional Cabinet.
Delivery Programme	A flexible structure created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to strategic objectives.
Impact	Impact is the result of a particular threat or opportunity actually occurring.
Implementation Plan	The process of programme development by the Regional Cabinet in the first instance, outlining its proposals for the first 5 years.
Joint Working Agreement	A legal agreement to delegate and discharge functions.
Objective	Agreed goals.
Outcome	The benefits and other impacts resulting from specific outputs (e.g. reduced journey times, jobs created, reduction in pollution, access to employment etc.)
Output	The tangible or intangible product resulting from a planned activity.
Performance Management System	A system to plan, monitor and review performance i.e. the extent to which objectives have been met in relation to quality, time and cost.
Programme Management	The coordinated organisation, direction and implementation of a prospectus of projects and activities that together achieve outcomes and realise benefits that are of strategic importance.
Project	A temporary grouping that is created for the purpose of delivering one or more products according to a specified business case.
Project Management	The planning, monitoring and control of all aspects of the project and the motivation of all those involved to achieve the project objectives on time and to the specified cost, quality and performance.
Project Manager	The person given authority and responsibility to manage the project on a day-to-day basis to deliver the required products within the constraints agreed with the project board.
Portfolio	All the programmes and stand-alone projects being undertaken.
Regional Assurance Committee	Established to provide an independent scrutiny function over decisions made by the Regional Cabinet.
Regional Cabinet	A Joint Committee established by Agreement comprising the Leaders of the constituent Councils
Regional Economic Strategy	A strategy to clearly define the regional economic objectives and include a high level programme detailing the targets expected from the City Deal during its lifetime and beyond.
Regional Impact Assessment Tool	The tool will select a broad range of indicators and factors which are known to have a positive impact on the targets, detailed in the Regional Economic Strategy, and measure a candidate schemes scale of contribution to those defined targets and value for money.
Regional Office	Established to provide services to the Regional Cabinet, including programme management, financial management of the delivery programme, administration, engagement, and communication.
Regional Transport	Established to co-ordinate regional transport planning and investment.

Authority	
Scheme	Projects, programmes, investments, funds, loans, grants and contributions.
Senior Responsible Owner (SRO)	The single individual with overall responsibility for ensuring that a project or programme meets its objectives and delivers the projected benefit.
Sponsor	The main driving force behind a programme that provide the investment decision and top-level endorsement of the rationale and objectives of the programme.
Stakeholder	Any individual, group or organisation that can affect, be affected by, or perceive itself to be affected by, an initiative (programme, project, activity, risk).
Sub-committee	A committee composed of some members of a larger committee, board, or other body and reporting to it.
Targets	Refers to achieving desired outputs or outcomes at a specific end date, employing a specific amount or resources to achieve a specific objective.
Terms of Reference	The scope and limitations of an activity, group or board.
Transition Plan	A formal, approved document showing major deliverables, activities and resources required in order to transition from implementation to delivery.
Wider Investment Fund	Consisting of £375m of funding provided by the UK Government and £120m of committed borrowing by the constituent authorities.
Value for Money	Value for money assessed using three criteria, economy, efficiency and effectiveness.

Schedule 9

IMPLEMENTATION PLAN

DRAFT

Cardiff Capital Region City Deal Implementation Plan 2016-2020

DRAFT

SRO	<p><i>HMT Implementation Champion(s) for Cardiff Capital Region: Paul Shand</i> <i>Cardiff Capital Region Implementation Champion(s): Sheila Davies/Sian Workman</i> <i>WG Implementation champion for Cardiff Capital Region(s): Tamlyn Rabey/Jo Salway</i></p>
Summary	<ol style="list-style-type: none"> 1. Cardiff Capital Region has secured a deal worth £1.2 billion. Over its lifetime, local partners expect the City Deal to deliver up to 25,000 new jobs and leverage an additional £4 billion of private sector investment. 2. This City Deal will provide local partners with the powers and the resources to unlock significant economic growth across the Cardiff Capital Region. It is a deal that builds on the region's sectoral strengths, its high skill base and three successful universities. The City Deal also provides an opportunity to continue tackling the area's barriers to economic growth by: improving transport connectivity; increasing skill levels still further; supporting people into work; and giving businesses the support they need to innovate and grow. 3. This deal will also develop stronger and more effective leadership across the Cardiff Capital Region, enabling ten local authority leaders to join up decision making, pool resources and work more effectively with local businesses. 4. The Cardiff Capital Region City Deal includes: <ul style="list-style-type: none"> £1.2 billion investment in the Cardiff Capital Region's infrastructure. A key priority for investment will be the delivery of the South East Wales Metro, including the Valley Lines Electrification programme. Connecting the region. The Cardiff Capital Region will establish a new non-statutory Regional Transport Authority to co-ordinate transport planning and investment, in partnership with the Welsh Government. Support for innovation and improving the digital network. To develop capabilities in Compound Semiconductor Applications the UK Government will invest £50 million to establish a new Catapult Centre in Wales. The Cardiff Capital region will also prioritise investment in research and development and provide support for high value innovative businesses. Developing a skilled workforce and tackling unemployment. The Cardiff Capital Region Skills and Employment Board will be created (building on existing arrangements) to ensure skills and employment provision is responsive to the needs of local businesses and communities. The Cardiff Capital Region and the Welsh Government will work with the Department of Work and Pensions to co-design the future employment support from 2017, for people with a health condition or disability and/or long term unemployed. Supporting enterprise and business growth. A Cardiff Capital Region Business Organisation will be established to ensure that there is a single voice for business to work with local authority leaders. Housing development and regeneration. The Welsh Government and the Cardiff Capital Region commit to a new partnership approach to strategic planning. This will ensure the delivery of sustainable communities, through the use and re-use of property and sites.

Portfolio Leads	<u>Deal Elements</u>	<u>CCRCD Portfolio & Lead</u>	<u>Independent Growth & Competitiveness Commission Recommendation</u>	<u>HMT Lead</u> [To be added where appropriate]	<u>WG Lead</u>
	1.South East Wales Metro and Connecting the CCR	T2.6:Cllr Andrew Morgan and Cllr Huw David	1,2,3,6,8,10	[To be added where appropriate]	Director of Transport and ICT Infrastructure (SJ)
	2.Additional Flexibilities	T2.2:Cllr Andrew Morgan and Will Godfrey	1,2,3,5,6,8,10,11,12	[To be added where appropriate]	Head of Local Government Finance (DC) Dept.
	3.Investing in Innovation and the Digital Network	T2.3:Cllr Peter Fox and Cllr Anthony Hunt	1,2,3,4,9	[To be added where appropriate]	Director ICT Infrastructure (RS)
	4.Developing a Skilled Workforce and Tackling Unemployment	T2.4:Cllr Debbie Wilcox	1,2,3,4,5,6,7	[To be added where appropriate]	Director Skills, HE and Lifelong Working (HM)
	5.Supporting Enterprise and Business Growth	T2.4:Cllr Phil Bale	1,2,3,4,5,6,12,13	[To be added where appropriate]	Head of Economy, Skills, Transport Strategy Team (TB)
	6.Housing Development and Regeneration	T2.3:Cllr Neil Moore and Cllr Keith Reynolds	11	[To be added where appropriate]	Director of Housing & Regen (JH)
	7.Cardiff Capital	T2.1:Cllr Andrew Morgan		[To be added where appropriate]	

<p>completion of document by 2020</p> <ol style="list-style-type: none"> 2. Determine how regional transport networks can most effectively enable strategic spatial planning aspirations 3. Identify transport aims and objectives that support the delivery of a SDP & CCR/City Deal aspirations 4. Procure external resource in developing statutory supporting studies 5. Establish information baseline and undertake appropriate public and stakeholder engagement 			
T2.6/2 Support and Inform Metro Development			
<ul style="list-style-type: none"> • Work in partnership with Welsh Government to define priorities of the South East Wales Metro concept and support its delivery • LA officer seconded into TfW procurement team to support procurement process and assist definition of Metro to align with and complement other City Region aspirations • Determine emerging mode type, service patterns and standards, scope of Phase 2 • Identify opportunities for a programme of additional investment (Phase 3) to deliver wider regional benefits 	Oct 16 – Mar 22		RTA/TfW
T2.6/3 Pooled Local Transport Network and Resources			
<ul style="list-style-type: none"> • Establish CCRTA Joint Transport Committee (as sub-committee to Cardiff Capital Region City Deal Joint Committee) • Establish senior transport officer group • Establish joint working partnerships with Welsh Government and Transport for Wales with clear roles and responsibilities • Establish the CCRTA as the focal point for regional engagement on all LA based transport issues and to respond/influence to third party proposals/services • Identify and develop joint regional initiatives to provide a strategic regional approach to dealing with transport matters • Develop and implement a phased approach to regionalising the 	<p>Oct 16</p> <p>Jan 16</p> <p>Jan 17 – Mar 20</p>		RTA

Working in partnership with the Welsh Government to promote the development of integrated aviation routes from Cardiff airport and St Athan Enterprise Zone, to deliver economic benefit			
1. Review current levels of accessibility and connectivity between the airport / enterprise zone and the wider region	2017-19		
2. Identify options to enhance current levels of accessibility and connectivity	2017-19		
3. Develop a prioritised programme of enhancements and identify appropriate funding opportunities	2017-19		
4. Develop and implement enhancements	2020-25		
Deal Element:	2. Additional Flexibilities		
Summary:	In order to deliver the Cardiff Capital Region's City Deal commitments and a longer-term economic strategy, the ten local authorities have requested greater financial autonomy and flexibility. As part of this City Deal the Welsh Government will explore greater financial autonomy and flexibility with the Cardiff Capital Region Regional Cabinet.		
Portfolio Lead:	<ul style="list-style-type: none"> Cllr Steve Thomas 		
Supported by:	<ul style="list-style-type: none"> Will Godfrey/WAO/WGT 		
<i>N.B. unless specified, timescales to be read as 2016-2020</i>			
Key milestones/tasks	Timescales	Requirements of Government	Owner
T2.2/4 Financial Flexibility			
<ul style="list-style-type: none"> Regional Cabinet to develop a proposal around specifically what they are seeking to explore Meeting to explore the potential of business rate income above an agreed growth baseline to provide funding for the City Deal programme Meeting to explore the ability to levy an infrastructure supplement 	Jan 17 Jan 17 Dec 17		RO WG/WGT WG/WGT

<ul style="list-style-type: none"> Meeting to explore creating the option for the local authorities to use alternative finance sources Explore removing conditions around some specific Welsh Government grants, to allow funding to be pooled at the regional level in areas such as school support and interventions that seek to address poverty 			WG/WGT/WAO
<i>N.B. unless specified, timescales to be read as 2016-2020</i>			
Deal Element: Summary: Portfolio Lead: Supported by:	3. Investing in Innovation and the Digital Network		
	<p>The Cardiff Capital Region has an aspiration to extend the “arc of innovation” that runs along the M4 corridor into the Cardiff Capital Region. Capitalising on the research strengths of the Region’s three universities, the Cardiff Capital Region will designate an “Innovation District” that helps to: create and nurture new high growth businesses; increases investment in research and development; and provides the skills that businesses need now and in the future, significantly improving the commercialisation of IP. Within the context of an Innovation District, there are a set of key and connected interventions that would provide a foundation for investment in innovation growth; grow a cluster of international significance around advanced compound semi-conductors; target and try out new ways of working in public services through a regional ‘testbed’ piloting developments in open and big data and unlocking the economic value of public procurement and building an industrial accommodation strategy for co-working innovation hubs.</p>		
	<ul style="list-style-type: none"> Cllr Peter fox and Cllr Anthony Hunt 		
	<ul style="list-style-type: none"> Paul Matthews/Kellie Bernie/Alison Ward/Matt Lewis 		
<i>N.B. unless specified, timescales to be read as 2016-2020</i>			
Key milestones/tasks	Timescales	Requirements of Government	Owner
T2.5 /2 Developing an Internationally Competitive Compound Semiconductor Cluster			
Accelerate growth of innovation by: <ul style="list-style-type: none"> Establishing an anchor space in the region for high end production and manufacturing in 2017/18 Link University-supported R&D & IP creation through to production and 	Acquisition of high end factory space March 2017	Co-locate high end production with Catapult Centre	CCRPB/WG

<p>commercialisation – ensuring full TRL presence across 1-3, 3-6 and 6-9</p> <ul style="list-style-type: none"> • Connect Centre for Excellence with Manufacturing and Production and Catapult Centre • Supporting the development of a globally recognised Compound Semi-conductor cluster through an open innovation system, FDI and specialist branding and marketing • Supporting high growth connections through creating ‘collision spaces’ for semi-conductors, defence, automotive and digital sectors 	<p>Catapult location with factory production 2017/18</p> <p>Cluster establishment begins 2019/20</p>	<p>Access to ongoing Innovate UK support and investment</p> <p>UKRI recognises region as honeypot for clustering of CS industries</p>	
<p>T2.5 Innovation District, Innovation Investment and Innovate UK</p>			
<ul style="list-style-type: none"> • Designate an innovation district with a ‘core’ around Cardiff University Innovation System and a ‘corridor’ that links growth poles • Achieve new package of fiscal rewards and incentives through which to target growth and development • Target key emergent and existing growth sectors through enhanced package of measures to invest in growth of IP creation and commercialisation • Develop and match fund an Innovation Investment Fund targeted at the digital growth sector • Improve subscription rate to Innovate UK funds and Investment streams Invest • Inform Innovate UK Industrial Growth Strategy • Site the National Innovation Body for Wales within the Innovation District programmes and activities • Work with WG to support, consolidate and promote innovation through a new National Innovation Body 	<p>2018-33</p> <p>2019/20</p> <p>2020 onwards</p> <p>2019</p> <p>2017/18 onwards</p> <p>January 2017</p> <p>2018</p> <p>2018</p>	<p>Provide powers to designate an Innovation District</p> <p>Agree package of fiscal rewards and incentives</p> <p>Ensure greater engagement in Wales with Innovate’s country Director and direct engagement in the IGS</p> <p>Agreement to</p>	<p>CCRPB/WG</p>

		locate new NIB within the region and designated Innovation District	
T2.5/4 Public Services Testbed, Digital Development and Open Data			
<ul style="list-style-type: none"> • Create testbed to try, test and develop new approaches to public service delivering – inverting notion of a ‘bloated’ and problem public sector into an opportunity. This would focus upon solving the ‘wicked problems’ in public services and will include: <ul style="list-style-type: none"> ○ Development of data science campus for big data analytics ○ Open data standard for the region. Open data programme and strategy that targets useable apps based development; improves accountability and adds civic value ○ Unlock the economic value of public procurement and see councils play a more significant role in market creation ○ Drive forward new solutions to problems in social care, education, customer care, energy and asset optimisation and localism and service devolution • Build upon the success and scale of the Software Academy through creation of a Digital Services Academy – targeting cyber, defence and social media alongside software development • Explore scope for direct international connectivity • Add value to existing 4G and 5G technologies – making the region a zone for uber-fast connectivity and a testbed for new technologies • Increase WIFI capacity across public transport, opening opportunities for data portals and e-citizenship • Implement ‘innovation’ and ‘digital’ as a theme across all areas, impacting the future-proofing of new public transport, smart live-work 	<p>Open data strategy and licence for region 2018</p> <p>Data analytics campus 2020</p> <p>Public services testbed in operation for 2021</p> <p>Digital academy expansion 2019</p> <p>Cyber academy established 2020</p>	<p>Support from all Government agencies in region to sign up to approach – ONS, IPO, and Companies House etc.</p> <p>Innovate UK and H20/20 support for Public Services Testbed</p>	<p>CCRPB/WG</p>

housing, smart region development (urban-rural-valley) and ensuring our young people are equipped and skilled to operate in the economies of the future.				
T2.5/4 Industrial Accommodation Strategy & Entrepreneurship				
<ul style="list-style-type: none"> • Re-invigorate and adapt the National Entrepreneurship Strategy for the region • Engage in and implement the findings and recommendations of REAP Action Plan • Create 'maker/coding/co-working' spaces to enable the development of appropriate business development, scale-up and creative co-working environments. 	2020 2018 onwards for REAP recommendations First co-working space live in 2020	Support for implementation of REAP Development of regional ES supported by WG New arrangements in place for liaison and engagement with UKRI	CCRPB/WG	
Deal Element: Summary:				
4. Developing a Skilled Workforce and Tackling Unemployment				
The Cardiff Capital Region Skills and Employment Board will be created (building on existing arrangements) to ensure skills and employment provision is responsive to the needs of local businesses and communities. The Cardiff Capital Region and the Welsh Government will work with the Department of Work and Pensions to co-design the future employment support from 2017, for people with a health condition or disability and/or long term unemployed.				
Portfolio Lead:				
<ul style="list-style-type: none"> • Cllr Debbie Wilcox 				
Supported				
<ul style="list-style-type: none"> • Stephen Gillingham/Richard Crook 				

by:			
<i>N.B. unless specified, timescales to be read as 2016-2020</i>			
Key milestones/tasks	Timescales	Requirements of Government	Owner
T2.4/1 DWP Work & Health			
<ul style="list-style-type: none"> Co-design of future employment support Award of framework contracts Agreement of CCRCD involvement in mini framework awards Agreement of CCRCD involvement in the CPA governance of the contract performance 	Nov 17	Engagement with DWP	RC/DWP
T2.4/2 Reducing Unemployment			
<ul style="list-style-type: none"> Increase number of people moving into work A regional approach for assessment and support using the 5 step Model The integration of the All Age Employability Strategy into delivery Ensuring the provision of skills for support employability The preparation of a CCRCD Employability strategy to provide the context to shape existing provision, to direct new provision and measure performance will cover increasing employability and reducing UE. The strategy will be produced for October 2017 with the delivery being ongoing 	Oct 17		LSKIP
T2.4/3 Increasing Employability			
<ul style="list-style-type: none"> Provide people with skills for employability Increase number of people moving into work A regional approach for assessment and support using the 5 step Model The integration of the All Age Employability Strategy into delivery Ensuring the provision of skills for support employability The preparation of a CCRCD Employability strategy to provide the context to shape existing provision, to direct new provision and 	Oct 17		LSKIP

measure performance will cover increasing employability and reducing UE. The strategy will be produced for October 2017 with the delivery being ongoing			
T2.4/4 Apprenticeship Programme			
<ul style="list-style-type: none"> • Increase the number of people undertaking apprenticeships • The programme will need to include the Programme for Government intention of delivering 100,000 apprenticeships, the current supply and demand, and opportunity to develop a tailored CCRCD response. An initial programme will be developed for March 2017 with full programme finalised for October 2017 in line with the Employability Strategy 	Oct 17		LSKIP
T2.4/P1 Social Clauses Review			
<ul style="list-style-type: none"> • Task and Finish review of best practice to establish a sustainable approach to procurement 	June 17		LSKIP
T2.4/P1 Business Cluster (Skills) Collaboration			
<ul style="list-style-type: none"> • Structural engagement with business clusters to ensure skills needs are met 	June 17		LSKIP
T2.4/P1 Virtual Academies			
<ul style="list-style-type: none"> • Development of the model of how the VA would operate in response to opportunity 	June 17		LSKIP
T2.5/4 Software Academy			
<ul style="list-style-type: none"> • The Digital Network • Support the Software Academy and related programmes • Developing a cyber-security academy • Developing proposals for better use of data • Exploring the case for direct International connectivity • Mobile infrastructure across 4G and 5G technologies that add value to existing provision • Increasing Wi-Fi across public transport 	June 17		LSKIP

<ul style="list-style-type: none"> Digital solutions to big problems 				
Deal Element: Summary: Portfolio Lead: Supported by:	5. Supporting Enterprise and Business Growth			
	A Cardiff Capital Region Business organisation will be established to ensure that there is a single voice for business to work with local authority leaders.			
	<ul style="list-style-type: none"> Cllr Peter Fox & Cllr Anthony Hunt 			
<ul style="list-style-type: none"> Paul Matthews/Kellie Bernie/Alison Ward/Matt Lewis/Helen Davies/Ann Beynon 				
<i>N.B. unless specified, timescales to be read as 2016-2020</i>				
Key milestones/tasks		Timescales	Requirements of Government	Owner
T2.5/P1 Creating the Regional Business Organisation				
<ul style="list-style-type: none"> Establish the board 				HD/AB
Key milestones/tasks		Timescales	Requirements of Government	Owner
T2.5/5 Integrated Delivery Unit				
<ul style="list-style-type: none"> Create a Regional integrated Delivery unit to provide Business Support Align local resources to create the unit to deliver regionally significant aspects of economic development including business development; marketing; tourism; and inward investment Work with Welsh Government to ensure complementarity Welsh Government to ensure greater levels of visibility with the Welsh Government's own oversees offices 			WG oversees offices/networks	RO RO RO RO

Deal Element:	6. Housing Development and Regeneration		
Summary:	The Welsh Government and the Cardiff Capital Region commit to a new partnership approach to strategic planning. This will ensure the delivery of sustainable communities, through the use and re-use of property and sites.		
Portfolio Lead:	<ul style="list-style-type: none"> • Cllr Moore & Cllr Reynolds 		
Supported by:	<ul style="list-style-type: none"> • Chris Burns/Christina Harry/Rob Thomas/Marcus Goldsworthy/Jane Cook 		
<i>N.B. unless specified, timescales to be read as 2016-2020</i>			
Key milestones/tasks	Timescales	Requirements of Government	Owner
T2.3/3 Development of a CCRCD Housing Fund			
<ul style="list-style-type: none"> • Evidence base of reasons why housing sites are stalled in SE Wales • Development of toolkit of interventions to stimulate housing development • Complete decision tree to identify the right tools for particular site circumstances • Establish non-financial mechanisms e.g. facilitating landowners; CPO etc. • Establish fund criteria to ensure sites supported deliver economic benefit • Establish fund administration and management arrangements • Establish evaluation mechanism • Launch fund 	2017-2020		JC
T2.3/3 Work with Welsh Government to ensure that housing programmes and initiatives align			
<ul style="list-style-type: none"> • Scope WG housing activity • Share City Deal Activity • Align work streams 	2017-2020		JC
T2.3/3 Work with public and private housing providers to increase the delivery and quality of housing			

<ul style="list-style-type: none"> Establish regional fora Lead task and finish activity Explore innovative housing delivery partnerships 	2017-2020		JC
T2.3/3 Work with public and private housing providers to increase the delivery and quality of housing			
<ul style="list-style-type: none"> Establish regional fora Lead task and finish activity Explore innovative housing delivery partnerships 	2017-2020		JC
T2.3/3 Strategic Plan for Regional Housing delivery, including Market Assessment			
T2.3/1 Coordinate with transport; skills; planning and other CCRCD work streams			
T2.3/1 Strategic approach to regeneration & infrastructure provision			
<ul style="list-style-type: none"> Develop a process to capture review and assess infrastructure and regeneration projects which accord with City Deal principles and ensure all submitted schemes and programmes undergo the assessment process and only those meeting the assessment criteria are progressed. Develop a framework based on supporting information provided by the transport, housing, innovation and business support and skill strand to promote innovative infrastructure, regeneration and economic growth projects in collaboration and/or in partnership in order to maximise leverage from the private and public sectors; Facilitate the development of schemes with partners including Welsh Government which together have the potential to provide region wide benefits; Develop a program of support for the three Enterprise Zones within the region in conjunction with Welsh Government and review the boundaries and roles of the Zones going forward The development of further innovative start-up and co-working space in strategic locations to serve the region along with the follow-on space innovative business need to grow. Targeted investment for town centre regeneration to ensure our 	<p>April 2017</p> <p>April 2017-2020</p> <p>April 2017-2020</p> <p>April 2017-2020</p> <p>April 2017-2020</p> <p>April 2017-2020</p> <p>April 2017-2020</p> <p>April 2017-2020</p>		MG

<p>towns develop and thrive into the 21st century</p> <ul style="list-style-type: none"> • The Development of a regeneration and infrastructure fund to support projects which deliver crosscutting regional benefits. • Use the outcomes of the assessment process and City Deal Regional Cabinet resolutions to prepare a regional programme of implementation based on available funding; • Ensure that the regional programme of implementation is monitored and updated based on revised funding and priorities and ensures that project implementation maximises added value benefits and sustainability principles. • Tourism development/investment – Development of a region wide destination investment plan 	<p>April 2017-2020</p> <p>April 2017-2020</p>		
<p>Deal Element: Summary:</p> <p>Portfolio Lead: Supported by:</p>	<p>7. Cardiff Capital Region Cabinet</p> <p>This City Deal will act as a catalyst to develop stronger and more effective leadership across the Cardiff Capital Region, enabling ten local authority leaders to join up decision making, pool resources and work more effectively with local businesses.</p> <p>Utilising the existing statutory framework, the ten local authorities will establish a Cardiff Capital Region Cabinet. The Cabinet will have the status of a Joint Committee and will be the ultimate decision making body in the governance structure.</p> <p>The establishment of a Capital Region Cabinet will be the first step in the development of greater city-region governance across the Cardiff Capital Region.</p> <ul style="list-style-type: none"> • Cllr Toomey • Gareth Chapman/Liz Weale/Pincent Mason <p><i>N.B. unless specified, timescales to be read as 2016-2020</i></p>		

Key milestones/tasks		Timescales	Requirements of Government	Owner
T2.2/1 Agreement and Governance Structure				
<ul style="list-style-type: none"> A comprehensive agreement will be drawn up between the participating authorities which will a) bind and commit each individual local authority and any successor authority (in the event of local government re-organisation) for such duration as is necessary to deliver the City Deal; and b) allow for the possibility of additional functions and powers to be devolved to the Cabinet in the future 		Jan 17		GC
T2.2/2 Governance Development				
<ul style="list-style-type: none"> The Cardiff Capital Region commit to a) reviewing the City Deal governance and exploring the future options for moving to even stronger and effective governance that is legally binding; and b) consulting the Welsh Government and the UK Government to identify actions needed to take forward future governance options 				GC
Deal Element: Summary:	8. Strategic Regional Planning			
	The Cardiff Capital Region, in partnership with the Welsh Government, will commit to the creation of an integrated strategic development plan that incorporates housing and employment land-use with wider transport plans. The strategic plan will provide the underpinning blue-print for development across the city-region.			
	<ul style="list-style-type: none"> Cllr Moore & Cllr Reynolds 			
	<ul style="list-style-type: none"> Chris Burns/Christina Harray/Rob Thomas 			
Portfolio Lead:				
Supported by:				
<i>N.B. unless specified, timescales to be read as 2016-2020</i>				
Key milestones/tasks		Timescales	Requirements of Government	Owner
T2.4/4 Regional Strategic Planning				

	<ul style="list-style-type: none"> Create an Integrated Strategic Development Plan 			RT/CH
Deal Element:	9. Cardiff Capital Region Economic Growth Partnership			
Summary:	<p>The Cardiff Capital Region Economic Growth Partnership will be established as a key advisory body for the development of the Regional Economic Strategy as well as decisions relating to the City Deal Wider Investment Fund. The Partnership will comprise representatives of the key economic actors and agents of the city-region, including business, higher education, local government, the third sector and employee organisations. In addition to being an advisory body for the Regional Economic Strategy, and providing advice on the Wider Investment Fund, the Partnership will also provide an advocacy role in promoting the city-region, which includes supporting the marketing of the city-region and inward investment activities, as well as making representations on behalf of the city-region. In undertaking these activities the Partnership will also monitor and make recommendations to the Regional Cabinet with regard to City Deal implementation; and will provide advice on investment decisions.</p>			
Portfolio Lead:	<ul style="list-style-type: none"> Cllr Bale 			
Supported by:	<ul style="list-style-type: none"> Paul Orders 			
<i>N.B. unless specified, timescales to be read as 2016-2020</i>				
Key milestones/tasks		Timescales	Requirements of Government	Owner
T2.4 Establish the Regional Economic Growth Partnership (REGP)				
<ul style="list-style-type: none"> Develop detailed proposals for the REGP and report back to Joint Cabinet 		2016 Early 2017		PO
<ul style="list-style-type: none"> Finalise proposals to align with legislation and the wider city deal requirements around governance and the wider investment fund assurance framework 		Early 2017 Early 2017		
<ul style="list-style-type: none"> Identify an individual to support the Nolan process in appointing a chair 		Spring 2017		
<ul style="list-style-type: none"> Identify representative groups from the business community and 				

	employee groups, inviting Higher Education institutions to propose a representative and establish interim board			
	<ul style="list-style-type: none"> Establish full REGP 			
Deal Element:	10. Independent Growth and Competitiveness Commission			
Summary:	The Cardiff Capital Region will establish an independent Growth and Competitiveness Commission to support the city region's economic and investment strategy. It will review activities related to the City Deal as well as wider economic and growth interventions.			
Portfolio Lead:	<ul style="list-style-type: none"> Cllr Bale 			
Supported by:	<ul style="list-style-type: none"> Paul Orders 			
<i>N.B. unless specified, timescales to be read as 2016-2020</i>				
Key milestones/tasks		Timescales	Requirements of Government	Owner
T2.4/P3 Review of evidence				
	<ul style="list-style-type: none"> Establish terms of reference and programme June 2016 Launch event June 2016 Commence programme, beginning with a review of evidence about the functional economy area. Deliver a detailed economic analysis of the city-region Findings launched December 2016 	2015/16		GC
Deal Element:	11. Delivery, Monitoring and Evaluation			
Summary:	Cardiff Capital Region will work with the UK Government and the Welsh Government to develop an agreed implementation, monitoring and evaluation plan in advance of implementation, which sets out the proposed approach delivery and evaluating the impact of delivery.			

Portfolio Lead:	• Cllr Morgan		
Supported by:	• Sheila Davies/Sian Workman		
<i>N.B. unless specified, timescales to be read as 2016-2020</i>			
Key milestones/tasks	Timescales	Requirements of Government	Owner
T2.1 Establish the Regional Office (RO)			
<ul style="list-style-type: none"> Establish the joint programme management team Establish the regional delivery team Develop and deploy over-arching programme monitoring tools and processes Introduce individual evaluation arrangements covering each portfolio area referenced Produce the 2017/18 Business Plan 	Jan 17	Support in the development of the framework	SD/SW SW SW SD/SW
T2.1 Establish a Comprehensive Transition Programme			
<ul style="list-style-type: none"> A comprehensive programme of work to ensure a seamless transition to city deal arrangements Ensure that appropriate arrangements are put in place to support the CCRCO including accommodation, staff resources, HR support, financial systems and audit arrangements and IT systems Effective 'internal' communication will be required 	Jan 17	Support in the development of the framework	SW SW/WGT/UKG SW
T2.1 Agree and Implement a Review and Reporting Timetable			
<ul style="list-style-type: none"> A comprehensive timetable to ensure requisite multilateral review and reporting arrangements are met by all partners Establish a clear mechanism for refreshing the city-region implementation plan (it is quite possible that named individuals may change as the result of elections, and we anticipate that some milestones can only be developed or refined following initial exploratory work) and agreeing clear governance over how revisions 	Jan 17	Support in the development of the timetable Welsh Government City Deal	SW/WGT/UKG SW

are approved		Overview Board	
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Consider: Key Stakeholder list (who is involved in delivery, who is the accountable officer); Coms (who, when, how); Budget / costs (who is paying); Resource implications (how much effort (FTE and time) to complete each action; Interdependencies (which actions can't commence until others have been completed) and Governance (who will sign off the plan, and who will monitor progress and when).

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Schedule 10

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The Common Seal of **BLAENAU GWENT**)
COUNTY BOROUGH COUNCIL was)
 hereunto affixed in the presence of:-)

The Common Seal of **BRIDGEND COUNTY**)
BOROUGH COUNCIL was)
 hereunto affixed in the presence of:-)

The Common Seal of **CAERPHILLY COUNTY**)
BOROUGH COUNCIL was)
 hereunto affixed in the presence of:-)

The Common Seal of **THE COUNTY**)
COUNCIL OF THE CITY & COUNTY OF)
CARDIFF was hereunto affixed in the)
 presence of:-)

The Common Seal of **MERTHYR TYDFIL**)
COUNTY BOROUGH COUNCIL was)
 hereunto affixed in the presence of:-)

The Common Seal of **MONMOUTHSHIRE**)
COUNTY COUNCIL was)
hereunto affixed in the presence of:-)

The Common Seal of **NEWPORT**)
CITY COUNCIL was)
hereunto affixed in the presence of:-)

The Common Seal of **RHONDDA CYNON**)
TAFF COUNTY BOROUGH COUNCIL was)
hereunto affixed in the presence of:-)

The Common Seal of **TORFAEN COUNTY**)
BOROUGH COUNCIL was)
hereunto affixed in the presence of:-)

The Common Seal of **THE VALE OF**)
GLAMORGAN COUNCIL was)
hereunto affixed in the presence of:-)



Council

Part 1

Date: 31 January 2017

Item No:

Subject Social Services and Wellbeing Act: Population Needs Assessment

Purpose To present the Social Services and Wellbeing Act draft Population Needs Assessment (PNA) regional report.

Author Mike Nicholson, Strategic Director (People)
Phil Diamond, Theme Lead (Gwent Health and Social Care Transformation Team)

Ward All

Summary Under the Social Services and Wellbeing Act (2014) there is a statutory duty on local authorities and health boards to prepare a regional population needs assessment (PNA) in relation to people requiring care and support. A draft PNA has been jointly developed across the region (Blaenau Gwent, Caerphilly, Monmouthshire, Newport and Torfaen) by Aneurin Bevan University Health Board and Gwent Transformation Team. The PNA sets out the common priorities across the region and suggested actions.

Proposal To consider the draft PNA report, priorities and suggested actions so that in accordance with statutory requirements, the final PNA can be approved before March 31st. This will take place during Council on March 2nd and then the PNA will subsequently be published on the Newport City Council website.

Action by Council

Timetable Immediate

This report was prepared after consultation with:

- Cabinet Jan 16th
- Joint Scrutiny: Learning Care, Leisure and Community Planning and Development Scrutiny Jan 17th
- Mike Nicholson, Strategic Director (People),
- Rhys Cornwall, Head of People and Business Change
- Emma Wakeham, Health, Social Care and Wellbeing, Support Officer
- Jenny Jenkins, Service Manager, (Commissioning and Quality Assurance)

Signed

Background

The Social Services and Wellbeing Act (Act), in Part 2, section 14, requires that local authorities and local health boards must jointly carry out an assessment of the needs for care and support, and the support needs of carers in the local authority areas. Care and support is in relation to people known to Social Services but we also need to recognise that there are a large number of people who are supported through preventative services and initial research has estimated that this could be approximately 1 in 5 people. A population needs assessment (PNA) report will comprise of two sections:

Section 1: the assessment of need

Local authorities and Local Health Boards must jointly assess:

- the extent to which there are people in the area of assessment who need care and support
- the extent to which there are carers in the area of assessment who need support
- the extent to which there are people whose needs for care and support (or, in the case of carers, support) are not being met

The PNA report must include specific core themes dealing with:

- children and young people
- older people
- health / physical disabilities
- learning disability/autism
- mental health
- sensory impairment
- carers who need support; and
- violence against women, domestic abuse and sexual violence.

Section 2 - the range and level of services required.

Local authorities and Local Health Boards must jointly assess:

- the range and level of services required to meet the care and support needs of the population and the support needs of carers
- the range and level of services required to prevent needs arising or escalating; and
- the actions required to provide these services through the medium of Welsh.

Under the Social Services and Wellbeing Act, the 5 local authorities within the Aneurin Bevan University Health Board (ABUHB) footprint - Blaenau Gwent, Caerphilly, Monmouthshire, Newport and Torfaen - must form a partnership arrangement with the ABUHB and produce a single combined population needs assessment report (PNA). In addition the PNA must:

- Be produced once per local government electoral cycle and across the ABUHB footprint
- Contain the population assessment for each of the local authority areas but also combine these assessments to produce a single regional assessment of the needs of the people in the whole of the Local Health Board's area
- Include an assessment of the range and level of services required to meet those needs.
- Demonstrate clearly the extent to which the core themes are concentrated or diffused across the partnership
- Keep population assessment reports under review and revise them if required.

The first population assessment must be published by April 2017 and the Leadership Group (via the regional transformation team), which is the executive officer group that reports to the Regional Partnership Board (RPB) will co-ordinate this work and the RPB will act as a joint committee to oversee the process.

It is recognised that the PNA will need to link to the Wellbeing Assessment required under the Wellbeing of Future Generations Act. Although the definition of wellbeing is slightly different in each Act, there are synergies to gain, and duplication to avoid by linking the assessments.

NCC have been instrumental in developing the design principles across the region through a local task and finish group exploring the opportunities to align both population assessments, reduce duplication and identify areas of joint working/collaboration. The learning from the task and finish group has been used to design the methodology across the other 4 local authority areas; and also shared with Welsh Government as good practice which in turn has been shared across Wales.

Current Position

A draft regional PNA has been developed and is currently out for consultation. The main points to note

- The PNA was developed through extensive engagement with regional citizen panel, provider forum and regional executive director leadership group; as well as local groups such as youth forum, older people's forums, carers groups and parenting networks. Further engagement is planned during the consultation period
- The NCC citizen panel was engaged during the development of the PNA with 231 responses (36%). Summary of feedback below
 - 62% strongly agreed mental health support for children as a priority
 - 69% strongly agreed with dementia as a concern
 - 62% strongly agreed with flexible respite a need for carers
 - 65% strongly agreed with increased awareness of mental health
 - 65% strongly agreed with employment opportunities for people with learning disabilities
 - 62% strongly agreed with accessible transport
 - 60% strongly agreed with support for victims of domestic abuse
- The PNA will contain the high level priorities and suggested actions but the data graphs will be included in technical appendices – the PNA will read as executive summary and not include a large number of data graphs
- The PNA will have to be signed off and agreed by individual local authority councils and the health board by March 31st 2017 and subsequently published on individual websites

Following the publication of the regional report each local authority and health board are required to prepare and publish a plan setting out the range and level of services they propose to provide, or arrange to be provided, in response to the population needs assessment. Area plans must include the specific services planned in response to each core theme identified in the population assessment. As part of this, area plans must include:

- the actions partners will take in relation to the priority areas of integration for Regional Partnership Boards;
- the instances and details of pooled funds to be established in response to the population assessment;
- how services will be procured or arranged to be delivered, including by alternative delivery models;
- details of the preventative services that will be provided or arranged;
- actions being taken in relation to the provision of information, advice and assistance services; and
- actions required to deliver services through the medium of Welsh.

The first area plans must be published by 1 April 2018 and there will be a need to ensure links between the Area Plan and the local authority Well-being Plans required under the Well-being of Future Generations Act to facilitate collaborative working between the 2 legislative duties and avoid duplication. Links to NCC's Corporate Improvement Plan and ABUHB Intermediate Medium Term Plans will also need to be established, as well as alignment to the Neighbourhood Care Network plans in each of the GP cluster areas.

Proposal

To consider the draft PNA report, priorities and suggested actions so that in accordance with statutory requirements, the final PNA can be approved before March 31st. This will take place during Council on March 2nd and then the PNA will subsequently be published on the Newport City Council website.

Financial Summary

- The financial implications will be explored more robustly through the development of the regional Area Plan following the PNA

	Year 1 (Current) £	Year 2 £	Year 3 £	Ongoing £	Notes including budgets heads affected
Costs (Income)					
Net Costs (Savings)					
Net Impact on Budget					

Risks

The PNA is a high level regional report that sets out areas for joint working. If NCC do not provide comments and/or agree to priorities there will be a risk of little or no regional working

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
Lack of regional working and joint commissioning	M	L	Implemented task and finish group so that needs of NCC are included in foundation planning	PD/EW

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

- Wellbeing Assessment (Wellbeing of Future Generations Act)
- Corporate Improvement Plan

Options Available and considered

Option1: To consider the draft PNA report, priorities and suggested actions so that in accordance with statutory requirements, the final PNA can be approved before March 31st. This will take place during Council on March 2nd and then the PNA will subsequently be published on the Newport City Council website.

Option 2: To choose not to sign of the PNA by March 31st 2017

Preferred Option and Why

Option 1 is the recommended option as there is a statutory requirement on Local Authorities and Health Boards to sign off the PNA by the required date.

Comments of Chief Financial Officer

There are no specific financial issues detailed within this report as they will need to be discussed through the development of the regional Area Plan following the PNA sign off.

Comments of Monitoring Officer

There are no specific legal issues arising from the Report. The draft PNA has been prepared in accordance with the requirements of the Social Services and Wellbeing Act (Act) 2014 and the Partnership Arrangements (Wales) Regulations 2015. Section 14 of the Act requires local authorities and local health boards to jointly carry out an assessment of the needs for care and support, and the support needs of carers, in the local authority areas.

The 2015 partnership arrangement regulations require local authorities and LHBs to form partnerships in order to carry out this PNA on a regional basis. Therefore the draft PNA has been prepared in conjunction with the other Gwent authorities and ABUHB. All of the partners are required to agree and publish the PNA by April 2017.

The Council will then have to prepare Area Plans by April 2018, in partnership with ABUHB, to identify what action will be taken jointly to meet these assessed needs. These plans will need to link in with the Council's Well-Being Plans under the Well-being of Future Generations Act and its Corporate Plan.

Comments of Head of People and Business Change

There are no specific staffing implications arising from the report. Whilst the draft Population Needs Assessment has been produced in accordance with the requirements of the Social Services and Wellbeing Act (Act) 2014 and the Partnership Arrangements (Wales) Regulations 2015 there is also a specific relationship with the Wellbeing Assessment required under the Wellbeing of Future Generations (Act) 2015.

The Council and partners are currently consulting on the Wellbeing Assessment and this has been developed in tandem with the Population Needs Assessment. Following the Local Government elections in May 2017 work will begin on the development of both the Corporate Plan and Wellbeing Plan for Newport and the Population Needs Assessment will be part of the evidence base for both those strategic documents.

Comments of Cabinet Member for Adult Social Services and Housing and Cabinet Member for Education and Young People

The report is required to meet our statutory obligations and is supported by Cabinet Members for Adult Social Services and Housing and Education and Young People

Local issues

All wards

Scrutiny Committees

Joint Scrutiny: Learning Care, Leisure and Community Planning and Development Scrutiny Jan 17th

Cabinet

Cabinet on Jan 17th recommended that the draft report be taken to Council on January 31st with the final report going to Council on March 2nd for sign off

Equalities Impact Assessment and the Equalities Act 2010

The Equality Act 2010 contains a Public Sector Equality Duty which came into force on 06 April 2011. The Act identifies a number of 'protected characteristics', namely age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; sexual orientation; marriage and civil partnership.

Children and Families (Wales) Measure

Although no targeted consultation takes place specifically aimed at children and young people, consultation on planning applications and appeals is open to all of our citizens regardless of their age. Depending on the scale of the proposed development, applications are publicised via letters to neighbouring occupiers, site notices, press notices and/or social media. People replying to consultations are not required to provide their age or any other personal data, and therefore this data is not held or recorded in any way, and responses are not separated out by age.

Wellbeing of Future Generations (Wales) Act 2015

The Social Services and Wellbeing Act shared similar principles to the sustainable development principle put into place by the WFG Act. The PNA will evidence clear consideration and actions to progress the following WFG principles:

- Long term: the importance of balancing short- term needs with the need to safeguard the ability to also meet long – term needs
- Prevention: How acting to prevent problems occurring or getting worse may help us meet our objectives
- Integration: Consider how the proposals will impact on our wellbeing objectives, our wellbeing goals, other objectives or those of other public bodies
- Collaboration: have you considered how acting in collaboration with any other person or any other part of our organisation could help meet our wellbeing objectives
- Involvement: The importance of involving people with an interest in achieving the wellbeing goals, and ensuring that those people reflect the diversity of the City we serve.

Crime and Disorder Act 1998

Section 17(1) of the Crime and Disorder Act 1998 imposes a duty on the Local Authority to exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent, crime and disorder in its area.

Consultation

Comments received from wider consultation, including comments from elected members, are detailed in each application report in the attached schedule.

Background Papers

1. PNA at a Glance
2. Draft PNA

Social Services and Wellbeing Act Population Needs Assessment

Summary of priorities, actions and process steps

'What it is and what it is not!'

1. This PNA is not an exhaustive list of graphical data but includes appendices where further data is included and will include links to other supporting information such as the local Wellbeing Assessments required under the Wellbeing of Future Generations Act – we do not want to duplicate large sections of information in this PNA which is included in other documents
2. This PNA is based on the views of citizens and providers, and co-production is a core design principle. **Citizens and providers helped identify the emerging areas of interest under each core theme.**
3. This PNA is not adopting a 'blank canvass' approach as there are a number of previously completed, and current, needs assessments and market position statements that include useful intelligence. Also, national reports such as NHS Adverse Childhood Experiences provide invaluable data that this PNA will incorporate, but not replicate.
4. The core theme chapters will also include a list of suggested actions to be included in the underpinning regional Area Plan required following the publication of this PNA – **again this list is not exhaustive but a starting point for consultation!**
5. This PNA is the first of its kind and will set the direction of travel for health and social care services – **it is the 'shop window' in terms of priorities and next steps** – and more detailed analysis, mapping of services and actions will be set out in the regional Area Plan required by April 2018.

CORE THEME	Emerging Areas of Interest
Children & Young People	<ul style="list-style-type: none"> • Accommodation and local placements for children with complex needs • Transition arrangements between children and adult services and simpler processes for children with complex needs • Earlier intervention and community based support linked to school hubs • Looked After Children including education achievement • Mental health support for children
Older People	<ul style="list-style-type: none"> • Isolation of older people • Dementia • Simpler coordination of services including Continuing Health Care • Appropriate accommodation for older people • Person centered support where person is listened to, with earlier intervention and community resilience
Carers Mental Health	<ul style="list-style-type: none"> • Young Carers and support for siblings • Flexible, bespoke support including Information, Advice and Assistance • Flexible respite for carers • Training and peer to peer support for carers • New models of support for carers • Increased understanding and awareness of mental health • Emotional support for children in care • Less social isolation more community support • Early intervention and community support which is timely including advocacy.
Learning Disabilities Physical Health & Sensory Impairment	<ul style="list-style-type: none"> • Independent living with access to early intervention services in the community and good public awareness (including Carer's education – what is acceptable?) • Young people with autism, accommodation, access to day services • Employment and training opportunities for people with learning disabilities • Dementia amongst people with learning disabilities • Appropriate Accommodation • Support people with physical and sensory needs with independent living • All age approach to physical disabilities • Accessible transport, accommodation and community based services • Access to medication where required
Violence against women domestic abuse and sexual violence	<ul style="list-style-type: none"> • Training for all • Healthy relationship awareness especially in schools • Family services • Support for victims • Service analysis and mapping

CORE THEME	Actions to be progressed through regional Area Plan
Children & Young People	<ul style="list-style-type: none"> ▪ Support Children and Family Partnership Board's review of local arrangements for children with complex needs and delivery of work programme. ▪ Consistent models of practice and alignment of Welsh Government's early intervention and preventative programmes
Older People Health/ Physical Disabilities	<ul style="list-style-type: none"> ▪ Develop place based approach '<i>Care Closer to Home</i>' including consistent delivery of community connectors across the region ▪ Further develop '<i>Dementia Friendly Communities</i>' ▪ Pilot domiciliary care joint commissioning process with National Commissioning Board and linked to Care Standards Social Improvement Wales 'Above and Beyond' Report and the 'Care and Support at Home' Strategic Plan currently being developed by Care Council for Wales. ▪ Implement 'Care Closer to Home' Strategy ▪ Align with 5 local Wellbeing Assessments required under Wellbeing of Future Generations Act and explore joint action planning for wider detriments to health
Learning Disabilities/ Autism	<ul style="list-style-type: none"> ▪ Support Mental Health and Learning Disability Partnership Board review Gwent Strategy for Adults with a Learning Disability 2012/17 and set out key regional commissioning, integration actions ▪ Local implementation of Welsh Strategic Action Plan including development of new Integrated Autism Service.
Mental Health Sensory Impairment Carers VAWDASV	<ul style="list-style-type: none"> ▪ Review of and align regional strategies to Together for Mental Health Delivery plan ▪ Coordination of consistent community based services such as community connectors/social prescribers ▪ Multi-agency place based models which include wider partners such as Housing Associations, employment support and community programmes ▪ Accurate Information, Advice and Assistance through DEWIS and Five Ways to Wellbeing ▪ Use good practice and effective pathways to develop regional commissioning principles ▪ Ensure accurate, accessible and timely Information, Advice and Assistance through DEWIS and other means ▪ Work in partnership with third sector to identify new models to support rehabilitation process and supply of low vision tools. ▪ Coordination of consistent community based services such as community connectors/social prescribers to identify and support carers ▪ Review of medical prompting to better support carers ▪ Accurate Information, Advice and Assistance through DEWIS and Five Ways to Wellbeing ▪ Review of and align third sector commissioning principles to support befriending for carers requiring support ▪ Ensure that the implementation of the care closer to home strategy increases the community level support for carers ▪ Consistent commissioning across health and social care to ensure equitable, region wide and effective models of carer support ▪ Implementation of 'Ask and Act' as part of Welsh Government pilot. ▪ Strategic alignment with VAWDASV Board, needs assessment and strategic plan.

High Level Process Development Actions to be delivered through Regional Area Plan

Service Mapping	<ul style="list-style-type: none"> ▪ Continue to build on existing service mapping through the 'Care Closer to Home' strategy, Regional Joint Commissioning work stream and Supporting People programme and link specifically to priorities identified therein
	<ul style="list-style-type: none"> ▪ Further develop and enhance the DEWIS website so it becomes the primary directory of resources for the region
	<ul style="list-style-type: none"> ▪ Work with PSBs to ensure wider service mapping is integrated with that of Health and social care as an important step towards the creation of a public service response at community level
Health & Social Care Integration	<ul style="list-style-type: none"> ▪ Integration of care and support provision to key client groups as set out in Part 9 of the Act and emphasised through RPBs Statements of Strategic Intent for older people, children with complex needs and carers, as well as strategy statements for Mental Health and Learning Disability (including Autism)
	<ul style="list-style-type: none"> ▪ Adopt a place based approach through 'Care Closer to Home' strategy as foundation stone that underpins health and social care service integration
Joint Commissioning and Pooled Budgets	<ul style="list-style-type: none"> ▪ Implement RJCG action plan to deliver joint commissioning arrangements for identified priorities for Act Part 9 requirements.
	<ul style="list-style-type: none"> ▪ Continue to link with National Commissioning Board to progress national work priorities and proposals across the region
Preventative Services	<ul style="list-style-type: none"> ▪ Explore a single prevention agenda across the region with PSBs and linked to Wellbeing of Future Generations and SSWB Acts
	<ul style="list-style-type: none"> ▪ Align anti-poverty programmes across the region to set out a single preventative model based on consistent assessment principles, joint workforce and joint commissioning
	<ul style="list-style-type: none"> ▪ Through the implementation of the 'Care Closer to Home' strategy ensure that prevention and early intervention is supported and enabled in a consistent manner across the region
	<ul style="list-style-type: none"> ▪ Through RJCG work with third sector to maximise and align activity to prevent escalation of need and build on existing models of good practice such as befriending, social prescribing etc. and to promulgate the development of social enterprises and co-operatives where possible.
	<ul style="list-style-type: none"> ▪ Support Early Years Pathfinder pilot and use key messages to shape early intervention models
Information, Advice and Assistance	<ul style="list-style-type: none"> ▪ Further support and develop DEWIS website so it becomes the 'go to' place for information on support, advice and assistance.
	<ul style="list-style-type: none"> ▪ Continue to support consistent information dissemination and stakeholder engagement through regional communications group
	<ul style="list-style-type: none"> ▪ Use IAA performance management data to inform design of services
	<ul style="list-style-type: none"> ▪ To support further initiatives across the region that supports consistency of approach to IAA e.g. self-assessment exercises, peer reviews
	<ul style="list-style-type: none"> ▪ To work with regional workforce managers and Social Care Wales to ensure that cultural change programmes are embedded and on-going
Advocacy	<ul style="list-style-type: none"> ▪ Alignment of advocacy provision to identified priorities across partner agencies
	<ul style="list-style-type: none"> ▪ Support Golden Thread Advocacy Programme across the region through regional provider forum
	<ul style="list-style-type: none"> ▪ Joint approach to advocacy provision with third sector partners especially in promotion of independent advocacy

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Social Services and Wellbeing Act

Population Needs Assessment

Gwent Region Report

DRAFT Nov 2016



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How to view this Population Needs Assessment (PNA)

'What it is and what it is not!'

1. This PNA is not an exhaustive list of graphical data but includes appendices where further data is included.
2. This PNA will include links to other supporting information such as the local Wellbeing Assessments required under the Wellbeing of Future Generations Act – we do not want to duplicate large sections of information in this PNA which is included in other documents
3. This PNA uses the PNA toolkit developed by Welsh Local Government Association (WLGA) and Social Services Improvement Agency (SSIA) to set out the levels need in the situational analysis and services required in the response analysis
4. This PNA will not include or reference every data source available – as it will simply be too large, but we will use the Social Services and Wellbeing Act data catalogue developed by Data Unit Wales as a starting point.
5. This PNA is based on the views of citizens and providers, and co-production is a core design principle. Citizens and providers helped identify the emerging areas of interest under each core theme.
6. This PNA will use the latest research. This PNA is not adopting a 'blank canvass' approach as there are a number of previously completed, and current, needs assessments and market position statements that include useful intelligence. Also, national reports such as NHS Adverse Childhood Experiences provide invaluable data that this PNA will incorporate, but not replicate.
7. The core theme chapters will read as executive summaries and highlight regional priorities linked to the emerging areas of interest; and also high level partnerships and services that can support the agenda.
8. The core theme chapters will also include a list of suggested actions to be included in the underpinning regional Area Plan required following the publication of this PNA – again this list is not exhaustive but a starting point.
9. This PNA is the first of its kind and will set the direction of travel for health and social care services – it is the 'shop window' in terms of priorities and next steps – and more detailed analysis, mapping of services and actions will be set out in the regional Area Plan required by April 2018.

Foreword

The Gwent Health Social Care and Well-being Partnership is pleased to publish the region's first Social Services and Wellbeing Act Population Needs Assessment which will be central to promoting wellbeing, supporting people at the earliest opportunity to maintain their independence and to help people to better help themselves.

We are living in a time of enduring austerity and the priorities that we identify and work in partnership to deliver, will also need to ensure that services are sustainable now and in the future. This needs assessment presents not only the level of need across the region, but also provides the region's response to the identified need as well as proposing the next steps required to meet those needs. The Gwent Regional Partnership will now translate words into action through good partnership working and shared goals and aspirations.

Finally, to ensure this needs assessment will have the desired impact we need to engage with our citizens and we are pleased that so many people and partners have taken part in our pre-engagement activities to help us identify what matters most. We believe that engagement is not a process but a culture, and we will continue to engage every step along the way through our various panels and existing partner agency groups.

Phil Robson,
Chair of the Gwent Regional partnership Board
Interim Vice Chair of Aneurin Bevan University Health Board

Chair of Citizen Panel

The Gwent Citizen's Panel were very pleased to receive a presentation on the Population Needs Assessment in July 2016. This was welcome confirmation that service needs and priorities were being taken very seriously. It also provided a level of understanding of the assessments that allowed panel members to go back to groups in their localities and broadcast the assessments for completion.

My own linked group, Caerphilly Over 50s Forum, spent some time discussing the PNA at our Steering Group and we were able to submit a comprehensive assessment covering all aspects where we felt the older person's interests and priorities were important. We recognised the size of the task in reaching out to collect the data but were very pleased to take part in the process. A quote from our meeting: "This is hard work – let's hope they are listening".

Chris Hodson
Chair, Citizen's Panel

INTRODUCTION

What is the Population Needs Assessment Report?

The Social Services and Wellbeing Act (Act), in Part 2, section 14, requires that local authorities and local health boards must jointly carry out an assessment of the needs for care and support, and the support needs of carers in the local authority areas. Care and support is in relation to people known to Social Services but we also need to recognise that there are a large number of people who are supported through preventative services and initial research has estimated that this could be approximately 1 in 5 people. A population needs assessment report should comprise two sections:

Section 1: the assessment of need

Local authorities and Local Health Boards **must** jointly assess:

- the extent to which there are people in the area of assessment who need care and support
- the extent to which there are carers in the area of assessment who need support
- the extent to which there are people whose needs for care and support (or, in the case of carers, support) are not being met

The PNA report **must** include specific core themes dealing with:

- children and young people
- older people
- health / physical disabilities
- learning disability/autism
- mental health
- sensory impairment
- carers who need support; and
- violence against women, domestic abuse and sexual violence.

Section 2 - the range and level of services required.

Local authorities and Local Health Boards **must** jointly assess:

- the range and level of services required to meet the care and support needs of the population and the support needs of carers
- the range and level of services required to prevent needs arising or escalating; and
- the actions required to provide these services through the medium of Welsh.

Under the Social Services and Wellbeing Act, the 5 local authorities within the Aneurin Bevan University Health Board (ABUHB) footprint - Blaenau Gwent, Caerphilly, Monmouthshire, Newport and Torfaen - **must** form a partnership arrangement with the ABUHB and produce a single combined population needs assessment report (PNA). In addition the PNA must:

- Be produced once per local government electoral cycle and across the ABUHB footprint

- Contain the population assessment for each of the local authority areas but also combine these assessments to produce a single regional assessment of the needs of the people in the whole of the Local Health Board's area
- Include an assessment of the range and level of services required to meet those needs.
- Demonstrate clearly the extent to which the core themes are concentrated or diffused across the partnership
- Keep population assessment reports under review and revise them if required.

The first population assessment will be published by April 2017 and the **Leadership Group (via the regional transformation team)**, which is the executive officer group that reports to the Regional Partnership Board (RPB) will co-ordinate this work and the RPB **will act as a joint committee to oversee the process.**

It is recognised that the PNA will need to link to the Wellbeing Assessment required under the Wellbeing of Future Generations Act. Although the definition of wellbeing is slightly different in each Act, there are synergies to gain, and duplication to avoid by linking the assessments.

Regional Partnership Board

As set out in the Partnership Arrangements (Wales) Regulations 2015 local authorities and local health boards are required to establish Regional Partnership Board (RPB) to manage and develop services to secure strategic planning and partnership working; and to ensure effective services, care and support are in place to best meet the needs of their respective population.

The objectives of the Regional Partnership Boards are to ensure the partnership bodies work effectively together to:

- Respond to the population assessment carried out in accordance with section 14 of the Act, and
- Develop, publish and implement the Area Plans for each region covered as required under section 14A of the Act.
- Ensure the partnership bodies provide sufficient resources for the partnership arrangements, in accordance with their powers under section 167 of the Act.
- Promote the establishment of pooled funds where appropriate.

Regional Partnership Boards (RPB) will also need to prioritise the integration of services in relation to:

- Older people with complex needs and long term conditions, including dementia.
- People with learning disabilities.
- Carers, including young carers.
- Integrated Family Support Services.
- Children with complex needs due to disability or illness.

Governance

The Regional Partnership Board (RPB) is currently considering a governance structure and partnership arrangements with existing groups that are well placed to lead on specific core themes across the PNA e.g. South East Wales Violence against Women, Domestic Abuse and Sexual Violence Board, Dementia Board, Carers Partnership Board, Mental Health and Learning Disability Local Partnership Board. The RPB will also explore partnership arrangements with wider regional groups such as local authority Public Service Boards – especially in relation to links to the Wellbeing of Future Generations Act – Gwent Area Planning Board for Substance Misuse, Gwent Welfare Reform Partnership and In One Place Programme.

Area Plan

Each local authority and health board are required to prepare and publish a plan setting out the range and level of services they propose to provide, or arrange to be provided, in response to the population needs assessment. Area plans must include the specific services planned in response to each core theme identified in the population assessment. As part of this, area plans must include:

- the actions partners will take in relation to the priority areas of integration for Regional Partnership Boards;
- the instances and details of pooled funds to be established in response to the population assessment;
- how services will be procured or arranged to be delivered, including by alternative delivery models;
- details of the preventative services that will be provided or arranged;
- actions being taken in relation to the provision of information, advice and assistance services; and
- actions required to deliver services through the medium of Welsh.

The first area plans must be published by 1 April 2018 and the RPB will ensure links between the Area Plan and the local authority Well-being Plans required under the Well-being of Future Generations Act to facilitate collaborative working between the 2 legislative duties and avoid duplication. Links to local authority Corporate Improvement Plans and ABUHB Intermediate Medium Term Plans will also be established, as well as alignment to the Neighbourhood Care Network plans – under the ‘*Care Closer to Home*’ strategy (see section 2) – in each of the GP cluster areas of which there are 12 in the Gwent region.

Links to strategies

Included in each core theme chapter is a link to key strategies. The list is not exhaustive but is representative of the key strategic drivers, and a comprehensive cross referencing will be completed when developing the Area Plans. However, links to wider legislation such as the Well-being of Future Generations (Wales) Act 2015, Housing (Wales) Act 2014, Violence against Women, Domestic Abuse and Sexual Violence Act 2015, Working Together To Reduce Harm (The Substance Misuse Strategy for Wales 2008 – 2018), Welsh Adverse Childhood Experiences (ACE) Study, Ageing Well in Wales the Strategy for Older People in Wales (2013/23) have been referenced whilst developing the draft PNA.

Links to Wellbeing of Future Generations Act

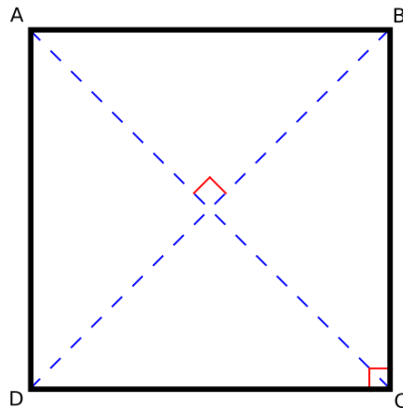
The Social Services and Wellbeing Act (the Act) shares similar principles with a number of national strategies and legislation. However, the Act shares almost identical principles with the Wellbeing of Future Generations Act with the main difference between the acts being the time frame: the PNA under the Act covers a 3-5 year period based on electoral cycle and the Wellbeing Assessment under the WFG Act covering a suggested period of 20-30 years.

Social Services and Wellbeing Act Principles	Sustainable Principles: Wellbeing of Future Generations
Services will promote the prevention of escalating need and the right help is available at the right time	Prevention: How acting to prevent problems occurring or getting worse
Partnership and co-operation drives service delivery	Collaboration: how acting in collaboration with any other person or any other part of an organisation could help meet wellbeing objectives
	Integration: Consider how the proposals will impact on wellbeing objectives, wellbeing goals, other objectives or those of other public bodies
People are at the heart of the new system by giving them an equal say in the support they receive	Involvement: The importance of involving people with an interest in achieving the wellbeing goals, and ensuring that those people reflect the diversity of local communities.
The Act supports people who have care and support needs to achieve well-being	Long term: the importance of balancing short- term needs with the need to safeguard the ability to also meet long – term needs

A task and finish group was established in Newport and led by Director for People to explore synergies across both acts. The group has identified and explored opportunities to align both population assessments, reduce duplication and identify areas of joint working/collaboration. The learning from the task and finish group has been used to design the methodology across the region; and also shared with Welsh Government. The analysis has also laid foundations for aligning the regional Area Plan and local Wellbeing Plans required under subsequent acts.

Social Services and Wellbeing Act Prioritisation Matrix 'Centering the Square'

It is important that priorities are identified through sound reasoning and clear evidence which also delivers the Welsh Government's direction for public services at a local level. However, it is paramount that priorities reflect the local needs of communities and are identified through effective engagement and co-production with local people. To ensure all factors are considered, a '*Prioritisation Matrix*' has been developed based on the above 4 factors and we call this 'centering the square'



- 1. Engagement – what have people told us?**
Needs identified by vulnerable groups, providers and wider population.
- 2. Data trends – What has the data told us?**
Is the data curve moving in an adverse direction and will it exacerbate or reach a critical level without intervention?
- 3. National policy and strategies – What are we expected to deliver?**
Are the emerging priorities representative of national drivers and is funding provided through national funding streams?
- 4. Partnership working and resources – What resources do we have to deliver?**
Are there existing partnerships, funding and resources in place to deliver priorities and do the priorities require multi-agency input or single agency working?

Emerging Priorities: Social Services and Wellbeing Act Population Needs Assessment

A series of workshops were organised to identify emerging 'areas of interest' related to the core themes of the PNA. The workshops took place with the regional citizen panel, provider forum and Leadership Group (Directors of Social Services and Chief Executives from ABUHB, third sector umbrella organisations GAVO and TVA). **The emerging areas of interest are focused on the needs of adults and children who access health and social care support**

CORE THEME	Emerging Areas of Interest
Children & Young People	<ul style="list-style-type: none"> • Accommodation and local placements for children with complex needs • Transition arrangements between children and adult services and simpler processes for children with complex needs • Earlier intervention and community based support linked to school hubs • Looked After Children including education achievement • Mental health support for children
Older People Carers	<ul style="list-style-type: none"> • Isolation of older people • Dementia • Simpler coordination of services including Continuing Health Care • Appropriate accommodation for older people • Person centered support where person is listened to, with earlier intervention and community resilience • Young Carers and support for siblings • Flexible, bespoke support including Information, Advice and Assistance • Flexible respite for carers • Training and peer to peer support for carers • New models of support for carers
Mental Health Learning Disabilities	<ul style="list-style-type: none"> • Increased understanding and awareness of mental health • Emotional support for children in care • Less social isolation more community support • Early intervention and community support which is timely including advocacy. • Independent living with access to early intervention services in the community and good public awareness (including Carer's education – what is acceptable?) • Young people with autism, accommodation, access to day services • Employment and training opportunities for people with learning disabilities • Dementia amongst people with learning disabilities • Appropriate Accommodation

Physical Health & Sensory Impairment	<ul style="list-style-type: none"> • Support people with physical and sensory needs with independent living • All age approach to physical disabilities • Accessible transport, accommodation and community based services • Access to medication where required
Violence against women domestic abuse and sexual violence	<ul style="list-style-type: none"> • Training for all • Healthy relationship awareness especially in schools • Family services • Support for victims • Service analysis and mapping

Demography – What does Gwent look like?

Gwent comprises of the five local authority areas: Blaenau Gwent, Caerphilly, Monmouthshire, Newport and Torfaen. Gwent benefits from following the same geographic footprint as the Aneurin Bevan University Health Board. Demographics of Gwent are varied and include rural countryside areas, urban centres and the most easterly of the south Wales valleys.

Blaenau Gwent is situated in the valleys of south east Wales and covers approximately 10,900 hectares with a population of 69,674*. The area has accessible green spaces and close community working but it is an area with high levels of unemployment and a high percentage of people who are dependent on benefits.

Caerphilly has the largest population in Gwent of 179,941*. People are widely dispersed amongst fifty small towns and villages with the main settlements largely reflecting the area's rich coal mining heritage. Caerphilly has an expanding economy and benefits through good transport links to Cardiff but there are significant levels of unemployment and poor health.

Monmouthshire is classed as a 'semi-rural accessible area'. There are four major towns, with a total population of 92,336*. Monmouthshire has the lowest level of unemployment in Gwent: however there are pockets of deprivation as evidenced in north Abergavenny.

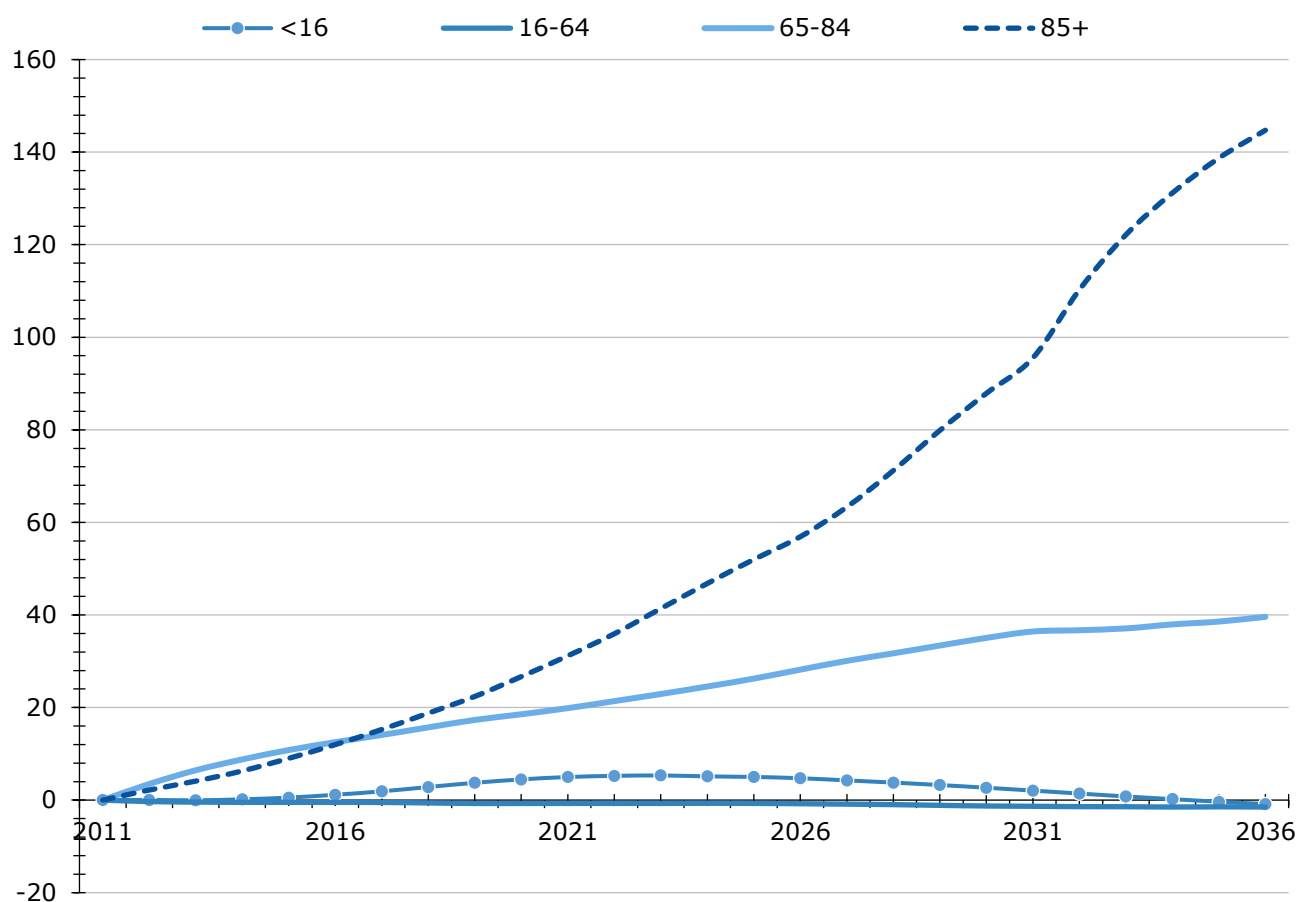
Newport City is the third largest urban centre in Wales with a population of 146,841*. The city has the second largest number of people from minority ethnic communities of all the Welsh counties (after Cardiff) and has continued to increase since 2009 when the figure was estimated at 6.6% of the population.

Torfaen is the most easterly of the south Wales urbanised valleys with a population of 91,609. There are three urban centres: Pontypool, Blaenavon, and Cwmbran. The largest number of traveller caravans was recorded in Torfaen during the January 2016 Bi-annual Gypsy and Traveller count with a total of sixty-one, which was 40.66% of the Gwent total.

Each local authority is required to produce a Wellbeing Assessment (WBA) under the Wellbeing of Future Generations Act and a link to the assessments will be included in the appendix as this PNA does not seek to replicate the more detailed local demography required in each of the individual WBAs.

Population projections by age group, percentage change since 2011, Aneurin Bevan UHB, 2011-2036

Produced by Public Health Wales Observatory, using 2011-based population projections (WG)



Key Points

- The population is projected to increase by 4.1% from around 577,100 in 2011 to 601,000 in 2036. The greatest increase will be seen in Newport with an estimated 17.3% increase (145,800 to 170,900), Caerphilly 2%, Torfaen 1.1%. Blaenau Gwent will have an estimated population decrease of -6.6% and Monmouthshire - 1.3%. The Blaenau Gwent decrease is the largest estimated decrease across the population in Wales
- There are significant increases projected for the over 65 years of age population when an estimated 1 in 4 people (26%) will be aged 65 or older – which is broadly similar to Wales.
- By 2036, it is estimated that the number of people aged 85 and over will increase by 147% (from around 13,000 in 2011 to 32,000 in 2036)

ABUHB population key data

- In 2014, around 1 in 5 residents were aged over 65 years (19%), 6 in every 10 (62%) were of working age (16 to 64 years) and nearly 1 in 5 (19%) were aged under 16
- The population aged under 16 has decreased by 2,700 (1%) between 2005 and 2014, from 114,100 to 108,300

- The population aged under 16 has decreased by 2,700 (1%) between 2005 and 2014, from 114,100 to 108,300.
- There has been a significant decrease in the under 75 mortality rate of 17.1% and 17.4% for males and females respectively (a greater improvement than Wales). This demonstrates the positive impacts and significant improvements that a range of services, activities and targeted programmes have made to reduce mortality rates.
- The general fertility rate is broadly similar to that of Wales – but there are differences in the general fertility rates across ABUHB which will impact on the planning of maternity and child services – particularly for Newport and Monmouthshire.

Welsh Language

The Welsh language strategic framework '*More than just words*' aims to improve frontline health and social services provision for Welsh speakers, their family and carers. In keeping with the principles in the framework, the regional planning systems will include reference to the linguistic profile of local communities and ensure this is reflected in service delivery. A detailed Welsh language community profile has been completed by local Public Service Boards (PSBs) for inclusion in the local Wellbeing Assessment in each area, and this draft PNA does not duplicate the information. This PNA will use the profile to effectively identify the actions required to deliver the range and level of services identified as necessary through the medium of Welsh.

The development of the regional Area Plan will set out the key actions required to ensure people needing care and support services can access support through the medium of Welsh. We have already taken steps by ensuring assessments – proportionate and/or care and support planning – include the 'active offer' to converse through the medium of Welsh and is asked at the first point of contact within local authorities (this extends to social services and IAA *front doors*; and will also include integrated assessment (IA) stages). We will also work with workforce development colleagues to ensure sufficient Welsh language support is available across health and social care.

SECTION 1

Engagement and what people have told us – a culture not a process!

Engagement is central to the development of the PNA and critical to ensuring the identified needs are reflective of local communities. We need to identify the issues important to citizens as well as ensuring people are equipped to promote their own wellbeing.

A considerable emphasis has been placed on engagement and the views of citizens as we want the PNA to be owned by citizens and bring about the change required to promote wellbeing.

Under the Act a regional Citizens' Panel and a regional 'Value-Based' Provider Forum have been established and they have been engaged to ensure citizen and provider views are central to the PNA.

How engagement is central to the PNA - Our Procedure

Regional Partnership Boards must establish and publicise a procedure for obtaining people's views on the PNA. Our procedure is set out below

1. Identify the citizens: 'Who we have engaged with'

I. People Accessing Care and Support Services

We recognise that engagement must take place with **people, including children**, who have experience of **using care and support services**, the parents of children who have care and support needs, and carers. Under the Act there is a requirement for individual local authorities to undertake a qualitative questionnaire with people who are supported by social services and across the region 10,000 questionnaires were posted to citizens between September and November 2016. It is too early to include the analysis of the questionnaire in the draft PNA but information will be included in the final PNA.

II. Focussed work with vulnerable groups

We have also engaged the views of those who would otherwise be hard to reach and marginalised including those of minority groups such as homeless people and travellers. We have used existing mechanisms to engage with vulnerable groups such as those set out below

- Looked After Children and young carers
- People in secure estates and their families
- Homeless people
- Lesbian Gay Bisexual Transgender (LGBT) community
- Black Minority Ethnic groups
- Military veterans
- Asylum seekers and refugees

III. Use of existing networks and groups

We recognise that there are numerous established groups and networks that are best placed to provide views of citizens. As part of the PNA we have also engaged

with youth forums, 50 plus forums, parenting forums, citizen panels, carers groups and learning disability groups.

The **Supporting People programmes** across the region have undertaken a Gwent Needs Mapping Exercise (GNME) which has collected information on individuals presenting to homelessness services, social workers, probation officers and other relevant services in the local area. The GNME form is distributed to agencies working with vulnerable people and during 2015 /2016 a total of **4940 GNME returns** were received from across the five Gwent local authorities; an increase of over a thousand returns compared to the previous reporting period. The Supporting People teams continue to raise the profile of the GNME form to organisations and **almost a quarter of those completing the GNME appear to have a diagnosed mental health condition.**

Local Supporting People teams also used different methods to engage with service users within their locality and some teams held events and others engaged directly by meeting service users at their own project. Service users were able to comment on the support they have received and it is clear to see the positive impact that floating support services and accommodation based services have on their well-being and quality of life. Suggestions to improve services were also received and this will further drive service developments across the region.

Supporting People also organise an annual needs planning event. Stakeholders are invited to attend giving their views and thoughts on services provided locally and regionally and information from these events helps to inform the understanding of unmet needs and at the priorities identified at the latest event were

- People with mental health issues
- People over 55 years
- Young People aged 16 to 24 years

The data continues to reflect that people are presenting to services with the same predominant needs as in previous years; this year mental health appears as either a lead or secondary need in every local authority, with older people aged 55+ being the prevailing lead need in Monmouthshire and Torfaen.

IV. Wider population in partnership with Wellbeing Assessments

We have linked closely with partners developing local wellbeing assessment under the Wellbeing of Future Generations Act and have included questions in relation to care and support needs in wider engagement events.

2. Engage with providers and third sector organisations

We have developed a regional 'Value-Based' Provider Forum to ensure the views of local partners are central to the work of the Regional Partnership Board. We will engage with the third and private sectors to ensure the solutions required to deliver the PNA priorities can be achieved. Third and private sector organisations may be able to help to identify people who are not known to local authorities or Local Health Boards but have unmet care and support need(s). As part of the consultation we have organised 2 regional workshops to engage with the third sector and providers.

3. Be clear on what we ask people

In relation to health and social care needs the 3 questions posed were

- i. What do you feel are your greatest needs?
- ii. How can we help you to improve your wellbeing?
- iii. What services are needed?

4. Summarise

We have undertaken pre engagement with a number of people through citizen panels, provider forums, young people and older people forums. We have also worked in partnership with colleagues undertaking Wellbeing Assessments under the Wellbeing of Future Generations Act. A summary of the compiled feedback will be included in the final PNA as Wellbeing Assessments have not been published to date and a robust analysis is required.

5. Set out how information has been reflected in the assessment – *What people told us and what we will do.*

Throughout the PNA we have highlighted the comments of citizens to ensure their views are central to the development of the core theme situational analysis and response analysis. We will also set out clearly in the PNA: what people told us and what we will do.

What People Told Us and What We Will Do

People told us that

Mental health support for children and supporting children and families in our community earlier to stop them moving into care is important **and we will:**

Through our preventative and early intervention programmes such as Families First and Flying Start we will ensure a regional approach and that all staff work together to maximise resources so that we can act earlier.

Isolation of older people and Dementia is a worry for many **and we will:**

Continue to develop our community connectors across the region and build on our approach to Dementia Friendly Communities to not just support people with dementia but all people in our community

We want to live in our own homes, live independently and feel listened to including people with physical and sensory needs **and we will:**

Ensure the workforce that support people will determine 'what matters most' and we will review the way in which we commission services to reflect even further the views of citizens

We want flexible, bespoke support including up-to-date information and advice and Assistance especially for people who are carers and **we will:**

Continue to develop our DEWIS regional website to provide people with current information

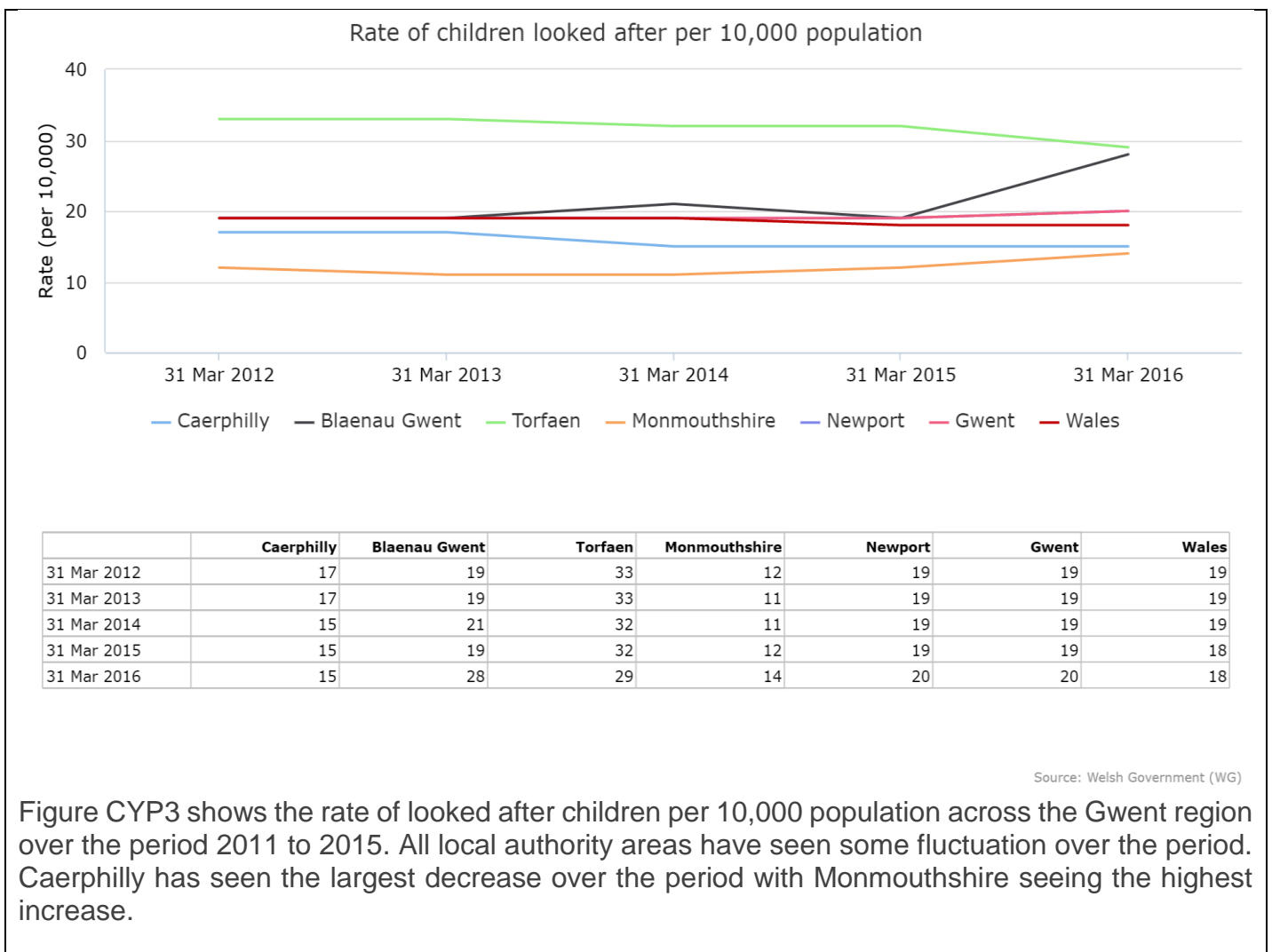
Children and young people

A demography and population profile for individual local authorities is included in the 5 local Wellbeing Assessments. An abbreviated demography is included in section 1 of this PNA which also includes the population projection for the region. For the purpose of this PNA 'Children and Young People' are defined as people aged up to the age of 18 years and who are receiving care and support services. Pre-engagement workshops with the regional citizen panel, provider forum and leadership group identified the following emerging areas of interest:

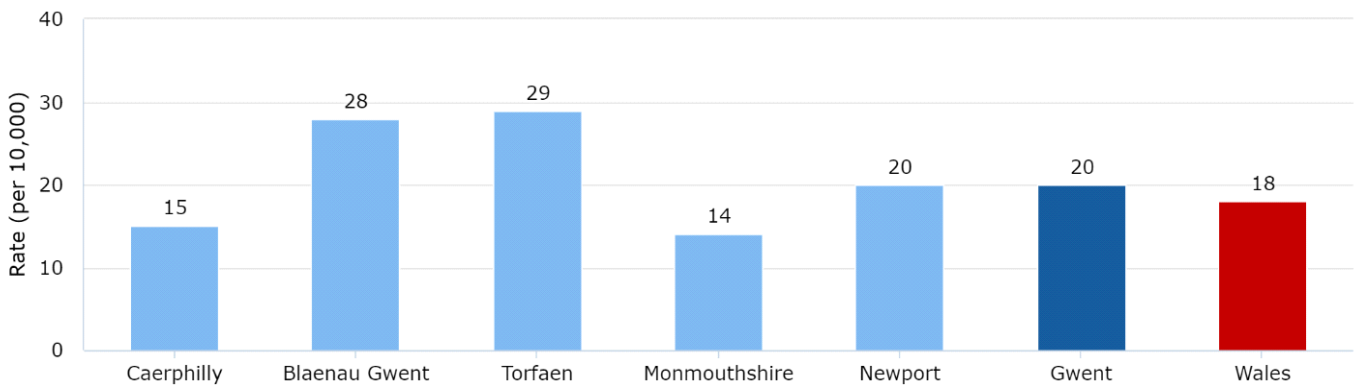
- **Accommodation and local placements for children with complex needs**
- **Transition arrangements between children and adult services and simpler processes for children with complex needs**
- **Earlier intervention and community based support linked to school footprints**
- **Needs of Looked After Children including education achievement**
- **Emotional wellbeing/mental health support for children young people**

So what does the data show us?

A comprehensive situational analysis is included in the appendix, but a representative sample of regional emerging areas are set out in the chart(s) below.



Rate of children looked after per 10,000 population - 31 Mar 2016



Source: Welsh Government (WG)

Figure shows the rate of children looked after per 10,000 population on 31 March 2016 across the Gwent region. This ranged from 14 per 10,000 population in Monmouthshire to 29 per 10,000 population in Torfaen. This compares with 20 per 10,000 population for the Gwent region and 18 for Wales on 31 March 2016.

What do we know?

The reason(s) why a child becomes looked after varies, but in nearly every case children will have been through a traumatic or difficult life experience which can result in instability, distress, poor emotional and physical health, or lack of social and educational development. Overall, looked after children do not enjoy the same positive advantages, experiences and outcomes as other children. Occasionally children are placed out of the county to ensure their well-being is protected and their outcomes met. For some children with complex health needs, suitable provision of support is sometimes only available out of their county. Out of county placements can be very costly to local authorities and in some cases the single largest expenditure to social care budgets; and in some cases the expected outcomes for children placed away from their homes are not always met as well as was originally intended.

It is therefore recognised that children and families benefit from services being delivered as close to home as possible to maintain essential and important connections with support networks, and other local services. It is also recognised that for some young people, the required support may be located out of their local area, as the specialised provision is not available, but it can mean that they may become isolated from their professional and social networks. This practice is not in line with the Welsh Government priority of keeping young people in Wales and close to home if appropriate.

A small number of children, mainly disabled children, receive NHS Continuing Healthcare funding. These young people present with complex needs and are in receipt of significant packages of care, usually out of county as appropriate provision is not often available within the Gwent region.

What are we doing?

A regional **Children & Families Partnership Board (CFPB)** has been established with representation from across health, social care and education. There is no set definition for children with complex needs at a regional level, but as a starting point the CFPB considers the following client groups to have complex needs: people with Autistic Spectrum Disorder (ASD) and/or a learning disability; children with complex physical disabilities and; children and young people who

have experienced developmental trauma and people who can present challenging behaviour. The CFPB have identified the following priorities:

- Emotional Well-being and Mental Ill-Health across the age range, including children and young people, maternal and infant mental ill-health with the view to identify any gaps in current support provision and to develop new services and/or transform current services;
- Multi-agency assessment and planning for children and young people with complex needs – with the view to improve joint referrals, joint assessment and joint commissioning of services for this group;
- Out of county placements for children and young people with complex needs - with the view to plan and develop local services where appropriate (including possible residential provision)
- Obesity in children and young people (*this will be linked to local Well-being Plans and the work of Public Service Boards*)

The CFPB have overseen progress against the 4 priorities

- A gap analysis in emotional well-being and mental health services project (completed 2015) and through recent funding, as part of the national programme 'Together of Children and Young People' and more recently 'Integrated Autism Service', new services have been developed such as Enhanced Early Intervention in Psychosis (14-25 Age Group), Enhanced Crisis Outreach Team, extended Eating Disorder Service, extended Emergency Liaison Service and Dialectical Behaviour Therapy Service
- Develop a hub and spoke model of service delivery in ABUHB children's centres to support the children and young people with disabilities and their families/carers; and test an innovative integrated model to implement integrated multi-agency and multi-disciplinary assessment and planning in the Caerphilly LAs (ICF funding).

In relation to the CFPB priorities, an external consultancy has been commissioned to undertake research on steps that local authorities, Aneurin Bevan University Health Board and partner agencies should take to help prevent the escalation of complex needs. The research is focused on three main areas:

- ***How best to address the increasing number of looked after children being placed in independent out-of-region residential care.***
- ***Over time help to safely reduce the number of looked after children who experience a combination of placement breakdown, an escalation of need, and placement in independent out-of-region provision.***
- ***Consider how support for children and young people on the edge of care (in danger of becoming looked-after) could operate effectively and safely to prevent such children and young people requiring statutory care.***

Flying Start and **Families First** are preventative programmes who aim to give children the best start in life, reduce the escalation of needs and support families to ensure a child's well-being. A recent health **Adverse Childhood Experience (ACE)** study highlights that children who experience 4 adverse experiences are 3 times more likely to suffer from poor mental health in later life. The RPB are considering how ACEs can be reduced through a collective approach across health and social care and through a place based approach such as '*Care Closer to Home*' (see section 2). There are a number of other support services available through the third sector as well as core public local authority and health services.

Actions and next steps

Prevention and Early Intervention including Information, Advice and Assistance (IAA)

There is a need to develop joint assessment, planning and commissioning for children with varying needs where a multi-agency response would produce better outcomes. This way of working will help deliver:

- A focus on prevention of crises and support at an earlier point in their development.
- Support nearer to their own community
- A focus on meeting children's needs in a more integrated way and jointly commissioned across health and social care

There are 4 key early intervention anti-poverty programmes funded across Wales: Communities First, Families First, Flying Start and Supporting People. Welsh Government are currently exploring a joint outcomes framework across the 4 programmes but there are initial discussions exploring consistent assessment principles, consistent workforce training and joint commissioning opportunities across the region. Information, Advice and Assistance (IAA) will also direct families to appropriate resources and support; and Family Information Services are key partners as the 'front door' in each local authority for general information. In line with ABUHB's 'Care Closer to Home' there is an opportunity to explore place-based approaches and preventative services (*see section 2 for further details*).

Commissioning, Pooled Budgets and Health and Social Care Integration

We will need to ensure that funding is re-directed to provide lower levels of intervention, to support children sooner and to prevent avoidable or unnecessary out of county placements. We will need to make use of the Intermediate Care Funding (ICF) across the region and as highlighted, an external consultancy are researching appropriate models to reduce escalation of need, including a review of out of county placements and the potential to re-design local services to meet future needs. Under part 9 of the Act there is a requirement to set out and agree plans for health and social care integration for children with complex needs due to disability or illness; and it is anticipated that the externally commissioned review will bring forward recommendations to facilitate greater integration. Also, under Part 9 of the Act there is a requirement to ensure joint commissioning of Integrated Family Support Teams, and this will now fall under the governance arrangements of the Regional Partnership Board. Heads of Children Services are currently exploring and developing regional fostering arrangements across the region.

Advocacy and Voice of the child

We will ensure the views of children are considered in all planning arrangements and ensure that advocacy provision is available throughout the region for children and young people. We will work closely with current advocacy providers to determine good practice and identify any gaps in service provision. Through our third sector partners we will also aim to increase informal advocacy and explore the roles of social enterprises and community groups in this area.

Links to key strategies

- **Regional Partnership Board Statement of Intent**
- **NHS Adverse Childhood Experiences (ACE)**

Summary and what we will deliver through the regional Area Plan.

- **Support Children and Family Partnership Board's review of local arrangements for children with complex needs and delivery of work programme.**
- **Consistent models of practice and alignment of Welsh Government's early intervention and preventative programmes**

Older people

A demography and population profile for individual local authorities is included in the 5 local Wellbeing Assessments. An abbreviated demography is included in section 1 of this PNA which also includes the population projection for the region. For the purpose of this PNA Older People are categorized as being over the age of 55 years and receiving care and support services. Pre-engagement workshops with the regional citizen panel, provider forum and leadership group identified the following emerging areas of interest

- **Isolation of older people**
- **Dementia**
- **Simpler coordination of services including Continuing Health Care**
- **Appropriate accommodation for older people**
- **Person centered support, people listened to, with earlier intervention and community resilience**

So what does the data show us?

A comprehensive situational analysis is included in the appendix, but a representative sample of regional emerging areas are set out in the chart(s) below.

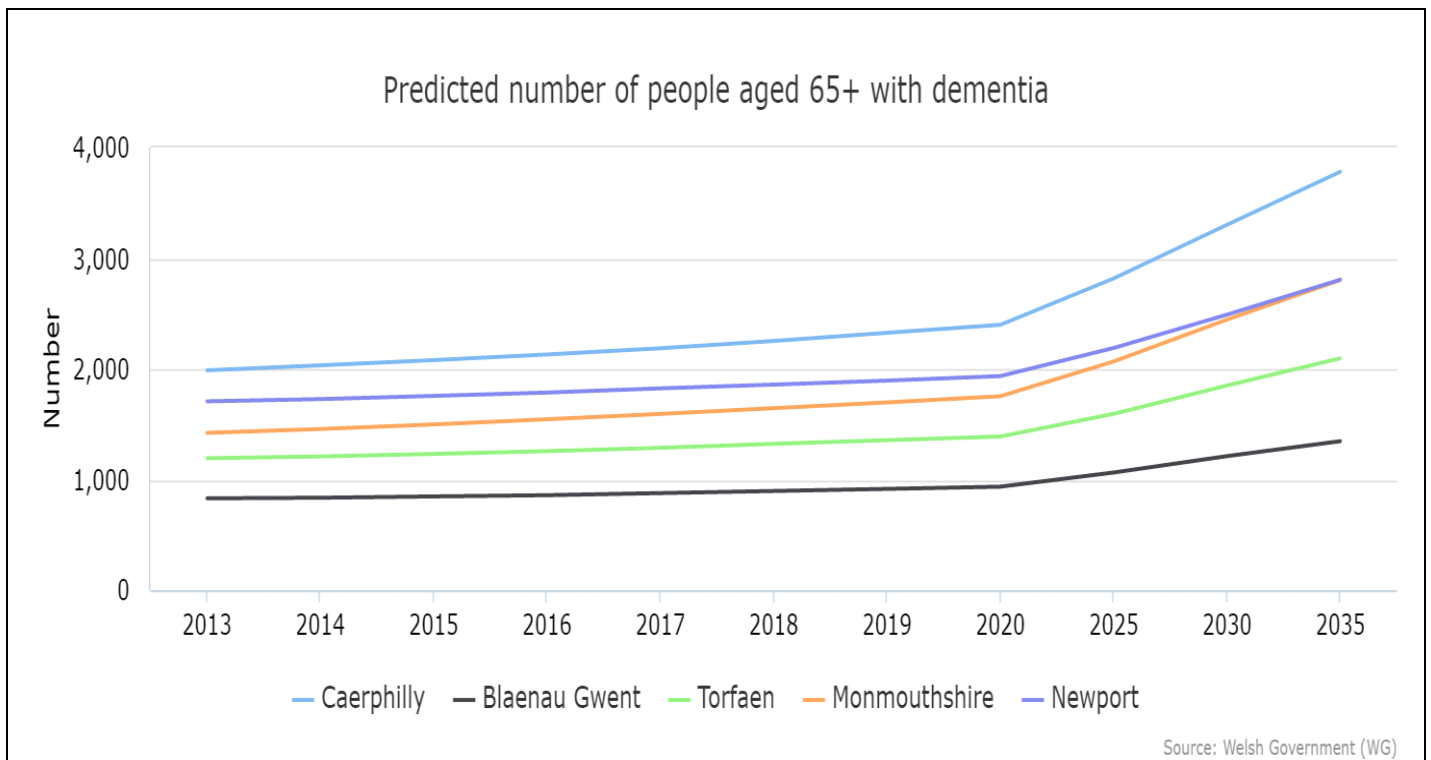
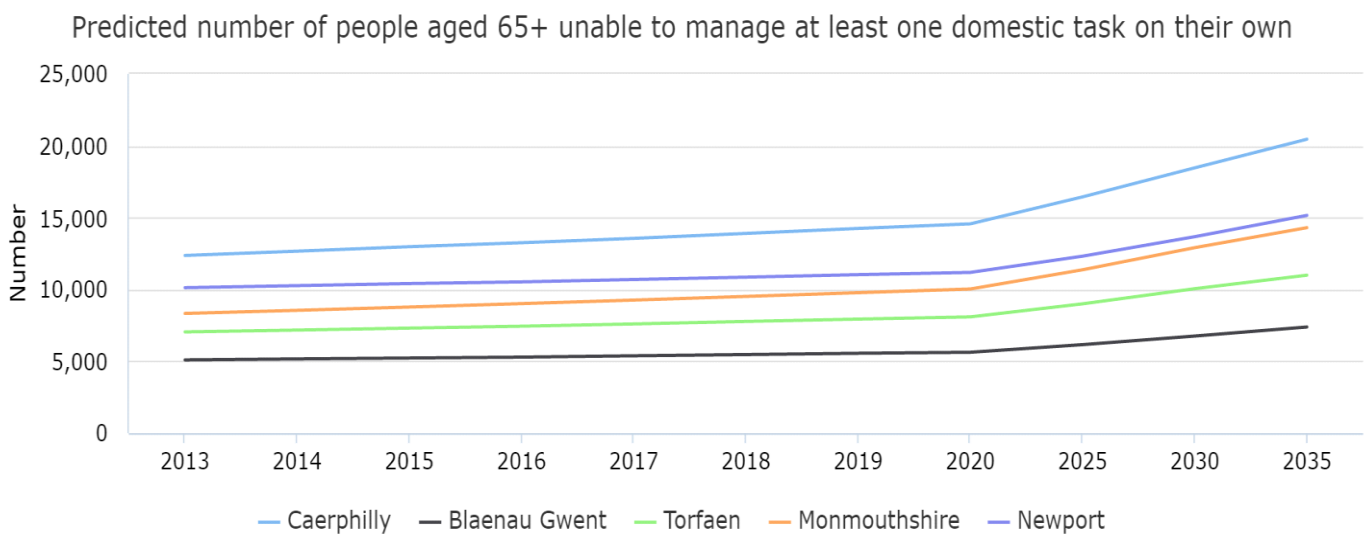


Figure OP2 shows the predicted number of people aged 65 years or older with dementia over the period 2013 to 2035. It shows that across all local authority areas in the Gwent region an increase in the number is predicted. The increases range from 62.1% in Blaenau Gwent to 97.1% in Monmouthshire over the period 2013 to 2035



Source: Welsh Government (WG)

Figure OP1 shows the predicted number of people aged 65 years or older who are unable to manage at least one domestic task on their own over the period 2013 to 2035. It shows that all local authority areas across the Gwent region are predicted to see an increase in the number. The predicted increases range from 44.9% in Blaenau Gwent to 71.6% in Monmouthshire in the percentage of people aged 65 years or older who are unable to manage at least one domestic task on their own over the period 2013 to 2035.

What do we know?

We know from Office National Statistics data that the number of people aged over 85 in UK has doubled in the past three decades and by 2030, one in five people will be over 65. The demographic and financial pressures are well known and form the context of the whole system transformation that is required. Wales already has a higher proportion of people over 85 than other parts of the UK, so the need for change is more significant, as **percentage of 85 year old's increase by 90% by 2030** and a growth of 30-44% of people with dementia.

What are we doing?

The Aneurin Bevan University Health Board (ABUHB) and the five Gwent local authorities have well established arrangements for aligning, planning and delivery across the care pathway including specialist care through to community support. The **Gwent Frailty programme** has taken this forward with the aim of building capacity within community settings to reduce demand on health and social care resources, particularly acute and institutional care. This is a multiagency approach and one that we aim to build on to address the wellbeing needs and aspirations of our older citizens.

There are well established **Community Resource Teams (CRTs)** in each of the five boroughs and are planning to increase capacity and capability, utilising the Intermediate Care Fund for 2015/16 and on to 2016/17. The Frailty programme recognises need for risk stratification to ensure resources are targeted to prevent deterioration and we are working with GP teams to develop suitable tools and systems.

More recently ABUHB have undertaken development workshops – **Care Closer to Home** – in each local authority to identify opportunities to align and integrate services around GP cluster areas

(Neighbourhood Care Networks). As part of the workshops a mapping exercise of support services was undertaken and the findings are to be used as the basis of service development and delivery in the next period.

Actions and next Steps

Preventative and Early Intervention including Information, Advice and Assistance (IAA)

- Working together to reduce social isolation and loneliness through community connectors, social prescribing, volunteer activity and schemes such as ABUHB ChaT scheme.
- Develop further '*Dementia Friendly Communities*'
- Wider integration of a 'team around the person' and place based approach on Neighbourhood Care Network (NCN) footprint, linked to the '*Care Closer to Home Strategy*' and to make use of community hubs to focus on keeping people well in the community and to support independence. [See Section 1]
- Supporting Anticipatory Care Planning, so that people's needs and wishes can be taken forward, even in times of crisis. We anticipate this would reduce unplanned hospital admissions for those who would prefer to remain at home or within a care home setting to receive treatment.
- Develop new ways of engaging with people, especially in partnership with **third sector** to provide information, including the national Dewis Citizen Portal, as well as social media and other forms of communication to promote easy access to support.

Commissioning, Pooled Budgets and Health Social Care Integration

We already have a level of service integration and collaboration through the Gwent Frailty service and integrated Boards for Carers, Dementia, Learning Disability & Mental Health services, but recognise that we need to extend this to cover:

1. Improved partnership processes

- Gwent already has several well established integrated services for older people and we will build on this solid foundation using the new Information Advice and Assistance service and by using the new integrated assessments to ensure that there is a holistic approach to individuals that supports independence a reduces hospital admissionsThe role of case co-ordinator will be established so that older people with complex needs will have a single point of contact, who is able to cross professional and organisational boundaries to find solutions to meet a wider range of individual needs.
- **Workforce Development** - front line services should be delivered by experienced professionals, who are able to triage and problem solve. Individual local services have been developed in each of the 5 localities that supports this approach, with demand being pro-actively managed, through effective risk management and sign-posting to alternative services.

2. Flexible and responsive services

- We will take forward wider consideration of extended and 24/7 working, with some key services being re-designed to meet this requirement. We already provide most Frailty services 7/7, 365 days per year and we can build on this to create an integrated health and social care service that better meets the expectations of older people with complex needs and take forward good medication support into evenings and weekend, linking to hospitals

3. Commissioning and pooled budgets

- ***Domiciliary care*** that is planned and developed with providers on a place based approach to be sustainable and outcome focused. This has begun with an in depth review of domiciliary care during 2016/17 the findings of which will considered and implemented during 2017/18.
- Taking forward a 'better life' programme to support *care homes* in giving sustainable, high quality and consistent care to support wellbeing.

- Supporting care homes to better manage older people with complex needs; to reduce unplanned admissions to hospitals. This will also mean developing a much more integrated approach to commissioning care home provision with the establishment of a pooled fund by April 2018.
- We will develop the working relationships with Registered Social Landlords (RSL's) established through the 'In One Place' project to look at generating new socially owned domiciliary care provision on a place based approach.

New models

There are some examples of community groups, social enterprises and cooperatives developing in the region. In Blaenau Gwent a community group has grown out of the dementia friendly community implementation group. The group – Blaenau Gwent friends of dementia – have raised funding to help people living with dementia access community groups and ensure their voices are heard. We need to promote this practice further and will work with our social valued based service providers to begin to articulate and pilot how new models of service might look in future.

Direct payments are used across Wales to deliver social care and this promotes independence. However, their use is varied. Their use is to be encouraged, building on the achievements to date, so that people are more empowered to design their own solutions when they have eligible care needs.

Links to key strategies

- **Regional Partnership Board Statement of Intent**
- **Ageing Well in Wales**
- **Care Council for Wales National Priorities**

Summary and what we will deliver through the regional Area Plan.

- **Develop place based approach '*Care Closer to Home*' including consistent delivery of community connectors across the region**
- **Further develop '*Dementia Friendly Communities*'**
- **Pilot domiciliary care joint commissioning process with National Commissioning Board and linked to Care Standards Social Improvement Wales '*Above and Beyond*' Report and the '*Care and Support at Home*' Strategic Plan currently being developed by Care Council for Wales.**

Health / Physical Disabilities

A demography and population profile for individual local authorities is included in the 5 local Wellbeing Assessments. An abbreviated demography is included in section 1 of this PNA which also includes the population projection for the region. Pre-engagement workshops with the regional citizen panel, provider forum and leadership group identified the following emerging areas of interest:

- **Support people with physical and sensory needs with independent living (sensory needs covered separately elsewhere)**
- **All age approach to physical disabilities**
- **Accessible transport, accommodation and community based services**
 - **Access to medication where required**

So what does the data show us?

A comprehensive situational analysis is included in the appendix, but a representative sample of regional emerging areas are set out in the chart(s) below.

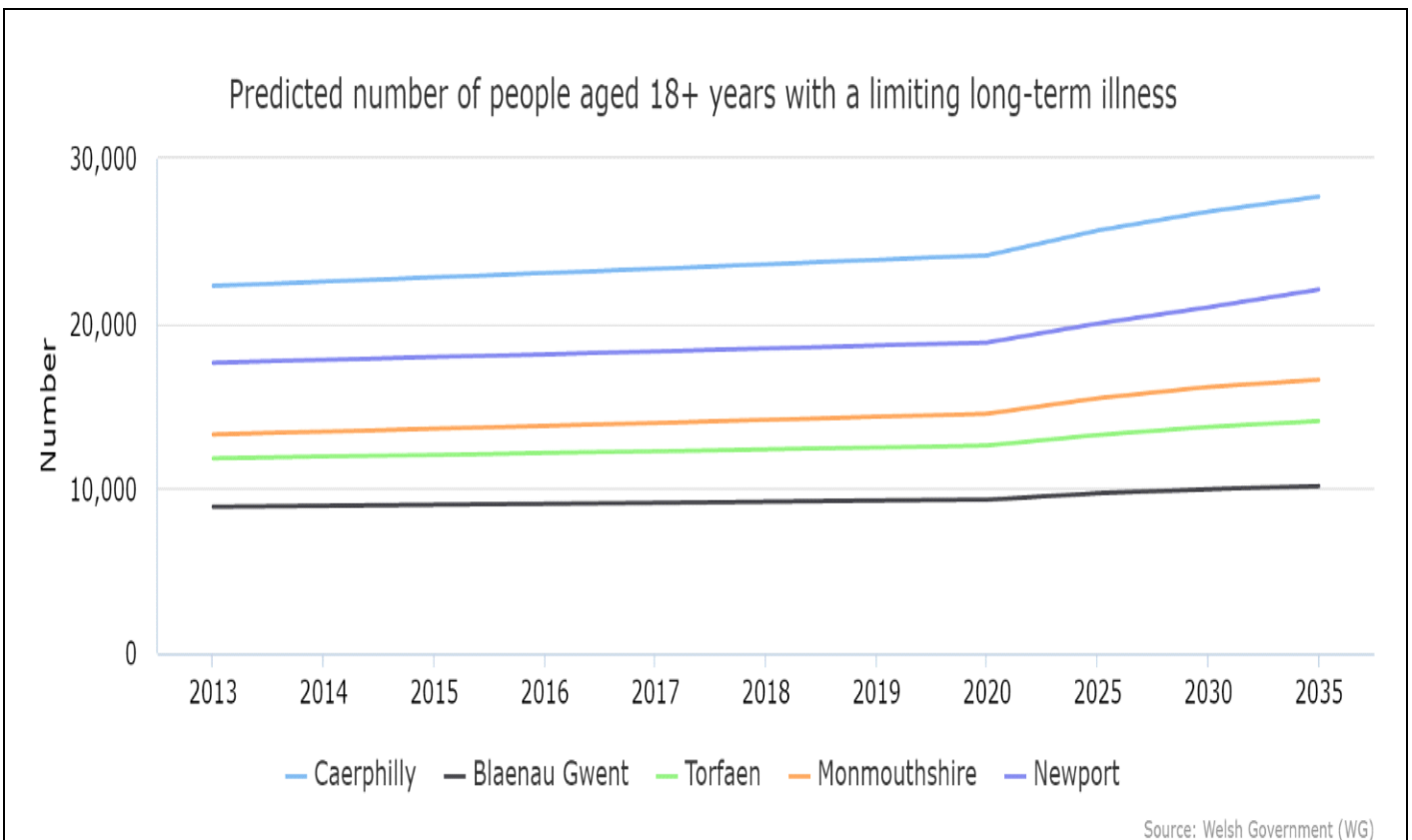
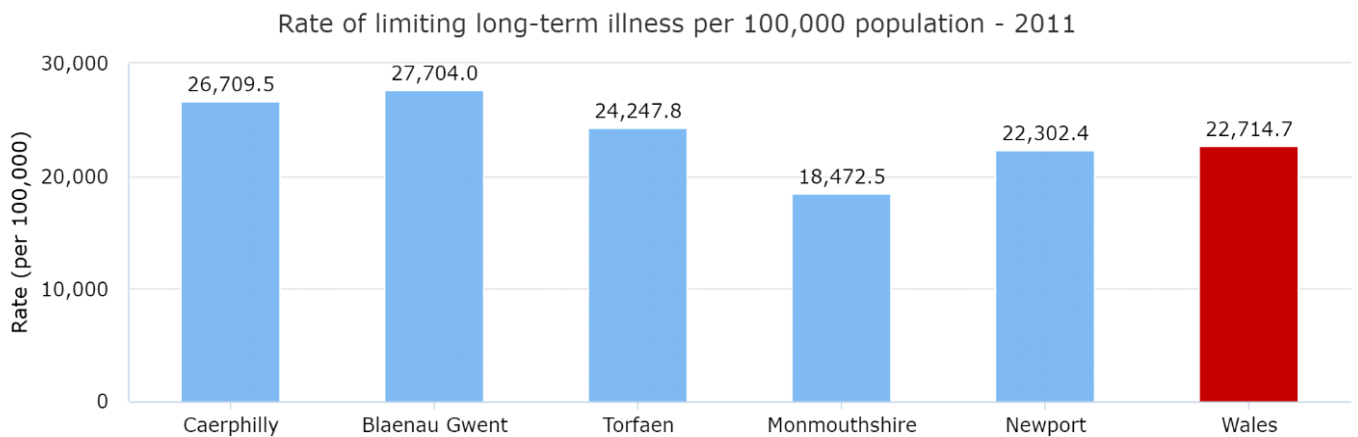


Figure PH1 shows the predicted number of people aged 18 years or older with a limiting long term illness over the period 2013 to 2035. It shows that all local authority areas across the Gwent region are predicted to see an increase in the number. The predicted increases range from 14.1% in Blaenau Gwent to 25.1% in Newport.



Source: Welsh Government (WG)

Figure PH2 shows the rate of limiting long-term illness per 10,000 population in 2011. Across the Gwent region the rate ranged from 18,472.5 per 100,000 population in Monmouthshire to 27,704.0 per 100,000 in Blaenau Gwent.

What do we know?

Physical Disability – Facts and Figures (*Disability in the United Kingdom 2016*)

- There are around 11.9 million disabled people in the UK. Almost 1 in 5 people (19%) in the UK have a disability; this figure has remained relatively constant over time (12.2 million in 2012/13). There are more disabled women than men in the UK.
- People living in Wales (26%) are more likely to have a limiting long-standing illness or disability than other regions of Great Britain.
- It is estimated that the number of older disabled people is likely to increase by around 40% between 2002 and 2022, if age related disability rates remain constant.
- In 2014/15, the most common impairments that disabled people had were: mobility (57%), stamina/breathing/fatigue (38%), dexterity (28%) and mental health (16%). Some people had more than one impairment but were asked
- 19% of households that include a disabled person live in relative income poverty (below 60% of median income), compared to 14% of households without a disabled person. Disabled people pay on average £550 per month on extra costs related to their disability.
- Transport is the largest concern for disabled people in their local area. Pavement/road maintenance, access, and frequency of public transport are the biggest issues.
- The annual cost of bringing up a disabled child is 3 times greater than that of bringing up a non-disabled child and 40% of disabled children in the UK live in poverty. This accounts for around 320,000 disabled children, and almost a third of those are classified as living in 'severe poverty'.
- Overall, 1 in 10 adults in Britain experience depression at any one time. Around 1 in 20 people at any one time experience major or 'clinical' depression. The World Health Organisation has predicted that depression will be the leading cause of disability by 2020. Mental ill health and learning disabilities in particular are anticipated to grow.
- The distribution of disabled people is fairly evenly spread across the UK but Wales (24%) and a few other regions in England have a higher rate of disability compared to the UK as a whole (19%).
- In the UK, people from white ethnic groups are almost twice as likely as those from non-white ethnic groups to have a limiting long-standing illness or disability (20% compared with 11%).

The Gwent areas has a mixture of affluent and deprived areas. This is reflected in the wide range of lifestyle patterns and health outcomes in differing local authorities in the Gwent area.

Disability

The original 1995 Act definition of disability is 'a physical or mental impairment which has substantial and long-term adverse effects on ability to carry out normal day to day activities'. Many people with physical and sensory impairments live completely independently, however disability can sometimes necessitate increased need for informal help and health care and long-term care needs and costs. Although not an inevitable consequence of ageing, increasing age is commonly associated with increasing disability and loss of independence, with functional impairments such as loss of mobility, sight and hearing.

The term physical/sensory disability covers visual, hearing and physical impairments; the Register of Physical/Sensory Disability is compiled from local authority registers of physically or sensory disabled people in Wales aged 18 years or over. These include people registered under Section 29 of the National Assistance Act 1948 who are normally resident in the local authority. Registration is voluntary and not all people with disabilities choose to register. The registers are therefore not a reliable guide to the prevalence of physical and sensory disability in the population. The higher proportions of people registered could be reflective of the demographics of the local area, for example an older resident population. It could also be influenced by differences in local authority procedures and their capacity for registering people as having a physical/sensory disability. The prevalence of disability rises with age in general and with an increasingly older population it is expected that the number of people living with a disability in Gwent will increase in the coming years.

Overall health – Overall the health status of the population across Gwent is slightly worse to Wales in terms of general health status – with 22% of people describing their health status as being fair or poor compared to Wales (19%). 17% of the Gwent population identified that their day-to-day activities were limited because of health problem or disability lasting (or expected to last) at least 12 months – this is compared to a Wales figure of 15%, although there is wide variation across the Gwent area –12% in Monmouthshire and 22% in Blaenau Gwent. This variation can be clearly linked to deprivation. Across Gwent 52% of adults reported currently being treated for an illness (Wales = 50%) with 21% of adults currently being treated for high blood pressure (Wales = 20%), 15% for a respiratory illness (Wales = 14%), 14% for arthritis (Wales = 12%), 14% for a mental illness (Wales = 13%), and 9% for diabetes (Wales = 7%).

Tobacco use (smoking) – Smoking remains a major cause of premature death in Wales. Smoking and passive smoking has been linked to a range of serious illnesses including cancers and heart disease. Across Gwent 21% of adults aged over 16 smoked compared to 19% across Wales. This varies significantly across Gwent with 17% in Monmouthshire and 26% in Blaenau Gwent. Across all Gwent areas – the smoking prevalence for females is lower than males – the lowest smoking prevalence being 13% in females in Monmouthshire.

Alcohol – Alcohol is a major cause of death and illness in Wales with around 1,500 deaths attributable to alcohol each year (1 in 20 of all deaths). Across Wales consumption of alcohol has slightly decreased and adults under 45 now drink less. Whilst this decrease is good news, it masks persistent or increased drinking in over 45 year olds. 40% of adults across Gwent reported drinking above the guidelines on at least one day in the past week, including 25% who reported drinking more than twice the daily guidelines (sometimes termed binge drinking) – this is broadly

comparable with data across Wales. Again there is variation across Gwent with 46% of adults in Monmouthshire drinking above the guidelines and 35% in Torfaen.

Healthy eating, physical activity and weight – A healthy, balanced diet is an essential component of healthy living. A balanced diet combined with physical activity helps to regulate body weight and contributes to good health. Maintaining a healthy body weight also reduces the risk of health problems such as diabetes, coronary heart disease, stroke and some cancers. Regular physical activity is an essential part of healthy living. A lack of physical activity is among the leading causes of avoidable illness and premature death. Across Gwent 29% of adults reported meeting the guidelines of eating five or more portions of fruit and vegetables the previous day – this is lower than the Wales figure of 32%. This figure varied from 26% in Caerphilly and Blaenau Gwent to 35% in Monmouthshire. In Wales 59% of adults were classified as overweight or obese. There is significant variation across the Gwent area with 53% overweight or obese in Monmouthshire and 63% in Caerphilly – with an overall figure across Gwent of 61%. Across Wales 58% of adults reported being physically active (doing at least 150 minutes of moderate intensity physical activity in blocks of 10 minutes or more in the previous week), and 30% reported being inactive (active for less than 30 minutes in the previous week). In Gwent these figures are 55% and 34% - showing that across Gwent people are less active.

What are we doing?

Full economic and social participation of disabled people is essential in creating a smart, sustainable and inclusive economy. Accessing services and support to maintain independent living are essential including the availability of transport services particularly in rural areas. **Community connectors and social prescribers** are in local area providing information, advice and assistance to help people connect with their community, access support and promote wellbeing. Support to enable people to maintain employment when living with an illness or disability (mental or physical) is a key issue, and signposting to support services is developing across the region.

There are a wide range of programmes available for people to live healthy lifestyles including support for: alcohol and substance misuse, stopping smoking and weight management including physical activity and healthy eating. **Gwent Five Ways to Wellbeing Network** aims to support professionals to promote and protect the mental health and well-being of the population. The Five Ways to Wellbeing are a wellbeing equivalent of ‘five fruit and vegetables a day’. **Community Health Champions** are people who can really make a difference to the health of their friends, family, neighbours and work colleagues by passing on information and inspiring them to take steps to look after their health; and in Gwent the third sector are key to the programme in terms of its delivery.

Living in an accessible home is known to improve a person’s independence, reduce adult social care and housing adaptation costs and reduce admissions to residential care facilities. **Care & Repair** provides advice and practical support to vulnerable older and disabled people who wish to undertake repairs, improvements or adaptations to their homes, so as to enable them to remain there in independence and security for as long as they wish.

Intermediate Care Fund is a grant totaling £60m across Wales and is being used to support people to maintain their independence and remain in their own home. The fund helps health boards and partners in local authorities, housing and the voluntary and independent sectors work together to

support: frail and older people, those with a learning disability or complex need and those with autism. ICF helps avoid unnecessary admissions to hospital or residential care and delays when someone is due to be discharged from care.

Actions and next steps

Prevention and Early Intervention including Information, Advice and Assistance (IAA)

- Continue to provide good **public health information, advice and assistance** especially through 5 ways to wellbeing and support people to lead and maintain a healthy lifestyle.
- Support people to 'self-manage' their illness or disability and have more control over their life.
- Ensure consistent delivery of **community connectors and social prescribers** across the region to fully participate in their local community to prevent social isolation/loneliness; and where appropriate maintain employment and access appropriate welfare benefits.

Commissioning, Pooled Budgets and Health and Social Care Integration

- Implement '**Care Closer to Home**' strategy to support families and individuals to enable people to live independently in their own homes and communities – including adaptation of homes, access to services (this includes transport) – to prevent escalation of need and crisis.
- Explore joint commissioning opportunities between **Intermediate Care Fund and Supporting People programme** for people to maximise capacity within the Community
- The region will continue to support and engage in the Integrated Health and Social Care Collaborative Commissioning Programme and the National Framework for Residential Care Home Placement for People with Learning Disabilities and People with Mental Health Problems (under 65).

Links to key strategies

- **Local Wellbeing Assessments in each local authority area**
- **Regional Mental Health & Learning Disability Strategy**

Summary and what we will deliver through the regional Area Plan.

- **Implement 'Care Closer to Home' Strategy**
- **Align with 5 local Wellbeing Assessments required under Wellbeing of Future Generations Act and explore joint action planning for wider detriments to health**

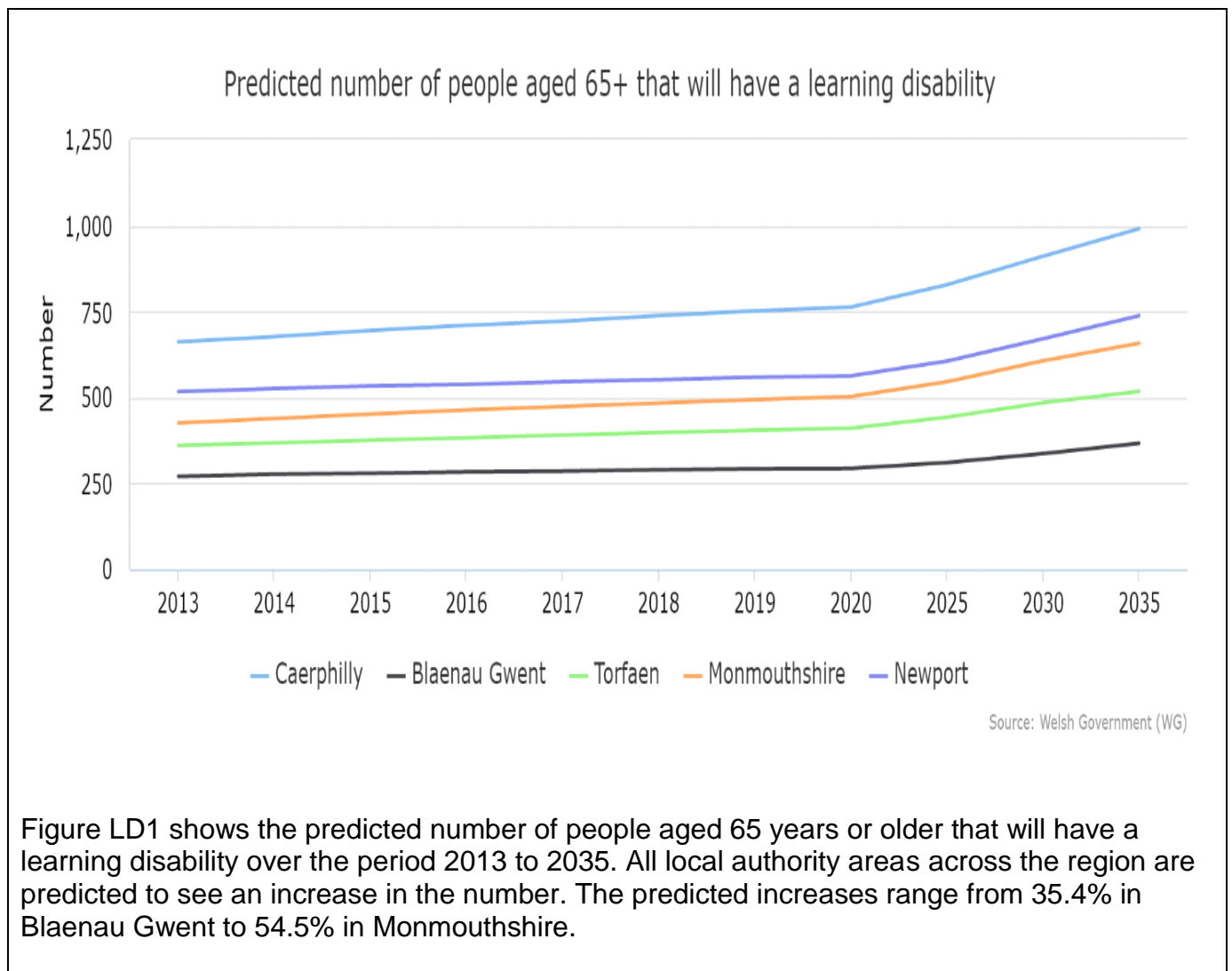
Learning Disability/Autism

A demography and population profile for individual local authorities is included in the 5 local Wellbeing Assessments. An abbreviated demography is included in section 1 of this PNA which also includes the population projection for the region. Pre-engagement workshops with the regional citizen panel, provider forum and leadership group identified the following emerging areas of interest:

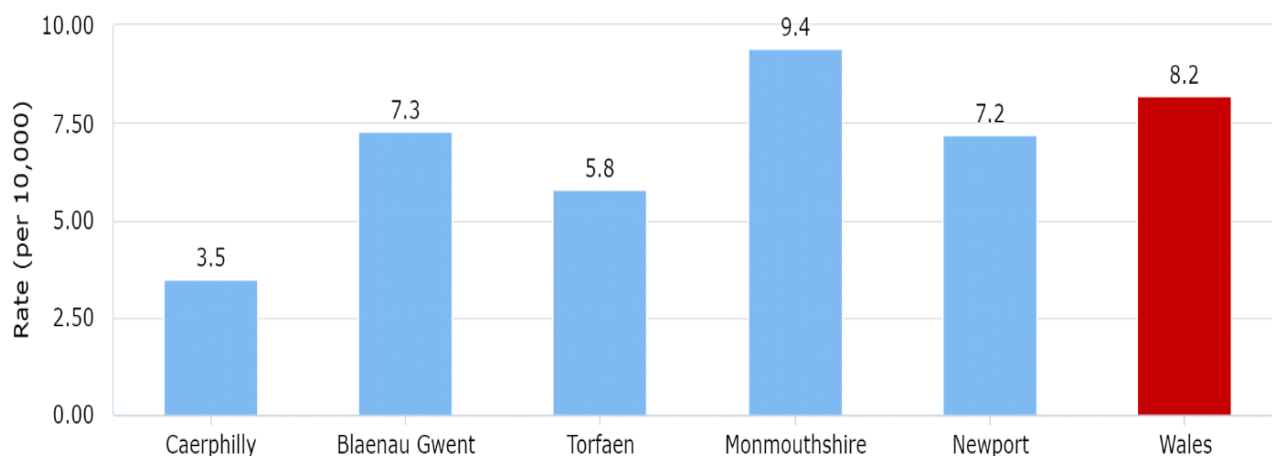
- **Independent living with access to early intervention services in the community and good public awareness (including Carer's education – what is acceptable?)**
- **Young people with autism, accommodation, access to day services**
- **Employment and training opportunities for people with learning disabilities**
- **Dementia amongst people with learning disabilities**
- **Appropriate Accommodation**

So what does the data show us?

A comprehensive situational analysis is included in the appendix, but a representative sample of regional emerging areas are set out in the chart(s) below.



Rate of all other accommodation for persons aged 16+ with a learning disability per 10,000 population
- 31 Mar 2015



Source: Local Government Data Unit ~ Wales

Figure LD3 shows the rate of all other accommodation for persons aged 16 years or older with a learning disability per 10,000 population at 31 March 2015. The rate ranged from 3.5 per 10,000 population in Caerphilly to 9.4 per 10,000 population in Monmouthshire. This compares with 8.2 per 10,000 population for Wales.

What do we know?

Learning Disability – Facts and Figures (*Disability in the United Kingdom 2016*)

- Approximately 1.5 million people in the UK have a learning disability. Over 1 million adults aged over 20, and over 410,000 children aged up to 19 years old have a learning disability.
- 29,000 adults with a learning disability live with parents aged 70 or over, many of whom are too old or frail to continue in their caring role. In only 25% of these cases have a Local Authority planned alternative housing.
- Less than 20% of people with a learning disability work, but at least 65% of people with a learning disability want to work. Of those people with a learning disability that do work, most work part time and are low paid.
- People with a learning disability are 58 times more likely to die aged under 50 than other people. And 4 times as many people with a learning disability die of preventable causes compared to people in the general population.
- People with a learning disability are 10 times more likely to have serious sight problems and 6 out of 10 people with a learning disability need to wear glasses.

A learning disability can be mild, moderate or severe. Some people with a mild learning disability can communicate easily but take a bit longer than usual to learn new skills. Others may not be able to communicate at all and have more than one disability. A learning disability is not the same as a learning difficulty or mental illness. Some children with learning disabilities grow up to be quite independent, while others need help with everyday tasks, such as washing or getting dressed. A diagnosis of a profound and multiple learning disability (PMLD) is used when a child has more than one disability, with the most significant being a learning disability. Many children diagnosed with PMLD will also have a sensory or physical disability, complex health needs, or

mental health difficulties and need a carer to help them with most areas of everyday life, such as eating, washing etc.

Autistic Spectrum Disorder (ASD) – Facts and Figures

- It is estimated that 1 in every 100 people in the UK have an Autistic Spectrum Disorder (ASD)
- ASD is a lifelong condition and affects people from all backgrounds.
- ASD affects more males than females.
- All individuals with an ASD have impairments in the same three areas (i) social interaction (ii) social imagination (iii) social communication
- Many people with an ASD have not been diagnosed, and therefore may not realise they have the condition. This is especially true for adults.

An early ASD diagnosis will enable parents to understand their child's needs and to seek appropriate support in their caring role. Many people with autism are not identified or diagnosed during childhood but may be helped by having access to assessment services as adults. Children, young people and adults with autism and their carers will have different support needs according to their age and abilities. Adults with autism can experience anxiety and social isolation, have difficulties in education, problems in finding/sustaining employment and difficulties in establishing/maintaining social relationships/friendships.

What are we doing?

A regional **Mental Health and Learning Disability Partnership Board** oversees the delivery of the Gwent Strategy for Adults with a Learning Disability 2012/17 (The strategy is currently being reviewed). The purpose of the strategy is to provide a clear strategic direction regarding the future planning and delivery of services for adults with a learning disability who live within, or have services commissioned across the region. It describes the core principles that are fundamental to service provision and outlines the key issues that need to be addressed to deliver high quality, safe and cost effective services. The objectives of the strategy for people with a learning disability are to

- Have more choice and control over their life.
- Have choice regarding how they spend their time and where they live and who they live with.
- Have better health outcomes and appropriate access to healthcare.
- Have smooth, planned and effective transition from child to adult services
- Receive timely and appropriate support for families/carers of people with a learning disability
- Receive support and proactive interventions that promote social and emotional well-being.
- Access the range of appropriate specialist health and social care services in a timely manner.
- Receive a co-ordinated, safe and timely service and appropriate support to plan for the future.
- Receive clear information regarding generic and specialist learning disability services.

A robust mapping of service of services and community support has been undertaken by **Supporting People (SP) Teams** across the region. Supporting People teams have also prioritised people with learning disability through the regional SP Plan. The **In One Place Programme** is a collaborative programme that was launched in 2014 to improve the provision of accommodation to those with complex health and social care needs within the Gwent region. The In One Place Programme brings together the Aneurin Bevan University Health Board, the five local authorities and eight housing associations.

Autism

Wales was the first country in the UK to take a national approach to autism, originally publishing a Strategic Action Plan in 2008. Welsh Government refreshed the plan in November 2016 and it sets out the Welsh Government's ambitions for both raising awareness of autism and ensuring public services work together to deliver effective care and support services for adults and children with autism. The revised Strategic Action Plan sets out three priority areas for action, based on what was highlighted.

- Timely access to assessment and diagnosis – a standardised assessment pathway with a new 26 week waiting time for referral to first assessment appointment has been established. There will also be improvements to adults diagnostic services through the National Integrated Autism Service.
- Support to overcome everyday barriers in education/training, employment and accessing services.
- Identify gaps in information, advice and training. Across the region Welsh Government and local partners will build on the '*Learning with Autism*' programme for primary schools, develop new resources for education settings. There will also be a focus on training for primary care and mental health professionals, people working in leisure services, and employers in general.

An independent evaluation of the national Autistic Strategic Action Plan undertaken in 2012 reported that the strategy had a positive impact on people and families, as well as professionals. There have been increased rates of identification as well as increased rates of diagnosis. There has also been improved support for children and young people in education, as well as improvement in transition services.

Actions and next steps

Prevention and Early Intervention including Information, Advice and Assistance (IAA)

- Continue to increase the profile and awareness of ASD and promote use of material available through national ASD website www.asdinfo.wales.co.uk. The website includes information and resources for people with autism, families, carers and professionals. The quality of the national resources has been recognised internationally and Welsh Government have been approached by many countries for permission to use the materials.
- Align Supporting People provision with local community connectors to ensure people are aware of support services and signposted to community provision.

Commissioning, Pooled Budgets and Health and Social Care Integration

- Review current strategy for Adults with a Learning Disability with an emphasis on integrated planning to improve outcomes integrated service delivery and reduce inequalities across the Boroughs and; joint commissioning priorities to inform commissioning of services.
- Develop a co-ordinating group and a local ASD lead to oversee development of improved services and link to a national ASD co-ordinator
- Support and implement new National Integrated Autism Service. Since April 2016, Welsh Government have funded the development of new specialist teams in every region, providing adult diagnostic services. The service also support the improvements in children's diagnosis, treatment and support services through the '*Together for Children and Young People*' programme. The service will also provide wider support and advice for children and adults, as well as their families or carers. It will also provide training and support for professionals.

- Explore joint commissioning opportunities between Intermediate Care Fund and Supporting People programme for people with learning disabilities to maximise capacity within the Community including greater awareness of ASD and invest in further resource materials to raise awareness of autism and provide training resources across professional groups.
- The region will continue to support and engage in the Integrated Health and Social Care Collaborative Commissioning Programme and the National Framework for Residential Care Home Placement for People with Learning Disabilities and People with Mental Health Problems (under 65).

Links to key strategies

- **Regional Supporting People Plan**
- **National Autistic Spectrum Disorder (ASD) Strategic Action Plan.**

Summary and what we will deliver through the regional Area Plan.

- **Support Mental Health and Learning Disability Partnership Board review Gwent Strategy for Adults with a Learning Disability 2012/17 and set out key regional commissioning, integration actions**
- **Local implementation of Welsh Strategic Action Plan including development of new Integrated Autism Service.**

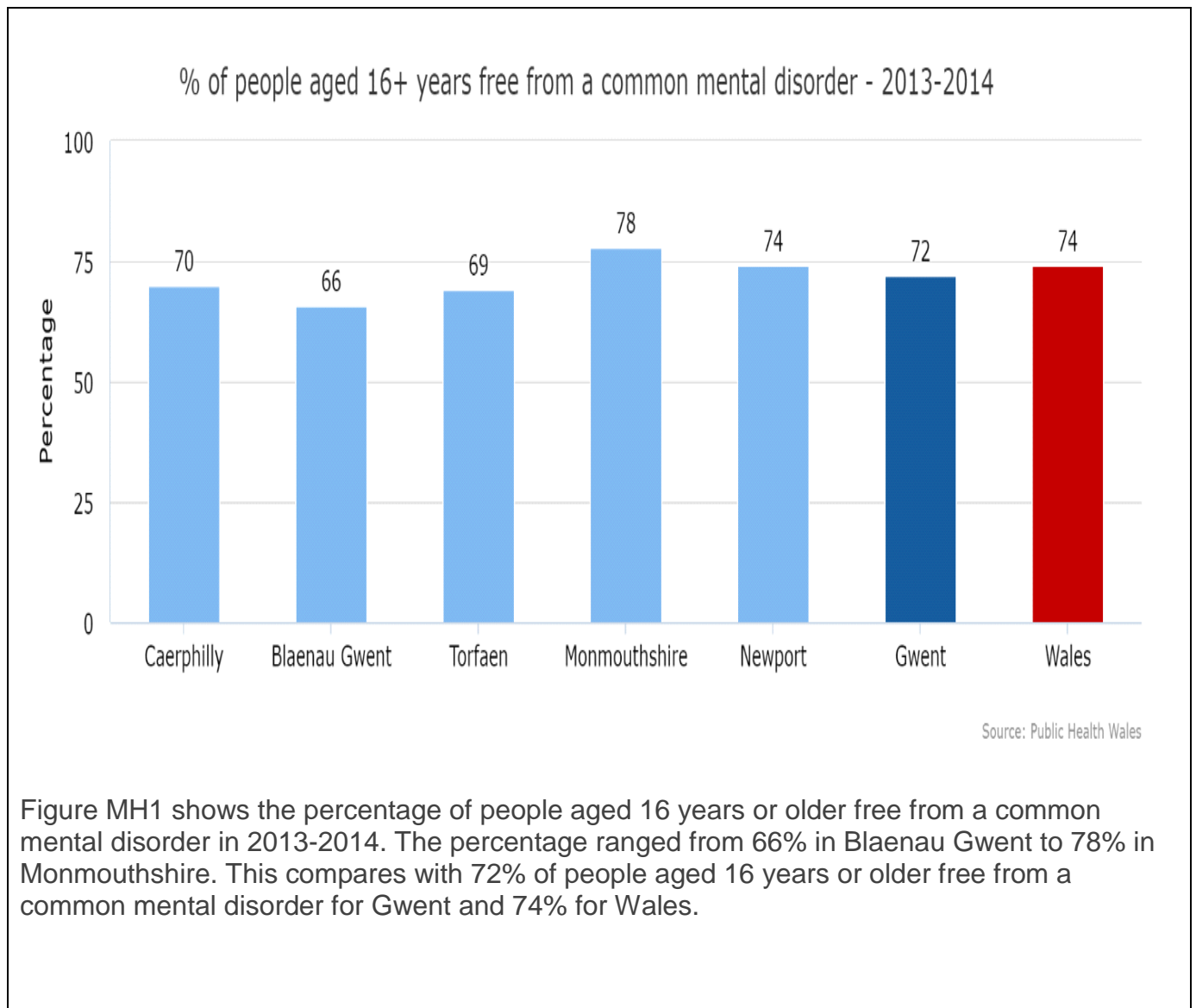
Mental health

A demography and population profile for individual local authorities is included in the 5 local Wellbeing Assessments. An abbreviated demography is included in section 1 of this PNA which also includes the population projection for the region. For the purpose of this PNA Children and Young People are categorized as up to the age of 18 years and receiving care and support services. Pre-engagement workshops with the regional citizen panel, provider forum and leadership group identified the following emerging areas of interest:

- **Increased understanding and awareness of mental health**
- **Emotional support for children in care**
- **Less social isolation more community support**
- **Early intervention and community support which is timely including advocacy.**

So what does the data show us?

A comprehensive situational analysis is included in the appendix, but a representative sample of regional emerging areas are set out in the chart(s) below.



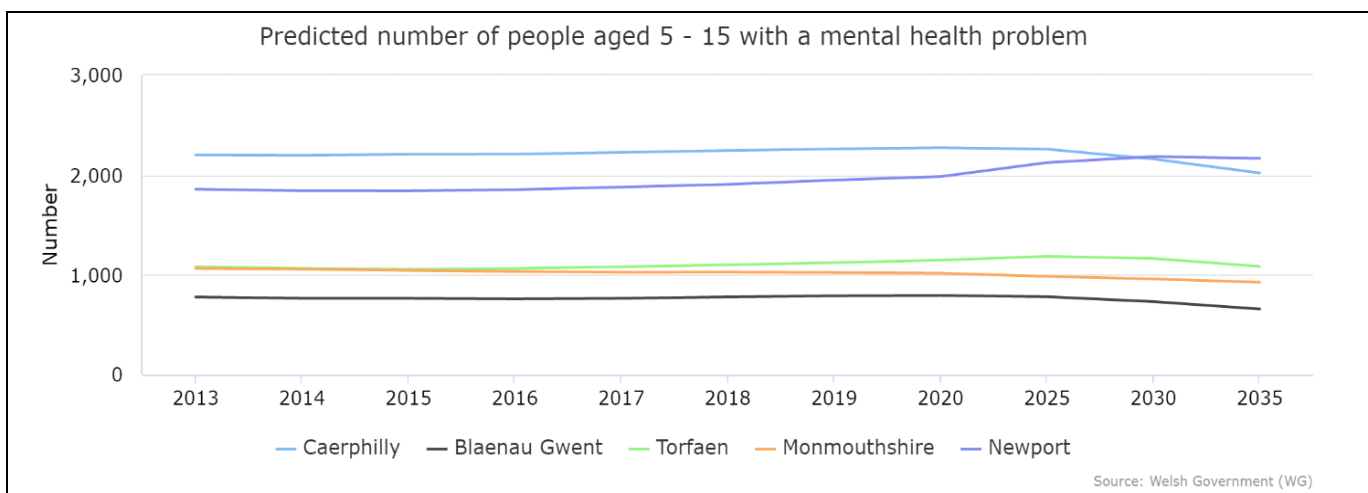


Figure MH3 shows the predicted number of people aged 5 – 15 with a mental health problem over the period 2013 to 2035. Across the local authority areas in the Gwent region both Torfaen and Newport are predicted to see increases of 0.4% and 16.6% in the number of people aged 5 – 15 with a mental health problem. The other local authority areas are all predicted to see decreases over the same period.

Fact and figures for mental health and mental illness across Wales?

- 1 in 4 adults experiences mental health problems or illness at some point during their lifetime.
- 1 in 6 of us will be experiencing symptoms at any one time.
- 2 in 100 people will have a severe mental illness such as schizophrenia or bipolar disorder.
- 1 in 10 children between the ages of 5 and 16 has a mental health problem and many more have behavioural issues.
- Approximately 50% of people who go on to have serious mental health problems will have symptoms by the time they are 14 and many at a much younger age.
- Between 1 in 10 and 1 in 15 new mothers experiences post-natal depression.
- 1 in 14 people over 65 and 1 in 6 over the age of 80 will be affected by dementia.
- 9 in 10 prisoners have a diagnosable mental health and/or substance misuse problem.

What do we know?

Positive mental health is a key factor for good health and relevant to the whole population. In 2007 the World Health Organisation stated that there is no health without mental health, which means that public mental health is integral to all public health work. Statistics show that **one in four of the adult population have a life chance of experiencing mental ill health**. Mental illness is the largest single cause of disability with 22.8% being attributable to mental illness, compared with 16.2% for cardiovascular disease and 15.9% for cancer. This is forecast to increase by 7.8% by 2030 (WHO, 2008). Self-reported surveys show that 13% of adults in Wales report having a mental illness (Welsh Health Survey 2015).

Mental illness can have multiple impacts upon society including poor educational attainment, increased substance misuse as well as increased anti-social behaviour and crime. There are also large economic costs of mental illness, with the estimated overall cost of mental health problems in the UK being over £110 billion in 2006/07, representing 7.7% of GDP. Care and treatment of mental disorders account for over 10% of total NHS expenditure.

Over the last 4 years there has been over 100% increase in referrals to Children and Adolescent Mental Health Service (CAMHS). Many of the children and young people who are then assessed do not need highly specialist interventions, but add to the waiting times for those children who do need such support.

What are we doing?

Responding to mental illness is not the sole responsibility of any one organisation, the challenge is one shared across all partners and there is increasing recognition that the wider issues that affect health and well-being (housing, education, employment) sit with equal importance alongside clinical diagnosis and treatment. Where people live has an impact on their psychological well-being, both positively and negatively. At the local level, health, social care and third sector organisations have already committed to working as one to address the challenge. A regional ***Mental Health and Learning Disability Partnership Board*** has been developed to:

- Oversee the delivery of the Gwent Mental Health and Learning Disability Strategies
- Oversee the delivery of the ***'Together for Mental Health' strategy*** and other relevant Mental Health and Learning Disability strategies such as ***'Together for Children and Young People'***, ***'Talk to Me 2'*** and the ***'ASD Strategic Action Plan'***.
- Map existing services, planning and commissioning arrangements and strategic arrangements across partner organisations
- Develop a strategic vision for improving mental health and learning disability and best use of resources across partner organisations
- Agree the strategic and operational issues of joint working in relation to mental health and learning disability
- Identify key strategic national and local issues requiring a collaborative approach in order that the benefit to service users and carers is maximised.
- Agree multi-agency strategies and the contribution of stakeholder agencies taking into account other partnership arrangements both within the area and nationally

A regional ***'Together for Mental Health' delivery plan*** is being developed and will set out the actions to progress Welsh Government national priorities at a local and regional level. The delivery plan sets out regional actions across 11 priority areas and will build on the delivery of the current regional ***Together for Mental Health in Gwent and South Powys 2012-2017 strategy***.

A ***review of the commissioning of Adult Mental Health Third Sector Services across Gwent*** took place during early part of 2016 and one service model and tender was identified. All Local Authorities in Gwent commission mental health services from the Third Sector, however at the time of the tender exercise only NCC were in a position to commission alongside ABUHB. However, all the other four authorities have been kept updated and it is hoped that they will also align their funding to the new service delivery areas when their contracts end in March 2017. The new service model areas reflect the priorities identified via a public and provider consultation process and are:

- Advocacy
- Counselling
- Skills, Training and Community Well Being (Drop ins/centres/hubs)
- Information and advice

Primary care plays a crucial role in delivering effective mental health care and treatment. A requirement from Welsh Government (The Mental Health (Wales) Measure) aims to strengthen the role and throughout Wales there are local primary care mental health support services organised around GP communities. These services are aimed at individuals of all ages who are experiencing mental health problems and include the development of primary mental health teams. For example a **LEAP team (Listen, Engage Act and Participate)** was established in the north of the Caerphilly borough 2014-16, bringing together staff from health and social care to take all primary care and secondary care referrals from 5 GP practices. The model explored what a team without boundaries can achieve through working with patients in an integrated way, putting the service user at the centre of support and a team around a person approach.

More and more, greater importance is being placed on the need for support services based in the community, which people can access to improve low levels of poor mental health and wellbeing. **Community Connectors** funded through the Intermediate Care Fund and **Torfaen Social Prescribers** based in GP surgeries help link people to local groups in the community to avoid isolation and to keep healthy and active. There are pockets of good examples across the region and Caerphilly County Borough's Communities First structure includes Communities' First mental health officers who work with people of all ages presenting with low mental health issues. This 'self help' service encourages people to establish networks in their own communities. The Gwent *Five Ways to Well-being virtual network* includes over 250 individuals from a range of statutory and third sector organisations trained on '**The Five Ways to Well-being**' an evidence-based set of actions developed by the New Economics Foundation. We are developing support across the region to intervene earlier and for targeted groups such as veterans who have been in the armed forces and who may have experienced the trauma of battle – this will need to be coupled with specialist therapeutic help to recover when they return to their communities. This help should be delivered by a combination of statutory and voluntary sector organisations. Support for individuals with substance misuse problems are planned and commissioned on behalf of the Gwent area by an Area Planning Board where the needs of those with a co-occurring mental health and substance misuse issue are responded to, and it is key not to duplicate efforts.

Previous reviews of specialist Child and Adolescent Mental Health Services (CAMHS) in Wales have identified that the service is under more pressure than ever before, but does not have the capacity to meet demand. '**Together for Children and Young People' (T4CYP)** was launched by the Minister for Health and Social Services on 26th February 2015. Led by the NHS in Wales, this multi-agency service improvement programme is aimed at improving the emotional and mental health services provided for children and young people in Wales. A continued emphasis on emotional, mental health and well-being is essential so that services can identify early on where there may be additional need for support. This is very important to prevent young people requiring the services of specialist CAMHS. The **Skills for Living Service** in Gwent, supported by local authority and health board funding focusses on the mental health needs of looked after children, recognising the significant additional risks faced by this group.

Actions and next steps

Preventative and Early Intervention including Information, Advice and Assistance (IAA) – We will continue to develop the Community Connector and Social Prescriber model across the region and ensure a consistent regional approach through '***Together for Mental Health***

Delivery Plan'. Key to this will be linking through the ABUHB 'Care Closer to Home' model and a place based approach. We will also build on the 'Five Ways to Wellbeing' and ensure accurate information, advice and assistance is provided through our IAA services and DEWIS.

Commissioning, Pooled Budgets and Health Social Care Integration

- Regional requirements for commissioned services will be identified through '**Together for Mental Health Delivery Plan**'. We will also consider a number of reviews across the Gwent area undertaken by Health Inspectorate Wales.
- The Intermediate Care Fund will also be aligned to support the agenda across both adult and children services as well as aligning to other existing funding, such as Supporting People, to maximise resources
- We will also use ABUHB's 'Care Closer to Home' and Integrated Medium Term Plan (IMTP) to coordinate community support services to ensure consistency and avoid duplication.
- The Regional Joint Commissioning Group is currently reviewing the third sector contributions across health and social care; and the review will consider the community support required to support mental health agenda such as befriending.
- The region will continue to support and engage in the Integrated Health and Social Care Collaborative Commissioning Programme and the National Framework for Residential Care Home Placement for People with Learning Disabilities and People with Mental Health Problems (under 65).

Links to key strategies

- **National Together for Mental Health Delivery Action Plan**
- **Together for Mental Health Gwent**
- **ABUHB IMTP**

Summary and what we will deliver through the regional Area Plan.

- **Review of and align regional strategies to Together for Mental Health Delivery plan**
- **Coordination of consistent community based services such as community connectors/social prescribers**
- **Multi agency place based models which include wider partners such as Housing Associations, employment support and community programmes**
- **Accurate Information, Advice and Assistance through DEWIS and Five Ways to Wellbeing**

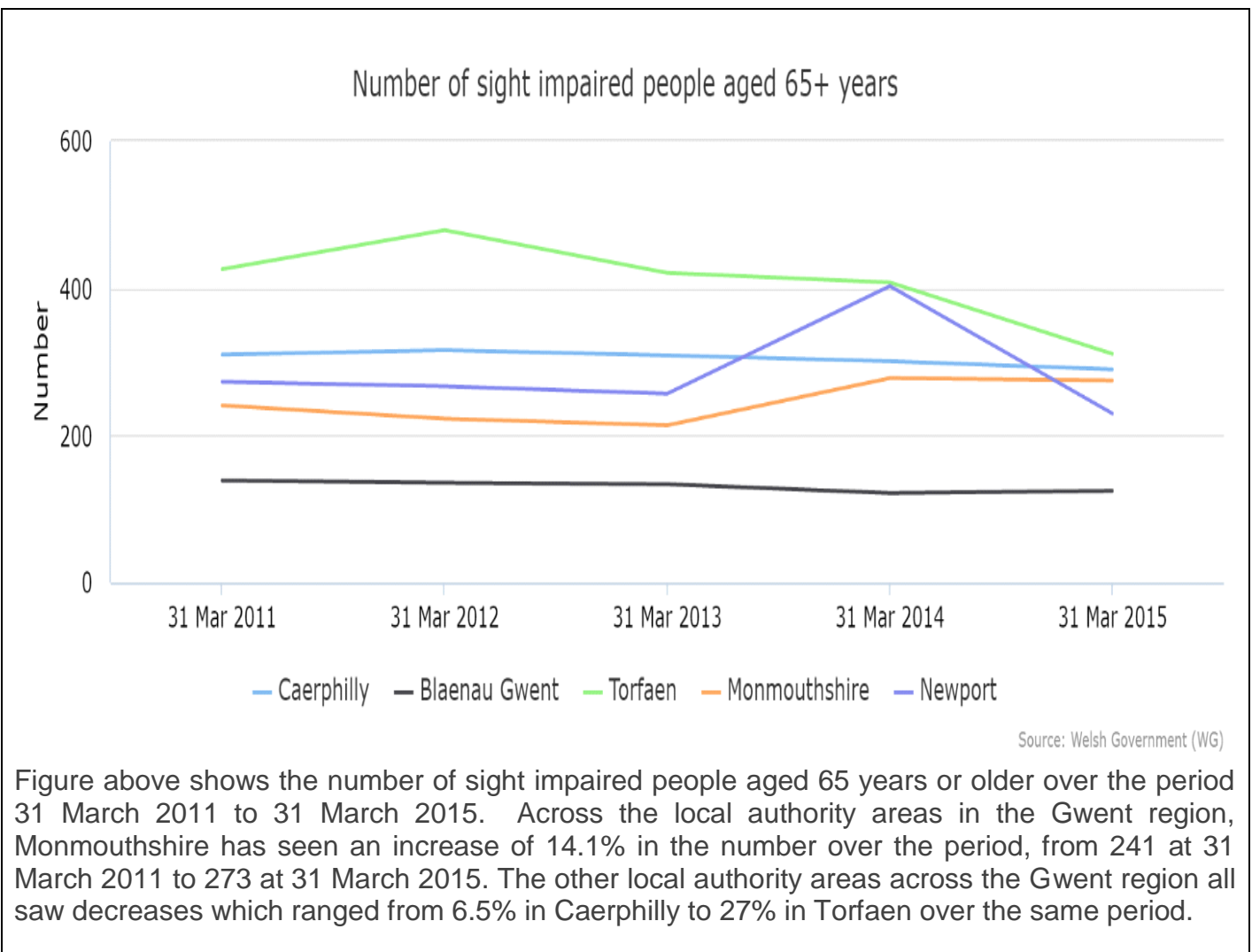
Sensory Impairment

A demography and population profile for individual local authorities is included in the 5 local Wellbeing Assessments. An abbreviated demography is included in section 1 of this PNA which also includes the population projection for the region. For the purpose of this PNA sensory impairment refers to people with either visual or hearing impairments or both - the extent of those impairments will vary from person to person. Pre-engagement workshops with the regional citizen panel, provider forum and leadership group identified the following emerging areas of interest:

- **Access to accurate information and assistance to understand and use that information**
- **Access to low vision tools**
- **Public transport system that is convenient and easy to use**
- **Access to 'rehabilitation' e.g. re-teaching someone how to do things safely again such as crossing a road**
- **Having sufficient financial resource to cope with the additional cost of living**

So what does the data show us?

A comprehensive situational analysis is included in the appendix, but a representative sample of regional emerging areas are set out in the chart(s) below.



What do we know?

There are an estimated 106,000 people in Wales living with sight loss and broad figures suggest that 1 in 10 people over 65 will have some form of sight loss to different degrees, 1 in 3 over 80 and 1 in 2 over the age of 90. Figures are estimated to double by 2050 because of the aging demographic and 75% of all sight loss occurs in people aged 65 and over. There are currently around 3500 people in Gwent that are registered as sight impaired but most of the data capture of sensory impairment is poor because many people with sight loss do not appear on severely sight impaired (SSI) (previously known as 'blind') or sight impaired (SI) (previously known as 'partially sighted') registers for many reasons such as people who are hard to reach (evidence shows that people from some ethnicities are 6 times more likely to experience sight loss but are less likely to engage; those with learning disability are 10 times more likely to have sight loss but are rarely diagnosed). Some people simply don't wish to confirm a diagnosis and some people choose not to be registered because they are concerned with the stigma in relation to jobs etc (also there may be a significant number of body of people who perhaps fear that they shouldn't be driving, and therefore don't go to the optometrist/GP as they fear licence removal). Sight is the primary conduit through which our brains absorb information but 43% of people who lose their sight will suffer significant and debilitating depression. Health indices demonstrate a reduction in positive outcomes, and well-being is heavily compromised post diagnosis.

It is estimated that the numbers of people registered as SSI or SI will increase as there is a direct relationship to an increasing older population, however new treatments have emerged over recent years for some causes of sight loss which are related to age and so we may see a slower rate of increase or a plateauing of those with sight loss. It is generally accepted within the sight loss community that there are at least 5 times as many people with uncorrected sight loss than are 'registered' on local authority registers. RNIB estimate there are 28,000 people in Gwent with sight loss.

In terms of hearing loss 'Action on Hearing Loss' estimate 1 in 6 people have hearing loss or tinnitus, 530,000 in Wales and 1 in 3 over the age of 80. Both sight and hearing loss are prevalent in the older population and it is likely that up to 70% of those with sight loss have a hearing loss too. Obviously some of those people will have a hearing aid that effectively mitigates the loss, although it is true that a hearing aid doesn't provide the same level of support as, say, spectacles would if someone was simply short-sighted or long-sighted.

What are we doing?

Both Social Services and ABUHB provide services and support to people with sensory loss. There is also support services in the third sector and 'Sight Cymru' work across the region. The Low Vision Service Wales (LVSW) was founded in 2004 with, the aim of providing a more accessible low vision service for the population of Wales, in regards to travel time, waiting time and convenience, whilst delivering a service of a high clinical standard.

- The LVSW is delivered by optometrists, dispensing opticians and ophthalmic medical practitioners who have undergone further training in the speciality of low vision with Cardiff University and funded by Welsh Government as an enhanced primary eye care service.
- Free at point of contact for the service user, any low vision aids are provided on a long term loan basis and recycled when no longer required.

- The establishment of the service resulted in the number of low vision assessments performed in Wales increasing. Waiting times to access a low vision service decreased from 6 months to 2 months for the majority of people and journey time decreased for 80% of people.
- Year on year the numbers of patients accessing the LVSW has increased, with 8049 LVSW assessments being performed between April 2015 and April 2016 (WG, 2016).
- By 2015, the LVSW had completely replaced all secondary care based low vision services in Wales. The LVSW now has 184 practitioners working from 202 practices across Wales to deliver the service. 20% of low vision assessments performed are done so within the patient's own home (WG, 2016).
- The LVSW assessment is a holistic assessment where the practitioner discusses the difficulties caused by the vision impairment and works with the patient to set goals and identify solutions, these may be in an optical or non-optical form.
- Practitioners work very closely with Social Services and the voluntary sector to ensure that patients receive support to remain as independent as possible.
- The LVSW continues to evolve. Current work is being done to identify patients who are at risk of depression, and future work will look more closely at identifying those patients with dual sensory loss.

Action Plan & Next Steps

Prevention and Early Intervention including Information, Advice and Assistance (IAA)

- People can, and do, adjust to loss of sight and continue leading independent and fulfilling lives. The key to such adjustment is sufficient accessible **information** and timely, **effective rehabilitation**. DEWIS is being developed across the region to improve information and will include functions to help people with sensory impairment. Over 50% of sight loss is avoidable.
- Typically, sight-loss conditions deteriorate and people need access to rehabilitation officers to help them adjust to their condition and living safely in their homes, and other preventative services. Research shows positive impacts in functional vision and a correlation on improved mental health and well-being by early intervention rehabilitation for the Vision Impaired. With only 1 in 4 people with sight loss of working age being in employment, there is an economic driver to ensuring high levels of independence too.
- For people with sight loss, access to specialist habilitation/rehabilitation is vital to maximise independence and ensure quality of life. It also has a considerable beneficial impact on those living with or caring for someone with sight loss, people who otherwise are at risk of mental health issues themselves. Ensuring people understand their sight conditions and are able to take up clinical solutions and have access to other services are fundamental to their ongoing capacity to cope. Rehabilitation provides not only a functional enabling resource for the person with sight loss, but also delivers understanding to carers and family members. Rehabilitation for the Vision Impaired is not re-ablement which implies recovery from disability and is often limited to 6 weeks. It should be viewed in the context of preventing falls, burns, injuries and decline in mental or physical health as well as the ability to promote independent living, ongoing education and social development.
- With so many of those losing their sight being elderly, hearing impairment, dementia and frailty are frequently experienced simultaneously, and continuing sight degeneration compounds impacts. As circumstances change, further access to provision should be enabled, and clear accessible services should be a priority. It is therefore essential that people receive timely access to provision although at present, there are no statutory guidelines around the time it takes for each local authority to contact people post referral.

Commissioning, Pooled Budgets and Health and Social Care Integration

It is well recognised that there is a need to reduce the time people are on waiting lists and to provide earlier interventions to prevent people reaching crisis. A principle of the commissioning process should include guidance on ensuring a sufficient number of Rehabilitation Officer for Visual Impairments (ROVIs) per head of the population, and the quality and timeliness of the service. In this respect, the benchmarking good practice guidance around rehabilitation for the vision impaired provides a sustainable standard.

An Adult Sight Loss Pathway has been developed, including the requirement that those people moving through the hospital setting should see an Eye Clinic Liaison Officer, and that all people with sight loss greater than 6/60 should be assessed by a Rehabilitation Officer. The Adult UK Sight Loss pathway sets out a defined pathway across health and social care and provides an important tool for enabling and streamlining the requirements under Act; it encourages more effective partnership working and a smooth transition for the person with sight loss.

The critical role of the eye clinic liaison service is recognised within the pathway as a first point of contact in the hospital setting. The requirement within the Act to offer advice and information is frequently provided by these specialists although funding for these roles is uncertain. Through the joint regional commissioning group guidance and adoption of ASL pathway will be considered across the region.

Links to key strategies

- **Welsh Government/NHS Wales Together for Health – Eye health Care Delivery Plan for 2013-2018**
- **Wales Vision Strategy Implementation Plan 2014 – 2018**

Summary and what we will deliver through the regional Area Plan.

- **Use good practice and effective pathways to develop regional commissioning principles**
- **Ensure accurate, accessible and timely Information, Advice and Assistance through DEWIS and other means**
- **Work in partnership with third sector to identify new models to support rehabilitation process and supply of low vision tools.**

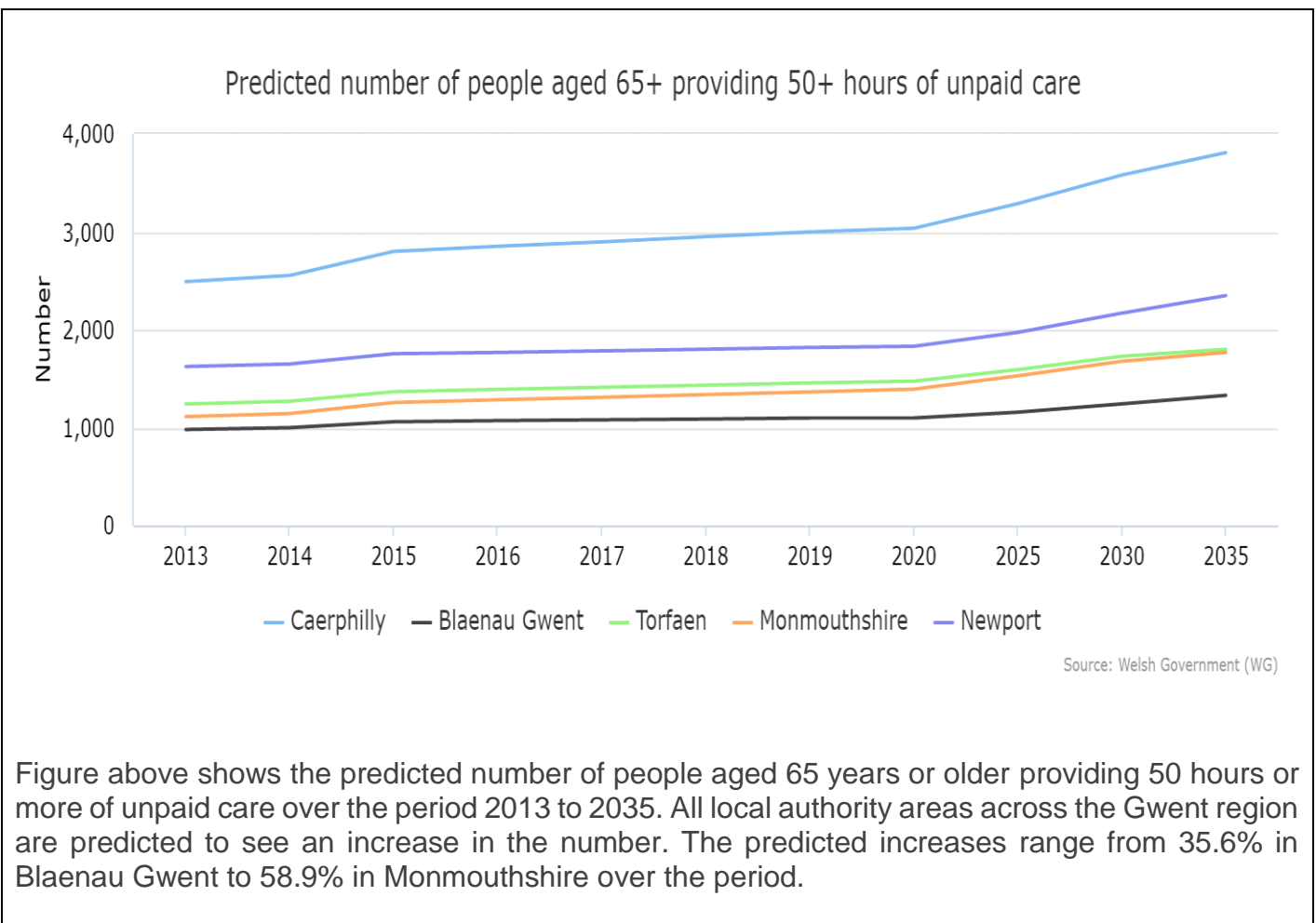
Carers who need support

A demography and population profile for individual local authorities is included in the 5 local Wellbeing Assessments. An abbreviated demography is included in section 1 of this PNA which also includes the population projection for the region. For the purpose of this PNA a Young Carer is defined as a person under 18 who provides or intends to provide care for another person and a carer is defined as a person who provides or intends to provide care for an adult or a disabled child (but paid carers are excluded). This is a major change to the previous definition – in that carers no longer have to establish that they are also ‘providing or intending to provide ‘a substantial amount of care on a regular basis’. Pre-engagement workshops with the regional citizen panel, provider forum and leadership group identified the following emerging areas of interest.

- **Young Carers and support for siblings**
- **Flexible, bespoke support including Information, Advice and Assistance**
- **Flexible service models of respite support for carers**
- **Training and peer to peer support for carers**
- **New models of support for carers including support for carers base on ‘life after care’**

What does the data show us?

A comprehensive situational analysis is included in the appendix, but a representative sample of regional emerging areas are set out in the chart(s) below.



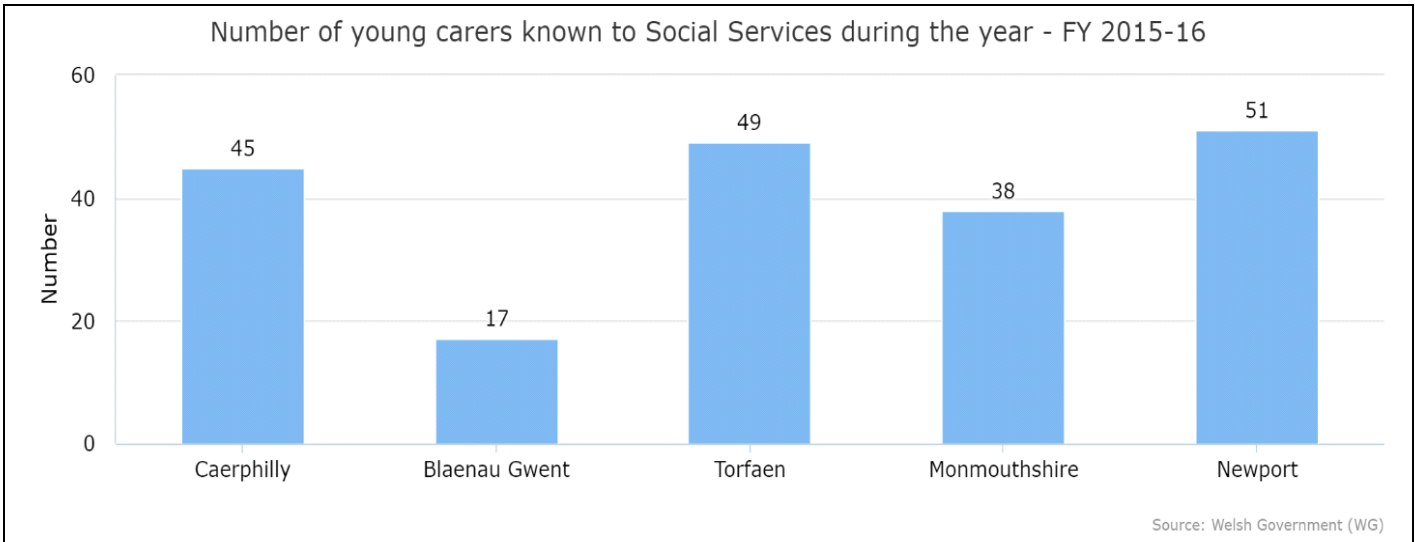


Figure shows the number of young carers known to Social Services during the year 2015-16. It shows that the number ranged from 17 in Blaenau Gwent to 57 in Newport.

What do we know?

There is likely to be an increase in the number of carers as a result of predicted increase in population. There are an estimated 356,000 adult carers in Wales today and 90,000 carers spend over 50 hours a week on their caring responsibilities and currently provide over 70% of community care. It is estimated that carers and families provide 96% of the care in Wales, supported by communities, volunteers and care and support services; and save the social economy of Wales £3.5 billion each year. Yet the decision to care can mean a commitment to future poverty, and, for young carers, temporary or permanent delay in pursuing further education and training opportunities. Many give up an income, future employment prospects and pension rights to become a carer. The Social Services and Well Being (Wales) Act recognises the key role played by carers, giving them the rights to support which are equivalent to the rights of those they care for. Section 14 of the Act places a joint requirement on local authorities and Health Boards to work together to assess carers. Too often people do not recognise themselves as carers and do not wish to receive support from statutory services. There is a need to increase awareness of the SSWB Act and eligibility or entitlement to support in order to enhance opportunities for the early identification of carers and to provide the necessary information and advice to carers to enable them to make informed choices.

What are we doing?

Following the implementation of the Carers Strategy (Wales) Measure in 2012 a multiagency regional **Carers Programme Board** was set up to steer, implement and monitor actions and progress. Following the repeal of the Measure and provision of transitional funding to action the SSWB Act requirements, as they apply to carers, the multiagency Greater Gwent Carers Programme Board ('Carers Board') has been established. The Carers Board is Chaired by the Aneurin Bevan University Health Board (ABUHB) Independent Member. The Board objectives are: strengthening of the partnership approach at a local level; creation of opportunities to enable the third sector to fully participate in delivery; plan and deliver the increased responsibilities for ABUHB

and local authorities; embed the practice of mainstreaming the carers' needs so that it is common practice.

In the next period, the Carers Board, through the Board Chair, will report directly to the Regional Partnership Board. The Carers Board has developed and is implementing a work programme based on identified carer support and service gaps. The work programme for 2016/17 and 2017/18 is targeting the following areas:

- Advocacy support,
- Support to young adult carers and transition,
- Mental health and well-being support for carers,
- Continued and effective information/advice/signposting and
- Ongoing staff training.

The Carers Board has established ongoing links with various carer forums across the region in order to ensure effective involvement of carers in the work of the Board. Work to map current service provision has enabled the identification of service gaps, for example advocacy for carers. It should be noted that the Dementia Board has also completed a mapping of respite services for carers. Also, through the Care Closer to Home strategy we have mapped out existing partners and services. A new community support group has been established in Blaenau Gwent to support people living with dementia and their carers. The group aim to raise and spend local funds to ensure people can attend support groups such as dementia cafes and is one of the first groups to be established under the new service models agenda

Action Plan & Next Steps

Preventative and Early Intervention including Information, Advice and Assistance (IAA)

- The Welsh Government has stressed the importance of information and advice at every stage of the care and support process and section 17 of the Act outlines the duty to make available a service to provide adults in need and carers with information about care and support. A national information portal (*Dewis*) is under development and will provide a database of service information for citizens (including carers). This will be a useful tool in facilitating easy to access links to local information.
- A targeted approach will continue within health services to: raise awareness through acute medical wards and at hospital discharge stage, information provision and support links with GP surgeries – ensuring systems to identify and support carers more effectively, including staff who are carers.
- Engaging with informal community networks, via the 'community connector' roles in order to identify carers at the earliest opportunity and sign post to support services and peer to peer groups.

Commissioning, Pooled Budgets and Health Social Care Integration

Through consistent commissioning across ABUHB and local authorities we will establish consistent practices through the following key elements.

- Future delivery of staff training needs to be sustainable and work is required by each partner organisation to ensure that carer awareness training is sustainably absorbed into core functions, making use of an all Wales awareness raising e-learning tool accessible to all partner organisations.

- Section 24 of the Act requires that carers must be fully involved in their assessments and makes clear that the duty to assess applies regardless of the authority's view of the level of the carer's needs for support, or their financial situation.
- 'What Matters' conversations will be undertaken with carers to ascertain what is important
- In relation to dementia we will deliver Social Care Wales 'Good Matters' framework
- We will also explore how medicines prompting can be better delivered through region wide, community based service models that ensure equity of support
- Respite services are consistently highlighted by carers as a pivotal support need but there are some instances where currently commissioned support is underused. This can be because the service provision is based on a 'one size fits all' approach and thus does not reflect the type of respite service required as well as a lack of carer feedback to inform necessary changes to commissioned services. We will seek to expand more befriending volunteering opportunities with a view to providing flexible respite and link this to the review of third sector commissioned services currently being undertaken by the Joint Regional Commissioning Group.
- It is anticipated that the implementation of the Care Closer to Home Strategy will also increase the networks of support for carers at a community level.
- Continue to support new models such as the Friends of Dementia group in Blaenau Gwent.

Advocacy – arrangements are being discussed at Carers Programme Board meeting in late 2016.

Links to key strategies

- **Regional Partnership Board Statement of Intent**
- **Regional Dementia Strategy**
- **Social Care Wales 'Good Works'**

Summary and what we will deliver through the regional Area Plan.

- **Coordination of consistent community based services such as community connectors/social prescribers to identify and support carers**
- **Review of medical prompting to better support carers**
- **Accurate Information, Advice and Assistance through DEWIS and Five Ways to Wellbeing**
- **Review of and align third sector commissioning principles to support befriending for carers requiring support**
- **Ensure that the implementation of the care closer to home strategy increases the community level support for carers**
- **Consistent commissioning across health and social care to ensure equitable, region wide and effective models of carer support**

Violence against women, domestic abuse and sexual violence

A demography and population profile for individual local authorities is included in the 5 local Wellbeing Assessments. An abbreviated demography is included in section 1 of this PNA which also includes the population projection for the region. For the purpose of this PNA we subscribe to the definitions of domestic abuse as set out in the *Violence against Women, Domestic Abuse & Sexual Violence (Wales) 2015 Act*. Pre-engagement workshops with the regional citizen panel, provider forum and leadership group identified the following emerging areas of interest:

- **Training for all and healthy relationship awareness especially in schools**
- **Family services**
- **Support for victims**
- **Service analysis and mapping**

So what does the data show us?

A comprehensive situational analysis is included in the appendix, but a representative sample of regional emerging areas are set out in the chart(s) below.

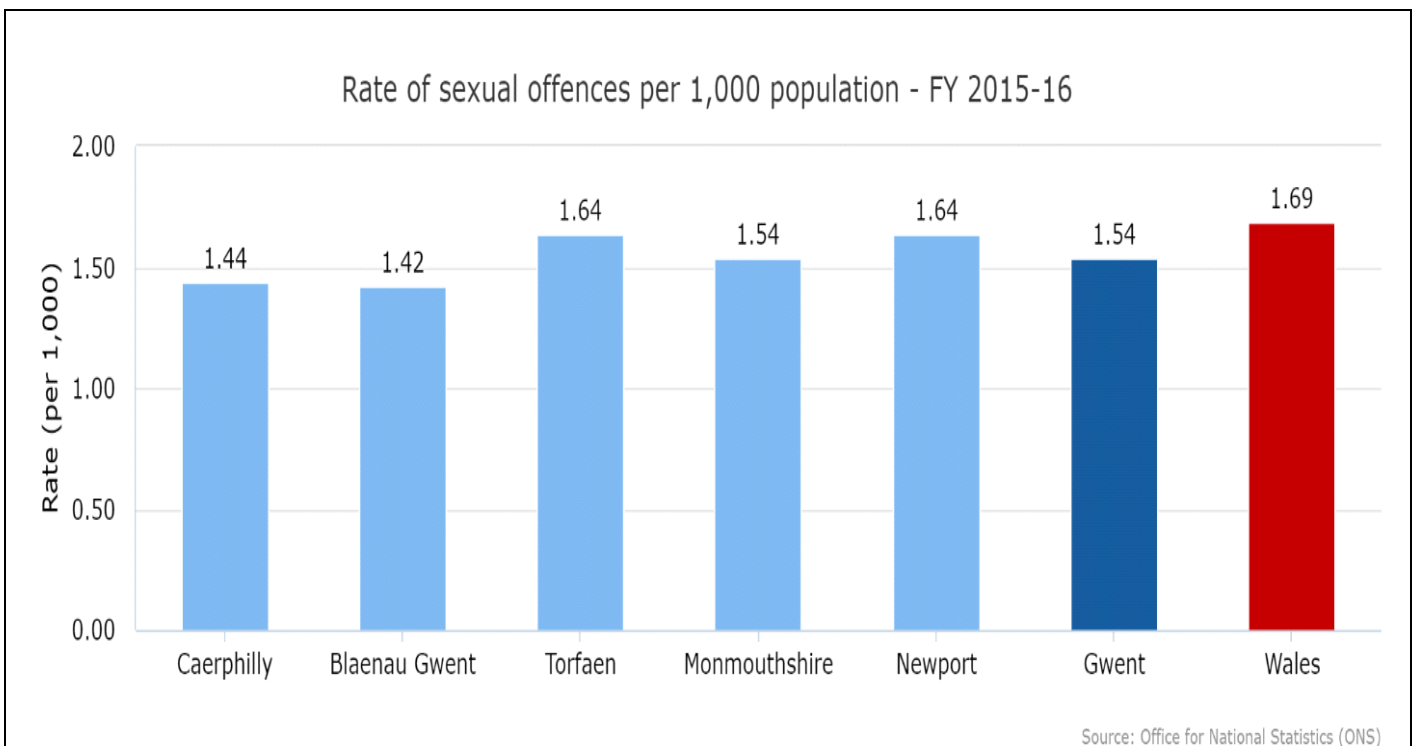
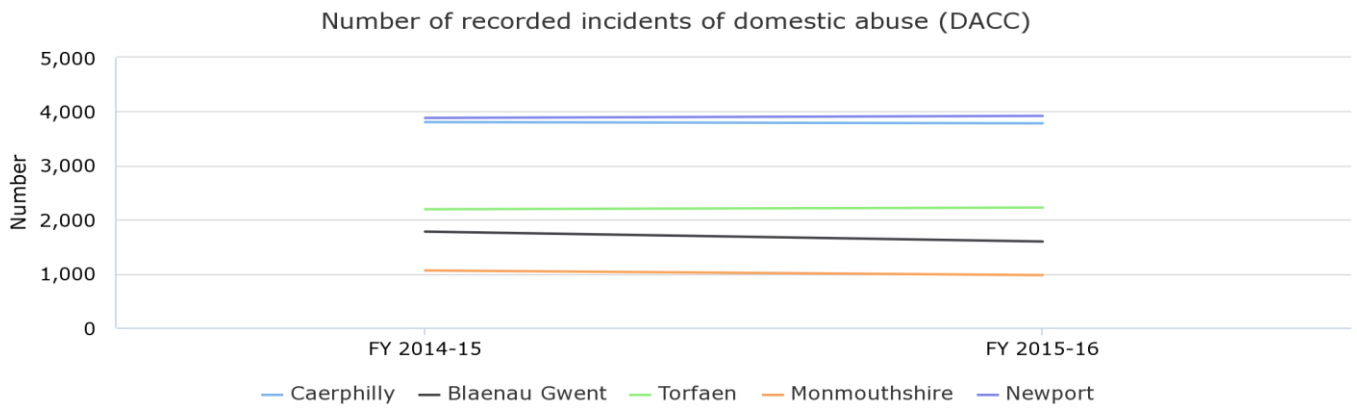


Figure V1 shows the rate of sexual offences per 1,000 population in 2015-16 across the Gwent region. The rate ranged from 1.42 per 1,000 population in Blaenau Gwent to 1.64 per 1,000 population in both Torfaen and Newport. This compares with 1.54 per 1,000 population for Gwent and 1.69 per 1,000 population for Wales.



Source: Gwent police

Figure V2 shows the number of recorded incidents of domestic abuse and discussions between Gwent Police, ABUHB and local authorities [(Domestic Abuse Conference Call (DACC))] over the period 2014-15 to 2015-16. Blaenau Gwent, Caerphilly and Monmouthshire have seen a decrease with Blaenau Gwent and Monmouthshire showing the largest decreases of 10.3% and 9.2% respectively; and Caerphilly 0.6% reduction. Newport and Torfaen have seen a small increase over the period of 0.1% and 1.4% respectively.

What do we know?

The Violence against Women, Domestic Abuse & Sexual Violence (Wales) 2015 Act was passed in April 2015 and aims to improve the Public Sector response by providing the strategic focus to improve the arrangements for the prevention, protection and support for individuals affected by such violence and abuse. This new Act is set within the wider legislative context of The Well Being of Future Generations (Wales) Act 2015 and the Social Services and Wellbeing (Wales) Act 2014; and provides a unique opportunity to embed VAWDASV as a priority in determining the well-being of Wales.

We know that the reporting of domestic abuse is considerably lower than actual incidents – reported incidents vary between 23% (Walby and Allen 2004) and 35% (Home Office 2002; Office for National Statistics 2013) of actual – and this will need to be considered in planning going forward. There are two established processes used to manage and support the VAWDASV agenda:

- **Domestic Abuse Conference call (DACC)** – Gwent Police hold a daily conference call in all five local authority areas. DACC was established following an evaluation of a pilot in Newport and found the benefits to be: early intervention and opportunities to make victims safer; fast and effective information sharing; shared responsibility and accountability; early identification of risk. An overview of DACC highlights considerable numbers with over **12000 incidents in both 2014/15 and 2015/16**; but early analysis has shown a **28% drop in repeat victims** and good evidence to show improved safety and well-being of victims and their families, and at the

same time, effectively manage offenders. The DACC process is currently being reviewed in order to ensure a consistent approach across the region.

- A **multi-agency risk assessment conference (MARAC)** is a meeting where information is shared on the highest risk domestic abuse cases between representatives of local police, probation, health, child protection, housing practitioners, Independent Domestic Violence Advisors (IDVAs) and other specialists from the statutory and voluntary sectors. After sharing all relevant information about a victim, representatives discuss options for increasing safety for the victim, and turn these options into a co-ordinated action plan. The primary focus of the MARAC is to safeguard the adult victim. An overview of MARAC in Gwent again presents considerable numbers with **978 MARAC completed 2014/15, 726 completed 2015/16** (This reduction is more around process issues than a reduction in high risk victims). The MARAC will also make links with other fora to safeguard children and manage the behaviour of the perpetrator. At the heart of a MARAC is the working assumption that no single agency or individual can see the complete picture of the life of a victim, but all may have insights that are crucial to their safety. The victim does not attend the meeting but is represented by an IDVA who speaks on their behalf.

What are we doing?

Building on the Pan Gwent Domestic Abuse Forum a **South East Wales Violence against Women, Domestic Abuse and Sexual Violence (VAWDASV) Partnership Board** has been established to provide the governance vehicle for the regional partnership for related services. The Board parallels the South East Wales Safeguarding Children's Board and Gwent Adults Safeguarding Board. All three Boards will link together to provide a framework of safeguarding governance and will ensure that communication links exist with strategic multi-agency partnerships working across the region including the Regional Partnership Board (RPB). The VAWDASV Board will provide senior leadership bringing together agencies to work together in a joined up way and to ensure the best possible services are provided to protect and support victims and prevent crime. Where there are gaps in service or shortcomings in performance the Board will bring together the key agencies to prioritise and address issues. The term 'Violence against Women' incorporates all forms of violence against women; honour based violence, forced marriage, female genital mutilation (FGM), trafficking, sexual violence and exploitation and domestic abuse. The term 'Violence against Women' refers to the disproportionate experience of women to such forms of abuse. Whilst it is important that this is acknowledged and communicated, it does not mean that the violence and abuse directed towards men or perpetrated by women is neglected. The work of the VAWDASV Board is concerned with all forms of violence against women, domestic abuse and sexual violence as it affects all citizens.

The VAWDASV Wales Act (2015) introduces requirements for Welsh Ministers to prepare and publish a National Strategy for VAWDASV and for relevant authorities to publish joint local/regional strategies. The South East Wales region was chosen as a pilot site across Wales and are currently undertaking a comprehensive needs assessment that will provide the required information to inform the development of a strategic plan and a set of priorities that will ensure consistency and efficacy across the region with a common shared model of service delivery. The regional strategic plan will be drafted by April 2017 and will enable alignment to Welsh Government National Strategy which was published in November 2016. The Regional VAWDASV Partnership Board will provide the governance vehicle and will develop, approve and monitor the regional strategy as required under the Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV) Act (Wales) 2015.

Actions and next steps

Prevention and Early Intervention including Information, Advice and Assistance (IAA)

- ***'Ask & Act' is the Welsh Government policy of targeted enquiry*** to be practised across the public service for VAWDASV. The ***South East Wales local authorities have been selected as one of two early adopter sites in Wales for "Ask and Act"*** to develop and implement processes ahead of national roll out next year. Identifying abuse and/or violence at an early stage can be an effective measure in preventing an escalation in severity and frequency, and can assist to ensure appropriate and timely support is provided. The aims 'Ask and Act' are:
- to begin to create a culture across the public service where addressing VAWDASV is an accepted area of business and where disclosure is expected, supported, accepted and facilitated;
- to increase identification of those experiencing VAWDASV;
- to pro-actively engage with those who are vulnerable and hidden, at the earliest opportunity, rather than only reactively engaging with those who are in crisis or at imminent risk of serious harm;
- to offer referrals and interventions for those identified which provide specialist support based on the risk and need of the service user; and
- to improve the response to those who experience

Commissioning, Pooled Budgets and Health and Social Care Integration

The VAWDASV Board have commissioned Welsh Women's Aid to undertake a regional needs assessment which is due to be completed by April 2017. The needs assessment and corresponding regional strategy that follows will set the direction of strategic services in terms of; partnership working; potential joint working models and processes. The Area Plan which will follow this PNA will use the VAWDASV needs assessment and regional strategy as the basis for forward planning.

Links to key strategies

- **South East Wales Regional Violence against Women, Domestic Abuse and Sexual Violence Strategy 2017 - 21**

Summary and what we will deliver through the regional Area Plan.

- **Implementation of 'Ask and Act' as part of Welsh Government pilot.**
- **Strategic alignment with VAWDASV Board, needs assessment and strategic plan.**

SECTION 2

Service mapping

Under each core theme set out in section 1 there is a high level assessment of the range and level of services required to meet the care and support needs of citizens; and the support needs of carers i.e. the 'What are we doing section'. The list of current and planned activity is not exhaustive, but it is relevant to the emerging priority area under each core theme. We recognise that the DEWIS website www.dewis.wales may be better placed to provide an up to date directory that is self-managed in terms of content and therefore will remain current. The DEWIS website is continually being updated across the region and across Wales and the regional team supports this activity and partners to upload their information. The RPB will provide overall oversight to ensure that DEWIS is populated and publicised to all partners.

As highlighted in Part 2, Section 14 of Social Services and Wellbeing Act codes of practice, citizens and social care workforce must be engaged in the process of identifying the range and level of services necessary. In developing the PNA engagement with citizens and providers to identify the range of services took place at the same time as identifying the level of needs for care and support and support needs of carers. Service mapping data has been included in appendices and some services have uploaded their data to DEWIS. It would not be prudent to include a comprehensive list of services and compilation of directories within the appendix of this PNA. However, where the service mapping relates to the emerging areas of interest identified on page 8, we have included specific service mapping work – for example Monmouthshire mapped the IAA entry points across the borough.

In parallel to the development of the PNA the ABUHB are developing an overarching '**Care Closer to Home**' strategy for the effective and sustainable model of integration of care, centred on the GP cluster model also known as Neighbourhood Care Networks (NCNs) and integrated community wellbeing hubs. As a key part of the strategy development process, five individual workshops were organised across individual local authorities and partners were asked to map and identify existing community based services and resources. This information will form the basis of the region's community well-being response in addition to close work with service providers and for a.

The Region's **Supporting People** teams have undertaken further scrutiny and mapping of the services provided across various client groups and this continues to be undertaken as part of the Gwent Regional Collaborative Committee (RCC) work plan. This mapping and reviewing of services will enable further opportunities for regional service remodelling and development. The RCC has prioritised '*People with Mental Health Issues*' and '*Young People with Support Needs (16-24)/Young People who are Care Leavers*' through 2016/17 work plan. Specific gaps in services for these client categories will be highlighted through the continued review process and will provide an opportunity to develop services that continue to meet future needs of these client groups and to commission services if gaps are identified.

The following two client categories are still prioritised as part of the RCC work plan:

- People with Learning Disabilities - during 2015 a task and finish group identified a set of principles with regard to delivery of services to this client group which were

agreed with all five Social Services Departments across all Gwent Local Authorities. Regular reports are provided to the RCC to provide updates of local progress against the principles.

- Older Persons Services – Services provided to older people were prioritised for scrutiny by the Gwent RCC and this prioritisation has helped to ensure that work has continued to be undertaken locally to advance the recommendations made in the Aylward Review 2010.

A more focussed and detailed mapping of services and partners organisations will be undertaken when developing the Regional Area Plan. This will enable the RPB to directly map services and link them to the identified regional priorities. For the wider mapping of services we will work closely with the Public Service Boards (PSBs) as they develop their Wellbeing Plans. DEWIS will also be further enhanced and developed to include the wider community based services and partner organisations. Where possible the DEWIS database will be a resource for service provision and support down to individual ward level.

What we will deliver through the regional Area Plan:

- 1. Continue to build on existing service mapping through the ‘Care Closer to Home’ strategy, Supporting People agenda and link specifically to priorities identified therein**
- 2. Further develop and enhance the DEWIS website so it becomes the primary directory of resources for the region**
- 3. Work with PSBs to ensure wider service mapping is integrated with that of Health and social care as an important step towards the creation of a public service response at community level**

Health and Social Care Integration

The PNA is a key driver for change and is required to set out the extent to which the needs identified in relation to the core themes should be met by providing services in partnership between the Local Health Board and the Local Authorities within the Region. Under each core theme a high level description is provided which highlights those key areas for integration. Under Part 9 of the Act which covers Partnership Arrangements, the Regional Partnership Board (RPB) has prioritised the integration of services in relation to:

- Older people with complex needs and long term conditions, including dementia.
- People with learning disabilities.
- Carers, including young carers.
- Integrated Family Support Services.
- Children with complex needs due to disability or illness.

There are already well established and developed areas of integration which are supported by current strategic partnerships across the identified groups, and further details of existing arrangements and areas for development are included in the RPB’s joint statements of strategic of intent for older people, children with complex needs and carers. Integration of services for people with learning disabilities is well established in key areas such as accommodation via the ‘In One Place’ partnership which is a partnership between all 9 Registered Social Landlords in the region, the

local authorities and the Health Board. Also the 'Supporting People' priorities outlined above will also be aligned to support the regional imperatives under Part 9 where appropriate.

The RPB will determine the most appropriate structures for ensuring the provision of these integrated services. This could include the establishment of management or operational groups, or a redefining of existing partnership groups, as well as integrated teams for specific service areas. Partnership agreements will be developed for new partnership arrangements which may or may not require a delegation of functions, as set out in Part 9 of the Act.

The RPB has determined that a '**place based approach**' to care and support is the key to operational service delivery that will enable health and social care resources to be better aligned to meet different local and individual needs. We are aware that many localities have significant but often very different social and economic challenges which mean that a 'one size fits all' approach is neither appropriate nor sustainable. As highlighted in ABUHB's '**Care Closer to Home**' strategy and as described above a place based approach has been adopted by the region which is based on GP clusters (Neighbourhood Care Networks) with the aim of aligning resources more effectively.

What we will deliver through regional Area Plan

- 1. Integration of care and support provision to key client groups as set out in Part 9 of the Act and emphasised through RPBs statements of strategic intent for older people, children with complex needs and carers**
- 2. Adopt a place based approach through 'Care Closer to Home' strategy as foundation stone that underpins health and social care service integration**

Joint Commissioning & Pooled Budgets

In taking forward the implementation of the Act, it is recognised that commissioning has a vital part to play in planning, shaping and putting into place the services needed for citizens to improve wellbeing. A Regional Joint Commissioning Group (RJCG) was established in late 2015 and co-ordinated by the regional team to identify regional commissioning priorities. The RJCG identified the following priorities:

- A common regional domiciliary care strategy – a domiciliary care regional plan is being developed and this will result in a position paper and options for the future design and delivery of care and support at home. This will include some immediate activity and identify longer term goals. This work is closely linked to the National Commissioning board's domiciliary care work stream detailed below
- A regional review of commissioning resources as part of the PNA and market sufficiency analysis with a view to adopting an integrated approach.
- Take forward options for integrated commissioning and pooled budgets for older peoples' care homes. This work is also closely linked to the NCB as the Gwent region is the designated pilot region for developing a Model Partnership Agreement for joint commissioning and pooled budgets for care home placements.
- Prevention and Wellbeing, role of the 3rd Sector and place based approaches linked to the development of the Care Closer to Home strategy.

- Commissioning priorities for Children with Complex needs will be taken forward by the Children and Families Partnership Board
- Commissioning priorities for Carers including young carers will be taken forward by the Carers Partnership Board

The RJCG links closely with the National Commissioning Board (NCB) that has been established for health and social care in Wales. The national group has a high level project plan and a number of work streams covering:

- A national Market analysis of care homes (for over 65's)
- A model agreement for pooled budgets for care homes in Wales
- Domiciliary care,
- Learning disability services
- Services for children with complex needs
- A commissioning capacity and capability review
- Options for securing services (flexible and innovative approaches to the procurement of health and social care services)

Pooled Funds

The 2015 partnership regulations require partnership bodies within each Regional Partnership Board to establish and maintain pooled funds in relation to:

- the exercise of their care home accommodation functions (*As noted, the Gwent region is a pilot to start this work, which requires joint commission of placements and pooled budgets by April 2018*);
- the exercise of their family support functions; (*Integrated Family Support Services is a Welsh Government funded programme and managed by Newport City Council; and is included within the governance arrangements of the RPB*)
- the specified functions they will exercise jointly as a result of the combined population assessment report and area plan

The Gwent region already has well established formal pooled budgets in place for:

- **GWICES – Gwent Wide Integrated Community Equipment Service.** This is a Section 33 agreement under the National Health Service (Wales) Act 2006, with an identified lead commissioner and single contract monitoring process. There is a PIN hierarchy in place so that those operational staff needing to prescribe and order equipment are registered and able to access those equipment types that they need, with this being tracked to the relevant partner declared budget contribution and out turn. It has brought a consistent process of equipment specification, procurement, delivery, collection and cleaning/disposals across the region.
- **Gwent Frailty Programme.** This is also a Section 33 Agreement under the NHS (Wales) Act 2006 to deliver intermediate care services with consistent overarching aims and objectives to ensure best value and evidenced based service models for the residents of all five Gwent localities. It also includes appropriate funding contributions to support a repayment timeline for Welsh Government 'Invest to Save' funding.

Close engagement with Welsh Government has confirmed that Section 33 process is still applicable under the Act for Part 9 partnership Arrangements, but governance arrangements need to make clear that it is RPB's who take oversight.

What we will deliver through regional Area Plan

1. Deliver RJCG action plan to deliver joint commissioning arrangements for identified priorities above
2. Continue to link with NCB to progress national proposals across the region

Preventative Services

Prevention is at the heart of the Welsh Government's programme of change for health and social care. There is a need to focus on prevention and early intervention in order to make health and social care services sustainable for the future. It is vital that care and support services do not wait to respond until people reach crisis point. This preventative approach applies to both adults, children and young people; however, the regional response may differ in focus for each group. For example GP clusters makes sense for adult services, but school based clusters may make better sense for children and young people. Therefore, the geographical organisation of prevention and support services for children and adults may look different; but the strategic intent based on prevention and well-being will be consistent.

The Act is seeking to maximise the wellbeing of people and to rebalance the focus of care and support to prevention and earlier intervention. This will lead to increased preventative services in the community to minimise the escalation of individual needs to critical levels. This means that existing services will need to be reviewed and some may need to be decommissioned if no longer considered effective.

Local authorities have a duty to ensure an appropriate range and level of preventative services that:

- Help prevent, delay and reduce the need for care and support
- Promote the upbringing of children by their family
- Minimise the effect of people's disabilities
- Help prevent abuse or neglect
- Enable people to live as independently as possible
- Reduce the need for care or supervision orders, criminal proceedings against children, or taking children into local authority care or secure accommodation

There is a need to strengthen the preventative approach that is already available across programmes and services, building and extending the activity base in order to make sure that services are available when people need them. We must ensure that people and communities have the information and support they need in a timely way to identify '**what matters to them**'. The Region will give further detailed consideration to how it can best put in place arrangements to deliver an approach that meets that local need and individual need. The implementation of the '*Care Closer to Home*' strategy will play a major role in this.

The nature and level of preventative services provided or arranged **must** be designed to meet the needs for care and support of carers identified in this population need assessment report. Included in each core theme section are proposals for early intervention and prevention programmes. Also included is a high level indication of services that can support the preventative agenda. The RPB will expand on the mapping of services through development of the regional Area Plan and '*Care Closer*

to *Home*' strategy, to ensure that there is a clear understanding of the resources available within communities.

In terms of resource management, there is a need for a focus on earlier intervention rather than concentrating resources and effort further down the care pathway or on crisis management. There are a number of examples of good practice, but these are often only available in one area, yet they often need to be available across Gwent, as equity and consistency of provision is an important focus for the RPB.

As part of '*Care Closer to Home*' strategy ABUHB will set out how a preventative approach can be delivered in partnership with local authorities across the region. There are a number of preventative programmes funded through Welsh Government such as **Communities First, Families First, Flying Start and Supporting People**. Approximately £55 million is funded through the 4 'anti-poverty' programmes across the region each year. In addition **Intermediate Care Funding (ICF)** makes a significant contribution to prevention and a reduction in hospital admissions. There are also a number of initiatives across the region that aim to reduce social isolation. There is a need to align resources to ensure synergy between the various funding streams and to avoid duplication. The RJCG have already linked with the third sector in the region to start the process of identifying where support is most needed.

The Torfaen Pathfinder is a Welsh Government pilot focussing on understanding the early years' system and enabling system change to improve outcomes in early years (Torfaen is one of two pilots chosen across Wales). The pilot aligns with the First 1000 days Collaborative Programme outcomes:

- The best possible outcome for every pregnancy
- Children in Wales achieve their developmental milestones at two years of age
- Children are not exposed to or harmed by multiple adverse childhood experiences (ACEs) in the first 1000 days

A First 1000 days strategic group has been established which includes Torfaen leads for Early Years, Family First, Flying Start, anti-poverty programmes and the Aneurin Bevan Gwent Public Health Team. An in-depth mapping of the early years' system has been completed including mapping of all relevant anti-poverty programmes and financial allocations to programmes. Detailed mapping was completed for Flying Start and non-Flying Start areas. The Pathfinder pilot is primarily an early intervention model and will focus on

- exploring the possibility of screening for ACEs during the antenatal and/or during birth visit to enable earlier intervention to occur where required
- exploring the feasibility of developing and implementing a common assessment tool across the early years' provision
- evaluating the role of the healthy babies advisor, and gain an understanding of the future potential
- alignment and integration of the Torfaen First 1000 days programme outcomes with the planning and commissioning of local services, including the anti-poverty programmes, to inform future commissioning arrangements.

A statutory requirement of the Act is for local authorities and health boards to discharge their responsibilities to provide or secure services that help prevent need. Also, as a requirement of the **Wellbeing of Future Generations Act, a preventative**

sustainable principle is clearly set out. There is an opportunity to align both of these important and connected pieces of legislation to focus on preventative services in the future and there is an opportunity for the RPB and local Public Service Boards (PSBs) to adopt one overarching strategic preventative approach across the region.

What we will deliver through regional Area Plan:

- 1. Explore a single prevention agenda across the region with PSBs and linked to Wellbeing of Future Generations and SSWB Acts**
- 2. Align anti-poverty programmes across the region to set out a single preventative model based on consistent assessment principles, joint workforce and joint commissioning**
- 3. Through the implementation of the 'Care Closer to Home' strategy ensure that prevention and early intervention is supported and enabled in a consistent manners across the region**
- 4. Through RJCG work with third sector to maximise and align activity to prevent escalation of need and build on existing models of good practice such as befriending, social prescribing etc. and to promulgate the development of social enterprises and co-operatives where possible.**
- 5. Support Early Years Pathfinder pilot and use key messages to shape early intervention models**

Information Advice and Assistance (IAA)

Promoting well-being involves not only the provision of services to prevent the need for care and support but also the provision of information, advice and assistance that people may need to take control of their day to day lives. There is a duty on local authorities, with support from their local health boards, to ensure the provision of an Information Advice and Assistance (IAA) service for all people in their area, not just people who have an immediate need for care or support.

Local authorities are required to provide an IAA service and **must** include, as a minimum, the publication of information and advice on:

- how the care and support system operates in the local authority area
- the types of care and support available
- how to access the care and support that is available; and
- how to raise concerns about the well-being of a person who appears to have needs for care and support.

The information, advice and assistance service is an opportunity to change the perception of social care and support services in Wales. It must promote early intervention and prevention to ensure that people of all ages can be better supported to achieve their personal outcomes and should be considered to be a preventative service in its own right through the provision of high quality and timely information, advice and assistance. Local Health Boards must provide local authorities with information about the care and support it provides. Other partner organisations, including third and independent sector organisations should also be included.

The regional team facilitate an adult services and children services **practice development group** to support front line practitioners deliver and implement the Act.

The groups have also developed a regional IAA framework and policy to help ensure consistency across the local authorities and ABUHB. Each local authority must take its lead from the RPB on how to design, plan and develop the model for the information, advice and assistance service that will ensure people find information easy to access. Local authorities should produce a communications strategy to promote their information, advice and assistance service and the regional team facilitate a regional **communications group**, where the 5 communication managers meet to develop regional newsletters and consistent messages in relation to the Act. The regional communications group has also developed and published a regional communication and engagement strategy.

Local authorities must use information gathered through the population needs assessment to design, develop and continually improve the IAA service. The IAA performance data for 2016/17 is limited as it is a transition year and an opportunity for local authorities to develop the IAA service. However, interim data has been collected and will be included in the final PNA.

As well as helping to prepare access points to IAA services and/or assessment to implement consistent IAA processes across the region, the regional team have also facilitated the development of the **DEWIS** website which will be a key resource to ensure accurate and timely IAA. **NHS 111 service** is the NHS non-emergency contact number to speak to a highly trained adviser, supported by healthcare professionals who will ask a series of questions to assess symptoms and immediately direct people to the best medical care. Working links between DEWIS and the 111 service are being considered.

What we will deliver through the regional Area Plan

- 1. Further support and develop DEWIS website so it becomes the ‘go to’ place for information on support, advice and assistance.**
- 2. Continue to support consistent information dissemination and stakeholder engagement through regional communications group**
- 3. Use IAA performance management data to inform design of services**

Social enterprises, Cooperatives, User Led Services and the Third Sector

The Act Part 2, section 16 introduces a duty on local authorities to promote the development, in their area, of not for private profit organisations to provide care and support and support for carers, and preventative services. These models include social enterprises, co-operative organisations, co-operative arrangements, user led services and the third sector. The local authority must promote the involvement of people for whom these care and support or preventative services are to be provided, in the design and operation of that provision. The duty to promote means that local authorities must take a proactive approach to planning and delivering models that will meet the well-being needs of all people – children, young people and adults - in promoting models which are based on social values.

Care to Co-operate is a three year project funded by the Welsh Government under the Sustainable Social Services Third Sector Grant Scheme. It has been developed in partnership with the Social Co-operation Forum and will be delivered by the Wales Co-

operative Centre. Care to Co-operate will support the development of social co-operatives, social enterprises and consortia that exist to provide opportunities and services, which make a real difference to people's lives. There are examples of user led services developing across the region – recently a Dementia Friendly Community group in Blaenau Gwent – and the Transformation Team will work closely with the Wales Co-operative Centre and the third sector to ensure the regional Area Plan will set in place clear actions and targets to support community assets at an individual, community and population level can help create support in local communities.

Workforce Development

The region has a Workforce Development Board and delivery plan which is monitored by the Board. Focus has been on supporting staff to ensure they are trained and skilled to implement and deliver the Act. Workforce Development managers and the regional Transformation Team meet regularly, prior to the board to ensure consistent developments across the workforce, joint training and continuous development of the regional training plan.

The regional has developed an Organisational Development management programme this year which focused on the delivery of the Act and the requirement to change the culture within organisations and measure performance. A programme was developed which included middle managers from both social care and health. This has resulted in us focusing on the wider integration agenda and we are developing a further management programme to deliver on the 'Care Closer to Home' strategy. This is in the early stages and we are working with Workforce Development leads in ABUHB to present an outline proposal to the regional Leadership Group. At an operational level we ensure that those local authorities that were not part of the 'Outcome/Collaborative Conversations' pilot training are supported in the interim, and will continue to support the training in the future.

Local Workforce Development Managers and the regional Transformation team form part of a National Social Services and Wellbeing Act Workforce Development Group. The group ensures coordinated development across Welsh Government, Care Council for Wales and regional and Workforce Development teams. It is not clear as yet if this group will continue to meet as the DTG will form part of the RSG.

What we will deliver through the regional Area Plan

- 1. Continue to support delivery of regional WFD Board work programme and facilitate national links through national group**

Links to National Groups

The regional Transformation Team has supported a number of Welsh Government national task and finish groups to help prepare for the implementation of the Act. Health and social care principles still require further development as the regions implement the Act and specific work streams have been formalised through the Association of Directors Social Services (ADSS)

- *Business Intelligence* – The objective is to influence and support national consistency in the implementation of the performance measurement framework and associated business intelligence processes and also influence the introduction of underpinning systems such as WCCIS and DEWIS (a regional Business Intelligence group with membership from the 5 local authority social services business managers feeds into this group)
- *New Approaches to Practice* – the objective is to support the development of new approaches to processes and practice in areas such as advocacy, assessment, eligibility, care planning and the information, advice and assistance service (Regional Practice Development groups for Adult and Children Services feeds into this group)
- *New Ways of Working* – The objective is to support the development of new models of service including preventative services, commissioning and social enterprises responding to population assessments.

The Transformation Team represent regional views on each of the ADSS groups. The Welsh Local Government Association (WLGA) and Social Services Improvement Agency (SSIA) coordinate a Population Needs Assessment development group and the Transformation Team are also represented.

Advocacy

Under Section 145 of the Social Services and Well-being Act, Welsh Government issued and consulted upon a draft code of practice in relation to advocacy. It is a principle of the Act that a local authority respond in a person-centred, co-productive way to each individual's particular circumstances. Individuals and their families must be able to participate fully in the process of determining and meeting their well-being outcomes through a process that is accessible to them. The code also sets out the requirements for local authorities to:

- Ensure that access to advocacy services and support is available to enable individuals to engage and participate when local authorities are exercising statutory duties in relation to them and;
- To arrange an independent professional advocate to facilitate the involvement of individuals in certain circumstances.

Local authorities must arrange for the provision of an independent professional advocate when a person can only overcome the barrier(s) to *participate fully in the assessment, care and support planning, review and safeguarding processes* with assistance from an appropriate individual, but there is no appropriate individual available.

Advocacy can be a preventative service in itself and will be considered as part of the range and level of services required to meet identified need. The Transformation Team have already started to map advocacy provision across the region and consider potential options going forward.

The regional provider forum includes members from the third sector including Age Cymru who have developed the '**Golden Thread Advocacy Programme**' which has been funded by Welsh Government for 3 years to run alongside and support the

implementation of Part 10 of the Social Services and Well-being (Wales) Act 2014. The programme's key aims are

- To support the commissioning of independent professional advocacy through a sustainable, strategic approach.
- To improve the availability of advocacy services to adults across Wales
- To improve the well-being of individuals through advocacy and to give them a stronger voice

Through the regional Area Plan we will bring third sector partners and commissioning teams to fully map advocacy services and identify good practice and gaps in provision. We will also promote independent advocacy provision and work closely with the third sector umbrella organisations to identify solutions.

Care Council for Wales have developed a specific Advocacy training module, and this is set to be taken forward in 2017.

What we will deliver through the regional Area Plan

- 1. Alignment of advocacy provision to identified priorities across partner agencies**
- 2. Support Golden Thread Advocacy Programme across the region through regional provider forum**
- 3. Joint approach to advocacy provision with third sector partners especially in promotion of independent advocacy**

Transitions

The transition process between a service/support can be an anxious and sometimes vulnerable time for any person but especially for young people and their families. During this period young people may stop receiving health services that they may have had since a very young age and move on to equivalent adult services which can be structured and funded differently. The Social Services and Well-being (Wales) Act is an all-age Act so addresses issues relating to transition. The Regional Partnership Board has responsibility for ensuring there are services, care and support to meet the needs of all people in the region and hence will ensure there is an effective partnership working between ABUHB and local authorities.

There is a statutory requirement on schools to organise transition planning for their pupils with special educational needs. Adults may move from one organisational support service in health to other support services in social care. Also, adults, children and families are transient and will move across local authority boundaries. The key groups for effective transition across the 8 PNA core themes are

- **Autism Spectrum Disorder** – Welsh Government have developed an ASD Strategic Action Plan and priorities will be implemented locally
- **Disabled Children** – effective planning between health and social care
- **Looked After Children** especially in relation to 'When I am ready'
- **Preventions** – national preventative programmes such as Families First and Supporting People operate in each area and effective transition between

programmes and local authorities when people move is required to ensure seamless portability

National Outcomes Framework (NOF)

In identifying the range and level of services necessary to meet need, local authorities and Local Health Boards **must** be informed by the National Outcomes Framework (NOF). The NOF is made up of the well-being statement, which articulates what the Welsh Government expects for people who need care and support, and outcome indicators to measure whether well-being is being achieved. When the data is available and published the PNA and corresponding regional Area Plan will seek to ensure that we will use the NOF in identifying the level of services necessary to meet need.

Equality Impact Assessment

Local authorities and Local Health Boards must undertake an Equality Impact Assessment as part of the process of undertaking a population assessment, which must include impact assessments on; Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion and Beliefs, Sex and Sexual Orientation. We will expand on EIA in the final PNA but it is likely that the regional Area Plan will set out detailed actions required to implement key findings from the PNA and an EIA will be more effective at the plan level.

Links to Wellbeing of Future Generations Act

The Social Services and Wellbeing Act shares similar principles with a number of key national/regional strategies, and in particular the Wellbeing of Future Generations (WFG) Act. There are a number of key areas where the Acts compliment and reinforce the need for a collaborative approach

- **Principles** – under the WFG Act specific sustainable principles are set out which are similar to the principles under the Social Services and Wellbeing Act (early intervention, prevention, partnership working, co-production) and there is an opportunity to align work streams.
- **Population Assessments** – a statutory requirement of the WFG Act is to undertake a Wellbeing Assessment of the whole population in a local authority area. This PNA has been produced alongside Wellbeing Assessment in each local authority to avoid duplication. A regional Gwent Strategic Wellbeing Assessment Group (GSWAG) has overseen the coordination of the alignment of both assessments and the Transformation Team are members of the group.
- **Partnership Governance** – there are statutory duties under each Act to establish a partnership to oversee the implementation of each Act. Under the SSWB Act Regional Partnership Boards (PPB) are established across regions and under the WFG Act Public Service Boards (PSB) are included on a statutory footing in each local authority area. The work of both boards to promote wellbeing is clear and alignment of work streams will be beneficial to avoid duplication and create synergy between partners.

- **Service Mapping** – there will be a need to understand the levels of service available across the region and in local communities to maximise resources. The close working between the RPB and local PSBs will facilitate a joint mapping of services and identify where there are gaps in provision.
- **Action Planning** – both Acts set out arrangements for action plans following population assessments – regional Area Plan under the SSWB Act and Wellbeing Plans under the WFG Act. An alignment of the corresponding action plans will avoid duplication of priorities and focussed activity for specific priorities. A ‘common language’ and template will also ensure good ‘read across’ the plans.

Secure Estate

Population assessments must take account of the care and support needs of populations from the secure estate in order to fulfil the requirements of section 11 of the Act. The code of practice in relation to part 11 contains full details in relation to local authority’s responsibility for the care and support for those in the secure estate. Monmouthshire is the only local authority in the region where secure estates are located. The Transformation Team have supported training to staff and management to ensure elements of the Act are being planned and implemented. The regional Area Plan will include details on actions required to implement the statutory duties in the Act.

Next steps and Regional Area Plan

The 2015 partnership arrangement regulations require local authorities and LHBs to form partnerships in order to carry out the population assessments required by section 14(1) of the 2014 Act. The area plans required to be prepared by local authorities and Local Health Boards under section 14A should also be prepared on a joint basis. Developing an area plan jointly will create consistency with the combined population assessment process and contribute significantly to the objective of integrated and sustainable care and support services. It will also enable partners to discharge the section 14A(2)(f) duty in the 2014 Act to set out the details of anything they propose to do jointly in response to the population assessment. The area plan should set out the specific care and support services proposed to be provided or arranged in relation to each core theme and in how actions will be delivered

- jointly by partners;
- by each individual local authority; and
- by the Local Health Board.

This PNA has highlighted high level priorities under each core theme and necessary process developments required to implement the priorities. The basis of the Area Plan will be the priorities under each core theme and process developments. There are two types of suggestions actions

1. Actions required to improve **outcomes** for people and promote wellbeing
2. Actions to improve regional **processes**

The high level actions to progress through the Regional Area Plan are below and we will develop a more robust analysis of actions required to deliver outcomes through the development of the Area Plan. We will also set out in detail the process actions required to develop a regional approach.

High level Actions to be progressed through Area Plan

CORE THEME	Actions to be progressed through regional Area Plan
Children & Young People	<ul style="list-style-type: none"> ▪ Support Children and Family Partnership Board's review of local arrangements for children with complex needs and delivery of work programme. ▪ Consistent models of practice and alignment of Welsh Government's early intervention and preventative programmes
Older People	<ul style="list-style-type: none"> ▪ Develop place based approach '<i>Care Closer to Home</i>' including consistent delivery of community connectors across the region ▪ Further develop '<i>Dementia Friendly Communities</i>' ▪ Pilot domiciliary care joint commissioning process with National Commissioning Board and linked to Care Standards Social Improvement Wales 'Above and Beyond' Report and the 'Care and Support at Home' Strategic Plan currently being developed by Care Council for Wales.
Health/ Physical Disabilities	<ul style="list-style-type: none"> ▪ Implement 'Care Closer to Home' Strategy ▪ Align with 5 local Wellbeing Assessments required under Wellbeing of Future Generations Act and explore joint action planning for wider detriments to health
Learning Disabilities/ Autism	<ul style="list-style-type: none"> ▪ Support Mental Health and Learning Disability Partnership Board review Gwent Strategy for Adults with a Learning Disability 2012/17 and set out key regional commissioning, integration actions ▪ Local implementation of Welsh Strategic Action Plan including development of new Integrated Autism Service.
Mental Health	<ul style="list-style-type: none"> ▪ Review of and align regional strategies to Together for Mental Health Delivery plan ▪ Coordination of consistent community based services such as community connectors/social prescribers ▪ Multi-agency place based models which include wider partners such as Housing Associations, employment support and community programmes ▪ Accurate Information, Advice and Assistance through DEWIS and Five Ways to Wellbeing
Sensory Impairment	<ul style="list-style-type: none"> ▪ Use good practice and effective pathways to develop regional commissioning principles ▪ Ensure accurate, accessible and timely Information, Advice and Assistance through DEWIS and other means ▪ Work in partnership with third sector to identify new models to support rehabilitation process and supply of low vision tools.

<p>Carers</p>	<ul style="list-style-type: none"> ▪ Coordination of consistent community based services such as community connectors/social prescribers to identify and support carers ▪ Review of medical prompting to better support carers ▪ Accurate Information, Advice and Assistance through DEWIS and Five Ways to Wellbeing ▪ Review of and align third sector commissioning principles to support befriending for carers requiring support ▪ Ensure that the implementation of the care closer to home strategy increases the community level support for carers ▪ Consistent commissioning across health and social care to ensure equitable, region wide and effective models of carer support
<p>Violence against women domestic abuse and sexual violence</p>	<ul style="list-style-type: none"> ▪ Implementation of 'Ask and Act' as part of Welsh Government pilot. ▪ Strategic alignment with VAWDASV Board, needs assessment and strategic plan.

High Level Process Development Actions to be delivered through Regional Area Plan

Service Mapping	<ul style="list-style-type: none"> ▪ Continue to build on existing service mapping through the 'Care Closer to Home' strategy, Regional Joint Commissioning work stream and Supporting People programme and link specifically to priorities identified therein
Health & Social Care Integration	<ul style="list-style-type: none"> ▪ Further develop and enhance the DEWIS website so it becomes the primary directory of resources for the region ▪ Work with PSBs to ensure wider service mapping is integrated with that of Health and social care as an important step towards the creation of a public service response at community level
Health & Social Care Integration	<ul style="list-style-type: none"> ▪ Integration of care and support provision to key client groups as set out in Part 9 of the Act and emphasised through RPBs Statements of Strategic Intent for older people, children with complex needs and carers, as well as strategy statements for Mental Health and Learning Disability (including Autism) ▪ Adopt a place based approach through 'Care Closer to Home' strategy as foundation stone that underpins health and social care service integration
Joint Commissioning and Pooled Budgets	<ul style="list-style-type: none"> ▪ Implement RJCG action plan to deliver joint commissioning arrangements for identified priorities for Act Part 9 requirements.
Joint Commissioning and Pooled Budgets	<ul style="list-style-type: none"> ▪ Continue to link with National Commissioning Board to progress national work priorities and proposals across the region
Preventative Services	<ul style="list-style-type: none"> ▪ Explore a single prevention agenda across the region with PSBs and linked to Wellbeing of Future Generations and SSWB Acts ▪ Align anti-poverty programmes across the region to set out a single preventative model based on consistent assessment principles, joint workforce and joint commissioning ▪ Through the implementation of the 'Care Closer to Home' strategy ensure that prevention and early intervention is supported and enabled in a consistent manner across the region ▪ Through RJCG work with third sector to maximise and align activity to prevent escalation of need and build on existing models of good practice such as befriending, social prescribing etc. and to promulgate the development of social enterprises and co-operatives where possible. ▪ Support Early Years Pathfinder pilot and use key messages to shape early intervention models
Information, Advice and Assistance	<ul style="list-style-type: none"> ▪ Further support and develop DEWIS website so it becomes the 'go to' place for information on support, advice and assistance.

	<ul style="list-style-type: none"> ▪ Continue to support consistent information dissemination and stakeholder engagement through regional communications group
	<ul style="list-style-type: none"> ▪ Use IAA performance management data to inform design of services
	<ul style="list-style-type: none"> ▪ To support further initiatives across the region that supports consistency of approach to IAA e.g. self-assessment exercises, peer reviews
	<ul style="list-style-type: none"> ▪ To work with regional workforce managers and Social Care Wales to ensure that cultural change programmes are embedded and on-going
Advocacy	<ul style="list-style-type: none"> ▪ Alignment of advocacy provision to identified priorities across partner agencies
	<ul style="list-style-type: none"> ▪ Support Golden Thread Advocacy Programme across the region through regional provider forum
	<ul style="list-style-type: none"> ▪ Joint approach to advocacy provision with third sector partners especially in promotion of independent advocacy

Appendix

- A number of the appendices referred to throughout this PNA are still being developed and some plans such as local authority Wellbeing Plans required under the Wellbeing of Future Generation Act are currently going through a consultation phase.
- This PNA would be too large a document if the appendices were 'embedded'
- The final PNA will include a comprehensive list of appendices and hyperlinks but for the consultation phase a list has been highlighted below
- The appendices will be used throughout the consultation phase, however if you wish to view the documents separately, please contact phil.diamond@torgaen.gov.uk

Appendices source list

1. Social Services and Wellbeing Act Data Catalogue report
 2. Regional Wellbeing of Future Generations Act data report
 - a. Blaenau Gwent Wellbeing Assessment
 - b. Caerphilly Wellbeing Assessment
 - c. Monmouthshire Wellbeing Assessment
 - d. Newport Wellbeing Assessment
 - e. Torfaen Wellbeing Assessment
 3. Care Closer to Home report
 4. Supporting People Regional Plan
 5. Regional Partnership Board Statements of Intent
 - a. Children with complex needs
 - b. Older People
 - c. Carers
 6. Terms of Reference Citizen Panel
 7. Terms of Reference Citizen Panel
 8. Regional IAA policy
 9. Transformation Team Advocacy Report
 10. Transformation IAA Report
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Report

Council

Part 1

Date: 23rd January 2017

Item No:

Subject Improvement Plan Review for 2017-18

Purpose To present Council with a review of the Improvement Plan content that will ensure that the content remains relevant for 2017-18.

Author Rhys Cornwall, Head of People and Business Change
Mike Dickie, Business Improvement Manager
Rachel Kalahar, Senior Performance Management Officer

Ward All

Summary The purpose of the Improvement Plan is to enable the authority to evidence that it has discharged its duty to make arrangements to secure continuous improvement (Local Government Measure 2009).

The Improvement Plan builds upon the council's Corporate Plan and the Local Service Board's Single Integrated Plan, and is informed by stakeholder consultation and engagement, Member involvement and feedback from regulators.

In April 2016 Cabinet and Council endorsed the Improvement Plan 2016-18, it contains eight improvement objectives in which the council will seek to demonstrate measurable improvement.

The Plan covers a 2 year period and as such a review at this point will ensure that the content of the objectives set at the start of 2016 is updated to remain relevant and meaningful for the second year.

Proposal Council are requested to adopt the updated version of the Improvement Plan 2016-18

Action by Strategic Directors and Heads of Service

Timetable This report was prepared after consultation with:

- Scrutiny Committees
- Chief Executive
- Strategic Directors
- Heads of Service

Signed

Background

The purpose of the Improvement Plan is to enable the authority to evidence that it has discharged its duty to make arrangements to secure continuous improvement. (Local Government Measure 2009) In order to clearly demonstrate that the council is fulfilling this duty, eight discrete priority areas have been identified in which measurable improvement should be demonstrated during 2016-18.

The current Improvement Plan covers the period 2016-18 and whilst the objectives endorsed by Cabinet in April 2016 remain the same the content of each objective has been reviewed to ensure that it remains relevant for 2017/18.

The eight Improvement Objectives (which relate directly to the priorities of the Corporate Plan) and where selected following consideration of consultation responses and reflect the eight most voted for themes of the consultation.

Performance measures are included in the Improvement Plan to help monitor the success of activities some of the measures used here are also reported nationally. The National Strategic indicators (NSI) were revoked in July 2016 to remove 'the existing burden of compliance when resources are more limited and need to be to be used more efficiently to deliver Local Government services'. However many have now been included in the Public Accountability Measures (PAM) data set which is collected by the Data Unit Wales to compare the performance of Welsh Local Authorities, this comparison is then published. Changes to measures are reflected in the objectives below.

The programme of Local Government Reform and the introduction of the Well Being of Future Generations (Wales) Act 2015, mean that local authority performance frameworks are changing to allow local authorities to focus on working more effectively to deliver the wellbeing goals.

The eight Improvement Objectives were considered by Scrutiny meetings which were held in February to enable members' to input into the Improvement Plan 2016-18, feedback from Scrutiny was taken into account when compiling the full plan. The reviewed objectives accompanied the mid-year service plan reviews which were considered by Scrutiny Committees in November.

A Caring City

- *Improving independent living for older people*
- *Ensuring people have the right social services to meet their needs*

A Fairer City

- *Ensuring people have access to suitable accommodation*

A Learning & Working City

- *City Regeneration and Development*
- *Supporting young people into education, employment or training*
- *Ensuring the best educational outcomes for children*

A Greener and Healthier City

- *Increasing recycling*

- *Preventing Offending and Re-offending of young people*

Financial Summary

As started by the Chief Financial Officer there are no direct financial implications stemming from this report as actions under the Improvement Plan are included in the Service Improvement Plans

Risks

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
That the council's plans and projects do not have the desired impact on the city	H	M	The council will assess the impact of its actions on an ongoing basis and enable adjustments to actions and policies to be brought forward as the need arises	Heads of Service
That major impacts are not properly monitored due to faulty assessment of risk and/or impact	H	L	Quarterly reporting to cabinet, together with opportunity for scrutiny reviews will enable adjustments to monitoring regime to be implemented as the need arises	Head of Service
That on-going monitoring impedes progress on project delivery	H	L	The assessment criteria for monitoring progress are designed to ensure monitoring is proportionate to impact and purpose. This will be reassessed as part of the on-going reporting process	Chief Executive / Strategic Directors
That the content of the Improvement Plan Objectives 2016-18 becomes irrelevant or undeliverable in 2017/18.	H	L	This review of objectives will mitigate the risk of planned actions becoming undeliverable or irrelevant by taking into account the ongoing budget situation and changes to legislation.	Heads of Service

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

The Improvement Plan directly contributes towards the Corporate Plan.

Options Available and considered

1. To adopt the updated version of the Improvement Plan and
2. Not to adopt the updated version of the Improvement Plan

Preferred Option and Why

Option 1) is preferred in that it takes account of our current position and provides a plan for continued improvement within the framework of the Council's Corporate Plan.

Comments of Chief Financial Officer

There are no direct financial implications stemming from this report. The financial implication of individual projects are reported as part of the on-going medium term financial planning and budget monitoring processes and in that respect, having clear responsibility and accountability for delivering the projects and managing resources is key.

Comments of Monitoring Officer

The details set out in this report reflect the requirements of the Local Government Measure. The approach for monitoring progress against corporate priorities and strategies is consistent with the Council's performance management framework and risk management principles.

Comments of Head of People and Business Change

There are no direct staffing implications as a result of this report. The Improvement Plan 2016-18, gives clarity of vision which should help employees, managers and stakeholders understand our corporate priorities, how they are being assessed and what this means for the people of Newport. This review of the content of each objective ensures that it remains deliverable and relevant in 2017/18 and more closely linked to the priorities of the Wellbeing of Future Generations (Wales) Act 2015.

Comments of Cabinet Member

The Chair of Cabinet has been consulted and has agreed that this report goes forward to Cabinet for consideration.

Local issues

None

Scrutiny Committees

The updated Improvement Objectives were presented to scrutiny committees along with the mid-year service plan reviews for consideration.

Streetscene, Regeneration and Safety Scrutiny Committee - 17th November 2016
Community Planning and Development Scrutiny Committee - 23rd November 2016
Learning Caring and Leisure Scrutiny Committee – 30th November 2016

Equalities Impact Assessment and the Equalities Act 2010

The Equality Act 2010 contains a Public Sector Equality Duty which came into force on 06 April 2011. The Act identifies a number of 'protected characteristics', namely age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; sexual orientation; marriage and civil partnership. The new single duty aims to integrate consideration of equality and good relations into the regular business of public authorities. Compliance with the duty is a legal obligation and is intended to result in better informed decision-making and policy development and services that are more effective for users.

In exercising its functions, the Council must have due regard to the need to: eliminate unlawful discrimination, harassment, victimisation and other conduct that is prohibited by the Act; advance equality of opportunity between persons who share a protected characteristic and those who do not; and foster good relations between persons who share a protected characteristic and those who do not. The Act is not overly prescriptive about the approach a public authority should take to ensure due regard, although it does set out that due regard to advancing equality involves: removing or minimising disadvantages suffered by people due to their protected characteristics; taking steps to meet the needs of people from protected groups where these differ from the need of other people; and encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

Children and Families (Wales) Measure

Although no targeted consultation takes place specifically aimed at children and young people, consultation on planning applications and appeals is open to all of our citizens regardless of their age. Depending on the scale of the proposed development, applications are publicised via letters to neighbouring occupiers, site notices, press notices and/or social media. People replying to consultations are not required to provide their age or any other personal data, and therefore this data is not held or recorded in any way, and responses are not separated out by age.

Wellbeing of Future Generations (Wales) Act 2015

The guidance on the Act is clear – it requires public bodies to maximise their contribution to improving the wellbeing of Wales. The Act provides a framework for better decision making by ensuring public bodies take account of the **long term**, focus on **prevention**, take an **integrated** and **collaborative** approach, and **involve** people in policy making and planning and delivery of services.

The Act places a duty on the public sector to:

- Adopt the Sustainable Development Principle
- Work towards 7 national wellbeing goals
- Focus work on future generations
- Take a central role in the establishment and scrutiny of a Public Services Board (PSB)
- Take a central role in the development of a Wellbeing Plan based on a long term needs assessment
- Respond to a new accountability framework including reporting and review by the Auditor General Wales

The Act has implications for how the local authority will work in future and Part 2 of the Act places an individual wellbeing duty on public bodies. Key areas where change needs to happen include:

- Corporate Planning
- Risk Management
- Workforce Planning
- Performance Management
- Financial Planning
- Procurement
- Assets

The Wellbeing of Future Generations Act 2015 which came into force in April 2016 sets the context for the move towards long term planning of services. A programme of training for senior management and elected members is underway so that the wide-ranging and transformational implications of the Act are understood and can be embedded in the Council's ways of working.

Key documents and processes have been revised so that they incorporate sustainable development and wellbeing principles. Over the last three years extensive public engagement has been undertaken in relation to setting service delivery priorities and identifying which services matter most to people, and contribute to their wellbeing. This will continue to inform future planning.

Crime and Disorder Act 1998

Section 17(1) of the Crime and Disorder Act 1998 imposes a duty on the Local Authority to exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent, crime and disorder in its area.

Consultation

Our Improvement Plan 2016-18 consultation commenced on the 17th October; participants were asked to indicate their top three priorities from a list of twelve.

A number of ways to engage the public, staff and members were employed. Face to face public consultations took place at Newport Centre, Newport International Sports Village, the Information Station, the Riverfront Theatre, Central Library and Ringland Library. A citizens' panel survey was sent electronically to panel members and a web-based survey for members of the public was hosted on the www.newport.gov.uk webpages. The survey was publicised via Facebook and Twitter.

The Performance Team also conducted some face to face 'dot' voting with staff at the Civic Centre and Information Station. The Team also attended a meeting with the Fairness Commission where the main report was presented for consideration. All Councillors have also been invited to participate in the consultation via a paper questionnaire. The consultation concluded on 18th December.

Consultation Results

The results of the Elected Member, staff and public consultations are shown in the table below, each participant had three votes. There were over 625 participants in this consultation, an 18% increase on the responses from this exercise last year. It should be noted that this consultation can be considered to be statistically significant of the population of Newport (95% confident that the maximum error rate is 5%).

Each participant in the consultation was offered three 'votes':

Priority	Responses
Supporting young people into education, employment or training (learning and working) 1st	297
City Regeneration and development (learning and working) 2nd	239
Improving Independent living for older people (caring) 3rd	213
Ensuring people have the right social services to meet their needs (caring) 4th	210
Improving educational outcomes for children (learning and working) 5th	184
Ensuring people have access to suitable accommodation (fairer) 6th	166
Preventing offending and re-offending of young people (safer) 7th	142
Increasing Recycling (green and healthy) 8th	142
Supporting older people leaving hospital (caring) 9 th	136
Promoting the Welsh language (fairer) 10 th	64
Food safety within environmental health (green and healthy) 11 th	50
Providing business and homes with faster broadband (learning and working) 12 th	35

Response from the Fairness Commission

On 28th September 2015 the Fairness Commission were consulted on the potential priorities for inclusion in the Improvement Plan 16/17. The response from the Commission can be found on the link below:

<https://democracy.newport.gov.uk/documents/s3948/IP%20report%20and%20cover%20sheet%20for%20cabinet%2023DEC%20v1.pdf>

Improvement Priorities Selected

At the Cabinet meeting on 11th January 2016, members were offered a set of options in order to select Improvement Priorities for 16/17. Cabinet selected option one, resulting in the following eight priorities being included in the Improvement Plan for 16/17

The option chosen by Cabinet reflects the eight themes which were most voted for in the consultation, the priorities are broadly the same as 2015/16 with a few changes; the priorities for the 2015/16 Improvement Plan were as follows:

1. Supporting Older People leaving hospital
2. Improving care and support services for adults
3. Developing and Regenerating the City
4. Supporting young people into education, employment or training
5. Ensuring the best educational outcomes for children
6. Helping Children have a flying start in life
7. Increasing recycling
8. Improving outcomes for youth justice

Background Papers

Cabinet Report - Improvement Plan 2016-18 - 11th April 2016

Dated: January 2017

Appendix 1

Improvement Objective 1

Improving Independent Living for Older People

[Link to Corporate Plan: A Caring City](#)

[Link to Wellbeing Goals: A healthier Wales, A more equal Wales, A Wales of Cohesive Communities](#)

[Lead Cabinet Members: Cabinet Member for Adult Social Care and Housing](#)

[Lead Officer: Head of Adult and Community Services](#)

What is the Improvement Objective?

As part of the Primary and Community Services Strategy for Wales, 'Setting the Direction', published in 2009, Health Boards across Wales have established a framework for primary and community service delivery called GP Clusters. In Aneurin Bevan University Health Board the concept has been broadened, recognising the contribution made by partner agencies, and the clusters are known as Neighbourhood Care Networks (NCN's). The NCN is a collaborative network comprising all Primary Care, health and social care community providers operating within the boundaries of the geographical footprint.

There are three NCN's established across Newport covering West, East and North of the city, with boundaries which broadly coincide with the Team around the Cluster boundaries, and they have a adopted range of priorities to improve the health and wellbeing of the population, many of which are contributors to the Health and Wellbeing theme work to deliver the Newport Single Integrated Plan.

Newport City Council Adults Social Services has been working with colleagues from Aneurin Bevan University Health Board (ABUHB) to develop an integrated pathway for older people which aims to identify those most at risk of needing health and social care services in the future. This has involved working with GP's and the voluntary sector to put in place individuals plans called "Stay Well Plans" to sustain people in their home and support their taking responsibility for their own well being and using community based support and use of preventative services such as befriending.

Why have we chosen this Improvement Objective? / Why is it important?

- The number of older people who receive timely advice and assistance will be improved through the roll out of the integrated older people's pathway and a cohort of older people will have a "Stay Well" plan in place.
- To continue to increase the percentage of people who receive a frailty/reablement intervention, have a reduced or no on-going care package that is; they have been reabled to full independence.
- This objective will contribute to the Well-being goals especially 'A healthier Wales', 'A more equal Wales' and 'A Wales of cohesive communities'

What have we done so far?

The NCNs in Newport have progressed over the last 2 years with the development of local plans that are based upon detail of the health and social care needs of the individual NCNs. In Newport they have led to the establishment of an Integrated Older Person's Preventions Pathway which has been piloted in one GP practice and will be rolled out across the City over the next 12 months. In conjunction with Age Cymru a Care Facilitator role has been developed which works with an identified group of older people with health and social care needs to help them more effectively managed their situation through the use of "Stay Well Plans".

The effectiveness of these interventions is being evaluated through some key performance data including a target to reduce the number of GP and Nurse contacts and unplanned Accident & Emergency visits. In addition we are recording the views of older people on the effectiveness of the service and we are also recording additional benefits such as increasing financial resources as a result of welfare benefit advice.

In addition, the adult social services teams are discussing the future structures and configuration needed to most effectively deliver their responsibilities under the SSWB Act. A move towards alignment with the NCN footprints would enable us to take advantage of further opportunities for colocation and integration of service delivery as they arise.

What are we going to do?

What are we going to do this year?	What difference will it make?
1.1 To deliver an integrated assessment process for older people based on the models developed in support of the Social Services & Well Being Act.	This will fulfil our responsibilities under the Social Services Act (2014) for implementation in 2016 and deliver an integrated approach for the benefit of older people.
1.2 To roll out the integrated pathway for older people needing care and support in the community across the NCN's in Newport.	To increase the number of older people who have a Stay Well plan in place to support their independence and well-being.
1.3 Restructure the operational adult social services teams on the NCN footprints.	Improving team structure will improve contact arrangements for people should their needs change, i.e. knowing which team clearly holds responsibility for their case work.

How will we know?

A number of changes have been made to the performance indicators we are required to report on over the period covered by this improvement plan including the NSI data collection and also the National Outcomes Framework to support the implementation of the Social Services and Wellbeing (Wales) Act. This will mean that some of the performance indicators and targets set out below have been updated to reflect this.

Measure		Performance 15/16	Target for 16/17	Current Performance (Q2 2016/17)	Target Changes	
How much did we do?						
1a Provision of Telecare packages		847	1000	1,014		
1b OT Assessment & Reviews		84%	85%	91.6%		
1c Reablement – Number of people fully reabled		411	450		To be removed and replaced with the measure below which is part of the Social Services National Set	
How well did we do it?						
1d The percentage of adults who completed a period of reablement have no package of care and support 6 months later		N/A	40% to review after 6 months		To be removed and replaced with the measure below which is part of the Social Services National Set	
1d	The percentage of adults who completed a period of reablement	a)and have a reduced package of care and support 6 months later	N/A	New Measure	Annual measure – data not yet available	a) 65%
		b)have no package of care and support 6 months later	N/A	40%	Annual measure – data not yet available	b) 40% annual figures to be reported at the year end
Is anyone better off?						
1e The percentage of adults who have received advice and assistance from the information, advice and assistance service and have not contacted the service again (Over 75)		N/A	38%	Annual measure – data not yet available	50% target reviewed and increased	

Partnership & Collaboration: Who do we need to work with?

Stakeholder engagements events called Well Being workshops are planned for March and April with people and carers, voluntary organisations and professionals to introduce them to the older person's pathway and the Stay Well Plan

What risks do we need to manage and prevent?

Risk	Mitigation Activity	Risk Rating March 2016	Current Risk Rating
The funding for the establishment of the NCN's is via a granted future funding arrangements will need to be considered in partnership with ABUHB	To work with ABUHG to identify alternative funding streams to support the roll out of the OP Pathway.	Medium	Medium
Impact of Adult Social Services Resources	To ensure that the roll out of the Older Person's pathway is compatible with Adult Social Services strategic outcomes and plans.	Low	Low

Is there a budget available to deliver improvement?

Action	Identified funding to deliver improvement (£'000)	Additional Financial comments
1.1 To deliver an integrated assessment process for older people in 2015/16 based on the models developed in support of the Social Services & Well Being Act.	£1,976	The budgets available to deliver this improvement objective have been identified from a number of areas involved in the assessment process.
1.2 To roll out the integrated pathway for older people needing care and support in the community across the NCN's in Newport.	£2,248	This budget includes Frailty services, telecare services, integrated equipment budget and £550,000 of Intermediate Care Fund external grant funding. Confirmation is awaited on the level of ICF funding for 1617.
1.3 Restructure the operational adult social services teams on the NCN footprints.	£1,378	This includes team budgets being restructured on NCN footprints

Improvement Objective 2

Ensuring people have the right social services to meet their needs

Link to Corporate Plan: A Caring City

Link to Wellbeing Goals: A healthier Wales, A more equal Wales, A Wales of Cohesive Communities

Lead Cabinet Members: Cabinet Member for Adult Social Care and Housing

Lead Officer: Head of Adult and Community Services

What is the Improvement Objective?

The implementation of the Social Services and Well Being Act (SSWB Act) will mean that we will be expected to work in partnership with the people who need the support of social services and also people who fulfil a caring role. We will help people identify and fulfil the outcomes they want to achieve, where possible utilising their ideas and preferences with an emphasis on co-production and use their own ideas and resources. We will be expected to help people with care and support needs to stay safe whilst promoting their independence and control whilst supporting positive risk taking through the provision of high quality care and support services.

We are working with colleagues in developing an integrated assessment process for older people across health and social care and will be working to an all Wales eligibility process for people who need care and support. We will also need to ensure people have access to the right services to meet their outcomes whether these are services that we directly commission, services they may use in their local communities or when they arrange their own care and support through the use of a direct payment.

Why have we chosen this Improvement Objective? / Why is it important?

The development of a National Outcomes Framework for Social services will capture how we are achieving the objectives of the SSWB Act. This includes making sure people have access to timely information and advice and are given help to develop their support and care arrangements including co-production. The Council will have responsibility through commissioning role for ensuring that people can access the support they need to manage their care and high quality services, even where these are not directly contracted by the Council.

Prevention and Early Intervention will be essential in and will be delivered through an integrated approach with the NHS including the development of the Neighbourhood Care Networks and the development of the Older Person's Integrated Pathway project.

We will also need to ensure that staff and partner agencies such as our providers and third sector partners understand the SSWB Act and how this will impact on social services and what their contribution will be.

What have we done so far?

We have developed an adult services pathway for people accessing social services and have started consultation with staff in the operational teams on the new team structures which will be in place by April 2016. The new teams will be based on the NCN geographical footprint which will enhance our ability to work in an integrated way with colleagues in the NHS and will ensure that the people who have a care and support plan will belong to one team based on where they live rather than the type of condition or service they need.

In line with our responsibilities to improve the information, advice and assistance offer aspect of the SSWB Act 2014, we have started work to review the arrangements for First Contact and will be strengthening the experience people can expect and range of services we offer so that only those people who need to progress further do so. This will include reviewing our current arrangements for access to telecare and improving the efficiency of our systems in the reablement teams.

We have reviewed our arrangements with the third sector and following consultation with our partners in this sector and people who use these services and their carers and have redesigned our commissioning arrangements. The new model will involve developing a lead provider who will be required to establish a collaborative network with other key providers.

What are we going to do?

What are we going to do this year?	What difference will it make?
2.1 Establish the pathway for adult social services across health and social care based on the NCN footprint and ensure we have configured our resources to deliver the new Act	This will clarify what functions and services will be required at each stage of the pathway and clarify
2.2 Restructure the operational adult social services teams.	Improving team structure will improve contact arrangements for people should their needs change, i.e. knowing which team clearly holds responsibility for their case work.
2.3 Develop and implement the integrated assessment tools, including a carers assessment and a care and support plan. Develop the use of mobile technology to capture assessment information and support co-production of care and support plans.	This will fulfil our responsibilities under the Social Services Act (2014) for implementation in 2016
2.4 Review and recommission services as necessary to ensure they are in line with the requirements of the SSWB Act.	This review will ensure people have the right care and support arrangements that support and promote their independence.
2.5 Review and develop our systems and processes to ensure they are in line with the new national outcomes framework for the SSWB Act, including the new requirement to undertake surveys.	Ensure that our reporting arrangements accurately record that we are recording that people have the services they need to achieve their outcomes.
2.6 Under take a Questionnaire of people who have a care and support plan to understand: - _Percentage who reply: I feel safe Percentage who reply: I was treated with dignity and respect Percentage who reply: I can do the things that are important to me	To work with people who have a care and support plan to ensure that they are receiving the right support and services to meet their outcomes.

How will we know?

A number of changes have been made to the performance indicators we are required to report on over the period covered by this improvement plan including the NSI data collection and also the National Outcomes Framework to support the implementation of the Social Services and Wellbeing (Wales) Act. This will mean that some of the performance indicators and targets set out below have been updated to reflect this.

Measure	Performance 15/16	Target for 16/17	Current Performance (Q2 2016/17)	Target Changes
How much did we do?				
2a Number of Integrated Assessments Completed per month	Annual Figure 542	40 per month	743	
2b Support for People in Care Homes	57%	56%		To be removed as already reported in SCA/002 (b)
How well did we do it?				
2c Number of LA residents experiencing DTtoG	32	30		To be removed and replaced with the measure below which is part of the Social Services National Set
2c The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 or over.	4.29 per 1000	2.04 per 1000	1.28 per 1000	4.08 per 1000
2d Carers Offered Assessment or Review	74%	85%		To be removed and replaced
2d Number of assessments of need for support for carers undertaken during the year	New measure	20 per Quarter	72	
Is anyone better off?				
2e Adult Protection Risk Managed	96%	99%		
2e The percentage of adult protection enquiries completed within statutory timescales	New measure	90%	97.9%	

Partnership: Who do we need to work with?

We need to ensure that staff and partner agencies such as our providers and third sector partners understand the SSWB Act and how this will impact on social services and what their contribution will be.

Our teams will need to develop our relationship with the NCN Managers and GP's and other health professionals working within these footprints.

Ensure people that we provide with care and support and their carers understand the changes being made through regular engagement events and consultation.

What risks do we need to manage?

Risk	Mitigation Activity	Risk Rating March 2016	Current Risk Rating
Delivering a new service structure while maintaining the operational delivery and performance outcomes.	Utilisation of agency staff on a managed basis Support staff through change management processes	Medium	Medium
Ensuring that we support the delivery of high quality services through our contract arrangements.	Maintain Quality Assurance of contracted services on a planned basis	Low	Low

Is there a budget available to deliver improvement?

Improvement Objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
2.1 Establish the pathway for adult social services across health and social care based on the NCN footprint and ensure we have configured our resources to deliver the new act	£33,790	The whole of the adult social services budget excluding provider services will be utilised to provide resources which deliver adults social care in accordance with the new act.

Improvement Objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
2.2 Restructure the operational adult social services teams	£2,773	All adults social work teams will be reviewed and placed in the new structure to provide First Contact, Managed care, Integrated Mental Health & Occupational Therapy services.
2.3 Develop and implement the integrated assessment tools, including a carer's assessment and a care and support plan. Develop the use of mobile technology to capture assessment information and support co-production of care and support plans.	£2,191	The integrated assessment tool will be implemented by social work teams responsible for assessments. The budget included here is for those social work teams and budgets which provide support for carers.
2.4 Review and recommission services as necessary to ensure they are in line with the requirements of the SSWB Act	£1,548	Budget for contract payments and team of staff who review and commission contracts. Figure is after 16/17 MTRP savings reduction of £250,000
2.5 Review and develop our systems and processes to ensure they are in line with the new national outcomes framework for the SSWB Act, including the new requirement to undertake surveys	£204	Budget for the performance information team including the SWIFT system

Improvement Objective 3

Ensuring people have access to suitable accommodation

[Link to Corporate Plan](#): A Fairer City

[Link to Well-being Goals](#): A healthier Wales, A more equal Wales, A Wales of cohesive communities

[Lead Cabinet Members](#): Cabinet Member for Regeneration & Investment

[Lead Officer](#): Head of Regeneration, Investment and Housing Services

What is the Improvement Objective?

The objective is to ensure that people have access to suitable accommodation. For most people, their homes are the foundation for everyday life and are critical to their quality of life. Most households are able to find homes through owner-occupation, the social rented sector or, increasingly, the private rental market but we need to make sure that the supply of housing is aligned to local housing needs and that there is help available for individual households who cannot find homes or whose housing is unsuitable, in poor condition or at risk. The housing objective means:

- Securing the provision of a variety of homes for people to rent or buy
- Ensuring that if people's needs change their home can still be made accessible for them
- Minimising the impact of housing crisis on individuals and families.

Why have we chosen this Improvement Objective? / Why is it important?

A successful city needs to have a variety of different homes to rent and buy, for different types of household, so that people can choose where they live and find the right kind of housing for them.

The housing objective supports all of the Well-being goals for future generations but is integral to three. 'Cohesive communities' need the right homes for people to occupy: in the right home and the right area, people feel more settled; they can plan for the future and participate in the local community. With a sense of community, people feel safer and are more likely to support each other. For a 'Healthy Wales', people need homes that are safe and warm, that enable them to maintain continuity of health care, and to join in with activities that help them maintain their physical and mental well-being. To have a 'Prosperous Wales', families need homes where there are opportunities for education, training, and employment, so that people can secure their own economic prosperity and contribute to the local and national economy.

What have we done so far?

Through the Local Housing Market Assessment and the Local Housing Strategy, the Council balances the longer-term housing needs of the city with the interventions needed to support individual households and communities in the short term. The authority has a commitment to provide new affordable homes through both the planning process and through the social housing grant programme. Planning policy is in place to ensure a provision of affordable housing on all sites of 10 or more units in the urban area and on sites of 3 or more in the rural communities. This policy has previously ensured the delivery of affordable homes where new market properties are being developed and has provided mixed and balanced communities throughout the authority area. Unfortunately, due to economic difficulties, the development industry are now requiring a reduction in the amount of affordable housing on sites and this is starting to impact on the delivery of new affordable homes. Each year Welsh Government allocates Newport City Council almost £2 million for the delivery of affordable homes, this allocation is fully committed each year and additional funds are also requested towards year end.

The provision of disabled facilities grants are a statutory function of any local authority and together with safety at home grants ensure that homes are safe and accessible for their residents. Newport has undertaken a thorough review of the process in recent years, making amendments to the process to speed up the delivery of grants and prevent bed blocking in hospitals. Ensuring that people can live safely in their own homes helps to relieve pressure on health and social care services.

Sadly all too often people can lose their home due to financial pressures, this can sometimes be avoided with early intervention and support. The prevention of homelessness rather than the reactive service of providing temporary accommodation for families is seen by all local authorities as good practice; not only because of the significantly improved outcome for the individuals concerned but also because of the reduced costs to the public purse. Newport's Housing Advice Service has assisted many families and individuals in retaining their home and remaining within their communities, the pressures of changes to the welfare benefits system will make this service even more vital in the year ahead.

What are we going to do?

What are we going to do this year?	What difference will it make?
3.1 To secure additional units of affordable housing and bring empty private homes back into use	More good quality, affordable homes will be available in Newport
3.2 To minimise the waiting times for major and minor adaptations	More people with a disability will be able to live independently; fewer will have to go to hospital or residential care because their home is unsuitable, while others will be able to come out of hospital sooner, helping to free up hospital beds
3.3 To prevent people become homeless whenever we can	Families and individuals will not have to face the trauma and disruption of homelessness More people in Newport will be prevented from being made homeless in the first instance and will be able to remain in their existing communities Proportionally fewer people will be placed into emergency accommodation such as hostels and other forms of temporary housing used by the Council

How will we know?

Measure	Performance 15/16	Current Performance (Q2 2016/17)	Target for 16/17	Target Changes
How much did we do?				
3a Number of affordable housing units delivered	142 (2015/16)	Annual measure – data not yet available	60	No changes at this time, the targets for 2017/18 will be included in the 2017/18 Service planning process
3b No. people approaching authority for housing advice and assistance who are either homeless or at risk of being made homeless (Section 62 Assessment triggered under Housing (Wales) Act 2014)	680 (quarter 2 2015/16)	1,178	650 per quarter	
How well did we do it?				
3c PSR/002 Timing of Disabled Facilities Grants	216 days (2015/16)	184 days	238 days	
3d PSR/006 Average days non-DFG adaptations	15 days (2015/16)	18 days	19 days	
Is anyone better off?				
3e The percentage of households for whom homelessness was prevented under s66 Housing (Wales) Act 2014	56% (quarter 2 2015/16)	50%	50%	

Partnership: Who do we need to collaborate with?

Welsh Government, Registered Social Landlords, commercial housing developers, private sector landlords, hospitals and health services, voluntary sector organisations, emergency services, owners of empty properties

What risks do we need to manage?

Risk	Mitigation/Prevention Activity	Risk Rating March 2016	Current Risk Rating
Welsh Government funding for Social Housing Grant and housing initiatives	Maximise spend of existing funding and respond promptly to other funding opportunities as they arise	Medium	Medium
Impact of housing market conditions on private sector investment	Maintain relationships and services to support private sector activity as far as possible	Medium	Medium
Capacity of housing service, including ability to respond to those in crisis due to welfare reform cuts by central government	Maximise the capacity of housing services to ensure that services can be delivered effectively to meet need	Medium	Medium

Financial Implications

Improvement objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
3.1 To secure additional units of affordable housing and bring empty private homes back into use	£165,000	The strategy and development budget is core funded. It funds a team of professionals whose responsibility it is to secure additional affordable housing and also to ensure that empty homes are brought back into use.
3.2 To minimise the waiting times for major and minor adaptations	£1,436,000	Funding consists of £1.436M capital funding for the provision of safety at home and disabled facilities grant (DFG). There is a team of staff who are responsible for delivering the major and minor adaptations service (£242,506). In addition the Authority delivers an agency service for a fee which is top sliced from the capital budget (£265,978).

Improvement objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
3.3 To prevent people becoming homeless whenever we can	£781,000	<p>The homelessness prevention budgets are also used to manage temporary accommodation. External grant funding of £129,600 is received through supporting people grant (TASA) – with any external grant funding there is a risk should this reduce.</p> <p>In 2016/17, we received £149,400 from Welsh Government in New Burdens funding, intended to help councils comply with Part 2 of the Housing Wales Act, 2014. A cut in funding is expected in 2017/18, which will reduce the resources available for the prevention of homelessness</p>

Improvement Objective 4

City Regeneration and Development

Link to Corporate Plan: A Learning and Working City

Link to Wellbeing Goals: A prosperous Wales, A resilient Wales, A Wales of cohesive communities

Lead Cabinet Members: Cabinet Member for Regeneration and Investment and Cabinet Member for Community Services, Work and Skills

Lead Officer: Head of Regeneration, Investment and Housing Services

What is the Improvement Objective?

Following a comprehensive consultation exercise, in April 2015 Council reaffirmed development and 'City Regeneration and Development' as one of the foremost priorities amongst its programme for continuous improvement. The objective goes hand-in-hand with the delivery of the Council's ten-year Economic Growth Strategy 'People, Places, Prosperity', which will continue to drive Newport forward as '*an area of visible change, with high aspirations, high achievement and shared prosperity*'. The key aims within this strategy that align with the improvement objective are:

- Deliver shared prosperity: establish robust skills and work partnerships, supporting identified growth sectors for Newport and the region and maximising future employment opportunities;
- Create an excellent economic environment: maintaining focus on city development and regeneration, increasing Newport's contribution to the wider city-region, and increasing connectivity;
- Move Newport up the value-chain: nurturing high-growth sectors and promoting innovation and entrepreneurship.

Why have we chosen this Improvement Objective? / Why is it important?

2015 has been a landmark year for Newport, with the long-awaited opening of the mixed-use leisure and retail development at Friar's Walk in November 2012 re-establishing the city as a key destination for leisure and retail. This latest achievement adds further impetus to Newport's growing profile as a credible international destination capable of hosting international events of the very highest calibre, including the 2010 Ryder Cup and 2014 Nato Summit.

The opportunities presented by a resurgent Newport have helped generate unprecedented and on-going package of investment totalling over £250m into Newport city centre. Major infrastructure works, including the M4 relief road, rail electrification and the South Wales Metro project will enforce Newport's status as a strategic economic location in South Wales. Newport's significant, on-going programmes supporting new housing development, and the prestigious project to establish a Welsh Convention Centre at the Celtic Manor, are further positive news for the city.

Such projects underline that Newport cannot rest on the achievements to date in regenerating the city and must ensure that the city's upward momentum is not lost, and that the potential benefits these major projects can deliver for the communities and residents of the city are fully realised. City regeneration and development can therefore be seen as a primary activity for the Council and its mission of 'improving people's lives'.

This objective will contribute to the Well-being goals, especially 'A prosperous Wales', 'A resilient Wales' and 'A Wales of cohesive communities'. A critical aim of the Vibrant and Viable Places programme is to challenge the relative poverty seen particular across the communities of the city centre by connecting people to new opportunities, including good quality housing, jobs, skills training and entrepreneurship. Revitalising the city as a place

people want to invest in and be part of will both increase the resilience of the city centre by strengthening it against future economic upheaval, and forge stronger social links through a new shared ownership and perception of the city centre.

What have we done so far?

The previous five years have seen Newport achieve a strong record across its physical and social regeneration activity, both in the city centre and its wider communities:

- Completion of the £90m Friars Walk shopping and leisure development, bringing 1200 new jobs.
- Delivery of Newport's £17m Welsh Government Vibrant and Viable Places programme 'Connecting Commercial Street' to March 2017;
- Establishment of 'Newport Now', a Business Improvement District for the city centre.
- Completion of the Admiral redevelopment, bringing a further 1200 jobs into the city centre
- Completing the Welsh Government key building programme of £2.5 million (covering a range of key buildings and a new High Street entrance to the Indoor Market);
- A £4 million package of city centre improvements was completed in 2010 in preparation for the Ryder Cup;
- The creation of a new riverside park and walkway has been completed along with a number of public realm improvements, including supporting the Wales Coastal Path;
- The completion of multiple large scale energy savings schemes across hard to treat properties in Newport, creating employment, reducing poverty and making Newport communities more sustainable and attractive places to live;
- The completion of the restoration of a number of locks in the 14 locks canal system
- The establishment of the Work Based Learning Academy, creating hundreds of new training opportunities for local residents
- Business loans, start-up grants and inward investment support enabling creation and safeguarding of over 1,300 jobs
- Delivery of superfast broadband vouchers scheme to businesses in Newport and the wider region.
- Supported the creation of Platform II Software Academy in partnership with Cardiff University
- Town Centre Partnership fund for Maindee

What are we going to do?

The current VVP funding is due to end on 31st March 2017 and we anticipate to have delivered the programme in full. Future grant funding programmes are currently unknown.

What are we going to do this year?	What difference will it make?
4.1 Deliver VVP Programme	Deliver significant new or improved city centre housing Create new jobs and training opportunities Increase city centre footfall
4.2 Provision of coherent business support	Advice/Grants/loans
4.3 Commercial floor space developed	Improve commercial space available in the city, viability of businesses and trading environment. Increase city centre footfall.

How will we know?

Measure	Performance 15/16	Current Performance (Q2 2016/17)	Target for 16/17	Target Changes
How much did we do?				
4a VVP- programme delivery	£2,250,000 £5,226,460*	Annual measure – data not yet available	£350,000	No changes to targets required at this time, targets for 2017/18 will be set through the 2017/18 service planning process
4b VVP- commercial floor space improved	1339 sq m 1360 sq m**	Annual measure – data not yet available	50 sq m	
How well did we do it?				
4c Jobs created/enabled (VVP + Business Support)	498	Annual measure – data not yet available	420	
Is anyone better off?				
4d VVP – Increase in city centre Housing	49 ***	Annual measure – data not yet available	65	

*Full spend achieved of Y11 VVP budget

** King's Hotel (400 confirmed), PES (360), Potters (600)

*** 62-66 Cardiff Road (15), King's Hotel (34)

Partnership & Collaboration: Who do we need to work with?

Members of the Local Service Board; The business community and city centre traders; Welsh Government; Welsh Government Task Force; Private/Third Sector & RSL developers

What risks do we need to manage and prevent?

Risk	Mitigation/Prevention Activity	Risk Rating	Current Risk Rating
Developer interest/available property	Suitable alternative properties / schemes will be identified as reserve schemes	Low – interest from developers across sectors currently strong	Low – more schemes and proposals continue to come forward in Newport City Centre and beyond
Inability to achieve funding	Submit strong bid for VVP II Sept 2016 Explore further funding opportunities (e.g. Lottery Funding)	Medium – risk of competitive bidding processes to be managed via submission of strong bids based on current and evolving partnerships	High – delay to WG finalising details of future regeneration funding places the momentum of Newport's regeneration at significant risk

Financial Information 15/16

Improvement objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
4.1 Deliver VVP programme	£4,364,879	External grant funding from Welsh Government. 2016/17 is the third year of the three year programme and a grant of \$4,404,899 has been awarded. The regeneration of the city centre delivered by the programme includes improved housing, public realm, and increased commercial floor space.
4.2 Provision of coherent business support	£60,000	Core budget of £60,000 has been secured to provide additional support to businesses. Business loans are offered and in previous years businesses have externally funded UK Steel grants available. Reduction in external funding is a concern as will impact upon the level of financial support that can be offered.
4.3 Commercial floor space developed	N/A	As above

Improvement Objective 5

Supporting young people into education, employment or training

Link to Corporate Plan: A Learning and Working City

Link to Wellbeing Goals: A prosperous Wales, A healthier Wales, A more equal Wales

Lead Cabinet Member: Cabinet Member for Community Services, Work and Skills

Lead Officer: Strategic Director - People

What is the Improvement Objective?

Evidence from work undertaken by Professor David Egan (on behalf of the Joseph Rowntree Foundation) suggests that efforts to prevent young people from becoming NEET have a more profound long term impact than work undertaken to support young people who are NEET back into provision. The Improvement Objective of Supporting Young people to remain within education, employment or training focuses on early identification, information sharing and additional, specific provision to meet the needs of young people.

Why have we chosen this Improvement Objective? / Why is it important?

This Improvement Priority is important because Newport has historically had a high percentage of young people becoming NEET in Wales although significant improvements have been made. Consultation on the Improvement Priorities clearly shows that this is a priority for people within Newport and it is a focus of the Single Integrated Plan. As a Local Authority we have very clear statutory responsibilities for Youth Support Services, as detailed within the Learning and Skills Act – these are specifically intended to ensure that young people make successful transitions within learning. Welsh Government has required Local Authorities (under their powers within the Learning and Skills Act) to implement the Youth Engagement and Progression Framework and the Improvement Priority is focused on this.

This objective will contribute to the Well-being goals, especially 'A prosperous Wales', 'A healthier Wales' and 'A more equal Wales'.

What have we done so far?

Significant progress has been made in relation to provision of support for young people not in education, employment or training during 2015/16. The Local Authority has taken the lead in implementing the Youth Engagement and Progression Framework (YEPF) and has developed an early identification tool which all secondary schools are using. There are robust partnership arrangements in place to manage processes both pre and post compulsory school age and these are backed up by an Information Sharing Protocol. Careers Wales have been able to provide data in a timely manner that has supported the allocation of appropriate support to young people where a straightforward transition is not possible. The delivery of work focused programmes through the Work Based Learning Academy, Newport Works Programme and tackling poverty programmes (Families First and Communities First) has ensured that support is always available for young people to help with the transition. The Youth Service has undertaken an invaluable role in tracking and engaging with young people who have disengaged from services and providers. Schools have put in place best practice support arrangements for young people who may be at risk of disengaging from learning and providers of post compulsory education work well together to better plan provision.

What are we going to do?

Continue the Youth Engagement and Progression Framework in line with Welsh Government guidance, focusing on early identification, tracking, brokerage, employability, accountability and provision by:

What are we going to do this year?	What difference will it make?
5.1 YEPF Co-ordinator providing support for the use of the early identification tool with schools and managing the provision of lead workers for individuals at risk	This will ensure that the appropriate support can be put in place for young people at the earliest opportunity, preventing young people from becoming NEET
5.2 Deliver the Families First Children and Young People's Skills Project to targeted young people within school	Professional Youth Worker support for targeted young people, supporting them to remain within education
5.3 Deliver the Inspire to Achieve and Inspire to Work ESF projects to at risk young people identified through the YEPF Early Identification tool	Enhanced support for the most vulnerable young people, both pre and post 16. Offering mentor support, work experience and progression routes into further learning, education and employment.
5.4 Communities First NEET engagement project under its learning theme will be delivered across 4 cluster areas of Newport. Supporting young people to engage in learning activities.	Offering 16 – 17 year old people learning opportunities to enable them to re – engage into education and training opportunities.
5.5 Deliver Communities 4 Work programme that is funded by ESF and Welsh Government. Target and support 18 – 24 year olds disengaged looking for employment.	Provide vocational training and support for those actively searching for full time sustainable employment, reducing those counted as NEET.
5.6 Direct work with Careers Wales to ensure data and tracking systems are in place and working effectively to track ALL young people on transition	This will ensure the provision of accurate, timely and intelligent information, in line with the agreed Information Sharing Protocol, and will specifically contribute to the limiting of the numbers of young people who become unknown or NEET
5.7 Working with providers of education and further learning to ensure appropriate provision is in place at post compulsory education transition points	The YEPF requires us to have a specific offer of education or training for all young people when they leave compulsory education and this will be managed through a Post 16 Practitioners group, with representatives of all providers
5.8 Develop and deliver specific employability programmes through Work Based Learning Academy to meet the needs of those young people who are only seeking employment (including apprenticeship)	A significant proportion of our NEET total are only looking for employment so this will proactively help them achieve their goals and reduce the numbers who are NEET. Providing specific job clubs for young people and specific route way opportunities such as apprenticeships.
5.9 Map provision for those young people unable to progress against their specific needs and ensure robust mechanisms are in place to support transition	Some young people are unable to continue in education, learning or employment for a variety of reasons, such as caring responsibilities, illness (including mental health problems) or involvement in the criminal justice system. Being better able to understand the needs and resource issues will enable us to make a real difference in their lives.
5.10 Meet regularly with Careers Wales, Schools, Work Based Learning Providers and Coleg Gwent to ensure provision appropriately	This will ensure better information exchange and shared accountability for those young people unplaced.

What are we going to do this year?	What difference will it make?
meets the needs of young people	
5.11 Ensure there is a focus on the statutory responsibilities within the Learning and Skills Act so that the Council is confident that we are meeting our statutory Youth Support Services responsibilities (in line with Welsh Audit Office recommendations)	The Local Authority has a statutory responsibility to ensure sufficiency of and to participate in support services for young people that enable them to actively participate in education, learning and the communities (collectively referred to as Youth Support Services). This will be more robustly monitored within this Improvement Priority.

How will we know?

The measures in bold the ones proposed to continue with at the moment, please update the table to show any other measures you want to keep.

Measure	Performance 15/16	Current Performance (Q2 2016/17)	Target for 16/17	Target Changes
How much did we do?				
5a Number of young people accessing Children and Young People's Skills Project	1,086	227	1000	No target changes at this time, targets for 2017/18 will be set during the 2017/18 Service planning process.
5c Number of 16-17 year old entrants into Work Based Learning Academy	N/A	73	150	
5d Number of 18-24 year old entrants into Work Based Learning Academy	N/A	105	350	
How well did we do it?				
5j % young people recorded as unknown following compulsory education (Careers Wales Destination Survey)	New measures	Annual measure – data not yet available	0.5%	
Is anyone better off?				
5k % of year 11 NEETS	3.1%	Annual measure – data not yet available	3.5% (2014/15 academic year leavers)	
5l % of year 13 NEET	2.4%	Annual measure – data not yet available	4% (2014/15 academic year leavers)	
5m % of 16-18 year olds not in education, employment or training (October)	4%	Annual measure – data not yet available	10% October 2016	
5n Number of 16-17 year olds progressing from Work Based Learning Academy to further opportunity	New measure	89	70	

Measure	Performance 15/16	Current Performance (Q2 2016/17)	Target for 16/17	Target Changes
5o Number of 18-24 year olds progressing from Work Based Learning Academy progressing to further opportunity	New measure	66	100	

In order to focus on the key outcomes of the work undertaken some of the measures will be removed from the Improvement Plan, the table below shows the measures that will be removed, the work associated with these measures will still continue and data will still be available in the service area if needed.

Measure
How much did we do?
5b Number of enrolments on basic skills courses
How well did we do it?
5e Number of young people within Tier 2 progressing to Tier 3 and above (Careers Wales 5 Tier Model).
5f Retention rates for enrolments on accredited basic skills courses
5g Achievement rate for enrolments on accredited Basic skills courses
5h Retention rate for learners on community learning courses (excluding basic skills)
5i Achievement rate for enrolments on community learning courses (excluding basic skills)

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Partnership & Collaboration: Who do we need to work with?

Work to support young people to remain within education, employment and training is co-ordinated within a robust partnership framework, in line with statutory requirements. The Family Support Services Board has overall responsibility for our partnership response to youth support provision. The co-ordination is undertaken through the Youth Support Services Board and this is supported by Pre and Post 16 Partnerships and a Learning Provider Network of all providers across Newport. Careers Wales are a critical partner within this work as they have responsibility for referral and placement, management of the database of all young people across Newport and they undertake the annual Destination Survey from which we gather much of our performance data.

What risks do we need to manage and prevent?

Risk	Mitigation/Prevention Activity	Risk Rating	Current Risk Rating
Failure to secure ESF Funding to support the delivery of programmes.	Work on-going regionally and with WEFO to ensure success	Low	The funding is secure for 4 years so no longer a risk for this plan
On-going budget and resourcing issues limiting the work that can be done with young people who are unable to make successful transitions	This is being addressed with partners through the Family Support Services Board.	Medium	Medium

Financial Information

Improvement objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
<p>5.1 YEPF Co-ordinator providing support for the use of the early identification tool with schools and managing the provision of lead workers for individuals at risk</p> <p>5.6 Direct work with Careers Wales to ensure data and tracking systems are in place and working effectively to track ALL young people on transition</p> <p>5.9 Map provision for those young people unable to progress against their specific needs and ensure robust mechanisms are in place to support transition</p> <p>5.10 Meet regularly with Careers Wales, Schools, Work Based Learning Providers and Coleg Gwent to ensure provision appropriately meets the needs of young people</p>	£54,169	A Youth Engagement Progression Framework grant of £54k has which has been confirmed for 2016/17, from the Welsh Government. This will be used to help develop these improvement objectives. £53k has been confirmed for 2017/18.
5.2 Deliver the Families First Children and Young People's Skills Project to targeted young people within school	£400,000	This project is delivered by the youth service and is 100% recovered by funding from Families First grant. 2017/18 have not yet been confirmed.
5.3 Deliver the Inspire to Achieve and Inspire to Work ESF projects to at risk young people identified through the YEPF Early Identification tool grant funded	Total budget for Newport – Inspire 2 Achieve ESF £198k Inspire 2 Work ESF £147k	This project will be funded by the European Social Fund up to the 31 st March 2018.
5.4 Communities First NEET engagement project under its learning theme will be delivered across 4 cluster areas of Newport. Supporting young people to engage in learning activities.	£82,000	Funded through a combination of Communities First (£12,000) and SLA agreement with ITEC Training (£70,000).

Improvement objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
5.5 Deliver Communities 4 Work programme that is funded by ESF and Welsh Government. Target and support 18 – 24 year olds disengaged looking for employment.	£488,858	This project is 100% funded up to 31 st of March 2018. The funding is provided by Welsh Government and the European Social Fund.
5.7 Working with providers of education and further learning to ensure appropriate provision is in place at post compulsory education transition points 5.11 Ensure there is a focus on the statutory responsibilities within the Learning and Skills Act so that the Council is confident that we are meeting our statutory Youth Support Services responsibilities (in line with Welsh Audit Office recommendations)	£383,407	The core Partnership and Policy budget is available to deliver these improvement objectives.
5.8 Develop and deliver specific employability programmes through Work Based Learning Academy (WBLA) to meet the needs of those young people who are only seeking employment (including apprenticeship)		The work of the WBLA is on-going requiring a budget for staff time. The funding for these staff is 100% recovered from the Work Programme.

Improvement Objective 6

Ensuring the best educational outcomes for children

[Link to Corporate Plan](#): A Learning and Working City

[Link to Wellbeing Goals](#): A prosperous Wales, A more equal Wales

[Lead Cabinet Member](#): Cabinet Member for Education and Young People and Cabinet Member for Community Services, Work and Skills

[Lead Officer](#): Chief Education Officer

What is the Improvement Objective?

To ensure all our pupils are effectively engaged in education so that they can attain the best possible educational outcomes. This includes vulnerable learners that may be at risk of not reaching their expected level of attainment.

Why have we chosen this Improvement Objective? / Why is it important?

In order to ensure that all pupils reach their learning potential at every key stage they need to be in school; barriers to learning need to be mitigated (especially poverty) and extra support given to literacy and numeracy. The indicators will inform the forward planning of the Education Service in partnership with the Education Achievement Service (EAS) and schools.

This objective will contribute to the Well-being goals, especially 'A prosperous Wales' and 'A more equal Wales'.

What have we done so far?

Over the past three years standards in education across Newport have improved in all Key Stages. Foundation Phase and Key Stage 2 pupil outcomes are strong. More intensive work needs to progress within our secondary schools to ensure standards improve at a faster pace and meet the all Wales average performance. Newport primary schools achieve well within National Categorisation. 50% of primary schools are categorised as green (in relation to the 22% average across Wales). Only 12.5% (or 1) Newport secondary school(s) is categorised as green (in relation to the 18% average across Wales). However, this is the only green secondary school in the region.

Support to improve the quality of teaching and learning is well established and all Newport schools have participated in varying support programmes with the aim of improving literacy, numeracy and outcomes of those pupils disadvantaged by poverty. Pupils entitled to Free School Meals (FSM) have improved in all Key Stages. However, stronger acceleration of FSM performance is required in Key Stage 3 and 4 in order to further mitigate the risks of deprivation and ensure educational equity. Newport is ranked in 16th place (out of 22) in terms of Free School Meal entitlement across Wales. Attendance has improved across the city, although Newport's attendance figures do not meet the Wales average figures. Secondary attendance is of particular concern. Improved attendance is linked to improved pupil attainment and must be secured in order to accelerate the life chances of children and young people in Newport. A city wide attendance forum has been established. An attendance action plan has been developed in order to overcome non-attendance obstacles and share good practice. The work of the forum needs to continue and develop so that each Newport school has the ability to support and challenge pupil attendance in a fair and consistent way.

Data shows that pupil exclusions are too frequent in Newport. Exclusion data is now shared and understood by all stakeholders. The local authority is working with secondary schools to prevent pupil exclusions and to plan alternative provision where young people can be successful. This work needs to be further developed in order to ensure that pupils are fully engaged in an appropriate curriculum which leads to employment.

What are we going to do?

What are we going to do this year?	What difference will it make?
<p>6.1 Improve the number of pupils achieving the expected level in the Key Stage 3 Core Subject Indicator, the number of pupils achieving the Level 2 Inclusive Indicator (in particular those accessing Free School Meals), the number of pupils gaining a Level 2 in GCSE Maths and English.</p> <ul style="list-style-type: none"> The local authority will continue to commission the services of the Education Achievement Service to support and improve the quality of leadership and management / teaching and learning in Newport schools. The local authority will continue to focus on the national priorities of <i>'improving literacy, improving numeracy and reducing the impact of poverty and deprivation'</i>. 	<p>Pupils continuing to achieve well at Key Stage 3 and 4 are more likely to have the opportunity to progress to Further and Higher Education as well as securing employment (improving their life chances of gaining economic, physical, social and emotional well-being).</p>
<p>6.2 Improve Primary & Secondary Attendance</p> <ul style="list-style-type: none"> The local authority will continue to address the attendance action plan with schools. 	<p>Improved attendance is linked to improved pupil attainment. This objective will support opportunities and life chances. <i>(Of pupils who miss between 10 per cent and 20 per cent of school, only 35 per cent manage to achieve five A* to C GCSEs, including English and maths).</i></p>
<p>6.3 Reduce pupil exclusions</p> <ul style="list-style-type: none"> The Local Authority will agree exclusion targets with secondary schools and monitor their success. <p>An exclusion reduction action plan will be developed and progressed in partnership with secondary schools and the local authority (with a view to reducing the number and days lost to exclusions across the city).</p>	<p>Pupils who are excluded are more likely to become NEET (not in Education, Employment or Training). Reducing exclusions will help to improve pupil attainment and support their chances in becoming successful in the workplace.</p>

How will we know?

Measure	Performance 15/16	Current Performance (Q2 2016/17)	Target for 16/17	Target Changes
How much did we do?				
6a. Total number of days lost to secondary fixed term exclusions	2160 days	Annual measure – data not yet available	2052 days	No Target changes at this time, the 17/18 targets will be set through the 2017/18 Service Planning Process
How well did we do it?				
6b. Attendance levels primary school EDU/016a	94.4%	94.5%	94.6%	
6c. Attendance levels secondary schools EDU/016b	93.1%	93.3%	93.2%	
Is anyone better off?				
6d. Pupils achieving the expected CSI outcome at the end of Key Stage 3 EDU/004	81.6%	83.4%	82.1%	
6e. Percentage of FSM pupils achieving Level 2 Inclusive	26.4%	34.77%	28.5%	
6f. Total percentage of pupils achieving the Level 2 Inclusive	54.2%	Annual measure – data not yet available	55.2%	
6g. Pupils achieving Level 2 Maths	59.6%	63.73%	61.7%	
6h. Pupils achieving Level 2 English	67.7%	68.49%	68%	

Partnership & Collaboration: Who do we need to work with?

Welsh Government

EAS

Schools and Head teachers

Citizens of Newport including parents & pupils

Social Services

Health

Police

Youth Offending Team

Youth Services

Communities First

Voluntary Groups

South East Wales consortia area working groups

SE Wales Safeguarding children board

What risks do we need to manage and prevent?

Risk	Mitigation /Prevention Activity	Risk Rating	Current Risk Rating
Increasing numbers of new arrivals into Newport schools	Continue to review needs of service linked to New Arrival needs	High – reduction in funding is an on-going concern	High
Pressure on school places	A primary school expansion programme is underway with directed capital investment to areas of the city where Section 106 monies are unable to be accessed.	Low – work in progress, no barriers	Low
	Families have been split between schools to accommodate admissions which impacts on attendance, lateness and well being	High – the primary expansion programme continues to extend places but demand is increasingly high	High
Numbers of pupils with additional learning needs increasing / relatively small workforce to support pupils and those at risk of exclusion	Service and team plans must be focussed on key outcomes for pupils with additional learning needs / those at risk from exclusion.	Medium - work needs to be re-focussed, staffing budgets at risk.	Medium
	LA links with EAS to ensure schools are challenged and supported to secure the right provision	Medium – limited EAS support available	Medium
	SEN statementing will change to ensure that all agencies are involved in supporting pupils.	Medium – Awaiting further Welsh Government guidance and will need time to achieve	Medium
Underpinning all of these risks is the continuing financial pressure	The Service Area will need to be realistic around the resources available.	Medium - Robust service area planning will consider resource allocation	Medium
	The Service Area will continue to monitor the existing budget regularly	Low – Systems in place	Low

Is there a budget available to deliver improvement?

Improvement objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
6.1 Improve the number of pupils achieving the expected level in the Key Stage 3 Core Subject Indicator, the number of pupils achieving the Level 2 Inclusive Indicator (in particular those accessing Free School Meals), the number of pupils gaining a Level 2 in GCSE Maths and English.	£8,775,037	The budgets available to deliver this improvement have been identified from a number of areas; they include the EAS contribution of £875,415, external grant funding of £7,899,622 (EIG) and £4,231,500 (PDG). Reduction in WG funding is an on-going financial concern.
6.2 Improve Primary & Secondary Attendance.	£305,233	The Education Welfare Service budget is available to deliver this improvement.
6.3 Reduce pupil exclusions.	£264,936	The Inclusion Management budget (noted) is available to deliver this improvement. The AEN services were delegated to schools and provide support to help deliver this improvement objective.

Improvement Objective 7

Increasing Recycling

Link to Corporate Plan: A Green and Healthy City

Link to Wellbeing Goals: A prosperous Wales, A resilient Wales, A globally responsible Wales

Lead Cabinet Members: Deputy Leader and Cabinet Member for Environment Sustainability and Transport

Lead Officer: Head of Streetscene and City Services

What is the Improvement Objective?

To increase recycling and divert waste from landfill. To ensure Newport delivers the Welsh Government objectives for the increasing of recycling and the European targets for diversion of waste from landfill, every recycling and diversion opportunity available to the city must be explored and where applicable, implemented.

The diversion of residual municipal waste from landfill will largely be covered by the operation of Prosiect Gwyrdd. Therefore, this objective will largely focus on encouraging businesses and residents within the city to recycle more which will maximise the potential currently being classified and treated as residual waste.

Why have we chosen this Improvement Objective? / Why is it important?

This objective has been chosen as it has a significant implication for council budgets and is a topic of high interest to our residents. This objective will be focused mostly on the benefits that can be gained through customer education and guidance on how to recycle, how to recycle more and why it is important.

It is accepted that around 30% of our residents either fail to recycle their waste or only recycle when their residual waste bin is full. If all these residents performed in line with the Newport average then an estimated 2,600 tonnes would be diverted from landfill at a saving of £208,000 a year in tax/disposal costs.

Additionally, we will explore the diverse nature of the city with a view to improving communication, informing and helping the numerous cultural and ethnic groups we have within our city to recycle and recycle more.

This objective will contribute to the Well-being goals, especially 'A prosperous Wales', 'A resilient Wales' and 'A globally responsible Wales'.

What have we done so far?

The Council provides a high quality low cost recycling service and in 2015/2016 recycled/composted 57.14% of its municipal waste and landfilled 16,892 tonnes. Newport is also a lead member of Prosiect Gwyrdd a £1bn project to divert waste from landfill, create energy from waste and also provide increased recycling.

Newport offers a comprehensive household kerbside recycling collection service including card, garden, dry recyclables and food waste. The Council delivers an alternate week residual waste collection service finished a roll-out of smaller wheeled bins in early 2016/2017. The Council also offers a comprehensive household waste recycling facility which has recently improved the reuse shop after its success during the first year of operation.

What are we going to do?

What are we going to do this year?	What difference will it make?
<p>7.1 To improve the recycling services</p> <p>During 2016/2017, first year of the improvement actions, Newport City Council have been working to increase cardboard collections adding them to the weekly kerbside collections, together with collecting tetra pak as a new recyclable material. This has enabled residents to recycle more materials and more frequently leaving only non-recyclable items to be collected fortnightly. The roll out will be complete in 2016/2017, and during 2017/2018 the Council will concentrate on ensuring the new scheme works as it should and measuring the expected increase in the recycling performance; an important part of this will also be analysing the resident's response in terms of issues or complaints, so a close monitoring of the recycling service will be carried out.</p> <p>Newport City Council will also aim to keep improving the recycling activity in areas of flats; after data is available from the pilot held during 2016/2017, and provided it is successful, the Council will aim to extend the same measures to other areas across the City.</p> <p>The Council is also currently working on preparing and implementing a new Waste Strategy that will pave the way to meet the different recycling targets from now to 2025. The aim is to have a final draft that can be approved next year, and to start working on some of the proposals linked to the House Waste Recycling Centre and trade services during 2017/2018.</p>	<p>It will facilitate the development of appropriate targeted strategies and interventions.</p> <p>Enable NCC to evaluate various recycling options.</p> <p>Raise awareness of the waste hierarchy and favour reuse and recycling options over other mechanisms.</p> <p>Offer an improved service to residents that makes the recycling activity easier</p>
<p>7.2 To divert all household and trade refuse waste collected by the Council by making use of the Prosiect Gwyrdd waste to energy facility during its first year of full operation</p>	<p>This will divert all remaining NCC municipal waste from landfill and will help the recycling activities by recovering and recycling end of process materials such as metals and incinerator bottom ash</p>

How will we know?

Measure	Performance 15/16	Current Performance (Q2 2016/17)	Target for 16/17	Target Changes
How much did we do?				
7a Percentage of municipal waste recycled or composted.	59.98%	64.19%	58%	
7b Amount of waste sent to landfill	11.70%	7.1%	18%	
How well did we do it?				
7c Percentage of municipal waste recycled at the HWRC site	61.69%	59.94%	65%	
7d Increase in participation in areas with low performance- door-knocking and communications campaign	3%	Annual measure – data not yet available	2%	
Is anyone better off?				
7e NCC proposed trial exercise to reduce residual waste and improve recycling performance in 80 blocks of flats	-	0%	2%	

Partnership & Collaboration: Who do we need to work with?

Welsh Government
Wastesavers
Waste Awareness Wales
The residents and businesses in Newport.
WLGA

What risks do we need to manage and prevent?

Risk	Mitigation/Prevention Activity	Risk Rating	Current Risk Rating
Failure to meet Welsh government recycling targets could result in substantial fines.	Initiatives to increase recycling.	Medium	Medium
Failure to meet European Landfill Diversion Targets could result in substantial fines.	Prosiect Gwyrdd will eliminate this risk.	Low	Low
Failure to increase recycling could result in increased costs	Initiatives to increase recycling.	Medium	Medium

Financial Implications

Improvement objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
7.1 Improve Recycling Services	£3,612,744 (16/17)	<p>The budgets available to deliver this improvement have been identified from a number of areas; for 16/17 they included core funding of £857,647 plus external grant funding in the form of the Environmental Sustainability (ESD) revenue grant of £2,755,097 from Welsh Government (WG). Reduction in WG funding is an on-going financial concern.</p> <p>There is a risk associated with sustaining future revenue funding as any reduction in core funds could affect the Authority's ability to meet the Welsh Assembly Government 70% recycling and composting rate by 2025.</p>
7.2 To divert all household and trade refuse waste collected by the Council by making use of the Prosiect Gwyrdd waste to energy facility during its first year of full operation	£3,107,781 (16/17)	Fee payable to Viridor in respect of the partnership arrangement with other neighbouring authorities. All authorities are committed to recycling and composting and meeting the challenging targets ahead.

Improvement Objective 8

Preventing offending and re-offending of young people

Link to Corporate Plan: A Safer City

Link to Wellbeing Goals: A healthier Wales, A more equal Wales, A Wales of Cohesive Communities

Lead Cabinet Members: Cabinet Member for Education and Young People

Lead Officer: Head of Children and Young People Services

What is the Improvement Objective?

The principle aim of the youth justice system, established by section 37 of the Crime and Disorder Act 1998, is to prevent offending by children and young people.

This relates to prevention of

- anti-social behaviour and offending;
- appropriate use of Out of Court Disposals to divert young people from the criminal justice system
- reducing the rate of proven re-offending and
- reducing the proportion of young people sentenced to custody

In line with Welsh Government and Youth Justice Board policy, we believe that prevention is better than cure and that children are young people first and offenders second.

This objective will contribute to the Well-being goals, especially 'A healthier Wales', 'A more equal Wales' and 'A Wales of cohesive communities' and embraces the sustainable development principles of

- being **long term**: the YOS offers holistic interventions to address risk factors in the longer term, not just present
- **Prevention**: we aim to divert as many young people away from the youth justice system as possible
- **Integration & collaboration**: the YOS is a multi-agency service, with many performance targets and functions being shared with other council departments (Education; prevention; management of antisocial behaviour; housing) - through the management board and local networking, opportunities to plan and work together to meet our common aims
- **Involvement**: wherever possible and appropriate the victims of young people's offending are encouraged and supported to contribute to interventions offered; the YOS is supported by a group of volunteers and sessional workers from the local community to assist in providing the service; a priority for us in the coming year is improving our ability to gather and use the softer information from young people and their families who receive services, to inform and improve our service in the future.

Why have we chosen this Improvement Objective? / Why is it important?

The objective is a statutory one for all Youth Offending Services (YOS) and the YOS's performance in relation to this evidences our success or otherwise to contribute towards it. In order to meet these objectives, effective use of preventative interventions and Out of Court Disposals, are proven important aspects of achieving and maintaining safer communities and improving the perception of safety within communities.

Whilst the YOS is not able to directly impact on the number of young people coming into the system (as the process is managed by Gwent Police), through its prevention work (the youth justice aspect of which is facilitated through the Prevention service) which is delivered in collaboration with a wide range of partners and agencies, (Families First, Team around the Cluster; Communities First; Youth Service; Gwent police;B@1; PMHT...) it seeks to divert as many young people as possible from the statutory service. Year on year there have been decreases in the number of young people coming into the system locally and nationally, indicating that early intervention is working.

In Newport, two teams directly deploy resource to meet the core aim - the Team Around the Family (Prevention Team) which offers specific individual voluntary early intervention in the form of Community Resolutions, as well as more generic voluntary support for young people and families in need, and the YOS, which facilitates out of court disposals and the raft of statutory court ordered interventions. Both teams can call upon a variety of specialist resource/intervention/agency involvement to support their work with young people, families, victims and communities. The multi-agency, collaborative nature of the service provides a cohesive approach to issues and assists with addressing the holistic needs of the service users to help tackle the root causes of offending.

What have we done so far?

Historically, and as confirmed by the inspection by HMIP in 2014, the YOS has been seen as one where performance has not been good. In February 2016 the YOS was subject of a re-inspection by HMIP. When this was published in June 2016, there was recognition that significant progress had been made since the previous inspection The Youth Justice Board commented that we had made the most improvement between inspections of any other Welsh YOS. The role and effectiveness of the management board, the management team and general operation was acknowledged as having made noticeable improvement - though there remain areas of work to address.

Newport Youth Offending Service (YOS) had made a step change in performance since the last inspection. The YOS was stronger in assessment and delivering good quality interventions. The YOS Management Board had clear objectives and was successful in making sure children and young people had access to a range of services designed to move them away from crime. There was still work to do to improve planning to manage vulnerable children and young people, and provide a comprehensive education, training and employment service. The YOS were aware of where they needed to improve and were constructively addressing the issues.

HMIP Inspection report June 2016

A new post inspection improvement plan-business plan was developed following the re-inspection to address the areas in need of development and improvement. This is overseen by the Youth Justice Board and the YOS management board.

As well as the unequivocal hard work and diligence by the staff team, the establishment of monthly performance monitoring and reporting in 'real time' has been a contributing factor to the success and continues to facilitate early identification of issues needing to be addressed.

Against the previous year, performance improvements include:

- Significant reduction of 42% in first time entrants.
- 91% successful completion of restorative justice disposals - increased by 4%.
- 78.4% successful completion of bureau cases.
- 57.7% successful completion or revocation of court orders for good progress (increased from just under 30% in previous year).
- Increase in average ETE hours attended between start and end of order.
- significant decrease of 41% in the number of custodial sentences. T

In recognition of the improvements made over the last twelve months, the YOS has moved from being ranked as a one where ‘significant improvement work is required’ (red) to one where there are ‘some areas of concern’ (amber). These areas primarily relate to our performance in relation to re-offending and inconsistent performance in relation to meeting the performance targets relating to substance misuse. Both of these factors figure significantly in the business plan.

As a result of cuts to funding (YJB: OPCC: Probation) the YOS has lost several posts this year (2 voluntary redundancies 1 as a result of someone leaving) these posts will not be replaced to plan for a balanced budget next year. A restructure of the service has taken place where job descriptions, roles and responsibilities have been reviewed and updated to support effective and efficient use of decreasing resources. This coupled with a new management structure; an imminent relocation of the service in November 2016, as well as a new national assessment process being introduced in July 2016, means the first part of the year has been marked by significant change, which has caused some anxiety as well as unsettledness within the service.

Though acknowledging the real challenge presented though the raft of change, the opportunity of making a new start, in new offices with redefined roles and responsibilities and a new management team is to be welcomed. The post inspection action plan/business improvement plan is due to be remodelled into a more thematic document, and the management board is adopting a thematic approach to its governance and scrutiny role which will be informed by a redesigned and simplified performance monitoring process, thus adopting a robust but supportive and collaborative approach to making the improvements to the service which will support a more effective service delivery to children, young people and their families, and the victims of the young people’s offending.

The areas of focus for the coming period are detailed in the YOS business plan. Those referenced here only represent a small number of actions to be achieved.

What are we going to do?

What are we going to do this year?	What difference will it make?
8.1 Reduction in first time entrants	More young people diverted from crime and anti-social behaviour
8.2 Reduction in the use of youth custody	More young people supported to refrain from offending whilst subject to community sentences.
8.3 Access to Education, Training and Employment	Children and young people have increased access to full time education training and employment (ETE), suitable to their needs.
8.4 access to timely assessment and treatment in relation to substance misuse.	Substance misuse impacting on behaviour and wellbeing is recognised at the earliest opportunity

How will we know?

Measure	Performance 15/16	Current Performance (Q2 2016/17)	Target for 16/17	Target Changes
How much did we do?				
8A. Percentage of young people referred for Community Resolution (monthly local information)	94 (Q3 15/16) 37.30%	47.3%	30% of total caseloads (April 16- Mar 17)	40% Currently tracking above (better than) target
8B. percentage of young people referred to Newport Bureau for Out of Court Disposals (monthly local information)	47 (Q3 15/16) 18.65%	23.7%	15% of total caseload (April 16 – Mar 17)	20% Currently tracking above(better than) target
How well did we do it?				
8C. Number of first time entrants into the Youth Justice System (monthly local reporting information based on live data)	44 (2015/16)	19	50 (April 16 - March 17)	
8D. The number of young people sentenced to custody (actual number from local monthly performance)	14 (2015/16)	4	15 (April 16 - March 17)	10% reduction on 2015/16 figure - tracking above (better than)target
8E Percentage of children and young people in the Youth Justice System, with identified substance misuse needs, who have access to appropriate specialist assessment. (monthly local information)	78% (2015/16)	71.4%	80% (April 16 - March 17)	Whilst performance is below target, it is an area being addressed.
8F. Number of ETE hours attended at end of statutory order (monthly local information)	15.5 hrs (2015/16)	22 hrs	School age (under 16) 17.5 hours a week	
Is anyone better off?				
8G. Percentage of young people who receive Out of Court disposals who re-offend within the next 12 months. (quarterly local information)	22.2% (2015/16)	25%	30% (April 16 - March 17)	

Measure	Performance 15/16	Current Performance (Q2 2016/17)	Target for 16/17	Target Changes
8H. Percentage of young people who receive statutory orders who re-offend within the next 12 months (quarterly internal information)	25.1% (2015/16)	40.9%	45% (April 2016/17)	

Partnership & Collaboration: Who do we need to work with?

Gwent Police
 All Wales Probation Trust
 Aneurin Bevan University Health Board
 Barnardo's B@1
 Careers Wales
 Positive Futures
 Youth Service

What risks do we need to manage and prevent?

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Risk	Mitigation /Prevention Activity	Risk Rating	Current Risk Rating
Reduction in grant funding /partner funding could affect staffing.	<ul style="list-style-type: none"> • Increase the number of volunteers and sessional workers to provide mentorship for young people and investigate alternative funding streams. • Through increased gatekeeping and quality assurance, ensure that staff use time and resource effectively, and where possible in partnership with others to reduce costs and/or maximise economies of scale. • 	High	High
Increase in re-offending of young people with very complex needs	<ul style="list-style-type: none"> • Work with partners and YJB to identify 'what works' in diverting those with complex needs from further offending. • Through increased quality assurance and improved use of performance information, target preventative activity towards those young people most at risk, and ensure those who are in the system have the most robust and 	High	High

Risk	Mitigation /Prevention Activity	Risk Rating	Current Risk Rating
	impactive interventions. <ul style="list-style-type: none"> • Ensure thorough and effective use of partner expertise and skills – effective multi-agency working. • Ensure information gathered and collated through reviews (chaired) are used to improve service delivery 		

Is there a budget to deliver improvement? No.

Improvement Objective	Identified funding to deliver improvement (£'000)	Additional Financial comments
No additional funds - likely to be further cuts.		

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Report

Council

Part 1

Date: 31st January 2017

Item No: Insert item number here

Subject Council Tax Reduction Scheme 2016/2017

Purpose For Council to consider a proposed Council Tax Reduction Scheme for 2016/17 and to determine its local discretions.

Author Director of Place

Ward All

Summary The Council Tax Reduction Scheme for 2017/18 updates the scheme that was introduced on 1st April 2014. The Council is not required to consult on the proposals of the new scheme as the amendments made are in consequence of amendments made to the Prescribed Requirements Regulations. The local discretions that are available to the Council will remain unchanged. This report provides information on the proposed Council Tax Reduction Scheme.

Proposal That Council approves the Council Tax Reduction Scheme for 2017/18 in accordance with the Council Tax Reduction Schemes (Prescribed Requirements and Default Schemes) (Wales) (Amendment) Regulations 2014 ("the Prescribed Requirements Regulations") exercising its local discretions as indicated in the report.

Action by Director of Place

Timetable Immediate

This report was prepared after consultation with:

- Head of Law and Standards
- Head of Finance

Background

The current Council Tax Reduction Scheme was revised from April 2015 with an updated Scheme. In Wales, this continues to be a national scheme (in contrast to England, where schemes are local to each billing authority.)

The Council Tax Reduction Scheme in Wales is set by Regulations made under Schedule 1B of the Local Government Finance Act 1992 (as inserted by the Local Government Finance Act 2012). On 17 January 2017, the Welsh Assembly approved amending regulations to have effect from 1st April 2017: the Council Tax Reduction Schemes (Prescribed Requirements and Default Schemes) (Wales) (Amendment) Regulations 2017. These Regulations prescribe the main features of the Scheme to be adopted by all Councils in Wales. The revisions for 2017/2018 are:

- The figures used to calculate applicants' entitlement to Council Tax reduction will be updated in line with Housing Benefit, however for working age persons, disabled persons and carers the uplift will be in line with Consumer Price Index inflation.
- Entitlements linked to the Pension Credit Standard Minimum Guarantee and income bands related to non-dependant deductions will increase in line with the increase in average earnings.
- Entitlements linked to both the Pension Credit standard minimum guarantee and Savings Credit will increase by an amount set out in the uprating schedule provided by the Department of Work and Pensions (DWP)
- Non-dependant deductions to increase by the average rise in Council Tax. .
- The revised regulations also rectifies inconsistencies between the figures contained in the English and Welsh language versions of the 2013 Regulations.

Although the Act gives Welsh Ministers discretion to allow Welsh local authorities to determine the contents of schemes themselves, the Government's decision to establish a national framework for the provision of Council Tax Support in Wales and avoids what has been termed a "postcode lottery" whereby eligibility for a Council Tax reduction and the size of the Council Tax reduction for particular groups could be different in different council areas.

Although a national scheme has been approved, within the Prescribed Requirements Regulations, limited discretion given to the Council to apply additional discretionary elements that are more generous than the national scheme and which provide for additional administrative flexibility remain. These are:

- The ability to increase the standard extended reduction period of 4 weeks given to persons after they return to work where they have previously been receiving a council tax reduction that is to end as a result of their return to work;
- Discretion to increase the amount of War Disablement Pensions and War Widows Pensions which is to be disregarded when calculating income of the claimant;
- Discretion to enhance the process for notification of decisions above the minimum requirements; and
- The ability to backdate the application of council tax reduction with regard to late claims prior to the new standard period of three months before the claim.

It is required by the Prescribed Requirements Regulations that the Council adopts a Council Tax Reduction Scheme by 31 January 2017, regardless of whether it applies any of the discretionary elements. If the Council fails to make a scheme, then a default scheme shall apply under the provisions of the Default Scheme Regulations. The Council can only apply discretion if it makes its own scheme under the Prescribed Requirements Regulations. A Council meeting is scheduled for the 31st January 2017 to adopt the Scheme.

The Council has not undertaken consultation on the adoption of the scheme as the Council is no longer obliged to carry out consultation on the adoption of a scheme as the provisions were set by the Welsh Government. Even without the application of any of the discretionary elements, The Council is obliged to make a scheme under the requirements of the Prescribed Requirements Regulations notwithstanding the fact that a default scheme would come into effect even if the Council failed to make a scheme. The obligation is a statutory duty and applies even if the Council chose not to apply any of the discretions available to it.

The recommended approach is to adopt the Scheme in the Prescribed Requirements Regulations and to continue to exercise the available discretions as follows:-

- The ability to increase the standard extended reduction period of 4 weeks given to persons after they return to work where they have previously been receiving a council tax reduction that is to end as a result of their return to work [It is not recommended to increase the standard extended reduction period] ;
- Discretion to increase the amount of War Disablement Pensions and War Widows Pensions which is to be disregarded when calculating income of the claimant [It is recommended to disregard the whole amount of War Disablement Pensions and War Widows Pensions] ;
- Discretion to enhance the process for notification of decisions above the minimum requirements [It is not recommended to enhance the process for notification of decisions] ; and
- The ability to backdate the application of council tax reduction with regard to late claims prior to the new standard period of three months before the claim. [It is not recommended to increase the backdated period]

It should be noted the above recommendations follow existing practice and continue with the features of the 2015/16 Scheme. There are no additional monies available from the Welsh Government to fund discretionary elements. The cost of funding the discretionary elements recommended above is estimated to be in the region of £17,000 per annum.

The Council continues to have powers to support hardship on an individual basis or in respect of a defined group. Such arrangements cannot, however, form part of the Council Tax Reduction Scheme itself. The Council has previously had access to grant for discretionary housing payments and will continue to provide support where appropriate.

Financial Summary

Funds to pay for the scheme are within the Council's base budget as the historical specific grant from WG that used to fund this was transferred into the Revenue Support Grant in 2013/14. This budget has since been uplifted each year in line with the Councils increase in Council Tax levels.

Risks

The Council needs to manage the cost of Council Tax Support within its budget.

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
Failure to adopt a	L	L	There is a default scheme in the event that the Council	Director of Place

scheme in accordance with the required regulations			does not follow the appropriate procedures	
--	--	--	--	--

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

The Welfare Reform changes are imposed by national government and devolved to the Welsh Government for implementation by Councils. The Council's response within its service areas will be to try to ensure that any effects of the reforms are mitigated wherever possible.

Options Available

The changes are largely mandatory with the exception of the limited discretions identified in the report. The Council needs to determine the discretions as part of its Scheme.

Preferred Option and Why

The currently preferred discretions are included within the report and they largely follow existing practice.

Comments of Chief Financial Officer

As noted above, the funds to pay for the scheme are contained within the Council's base budget, since WG transferred the specific grant for this into the Revenue Support Grant in 2013/14. The budget is uplifted each year in line with the increase in Council Tax and to date, has been more than sufficient. As no changes to these flexibilities are being recommended, the current budget should therefore be sufficient, with costs being minimal anyhow.

Comments of Monitoring Officer

The Council has a statutory duty to approve a revised Council Tax Reduction scheme by 31st January 2017 in accordance with the Council Tax Reduction Schemes (Prescribed Requirements and Default Schemes) (Wales) (Amendment) Regulations 2014. If the Council does not adopt a revised local scheme by then, then a Default Scheme will come into operation. In Wales, the Welsh Government has prescribed a national council tax reduction scheme and, therefore, the Council has no option but to adopt the mandatory elements of the scheme. However, there are some limited local discretions within the national scheme, which the Council has previously adopted as part of the current local scheme, and it is recommended that these should continue to be applied. There is no longer any formal consultation requirement, because of the mandatory nature of the national scheme and the Council has previously consulted on the local discretions.

Staffing Implications: Comments of Head of People and Business Change

The strategic impacts of these changes are numerous, primarily the medium/longer-term implications on the level Council Tax - the report describes the predicted loss in collection which has already had to be considered as part of the process for setting the Council Tax base for 2017/18.

In addition to the serious implications these changes have on the setting of the Council Tax for 2017/18 and beyond, the Council has a strong social justice agenda with specific reference in the Corporate Plan to the Council working to support the lowest earners and those in receipt of benefits and vulnerable to financial exclusion. The outcome of the local equalities impact assessment will further inform work programmes intended to help mitigate the effects of these changes.

Local issues

Not Applicable

Scrutiny Committees

Not applicable.

Equalities Impact Assessment

The replacement of Council Tax Benefit with the national support scheme will impact upon many of our low income residents including those in vulnerable groups.

A local equalities impact assessment is being undertaken.

Children and Families (Wales) Measure

The Council is not required to consult on the proposals of the new scheme as the amendments made are in consequence of amendments made to the Prescribed Requirements Regulations. The local discretions that are available to the Council will remain unchanged.

Consultation

The Council is not required to consult on the proposals of the new scheme as the amendments made are in consequence of amendments made to the Prescribed Requirements Regulations. The local discretions that are available to the Council will remain unchanged.

Background Papers

The Council Tax Reduction Schemes (Prescribed Requirements and Default Scheme) (Wales) (Amendment) Regulations 2017 (“Uprating Regulations”)



The Council Tax
Reduction Schemes (f

Dated: 10 January 2017

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Report

Council

Part 1

Date: 31 January 2017

Item No:

Subject **Report on Treasury Management for the period to 30 September 2016**

Purpose To inform the Council of treasury activities undertaken during the period to 30 September 2016

Author Assistant Head of Finance

Ward General

Summary The Council continues to be both a s/t investor of cash and borrower to manage day-to-day cash-flow's. Current forecasts indicate that in the future, temporary borrowing will continue to be required to fund normal day to day cash flow activities and to fund borrowing for the City Centre Redevelopment.

Discussions around the sale of the redevelopment are currently underway and are of a commercial and confidential nature. The successful conclusion of a sale will have a significant impact on the treasury activities of the authority. The outcome of the sales discussions will be known in the near future and the impact on treasury management will be updated for the '2017/18 Treasury Management Strategy', which will come to Audit Committee in January 2017.

Following the result of the BREXIT referendum there were no immediate changes to our advisor's credit advice on UK banks and building societies. However, the report provides a counterparty update which details the various indicators of credit risk which have reacted negatively to the result of the referendum.

This report was taken through Audit Committee on 1st December 2016, who agreed with and noted the proposal below.

Proposal **To note the report on treasury management activities for the period to 30 September 2016 and approve the requirement to increase the percentage limit of total borrowing with a maturity date within 12 months to 80%.**

Action by Head of Finance

Timetable Immediate

This report was prepared after consultation with:

- Treasury Advisors

- Head of Finance
- Audit Committee

Please list here those officers and members you have consulted on this report.

Signed

Background

1. The Council's Treasury Management Strategy and Prudential Indicators were approved by Council in February 2016 alongside the Medium Term Financial Plan and the 2016/17 Budget.
2. The Treasury Management Strategy for 2016/17 has been underpinned by the adoption of the Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice on Treasury Management 2011, which includes the requirement for determining a treasury strategy on the likely financing and investment activity for the forthcoming financial year. The Code also recommends that members are informed of Treasury Management activities at least twice a year. This report therefore ensures this authority is embracing best practice in accordance with CIPFA's recommendations.
3. Treasury management is defined as: "The management of the local authority's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."
4. The report has been prepared in accordance with the CIPFA Treasury Management Code and the Prudential Code, and reviews and reports on:
 - Borrowing Activity and Rescheduling
 - Investment Strategy and proposed changes to the Council's approved investment limits
 - Economic Background
 - Compliance with Prudential Indicators approved by Council

Short and Long Term Borrowing

5. Whilst the Council has significant long term borrowing requirements, the Council's strategy of funding capital expenditure through reducing investments rather than undertaking new borrowing remains i.e. we defer taking out new l/t borrowing and fund capital expenditure from day to day positive cash-flows for as long as we can. By using this strategy the Council can minimise cash holding at a time when counterparty risk remains high. The interest rates achievable on the Council's investments are also significantly lower than the current rates payable on long term borrowing.
6. Whilst the strategy minimises investment counterparty risk, the risk of interest rate exposure is increased as the current 'low for longer' borrowing rates may rise in the future. The market position is being constantly monitored in order to minimise this risk.
7. During the first half of the year the amount of borrowing has reduced by £8.65m, this relates mainly to borrowing associated with the Queensberry debt (reduced by £8m). This reduction in borrowing may only be temporary in nature due to positive cash flow in other areas of the Council, therefore there may be an increase in borrowing in relation to this prior to any conclusion of the scheme. The borrowing associated with this loan is kept separate from the Council's other borrowing requirements shown in Appendix C. The loan is anticipated to be paid off via capital receipts in 2016/17, therefore the Council is not required to make MRP charges to the revenue budget in relation to the Friars Walk Development loan as the borrowing will be paid off in full at the end of the scheme. If the development is not sold in the coming months, the Council will need to re-finance any existing borrowing which is due to be repaid, which will require a review of the 2017/18 Treasury Management Strategy and Indicators
8. With the exception Queensberry loans discussed above, no further long term loans have been taken out in the first half of the financial year. However, it is anticipated that the Council will need to undertake additional borrowing on a short term basis for the remainder of the year in order to cover normal day to day cash flow activity. With current estimates it is not expected that any additional

long-term borrowing would be required at this stage.

9. Appendix C summarises the Council's debt position as at 30 September 2016. The changes in debt outstanding relate to the raising and repaying of temporary loans and principle repayments against EIP loans with the PWLB.
10. The value of the Council's LOBO money market loans has reduced to £30m due to a £5m LOBO with Barclays being converted to fixed rate borrowing at the same rate. No loans were called during the period. All £30m outstanding is subject to potential change of interest rates by the lender (which would automatically trigger a right to the Council to repay these loans) prior to the end of this financial year. Should a change of interest rate be requested, then it will be considered in detail and a decision on how we proceed will be made in conjunction with our treasury advisors.

Investments

11. As per the agreed strategy, the Council will be a short-term investor to maintain low cash balances as required. As at 30th September 2016, there was a nil balance of short-term investments outstanding. Across a typical month, the Council both invests and borrows short term to manage day-to-day cash-flow's.
12. Following the completion of the City Centre re-development the Council may have surplus cash to invest in relation to payment received from the sale of the development. This is because the repayment could be received prior to the loans the Council took out itself in relation to this, maturing themselves. Investment of this surplus cash will need to be allocated where it minimises risk while achieving a return for the Council, prior to using the cash to repay the Council's own borrowing in relation to this scheme.
13. The Council does not hold any long-term (more than 364 days) investments as at 30th September 2016.

Counter Party Update

14. Various indicators of credit risk reacted negatively to the result of the referendum on the UK's membership of the European Union. UK bank credit default swaps saw a modest rise but bank share prices fell sharply, on average by 20%, with UK-focused banks experiencing the largest falls. Non-UK bank share prices were not immune although the fall in their share prices was less pronounced.
15. Fitch downgraded the UK's sovereign rating by one notch to AA from AA+, and Standard & Poor's downgraded its corresponding rating by two notches to AA from AAA. Fitch, S&P and Moody's have a negative outlook on the UK. S&P took similar actions on rail company bonds guaranteed by the UK Government. S&P also downgraded the long-term ratings of the local authorities to which it assigns ratings as well as the long-term rating of the EU from AA+ to AA, the latter on the agency's view that it lowers the union's fiscal flexibility and weakens its political cohesion.
16. Moody's affirmed the ratings of nine UK banks and building societies but revised the outlook to negative for those that it perceived to be exposed to a more challenging operating environment arising from the 'leave' outcome.
17. There was no immediate change to Arlingclose's credit advice on UK banks and building societies as a result of the referendum result. Our advisor believes there is a risk that the uncertainty over the UK's future trading prospects will bring forward the timing of the next UK recession.

18. The European Banking Authority released the results of its 2016 round of stress tests on the single market's 51 largest banks after markets closed on Friday 29th July. The stress tests gave a rather limited insight into how large banks might fare under a particular economic scenario. When the tests were designed earlier this year, a 1.7% fall in GDP over three years must have seemed like an outside risk. Their base case of 5.4% growth now looks exceptionally optimistic and the stressed case could be closer to reality. No bank was said to have failed the tests. The Royal Bank of Scotland made headline news as one of the worst performers as its ratios fell by some of the largest amounts, but from a relatively high base. Barclays Bank ended the test with Common Equity Tier 1 (CET1) ratios below the 8% threshold, and would be required to raise more capital should the stressed scenario be realised. The tests support our adviser's cautious approach on these banks, reflected in their investment/lending counterparty list .
19. The Council does not currently undertake any significant investments therefore the risk is currently limited. There were no significant changes in credit ratings advised in the first half of the financial year that had implications for the approved lending list, other than Standard Chartered who have suspended investments in for unsecured investments, the Council did not have any investments in this counterparty. The long term rating of Santander UK, the Council's bankers, remains at A, above the Council's minimum level of A-. The counterparty limits for banking are shown in Appendix D.

Economic Background

20. Appendix A outlines the underlying economic environment during the first half of the financial year, as provided by the Council's Treasury Management Advisors Arlingclose.

Compliance with Prudential Indicators approved by Council

21. The Authority can confirm that it has complied with the Prudential Indicators for 2016/17 set in February 2016 as part of the Treasury Management Strategy. Details of treasury-related Prudential Indicators can be found in Appendix B (a-g).
22. The Authority measures and manages its exposures to treasury management risks using various indicators which can be found in Appendix B (h-j). In the main in the first half of the year the Authority has stayed within the limits set. However, due to the borrowing undertaken for Queensberry the amount of borrowing 'due within 12 months' has exceeded the percentage limit set.
23. In setting the percentage limit for borrowing due 'within 12 months', there was the expectation that the loan outstanding from Queensberry would be repaid, therefore further borrowing in relation to this would remain under the 12 month limit. However, as the loan was not repaid earlier in the year, borrowing has still been required in relation to this as detailed earlier in the report. The level of borrowing undertaken has been taken over a short period (under 12 months), therefore exceeding the percentage limit, as there is the possibility that we would not need to re-finance the majority of these loans in the long-term therefore avoiding a cost of carry.
24. The risk associated with this is minimal, especially when the amount of borrowing with a maturity period of 12-24 months is zero. In order to continue with this prudent process for the remainder of the financial year an increase in the percentage limit to 80% would be required.
25. Details of the current counterparty limits and lending periods of UK institutions can be found in Appendix D.

Financial Summary

- There are no direct costs arising from this report.

Risks

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
Investment counterparty not repaying investments	High but depending on investment value	Low	The Council only invests with Institutions with very high credit scores. It employs advisors to monitor money market movements and changes to credit scores and acts immediately should things change adversely. The lower levels of funds available for investment will also alleviate the risk.	Members, Head of Finance, Treasury staff, based on advice from treasury advisors
Interest Rates moving adversely against expectations	Low	Low	Base and short-term Interest rates are expected to remain at current levels until Q3 in 2016. The Treasury strategy approved allows for the use of short term borrowing once investment funds are exhausted to take advantage of these low rates.	Head of Finance, Treasury staff, treasury advisors

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

It is the Council's policy to ensure that the security of the capital sums invested is fully recognised and has absolute priority. The Council follows the advice of the Welsh Governments that any investment decisions take account of security, liquidity and yield in that order.

Options Available

The Prudential Code and statute requires that, during and at the end of each financial year, reports on these matters are presented to Council for approval.

Note the prudential indicators and treasury management indicators have been adhered to, except for the percentage of total borrowing that has been maturity date within 12 months.

Approve the requirement to increase the percentage limit of total borrowing with a maturity date within 12 months to 80%.

Preferred Option and Why

Note the contents of the report.

Approve the request to Council to approve the increase in the percentage limit of total borrowing with maturity date within 12 months to 80%.

Comments of Chief Financial Officer

There are no direct financial implications from this report. Decisions made on treasury matters will be made with a view the Treasury Management Strategy, Treasury Advisors and Prudential Indicators.

In order to reflect the potential short term nature of borrowing in relation to outstanding loans it is advised that the percentage limit of total borrowing undertaken within 12 months is increased.

Comments of Monitoring Officer

There are no legal implications. The in year and annual treasury management report is consistent with relevant Chartered Institute of Public Finance and Accountancy Guidance, Treasury Management principles and the Council's investment strategy.

Staffing Implications: Comments of Head of People and Business Change

There are no staffing implications arising from this report.

Comments of Cabinet Member

N/A.

Background Papers

Treasury Management Strategy report to Audit Committee January 2016.

Report on Treasury Management for the period to 30 September 2016 to Audit Committee 1st December 2016.

Report to Council February 2016: 2016/17 Budget and Medium Term Financial Plan

Dated: 04 November 2016

APPENDIX A

External Context

The preliminary estimate of Q2 2016 GDP showed reasonably strong growth as the economy grew 0.7% quarter-on-quarter, as compared to 0.4% in Q1 and year/year growth running at a healthy pace of 2.2%. However the UK economic outlook changed significantly on 23rd June 2016. The surprise result of the referendum on EU membership prompted forecasters to rip up previous projections and dust off worst-case scenarios. Growth forecasts had already been downgraded as 2016 progressed, as the very existence of the referendum dampened business investment, but the crystallisation of the risks and the subsequent political turmoil prompted a sharp decline in household, business and investor sentiment.

The repercussions of this plunge in sentiment on economic growth were judged by the Bank of England to be severe, prompting the Monetary Policy Committee to initiate substantial monetary policy easing at its August meeting to mitigate the worst of the downside risks. This included a cut in Bank Rate to 0.25%, further gilt and corporate bond purchases (QE) and cheap funding for banks (Term Funding Scheme) to maintain the supply of credit to the economy. The minutes of the August meeting also suggested that many members of the Committee supported a further cut in Bank Rate to near-zero levels (the Bank, however, does not appear keen to follow peers into negative rate territory) and more QE should the economic outlook worsen.

In response to the Bank of England's policy announcement, money market rates and bond yields declined to new record lows. Since the onset of the financial crisis over eight years ago, Arlingclose's rate outlook has progressed from 'lower for longer' to 'even lower for even longer' to, now, 'even lower for the indeterminable future'.

The new members of the UK government, particularly the Prime Minister and Chancellor, are likely to follow the example set by the Bank of England. After six years of fiscal consolidation, the Autumn Statement on 23rd November is likely to witness fiscal initiatives to support economic activity and confidence, most likely infrastructure investment. Tax cuts or something similar cannot be ruled out.

Whilst the economic growth consequences of BREXIT remain speculative, there is uniformity in expectations that uncertainty over the UK's future trade relations with the EU and the rest of the world will weigh on economic activity and business investment, dampen investment intentions and tighten credit availability, prompting lower activity levels and potentially a rise in unemployment. These effects will dampen economic growth through the second half of 2016 and in 2017.

Meanwhile, inflation is expected to pick up due to a rise in import prices, dampening real wage growth and real investment returns. The August Quarterly *Inflation Report* from the Bank of England forecasts a rise in CPI to 0.9% by the end of calendar 2016 and thereafter a rise closer to the Bank's 2% target over the coming year, as previous rises in commodity prices and the sharp depreciation in sterling begin to drive up imported material costs for companies.

The rise in inflation is highly unlikely to prompt monetary tightening by the Bank of England, with policymakers looking through import-led CPI spikes, concentrating instead on the negative effects of Brexit on economic activity and, ultimately, inflation.

Market reaction: Following the referendum result gilt yields fell sharply across the maturity spectrum on the view that Bank Rate would remain extremely low for the foreseeable future. The yield on the 10-year gilt fell from 1.37% on 23rd June to a low of 0.52% in August, a quarter of what it was at the start of 2016. The 10-year gilt yield has since risen to 0.69% at the end of September. The yield on 2- and 3-year gilts briefly dipped into negative territory intra-day on 10th August to -0.1% as prices were driven higher by the Bank of England's bond repurchase programme. However both yields have since recovered to

0.07% and 0.08% respectively. The fall in gilt yields was reflected in the fall in PWLB borrowing rates, as evidenced in Tables 2 and 3 below.

On the other hand, after an initial sharp drop, equity markets appeared to have shrugged off the result of the referendum and bounced back despite warnings from the IMF on the impact on growth from 'Brexit' as investors counted on QE-generated liquidity to drive risk assets.

The most noticeable fall in money market rates was for very short-dated periods (overnight to 1 month) where rates fell to between 0.1% and 0.2%.

Money Market Data and PWLB Rates

The average, low and high rates correspond to the rates during the financial year rather than those in the tables below.

Please note that the PWLB rates below are Standard Rates. Authorities eligible for the Certainty Rate can borrow at a 0.20% reduction. Borrowing eligible for the project rate can be undertaken at a 0.40% reduction.

Table 1: Bank Rate, Money Market Rates

Date	Bank Rate	O/N LIBID	7-day LIBID	1-month LIBID	3-month LIBID	6-month LIBID	12-month LIBID	2-yr SWAP Bid	3-yr SWAP Bid	5-yr SWAP Bid
01/4/2016	0.50	0.36	0.36	0.39	0.46	0.61	0.88	0.78	0.83	0.98
30/4/2016	0.50	0.36	0.36	0.38	0.47	0.62	0.90	0.86	0.95	1.13
31/5/2016	0.50	0.35	0.37	0.39	0.46	0.61	0.89	0.82	0.92	1.09
30/6/2016	0.50	0.35	0.36	0.39	0.43	0.55	0.80	0.49	0.49	0.60
31/7/2016	0.50	0.15	0.45	0.42	0.52	0.64	0.77	0.47	0.47	0.54
31/8/2016	0.25	0.11	0.18	0.18	0.38	0.54	0.69	0.42	0.42	0.48
30/9/2016	0.25	0.10	0.25	0.45	0.51	0.61	0.74	0.43	0.42	0.47
Minimum	0.25	0.02	0.15	0.18	0.30	0.50	0.66	0.38	0.37	0.42
Average	0.43	0.26	0.37	0.42	0.52	0.66	0.83	0.61	0.64	0.75
Maximum	0.50	0.43	0.55	0.61	0.72	0.83	1.04	0.88	0.99	1.20
Spread	0.25	0.41	0.40	0.43	0.42	0.33	0.38	0.51	0.62	0.78

Table 2: PWLB Borrowing Rates – Fixed Rate, Maturity Loans (Standard Rate)

Change Date	Notice No	1 year	4½-5 yrs	9½-10 yrs	19½-20 yrs	29½-30 yrs	39½-40 yrs	49½-50 yrs
01/4/2016	125/16	1.33	1.82	2.51	3.24	3.33	3.19	3.15
30/4/2016	165/16	1.37	1.95	2.65	3.34	3.40	3.25	3.21
31/5/2016	205/16	1.36	1.93	2.56	3.22	3.27	3.11	3.07
30/6/2016	249/16	1.17	1.48	2.09	2.79	2.82	2.61	2.57
31/7/2016	292/16	1.07	1.31	1.84	2.57	2.65	2.48	2.44
31/8/2016	336/16	1.09	1.23	1.65	2.22	2.29	2.12	2.08
30/9/2016	380/16	1.02	1.20	1.70	2.34	2.43	2.29	2.27
	Low	1.01	1.15	1.62	2.20	2.27	2.10	2.07
	Average	1.20	1.54	2.12	2.81	2.87	2.70	2.67
	High	1.40	2.00	2.71	3.40	3.46	3.31	3.28

Table 3: PWLB Borrowing Rates – Fixed Rate, Equal Instalment of Principal (EIP) Loans (Standard Rate)

Change Date	Notice No	4½-5 yrs	9½-10 yrs	19½-20 yrs	29½-30 yrs	39½-40 yrs	49½-50 yrs
01/4/2016	125/16	1.50	1.86	2.54	2.99	3.25	3.34
30/4/2016	165/16	1.59	1.99	2.68	3.11	3.34	3.42
31/5/2016	205/16	1.58	1.97	2.58	2.99	3.23	3.30
30/6/2016	249/16	1.24	1.51	2.11	2.55	2.79	2.86
31/7/2016	292/16	1.13	1.34	1.87	2.31	2.58	2.67
31/8/2016	336/16	1.12	1.25	1.67	2.02	2.23	2.31
30/9/2016	380/16	1.05	1.22	1.72	2.13	2.36	2.44
	Low	1.03	1.17	1.64	2.00	2.20	2.28
	Average	1.30	1.57	2.15	2.58	2.82	2.89
	High	1.63	2.04	2.73	3.17	3.41	3.48

Table 4: PWLB Variable Rates (standard rate)

	1-M Rate	3-M Rate	6-M Rate	1-M Rate	3-M Rate	6-M Rate
	Pre-CSR	Pre-CSR	Pre-CSR	Post-CSR	Post-CSR	Post-CSR
1/4/2016	0.61	0.65	0.67	1.51	1.55	1.57
30/4/2016	0.61	0.65	0.67	1.51	1.55	1.57
31/5/2016	0.65	0.66	0.70	1.55	1.56	1.60
30/6/2016	0.64	0.62	0.62	1.54	1.52	1.52
31/7/2016	0.55	0.48	0.45	1.45	1.38	1.35
31/8/2016	0.38	0.41	0.48	2.18	1.31	1.38
30/9/2016	0.38	0.40	0.48	1.28	1.30	1.38

Please note PWLB rates are standard rates

APPENDIX B

Prudential Indicators

(a) Gross Debt and the Capital Financing Requirement

This is a key indicator of prudence. In order to ensure that over the medium term debt will only be for a capital purpose, the local authority should ensure that debt does not, except in the short term, exceed the total of capital financing requirement in the preceding year plus the estimates of any additional capital financing requirement for the current and next two financial years.

If in any of these years there is a reduction in the capital financing requirement, this reduction is ignored in estimating the cumulative increase in the capital financing requirement which is used for comparison with **gross** external debt.

The Head of Finance reports that the Authority had no difficulty meeting this requirement in 2015/16 and 2016/17 (to date), nor are there any difficulties envisaged for future years. This view takes into account current commitments and existing plans .

(b) Estimates of Capital Expenditure

This indicator is set to ensure that the level of proposed capital expenditure remains within sustainable limits and, in particular, to consider the impact on Council Tax and in the case of the HRA, housing rent levels.

Capital Expenditure	2016/17 Approved £m	2016/17 Revised £m	2017/18 Estimate £m	2017/18 Revised £m	2018/19 Estimate £m
Total	46.8	38.5	18.2	36.4	10.9

Capital expenditure will be financed or funded as follows:

Capital Financing	2016/17 Approved £m	2016/17 Revised £m	2017/18 Estimate £m	2017/18 Revised £m	2018/19 Estimate £m
Capital Receipts	5.2	1.7	0.6	6.8	1.0
General Capital Grant	2.5	2.5	2.2	2.2	2.2
Other Specific Grants	13.1	15.0	4.2	13.1	2.6
S106 Contributions	5.0	2.9	0	0	0
Revenue Contributions	0.3	3.3	0	0	0
Total Financing	26.1	25.4	7.0	22.1	5.8
Supported borrowing	4.1	4.1	3.6	3.6	3.6
Unsupported borrowing	16.6	9.0	7.4	10.5	1.5
Finance Leases	0	0	0.2	0.2	0
Total Funding	20.7	13.1	11.2	14.3	5.1
Total Financing and Funding	46.8	38.5	18.2	36.4	10.9

The table above shows that the capital expenditure plans of the Authority cannot be funded entirely from sources other than external borrowing.

(c) Ratio of Financing Costs to Net Revenue Stream:

This is an indicator of affordability and highlights the revenue implications of existing and proposed capital expenditure by identifying the proportion of the revenue budget required to meet financing costs. The definition of financing costs is set out in the Prudential Code.

The ratio is based on costs net of investment income.

Ratio of Financing Costs to Net Revenue Stream	2016/17 Approved %	2016/17 Revised %	2017/18 Estimate %	2018/19 Estimate %	2019/20 Estimate %
Total	8.8	8.7	8.7	8.8	8.2

(d) Capital Financing Requirement

The Capital Financing Requirement (CFR) measures the Authority's underlying need to borrow for a capital purpose. The calculation of the CFR is taken from the amounts held in the Balance Sheet relating to capital expenditure and financing.

Closing Capital Financing Requirement	2015/16 Actual £m	2016/17 Estimate £m	2017/18 Estimate £m	2018/19 Estimate £m	2019/20 Estimate £m
Total CFR	230.5	233.8	238.1	241.7	243.1

(e) Incremental Impact of Capital Investment Decisions

This is an indicator of affordability that shows the impact of capital investment decisions on Council Tax and Housing Rent levels. The incremental impact is calculated by comparing the total revenue budget requirement of the current approved capital programme with an equivalent calculation of the revenue budget requirement arising from the proposed capital programme.

Incremental Impact of Capital Investment Decisions	2016/17 £	2017/18 Estimate £	2018/19 Estimate £	2019/20 Estimate £
Increase / (Reduction) in Band D Council Tax*	2.88	4.24	4.46	(2.75)

Assumes a 4.0% cumulative increase in Council Tax although no decision has been taken to this effect.

(f) Authorised Limit and Operational Boundary for External Debt

The Local Government Act 2003 requires the Authority to set an 'Authorised Borrowing Limit', irrespective of their indebted status. This is a statutory limit which should not be breached.

The 'Operational Boundary' is based on the same estimates as the Authorised Limit but reflects the most likely, prudent but not worst case scenario without the additional headroom included within the Authorised Limit.

The Authority confirms that there were no breaches to the Authorised Limit and the Operational Boundary during 2016/17 to date:

	Authorised Limit 2016/17 £000s	Operational Boundary 2016/17 £000s	Actual Debt as at 30/09/2016 £000s	Estimated Debt as at 31/03/2016 £000s
Borrowing	350,000	330,000	211,762	231,762
Other Long-term Liabilities	47,000	47,000	51,201	51,201
Total	397,000	377,000	262,963	282,963

(g) Adoption of the CIPFA Treasury Management Code

This indicator demonstrates that the Authority has adopted the principles of best practice.

Adoption of the CIPFA Code of Practice in Treasury Management

The Council approved the adoption of the CIPFA Treasury Management Code at its Council meeting on 29th June 2009.

The Authority has incorporated the changes from the revised CIPFA Code of Practice into its treasury policies, procedures and practices.

Treasury Management Indicators

(h) Upper Limits for Fixed Interest Rate Exposure and Variable Interest Rate Exposure

- These indicators allow the Authority to manage the extent to which it is exposed to changes in interest rates.
- The upper limit for variable rate exposure allows for the use of variable rate debt to offset exposure to changes in short-term rates on our portfolio of investments.

	Approved Limits for 2016/17 £/%	Maximum during 2016/17 £/%
Upper Limit for Fixed Rate Exposure	100%	100%
Compliance with Limits:		Yes
Upper Limit for Variable Rate Exposure	50%	0%
Compliance with Limits:		Yes

(i) Maturity Structure of Fixed Rate Borrowing

This indicator is to limit large concentrations of fixed rate debt needing to be replaced at times of uncertainty over interest rates.

Maturity Structure of Fixed Rate Borrowing	Upper Limit %	Lower Limit %	Actual Fixed Rate Borrowing as at 30/9/2016 £000s	% Fixed Rate Borrowing as at 30/9/2016	Compliance with Set Limits?
under 12 months	40%*	0%	94,976	45%	No
12 months and within 24 months	20%	0%	0	0	Yes
24 months and within 5 years	70%	0%	44,153	21%	Yes

5 years and within 10 years	50%	0%	37,695	18%	Yes
10 years and within 20 years	30%	0%	11,930	6%	Yes
20 years and within 30 years	20%	0%	0		Yes
30 years and within 40 years	20%	0%	1,950	1%	Yes
40 years and within 50 years	20%	0%	16,058	7%	Yes
50 years and above	20%	0%	5,000	2%	Yes
Total			211,762		

(The 2011 revision to the CIPFA Treasury Management Code now requires the prudential indicator relating to Maturity of Fixed Rate Borrowing to reference the maturity of LOBO loans to the earliest date on which the lender can require payment, i.e. the next call date¹)

* To be revised to 80% due to potential short term nature of borrowing relating to Friars Walk.

(j) Upper Limit for Total principal sums invested for periods longer than 364 days

The purpose of this limit is to contain exposure to the possibility of loss that may arise as a result of the Authority having to seek early repayment of the sums invested.

Upper Limit for total principal sums invested over 364 days	2016/17 Approved £m	30/9/2016 Actual £m	31/03/2017 Estimate £m	31/03/18 Estimate £m
TOTAL	100	0	0	0

APPENDIX C

Loan Debt Activity - 1 April 2016 - 30 September 2016

Newport City Council Debt	Outstanding as at 31/03/16 £000's	Debt Raised £000's	Debt Repaid £000's	Outstanding as at 30/09/2016 £000's
Public Works Loans Board	72,437	0	650	71,787
Market Loans	35,000	0	0	35,000
Stock Issue	40,000	0	0	40,000
Other Soft Loans (IFRS)				
Queensbury Real Estate Debt **	72,975	79,500	87,500	64,975
Total Long Term Loans	220,412	79,500	88,150	211,762
Temporary Debt*				
Total Long Term and Temporary Debt	220,412	79,500	88,150	211,762

* The temporary debt relates to the normal activities of the Council

**This relates to additional borrowing undertaken to fund the Newport City Centre redevelopment between the Council and Queensberry Real Estate (Newport) Ltd.

Total Investments Administered Newport City Council	Outstanding as at 31/03/16 £000's	Raised £000's	Repaid £000's	Outstanding as at 30/09/2016 £000's
Total	3,100	216,095	219,195	0

APPENDIX

COUNTERPARTY LIMITS FOR BANKING - UK INSTITUTIONS

	Unsecured Investments		Secured Investments	
Counterparty - Banking UK Institutions	Maximum Counterparty Limit and Group Limit (if applicable)	Maximum Lending Period	Maximum Counterparty Limit and Group Limit (if applicable)	Maximum Lending Period
Bank of Scotland	£5,000,000	13 Months	£10,000,000	2 years
Barclays Bank Plc.	£5,000,000	100 Days	£10,000,000	2 years
Close Brothers Ltd	£5,000,000	6 Months	£10,000,000	2 years
Goldman Sachs International Bank	£5,000,000	100 Days	£10,000,000	2 years
HSBC Bank Plc.	£5,000,000	13 Months	£10,000,000	2 years
Lloyds Bank Plc.	£5,000,000	13 Months	£10,000,000	2 years
National Westminster Bank Plc.	£2,500,000	35 Days	£10,000,000	2 years
Nationwide Building Society	£5,000,000	6 Months	£10,000,000	2 years
Royal Bank of Scotland	£2,500,000	35 Days	£10,000,000	2 years
Santander UK Plc. (Banco Santander Group)	£5,000,000	6 Months	£10,000,000	2 years
Standard Chartered Bank (suspended)	£5,000,000	6 Months	£10,000,000	2 years



Report

Newport City Council

Part 1

Date: January 2017

Item No:

Subject **Schedule/ Diary of meetings**

Purpose To adopt a schedule of meetings for the period May 2017 to May 2018

Author Chief Democratic Services Officer

Ward All wards

Summary The proposed schedule of meetings attempts to structure the diary with a series of meetings to facilitate the decision making process through the Council, Executive and Regulatory Committees. The schedule of meetings also sets a pattern of meetings for Scrutiny Committees and other bodies.

The diary does not include dates for meetings of individual Cabinet Members as Cabinet Members will take a view on when they need to meet to make decisions, rather than be bound by a diary of meetings. This will, of course, not affect members' opportunities for consultation on proposed decisions or to request to meet the Cabinet Member before decisions are taken

It is suggested that the dates, times and locations of all meetings other than the Council meeting are to be left to each individual committee. It is suggested that the needs of Councillors who have work or other commitments at any time during the day are taken into account by the various committees and groups.

The schedule will remain a guide and subject to change and amendment to meet the needs of the work programs of each committee or other group

Proposal **To adopt the schedule of meetings as the basis for arrangements for May 2017 to May 2018, recognising it is subject to change and amendment to meet the needs of the work programs of each committee or other group**

Action by Chief Democratic Services Officer

Timetable As set out in the diary and subject to the views of individual committees

This report was prepared after consultation with:

- All Chief Officers
- Monitoring Officer
- Head of Finance
- Democratic Administrators and Scrutiny staff

Background

The Council needs to agree a schedule of meetings to allow members to be aware of the pattern of meetings and to assist officers in producing reports in good time for the various stages of the decision making process or the overview and scrutiny process.

Work programme and schedule of full Council Meetings

The following sets out the notional Council work programme and proposed dates of meetings. Normally the meetings will commence at 5.00pm and will be broadcast live on the Council's website.

- **16 May 2017:** AGM
- **25 July 2017 :** Annual report of Director of Social Services/NNDR Rate relief / Annual report of DSC
- **26 September 2017:** Improvement Plan Review / Annual report by Scrutiny
- **28 November 2017:** Treasury Management
- **30 January 2018:** Council Tax Reduction Scheme/ Treasury management / Nomination of the Mayor
- **27 Feb 2018:** Budget
- **24 April 2018 :**Improvement Plan/Members Remuneration
- **15 May 2018 :** AGM

Cabinet Meetings

Normally the Cabinet will meet each month but additional meetings will be arranged as necessary. The Leader of the Cabinet will agree any amendments to the programme as shown in this report

Other Committees

For all other meetings, timings of meetings will be a matter for each individual committee. Amendments will be agreed following consultation with committee members.

Financial Summary

There are no specific costs in agreeing a schedule of meetings.

Risks

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
Not adopting a schedule of meetings so that Work planning and key decision making is ad – hoc and lacks transparency and opportunities for proper consultation	M	L	The report suggests an understandable and structured schedule of meetings that meets the needs of the decision making process but is also flexible enough to meet the needs of the council and its members	Chief Democratic Services Officer

Adopting too rigid a schedule will not allow the needs of the council or its members to be taken into account.	M	L	The report offers the opportunity for all committees to arrange meetings to meet the needs of the membership of each committee.	Chief Democratic Services Officer
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Links to Council Policies and Priorities

The schedule of meetings allows work planning to be undertaken in an informed manner allowing the Council's decision making process to meet statutory and constitutional requirements.

Options Available

- To adopt the Schedule as a guide
- To amend the schedule
- To take no action

Preferred Option and Why

The preferred option is to adopt the schedule of meetings as the basis for arrangements for May 2015 to May 2016.

Comments of Chief Financial Officer

There are no direct financial consequences

Comments of Monitoring Officer

The proposed programme of meetings and arrangements for their frequency and timing are in accordance with Section 6 of the Local Government (Wales) Measure 2011, which requires the Council to review the traditional timings of meetings and adjust them to reflect the needs and commitments of Councillors, particularly working Members. The arrangements should be reviewed periodically and can be adjusted, if necessary.

Staffing Implications: Comments of Head of People and Business Change

There are no specific issues in this report

Comments of Cabinet Member

This is a matter for the Council and not an executive function.

Local issues

There are no local issues

Scrutiny Committees

This is a matter for consideration by the Democratic Services Committee.

Equalities Impact Assessment and the Equalities Act 2010

Equalities Impact Assessment is not required

Children and Families (Wales) Measure

No issues in this report relate directly to Children and Young People

Wellbeing of Future Generations (Wales) Act 2015

Not applicable for this report

Crime and Disorder Act 1998

Not applicable for this report

Consultation

As set out above.

May 2017

May 2017							June 2017						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
1	2	3	4	5	6	7				1	2	3	4
8	9	10	11	12	13	14	5	6	7	8	9	10	11
15	16	17	18	19	20	21	12	13	14	15	16	17	18
22	23	24	25	26	27	28	19	20	21	22	23	24	25
29	30	31					26	27	28	29	30		

	Monday	Tuesday	Wednesday	Thursday	Friday
1 - 5 May	1 May	2	3	4	5
		10:00 Licensing Committee	10:00 Planning Committee 17:00 Scrutiny Committee: Learning Caring and Leisure		
8 - 12 May	8	9	10	11	12
	11:00 Cabinet			12:00 Planning Site Sub	
15 - 19 May	15	16	17	18	19
		17:00 Council			
22 - 26 May	22	23	24	25	26
		08:00 Training for Planning Committee members			
29 May - 2 Jun	29	30	31	1 Jun	2

June 2017

June 2017							July 2017						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
			1	2	3	4						1	2
5	6	7	8	9	10	11	3	4	5	6	7	8	9
12	13	14	15	16	17	18	10	11	12	13	14	15	16
19	20	21	22	23	24	25	17	18	19	20	21	22	23
26	27	28	29	30			24	25	26	27	28	29	30
							31						

	Monday	Tuesday	Wednesday	Thursday	Friday
29 May - 2 Jun	29 May	30	31	1 Jun	2
5 - 9 Jun	5	6 09:00 Licensing Committee	7 10:00 Planning Committee	8 10:00 Scrutiny Committee Streetscene, regeneration & safety	9
12 - 16 Jun	12 11:00 Cabinet	13	14 10:00 Scrutiny Committee: Community Development and Planning	15 12:00 Planning Site Sub Committee	16
19 - 23 Jun	19	20	21 17:00 Scrutiny Committee Learning, caring & Leisure	22 17:00 Audit Committee	23
26 - 30 Jun	26	27	28	29 18:00 Liaison with Community Councils	30

July 2017

July 2017							August 2017						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
					1	2		1	2	3	4	5	6
3	4	5	6	7	8	9	7	8	9	10	11	12	13
10	11	12	13	14	15	16	14	15	16	17	18	19	20
17	18	19	20	21	22	23	21	22	23	24	25	26	27
24	25	26	27	28	29	30	28	29	30	31			
31													

	Monday	Tuesday	Wednesday	Thursday	Friday
3 - 7 Jul	3 Jul	4	5	6	7
		11:00 Licensing Committee	10:00 Planning Committee		
10 - 14 Jul	10	11	12	13	14
				12:00 Planning Site Sub 17:00 Scrutiny Committee: Streetscene, Regeneration & Safety	
17 - 21 Jul	17	18	19	20	21
	11:00 Cabinet		16:00 Scrutiny Committee: Community Planning & Development	09:30 Democratic Services Committee	
24 - 28 Jul	24	25	26	27	28
		17:00 Council	17:00 Scrutiny Committee: Learning, Caring and Leisure		
31 Jul - 4 Aug	31	1 Aug	2	3	4

August 2017

August 2017							September 2017						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
	1	2	3	4	5	6					1	2	3
7	8	9	10	11	12	13	4	5	6	7	8	9	10
14	15	16	17	18	19	20	11	12	13	14	15	16	17
21	22	23	24	25	26	27	18	19	20	21	22	23	24
28	29	30	31				25	26	27	28	29	30	

	Monday	Tuesday	Wednesday	Thursday	Friday
31 Jul - 4 Aug	31 Jul	1 Aug	2	3	4
		10:00 Licensing Committee	10:00 Planning Committee		
7 - 11 Aug	7	8	9	10	11
				12:00 Planning Site Sub Committee	
14 - 18 Aug	14	15	16	17	18
21 - 25 Aug	21	22	23	24	25
28 Aug - 1 Sep	28	29	30	31	1 Sep
	10:00 Bank Holiday				

September 2017

September 2017

Mo	Tu	We	Th	Fr	Sa	Su
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

October 2017

Mo	Tu	We	Th	Fr	Sa	Su
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

	Monday	Tuesday	Wednesday	Thursday	Friday
	28 Aug	29	30	31	1 Sep
28 Aug - 1 Sep					
	4	5	6	7	8
4 - 8 Sep		10:00 Licensing Committee	10:00 Planning Committee	10:00 Scrutiny committee: Streetscene, regeneration and safety	
	11	12	13	14	15
11 - 15 Sep	11:00 Cabinet		10:00 Scrutiny committee: Community Planning and Development	12:00 Planning Site Sub Committee 17:00 Standards Committee	
	18	19	20	21	22
18 - 22 Sep			17:00 Scrutiny Committee: Learning, Caring and Leisure	17:00 Audit Committee	
	25	26	27	28	29
25 - 29 Sep		17:00 Council		18:00 Liaison with Community Councils	

October 2017

October 2017							November 2017						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
						1		1	2	3	4	5	
2	3	4	5	6	7	8	6	7	8	9	10	11	12
9	10	11	12	13	14	15	13	14	15	16	17	18	19
16	17	18	19	20	21	22	20	21	22	23	24	25	26
23	24	25	26	27	28	29	27	28	29	30			
30	31												

	Monday	Tuesday	Wednesday	Thursday	Friday
2 - 6 Oct	2 Oct	3	4	5	6
		10:00 Licensing Committee	10:00 Planning Committee		
9 - 13 Oct	9	10	11	12	13
				12:00 Planning Site Sub 17:00 Scrutiny Committee: Streetscene, Regeneration & safety	
16 - 20 Oct	16	17	18	19	20
	11:00 Cabinet		16:00 Scrutiny Committee Community Planning and Development		
23 - 27 Oct	23	24	25	26	27
			17:00 Scrutiny Committee: Learning, caring & leisure		
30 Oct - 3 Nov	30	31	1 Nov	2	3
		10:00 Licensing Committee			

November 2017

November 2017							December 2017						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
		1	2	3	4	5					1	2	3
6	7	8	9	10	11	12	4	5	6	7	8	9	10
13	14	15	16	17	18	19	11	12	13	14	15	16	17
20	21	22	23	24	25	26	18	19	20	21	22	23	24
27	28	29	30				25	26	27	28	29	30	31

	Monday	Tuesday	Wednesday	Thursday	Friday
30 Oct - 3 Nov	30 Oct	31	1 Nov 10:00 Planning Committee	2	3
	6	7	8	9 12:00 Planning Site Sub 17:00 Democratic Services Committee	10
6 - 10 Nov	13 11:00 cabinet	14	15	16 10:00 Scrutiny Committee: Streetscene, Regeneration and Safety	17
	20	21	22 10:00 Scrutiny Committee: Community Planning & development	23	24
13 - 17 Nov	27	28 17:00 Council	29 17:00 Scrutiny Committee: Learning, caring & leisure	30 17:00 Audit Committee	1 Dec
	27 Nov - 1 Dec				

December 2017

December 2017							January 2018						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
				1	2	3	1	2	3	4	5	6	7
4	5	6	7	8	9	10	8	9	10	11	12	13	14
11	12	13	14	15	16	17	15	16	17	18	19	20	21
18	19	20	21	22	23	24	22	23	24	25	26	27	28
25	26	27	28	29	30	31	29	30	31				

	Monday	Tuesday	Wednesday	Thursday	Friday
27 Nov - 1 Dec	27 Nov	28	29	30	1 Dec
4 - 8 Dec	4	5 10:00 Licensing Committee	6 10:00 Planning Committee	7 18:00 Liaison with Community Councils	8
11 - 15 Dec	11	12	13	14 12:00 Planning Site Sub	15
18 - 22 Dec	18 11:00 Cabinet	19	20	21	22
25 - 29 Dec	25	26	27	28	29

January 2018

January 2018

Mo	Tu	We	Th	Fr	Sa	Su
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

February 2018

Mo	Tu	We	Th	Fr	Sa	Su
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28				

	Monday	Tuesday	Wednesday	Thursday	Friday
1 - 5 Jan	1 Jan 18	2	3	4	5
8 - 12 Jan	8	9	10	11	12
		10:00 Licesning Committee	10:00 Planning Committee	17:00 Scrutiny Committee: Streetscene, Regeneration and Safety	
15 - 19 Jan	15	16	17	18	19
	11:00 Cabinet		16:00 Scrutiny Committee: Community Planning & development	12:00 Planning Site Sub	
22 - 26 Jan	22	23	24	25	26
			17:00 Scrutiny Committee: Learning Caring & leisure	17:00 Audit Committee	
29 Jan - 2 Feb	29	30	31	1 Feb	2
		17:00 Council			

February 2018

February 2018							March 2018						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
			1	2	3	4				1	2	3	4
5	6	7	8	9	10	11	5	6	7	8	9	10	11
12	13	14	15	16	17	18	12	13	14	15	16	17	18
19	20	21	22	23	24	25	19	20	21	22	23	24	25
26	27	28					26	27	28	29	30	31	

	Monday	Tuesday	Wednesday	Thursday	Friday
29 Jan - 2 Feb	29 Jan	30	31	1 Feb	2
5 - 9 Feb	5	6 10:00 Licensing Committee	7 10:00 Planning Committee	8	9
12 - 16 Feb	12	13	14	15 12:00 Planning Site Sub Committee	16
19 - 23 Feb	19 11:00 cabinet	20	21	22 09:30 Democratic Services Committee	23
26 Feb - 2 Mar	26	27 17:00 Council- Budget setting	28	1 Mar	2

March 2018

March 2018							April 2018						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
			1	2	3	4							1
5	6	7	8	9	10	11	2	3	4	5	6	7	8
12	13	14	15	16	17	18	9	10	11	12	13	14	15
19	20	21	22	23	24	25	16	17	18	19	20	21	22
26	27	28	29	30	31		23	24	25	26	27	28	29
							30						

	Monday	Tuesday	Wednesday	Thursday	Friday
26 Feb - 2 Mar	26 Feb	27	28	1 Mar	2
5 - 9 Mar	5	6	7	8	9
		10:00 Licensing Committee	10:00 Planning Committee		
12 - 16 Mar	12	13	14	15	16
	11:00 Cabinet		10:00 Scrutiny Committee Community Planning and Development	10:00 Scrutiny Committee Streetscene, Regeneration and safety 12:00 Planning Site Sub	
19 - 23 Mar	19	20	21	22	23
			17:00 Scrutiny Committee: learning, caring & leisure	18:00 Liaison with Community Councils	
26 - 30 Mar	26	27	28	29	30
				17:00 Audit Committee	01:00 Good Friday

April 2018

April 2018							May 2018						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
						1		1	2	3	4	5	6
2	3	4	5	6	7	8	7	8	9	10	11	12	13
9	10	11	12	13	14	15	14	15	16	17	18	19	20
16	17	18	19	20	21	22	21	22	23	24	25	26	27
23	24	25	26	27	28	29	28	29	30	31			
30													

	Monday	Tuesday	Wednesday	Thursday	Friday
2 - 6 Apr	2 Apr 08:00 Easter Monday	3 10:00 Licensing Committee	4 10:00 Planning Committee	5	6
	9	10	11	12 12:00 Planning Site Sub 17:00 Democratic Services Committee	13
9 - 13 Apr	16 11:00 Cabinet	17	18	19 17:00 Scrutiny Committee: streetscene, Regeneration and safety	20
	23	24 17:00 Council	25 16:00 Scrutiny Committee: Community Planning and Development	26	27
16 - 20 Apr	30	1 May	2	3	4
23 - 27 Apr					
30 Apr - 4 May					

May 2018

May 2018							June 2018						
Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su
	1	2	3	4	5	6					1	2	3
7	8	9	10	11	12	13	4	5	6	7	8	9	10
14	15	16	17	18	19	20	11	12	13	14	15	16	17
21	22	23	24	25	26	27	18	19	20	21	22	23	24
28	29	30	31				25	26	27	28	29	30	

	Monday	Tuesday	Wednesday	Thursday	Friday
30 Apr - 4 May	30 Apr	1 May	2	3	4
		10:00 Licensing Committee	10:00 Planning Committee		
7 - 11 May	7	8	9	10	11
	08:00 Bank Holiday			12:00 Planning Site Sub Committee	
14 - 18 May	14	15	16	17	18
	11:00 cabinet	17:00 AGM and Mayor Making			
21 - 25 May	21	22	23	24	25
28 May - 1 Jun	28	29	30	31	1 Jun
	08:00 bank Holiday				

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