

Document Pack



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MONDAY, 25 JANUARY 2016

TO: ALL MEMBERS OF THE EXECUTIVE BOARD

I HEREBY SUMMON YOU TO ATTEND A MEETING OF THE **EXECUTIVE BOARD** WHICH WILL BE HELD IN THE **CHAMBER, COUNTY HALL AT 10.00 AM, ON MONDAY, 1ST FEBRUARY, 2016** FOR THE TRANSACTION OF THE BUSINESS OUTLINED ON THE ATTACHED AGENDA

Mark James

CHIEF EXECUTIVE



PLEASE RECYCLE

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EXECUTIVE BOARD

MEMBERSHIP 10 MEMBERS

Councillor	Portfolio
Councillor Emlyn Dole	Leader (Plaid Cymru) Corporate Leadership and Strategy; Chair of Executive Board; Represents Council at WLGA; Political Advocate for Council; Appoints Executive Board Members; Determines EBM Portfolios; Armed Forces Champion; Liaises with Chief Executive
Councillor David Jenkins	Deputy Leader - Resources (Plaid Cymru) Finance & Budget; ICT; Property / Asset Management; Procurement; Housing Benefits; Revenues; Chairs Executive Board in Leader's absence
Councillor Pam Palmer	Deputy Leader - Communities (Independent) Council Business Manager; Community Champion; Customer Focus & Policy, Police Liaison; Community Safety; Social Justice / Crime & Disorder Community Planning; Anti-Poverty Champion; Sustainability; Bio-diversity; Youth Ambassador; Rural Affairs and Chairs Executive Board in Leader's absence
Councillor Hazel Evans	Technical Services (Plaid Cymru) Refuse; Street Cleansing; Transport Services; Grounds Maintenance; Building Services; Catering Services; Caretaking; Building Cleaning; Transport Services; Emergency Planning; Flooding
Councillor Linda Evans	Housing (Plaid Cymru) Housing – Public; Housing – Private; Equalities; Older People
Councillor Meryl Gravell	Regeneration & Leisure (Independent) Economic Development; West Wales European Centre; Community Development; Sports; Leisure Centres; Museums; Libraries; Country Park
Councillor Gareth Jones	Education and Children (Plaid Cymru) Schools; Children Services; Special Education Needs; Safeguarding; Respite Homes; Regional Integrated School Improvement Service; Adult Community Learning; Youth Services; Lead Member for Children and Young People; Eisteddfod Ambassador
Councillor Jim Jones	Environmental & Public Protection (Independent) Environmental Enforcement; Litter; Unlicensed Waste; Dog Fouling; Parking Services; Trading Standards; Environmental Health.
Councillor Mair Stephens	Human Resources, Efficiencies & Collaboration (Independent) Human Resources; Training; Simpson Compact; Priority Based Budgeting (PPB); Corporate Efficiencies; Welsh Language Champion; Town and Community Councils Ambassador
Councillor Jane Tremlett	Social Care & Health (Independent) Adult Social Services; Residential Care; Home Care; Learning Disabilities; Mental Health; NHS Liaison/Collaboration/ Integration; Carers' Champion; Disability Ambassador; Dementia Care Champion; 50+ Champion.

A G E N D A

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17. ANY OTHER ITEMS OF BUSINESS THAT BY REASONS OF SPECIAL CIRCUMSTANCES THE CHAIR DECIDES SHOULD BE CONSIDERED AS A MATTER OF URGENCY PURSUANT TO SECTION 100B(4)(B) OF THE LOCAL GOVERNMENT ACT, 1972.

MONDAY, 4TH JANUARY, 2016

PRESENT: Councillor E. Dole [Chair]

Councillors:

H.A.L. Evans, L.D. Evans, M. Gravell, D.M. Jenkins, G.O. Jones, T.J. Jones, P.A. Palmer, L.M. Stephens and J. Tremlett.

Present as Observers:

Councillors D.M. Cundy, T. Devichand and J. Williams.

The following officers were in attendance:

Mr M. James	-	Chief Executive
Mr C. Moore	-	Director of Corporate Services
Mr J. Morgan	-	Director of Community Services
Ms R. Mullen	-	Director of Environment
Mr R. Sully	-	Director of Education & Children
Mr P. Thomas	-	Assistant Chief Executive
Ms W. Walters	-	Assistant Chief Executive
Mr J. Fearn	-	Head of Corporate Property
Ms L. Rees Jones	-	Head of Administration & Law
Mrs S. Watts	-	Public Health Services Manager
Ms D. Williams	-	Press Manager
Mrs M. Thomas	-	Democratic Services Officer

Chamber, County Hall, Carmarthen : 10.00 a.m. - 11.20 a.m.

1. APOLOGIES AND OTHER MATTERS

There were no apologies for absence.

Reference was made to the adverse weather conditions and flooding experienced across the county and the Board expressed its appreciation to staff for their efforts in maintaining service delivery and assisting the public under extremely difficult circumstances.

Congratulations were extended to Mr Bruce McLernon, former Director of Social Services with the Authority, who was awarded the O.B.E. in the Queen's New Year's Honours list.

2. DECLARATIONS OF PERSONAL INTEREST

COUNCILLOR	MINUTE NO.	NATURE OF INTEREST
E. Dole	5 – Community Asset Transfer Update	He is a member of Llannon Community Council who are undertaking asset transfer.
D.M. Jenkins	5 – Community Asset Transfer Update	He is a member of Glanamman Town Council who are interested in asset transfer.

D.M. Jenkins	13 – Future Provision of Adult Community Learning by the Department for Education & Children	With reference to Glanamman Community Education Centre – he is a member of Glanamman Town Council who are interested in taking over the facility.
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Officer Declarations

All officers in attendance at the meeting, apart from the Democratic Services Officer, declared personal interests in minute no. 9 – Car Salary Sacrifice Scheme.

3. QUESTIONS BY MEMBERS

The Chair advised that no questions on notice had been submitted by members.

4. PUBLIC QUESTIONS

The Chair advised that no public questions had been received.

5. COMMUNITY ASSET TRANSFER - UPDATE

[NOTE: Councillors E. Dole and D.M. Jenkins had earlier declared an interest in this item.]

Further to the decision made by the Executive Board at its meeting held on 15th December, 2014 (minute 11 refers) in relation to the asset transfer of parks, playgrounds and amenity areas, the Board considered a report providing an update on progress made in relation to community asset transfers including details of transfers which have taken place to date.

The Board was advised that discussions have taken place with the majority of Town and Community Councils and reminders sent to the 5 councils who have not yet responded, reaffirming the timescale of 1st April, 2016 for the submission of expressions of interest and 31st March, 2018 for final transfer.

Whilst significant progress has been made, the process has suffered a setback with Llanelli and Llandovery Town Councils confirming that neither would be taking on any transfers of assets in their respective areas, although Llanelli Town Council has expressed interest in funding some elements of grounds and other maintenance of facilities.

Recent press articles have reaffirmed the timescales for the submission of expressions of interest and final transfer, following the publication of statutory notices seeking public comments on the proposed transfer of these facilities, as required by Section 123 of the Local Government Act 1972. The articles also reiterated that, where no interest is shown, the appropriate consultation would take place on the future of the assets concerned. This process resulted in the receipt of one objection which was to the proposed asset transfer of Parc Howard.

Details of the current position in relation to all proposed asset transfers, copies of the statutory notices and a copy of the objection were appended to the report for

information.

Councillor D.M. Cundy, in accordance with CPR 11.1, asked whether it was an ideal time to review the policy as he believed that circumstances have changed since the policy was introduced in that the beneficial link between health and exercise was now recognised to the extent that leisure and sport now sit as part of the health portfolio. Keeping people fitter for longer will lead to a reduction in the cost of hospitalisations, social care services, occupational therapy etc. which will vastly exceed any savings made by reducing financial support for our sports venues, some of which could face the risk of closure as they cannot afford to take on the maintenance costs. He referred to particular concerns expressed by the public over the future of Parc Howard and asked whether it could be removed from the asset transfer programme and included in the cultural investment, digitisation and regeneration programme as was the case for other museums and the archive service, bearing in mind that investment would have to be made in Parc Howard to ensure that it is in a fit condition to transfer.

The Executive Board Member for Regeneration and Leisure, in response clarified that the Authority had submitted a successful £5m bid to the Lottery for investment in Parc Howard. Unfortunately, the bid failed due to opposition from local residents.

Councillor Cundy was advised that whilst there had been a change in policy in relation to the join up between leisure and health, the principle has been there all along. It was pointed out that the purpose of the asset transfer programme was not just to do with savings but also to ensure equality across the county in the way assets are maintained.

It was pointed out that Llandyfaelog Community Council was not included on the list and the importance of ensuring that all Town and Community Councils are included was stressed.

RESOLVED

5.1 that the information be noted;

5.2 that the objection received to the proposed asset transfer of Parc Howard be noted and that the Leader meet with the Friends of Parc Howard to discuss proposals for its future maintenance.

6. COUNCIL'S REVENUE BUDGET MONITORING REPORT

The Executive Board considered the revenue budget monitoring report for the period 1st April, 2015 to 31st October, 2015 which provided an update on the latest budgetary position as at 31st October, 2015 in respect of 2015/16.

Overall the report forecast an end of year underspend of £273k on the Authority's net revenue budget with an overspend at departmental level of £1,876k.

UNANIMOUSLY RESOLVED

7.1 that the Budget Monitoring report be received;

7.2 that Chief Officers and Heads of Service critically review their budgetary

positions and implement appropriate action to keep within allocated budget.

7. CAPITAL PROGRAMME 2015-16 UPDATE

The Executive Board considered a report providing an update on the capital programme spend against budget for 2015/16 as at the 31st October, 2015. The report included details of the main variances.

UNANIMOUSLY RESOLVED that the capital programme update report be received.

8. FIVE YEAR CAPITAL PROGRAMME 2016-17 - 2020/21

The Executive Board considered a report which provided an initial view of the 5 year capital programme from 2016/17 to 2020/21, which would form the basis of the budget consultation process with members and other relevant parties. Feedback from this consultation process, along with the outcome of the final settlement, would inform the final budget report which would be presented to members for consideration in February, 2016.

The Board was pleased to note the level of investment being made across the Authority on regeneration and infrastructure. The Chief Executive referred to the importance of capitalising on grant funding sources in this regard.

UNANIMOUSLY RESOLVED that the provisional capital programme be endorsed for consultation purposes.

9. CAR SALARY SACRIFICE SCHEME

[NOTE: All officers in attendance at the meeting, apart from the Democratic Services Officer, declared personal interests in this item and left the meeting prior to the consideration and determination thereof.]

The Board considered an update report on the implementation of the Car Salary Sacrifice Scheme which was approved as part of a report submitted to the Executive Board on 15th June, 2015 (minute 11 refers). At that meeting it was resolved that the Car Salary Sacrifice Scheme be offered initially on a pilot for one year to the same employees who would have been eligible for either the Assisted Car Purchase or Car Contract Hire Scheme and that, following the results of the pilot, the scheme be reconsidered to assess whether it could be widened to include all eligible employees within the Authority.

The Board was advised that, following further investigation and discussion with an external scheme advisor, the recommendation detailed above had been amended and it was now proposed that the scheme be opened to all eligible employees within the Authority.

UNANIMOUSLY RESOLVED

9.1 that the Car Salary Sacrifice Scheme be offered to all eligible employees within the Authority;

9.2 the procurement process to continue on implementing the Car Salary Sacrifice Scheme with a view to the scheme starting in 2016.

10. REVIEW OF STATEMENT OF LICENSING POLICY (LICENSING ACT 2013)

The Board was reminded that the current Licensing Policy was adopted by the Authority in January 2011 and the Cumulative Impact Policy (CIP) in respect of Station Road, Llanelli in 2012. Legislation required the Licensing Policy to be reviewed at least every five years to ensure that it reflected feedback from the local community that the statutory objectives were being met.

Since the current Licensing Policy was last reviewed there had been a large number of amendments to the Licensing Act 2003. The Authority's Licensing Section, in conjunction with the legal department, had reviewed the policy document in light of these amendments, revised government guidance and recent case law. These statutory changes had been incorporated into the policy document.

As part of the review the Authority was required to undertake a consultation exercise aimed at Responsible Authorities, local residents, businesses, existing licence holders and their representatives, to ensure that their views could be formally considered by the Authority. The consultation began on the 7th July and ended on the 13th September, 2015.

It was noted that the policy, if approved, would be effective from 10th February, 2016.

RESOLVED TO RECOMMEND TO COUNCIL

- 10.1 that the amended Statement of Licensing Policy be approved;
- 10.2 that the existing Cumulative Impact Policy be retained for Station Road, Llanelli, as detailed in Section 10 of the policy;
- 10.3 that further evidence be gathered in relation to the possible adoption of a Cumulative Impact Policy for Lammas Street, Carmarthen, as a result of responses to the consultation exercise.

11. REVIEW OF GAMBLING POLICY

The Board was reminded that the current Gambling Policy was adopted by the Authority in December 2012 and came into effect on the 31st January, 2013. Legislation required the policy to be reviewed at least every three years to ensure that it reflected feedback from the local community that the statutory objectives were being met.

The Authority's licensing section, in conjunction with the legal department, had reviewed the policy document in light of revisions to Gambling Commission guidance. Officers had liaised closely with the Gambling Commission to ensure that the revised document embraced the changes being introduced by the Commission, which included hosting a collaboration meeting with representatives of the Gambling Commission, Pembrokeshire and Ceredigion Licensing Authorities.

As part of the review the Authority was required to undertake a consultation exercise aimed at the Chief Officer of the Police, representatives of gambling businesses and persons representing the interests of residents and businesses in

the area, in order for their views to be formally considered by the Authority. The consultation began on the 7th July and ended on the 13th September, 2015.

Since the preparation of the report, the Gambling Commission had published a more recent version of their guidance and approval was sought for the Gambling Policy to incorporate and cross-reference with the Gambling Commission's updated guidance.

RESOLVED TO RECOMMEND TO COUNCIL that the amended Gambling Policy, taking into account the Gambling Commission's updated guidance, be approved.

12. REVIEW OF LOCALLY SET FEES IN ENVIRONMENTAL HEALTH AND LICENSING SECTION

The Board was advised that the principle of setting locally set fees had been scrutinised recently in a High Court case, the outcome of which had clarified the type of costs that a Council can recover through locally set licence fees. This included the administration, issuing and, where applicable, enforcement of licences. Fee setting must be transparent, must not exceed the cost of the procedure and be open to scrutiny.

As a result of this clarity over costs that may be included in fee setting, "tool kits" had been designed by the Welsh Licensing Expert Panel which allowed for a consistency of approach for Local Authorities when deciding their charges. They also allowed Local Authorities to ensure that all relevant costs are considered during the calculation.

The Board considered a proposed fee structure for the Environmental Health and Licensing section, details of which were appended to the report at Appendix 1. It was noted that the fees, if approved, would be effective from 1st April, 2016.

UNANIMOUSLY RESOLVED

12.1 to advertise the fees in relation to Street Trading, Private Water Supplies, Stray Dogs, Scrap Metal Dealers, Housing Act 2004 Notice Fees, Mobile Home Site Licensing, HMO Selective Licensing Scheme Fees, Grant Agency Fees and Empty Properties/Houses into Homes, as detailed in Appendix 1 to the report, for a period of 28 days and that the reviewed fees be implemented from 1st April, 2016;

12.2 TO RECOMMEND TO COUNCIL

12.2.1 to advertise the proposed Hackney Carriage and Private Hire fees, as detailed in Appendix 1 to the report, for a period of 28 days as required by the Local Government Miscellaneous Provisions) Act 1976 for persons to submit objections and where there are no objections, the fees shall be implemented from 1st April, 2016;

12.2.2 to advertise the fees in relation to Sex Establishments, Tattooing and Skin Piercing, Safety at Sports Grounds, Food Hygiene Rescore and Boatman and Pleasure Craft Licences, as

detailed in Appendix 1 to the report, for a period of 28 days and that the reviewed fees be implemented from 1st April, 2016.

13. FUTURE PROVISION OF ADULT COMMUNITY LEARNING BY THE DEPARTMENT FOR EDUCATION AND CHILDREN

[NOTE: Councillor D.M. Jenkins had earlier declared an interest in this item.]

The Executive Board considered a report providing details of the current financial position facing the Department of Education & Children's Adult Community Learning Service. This service was not core funded by the Council and was dependent upon Welsh Government (WG) grants to function. Over the past year the service had experienced a £289k reduction in WG grants that fund course provision, staff and related buildings.

In addition to this reduction in grant funding, in September 2015 the management of Coleg Sir Gâr decided that it would not be possible to transfer service staff and course provision from the County Council into the college structure. A detailed budget monitoring exercise highlighted that the service was currently approximately £147k over the allocated budget for community learning in the 2015/16 year. These factors meant that, unless alternative funding from Council budgets to support community learning delivery was identified, the service would not be able to continue to deliver the current range of courses, manage the range of service building and employ the related staff.

In the absence of any identified additional funding to support the service, officers had planned how the Adult Community Learning Service could function using the budget available in the 2016/17 financial year and recommended that the following actions be undertaken:-

1. The Adult Community Learning service budget be prioritised for the delivery of adult basic education, literacy, numeracy, digital literacy courses, English for speakers of other languages (including language provision for refugees) and activities to target the hardest to reach learners and people experiencing the effects of poverty;
2. The Adult Basic Education section of the service is restructured in 2016 to be able to deliver this provision in the most cost effective manner possible;
3. A review of the course fee policy takes place, with fees to be charged for ESOL courses, though Basic Skills (literacy and numeracy) courses will remain free;
4. The provision of other adult community learning classes (e.g. in subjects such as art, crafts, languages, computing and humanities) cease to be provided by the service after 31st March, 2016 with the resulting reduction in the number of related staff employed;
5. The service formally relinquishes management and all related running costs of the Cennen Centre in Ammanford, Glanamman Community Education Centre and Felinfoel Community Education Centre as of 31st March, 2016;
6. The service retains a presence in Carmarthen town, exploring options for

the location of provision by assessing the viability of utilising space in Carmarthen library, or continuing to use the Carmarthen Education Centre or other premises, and retains the use of rooms in Llanelli library;

7. The Adult Community Learning service retains a role in collating information about courses offered by other organisations and individuals in Carmarthenshire and promotes this information via website listings and a named contact officer.

It was pointed out that this provided an opportunity to encourage the third sector to take up the role of providing non-accredited courses such as crafts like crochet and cross-stitch and also exercise programmes.

UNANIMOUSLY RESOLVED

13.1 that the report detailing the need to restructure and refocus the work of the Department for Education and Children's Adult Community Learning Service following significant Welsh Government funding cuts be received;

13.2 that the recommendations for the future delivery of the Adult Community Learning Service within the identified budget for the 2016/17 year, as detailed above, be endorsed;

13.3 that information about courses offered by organisations and individuals in Carmarthenshire be listed on i-Local.

14. WELSH IN EDUCATION

The Board considered a report providing an update on developments on the Welsh in Education Strategic Plan. The report included performance data in relation to the Welsh language in schools, detailed progress on "Codi Caerau Sir Gâr" and marketing materials and provided updates on other developments relating to Welsh in education.

UNANIMOUSLY RESOLVED that the report be received.

15. MODERNISING EDUCATION PROGRAMME - PROPOSAL TO DISCONTINUE LLANGENNECH INFANT SCHOOL AND LLANGENNECH JUNIOR SCHOOL AND ESTABLISH LLANGENNECH COMMUNITY PRIMARY SCHOOL

The Board considered a report detailing a proposal to discontinue Llangennech Infant School and Llangennech Junior School and establish Llangennech Community Primary School. It was proposed that the new school would be a 3-11 Welsh Medium language category with a nursery provision.

Following the retirement of the headteacher of Llangennech Infant School at the end of the Summer term 2013 a soft federation was established with the headteacher of Llangennech Junior School. In September 2014 the Governing Bodies of both schools resolved to pursue a formal federation as from April, 2015. The Authority now wished to proceed with a proposal to create a Community Primary School to replace Llangennech Infant and Junior Schools.

UNANIMOUSLY RESOLVED that the proposal to discontinue Llangennech Infant School and Llangennech Junior School and establish Llangennech Community Primary School be endorsed.

16. PROPOSED DISPOSAL OF LAND AND BUILDINGS HELD IN TRUST SITUATED AT PEMBREY COMMUNITY EDUCATION CENTRE (PREVIOUSLY PEMBREY WAR MEMORIAL HALL), MOUNTAIN ROAD, PEMBREY, BURRY PORT, CARMARTHENSHIRE

The Board was informed that the Council's Adult Community Learning (ACL) Service has managed Pembrey Community Education Centre since the creation of the Unitary Authority in 1996.

The ACL Service has been subject to on-going cuts to core and grant budgets since 2008 and a review of building utilisation in 2011/12 highlighted that the use of the building for ACL service courses was minimal, however, a range of local organisations including the Pembrey Ysgol Feithrin Group used the centre.

Since the running and upkeep costs for the building were high and included a full-time caretaker it was considered prudent to explore other means of managing this facility in partnership with the local community and following a consultation process, Pembrey and Burry Port Town Council confirmed that they were prepared to take over the management of the building.

UNANIMOUSLY RESOLVED that the building be transferred to Pembrey and Burry Port Town Council on the terms identified in the report.

17. (DRAFT) CARMARTHENSHIRE COUNTY COUNCIL STRATEGIC EQUALITY PLAN 2016-2020

The Board was advised that the Equality Act 2010 included a new public sector equality duty, replacing the separate duties on race, disability and gender equality.

The aim of the general duty was to ensure that public authorities and those carrying out a public function consider how they could positively contribute to a fairer society through advancing equality and good relations in their day-to-day activities.

The draft Strategic Equality Plan had been prepared to outline how the Council will meet its duties under the Equality Act 2010 and the Specific Duties for Wales. The draft strategy included six key objectives that the Council will work towards achieving, based on its role as an employer, as a provider of services and as a community leader.

UNANIMOUSLY RESOLVED TO RECOMMEND TO COUNCIL that Carmarthenshire County Council's Strategic Equality Plan 2016-2020 be endorsed for implementation from April 2016.

18. ACTIVE TRAVEL (WALES) ACT - LOCAL AUTHORITY REQUIREMENTS

The Board was advised that the Active Travel (Wales) Act became a duty in September 2014 and placed a statutory requirement on Local Authorities to continuously improve routes for walkers and cyclists and to prepare maps

identifying current and potential future routes.

By connecting key sites such as workplaces, hospitals, schools and shopping areas with traffic free routes and cycle lanes, the Act aimed to encourage people to rely less on their cars when making short journeys. The Act aimed to make active travel the most attractive option for shorter journeys, on the basis that enabling more people to undertake active travel would mean more people could enjoy the health benefits, help reduce greenhouse emissions, tackle poverty and disadvantage and help the economy to grow.

Currently, the main focus of the Act was the statutory obligation to create and publish Existing Route Maps which must be completed and submitted to the Welsh Government by 22nd January, 2016.

It was noted that the Trimsaran had been omitted from the map and would be included as soon as possible.

UNANIMOUSLY RESOLVED

18.1 that the requirements of the Active Travel (Wales) Act 2013 be noted;

18.2 that the actions undertaken by the Council to date with regards to the development of an Existing Route Map for Carmarthenshire be approved.

19. MINUTES

UNANIMOUSLY RESOLVED that the minutes of the meeting of the Executive Board held on the 30th November 2015 be signed as a correct record.

CHAIR

DATE

EXECUTIVE BOARD

1ST February 2016

Subject: Proposals for 3-19 Curriculum and Assessment Reform in Carmarthenshire Schools

Purpose: To appraise the Executive Board of strategic and operational proposals to realise curriculum reform in Carmarthenshire schools and the local learning network to the year 2021 and beyond

Recommendations / key decisions required:

1. To receive the internal interim report, entitled 'Palmantu'r Ffordd / Paving the Way',
2. To seek approval for the main findings of Paving the Way
3. Be appraised of complementary work being developed in parallel re the 11-19 component of the overarching review
4. To facilitate elected members being able to exercise their scrutiny function regarding how The Department of Education and Children propose to drive forward major areas of relevant Welsh Government education policy

Reasons: Planning curriculum change emanating from the Welsh Government *Qualified for Life* agenda (2014) and subsequent reports and policy initiatives, most notably, '*Successful Futures* (Donaldson: 2015); *Teaching Tomorrow's Teachers* (Furlong:2015) and the *New Deal* for the Education Workforce

Relevant scrutiny committee to be consulted: YES

Scrutiny committee and date: Education and Children 21.01.16

EXECUTIVE BOARD / COUNCIL : 01.02.16 / 10.02.16

Exec Board Decision Required YES

Council Decision Required YES

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Councillor Gareth O Jones

Directorate: Education and Children

Name of Head of Service:
J.Aeron Rees

Report Author: J.Aeron Rees
(with input from Matt Morden)

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EXECUTIVE SUMMARY

Executive Board

1.02.2016

Proposals for 3-19 Curriculum and Assessment reform in Carmarthenshire Schools

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

'Palmantu'r Ffordd / Paving the Way' is a **3-19 strategic review of curriculum and assessment arrangements in Carmarthenshire**. Partially building on existing practice, this internal report offers strategic and operational proposals to promote and develop the **Donaldson** (Successful Futures) recommendations, the **Furlong Review** and the **New Deal** in all our schools and special settings. Reference is made to other policy drivers such as the **Lead Creative Schools** initiative, **Global Futures** and the **Bilingual +1** nation. Currently, the **116 page** document has **47 recommendations**, approaches curriculum and assessment reform at several scales, and is summarised as follows:

- **Macro scale** (Large scale)– picking up Prof. Donaldson's theme, investigating how phenomena such as **Globalisation** and the **Knowledge Economy** will require our learners to gain a wide range of experiences, skills and competencies which will truly equip them for 21st Century life and living. We want all our young people to be *'well qualified and well educated'*. This involves nurturing the **holistic** development of **well rounded young people** as well as developing **employability** skills and other attributes which will facilitate access to the international, national, regional and local economies. In time, this can aid regeneration and will serve to foster a high skill, high wage economy and active citizenship within sustainable and vibrant communities.
- **Meso Scale** (Medium scale)– looking at: the LA/local **governance** of Successful Futures; **how Lead Pioneer Schools can work with their wider clusters and networks**; how tasks and activities might be demarcated or allocated in order to deepen understanding and increase capacity; investigating **the interplay between WG/consortium/hub and LA activity** as alluded to in the National High Level Plan launched on 22.10.15 – and how several of the **8 building blocks** and **4 enablers** described therein can be harnessed in order to make progress on the ground; how the concept of **Subsidiarity** can be developed e.g. in the development of a **Local Curriculum** and **Pupil Offer** for Carmarthenshire.
- **Micro Scale** (Small scale) – Developing models, tools and scaffolds for **whole school and departmental/phase curriculum planning**; investigating **the links between curriculum planning** and the **pedagogy** and **assessment** required in order to realise the reformed curriculum – thus embedding the **four core purposes** of the Successful Futures report.
- Investigating the **Leadership and change management approaches** required at all levels in order to implement Successful Futures effectively.

- Provides **timescales, milestones** and **draft targets** to implement reform and measure progress.

The report’s recommendations are ready to be taken forward and, subject to approval, will be disseminated shortly to a wider audience, via various groups – who will also be charged with various aspects of implementation. *Paving the Way* is consistent with the afore-mentioned WG High Level Plan, ‘A curriculum for Wales – A curriculum for life’ and offers a **way forward** for the **next 6 years and beyond**. The High Level Plan incorporates the deployment of the **Pioneer Schools Network**, which will be initially charged with scoping out the **rudiments of the new curriculum** and the **associated professional learning** required to bring the changes to bear (The New Deal element), with other schools concentrating specifically upon **digital competence**. **Thirteen schools** in Carmarthenshire have been accorded Pioneer School status, which is considered above quota, pro rata.

Pioneer Schools will be expected to work closely with their **local clusters of schools** and **networks** and further capacity for curriculum reform will be built by incorporating our **14 Lead Creative Schools** (a parallel and complementary WG/Arts Council for Wales initiative), again above quota, pro rata.

11-19 Curriculum Review Update

Since July 2015, the Learning Transformation Manager has been undertaking a review of the 11-19 curriculum in Carmarthenshire. This work has been carried out in parallel with the development of the *Paving the Way* document and follows discussions between the local authority and Coleg Sir Gâr regarding the development of a strategic vision for education in the County.

This review focuses how the local learning network can identify and implement a Carmarthenshire curriculum at Key Stage 3, Key Stage 4 and Post 16 in school, college and training provider settings. This work is informed by statutory changes made to the curriculum by the Welsh Government and the needs of the local and regional economy. The review identifies how the existing partnership structures will need to evolve in order deliver a curriculum that meets the needs of all 11-19 learners in the county.

2. OTHER OPTIONS AVAILABLE AND THEIR PROS AND CONS

Synergy will be sought throughout with developments at regional and national levels. Implementation of curriculum reform in Carmarthenshire thus aims to fully complement, and adhere to, the steer offered via the national rollout. This may entail adapting our approach somewhat as the agenda unfolds over the next 6 years, and officers will update and appraise members as required via the corporate process.

DETAILED REPORT ATTACHED ?	YES
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IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: **J.Aeron Rees**

Head of Learner Programmes

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
NONE	YES	YES	YES	YES	YES	NONE

2. Legal

The current National Curriculum dates back to the 1888 Education Reform Act and, over the intervening years, has been subject to several revisions - most notably in 2008 and 2012. School curriculum is thus enshrined in statute and is further informed by a plethora of non-statutory guidance.

The Successful Futures (February 2015) report has received Ministerial approval and will herald an unprecedented phase of curriculum reform up to 2021 and beyond. It is envisaged that the vital components of this programme will be captured in primary legislation, with other aspects covered by non-statutory guidance.

3. Finance

Successful Futures and the New Deal are major Welsh Government policy initiatives, which will be driven forward initially by the Pioneer Schools network. Each Pioneer Curriculum and New Deal school has been granted the sum of £7,500 to initiate developmental activity for the period between January – March 2016. Further funding is expected in the new financial year, but is yet to be announced.

Pioneer schools are expected to disseminate early findings and test ideas with their wider school networks and local clusters. Carmarthenshire's vision is that this reform agenda is 'for the many and not the few' i.e. we are of the opinion that all schools need to be engaged. This will entail coordination and support – as outlined by the governance model proposed in the interim report. Capitalising upon 'in-kind working' and encouraging effective and targeted use of school directed time, potential costs can be kept down, with scope for area coordination being part funded from the Pioneer Schools pot. That said, some resource pressure will be inevitable and can be further quantified according to perceived need and availability as the agenda unfolds.

4. ICT

Digital Competence is a major cross-cutting theme in the emerging curriculum, which will be accorded equal status to Literacy and Numeracy. Pioneer Digital schools are working with Welsh Government to formulate the Digital Competence framework, which will be launched in September 2016.

It is foreseen that there will be demands for additional ICT resource in schools as a result of this framework, the extent and nature of which needs to be determined in advance of the new curriculum becoming available.

Additionally, there is a significant training agenda for teachers and school support staff, as we move from the rather mechanical notion of school ICT (using software such as spreadsheets, word processing etc) to the creation of software and applications, coding and other high level digital competencies.

5. Risk Management Issues

Successful Futures (and associated policy initiatives) has the potential to transform the Welsh education landscape and has been heralded as the '*most thought-provoking and exciting set of proposals for a generation*' (Huw Lewis, Minister for Education – March 2015). At best, the recommendations should serve to realize an exciting and engaging curriculum, truly fit for 21stC life and living. However, if implemented half-heartedly or sporadically, there is potential for mediocrity – in curriculum planning, in the resultant teaching and learning and its associated assessment. Failure to fully undertake the reform programme poses risks to school standards and will challenge young peoples' life chances and prospects.

We must therefore get the vision implemented properly and seek to eliminate or nullify any potential risks. The infrastructure to ensure successful implementation needs to be supported – and, in its formative stages, is currently operating on a meager resource base.

WG support to underpin the implementation will be necessary and will be actively canvassed.

7. Staffing Implications

As the agenda unfolds, there may be capacity issues to address, which can be assessed by: an appraisal of current staffing deployment within the Learner Programmes division; seeking support with certain operational matters – e.g. via ERW and/or considering short term secondments as funding becomes available. The newly formed DepNet group – i.e. the secondary school senior leaders' forum - could provide further input. Realising reform of this scale will demand input across the whole system and school leaders and school staff in general will be expected to engage with the proposals, via in-house and school to school activity. Additionally, there will be opportunities for school staff to work on a county-wide basis in various task and finish groups.

An underlying theme pervading through the whole programme will be developing the leadership attributes of the education workforce at all levels. People can, and should be, developed via this agenda – to aid with succession planning, to foster ownership, to help take the principles of school to school working into a state of maturity and to further professionalise the workforce.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: **J.Aeron Rees**

Head of Learner Programmes

1. Scrutiny Committee Scrutiny Committee consulted on January 21st 2016

2. Local Member(s) N/A

3. Community / Town Council N/A

4. Relevant Partners

Short of sending full findings, certain 'work in progress' summary documentation has been shared with ERW, WG to gauge synergy with regional/national policy and to canvass opinions. Feedback has been very positive, the direction of travel is generating interest at WG and is considered to be 'well ahead of the game'.

5. Staff Side Representatives and other Organisations

DMT – 21.10.15 and 4.11.15 (approval to proceed has been granted at DMT)

CMT – 1.12.15 (report received at CMT)

PEB – 14.12.15 (report received at PEB)

High Level summaries and progress shared with Schools' Strategy and Budget Forum; Primary and Secondary Head teachers

Distributed for info: 3x 3rd Tier managers within LP; Regional Hub School Improvement Lead; Principal Challenge Adviser

11-19 Component of the review – Task and Finish Steering group, with representatives from secondary schools and Further Education

Main conclusions: Strategy and Budget Forum 20.1.16; Curriculum Reform Reference Group 22.1.12

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Successful Futures (The Donaldson Report) – Executive Summary	n/a	http://gov.wales/docs/dcells/publications/150303-great-debate-summary-cy.pdf http://gov.wales/docs/dcells/publications/150303-great-debate-summary-en.pdf?utm_source=great-debate&utm_medium=summary&utm_campaign=dfes
Successful Futures (The Donaldson Report) – full Report – February 2015	n/a	http://gov.wales/docs/dcells/publications/150317-successful-futures-en.pdf http://gov.wales/docs/dcells/publications/150317-successful-futures-cy.pdf
Teaching Tomorrow’s Teachers (The Furlong Report) – March 2015	n/a	http://gov.wales/docs/dcells/publications/150309-teaching-tomorrows-teachers-final.pdf http://gov.wales/docs/dcells/publications/150309-teaching-tomorrows-teachers-cy.pdf
A curriculum for Wales – a curriculum for life – October 2015	n/a	http://gov.wales/docs/dcells/publications/151021-a-curriculum-for-wales-a-curriculum-for-life-en.pdf http://gov.wales/docs/dcells/publications/151021-a-curriculum-for-wales-a-curriculum-for-life-w.pdf
Lead Creative Schools – prospectus (Arts Council for Wales / WG) – May 2015	n/a	http://www.artscouncilofwales.org.uk/what-we-do/creative-learning/the-lead-creative-schools-scheme http://www.artscouncilofwales.org.uk/what-we-do/creative-learning/cynllun-yr-ysgolion-creadigol-arweiniol?diablo.lang=cym
Palmantu’r Ffordd / Paving the Way – Full Report -	n/a	CouncilFilePlan.Adr.terf.ppt
Palmantu’r Ffordd / Paving the Way – Powerpoint Executive Summary	n/a	CouncilFilePlan.ppt
11-19 Review Update (Matt Morden)	n/a	11-19ReviewNovember update.docx

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Palmantu'r Ffordd / Paving The Way

A Strategic Review of 3-19 Curriculum and Assessment Arrangements in Carmarthenshire

Executive Summary of Findings

1. Background to report

1.1. Future Historians may be minded to conclude that 2015 constituted a watershed moment in Welsh education, whereby old paradigms were dispensed with, heralding a new dawn of fresh and remodelled thinking. It is thus timely that Welsh Government has initiated a programme of curriculum and assessment reform. Certain revisions to practice have already been instigated under the *Qualified for Life (QfL)* agenda (October 2014). Furthermore, and of great significance, is the publication on February 25th, 2015 of Professor Graham Donaldson's much awaited '*Successful Futures – an independent review of curriculum and assessment arrangements in Wales*' which spans the 3-16 age range. Allied to this is Professor John Furlong's report on Initial Teacher Education and Training, '*Teaching Tomorrow's Teachers*' – 2015), both of which will be marshalled by the Ministerial *New Deal* for the education workforce.

1.2. Prof. Donaldson's report and its wide-reaching implications will feature prominently in our thinking as a nation and as a Local Authority in the years ahead. It is up to us now to harness its potential for the benefit of every learner, school and teacher within our Authority. Working closely with our regional consortia colleagues in ERW, there are a number of firm recommendations provided within '*Paving The Way*' – which will strive to build upon our strengths, whilst also moving forward in concert with the philosophical and practical proposals espoused by Prof. Donaldson and the overarching QfL agenda. The adopted title, '*Palmantu'r Ffordd / Paving the Way*' alludes to a path which can be forged for the benefit of our young people, both present and future.

1.3. A **six year** programme has been outlined. *Paving the Way* is considered primarily a **bridge between Donaldson's vision and the reality of how it might start to look on the ground**. With due regard to the component parts of *Successful Futures*, conceptual tools, models and scaffolds are proposed which might serve to provoke further debate as to the practicalities and requirements of implementation. With an integrated approach, other policy drivers can be harnessed and channelled in the same direction – in a complementary rather than a contradictory manner.

2. Purposes of Report

- To outline the main themes and challenges in present-day curriculum planning, in response to imminent and far reaching curriculum reforms at a national scale;
- To propose original responses to complicated problems posed by impending curriculum reform – with proposals at strategic, operational and tactical levels
- To cultivate a debate as to ways forward in developing, adapting and improving curriculum planning in Carmarthenshire schools – in order to improve outcomes for all;
- To provide preliminary ideas for developing a bespoke programme of school leadership development in the field of curriculum planning, pedagogy and assessment for school leaders in Carmarthenshire;
- To provide pointers for further work in respect of raising standards which can be supported by curriculum reform;
- To offer firm strategies for implementing meaningful curriculum change, in order to benefit the education of all learners in Carmarthenshire.
-

3. Report Outcomes

3.1. The Qualified for Life agenda offers a programme of **major reform**. The educational landscape or change setting to which this reform may be applied is considered at three scales:

- **Macro Scale** – curricular implications of worldwide trends such as globalisation and the growth of the knowledge economy, coupled with national policy directives
- **Meso Scale** – Regional and Local Authority initiatives and structures
- **Micro Scale** – implications for school curriculum planning and classroom practice

3.2. There are **39 recommendations** in total which offer **strategic, operational** and **tactical** proposals, the following being the main conclusions:

- The development of an **Intelligent Curriculum**, which is faithful to the following strap line:

'Ensuring that all children and young people in Carmarthenshire are both well qualified and well educated'

- An intelligent curriculum ensures the **holistic development** of young people, prepares them for the challenges and opportunities of:
 - 21st century **life and living** and nurtures their attributes as independent lifelong learners
 - **Pursuing career pathways** into FE, HE and the world of work (in the local, regional, national and international labour market)
- Embraces the concept of **Subsidiarity**, with its stress on **locally determined educational solutions** to local challenges and opportunities, under the guidance of a degree of national steer and primary legislation
- Advocates further work on extending initial ideas offered in developing:
 - A **Carmarthenshire Curriculum Statement**
 - A **Local Curriculum** and **Prospectus** – thus developing pupils' sense of place, sense of time and promoting the Welsh Dimension in an **ethical**, international context
 - A **Carmarthenshire Curriculum Entitlement** and **Learner Guarantee**
 - Will be **complementary** to the work being developed by Matt Morden (see background papers and Appendix below)
- Recommends approaches to integrating various policy initiatives impinging upon curriculum design and delivery – *Qualified for Life*, *Successful Futures*, *Teaching Tomorrow's Teachers (2015)*, *The New Deal (2013)*, *Lead Creative Schools (2015)* and *Bilingual+1 nation (2015)*
- Proposes that the education system in Carmarthenshire continues to evolve into a '**Global 4th Way**' system, resonant of approaches adopted currently in Scandinavia, and favoured by Welsh Ministers
- Advocates nurturing the **employability** of learners in the local, regional and worldwide economy, with particular stress on developing **thinking** skills as a foundation for content learning:
 - Teaching for thinking
 - Teaching of thinking
 - Thinking about thinking
- Proposes adopting a '**teach less, learn more**' philosophy, to facilitate **deep learning**
- Building upon **Successful Futures** in particular, this report (in Chapters 2 and 4 particularly) proposes several **curriculum, pedagogy and assessment models and concepts** which can be incorporated **to cultivate an initial debate** as to how the Donaldson Review might start to be implemented on a

practical basis, with particular reference to establishing the **four core purposes** within the curriculum.

- This can lead to a **structured programme of professional learning for school leaders and practitioners in Carmarthenshire**
 - **Pioneer Schools** in Carmarthenshire will be at the vanguard of developments initially, but clearly expected to network and interact within their local clusters in an **ethos of curriculum co-construction** from the outset:
 - Our **Pioneer Curriculum Schools** will develop the **6 Areas of Learning and Experience** and investigate learning *of* subjects, learning *between* subjects and learning *through* subjects and will decide if their solutions to curriculum development will be **conservative, prudent** or **radical**
 - Our **Pioneer New Deal Schools** will forge developments in the professional learning and development required to realise curriculum reform
 - Our **Pioneer Digital Schools** will help realise the **National Digital Competence Framework** by September 2016
 - Curriculum reform will be '**for the many, not the few**', with all schools - irrespective of Pioneer status - encouraged and expected to buy in to the developments in their respective localities
- Discusses practical ways of developing:
 - Leadership of **Curriculum** (at whole school and departmental/phase level);
 - Leadership of **Pedagogy**;
 - Leadership of **Assessment** (Assessment *of* learning, Assessment *for* learning and Assessment *as* learning);
 - Leadership of **Standards**;
 - **System** Leadership;
 - Leadership of **Change**;
 - Leadership of **People and Resources**
- Provides a pragmatic model for taking forward Donaldson's recommendations 21-30 (**the Role of the Welsh language and teaching through the medium of Welsh in the curriculum**)
- In Chapter 3, highlights **quantitative evidence** where performance standards require attention and where **curriculum development and school improvement** can interact jointly to bring about further improvements:
 - Focuses on **Performance at various Key stages**, with particular **emphasis on KS4**
 - **Closing attainment gaps** between groups of learners
 - On an LA level, exemplifies and proposes methods of tackling:
 - **Between school** variation
 - **Within school** variation
 - **Between subject** variation
 - **Within subject** variation
- Proposes developing a **culture of curriculum design** to unleash 'greatness in the classroom'
- Drawing on empirical curriculum data, offers an **evaluative examination of Carmarthenshire secondary school curricula and timetabling models** with recommendations for ways forward
- Provides recommendations as to the **Governance of Curriculum reform – with a stress on school to school working in a self-improving system**
- Considers a **change management strategy**, **implementation phases** and proposed **timelines**

4. Conclusion

The Donaldson review is about unleashing professional creativity; it is also about raising the bar. It is about equipping 21st Century teachers to truly lay the foundations of 21st Century teaching and learning for learners of the present day and learners of the future. Irrespective of whether the vagaries of politics pose risks to this reform agenda, the genie is out of the bottle. We might decide to do a lot of this regardless of the affairs of state - because it is inherently right to do so. Paving the way to the future is within our gift; it is up to us to forge that path intelligently and with reverence to the insightful steer that we've been given. It is up to us to realise that future, and it may even become our legacy to future generations.

Postscript / Appendix

Pioneer Schools in Carmarthenshire (announced by the Minster 5.11.15)

- **New Deal Pioneer Schools**: Bryngwyn & Glanymor; Coedcae; Strade; Bro Banw.
- **Curriculum Pioneer Schools**: Bro Myrddin; Llandybie; Bryngwyn & Glanymor
- **Digital Pioneer Schools**: 'Ar Garlam' Group – Teilo Sant, Llangadog, Peniel, Y Dderwen and Nantgaredig

Lead Creative Schools in Carmarthenshire (announced July 2015)

Rhyd y Gors; Coedcae, Bigyn, Stebonheath, Halfway; Maes y Morfa; Heol Goffa; Peniel; Burry Port; Bro Banw, Ysgol Gymraeg Rhydaman, Y Bedol; Ffwrnnes; Dyffryn Taf

Additional Complementary Information:

Developing in parallel with Paving the Way, since July 2015, Matt Morden - the Learning Transformation Manager - has been undertaking a review of 11-19 education in Carmarthenshire. This work follows discussions between the local authority and Coleg Sir Gar regarding the development of a strategic vision for education in the County. This element will focus particularly upon the local learning network and the collaboration/partnership agreements which will be deemed necessary in order to realise mandatory curriculum requirements. Furthermore, it will propose new ways forward in light of changes such as the GCSE 'capped 9' measure which will be operative from 2017 and take account of proposed changes to post 16 funding.

Given the strength of current partnership working between schools, the college and the local authority, it was felt that that a shared strategic approach is needed to deliver the 11-19 education and training in Carmarthenshire in the future. This approach also informs the future plan for curriculum delivery in the county and is complementary to the main overarching 3-19 report.

The 11-19 review component will identify the universal curriculum offered to young people at Key Stage 3, Key Stage 4 and in Post 16 Learning and the learning pathways that link these educational phases. It will also highlight the **range of targeted support** available for young people with additional needs. The combination of the universal curriculum offer, related subject choices **and their content** and the targeted support (e.g. counselling, Careers Education and Guidance) available will make up a Carmarthenshire learner entitlement at each of the three stages in 11-19 education and training. This will link directly with local labour market needs, with the vocational pathways being prioritised around key industry growth sectors both locally and regionally.

Following scoping of the relevant policy and the development of provisional curriculum models a draft report for this element of the global review is currently in development. Informed by consultation with all relevant parties, it is hoped that this will be completed by early January 2015, with the recommendations focussing on:

- The agreement of the key and common components of 11-14, 14-16 and 16-19 shared curriculum offer;
- The agreement of the shared governance and commissioning structure for revised curriculum offer ;
- An implementation plan for an agreed curriculum model across all Carmarthenshire Secondary Schools and the FE Sector .

Pending consultation on the contents of the report, synergy with the 3-19 review in its totality will be in place by January 2016 for final reporting. Subject to consultation on the contents of the final report and progress through the democratic process it is envisaged that an agreed Carmarthenshire curriculum could be implemented from September 2016.

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EXECUTIVE BOARD

01/02/2016

<p>Subject: MODERNISING EDUCATION PROGRAMME (MEP)</p> <p>Purpose:</p> <p>PROPOSED DISCONTINUATION OF COPPERWORKS INFANT AND NURSERY SCHOOL AND LAKEFIELD PRIMARY SCHOOL AND ESTABLISH A NEW PRIMARY SCHOOL</p>		
<p>Recommendations / key decisions required:</p> <p>It is recommended that the Executive Board :</p> <ul style="list-style-type: none"> Approves to proceed with its proposal to discontinue Copperworks Infant and Nursery School and Lakefield Primary School and to implement the proposal as detailed in the Statutory Notice dated 3rd November, 2015. 		
<p>Reasons:</p> <ul style="list-style-type: none"> To comply with statutory procedures and guidance in relation to school re-organisation. 		
<p>Relevant Scrutiny Committee Consulted: YES - 21st January, 2016</p> <p>The Education & Children Scrutiny Committee</p> <p>10.1 UNANIMOUSLY RESOLVED to endorse the proposal to discontinue Copperworks Infant and Nursery School and Lakefield Primary School and establish a New Primary School and to implement the proposal as detailed in the Statutory Notice dated 3rd November 2015.</p>		
<p>Executive Board Decision Required: YES - 1st February, 2016</p>		
<p>Council Decision Required: YES - 10th February, 2016</p>		
<p>Executive Board Member Portfolio Holder:</p> <p>Cllr. Gareth Jones (Education & Children Portfolio Holder)</p>		
<p>Directorate:</p> <p>Department for Education and Children</p> <p>Name of Head of Service:</p> <p>Gareth Morgans</p> <p>Report Author:</p> <p>Simon Davies</p>	<p>Designation</p> <p>Chief Education Officer</p> <p>School Modernisation Manager</p>	<p>Tel No:</p> <p>01267 246450</p> <p>E Mail Address:</p> <p>EDGMorgans@carmarthenshire.gov.uk</p> <p>Tel No: 01267 246471</p> <p>E Mail Address:</p> <p>SIDavies@carmarthenshire.gov.uk</p>

EXECUTIVE SUMMARY

EXECUTIVE BOARD

1st FEBRUARY 2016

MODERNISING EDUCATION PROGRAMME

PROPOSED DISCONTINUATION OF COPPERWORKS INFANT AND NURSERY SCHOOL AND LAKEFIELD PRIMARY SCHOOL ESTABLISH A NEW PRIMARY SCHOOL

Background

The 21st Century Schools Programme – programme of projects 2011 was approved by Executive Board on the 12th December 2011 which included capital investment at Copperworks Infant and Nursery school and Lakefield Primary school to facilitate a new Primary school to be located on the former Draka site at Seaside Llanelli following a site selection study. A revised Modernising Education Programme (MEP) and 21st Century Band A investment programme was approved on 29th April 2013

It is an ongoing objective of the Authority to where possible create a Community Primary School to replace existing school buildings which are in a poor condition with inherent defects which includes Asbestos, Water penetration through external walls and Roofs, Historic Dry Rot problems which would be very costly to repair along with shortcomings in educational suitability and access for disabled users.

The County Council has a legal duty to look at the number and type of schools it has in Carmarthenshire and is required to make sure that they are located in the right place, have the right facilities for the future and have the right resources to deliver education and learning for pupils. Changes in the curriculum and the way in which children will be taught in the future also means that we also have to look at whether or not, it is possible or too costly, to adapt the existing buildings to meet the future needs of the pupils.

In accordance with County Council instructions in January 2015 a consultation document was produced and distributed to identified interested parties with regard to the following proposal.

Proposal

- to discontinue Copperworks Infant and Nursery School on 31st August, 2016
- to discontinue Lakefield Primary School on 31st August, 2016
- as from 1st September, 2016, to establish a new 3-11 Dual Stream (DS – Welsh and English) language category Community Primary School on the existing sites and buildings of the current Copperworks infant and nursery school and the current Lakefield Primary School to cater for 60 nursery places and 420 pupils aged 3 – 11 until such time the new school building is complete.

The linguistic change of category from English Medium (EM) and English with significant Welsh (EW) to Dual Stream (DS) will increase the provision of Welsh medium education in Carmarthenshire and ensures linguistic continuity from the nursery sector along the key stages to the secondary sector so that every pupil becomes fluent and confident in Welsh and English. (as detailed in the Welsh in Education Strategic Plan 2014-2017)

As part of the consultation process consultees were invited to forward their observations or any comments they wished to make in relation to the proposal to the Council.

A Consultation Report was produced and published electronically which provided details of the observations received as well as the Authority's response to the issues raised including Estyn's response to the consultation document and details of the consultation undertaken with the pupils at Copperworks Infant and Nursery and Lakefield Primary schools.

Under the requirements set out in the Code on School Organisation which came into force on 1st October 2013 a Statutory Notice has to be published within 26 weeks. Due to the time lapsing to publish a notice in relation to this proposal a time extension was requested and granted from Welsh Government.

In accordance with the County Council instructions in July 2015 a Statutory Notice (attached) was published on the 3rd November 2015 which provided objectors with a one month period in which to forward their objections in writing to the Council.

At the end of the Statutory Notice period **NO** objections were received by the Authority in respect of the proposal.

ECS Scrutiny Committee and Executive Board have the opportunity to offer comment and a recommendation to County Council whether or not to implement the proposal as laid out in the Statutory Notice.

The process outlined above would enable the proposal to be presented to County Council for determination in February 2016.

Conclusion

Following the completion of the statutory consultation processes the conclusion remains the same. Having one new school will help keep and develop the sense of belonging, heritage and tradition that helps make up a community whilst at the same time ensuring that the pupils be afforded some of the most modern and up-to-date learning facilities in the county.

Therefore, in the long term interests of pupils in the area it is considered essential that the County Council resolves to implement the proposal to close both Copperworks Infants and Junior School and Lakefield Primary School and make alternative arrangements for the future primary education provision in a "New School" as detailed in the attached Statutory Notice.

Recommendation

Executive Board is requested to approve to implement the proposal to discontinue Copperworks Infant and Nursery School and Lakefield Primary School and to implement the proposal as detailed in the Statutory Notice of 3rd November 2015.

DETAILED REPORT ATTACHED ?

YES (Copy of Statutory Notice)

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: G. Morgans

Chief Education Officer

S. Davies

School Modernisation Manager

Policy and Crime & Disorder	Legal	Finance	ICT	Risk Management Issues	Organisational Development	Physical Assets
YES	YES	YES	NONE	YES	NONE	NONE

1. Policy, Crime & Disorder and Equalities

Developments are consistent with the Authority's Corporate Strategy, Children and Young People's Plan and the Modernising Education Strategic Outline Programme.

2. Legal

Appropriate consultation will need to be initiated in accordance with the relevant statutory procedures.

3. Finance

Revenue implications will be catered for within the Local Management of Schools Fair Funding Scheme.

5. Risk Management Issues

Continuing with current inadequate provision would see current problems being perpetuated with the education of children in the area being placed at unacceptable risk and the County Council failing to meet WG target that all buildings should be of an appropriate standard.

6. Physical Assets

Staffing implications will be addressed in accordance with the County Council's Redeployment Policy and Procedures.

7. Staffing Implications

Two redundant school buildings which would be addressed in accordance with the Modernising Educational Provision Future Use/Disposal of Redundant Land and Buildings arising from the MEP programme policy and procedures.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: G. Morgans

Chief Education Officer

S. Davies

School Modernisation Manager

1. Scrutiny Committee

The Education and Children's Services Scrutiny Committee considered the report at its meeting on the 21st January 2016.

2. Local Member(s)

Local Members Cllr. Keri Thomas, Cllr. Jeffrey Owen, Cllr. Louvain Roberts and Cllr. Winston Lemon have been advised and are supportive of the proposal.

Observations were received from Cllr Louvain Roberts during the formal consultation period.

No objections were received following publication of the Statutory Notice.

3. Community / Town Council

Community Council has been consulted formally during the formal consultation period.

No observations were received during the formal consultation period.

No objections were received following publication of the Statutory Notice.

4. Relevant Partners

Not applicable.

5. Staff Side Representatives and other Organisations

Teaching and non-teaching staff unions have been consulted during the formal consultation stage.

No observations were received during the formal consultation period.

No objections were received following publication of the Statutory Notice.

The following interested parties have also been provided with a copy of the consultation document and Statutory Notice.

Staff (Teaching and Ancillary) Copperworks Infant and Nursery school Lakefield Primary school	Governors and Parents, Copperworks Infant and Nursery school Lakefield Primary school
Carmarthenshire Children's Partnership	Community Councillors Llanelli Town Council
Local County Councillors	Welsh Language Commissioner
Assembly Member (AM) Regional Assembly Member	National Association of Schoolmasters and Union of Women Teachers (NASUWT)
National Union of Teachers (NUT)	Association Of Teachers & Lecturers (ATL)
Undeb Cenedlaethol Athrawon Cymru (UCAC)	The Professional Association of Teachers (PAT)
National Association Of Head Teachers (NAHT)	GMB Union
UNISON	*Neighbouring Primary and Secondary schools in Carmarthenshire
Transport and General Workers' Union (T&G)	LA Special Educational Needs Division
Director of Education – All Neighbouring Authorities	ERW – Education through Regional Working
Local Service Board	Regional Transport Consortium
Local Police and Crime Commissioner	Welsh Ministers
Estyn	Diocesan Director of Education

***Consultation document sent to Headteacher and Chair of Governors (Maes Y Morfa CP, Bigyn CP, Old Road CP, Ysgol Gymraeg Dewi Sant, Pentip VA, Secondary Schools Ysgol Y Strade, Coedcae).**

**Section 100D Local Government Act, 1972 – Access to Information
List of Background Papers used in the preparation of this report:**

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Planning School Places - Primary Schools – The Way Forward		www.carmarthenshire.gov.uk – the County Council Agenda 9 Pre 28/06/2004) – 11/04/2001
Modernising Education Provision Strategy and Draft Implementation Plan		www.carmarthenshire.gov.uk – Education and Learning – Useful Links
Modernising Education Provision Timeline/ Rollout:		www.carmarthenshire.gov.uk – Executive Board Agenda – 31/05/2005
Modernising Education Provision Update / Revised Draft Timetable		www.carmarthenshire.gov.uk – Executive Board Agenda – 24/07/2006



EICH CYNGOR arleinamdani
www.sirgar.llyw.cymru

YOUR COUNCIL doitonline
www.carmarthenshire.gov.wales

Modernising Educational Provision Future Use/Disposal of Redundant Land and Buildings arising from the MEP programme		www.carmarthenshire.gov.uk Executive Board – 31/05/05
MEP Annual Report 2013/14 and Programme 2014/15		http://www.carmarthenshire.gov.uk/ County Council Agenda 14 th January 2015
Strategic Outline Programme 21 st Century Schools		Strategic Outline Programme 21st Century Schools
Carmarthenshire's Welsh in Education Strategic Plan 2014-2017		http://www.carmarthenshire.gov.uk/english/welsh/pages/trafodiaith.aspx
Copperworks Infant and Lakefield Primary Schools Consultation Report		http://www.carmarthenshire.gov.wales/media/964988/ConsultationReportEnglish.pdf

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CYNGOR SIR CAERFYRDDIN

Neuadd y Sir, Caerfyrddin. SA31 1JP

Hysbysir gyda hyn, yn unol ag Adrannau 41 a 43 o Ddeddf Safonau a Threfniadaeth Ysgolion (Cymru) 2013 (y Ddeddf) a'r Côt Trefniadaeth Ysgolion, fod Cyngor Sir Caerfyrddin (y Cyngor), ar ôl ymgynghori â'r personau gofynnol, yn cynnig y canlynol:

1. dod ag Ysgol Fabanod a Meithrin Copperworks, Stryd Nevill, Llanelli, SA15 2RS (a gynhelir gan y Cyngor ar hyn o bryd) i ben ar 31 Awst 2016;
2. dod ag Ysgol Gynradd Maes-llyn, Heol Maes-llyn, Llanelli, SA15 2TS (a gynhelir gan y Cyngor ar hyn o bryd) i ben ar 31 Awst 2016
3. sefydlu ysgol Gynradd Gymunedol newydd, Categori 2, â dwy ffrwd (yr "Ysgol Newydd"), sydd i'w chynnal gan y Cyngor o 1 Medi 2016 yn adeiladau presennol Ysgolion Babanod a Meithrin Copperworks ac Ysgol Gynradd Maes-llyn, ar gyfer bechgyn a merched 3-11 oed.
4. Y bwriad yw lleoli'r "Ysgol Newydd" ar safle ac mewn adeiladau newydd ar hen safle Draka, Heol Copperworks, Llanelli. Rhagwelir y bydd y gwaith adeiladu angenrheidiol wedi'i gwblhau erbyn 31ain Mawrth 2018, ac y bydd yr ysgol a'r adeiladau newydd yn darparu ar gyfer bechgyn a merched 3-11 oed.

Bu Cyngor Sir Caerfyrddin yn cynnal cyfnod ymgynghori cyn penderfynu cyhoeddi'r cynnig hwn. Mae adroddiad ymgynghori sy'n cynnwys crynodeb o'r materion a godwyd gan yr ymgynghoreion, ymatebion y cynigwyr a barn Estyn ar gael yn www.sirgar.llyw.cymru.

O 1 Medi 2016 ymlaen, yn amodol ar ddewisiadau a fynegir gan rieni, bwriedir i'r disgyblion hynny sydd ar gofrestr Ysgol Fabanod a Meithrin Copperworks a'r disgyblion hynny sydd ar gofrestr Ysgol Gynradd Maes-llyn - a'r rhai a fyddai, oni bai am y cynnig hwn, wedi disgwyl mynychu'r ysgolion hynny - gael eu haddysg yn yr "Ysgol Newydd". Dalgylchoedd presennol Ysgol Fabanod a Meithrin Copperworks ac Ysgol Gynradd Maes-llyn fydd dalgylch yr "Ysgol Newydd".

Ni fwriedir i'r trefniadau derbyn i'r "Ysgol Newydd" ddarparu ar gyfer dewis disgyblion ar sail dawn na gallu (bandio disgyblion).

Cyngor Sir Caerfyrddin fydd yr Awdurdod Derbyn ar gyfer yr "Ysgol Newydd".

Tra bydd yr "Ysgol Newydd" yn defnyddio adeiladau presennol Ysgol Fabanod a Meithrin Copperworks a safle Ysgol Gynradd Maes-llyn, 60 fydd nifer y disgyblion a dderbynnir i'r "Ysgol Newydd" pan fyddant yn 4/5 oed, ar sail amser llawn yn y flwyddyn ysgol gyntaf pryd y gweithredir y cynigion. Capasiti o 420 fydd yn yr ysgol newydd, a bydd yn darparu 60 o lefydd meithrin cyfwerth ag amser llawn.

Ar ôl adleoli'r "Ysgol Newydd" i hen safle Draka, Heol Copperworks, Llanelli, nifer derbyn y disgyblion y rhoddir lle amser llawn iddynt yn yr ysgol yn 4/5 oed fydd 60. Capasiti o 420 fydd yn yr ysgol newydd, a bydd yn darparu 60 o lefydd meithrin cyfwerth ag amser llawn.

Categori laith yr ysgol newydd arfaethedig, fel y'i diffiniwyd yn nogfen wybodaeth rhif: 023/2007 Llywodraeth Cymru, "Diffinio ysgolion yn ôl eu darpariaeth Gymraeg", fydd 'Ffrwd Ddeuol - Categori 2'. Mynediad at addysg gyfrwng Gymraeg.

Darperir cludiant i'r "Ysgol Newydd" yn unol â pholisi Cyngor Sir Caerfyrddin ynghylch cludiant o'r cartref i'r ysgol.

Bydd y trefniadau ar gyfer trosglwyddo i Ysgolion Uwchradd yn parhau heb eu newid.

Gall unrhyw un wrthwynebu'r cynigion hyn o fewn cyfnod o 28 diwrnod ar ôl dyddiad eu cyhoeddi, sef erbyn 30 Tachwedd 2015. Dylid anfon gwrthwynebiadau at Mr Robert Sully, y Cyfarwyddwr Addysg a Gwasanaethau Plant, Cyngor Sir Caerfyrddin, Adeilad 2, Parc Dewi Sant, Heol Ffynnon Job, Caerfyrddin, SA31 3HB neu drwy e-bost i DECMEP@sirgar.gov.uk.

Llofnod: Mr Robert Sully
Cyfarwyddwr Addysg a Gwasanaethau Plant
Ar ran Cyngor Sir Caerfyrddin

Dyddiedig: 3ydd o Tachwedd 2015

NODYN ESBONIADOL

(Nid yw'r Nodyn Esboniadol hwn yn rhan o'r Hysbysiad – yn hytrach fe'i cynigir er mwyn cynyddu eglurder)

1. Mae'r Awdurdod yn bwriadu ad-drefnu addysg gynradd yn yr ardal a chreu un ysgol gynradd gymunedol newydd, ynghyd â darpariaeth feithrin newydd, i gymryd lle'r ddwy ysgol bresennol. Lleolir yr ysgol newydd ar hen safle Draka yn Seaside, Llanelli.

Gan fod angen codi adeilad yr "Ysgol Newydd", bydd angen dal ati i ddefnyddio adeiladau presennol Ysgol Fabanod a Meithrin Copperworks ac Ysgol Gynradd Maes-llyn hyd nes y bydd adeiladau'r ysgol newydd wedi eu cwblhau, pryd y symudir y disgyblion i'r adeiladau newydd ar y safle newydd. Mae'r trefniadau arfaethedig yn cael eu crynhoi isod:-

- 31 Awst 2016 – Bydd yr ysgolion presennol, sef Ysgol Fabanod a Meithrin Copperworks ac Ysgol Gynradd Maes-llyn, yn peidio â bodoli.
- 1 Medi 2016 – Bydd ysgol newydd yn agor ar y safle, ac yn defnyddio adeiladau presennol Ysgol Fabanod a Meithrin Copperworks ac Ysgol Gynradd Maes-llyn. Yn ystod y cyfnod hwn, mater i'r Corff Llywodraethu fydd penderfynu ar drefniadaeth yr ysgol, ac ar ba un o'r ddau safle y cynhelir y dosbarthiadau, gan bennu ble bydd y disgyblion yn derbyn eu haddysg. Nhw hefyd fydd yn gyfrifol am ddatblygu Ffrwd Gymraeg newydd yn yr ysgol ar gyfer y disgyblion a dderbynnir ym mis Medi 2016. Ni fydd y ddarpariaeth yn newid yn achos y disgyblion sydd eisoes yn mynychu'r ysgol.
- Mis Ebrill 2018 – Bydd yr holl ddisgyblion yn symud i adeilad newydd yr "Ysgol Newydd" ar hen safle Draka, Heol Copperworks, Llanelli.

2. Mae nifer derbyn yr "Ysgol Newydd", sef 60 o ddisgyblion a'r 60 disgybl Cyfwerth ag Amser Llawn (CALI) ar gyfer y ddarpariaeth feithrin yn rhan o'r trefniadau pontio. Y bwriad yw sicrhau bod y trefniadau derbyn ar gyfer disgyblion yn y cyfnod hwnnw'n unol â strwythur trefniadaeth a rheolaeth yr ysgol newydd pan fydd yn symud i'w safle parhaol ym mis Ebrill 2018.

3. Mae'r polisi cyfredol ynghylch cludiant o'r cartref i'r ysgol yn cadarnhau y bydd yr Awdurdod yn darparu cymorth cludiant yn achos disgyblion sy'n bodloni pob un o'r meini prawf canlynol: -
(a) maent wedi cyrraedd oed ysgol gorfodol;
(b) maent yn mynychu'r ysgol agosaf neu'r ysgol a ddynodwyd gan yr Awdurdod Lleol; ac
(c) maent yn byw ymhellach na'r pellter cerdded statudol o'r ysgol (2 filltir yn achos plant dan 8 oed a 3 milltir yn achos plant sy'n 8 oed neu'n hŷn).

CARMARTHENSHIRE COUNTY COUNCIL

County Hall, Carmarthen. SA31 1JP

Notice is hereby given in accordance with Section 41 and 43 of the School Standards and Organisation (Wales) Act 2013 (the Act) and the School Organisation Code that Carmarthenshire County Council (the Council) having consulted such persons as required, propose the following:

1. to discontinue Copperworks Infant and Nursery School, Nevill Street, Llanelli, SA15 2RS (currently maintained by the Council) on 31 August 2016;
2. to discontinue Lakefield Primary School, Lakefield Road, Llanelli, SA15 2TS (currently maintained by the Council) on 31 August 2016, and
3. to establish a new dual-stream Category 2, Community Primary school (the "New School") to be maintained by the Council from 1 September 2016 in the existing buildings of the current Copperworks Infant and Nursery and Lakefield Primary Schools for boys and girls aged 3-11.
4. It is intended that the "New School" be re-located and accommodated in new buildings on the former Draka site in Copperworks Road, Llanelli. It is anticipated that the necessary construction works will be completed by 31st March 2018 and that the new school and buildings will cater for boys and girls aged 3-11.

The Council undertook a period of consultation before deciding to publish this proposal. A consultation report containing a summary of the issues raised by consultees, the proposers responses and the views of Estyn is available on www.carmarthenshire.gov.wales.

From 1 September 2016, subject to any expression of parental preference, it is proposed that those pupils registered at Copperworks Infant and Nursery School and at Lakefield Primary School and who, but for this proposal, would have expected to attend those schools will be educated at the "New School". The existing catchment areas of Copperworks Infant and Nursery School and at Lakefield Primary School will become the catchment area of the "New School".

It is not intended that admission arrangements to the "New School" will make any provision for selection of pupils by aptitude or by ability (pupil banding).

Carmarthenshire County Council will be the admission authority for the "New School".

Whilst the "New School" is situated in the existing buildings of the current Copperworks Infant and Nursery School and Lakefield Primary School site the admission number (AN) of pupils to be admitted at age of 4/5 on a full time basis in the first school year in which proposals are implemented is 60. The new school's capacity will be 420 and provide 60 full time equivalent nursery places.

Following the re-location of the "New School" to the site of the former Draka site, Copperworks Road, Llanelli, the admission number (AN) of pupils to be admitted at age of 4/5 on a full time basis will be 60. The capacity of the "New School" will be 420 and provide 60 full time equivalent nursery places.

The language category of the proposed new school, as defined by "Defining schools according to Welsh medium provision", Welsh Government Information document No: 023/2007 will be, 'Dual Stream- Category 2'. Access to welsh medium education.

Transport to the "New School" will be provided in accordance with Carmarthenshire County Council's home to school transport policy.

Transfer to Secondary School will remain as per current arrangements.

Within a period of 28 days after the date of publication of these proposals, that is to say by 30 November 2015, any person may object to these proposals. Objections should be sent to Mr Robert Sully, Director of Education and Children's Services, Carmarthenshire County Council, Building 2, St David's Park, Job's Well Road, Carmarthen, SA31 3HB or e-mail to DECMEP@carmarthenshire.gov.uk.

Signed: Mr Robert Sully
Director of Education and Children's Services
For Carmarthenshire County Council

Dated: 3rd of November 2015

EXPLANATORY NOTE

(This Explanatory Note does not form part of the Notice but is offered by way of clarification)

1. It is the Authority's intention to re-organise primary education in the South Llanelli area and create one new community primary school, together with nursery provision, to replace the two existing schools. The new school is to be located on the former Draka site at Seaside, Llanelli.

As there is a need to construct the "New School" building, there will be a need to retain the use of the current Copperworks Infant and Nursery School and at Lakefield Primary School buildings until such time the new school building is complete when the pupils will relocate to the newly built premises on the new site. The proposed arrangements are summarised below:-

- 31 August 2016 – The current Copperworks Infant and Nursery School and at Lakefield Primary School will cease to exist.
- 1 September 2016 – A new school will open on the site, and make use of the buildings, of the existing Copper works Infant and Nursery School and Lakefield Primary schools. During this period it will for the Governing Body to decide how the school is organised and at which of the two sites classes, and hence pupils, will be educated. They will also be responsible for the development of a new Welsh Stream at the school for the September 2016 pupil intake. Provision will not change for those pupils already attending the school.
- In April 2018 – All pupils will re-locate to the newly built "New School" premises on the former Draka site, Copperworks Road, Llanelli.

2. The admission number (AN) of 60 pupils for the "New School" and 60 Full Time Equivalent (FTE) pupils for nursery provision form part of the transitional arrangements. They are intended to ensure that the admission arrangements for pupils for that period are in line with the organisation and management structure for the new school when it relocates to its permanent site in April 2018.

3. Current home to school transport policy confirms that assistance with transport will be provided by the Authority for pupils who meet each of the following criteria: -

- (a) are of compulsory school age;
- (b) attend the nearest or the school designated by the Local Authority; and
- (c) who reside over the statutory walking distance from the school (2 miles in the case of children up to 8 years of age and 3 miles for those aged 8 and over).

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EXECUTIVE BOARD

1 FEBRUARY 2016

NATIONAL BOTANIC GARDEN OF WALES

Purpose: To consider the Authority's future financial support for the Garden

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

To consider the National Botanical Gardens response which includes the offer of a discounted membership rate for Carmarthenshire residents, and to agree payment of the annual grant for 2015/16.

REASONS:

To support the future management and development of the Gardens linked with the funding support provided by Welsh Assembly Government.

Relevant scrutiny committee to be consulted No

Exec Board Decision Required	YES
Council Decision Required	NA

Executive Board Portfolio Holder – Cllr David Jenkins

Directorate: Corporate Services
Resources

Name of Director:

N/A

Report Author: Chris Moore

Designation: Director of Corporate
Services

Tel Nos. 01267 224120

E Mail Addresses:

CMoore@carmarthenshire.gov.uk

EXECUTIVE SUMMARY
EXECUTIVE BOARD
1 February 2016

NATIONAL BOTANIC GARDEN OF WALES

The Executive Board considered a report earlier this financial year inviting it to consider supporting the future management and development of the National Botanical Gardens, which included extending the interest free loan, extending the lease on the farmhouses, providing ongoing revenue support and also providing support to the Regency Landscape project.

Recognising that Welsh Government were also continuing to support the Garden the Executive Board agreed to the following support:

1. to extend the Authority's interest free loan to the Garden for a further 3 years to 31st March 2018;
2. to allow the Garden continued occupation of the four farmhouses and homesteads on a tenancy basis for a further 3 years to 31st March 2018;
3. to provide £70,000 revenue cash grant to the Garden for 2015/16 subject to 10.5 below;
4. to approve, subject to 10.5 below, a forward commitment of revenue cash grant for the 2016/17 and 2017/18 on a sliding scale basis of £50,000 for 2016/17 and £30,000 for 2017/18 subject to discussions with Welsh Government regarding its funding commitment;
5. that the Garden be requested to consider introducing an all-year round discount on admission charges for Carmarthenshire residents in view of the support provided by the Council;
6. to support the restoration Regency Landscape project to the value of £50,000;
7. that the Garden be requested to liaise with Menter Cwm Gwendraeth Elli on its commitment to the Welsh language;
8. that Councillor D.M. Jenkins, Executive Board Member with responsibility for Resources, be nominated to serve as the Authority's representative on the Garden's Board of Trustees.

The Gardens were subsequently informed of the decision and in particular were asked that they consider point 5 before the revenue grant was released.

The Gardens responded and confirmed that the Trustees were very grateful for the County Council's continued support and have commented as follows in respect of the revenue funding and in particularly on point 5 (discount to Carmarthenshire's residents):

Revenue allocation 2015/16 - the Garden is extremely conscious of the challenges and pressures currently facing the County in respect of its own funding position. In view of this it is especially grateful for confirmation of the current year grant in line with previous indications.

Future revenue support commitments - Trustees noted with natural concern the sliding scale reduction as forward grant projections indicated for the level of contribution for 2016/17 and 2017/18. Notwithstanding the difficulties and uncertainties currently surrounding public finance, the Garden also recognises the linkage between the level of Welsh Government

support for the Garden and the Local Authority's commitment. In view of the serious concerns this presents for the Garden's future viability, the Garden will be seeking to prompt early discussions and strategic planning between WG and CCC on future funding arrangements in respect of the Garden.

Consideration of all-year round discounted admission charges –the proposal that a Carmarthenshire residents' discount on entry fee should be introduced was carefully considered and discussed by the Board at its meetings. In the circumstances the board took the view it would be helpful to draw the Council's attention to the range of benefits and opportunities for discounts and reduced entry already available to residents. At present this includes free entry weekdays and discounted weekend events throughout January, St David's Day, and a range of other days including selective SA postcode days particularly designed to build special relationships with the local community, and events that give free entry such as both Mothers' and Fathers' days. They also offer a 'buy-one,-get-one-free1' ticket arrangement for a number of major local employers including all staff at CCC, Dyfed Powys Police, Hywel Dda Health Board, NHS Wales, Mid and West Wales Fire Service, the Armed Forces.

The Gardens highlighted the benefits of Garden Membership in that it gives good value to local residents enabling them access to enjoy a diverse year-round calendar of events and facilities, not only including entrance to the Garden's 220 hectares of estate and facilities but also offering entertainments such as music and art events as well as engaging family activities

In highlighting the benefits, the Gardens then went on to offer (in response to point 5 above) a special discounted price for Carmarthenshire residents' in respect of the annual membership from April 2016-March 2017, where this is paid by direct debit. It was proposed that a 5% discount on the already discounted direct debit payments is offered to all membership categories: individual, joint, family, membership plus, and single parent. The table below sets out the proposed discounted payments:

Membership Category	Carmarthenshire Resident Membership Special discount for 1 April 2016 – 31 March 2017	Ordinary Membership Price	
		<i>Discounted Direct Debit Payments</i>	<i>Usual, not discounted</i>
Individual	£34.20	£36	£38
Joint	£50.35	£53	£58
Family	£66.50	£70	£75
Membership Plus	£57.00	£60	£62
Single Parent	£52.25	£55	£58

Recommendation

To consider the National Botanical Gardens response which includes the offer of a discounted membership rate for Carmarthenshire residents, and to agree payment of the annual grant for 2015/16.

DETAILED REPORT ATTACHED ?	NO
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IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: C. Moore

Head of Financial Services

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES	YES	YES	NONE	NONE	NONE	NONE

1. Policy, Crime & Disorder and Equalities

The National Botanic Garden of Wales is a facility of potentially global significance that is important to the image, tourism and economy of Carmarthenshire. The viability of the Garden has been under threat in previous years and the County Council has previously joined in a strategic partnership with other public sector organisations to provide funding and support. Despite its previous financial and operational difficulties the National Botanic Garden continues to be one of the most visited attractions in Wales, currently drawing around 147,000 visitors to a facility in Carmarthenshire with potential to increase this number in future years. Closure of the Garden would have a significantly damaging effect on the economy and image of the County and undermine the Council's efforts, together with its partners, to develop the local tourism industry.

2. Legal

Previous reports to Council have established the legal basis of the Authority's direct contributions to NBGW as being the general power of well being conferred by the Local Government Act 2000.

3. Finance

If approved the funding package will require the County Council to make an annual cash contribution to the Garden of £70,000 for 2015/16, £50,000 for 2016/17 and £30,000 for 2017/18, subject to Welsh Government continued funding support. This sum can be accommodated within the Authority's proposed budget.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: C Moore

Head of Financial Services

1. Scrutiny Committee Not Applicable - Strategic issue

2. Local Member(s) Not Applicable – Strategic Issue

3. Community / Town Council Not Applicable – Strategic Issue

4. Relevant Partners Welsh Assembly Government have been kept fully informed of Council's proposals

5. Staff Side Representatives and other Organisations Not Applicable

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Correspondence from NBGW	NBGW	Head of Financial Services
Report and minutes of Executive Board – 19 th September 2005	Executive Board	County Hall
Report and minutes of Executive Board – 20 th February 2007	Executive Board	County Hall
Report and minutes of Executive Board – 3 rd March 2008	Executive Board	County Hall
Report and minutes of Executive Board – 31 st January 2011	Executive Board	County Hall
Report and minutes of Executive Board – 15 June 2015	Executive Board	County Hall

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Executive Board 1st February 2016

Subject

Purpose: Treasury Management Policy and Strategy 2016-17

Recommendations / key decisions required:

- 1. That Council formally approves the Treasury Management Policy and Strategy for 2016-17 and recommendations therein.**
- 2. That Council formally approves the Treasury Management Indicators and recommendations therein.**

Reasons:

To comply with the Revised CIPFA Prudential Code and the Revised CIPFA Treasury Management Code of Practice 2011.

Relevant scrutiny committee to be consulted

YES

Scrutiny committee and date

Policy & Resources Scrutiny Committee 3rd February 2016

Exec Board Decision Required YES

Council Decision Required YES

**EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Councillor David Jenkins
(Resources)**

Directorate: Corporate Services

Name of Director: Chris Moore

Report Author: Anthony Parnell

Designation: Director of Corporate Services

Designation: Treasury and Pensions Investments Manager

Tel No. 01267 224160; E Mail: CMoore@car-marthenshire.gov.uk

Tel No. 01267 224180; E Mail: AParnell@car-marthenshire.gov.uk

EXECUTIVE SUMMARY

Executive Board

1st February 2016

SUBJECT

Treasury Management Policy and Strategy 2016-17

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

It is a requirement of the revised CIPFA Code of Practice on Treasury Management, which Council have adopted, that

a. The Council maintains a Treasury Management Policy which states the policies and objectives of the Authority's treasury management activities

and

b. The Council approves a Treasury Management Strategy annually before the start of the financial year to which it relates.

In addition, under the Local Government Act 2003 the Council approves the Treasury Management Indicators for the coming year.

DETAILED REPORT ATTACHED ?

YES

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: **C Moore** Director of Corporate Services

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES <i>(Delete as applicable)</i>	YES <i>(Delete as applicable)</i>	YES <i>(Delete as applicable)</i>	NONE <i>(Delete as applicable)</i>	NONE <i>(Delete as applicable)</i>	NONE <i>(Delete as applicable)</i>	NONE <i>(Delete as applicable)</i>
<p>1. Policy, Crime & Disorder and Equalities</p> <p>Council has adopted the revised CIPFA Code of Practice on Treasury Management, one of the requirements is that an annual Treasury Management Policy and Strategy be approved by Council before the commencement of the year to which it relates.</p>						
<p>2. Legal</p> <p>Under the Local Government Act 2003 and the revised CIPFA Code of Practice on Treasury Management, local authorities must set out their Treasury Management Indicators that relate to the Authority's capital spending and its borrowing.</p>						
<p>3. Finance</p> <p>The Treasury Management Policy and Strategy details the procedures that the Authority adheres to in managing its treasury management function.</p> <p>Interest paid and earned has a direct impact on the Authority's Revenue Budget. The estimated projections are included in the Budget which is to be presented to Council on 23rd February 2016.</p>						

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: C Moore Director of Corporate Services

(Please specify the outcomes of consultations undertaken where they arise against the following headings)

1. Scrutiny Committee

Policy and Resources Scrutiny Committee will be consulted on the 3rd February 2016.

2. Local Member(s)

Not Applicable

3. Community / Town Council

Not Applicable

4. Relevant Partners

Not Applicable

5. Staff Side Representatives and other Organisations

Not Applicable

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
The Local Government Act 2003		County Hall, Carmarthen
Guidance issued by Welsh Government		County Hall, Carmarthen
Revised CIPFA Treasury Management Code of Practice and Cross-Sectoral Guidance Notes		County Hall, Carmarthen
Revised CIPFA Prudential Code for Capital Finance in Local Authorities		County Hall, Carmarthen

REPORT OF THE DIRECTOR OF CORPORATE SERVICES

TREASURY MANAGEMENT POLICY AND STRATEGY 2016-2017

A. INTRODUCTION

This Council carries out its treasury management activities in accordance with the Prudential Code of Practice first developed for public services in 2002 by the Chartered Institute of Public Finance and Accountancy (CIPFA). This Code was last revised in 2013. The Council also carries out its treasury management activities in accordance with the CIPFA Treasury Management Code of Practice 2011.

The revised Code identifies three key principles:

1. The Council should put in place formal and comprehensive objectives, policies and practices, strategies and reporting arrangements for the effective management and control of their treasury management activities.
2. The Council's policies and practices should make clear that the effective management and control of risk are prime objectives of their treasury management activities and that responsibility for these lies clearly within their Council. The Council's appetite for risk should form part of its annual strategy and should ensure that priority is given to security and liquidity when investing funds.
3. The Council should acknowledge that the pursuit of value for money in treasury management, and the use of suitable performance measures, are valid and important tools for responsible Councils to employ in support of their business and service objectives; and that within the context of effective risk management, the Council's treasury management policies and practices should reflect this.

B. CIPFA PRUDENTIAL CODE AND CIPFA TREASURY MANAGEMENT CODE OF PRACTICE

1. This Council has adopted the Revised CIPFA Prudential Code 2013 and the Revised CIPFA Treasury Management Code of Practice 2011.

This Revised CIPFA Treasury Management Code of Practice 2011 stipulates that there should be Member scrutiny of the treasury policies, Member training and awareness and regular reporting.

The Council has adopted the four clauses shown in 1.1 as part of its financial procedure rules and the Policy and Resources Scrutiny Committee is responsible for ensuring effective scrutiny of the treasury management strategy and policies, before making recommendations to Council.

The policies and parameters within this report provide an approved framework within which the officers undertake the day to day treasury activities.

1.1 The four clauses adopted are:

- (1) This Council will create and maintain, as the cornerstones for effective treasury management:

- A treasury management policy statement, stating the policies, objectives and approach to risk management of its treasury management activities
- Suitable Treasury Management Practices (TMPs), setting out the manner in which the Council will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities

- (2) This Council will receive reports on its treasury management policies, practices and activities, including an annual strategy in advance of the year, a mid year review report and a year end annual report, in the form prescribed in its TMPs.

- (3) This Council delegates responsibility for the implementation and monitoring of its treasury management policies and practices, and the quarter 1, mid year and quarter 3 monitoring reports to the Executive Board, and for the execution and administration of treasury management decisions to the Director of Corporate Services, who will act in accordance with the Council's policy statement and TMPs and CIPFA's Standard of Professional Practice on Treasury Management.

- (4) The Council nominates the Policy and Resources Scrutiny Committee to be responsible for ensuring effective scrutiny of the treasury management strategy and policies.

1.2 **Treasury Management Practices (TMPs)**

The Schedule of TMPs is shown in Appendix A.

C. TREASURY MANAGEMENT POLICY

1. This Council defines its Treasury Management activities as:

The management of the Council's investments and cash flows, its banking, money market and capital market transactions and the effective control of the risks associated with those activities, and the pursuit of optimum performance consistent with those risks.

2. This Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the Council.
3. This Council acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management.

This policy holds indefinitely until circumstances dictate that a change is necessary. Any changes must be done before the beginning of the financial year to which it relates, or in exceptional circumstances within the year if approved by Council.

It is the Director of Corporate Services responsibility to implement and monitor the Treasury Management Policy, revising and re-submitting the Policy for consideration to the Executive Board and the Council if changes are required.

1. **INTRODUCTION**

1.1 The Treasury Management Strategy provides details of the expected activities of the Treasury Management function in the financial year 2016-17.

1.2 The Council's financial procedure rules require an annual strategy to be reported to Council outlining the expected treasury activity for the forthcoming year. A key requirement of this report is to explain both the risks, and the management of the risks, associated with the treasury service. Further treasury reports will be produced during the year if the strategy needs updating and a year-end annual report on actual activity for the year.

1.3 The strategy covers:

- Treasury Indicators and Limits on Activity
- Prospects for interest rates
- Borrowing Strategy
- Investment Strategy
- Debt Rescheduling and Premature Repayment of Debt
- Performance Indicators
- Treasury Management Advisers
- Member and Officer Training

1.4 **HRA Reform in Wales**

The Council made a one off payment of £79m to the Welsh Government, under the recent Housing Reform, on 2nd April 2015 which removed the Council's obligation to the Housing Subsidy System. This one off payment ensures the HRA will no longer make future annual payments to the Welsh Government. It is expected that the overall impact will be beneficial to the Council

This amount was borrowed from the Public Works Loan Board and met the requirements of the HRA business plan and the overall requirements of the Council..

The additional borrowing of £79m has been reflected throughout the Policy & Strategy document and accompanying appendices.

2. TREASURY INDICATORS AND LIMITS ON ACTIVITY

2.1 Under the Local Government Act 2003 and the Prudential Code for Capital Finance in Local Authorities (revised in 2013), local authority capital spending and its borrowing to fund that spending is limited by what is affordable, prudent and sustainable. The Prudential Code sets out a number of indicators that enables the authority to assess affordability and prudence. The Prudential Indicators that related to Treasury Management were reclassified as Treasury Indicators in recent revisions of the Codes and are:

- Upper Limit for Fixed Rate Exposure
- Upper Limit for Variable Rate Exposure
- Limits on the Maturity Structure of Borrowing
- Limits on Total Principal Sums Invested Long Term

In addition the Prudential Code requires that the total external debt does not exceed the Authorised Limit for external debt and only exceeds the Operational Boundary for external debt temporarily on occasions due to variation in cash flow. Full Council when approving the Budget sets the Authorised Limit and the Operational Boundary.

2.2 The Treasury Management Indicators for 2016-17 are:

2.2.1 Interest rate exposure limits for 2016-17 are estimated as follows:

Estimated Average Position for 2016-17			
	Fixed Interest Rate	Variable Interest Rate	Total
	£m	£m	£m
Borrowed	+401	+3	+404
Invested	(20)	(30)	(50)
Net Debt	+381	(27)	+354
Proportion of Total Net Debt	+108%	(8%)	+100%

It is recommended that the following exposure limits are adopted:

	Fixed Interest Rate	Variable Interest Rate
Proportion of Total Net Debt	150%	10%

2.2.2 It is recommended that the following exposure limits for 2016-17, 2017-18 and 2018-19 are adopted:

Interest Rate Exposures	2016-17	2017-18	2018-19
	Upper	Upper	Upper
	£m	£m	£m
Limits on fixed interest rates based on net debt	445	445	455
Limits on variable interest rates based on net debt	20	20	20

2.2.3 It is recommended that the Council sets upper and lower limits for the maturity structure of its borrowing as follows:

	Upper Limit	Lower Limit
Under 12 months	15%	0%
12 months to 2 years	25%	0%
2 years to 5 years	50%	0%
5 years to 10 years	50%	0%
10 years to 20 years	50%	0%
20 years to 30 years	50%	0%
30 years to 40 years	50%	0%
40 years and above	50%	0%

2.2.4 Maximum principal sums invested longer than 364 days:

	2016-17	2017-18	2018-19
	£m	£m	£m
Maximum principal sums invested longer than 364 days	10	10	10

3. PROSPECTS FOR INTEREST RATES

Based on the average projection from a number of sources we can expect the trend in the Bank Rate, set by the Monetary Policy Committee, over the next three years to be as follows:

	Current	2016-17	2017-18	2018-19
	%	%	%	%
Average Bank Rate	0.50	0.88	1.50	1.94

4. **BORROWING STRATEGY 2016-17 – 2018-19**

- 4.1 The uncertainty over future interest rates increases the risks associated with treasury activity. As a result the Council will continue to take a cautious approach to its treasury management strategy.

Borrowing interest rates have been volatile during 2015 as, alternating bouts of good and bad news have prompted optimism, and then pessimism in financial markets. Director of Corporate Services, under delegated powers, will take the most appropriate form of borrowing depending on the prevailing interest rates at the time, taking into account the risks shown in the forecast above. It is likely that shorter term fixed rates may provide lower cost opportunities in the short/medium term.

The option of delaying borrowing and running down investment balances is likely to continue for the time being. However, this needs to be carefully reviewed to avoid incurring higher borrowing costs in later times due to an overall current trend of falling rates. It reduces counterparty risk and hedges against any expected fall in investment returns.

The Council continues to maintain an under-borrowed position. This means that the capital borrowing need (the Capital Financing Requirement), has not been fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow has been used as a temporary measure. This strategy is prudent as investment returns are low and counterparty risk is relatively high.

The timing of any action is important and the Director of Corporate Services and treasury advisers will monitor prevailing rates for any opportunities during the year.

- 4.2 **The Council's agreed policy is to raise funding only from the following:**

Public Works Loan Board (PWLB)
Market Long-Term including European Investment Bank (EIB)
Market Temporary
Local Authorities
Overdraft
Internal Capital Receipts and Revenue Balances
Leasing
Welsh Government and Central Government

- 4.3 **Borrowing in advance of need**

The Council has some flexibility to borrow funds in advance of future years.

The Director of Corporate Services may do this under delegated power where, for instance, a sharp rise in interest rates is expected, and so borrowing early at fixed interest rates will be economically beneficial or meet budgetary constraints. Whilst the Director of Corporate Services will adopt a cautious approach to any such borrowing, where there is a clear business case for doing so borrowing may be undertaken to fund the approved capital programme or to fund future debt maturities.

Borrowing in advance will be made within the constraints that:

- It will be limited to no more than 50% of the expected increase in borrowing needed (CFR) over the three year planning period; and
- Not to borrow more than 12 months in advance of need.

Risks associated with any advance borrowing activity will be appraised in advance and subsequently reported through the quarterly reporting mechanism.

5. **INVESTMENT STRATEGY 2016-17 – 2018-19**

5.1 **INTRODUCTION**

5.1.1 The Investment Strategy has been prepared with due regard to:

The Local Government Act 2003

Regulations made under the Local Government Act 2003 (as amended)

2013 Revised Prudential Code for Capital Finance in Local Authorities

The Local Authorities (Capital Finance and Accounting) (Wales) (Amendment) Regulations 2008

Guidance issued by the Welsh Government

2011 Revised CIPFA Treasury Management in the Public Services: Code of Practice and Cross-Sectoral Guidance Notes

5.1.2 **Key Objectives**

The Council's investment strategy primary objectives are:

- safeguarding the repayment of the principal and interest of its investments on time
- ensuring adequate liquidity
- the investment return being the final objective

Following the interest rate views above, the current investment climate has counterparty security risk as the over-riding risk consideration. As a result of concerns over Eurozone sovereign debt and the potential negative impact on the banking industry, officers have implemented detailed operational procedures which are included in the treasury management procedure manual. These procedures tighten the controls already in place in the approved investment strategy.

5.1.3 Risk Benchmarking

A development in the revised Codes and the WG Investment Guidance is the consideration and approval of security and liquidity benchmarks. Yield benchmarks are currently widely used to assess investment performance. Discrete security and liquidity benchmarks are new requirements to the Member reporting, although the application of these is more subjective in nature. The approach taken is attached at Appendix B.

5.2 **DEFINITIONS**

5.2.1 A credit rating agency is one of the following three companies: Fitch Ratings Limited (Fitch), Moody's Investors Service Limited (Moody's) and Standard and Poors (S&P).

5.2.2 An investment is a transaction that relies upon the power in section 12 of the Local Government Act 2003 and is recorded in the balance sheet under the heading of investments within current assets or long-term investments.

5.3 **INVESTMENT COUNTERPARTIES**

The Director of Corporate Services maintains a counterparty list in compliance with the following criteria and revises the criteria and submits them to Council for approval as necessary. This criteria is separate to that which approves Specified and Non-Specified investments as it selects which counterparties the Council will approve rather than defining what its investments are. The rating criteria use the lowest common denominator method of selecting counterparties and applying limits. This means that the application of the Council's minimum criteria will apply to the lowest available rating for any institution. For instance if an institution is rated by all three agencies, one meets the Council's criteria, the others do not, the institution will fall outside the lending criteria.

5.3.1 Investment Counterparty Selection Criteria

The primary principle governing the Council's investment criteria is the security of its investments, although the yield or return on the investment is also a key consideration. To meet this main principle the Council will ensure:

- It maintains a policy covering both the categories of investment types it will invest in, criteria for choosing investment counterparties with adequate security, and monitoring their security. This is set out in the Specified and Non-Specified investment sections.
- It has sufficient liquidity in its investments. For this purpose it will set out procedures for determining the maximum periods for which funds may prudently be committed. These procedures also apply to the Council's prudential indicators covering the maximum principal sums invested.

5.3.2 **UK Banks 1 (Upper Limit)** – This Council will use banks which have at least the following Fitch, Moody's and Standard & Poors ratings:

Short Term – F1, P-1, A-1

Long Term – AA-, Aa3, AA-

UK Banks 2 & UK Building Societies (Middle Limit) – This Council will use all UK Banks and Building Societies which have at least the following Fitch, Moody's and Standard & Poors ratings:

Short Term – F1, P-1, A-1

Long Term – A, A2, A

UK Banks Part Nationalised – Royal Bank of Scotland Group plc (Royal Bank of Scotland and National Westminster Bank). These banks will be included if they continue to be part nationalised or they meet the ratings above.

The UK Government (HM Treasury) holds 72.9% stake within Royal Bank of Scotland Group.

UK part nationalised banks which are significantly owned by the UK Government will be included as investment counterparties, as long as they continue to have appropriate UK Government support. UK Government backing provides a credit quality overlay above that provided by the credit rating agencies. The Royal Bank of Scotland Group plc will be monitored for any material reduction in state ownership or deterioration of the credit rating which suggests a reduction of its use or suspension from the counterparty list.

UK Banks 3 – The Council's banker for transactional purposes if it falls below the above criteria. Balances will be minimised in both monetary size and time.

Money Market Funds – The Council will use AAA rated money market funds (MMFs) that are credit rated by at least two of the three credit rating agencies. These are pooled investment funds whose primary aims are liquidity and security and allow daily access to funds when required. Their operations are strictly regulated by the credit rating agencies and are operated by a financial institution but do not form part of that institutions assets, should the sponsoring institution fail the MMF is entirely separate, effectively owned by the investors. These types of funds invest in a range of instruments and institutions and therefore provide a low risk spread of investments.

UK Government (including gilts and the DMADF)

Local Authorities (including Police & Fire Authorities)

Additional requirements under the Revised CIPFA Treasury Management Code of Practice 2011 require the Council to supplement credit rating information. Whilst the above criteria relies primarily on the application of credit ratings to provide a pool of appropriate counterparties for officers to use, additional operational market information will be applied before making any specific investment decision from the agreed pool of counterparties. This additional market information (for example, negative rating watches/outlooks, individual/viability and support ratings) will be applied to compare the relative security of differing investment counterparties.

The UK Government, like other Western governments, are initiating market regulations which will mean they may not bail out financial institutions in the future. This will not be initiated until corresponding rules and regulations are in place so that institutions are much stronger and less likely to fail. Whilst not an immediate concern, officers will continue to monitor the situation and changes to future investment strategies are likely.

5.3.4 The time and monetary limits for institutions on the Council's Counterparty List are shown below: (Specified and Non-Specified Investments)

	Fitch	Moody's	Standard & Poors	Money Limit	Time Limit
Upper Limit Category - Short Term and Long Term	F1 AA-	P-1 Aa3	A-1 AA-	£10m	3 years
Middle Limit Category - Short Term and Long Term	F1 A	P-1 A2	A-1 A	£7m	1 year
Part Nationalised	-	-	-	£7m	1 year
Council's Banker (not meeting criteria above)	-	-	-	£3m	1 day
Other Institution Limits:					
- Any One Local Authority (including Police & Fire authorities)	-	-	-	£10m	3 years
- Any AAA Rated Money Market Fund	-	-	-	£5m	Daily Liquidity
- Debt Management Account Deposit Facility	-	-	-	£40m	6 months

5.3.5 There are two types of investments – Specified and Non Specified

5.3.5.1 Specified Investments

These investments are sterling investments of not more than one-year maturity. These are low risk assets where the possibility of loss of principal or investment income is small. These would include investments with:

- (1) The UK Government (such as the Debt Management Office, UK Treasury Bills or a Gilt with less than one year to maturity).
- (2) A local authority, police authority and fire authority.
- (3) Pooled investment vehicles (such as money market funds) that have been awarded a high credit rating by a credit rating agency.
- (4) A body that has high credit quality (which may include a high credit rating by a credit rating agency) such as a bank or building society. For this purpose a body with a short term rating of F1, P-1 or A-1 will be considered high quality.

5.3.5.2 Non Specified Investments

These investments are any other type of investment (i.e. not defined as Specified in 5.3.5.1 above).

The maximum sum and time limit for non specified investments is £5m per counterparty with a limit of 3 years.

Non specified investments will only be made in local authorities, bodies with a minimum long-term credit rating of AA– and in AAA rated money market funds.

Note: Barclays Bank plc are the Council's current bankers. The bank's credit ratings have fallen below the criteria for a specified investment; therefore no deposits will be made with the exception of the bank's overnight (Moneymaster) account. Barclays Bank plc will be monitored for any credit rating increase which could lead to a reintroduction to the counterparty list.

The average day to day operational balance on the account will not exceed £3m in these circumstances. See 5.3.4 above.

In the normal course of the council's cash flow operations it is expected that both Specified and Non-specified investments will be utilised for the control of liquidity as both categories allow for short term investments.

The use of longer term instruments (greater than one year from inception to repayment) will fall in the non-specified investment category. These instruments will only be used where the Council's liquidity requirements are safeguarded.

5.3.6 The Monitoring of Investment Counterparties

The credit ratings of counterparties are monitored regularly. The officers receive credit rating information (changes, rating watches and rating outlooks) from the treasury management advisers as and when ratings change, and counterparties are checked promptly. Occasionally ratings may be downgraded when an investment has already been made. The criteria used are such that a minor downgrading should not affect the full receipt of the principal and interest. Any counterparty failing to meet the criteria will be removed from the list immediately by the Director of Corporate Services, and if required new counterparties which meet the criteria will be added to the list.

The criteria for choosing counterparties set out above provide a sound approach to investment in “normal” market circumstances. Whilst Members are asked to approve this base criteria above, under exceptional current market conditions the Director of Corporate Services will temporarily restrict further investment activity to those counterparties considered of higher credit quality than the minimum criteria set out for approval. These restrictions will remain in place until the banking system returns to “normal” conditions. Similarly the time periods for investments will be restricted.

Further restrictions would be the greater use of the Debt Management Account Deposit Facility (DMADF – an account within the Government Debt Management Office which accepts local authority deposits), Money Market Funds, guaranteed deposit facilities and strongly rated institutions offered support by the UK Government. The credit criteria have been amended to reflect these facilities.

The present Schedule of Approved Counterparties for Lending 2016-17 is shown in Appendix C.

5.4 **LIQUIDITY OF INVESTMENTS**

Investments are made for periods which coincide with the Council’s cash flow requirements.

When investing (within the risk criteria mentioned above), the aim is to achieve a level of return greater than would be secured by internal investments. The “7 day LIBID rate” is the recognised rate which the Council aims to improve on when lending money.

5.5 **SERVICE INVESTMENTS**

In addition to the regular treasury management lending, the Council undertakes service investments. These are distinctly different from the treasury investments, as the allocation of resources generally supports a service strategy or policy decision and consequently the investments will have variable time limits. These type of investments usually provide either cash flow support or capital support to an outside organisation.

Prior to making these investments, appropriate financial review procedures will be undertaken, including Profit and Loss, Balance Sheet and cash flow monitoring, as appropriate.

6. **DEBT RESCHEDULING AND PREMATURE REPAYMENT OF DEBT**

As short term borrowing rates are likely to be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long term debt to short term debt. However, these savings will need to be considered in the light of the current treasury position and the size of the cost of debt repayment (premiums incurred).

The reasons for any rescheduling to take place will include:

- the generation of cash savings and / or discounted cash flow savings
- helping to fulfil the treasury strategy
- enhance the balance of the portfolio (amend the maturity profile and/or the balance of volatility).

Consideration will also be given to identify if there is any residual potential for making savings by running down investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt.

All rescheduling will be reported to the Council at the earliest meeting following its action.

7. **PERFORMANCE INDICATORS**

The Code of Practice on Treasury Management requires the Council to set performance indicators to assess the adequacy of the treasury function over the year. These are distinct historic indicators, as opposed to the prudential indicators, which are predominantly forward looking. Examples of performance indicators used for the treasury function are:

- Debt (Borrowing) – New borrowing rate to outperform the average PWLB rate for the year
- Debt – Average weighted debt rate movement year on year
- Investments – Return on Investments to outperform the average “7 day LIBID rate”

The results of these indicators will be reported in the Treasury Management Annual Report for 2016-17.

8. **TREASURY MANAGEMENT ADVISERS**

The Council uses Capita Asset Services, Treasury solutions as its external treasury management advisors.

Capita provides a range of services which include:

- Technical support on treasury matters, capital finance issues and the drafting of Member reports
- Economic and interest rate analysis
- Debt services which includes advice on the timing of borrowing
- Debt rescheduling advice surrounding the existing portfolio
- Generic investment advice on interest rates, timing and investment instruments
- Credit ratings/market information service comprising the three main credit rating agencies

The current contract with Capita Asset Services expires on the 31st October 2016. A tendering process will be undertaken prior to this date.

Under current market rules and the Revised CIPFA Treasury Management Code of Practice 2011 the responsibility for treasury management decisions remains with the Council at all times ensuring that undue reliance is not placed upon the external service providers.

The Council also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

9. MEMBER & OFFICER TRAINING

The increased member consideration of treasury management matters and the need to ensure officers dealing with treasury management are trained and kept up to date requires a suitable training process for members and officers. This Council has addressed this important issue by:

- Reviewing the treasury management function and ensuring officers are suitably qualified
- Arranging external training for officers
- Arranging training for those members charged with governance of the treasury management function

RECOMMENDATIONS

- 1. That Council formally approves the Treasury Management Policy and Strategy for 2016-17 and recommendations therein.**
- 2. That Council formally approves the Treasury Management Indicators, Prudential Indicators and the MRP Statement and recommendations therein.**

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TREASURY MANAGEMENT PRACTICES (TMPs)

TMP1 RISK MANAGEMENT

General Statement

The Director of Corporate Services or those persons to which delegation has been made will design, implement and monitor all arrangements for the identification, management and control of treasury management risk, will report at least annually on the adequacy/suitability thereof, and will report, as a matter of urgency, the circumstances of any actual or likely difficulty in achieving the organisation's objectives in this respect, all in accordance with the procedures set out in TMP 6 Reporting requirements and management information arrangements. In respect of each of the following risks, the arrangements which seek to ensure compliance with these objectives are set out below.

1.1 Credit and Counterparty Risk Management

Explanation

The risk of failure by a third party to meet its contractual obligations to the Council under an investment, borrowing, capital, project or partnership financing, particularly as a result of the third party's diminished creditworthiness, and the resulting detrimental effect on the Council's capital or current (revenue) resources.

Council Action

This Council regards a key objective of its treasury management activities to be the security of the principal sums it invests. Accordingly, it will ensure that its counterparty lists and limits reflect a prudent attitude towards organisations with whom funds may be deposited, and will limit its investment activities to the instruments, methods and techniques referred to in TMP4 Approved instruments, methods and techniques and listed in the Annual Treasury Management Policy and Strategy Statement. It also recognises the need to have, and will therefore maintain, a formal counterparty policy in respect of those organisations from which it may borrow, or with whom it may enter into other financing arrangements.

A detailed list of counterparties to which the Council will lend is appended to the Annual Treasury Management Policy and Strategy Statement.

1.2

Liquidity Risk Management

Explanation

The risk that cash will not be available when it is needed, that ineffective management of liquidity creates additional budgeted costs, and that the organisation's business/service objectives will therefore be compromised.

Council Action

The Council through its Treasury Management officers will ensure that at all times there will be a surplus of cash available which can be called upon at a moment's notice. Through its investments the Council holds cash on call account(s) which is available at any time. By the use of an effective projected cash flow exercise the likelihood of cash being not readily available when required would be rare.

Robust daily, weekly, monthly and annual cash flow forecasting is in place. Call accounts and fixed term investments are utilised to their full potential.

This Council will only borrow in advance of need where there is a clear business case for doing so and will only do so for the current capital programme or to finance future debt maturities.

1.3

Interest Rate Risk Management

Explanation

The risk that fluctuations in the levels of interest rates create an unexpected or unbudgeted burden on the organisation's finances, against which the organisation has failed to protect itself adequately.

Council Action

This Council will manage its exposure to fluctuations in interest rates with a view to containing its interest costs, or securing its interest revenues, in accordance with the amounts provided in its budgetary arrangements as amended in accordance with TMP6 Reporting requirements and management information arrangements.

It will achieve this by the prudent use of its approved financing and investment instruments, methods and techniques, primarily to create stability and certainty of costs and revenues, but at the same time retaining a sufficient degree of flexibility to take advantage of unexpected, potentially advantageous changes in the level or structure of interest rates. This should be the subject to the consideration and, if required, approval of any policy or budgetary implications.

1.4 **Exchange Rate Risk Management**

Explanation

The risk that fluctuations in foreign exchange rates create an unexpected or unbudgeted burden on the organisation's finances, against which the organisation has failed to protect itself adequately.

Council Action

Currently the Council only invests in sterling products. Hence, there is no exchange rate risk.

1.5 **Refinancing Risk Management**

Explanation

The risk that maturing borrowings, capital project or partnership financing cannot be refinanced on terms that reflect the provisions made by the organisation or those refinancings, both capital and current (revenue), and/or that the terms are inconsistent with prevailing market conditions at the time.

Council Action

This Council will ensure that its borrowing, private financing and partnership arrangements are negotiated, structured and documented, and the maturity profile of the monies so raised are managed, with a view to obtaining offer terms for renewal or refinancing, if required, which are competitive and as favourable to the Council as can reasonably be achieved in the light of market conditions prevailing at the time. It will actively manage its relationships with its counterparties in these transactions in such a manner as to secure this objective, and will avoid overreliance on any one source of funding if this might jeopardise achievement of the above.

1.6

Legal and Regulatory Risk Management

Explanation

The risk that an organisation itself, or a third party with which it is dealing in its treasury management activities, fails to act in accordance with its legal powers or regulatory requirements, and that the organisation suffers losses accordingly.

Council Action

This Council will ensure that all of its treasury management activities comply with its statutory powers and regulatory requirements. It will demonstrate such compliance, if required to do so, to all parties with whom it deals in such activities. In framing its credit and counterparty policy under TMP 1 credit and counterparty risk management it will ensure that there is evidence of counterparties' powers, authority and compliance in respect of the transactions they may effect with the organisation, particularly with regard to duty of care and fees charged.

This Council recognises that future legislative or regulatory changes may impact on its treasury management activities and, so far as it is reasonably able to do so, will seek to minimize the risk of these impacting adversely on the Council.

1.7

Fraud, Error and Corruption, and Contingency Management

Explanation

The risk that an organisation fails to identify the circumstances in which it may be exposed to the risk of loss through fraud, error, corruption or other eventualities in its treasury management dealings, and fails to employ suitable systems and procedures and maintain effective contingency management arrangements to these ends. It includes the area of risk commonly referred to as operational risk.

Council Action

This Council will ensure that it has identified the circumstances which may expose it to the risk of loss through fraud, error, corruption or other eventualities in its treasury management dealings. Accordingly, it will employ suitable systems and procedures, and will maintain effective contingency management arrangements, to these ends.

Market Risk Management**Explanation**

The risk that, through adverse market fluctuations in the value of the principal sums the organisation invests, its stated treasury management policies and objectives are compromised, against which effects it has failed to protect itself adequately.

Council Action

This Council will seek to ensure that its stated treasury management policies and objectives will not be compromised by adverse market fluctuations in the value of the principal sums it invests, and will accordingly seek to protect itself from the effects of such fluctuations.

PERFORMANCE MEASUREMENT**Explanation**

Performance measurement is a process designed to calculate the effectiveness of a portfolio's or manager's investment returns or borrowing costs and the application of the resulting data for the purposes of comparison with the performance of other portfolios or managers, or with recognised industry standards or market indices.

Council Action

This Council is committed to the pursuit of value for money in its treasury management activities, and to the use of performance methodology in support of that aim, within the framework set out in its treasury management policy statement.

Accordingly, the treasury management function will be the subject of ongoing analysis of the value it adds in support of the Council's stated business or service objectives. It will be the subject of regular examination of alternative methods of service delivery, of the availability of fiscal or other grant or subsidy incentives, and of the scope of other potential improvements.

Explanation

It is vital that the treasury management decisions of organisations in the public service should be subjected to prior scrutiny. In addition all records should be kept of the processes and the rationale behind those decisions. In respect of each decision made the Council should:

- 3.1 ensure that its results are within the limits set in the Prudential Indicators.
- 3.2 be clear about the nature and extent of the risks to which the Council may become exposed.
- 3.3 be certain about the legality of the decision reached and the nature of the transaction, and that all authorities to proceed have been obtained.
- 3.4 be content that the documentation is adequate both to deliver the Council's objectives and protect the Council's interest, and to deliver good housekeeping.
- 3.5 ensure that third parties are judged satisfactorily in the context of the Council's credit worthiness policies, and that limits have not been exceeded.
- 3.6 be content that the terms of any transactions have been fully checked against the market, and have been found to be competitive.
- 3.7 in respect of borrowing the Council should evaluate the economic and market factors that influence the manner and timing of any decision to fund.
- 3.8 consider the merits and demerits of alternative forms of funding, including funding from revenue, leasing and private partnerships.
- 3.9 consider the alternative interest rate bases available, the most appropriate periods to fund and repayment profiles to use and, if relevant, the opportunities for foreign currency funding.
- 3.10 consider the ongoing revenue liabilities created, and the implications for the Council's future plans and budgets.
- 3.11 in respect of investment decisions, the Council should consider the optimum period, in the light of cash flow availability and prevailing market conditions.
- 3.12 consider the alternative investment products and techniques available, especially the implications of any which may expose the Council to changes in the value of its capital.

Council Action

This Council will maintain full records of its treasury management decisions, and of the processes and practices applied in reaching those decisions both for the purposes of learning from the past, and for demonstrating that reasonable steps were taken to ensure that all issues relevant to those decisions were taken into account at the time.

TMP4 APPROVED INSTRUMENTS, METHODS AND TECHNIQUES

Explanation

It is important that the Council is clear about the treasury management instruments, methods and techniques used as one of the main issues to be taken into account when reaching decisions in the need to protect public funds. This treasury management practice requires that the Council is equipped with the skills and experience to evaluate and control the risks and advantages associated with using the instruments available to it before including them in the approved list. This principle applies to investment, borrowing and other means of raising capital and project finance, and to the use of one off-market or financial derivative instruments such as interest rate swaps.

Council Action

This Council will undertake its treasury management activities by employing only those instruments, methods and techniques detailed in the policy, and within the limits and parameters defined in Treasury Management Practice 1 Risk Management.

TMP5 ORGANISATION, CLARITY AND SEGREGATION OF RESPONSIBILITIES, AND DEALING ARRANGEMENTS

Explanation

It is considered vital that there should be a clear division of responsibilities, included in a written statement of the duties of each post engaged in Treasury Management. It is especially important that staff responsible for negotiating and closing deals are not responsible for recording them, or for maintaining the cash book. This is in order to create a framework for internal check, and reflects both the variety of activities in treasury management and the very often large sums involved.

Council Action

This Council considers it essential, for the purposes of the effective control and monitoring of its treasury management activities, for the reduction of the risk of fraud or error, and for the pursuit of optimum performance, that these activities are structured and managed in a fully integrated manner, and that there is at all times a clarity of treasury management responsibilities.

The principle on which this will be based is a clear distinction between those charged with setting treasury management policies and those charged with implementing and controlling these policies, particularly with regard to the execution and transmission of funds, the recording and administering of treasury management decisions, and the audit and review of the treasury management function.

If and when this Council intends, as a result of lack of resources or other circumstances, to depart from these principles, the responsible officer will ensure that the reasons are properly reported in accordance with Treasury Management Practice 6 Reporting requirements and management information arrangements, and the implications properly considered and evaluated.

The Director of Corporate Services will ensure that there are clear written statements of the responsibilities for each post engaged in treasury management, and the arrangements for absence cover.

The Director of Corporate Services will ensure there is a proper documentation for all deals and transactions, and that procedures exist for the effective transmission of funds.

TMP6

REPORTING REQUIREMENTS AND MANAGEMENT INFORMATION ARRANGEMENTS

Explanation

It is recommended that the Council's treasury management policy statement should specify formal reporting arrangements by the Director of Corporate Services to full Council.

Council Action

This Council will ensure that regular reports are prepared and considered on the implementation of its treasury management policies, on the effects of decisions taken and transactions executed in pursuit of those policies, on the implications of changes, particularly budgetary, resulting from regulatory, economic, market or other factors affecting its treasury management activities and on the performance of the treasury management function.

The following reporting process has been agreed by the Council:

6.1 Annual Reporting Requirements before the start of the year:

- Review of the Council's approved clauses, treasury management policy statement and practices
- Strategy report on proposed treasury management activities for the year
- Proposed Treasury Management and Prudential Indicators

6.2 Quarter 1 and Quarter 3 Reporting Requirements during the year which will be presented to both Executive Board and Policy and Resources Scrutiny Committee:

- Activities undertaken
- Variations (if any) from agreed policies/practices
- Performance report
- Performance against Treasury Management and Prudential Indicators

6.3 Mid Year Reporting Requirements during the year which will be presented to Council, Executive Board and Policy and Resources Scrutiny Committee:

- Activities undertaken
- Variations (if any) from agreed policies/practices
- Performance report
- Performance against Treasury Management and Prudential Indicators

6.3 Annual Reporting Requirements after the year end

- Transactions executed and their revenue (current) effects
- Report on risk implications of decisions taken and transactions executed
- Compliance report on agreed policies/practices, and on statutory/regulatory requirements
- Performance report

- Report on compliance with Revised CIPFA Treasury Management Code of Practice 2011 recommendations
- Performance against Treasury Management and Prudential Indicators

By undertaking the above it will ensure, as a minimum, that those with ultimate responsibility for the treasury management function appreciate fully the implications of treasury management policies and activities, and that those implementing policies and executing transactions have properly fulfilled their responsibilities with regard to delegation and reporting.

TMP7 BUDGETING, ACCOUNTING AND AUDIT ARRANGEMENTS

Explanation

It is recommended that the Council brings together for budgeting and management control purposes, all of the costs and revenues associated with the Council's treasury management activities, regardless of how the Council has actually organised the treasury management function. In this context the Council's treasury management budgets and accounts should clearly identify.

- Manpower numbers and related costs
- Premises and other administrative costs
- Interest and other investment income
- Debt and other financing costs (or charges for the use of assets)
- Bank and overdraft charges
- Brokerages, commissions and other transaction-related costs
- External advisers' and consultants' charges

It is normal practice for the external auditor to have access to all papers supporting and explaining the operation and activities of the treasury management function. The auditor will be expected to enquire as to whether the Revised CIPFA Treasury Management Code of Practice 2011 has been adopted, and whether its principles and recommendations have been implemented and adhered to. Any serious breach of the recommendations of the Revised CIPFA Treasury Management Code of Practice 2011 should be brought to the external auditor's attention.

Council Action

The Director of Corporate Services will prepare, and this Council will approve and, if necessary, from time to time will amend, an annual budget for treasury management, which will bring together all of the costs involved in running the treasury management function, together with associated income. The matters to be included in the budget will at minimum be those required by statute or regulation, together with such information as will demonstrate compliance with TMP1 Risk management, TMP2 Performance Measurement, and TMP4 Approved instruments, methods and techniques. The Director of Corporate Services will exercise effective controls over this budget, and will report upon and recommend any changes required in accordance with TMP6 Reporting requirements and management information arrangements.

The calculation and compliance of Treasury Management and Prudential Indicators will be examined by the Wales Audit Office.

This Council will account for its treasury management activities, for decisions made and transactions executed, in accordance with appropriate accounting practices and standards, and with statutory and regulatory requirements in force for the time being.

This Council will ensure that its auditors, and those charged with regulatory review, have access to all information and papers supporting the activities of the treasury management function as are necessary for the proper fulfillment of their roles, and that such information and papers demonstrate compliance with external and internal policies and approved practices.

TMP8 CASH AND CASH FLOW MANAGEMENT

Explanation

The preparation of cash flow projections on a regular and timely basis provides a sound framework for effective cash management. Procedures for their preparation and review/modification, the periods to be covered, sources of data etc. should be an integral part of the schedules to the Council's approved treasury management practices.

Council Action

Unless statutory or regulatory requirements demand otherwise, all monies in the hands of the Council will be under the control of the Director of Corporate Services and will be aggregated for cash flow and investment management purposes. Cash flow projections will be prepared on a regular and timely basis, and the Director of Corporate Services will ensure that these are adequate for the purposes of monitoring compliance with Treasury Management Practice 1 liquidity risk management and Prudential Indicators.

TMP9 **MONEY LAUNDERING**

Explanation

Money Laundering has the objective of concealing the origin of money generated through criminal activity. Legislation has given a higher profile to the need to report suspicions of money laundering. Also, organisations such as Councils that undertake business under the Financial Services Act, or engage in certain specified activities, are required to set up procedures to comply with Money Laundering Regulations 2007. These require Councils:

- To set up procedures for verifying the identity of clients
- To set up record-keeping procedures for evidence of identity and transactions
- To set up internal reporting procedures for suspicions, including the appointment of a money laundering reporting officer
- To train relevant employees in their legal obligations
- To train those employees in the procedures for recognising and reporting suspicions of money laundering

The Council should establish whether the Money Laundering Regulations 2007 apply to them. And it is for individual organisations to evaluate the prospect of laundered monies being handled by them, and to determine the appropriate safeguards to be put in place. It is the legal responsibility of every person engaged in treasury management to make themselves aware of their personal responsibilities, but the Revised CIPFA Treasury Management Code of Practice 2011 recommends that Councils bring them to their staff's attention and consider the appointment of a member of staff to whom they can report any suspicions.

Council's Action

This Council is alert to the possibility that it may become the subject of an attempt to involve it in a transaction involving the laundering of money. Accordingly, it will maintain procedures for verifying and recording the identity of counterparties and reporting suspicions, and will ensure that staff involved in this are properly trained.

TMP10 TRAINING AND QUALIFICATIONS

Explanation

All Councils should be aware of the growing complexity of treasury management. Modern treasury management demands appropriate skills, including a knowledge of money and capital market operations, an awareness of available sources of funds and investment opportunities, an ability to assess and control risk, and an appreciation of the implications of legal and regulatory requirements.

Every Council should provide the necessary training, having assessed the professional competence of both those involved in the treasury management function, and those with a policy, management or supervisory role. If necessary, they should ensure that access exists to the necessary expertise and skills from external sources. Arrangements to ensure the availability of suitable skills and resources should recognize the prospect that staff absences may, at times, demand that others step in who do not normally have involvement on a day-to-day basis with the treasury management function.

When feasible in the context of the size of a particular organisation and its treasury management function, career progression opportunities should be provided and succession issues should be properly addressed. Secondments of senior management to the treasury management function for appropriate periods may benefit the effectiveness of the function as a whole.

Council Action

This Council recognises the importance of ensuring that all staff involved in the treasury management function are fully equipped to undertake the duties and responsibilities allocated to them. It will therefore seek to appoint individuals who are both capable and experienced and will provide training for staff to enable them to acquire and maintain an appropriate level of expertise, knowledge and skills. The Director of Corporate Services will recommend and implement the necessary arrangements.

The Director of Corporate Services will ensure that council members tasked with treasury management responsibilities, including those responsible for scrutiny, have access to training relevant to their needs and those responsibilities.

Those charged with governance recognise their individual responsibility to ensure that they have the necessary skills to complete their role effectively.

TMP11 USE OF EXTERNAL SERVICE PROVIDERS

There are a number of service providers available to support the treasury management activities of public service organisations.

Perhaps the most active and long-standing of these have been the money-broking companies, whose role it is to act as intermediaries, making introductions between the prospective parties to transactions.

It is not the role of brokers to provide advice on the creditworthiness of those organisations to which public service organisations may lend. They may provide information already in the public domain, but may not interpret it. The use of brokers is a matter for local decision. But it is considered good practice, if their services are used, to ensure that business is spread between a reasonable number of them, and certainly no fewer than two. And it is not uncommon for their services to be the subject of a competitive tendering process every few years.

Direct dealing with principals is a not uncommon feature of treasury management in the public services which, if nothing else, can provide a useful check on brokers' performance.

An issue that causes some debate is whether it is necessary or desirable for public service organisations to tape conversations with brokers and principals. This is a matter for local discretion, particularly in the context of the costs involved, but is generally to be recommended.

Most public service organisations require the services of clearing bankers, and a growing number make use of the services of a wider group of banks, particularly to meet their need for private finance and partnership funding. The principles of competition need to be recognised here, too. Certainly, it is highly desirable to subject clearing banking services to competition, perhaps as frequently as every three or four years.

There has also been a growing tendency for public service organisations to employ external advisers and consultants, often for the purposes of a general treasury management advisory service, but also for specific purposes, such as the securing and structuring of funding and for partnership arrangements. These, too, should be the subject of regular competitive tendering.

Further, many public service organisations employ the services of external investment managers to help manage their surplus cash and, where relevant, their pension fund, trust fund or endowment fund assets.

CIPFA advises all organisations using the services of external service providers to document comprehensively the arrangements made with them.

Council Action

The Council recognises that responsibility for treasury management decisions remain with the Council at all times. It recognises the potential value of employing external providers of treasury management services, in order to acquire access to specialist skills and resources. When it employs such service providers, it will ensure it does so for reasons which will have been submitted to a full evaluation of the costs and benefits. It will also ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review. And it will ensure, where feasible and necessary, that a spread of service providers is used, to avoid overreliance on one or a small number of companies. Where services are subject to formal tender or re-tender arrangements, legislative requirements will always be observed. The monitoring of such arrangements rests with the Director of Corporate Services.

TMP12 CORPORATE GOVERNANCE

The Revised CIPFA Treasury Management Code of Practice 2011 recommends that public service organisations state their commitment to embracing the principles of corporate governance in their treasury management activities, notably openness and transparency.

It is CIPFA's view that:

- adoption of the principles and policies promoted in the Revised CIPFA Treasury Management Code of Practice 2011 and in these guidance notes will in itself deliver the framework for demonstrating openness and transparency in an organisation's treasury management function
- publication of and free access to information about an organisation's treasury management transactions and other public documents connected with its treasury management activities will further assist in achieving this end
- establishing clear treasury management policies, the separation of roles in treasury management and the proper management of relationships both within and outside the organisation will establish the integrity of the function
- robust treasury management organisational structures, together with well-defined treasury management responsibilities and job specifications, will enhance accountability
- equality in treasury management dealings, absence of business favouritism and the creation of keen competition in treasury management will lay the groundwork for fairness.

The following paragraphs further emphasise the practices that CIPFA believes an organisation should employ to ensure the principles of corporate governance are successfully implemented.

Procedural responses

The policies, strategies of treasury management should link clearly to the organisation's other key policies and strategies. In the management of risk, in particular, treasury risk management should be an integral part of its overall risk management processes, culminating in a well-defined, organisation-wide strategy for the control of risk and contingency planning.

The management and administration of treasury management should be robust, rigorous and disciplined. Over the years, some of the most significant examples of treasury mismanagement, in both the public services and the private sector, have resulted from procedural indiscipline. This has frequently been as a result of a failure to apply otherwise well-documented management and administration systems, or through failures in transmission, documentation or deal recording processes.

Reporting arrangements should be applied so as to ensure that those charged with responsibility for the treasury management policy have all the information necessary to enable them to fulfil openly their obligations; and that all stakeholders are fully appraised of and consulted on the organisation's treasury management activities on a regular basis.

The procedures for monitoring treasury management activities through audit, scrutiny and inspection should be sound and rigorously applied, with an openness of access to information and well-defined arrangements for the review and implementation of recommendations for change.

The application and interpretation of performance data should be clear, concise and relevant to the organisation's treasury management activities.

Stewardship responsibilities

The Director of Corporate Services should ensure that systems exist to deliver proper financial administration and control, and a framework for overseeing and reviewing the treasury management function.

As regards a control framework, an organisation's formal policy documents should define clearly procedures for monitoring, control and internal check.

With regard to delegation it is vitally important that those involved in the implementation of treasury management policies and the execution of transactions are unambiguously empowered to undertake their tasks, and that reporting lines are well-defined.

An organisation's adoption of and adherence to the Revised CIPFA Treasury Management Code of Practice 2011 should be widely broadcast, as should the

principles of the Revised CIPFA Treasury Management Code of Practice 2011 and the method of its application in the organisation.

The organisation's procedures for reviewing the value of the treasury management function, and the implementation of opportunities for improvement, should be both continuous and open to examination.

The governance of others

In respect of the organisation's dealings with counterparties, external service providers and other interested parties, clear procedures should exist to enable the organisation, as far as is practicable, to monitor their adherence to the legal or regulatory regimes under which they operate.

Council Action

This Council is committed to the pursuit of proper corporate governance throughout its businesses and services, and to establishing the principles and practices by which this can be achieved. Accordingly, the treasury management function and its activities will be undertaken with openness and transparency, honesty, integrity and accountability.

In respect of external service providers appropriate financial review procedures will be undertaken, including Profit and Loss, Balance Sheet and cash flow monitoring, as appropriate.

This Council has adopted and has implemented the key recommendations of the Revised CIPFA Treasury Management Code of Practice 2011. This is considered vital to the achievement of proper corporate governance in treasury management, and the Director of Corporate Services will monitor and, if and when necessary, report upon the effectiveness of these arrangements.

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SECURITY, LIQUIDITY AND YIELD BENCHMARKING

Member reporting on the consideration and approval of security and liquidity benchmarks will continue. These benchmarks are targets and so may be breached from time to time. Any breach will be reported, with supporting reasons in the Annual Treasury Management Report.

1. **Security**

In context of benchmarking, assessing security is a subjective area to assess. Security is currently evidenced by the application of minimum credit quality criteria to investment counterparties, primarily through the use of credit ratings supplied by the three main credit rating agencies (Fitch, Moody's and Standard and Poor's). Whilst this approach embodies security considerations, benchmarking levels of risk is more problematic. One method to benchmark security risk is to assess the historic level of default against the minimum criteria used in the Council's investment strategy.

The table below shows average defaults for differing periods of investment grade products for each Fitch/Moody's and Standard & Poor's long term rating category.

Long term rating	1 year	2 years	3 years
AAA	0.04%	0.09%	0.17%
AA (includes AA- and AA+)	0.01%	0.03%	0.13%
A	0.06%	0.20%	0.37%
BBB	0.15%	0.50%	0.91%
BB	0.71%	2.21%	3.94%
B	3.15%	7.44%	11.46%
CCC	22.21%	31.48%	37.72%

The Council's minimum long term rating criteria is currently "AA-" for any investment greater than one year and "A" for any investment up to one year. The average expectation of default for a one, two or three year investment in a counterparty with a "AA-" long term rating would be 0.06% of the total investment and the average expectation of default for a one year investment in a counterparty with a "A" long term rating would be 0.06% of the total investment. This is only an average, any specific counterparty loss is likely to be higher, but these figures do act as a proxy benchmark for risk across the portfolio.

The Council's maximum security risk benchmark for the whole portfolio, when compared to these historic default tables, is:

- **0.13% historic risk of default when compared to the whole portfolio.**
-

In addition, the security benchmark for each individual year is:

	1 year	2 years	3 years
Maximum	0.06%	0.03%	0.13%

These benchmarks are embodied in the criteria for selecting cash investment counterparties and these will be monitored and reported to Members in the Annual Treasury Management Report. As this data is collated, trends and analysis will be collected and reported. Where a counterparty is not credit rated a proxy rating will be applied.

2. **Liquidity**

This is defined as “having adequate, though not excessive cash resources, borrowing arrangements, overdrafts or standby facilities to enable it at all times to have the level of funds available to it which are necessary for the achievement of its business/service objectives” (Revised CIPFA Treasury Management Code of Practice). In respect of this area the Council seeks to maintain:

- Bank overdraft facility - £0.5m
- Liquid short term deposits of at least £10m available immediately on call

The availability of liquidity and the term risk in the portfolio can be benchmarked by the monitoring of the Weighted Average Life (WAL) of the portfolio – shorter WAL would generally embody less risk. In this respect the proposed benchmark is to be used:

- **WAL benchmark is expected to be 0.5 years, with a maximum of 1 year.**

3. **Yield**

Benchmarks are currently widely used to assess investment performance. The local measure of the yield benchmark is:

- Investments – Return on Investments to outperform the average 7 day LIBID rate

Security and liquidity benchmarks are intrinsic to the approved treasury strategy through the counterparty selection criteria and some of the prudential indicators. Proposed benchmarks for the cash type investments are shown above and form the basis of reporting in this area.

**Schedule of Approved Counterparties for Lending 2016-2017
(as at 4th January 2016)**

	<u>Fitch</u>		<u>Moody's</u>		<u>Standard and Poors</u>		<u>Money Limit</u> £'m	<u>Time Limit</u> years
	<u>Short Term</u>	<u>Long Term</u>	<u>Short Term</u>	<u>Long Term</u>	<u>Short Term</u>	<u>Long Term</u>		
<u>Upper Limit</u>	<u>F1</u>	<u>AA-</u>	<u>P-1</u>	<u>Aa3</u>	<u>A-1</u>	<u>AA-</u>	<u>10</u>	<u>3</u>
UK Banks								
HSBC Bank Plc	F1+	AA-	P-1	Aa2	A-1+	AA-	10	3
<u>Middle Limit</u>	<u>F1</u>	<u>A</u>	<u>P-1</u>	<u>A2</u>	<u>A-1</u>	<u>A</u>	<u>7</u>	<u>1</u>
UK Banks								
Banco Santander Central Hispano Group - Santander UK Plc	F1	A	P-1	A1	A-1	A	7	1
Lloyds Banking Group - Bank of Scotland Plc	F1	A+	P-1	A1	A-1	A	7	1
- Lloyds Bank	F1	A+	P-1	A1	A-1	A	7	1
UK Building Societies								
Nationwide	F1	A	P-1	A1	A-1	A	7	1
<u>UK Banks Part Nationalised</u>								
Royal Bank of Scotland Group - National Westminster Bank Plc							7	1
- Royal Bank of Scotland Plc							7	1
<u>Council's Banker - Barclays</u>							3	1 day
<u>Other Institution Limits</u>								
Local Authorities								
Any One Local Authority (including police and fire authority)							10	3
Money Market Funds								
Any AAA Rated Money Market Fund							5	1
Debt Management Office							40	6 months

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1. THE PRUDENTIAL INDICATORS

The following indicators are based on the figures put forward within the Capital and Revenue Plans set out in this report.

1.1. Affordability

1.1.1. Estimates of ratio of financing costs to net revenue stream

This indicator identifies the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the net revenue stream.

	2016/17 Estimate	2017/18 Estimate	2018/19 Estimate
Non-HRA	5.96%	6.45%	6.79%
HRA (inclusive of settlement figure)	37.58%	35.65%	33.87%

The estimates of financing costs include current commitments and the proposals in this budget report.

The indicators show the proportion of income taken up by capital financing costs. Indicative Aggregate External Finance (AEF) for 2017/2018 is a 2% decrease on 2016/2017 and for 2018/19 a 2% estimated decrease on 2017/2018.

1.1.2. Estimates of the incremental impact of capital investment decisions on the Council Tax

A fundamental measure of affordability.

This indicator identifies the revenue costs associated with proposed changes to the three year capital programme recommended in this budget report compared to the Council's existing approved commitments and current plans. The assumptions are based on the budget, but will invariably include some estimates, such as the level of Government support, which are not published over a three year period.

All capital projects that would have had revenue implications have been removed from the capital programme. This will reduce the call on council tax payers since less revenue is needed to fund new projects.

Incremental Impact on Council Tax			
£	2016/17	2017/18	2018/19
Increase in Band D Council Tax	2.15	2.20	0.56

These figures show the likely effect on Council Tax of the proposals; they are **not** Council Tax estimates.

1.1.3. Estimates of the incremental impact of capital investment decisions on housing rent levels

A fundamental measure of affordability.

Similar to the Council tax calculation this indicator identifies the trend in the cost of proposed changes in the housing capital programme recommended in this budget report compared to the Council's existing commitments and current plans, expressed as a discrete impact on weekly rent levels.

The proposed changes are shown as the total revenue impact on Housing Rents. Items in the capital programme where there is already a commitment to carry out that scheme are excluded from this Indicator.

Incremental Impact on Weekly Housing Rent			
	2016/17	2017/18	2018/19
Increase in Housing Rent	0.00	0.00	0.00

The final affect on the housing rent will be constrained by the Welsh Government Social Housing Rents Policy.

1.2. Prudence

1.2.1. The Capital Financing Requirement (CFR)

This prudential indicator is the Council's Capital Financing Requirement (CFR). The CFR is the total outstanding capital expenditure which has not yet been paid for from either revenue or capital resources. It is essentially a measure of the Council's underlying borrowing need. The capital expenditure above, which has not immediately been paid for, will increase the CFR.

The Council is asked to approve the CFR projections below:

£m	2016/17 Estimate	2017/18 Estimate	2018/19 Estimate
Non-HRA	260	263	259
HRA	131	131	144
HRAS	77	76	74
TOTAL	468	470	477

1.2.2. The Gross Borrowing and Capital Financing Requirement indicator

The control mechanism to limit external debt.

Estimated gross borrowing for the four years starting with the last full year (2014/15) must not exceed the CFR in the medium term, but can in the short term due to cash flows.

Ensures borrowing is only for approved capital purposes.

The Director of Corporate Services reports that the authority complied with this requirement in 2014/15 and does not envisage difficulties for the future. This view takes into account current commitments, existing plans, and the proposals in the budget report.

Details of Gross Borrowing:

£m	2014/15 Actual	2015/16 Estimate	2016/17 Estimate	2017/18 Estimate	2018/19 Estimate
Debt at 1 st April	259	280	379	404	424
Expected Change in Debt	21	20	25	20	23
HRAS	-	79	-	-	-
Gross debt at 31st March	280	379	404	424	447
CFR	374	468	468	470	477
Under / (Over) borrowing	94	89	64	46	30

1.2.3. External Debt

The Authorised Limit and the Operational Boundary:

The Authorised Limit prudential indicator represents a control on the overall level of borrowing. This represents a limit beyond which external debt is prohibited, and this limit needs to be set or revised by full Council. It reflects the level of external debt which, while not desired, could be afforded in the short term, but is not sustainable in the longer term. This is the statutory limit determined under section 3(1) of the Local Government Act 2003. The Government retains an option to control either the total of all councils' plans, or those of a specific council, although no control has yet been exercised.

£m	2016/17 Estimate	2017/18 Estimate	2018/19 Estimate
Borrowing	514.5	516.5	523.5
Other Long- Term Liabilities	0.5	0.5	0.5
Total	515.0	517.0	524.0

The Operational Boundary for external debt is based on the same estimates as the authorised limit, but without the additional headroom for unusual and unexpected cash movements, and equates to the level of projected external debt. This is clearly subject to the timing of borrowing decisions.

£m	2016/17 Estimate	2017/18 Estimate	2018/19 Estimate
Borrowing	467.9	469.9	476.9
Other Long-Term Liabilities	0.1	0.1	0.1
Total	468.0	470.0	477.0

The Council is asked to approve both the Authorised Limit and the Operational Boundary shown above.

1.2.4. Actual External Debt

The Council's actual external debt at 31st March 2015 was £280m. The actual external debt is not directly comparable to the authorised limit and operational boundary because the actual external debt reflects the position at a point in time.

It is recommended that the above Prudential Indicators are adopted and that the Director of Corporate Services is given delegated authority by Council to change the balance between borrowing and other long-term liabilities.

Other long-term liabilities are other credit arrangements, which are, in the main, finance leases.

MINIMUM REVENUE PROVISION (MRP) STATEMENT

The Council is required to pay off an element of the accumulated General Fund capital spend each year (the CFR) through a revenue charge (the minimum revenue provision – MRP), although it is also allowed to undertake additional voluntary payments if required (voluntary revenue provision – VRP).

Welsh Government regulations were issued with effect from 1st April 2010 which require the full Council to approve a Minimum Revenue Provision (MRP) Statement in advance each year. A variety of options were provided to councils to replace the existing Regulations, as long as there is a prudent provision.

Council have already approved the following approaches for calculating MRP:

Supported Borrowing and Capital Expenditure incurred before 1st April 2008

Based on CFR

The calculation is based on 4% of the opening Capital Financing Requirement (CFR) each year.

Unsupported Borrowing

Asset Life Method

Under this method the borrowing value is divided by the estimated life of the asset.

Capital Expenditure on the Modernising Education Programme (MEP) and Local Government Borrowing Initiative (LGBI) 21st Century Schools is classed as Unsupported Borrowing. It is estimated that asset lives within these programmes are 30 years and this is the period that will be used to determine the MRP.

Asset lives within the Fleet Programme range from 1 to 10 years, these are the periods that will be used to determine the MRP.

Local Government Borrowing Initiative (LGBI) Highways. It is estimated that asset lives within this programme are 20 years and this is the period that will be used to determine the MRP.

Housing Revenue Account

The calculation is based on 2% of the opening Capital Financing Requirement (CFR) each year.

Council is recommended to approve the following MRP Statement for 2016/2017:

For Supported and Unsupported Capital Expenditure, the MRP policy will continue to follow the approaches above.

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Executive Board 1st February 2016

Subject

**Purpose: Treasury Management and Prudential Indicator Report
1st April 2015 to 31st December 2015**

Recommendations / key decisions required:

That the Executive Board considers and approves the report.

Reasons:

**To provide members with an update on the treasury management activities from
1st April 2015 to 31st December 2015.**

Relevant scrutiny committee to be consulted

YES

Scrutiny committee and date

Policy & Resources Scrutiny Committee 3rd February 2016

Exec Board Decision Required YES

Council Decision Required NO

**EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Councillor David Jenkins -
Resources**

Directorate: Corporate Services

Name of Director: Chris Moore

Report Author: Anthony Parnell

Designation: Director of Corporate
Services

Designation: Treasury and Pension
Investments Manager

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EXECUTIVE SUMMARY

Executive Board

1st February 2016

SUBJECT

**Treasury Management and Prudential Indicator Report
1st April 2015 to 31st December 2015**

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

To provide members with an update on the treasury management activities from 1st April 2015 to 31st December 2015.

DETAILED REPORT ATTACHED ?

YES

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: C Moore Director of Corporate Services

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES	NONE	YES	NONE	NONE	NONE	NONE

1. Policy, Crime & Disorder and Equalities

Within the requirements of the Treasury Management Policy and Strategy Report 2015-2016

2. Finance

The authority's investments during the period returned an average return of 0.57%, exceeding the 7 day LIBID rate.

Gross interest earned on investments for the period amounted to £0.220m and interest paid on loans was £9.01m.

The Authority did not breach any of its Prudential Indicators during the period.

At the period end the investments included £0.70m of KSF investments.

The administration of KSF is expected to continue for some time again and further updates will be provided in future reports.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: C Moore Director of Corporate Services

(Please specify the outcomes of consultations undertaken where they arise against the following headings)

1. Scrutiny Committee

Not Applicable

2. Local Member(s)

Not Applicable

3. Community / Town Council

Not Applicable

4. Relevant Partners

Not Applicable

5. Staff Side Representatives and other Organisations

Not Applicable

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
CIPFA Treasury Management in the Public Services - Code of Practice Revised 2011		County Hall, Carmarthen

QUARTERLY TREASURY MANAGEMENT AND PRUDENTIAL INDICATOR REPORT

1st April 2015 – 31st December 2015

A QUARTERLY TREASURY MANAGEMENT REPORT

1. Introduction

The Treasury Management Policy and Strategy for 2015-2016 was approved by Council on 25th February 2015. Section B 1.1(2) stated that Treasury Management activity reports would be made during the year. This report outlines the Treasury Management activities in the period 1st April 2015 to 31st December 2015 and satisfies the reporting requirement stated above.

1.1 HRA Reform in Wales

As reported in the April - June 2015 quarterly report, the Council made a one off payment to the Welsh Government of £79m which removed the Authority's obligation to the Housing Subsidy system. The equivalent figure was borrowed from the PWLB on 2nd April 2015 and met the requirements of the HRA business plan and the overall requirements of the Council.

These loans were detailed in the April - June 2015 quarterly report.

2. Investments

One of the primary activities of the Treasury Management operation is the investment of surplus cash for which the Authority is responsible. As well as the Authority's own cash the County Council invests School Trust Funds and other Funds, with any interest derived from these investments being passed over to the relevant Fund.

All surplus money is invested daily on the London Money Markets. The security of the investments is the main priority. Appropriate liquidity should be maintained and return on investments the final consideration. It continues to be difficult to invest these funds as the market continues to be insecure and as a consequence appropriate counterparties are limited.

The total investments at 1st April 2015 to 31st December 2015 analysed between Banks, Building Societies, Local Authorities and Money Market Funds, are shown in the following table:

Investments	1.4.15				31.12.15			
	Call and notice	Fixed Term	Total		Call and notice	Fixed Term	Total	
	£m	£m	£m	%	£m	£m	£m	%
Banks and 100% wholly owned Subsidiaries	13.50	0.70	14.20	35	12.00	5.70	17.70	48
Building Societies	0.00	0.00	0.00	0	0.00	7.00	7.00	19
Local Authorities	0.00	25.00	25.00	61	0.00	5.00	5.00	13
Money Market Funds	1.50	0.00	1.50	4	7.40	0.00	7.40	20
TOTAL	15.00	25.70	40.70	100	19.40	17.70	37.10	100

Investments on call are available immediately on demand.
Fixed term investments are fixed to a maturity date.

The £37.10m includes £0.70m (17.5% of original claim) invested in Kaupthing Singer and Friedlander which has been reduced from the original £4.0m by distributions.

During the period the total investments made by the Council and repaid to the Council (the turnover) amounted to £673.2m. This averaged approximately £17.14m per week or £2.45m per day. A summary of turnover is shown below:

	£m
Total Investments 1st April 2015	40.70
Investments made during the quarter	334.80
Sub Total	375.50
Investments Repaid during the quarter	(338.40)
Total Investments at 31st December 2015	37.10

The main aims of the Treasury Management Strategy is to appropriately manage the cash flows of the Council, the required short term and longer term market transactions and the risks associated with this activity. Lending on the money market secures an optimum rate of return and also allows for diversification of investments and hence reduction of risk, which is of paramount importance in today's financial markets.

The benchmark return for the London money market is the "7 day LIBID rate". For 2015-2016 the Council has compared its performance against this "7 day LIBID rate". For the period under review the average "7 day LIBID rate" was 0.36% whereas the actual rate the Council earned was 0.57%, an out performance of 0.21%.

This outperformance can be quantified to £80k additional interest earned compared to the "7 day LIBID rate".

The gross interest earned on investments for the period amounted to £0.220m.

The income from investments is used by the Authority to reduce the net overall costs to the Council taxpayer.

3. Update on the investments with Kaupthing Singer & Friedlander (KSF)

No dividends were received during 1st April 2015 to 31st December 2015. 82.5% of the claim submitted remains unchanged. The administrators currently expect the total repayment to be up to 85% of the original claim with the next dividend expected before 31st March 2016.

4. Security, Liquidity and Yield (SLY)

Within the Treasury Management Strategy Statement for 2015-2016, Page 99 Council's investment priorities are:

- Security of Capital
- Liquidity and
- Yield

The Council aims to achieve the optimum return (yield) on investments commensurate with proper levels of security and liquidity. In the current economic climate it is considered appropriate to keep investments short term to cover short term cash flow needs but also to seek out value available in significantly higher rates in periods up to 12 months with highly credit rated financial institutions.

Attached in Appendix 1 is the Investment Summary and Top 10 Counterparty Holdings (excluding the £0.70m in KSF) as at 31st December 2015.

5. Borrowing

One of the methods used to fund capital expenditure is long term borrowing. The principal lender for Local Authorities is the Public Works Loan Board (PWLB).

Under the Treasury Management Strategy it was agreed to borrow when interest rates are at their most advantageous.

The total loans at 1st April 2015 and 31st December 2015 are shown in the following table:

Loans	Balance at 01.04.15 £m	Balance at 31.12.15 £m	Net Increase/ (Net Decrease) £m
Public Works Loan Board (PWLB)	275.64	363.59	87.95
Market Loan	3.00	3.00	0.00
Salix, HILS & TCL	1.20	1.67	0.47
TOTAL	279.84	368.26	88.42

The Salix interest free loans have been provided by an independent publicly funded company dedicated to providing the public sector with loans for energy efficiency projects.

Town Centre Loans (TCL) – In November 2015 the Council received £0.7m interest free repayable funding from the Welsh Government with the aim of reducing the number of vacant, underutilised and redundant sites and premises in Llanelli town centre and to support the diversification of the town centre by encouraging more sustainable uses for empty sites and premises. The funding has to be repaid to the Welsh Government by 31st March 2031.

5.1 New Borrowing

As mentioned in 1.1, loans were borrowed during the period to remove the HRA from the housing subsidy system. These loans were detailed in the April - June 2015 quarterly report.

The following loans were borrowed during the period to fund the capital programme:

Loan Reference	Amount (£m)	Interest Rate	Start Date	Period	Maturity Date
504388	5.00	3.18%	28th September 2015	45yrs	28th September 2060
504389	5.00	3.17%	28th September 2015	46yrs	28th September 2061
Total	10.00				

5.2 Interest Paid

Interest paid on loans in the period was:

PWLB Interest Paid £m	Market Loan Interest Paid £m	Total Interest Paid £m
8.87	0.14	9.01

6. Rescheduling and Premature Loan Repayments

No rescheduling opportunities arose during the period and there were no premature repayments of debt.

7. Leasing

No leases were negotiated in the period ended 31st December 2015.

8. Conclusion

The Treasury Management function for the period ended 31st December 2015 has been carried out within the policy and guidelines set in the Treasury Management Policy and Strategy 2015-2016.

1. Introduction

As part of the 2015-2016 Budget and the Treasury Management Policy and Strategy 2015-2016 Council adopted a number of Prudential Indicators. These Indicators are designed to ensure that any borrowing or other long-term liabilities entered into for capital purposes were affordable, sustainable and prudent.

The Indicators are required by the Local Government Act 2003 and the Revised Prudential Code of Practice in order to control Capital Finance. The Prudential Code also required that those Prudential Indicators that were forward looking should be monitored and reported. Some of the indicators are monitored by officers monthly, and are only reported if they are likely to be breached, others are to be monitored quarterly by the Executive Board.

2. The Monitored Prudential Indicators

2.1 Affordability Prudential Indicator

2.1.1 Ratio of Financing Costs to Net Revenue Stream

The indicator set for 2015-2016 in the Budget was:

	2014-2015 %
Non –HRA	5.68
HRA	35.00

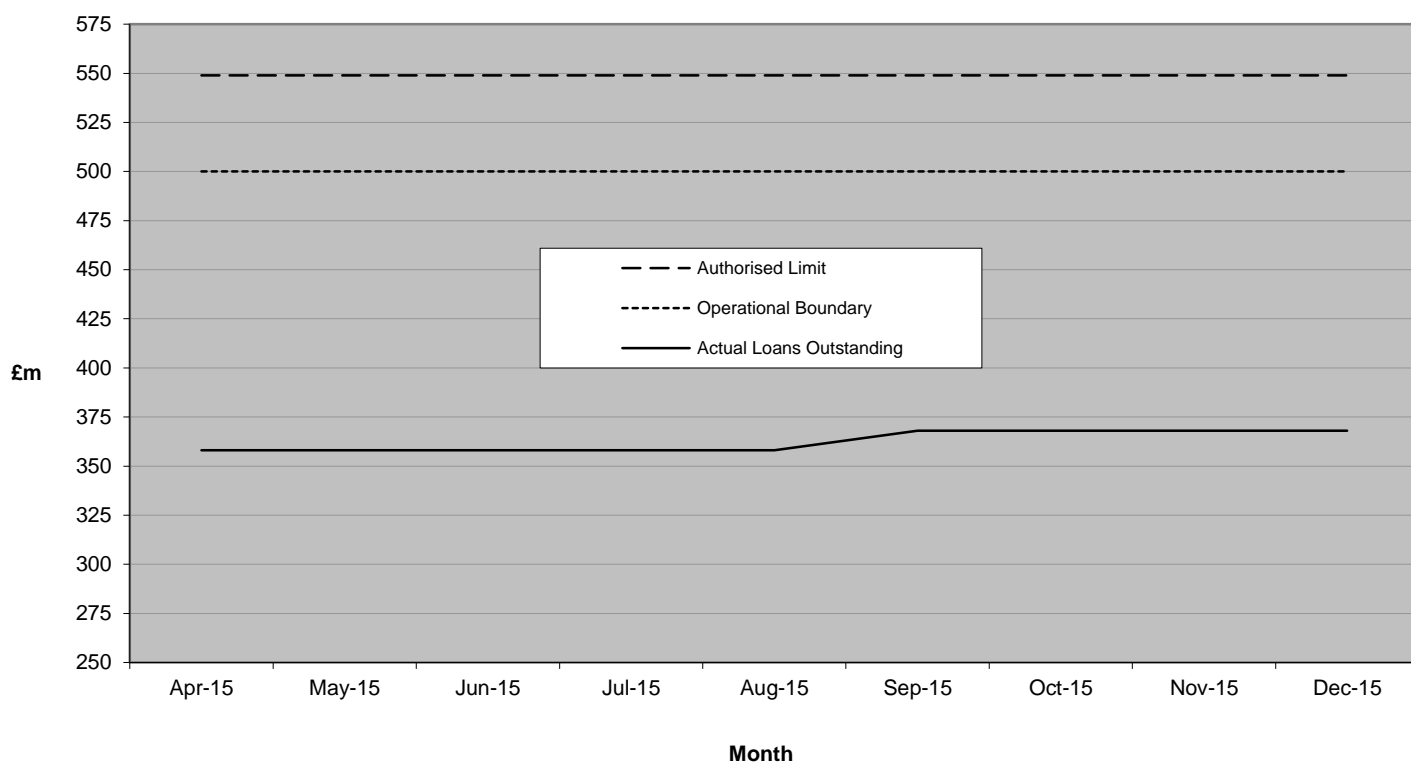
An examination of the assumptions made in calculating this indicator concluded that there have been no changes in the period.

2.2 Prudence Prudential Indicators

2.2.1 The Gross Borrowing and Capital Finance Requirement (CFR) indicator

The indicator set by the Budget for Gross Borrowing and CFR was that the Director of Corporate Services envisaged no difficulty in meeting the requirement of the Gross Borrowing being less than the accumulated CFR for 2015-2016. An examination of assumptions made when calculating the Prudential Indicator show that there have been no material changes.

The actual value of loans outstanding must not exceed the Authorised Limit. In normal activity actual loans outstanding should be close but less than the Operational Boundary. The Operational Boundary can be breached in the short term due to adverse cash flows.



	Apr-15	Jun-15	Sep-15	Dec-15
	£m	£m	£m	£m
Authorised Limit	549	549	549	549
Operational Boundary	500	500	500	500
Loans Outstanding	358	358	368	368

Neither the Authorised Limit nor the Operational Boundary have been breached.

2.3.1 Interest Rate Exposure

Position as at 31st December 2015:

	Fixed Interest Rate £m	Variable Interest Rate £m	TOTAL £m
Borrowed	365.26	3.00	368.26
Invested	(17.70)	(19.40)	(37.10)
Net	347.56	(16.40)	331.16
Limit	480.00	48.00	
Proportion of Net Borrowing Actual	104.95%	(4.95)%	100.00%
Limit	150.00%	10.00%	

The authority is within limits set by the 2015-2016 indicators.

2.3.2 Maturity Structure Of Borrowing

	Structure at 31.12.15 %	Upper Limit %	Lower Limit %
Under 12 months	2.61	15	0
12 months to 2 years	1.07	25	0
2 years to 5 years	7.57	50	0
5 years to 10 years	11.77	50	0
10 years to 20 years	18.24	50	0
20 years to 30 years	21.32	50	0
30 years to 40 years	25.47	50	0
40 years and above	11.95	50	0

The authority is within the limits set by the 2015-2016 indicators.

2.3.3 Maximum principal sums invested longer than 364 days

	2015-2016 £m
Limit	10
Actual as at 31 st December 2015	NIL

3. Conclusion

For the period 1st April 2015 to 31st December 2015 the actual Prudential Indicators to be monitored by the Executive Board are within the limits set by the Budget 2015-2016 and the Treasury Management Policy and Strategy 2015-2016. This is also true for the indicators being monitored by officers.

RECOMMENDATION

That Executive Board considers and approves the report.

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Investment Summary as at 31st December 2015

Carmarthenshire County Council

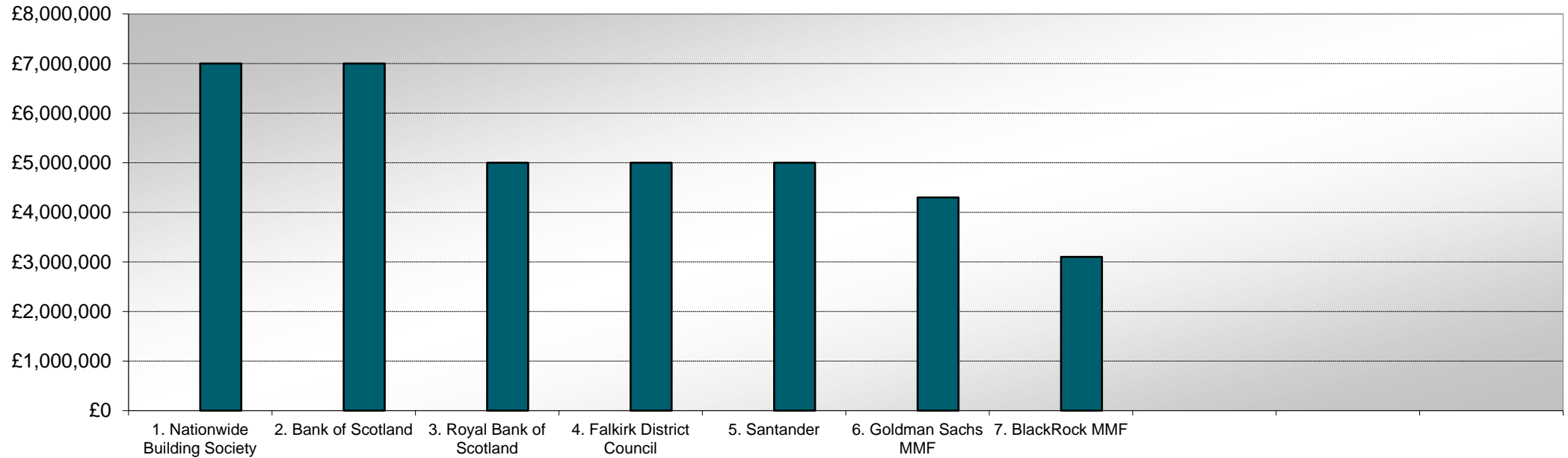
Totals		
Total	£36,400,000	
Calls & MMFs	£24,400,000	67%
Fixed Deposits	£12,000,000	33%
Specified	£36,400,000	100%

Weighted Average		
Yield		0.63%
Maturity (Days)		
Total Portfolio	Total Portfolio	28.47
Long Term		
Short Term		
AAA	-	23.18
AA	F1	0.00
A	F1	28.37
BBB	F2	42.00
CCC	C	0.00

Risk Factors		
< 1 year	£2,717	0.007%
1 - 2 years	£0	0.000%
2 - 3 years	£0	0.000%
3 - 4 years	£0	0.000%
4 - 5 years	£0	0.000%
Total Portfolio	£2,717	0.007%

Maturity Structure		
< 1 Week	£19,400,000	53%
< 1 Month	£0	0%
2 - 3 Months	£17,000,000	47%
3 - 6 Months	£0	0%
6 - 9 Months	£0	0%
9 - 12 Months	£0	0%
12 Months+	£0	0%
Total	£36,400,000	100%

Counterparty	Principal	% of Total Holding	WAM (Days)	WAYield	WADefault
1. Nationwide Building Society	£7,000,000	19.23%	75	0.78%	0.019%
2. Bank of Scotland	£7,000,000	19.23%	1	0.40%	0.000%
3. Royal Bank of Scotland	£5,000,000	13.74%	42	0.70%	0.027%
4. Falkirk District Council	£5,000,000	13.74%	56	0.57%	0.000%
5. Santander	£5,000,000	13.74%	1	1.05%	0.000%
6. Goldman Sachs MMF	£4,300,000	11.81%	1	0.44%	0.000%
7. BlackRock MMF	£3,100,000	8.52%	1	0.37%	0.000%



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Executive Board 1st February 2016

Development Fund Application

Recommendations / key decisions required:

1. Approval is given in the sum of £50,500 per annum for a period of three years to fund the appointment of an accredited financial investigator for the restraint and confiscation of assets of any person committing criminal offences under the Proceeds of Crime Act 2002.
2. That the interest is not charged as per amended Development Fund conditions
3. That Development Fund criteria no 5 be set aside for this application
4. That the repayment for the above scheme be over four years.

Reasons:

To provide Executive Board with an update on the latest position of the Development Fund, and to seek Executive Board approval of a recent application to the Fund.

Relevant scrutiny committee to be consulted NA

Exec Board Decision Required YES

Council Decision Required NO

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Cllr. David Jenkins

Corporate Services Directorate

Name of Head of Service:

Owen Bowen

Report Author:

Designations:

Interim Head of Financial Services

Tel Nos. 01267 224886

E Mail Addresses:

Obowen@carmarthenshire.gov.uk

EXECUTIVE SUMMARY

Executive Board

1st February 2016

DEVELOPMENT FUND APPLICATION

The report provides a brief update on the Development Fund and identifies that the Authority has £304k of funds available for new projects.

It provides details of a recent application to the fund for financial assistance from the Communities department for the appointment of an accredited financial investigator for the restraint and confiscation of assets of any person committing criminal offences under the Proceeds of Crime Act 2002.

The funding requested is £151,500 in total.

DETAILED REPORT ATTACHED?

YES

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: O Bowen

Interim Head of Financial Services

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
NONE	NONE	YES	NONE	NONE	YES	NONE

1. Finance

Based on the latest profile of spending, it is estimated that there is some £304k available for new projects.

The application is for £151,500 in total, with the fund repayments of £37,875 per annum being met from savings in the cost of contracting out the financial investigator work and increasing the number of cases investigated.

7. Staffing Implications

One post to be created on a fixed term basis.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below
Signed: O Bowen Interim Head of Financial Services

1. Scrutiny Committee N/A
2. Local Member(s) N/A
3. Community / Town Council N/A
4. Relevant Partners N/A
5. Staff Side Representatives and other Organisations N/A

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

Development Fund Application

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Development Fund Application		County Hall, Carmarthen

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Report of the Director of Corporate Services

Executive Board

DEVELOPMENT FUND APPLICATION

Appointment of an accredited financial investigator for the restraint and confiscation of assets of any person committing criminal offences under the Proceeds of Crime Act 2002.

Head of Service & Designation. O Bowen – Interim Head of Financial Services	Directorate Corporate Services	Telephone No. 01267 224886
Author & Designation As above	Directorate	Telephone No

1. BRIEF SUMMARY OF PURPOSE OF REPORT.

An application has been received from the Communities Department for the appointment of an accredited financial investigator for the restraint and confiscation of assets of any person committing criminal offences under the Proceeds of Crime Act 2002.

KEY DECISIONS REQUIRED, IF ANY

The report gives an update on the latest position of the Development Fund, and seeks the approval for a recent application to the Fund.

2. RECOMMENDATION(S)

- 2.1 Approval is given in the sum of £50,500 per annum for a period of three years to fund the appointment of an accredited financial investigator for the restraint and confiscation of assets of any person committing criminal offences under the Proceeds of Crime Act 2002.
- 2.2 That the interest is not charged as per amended Development Fund conditions
- 2.3 That Development Fund criteria no 5 be set aside for this application
- 2.4 That the repayment for the above scheme be over four years.

3. REASON(S)

A recent application for financial assistance from the fund has been received from the Communities department for the appointment of an accredited financial investigator for the

restraint and confiscation of assets of any person committing criminal offences under the Proceeds of Crime Act 2002.

4. BACKGROUND AND EXPLANATION OF ISSUES

Development Fund Criteria

5.1 To qualify for Fund support the following criteria were laid down:-

1. Applications are restricted to “one off” type projects and support for recurring costs are not considered.
2. All projects must demonstrate the ability to generate long-term savings to the Authority.
3. Financial assistance from the fund to be repaid over a four year period, inclusive of interest. (Currently due to the economic climate interest is not chargeable)
4. Minimum scheme cost eligible for support is set at £50,000.
5. Financial assistance to any scheme is restricted to 25% of available fund resources.

It must be said however that since its inception the fund has supported projects that did not meet all the above criteria.

5.2 CURRENT POSITION

5.2.1 Some 42 schemes have been supported to date to the value of approx £5.3m by the Development Fund.

5.2.2 Based on the approvals to date, there is £304k available for new projects. This sum will rise to £388k in 2016/17 and £547k in 2017/18 when future repayments to the fund are made.

5.3 NEW APPLICATIONS

5.3.1 An application has been received from the Communities Department for the appointment of an accredited financial investigator for the restraint and confiscation of assets of any person committing criminal offences under the Proceeds of Crime Act 2002.

5.3.2 Scheme Overview:
Scheme Costs

Accredited Financial Investigator @ £50,500 per annum for three years.

Total funding requested £151,500

5.3.3 Fund Repayments

£37,875 per annum over four years, to be met from savings in the cost of



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contracting out the financial investigator work and increasing the number of cases investigated.

5.3.4 Scheme Benefits

- Action under Proceeds of Crime Act 2002 (POCA), is vital to disrupt criminal enterprises, through the recovery of criminal assets and to ensure that crime does not pay and is seen not to pay, thereby making it a key contributor to local crime and disorder strategies.
Although POCA is primarily a crime fighting tactic as a disincentive, rather than an income generation tool, there is potential for any income generated to be used to fund further crime reduction work and for community development schemes.
- Since 2009 Trading Standards in Carmarthenshire presently administer several projects directly funded from resources accrued through asset recovery. (This type of initiative is positively encouraged by the Home Office).
- Since 1st April 2006 Local Authorities involved in the confiscation of criminal assets during successful prosecutions are able to access the incentive scheme, which allows them to retain up to 1/3rd of recovered assets.
The funds recovered in this Authority have been used by the Division to develop and deliver a financial literacy educational package across schools within Carmarthenshire (2012 to date) and created the first and only digital forensic facility within Trading Standards in Wales (2010).
- Only accredited Financial Investigators can apply to the Court for investigation orders and other orders under the Proceeds of Crime Act 2002. A specialist post is therefore required to carry out this work on behalf of the Service. Currently Carmarthenshire Trading Standards must engage the services of a 'third party' at a significant cost – usually 50% of the 'incentivisation' confiscation figure.
- Along with a substantial under use of the legislation by this Authority, there are considerable external opportunities for third party work, such as other Local Authorities for a fee, (generally accepted as one third of a confiscation amount or £60 per hour for a compensation amount).
- By employing a dedicated investigator there is a potential that the number of cases will increase and a collateral financial benefit to the Authority and Community will result.

6 OTHER OPTIONS AVAILABLE, AND THEIR PROS AND CONS

Maintain status quo – contract in an outside financial investigator at a cost of up to 50% of the 'incentivisation' confiscation figure, and fail to maximise the number of cases pursued with the



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collateral loss of financial benefit to the Authority and Community.

7 COMMUNITY STRATEGY INTEGRATION TOOL

Not Applicable

8 IMPLICATIONS:



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1.FINANCE

Based on the latest profile of spending, it is estimated that there is some £304k available for new projects.

The application is for £151,500, with the fund repayments of £37,875 per annum being made from generated.

2.STAFFING

One post to be created on a fixed term basis.

9 FEEDBACK FROM CONSULTATIONS UNDERTAKEN

Not Applicable

10 LIST OF BACKGROUND PAPERS USED IN THE PREPARATION OF THE REPORT

Title of Document	File Ref No.	Where available for public inspection
Development Fund Application		County Hall, Carmarthen.

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Exec Board Meeting 1st February 2016

Wales Audit Office - Corporate Assessment Report 2015

Recommendations / key decisions required:

1. To approve the content of the Corporate Assessment Report 2015
2. That an action plan is produced to address the Proposals for Improvement made within the Report.

Reasons:

In 2013-14 the Welsh Audit Office began a four year cycle of Corporate Assessments of all Authorities in Wales under the Welsh Local Government Act (2009). In October 2015 they carried out their Corporate Assessment of Carmarthenshire County Council.

Relevant scrutiny committee to be consulted - NA

Exec Board Decision Required	Yes - February 1 st 2016
Council Decision	Yes - February 10 th 2016

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Cllr Emlyn Dole

<p>Directorate Chief Executive</p> <p>Name of Head of Service: Wendy S Walters</p> <p>Report Author: Noelwyn Daniel</p>	<p>Designations:</p> <p>Assistant Chief Executive Regeneration & Policy</p> <p>Performance and Information Manager</p>	<p>Tel Nos./ E Mail Addresses:</p> <p>01267 224112 wswalters@carmarthenshire.gov.uk</p> <p>01267 224476 NDaniel@carmarthenshire.gov.uk</p>
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EXECUTIVE SUMMARY
EXECUTIVE BOARD
1ST FEBRUARY 2016

SUBJECT

Wales Audit Office - Corporate Assessment Report 2015

BRIEF SUMMARY OF PURPOSE OF REPORT

Welsh Audit Office undertook the Corporate Assessment fieldwork in Carmarthenshire County Council during October 2015. The purpose of the Corporate Assessment is to provide a position statement of an authority's capacity and capability to deliver continuous improvement.

The Authority has been highly praised by the Welsh Audit Office for having a well established vision that is driven forward by a strong collective leadership from both Executive and Corporate Management Teams. A clear framework of well-aligned plans and strategies that translate high level outcomes the Council has agreed with partners into priorities for action has also been recognised ensuring a strong ethos of continuous improvement runs through everything the Council does.

The Auditor General has concluded that: Carmarthenshire County Council, demonstrating ambition in its vision, with collective leadership and more robust and transparent governance, is delivering improved outcomes for its citizens although some out-dated approaches may limit the speed of progress. He came to this conclusion because:

- increasingly collective leadership is supporting a revised vision for Carmarthenshire and sustaining a culture of improvement;
- the Council has made good progress in establishing improved governance arrangements which are now more robust and transparent, although there are opportunities for further improvements to enable Members to be more effective in their roles;
- the Council's arrangements for managing its resources have served it well in the past, but the current approach in some areas is out-dated and not joined up, which may limit the speed of progress towards improved outcomes for citizens;
- the Council has an established and effective approach to partnership working;
- the Council's framework to manage improvement is good but lacks quality and consistent application within some departments leading to a lack of accountability
- the Council in collaboration with partners, is continuing to improve performance across its priority areas.

DETAILED REPORT ATTACHED ?

YES

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Wendy S Walters - Assistant Chief Executive Regeneration & Policy

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
YES	YES	YES	YES	YES	YES	YES

1. Policy, Crime & Disorder and Equalities

The Corporate Assessment assesses our governance arrangements throughout the organisation. We will need to address the Proposals for Improvement made within the final published report.

In addition to the Proposals for Improvement, the paragraphs of the report do contain some other actions that may need to be addressed or formally discounted. Therefore these actions should also be extracted and addressed.

2. Legal

The Corporate Assessment assesses our governance arrangements throughout the organisation. We will need to address the Proposals for Improvement made within the final published report.

3. Finance

The Corporate Assessment assesses our governance arrangements throughout the organisation. We will need to address the Proposals for Improvement made within the final published report.

4. ICT

The Corporate Assessment assesses our governance arrangements throughout the organisation. We will need to address the Proposals for Improvement made within the final published report.

5. Risk Management Issues

The Corporate Assessment assesses our governance arrangements throughout the organisation. We will need to address the Proposals for Improvement made within the final published report.

6 Staffing Implications

The Corporate Assessment assesses our governance arrangements throughout the organisation. We will need to address the Proposals for Improvement made within the final published report.

7. Physical Assets

The Corporate Assessment assesses our governance arrangements throughout the organisation. We will need to address the Proposals for Improvement made within the final published report.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below
Signed: Wendy S Walters - Assistant Chief Executive /Head of Regeneration & Policy

1. Scrutiny Committee – N/A

2. Local Member(s) – N/A

3. Community / Town Council – N/A

4. Relevant Partners – N/A

5. Staff Side Representatives and other Organisations – N/A

Section 100D Local Government Act, 1972 – Access to Information List of Background Papers used in the preparation of this report: THESE ARE DETAILED BELOW :-

Title of Document	FileRefNo.	Locations that the papers are available for public inspection



Corporate Assessment Report 2015

Carmarthenshire County Council

Issued: January 2016

Document reference: 704A2015

About the Auditor General for Wales

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

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

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

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

This Corporate Assessment has been prepared on behalf of the Auditor General for Wales by Jason Blewitt, Tim Buckle, Jeremy Evans, Alison Lewis, Gareth W Lewis, Margaret Maxwell and Geraint Norman under the direction of Jane Holownia.

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Summary report

Summary

1. In 2013-14, staff of the Wales Audit Office began a four-year cycle of corporate assessments of improvement authorities in Wales. This means that, in addition to an annual programme of improvement studies and audits of councils' approaches to improvement planning and reporting, each authority will receive an in-depth corporate assessment once during a four-year period. In the intervening years, we will keep track of developments through progress updates.
2. Our fieldwork for the corporate assessment focused on the extent to which arrangements are contributing to delivering improved service performance and outcomes for citizens. The corporate assessment sought to answer the following question: 'Is the Council capable of delivering its priorities and improved outcomes for citizens?'
3. The Auditor General has concluded that: Carmarthenshire County Council, demonstrating ambition in its vision, with collective leadership and more robust and transparent governance, is delivering improved outcomes for its citizens although some out-dated approaches may limit the speed of progress. He came to this conclusion because:
 - increasingly collective leadership is supporting a revised vision for Carmarthenshire and sustaining a culture of improvement;
 - the Council has made good progress in establishing improved governance arrangements which are now more robust and transparent, although there are opportunities for further improvements to enable Members to be more effective in their roles;
 - the Council's arrangements for managing its resources have served it well in the past, but the current approach in some areas is out-dated and not joined up, which may limit the speed of progress towards improved outcomes for citizens:
 - the Council's ability to respond to future financial challenges could be hampered as service and financial planning and performance are not clearly linked, individual savings are not routinely monitored and weaknesses in grants management continue to be a concern;
 - the Council's approach to people management is working well and it is addressing some of the key areas that need strengthening, such as strategic workforce planning;
 - the Council's ability to effectively manage its asset base is currently being hampered by a number of factors; and
 - whilst slow to respond to the significant shortcomings with its ICT arrangements the Council is now taking action to improve.
 - the Council has an established and effective approach to partnership working;

- the Council's framework to manage improvement is good but lacks quality and consistent application within some departments leading to a lack of accountability; and
- the Council, in collaboration with partners, is continuing to improve performance across its priority areas.

Proposals for Improvement

P1 Governance:

- Develop forward work programmes to ensure that all appropriate committees have a published up to date programme owned by committee Members.
- Publish a register of delegated decisions.
- Develop and deliver training to help Members understand their roles and responsibilities and refresh this training delivery as Members move between roles.
- Review the remit of Audit Committee to make sure it is delivering what is expected of it.

P2 Use of Resources – Finance:

- Develop more explicit links between the medium term financial plan (MTFP) and the Council's improvement planning, detailing the impact that financial constraints are having on outcomes for citizens.
- Develop and utilise benchmarking and Value for Money Indicators in budget setting to better inform decisions and allow for further debate and challenge of existing costs and potentially identify further efficiency savings.
- Improve financial reporting by:
 - developing clearer links between financial and service performance including developing joint financial and performance reports to Members;
 - monitoring and reporting on individual savings targets to ensure that areas of over and underachievement are explicitly identified enabling effective challenge, remedial action and sharing of good practice;
 - providing sufficient information on reserves and a clear audit trail for decisions regarding reserves; and
 - liaising with Members to ensure that financial information is appropriate to their needs.
- Strengthen procurement arrangements by:
 - reviewing the reasons for non-compliance with procedures and taking corrective action to prevent these re-occurring;
 - setting up and maintaining a Tender Register and Contracts Register;
 - establishing, maintaining and regularly reporting to Audit Committee a list of single tender actions; and
 - reviewing the differences in the use of the Council's framework contracts to drive a more consistent process going forward.

P3 Use of Resources – People:

- Finalise and implement the revised structure for People Management and Performance (PMP) Division.
- Ensure all staff have an annual individual performance appraisal.
- Simplify communication mechanisms both within PMP and those used for communicating people management initiatives to the wider workforce.
- Review the ICT systems and equipment used within PMP and drive developments to deliver as a minimum:
 - a single personnel record;
 - effective self-service;
 - agile working for PMP officers;
 - a clear business requirement for ICT communicated to the ICT Strategy Group; and
 - more effective use of the Insight reporting system.

P4 Use of Resources – Assets:

- Strengthen the service level asset management plans and improve links between these plans and the overarching corporate asset management plan.
- Report progress against the corporate asset management plan and the office accommodation strategy to Members quarterly.

P5 Use of Resources – ICT and Information Management:

- Ensure that the ICT work streams resolve the apparent disconnect between the business and the ICT service and take appropriate account of business needs.

P6 Improvement Planning:

- provide clearer direction and professional level challenge on all performance management issues to ensure consistent application of the Council's performance management framework and sharing of good practice.

Detailed report

Introduction

4. In 2013-14, staff of the Wales Audit Office began a four-year cycle of Corporate Assessments of improvement authorities in Wales. This means that, in addition to an annual programme of improvement studies and audits of councils' approaches to improvement planning and reporting, each Council will receive an in-depth Corporate Assessment once during a four-year period. In the intervening years, we will keep track of developments and focus further assessment work on a number of key themes, developed in discussion with each Council.
5. We undertook our Corporate Assessment fieldwork in Carmarthenshire County Council (the Council) during October 2015. Whilst the Corporate Assessment does not aim to provide a comprehensive analysis of the performance of all of the Council's services, it reports on the Council's track record of performance and outcomes as well as the key arrangements that are necessary to underpin improvements in services and functions.
6. This work has been undertaken by staff of the Wales Audit Office on behalf of the Auditor General. With help from Welsh inspectorates, Estyn (for education), the Care and Social Services Inspectorate for Wales (CSSIW), and the Welsh Language Commissioner, we have brought together a picture of what the Council is trying to achieve, how it is going about it, and the progress it has made.
7. This conclusion should not be seen as a definitive statement of organisational health or as a prediction of future success. Rather, it should be viewed as providing an opinion on the extent to which the arrangements currently in place are reasonably sound insofar as can be ascertained from the work carried out.
8. Our fieldwork for the Corporate Assessment focused on the extent to which arrangements are contributing to delivering improved service performance and outcomes for citizens. The corporate assessment sought to answer the following question: **'Is the Council capable of delivering its priorities and improved outcomes for citizens?'**
9. The Corporate Assessment covers the following:
 - Vision and strategic direction:**
 - 'Does the Council's vision and strategic direction support improvement?'
 - Governance and accountability:**
 - 'Do the Council's governance and accountability arrangements support robust and effective decision-making?'
 - Use of resources:
 - 'Is the Council managing its resources effectively to deliver its planned improvements in performance and outcomes?'
 - Collaboration and partnerships:
 - 'Are the Council's collaboration and partnership arrangements working effectively to deliver improved performance and outcomes?'

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- Managing improvement:
 - ‘Is the Council effectively managing its improvement programme?’
 - Performance and outcomes:
 - ‘Is the Council making progress on achieving its planned improvements in performance and outcomes?’
- 10.** The conclusions in this report are based on the work carried out and, unless stated otherwise, reflect the situation at the point in time they were concluded.
- 11.** Given the wide range of services provided and the challenges facing the Council, it would be unusual if we did not find things that can be improved. The Auditor General is able to:
- Make proposals for improvement – we make such proposals in this report and we will follow up what happens.
 - Make formal recommendations for improvement – if a formal recommendation is made the Council must prepare a response to that recommendation within 30 working days. We find no reason to make such recommendations.
 - Conduct a special inspection and publish a report and make recommendations. We find no reason to conduct such an inspection.
 - Recommend to Ministers of the Welsh Government that they intervene in some way. We find no reason to make such a recommendation.
- 12.** We want to find out if this report gives you the information you need and whether it is easy to understand. You can let us know your views by e-mailing us at info@audit.wales or writing to us at 24 Cathedral Road, Cardiff, CF11 9LJ.

Carmarthenshire County Council, demonstrating ambition in its vision, with collective leadership and more robust and transparent governance, is delivering improved outcomes for its citizens although some out-dated approaches may limit the speed of progress

Increasingly collective leadership is supporting a revised vision for Carmarthenshire and sustaining a culture of improvement

The Council has recently launched a revised vision that places regeneration at the heart of everything it does

13. The Council has a good understanding of the local context in which it operates, informed by a Joint Strategic Needs Assessment and a good track record of effective community and stakeholder engagement. This includes the Citizens Panel, national and local customer satisfaction surveys, 50+ Forum surveys, tenant engagement and budget consultation road shows.
14. Over the last four years, a clearly articulated and well established vision including high level objectives has guided the Council's improvement activity. These objectives, taken from the Local Service Board's (LSB) Integrated Community Strategy (ICS) are:
 - people in Carmarthenshire are healthier;
 - people in Carmarthenshire fulfil their learning potential;
 - people who live, work and visit Carmarthenshire are safe and feel safer;
 - Carmarthenshire's communities and environment are sustainable; and
 - Carmarthenshire has a stronger and more prosperous economy.Further to this the Council has published a set of core values to guide how it conducts its business which the Council added to in 2014 by setting the ambition to be the 'most open and transparent Council in Wales'.
15. On 9 October 2015 the Council launched its revised vision, placing regeneration at the heart of everything it does. This revised vision builds firmly on a successful track record and outlines a set of six new regeneration projects across the county. By building on the past the revised vision fits well with existing high level objectives and existing partnerships particularly those of the LSB and the Swansea Bay City Region.
16. Both Executive Board Members and senior officers demonstrate a clear and thorough understanding of the revised vision. The Council's next steps are to engage the wider staff base so they understand how they contribute to the overall ambition.

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17. In addition to the vision building on the Council's previous aims, there is clear involvement and alignment with the work of the Swansea Bay City Region and the University of Wales Trinity Saint David's Group. The Council and the University of Wales Trinity Saint David's Group have signed a pledge to work together. The pledge reflects a number of areas that are shared priorities:
- sustainable development;
 - anti-poverty, economic and community development;
 - skills and labour market;
 - enterprise and innovation; and
 - sport culture, tourism and heritage.
18. Both the Council and the University of Wales Trinity Saint David's Group are LSB members, and since our review the Council has formally communicated the vision to the LSB.

Increasingly collective leadership is driving a culture of continuous improvement

19. The Council's current administration was formed in May 2015 and is providing strong and coherent leadership and direction. The Executive Board has a strong 'team' ethos and new Executive Board Members are being mentored and supported by those with more experience.
20. Despite elections in two years' time the new administration has adopted a longer-term, five-year work programme, setting a realistic timescale to drive sustainable change and improvement.
21. The Corporate Management Team (CMT) has been subject to considerable change. In the last 12 months, four directors have retired and a further CMT member moved to another Council: only three existing CMT members remain. The Council has taken the opportunity to reduce the number of directors and to adjust their remits but has taken time to recruit the 'right people into the right roles'. The changes have brought a new enthusiasm and energy to CMT.
22. The revised directorate remits are driving a positive reduction in internal silos, bringing services together. A good example is the Communities Directorate, which now includes Primary, Community and Social Care, Mental Health and Learning Disabilities, Public Protection and Housing, and Leisure and Sport. Co-locating heads of service is also bringing additional benefits and highlights the impact that changes in one part of the directorate have on the others.
23. The new Executive Board and the refreshed CMT work well together, relationships between Members and officers are constructive and Executive Board Members challenge officers well within a 'no blame' culture. Executive Board is clearly the owner of the Council's revised vision, and Executive Board Members are actively involved in setting priorities, business planning and identifying areas for cost reduction. They are supported in this role with a range of information either in paper form or through Member seminars.

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24. This increasingly collective leadership linked to the current budget pressures is contributing to a developing culture of change and innovation across the Council that is strengthening the focus on improvement with a willingness to explore alternative methods of service delivery.

The Council has made good progress in establishing improved governance arrangements which are now more robust and transparent, although there are opportunities for further improvements to enable Members to be more effective in their roles

The Council is improving the transparency of its governance arrangements

25. The Council has a key improvement objective for 2015-16 to 'review governance, decision making, openness and transparency' and the Council has the very positive ambition to become the 'most open and transparent Council in Wales'. To support the delivery of this improvement objective the Council commissioned the Welsh Local Government Association (WLGA) to undertake a peer review.
26. Following this, the Council has made a number of changes to its governance arrangements including:
- webcasting of Council, Executive Board and Planning Committee meetings;
 - introducing a standing item on Council, Executive Board and Scrutiny Committee meetings for public and councillor questions; and
 - revising its call-in procedure to enable any three Members of the Council to call in a decision of the Executive.
27. General relationships between officers and Members and between Members are improving and there is a constructive working relationship between the Executive Board and the CMT. Executive Members are also assuming greater ownership of their portfolios, for example, there is now an expectation that they will present reports at Executive Board meetings, and they have been involved in challenging service area business plans within their portfolios. As Executive Board Members gain experience they are becoming clearer on how the priorities for individual portfolio holders link to the Council's corporate priorities.
28. Whilst the Council has made progress, there remains scope to further enhance the transparency of some aspects of the Council's arrangements. For example, the Council does not publish records of decisions delegated to individual officers, and both the Audit Committee and the Democratic Services Committee are yet to develop forward work programmes. Whilst the Council's overview and scrutiny forward work programmes are published on the Council's website, when we examined these we found that they had not recently been updated and were still marked as 'draft'.

The Council is strengthening its approach to Member training and development but further improvements are needed to support Members to be effective in their specific roles within the Council's governance arrangements

29. The Council adopted a Member Development Strategy in 2013 and has provided a range of training for elected Members, and training for Members who sit on the Planning and Licensing Committee is mandatory. The Council has also nominated an Executive Board Member to champion elected Member training and development. However, we heard mixed views on the effectiveness and availability of training for elected Members to date. Some Members were content that training is provided when asked for, but others believed that additional training, particularly in relation to specific roles that Members undertook within the Council, would be beneficial.
30. An example of the lack of clarity of roles amongst some Members is the role of Executive Board Members in the scrutiny process. The Constitution sets out the role/expectations of Executive Board Members and senior officers when attending scrutiny committee meetings and it has been agreed that Executive Board Members will attend scrutiny committee meetings to present reports and answer questions. Despite this, in practice we found that there is still some confusion amongst elected Members regarding the role of Executive Board Members at scrutiny committee meetings and that to date questions at scrutiny committee meetings have largely been directed at officers rather than Executive Board Members. Executive Board Members are not taking the initiative and stepping in to the debate.
31. The Council's Constitution also sets out clear arrangements for Executive Board Members to respond to the recommendations received from scrutiny committees, including a requirement to set out the reasons why a recommendation has been rejected. However, we heard some concerns that in practice reasons are not always provided when recommendations are rejected.
32. There are examples of effective scrutiny including the work of task and finish groups, for example, a review of empty homes that resulted in a number of recommendations to the Executive Board. Although not all of the Council's scrutiny committees established a task and finish group during 2014-15.
33. At times there is a lack of clarity regarding the purpose of some items that are considered by scrutiny committees with a number of reports being 'accepted' with no clear outcome from discussions. The lack of clarity regarding the purpose of scrutiny items and the interaction between the Executive Board Members and scrutiny committees has the potential to weaken the ability of scrutiny committees to effectively hold the Executive to account. This presents an opportunity for scrutiny chairs/Members to take greater ownership of the agenda and the content and focus of forward work programmes.
34. The Council has put in place opportunities for the public to engage with scrutiny committees, as the public are able to request items to be placed on scrutiny committee agendas, as well as asking questions at meetings of scrutiny committees. However, there was also recognition amongst some Members that public engagement in the scrutiny process is an area that could be improved.

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35. There are opportunities to strengthen the operation of the Council's Audit Committee and ensure that it delivers its remit¹ for example, by ensuring that the Committee receives copies of all regulatory reports, its consideration of financial reports, risk and fraud and improving the level of information shared with the committee in relation to the Council's risk register and restricted items.

Proposal for Improvement

- | | |
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| P1 | Governance: <ul style="list-style-type: none">• Develop forward work programmes to ensure that all appropriate committees have a published up to date programme owned by committee Members.• Publish a register of delegated decisions.• Develop and deliver training to help Members understand their roles and responsibilities and refresh this training delivery as Members move between roles.• Review the remit of Audit Committee to make sure it is delivering what is expected of it. |
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The Council's arrangements for managing its resources have served it well in the past, but the current approach in some areas is out-dated and not joined up, which may limit the speed of progress towards improved outcomes for citizens

The Council's ability to respond to future financial challenges could be hampered as service and financial planning and performance are not clearly linked, individual savings are not routinely monitored and weaknesses in grants management continue to be a concern

36. The Council undertakes extensive consultation on the budget savings proposals and comprehensive and reasonable planning assumptions have been made in identifying the Council's budget shortfall for 2015-16. In addition, the Council has used a range of scenarios and sensitivity analysis to model projections for budget shortfalls for the period 2016-17 to 2018-19. However, the Council undertakes only limited service specific benchmarking/value-for-money comparisons as part of the budget-setting process, development of its efficiency savings and more widely in terms of the Council's costs and income. This limits debate on areas that might be high cost/low

¹ [CIPFA Audit Committees: Practical guide for Local Authorities and Police 2013](#)

charge compared to others. The Council has stated that it is updating its approach by developing this as part of the 2016-17 budget-setting process.

37. The Council has a good track record in delivering annual budgets against the planned actions it approved. The Council's financial management and control arrangements are fit for purpose and are being effectively managed. In particular, budget setting is robust and timely with good Member engagement. However, there are not explicit links between service and financial plans and the service planning and budget-setting processes are not fully aligned. The Council recognises that with the level of savings required over the next few years it is important that it updates its approach by ensuring that there are explicit links between business and financial plans. The Council is also seeking to align the business and budget-setting process for 2016-17.
38. The Council monitors its budgets on a bi-monthly basis with reports to Executive Board and CMT prior to the relevant scrutiny committees. The reports provide sufficient accurate financial information and commentary to allow for effective challenge on variations in expenditure to approved budget, but progress on achieving budget savings lacks transparency as the achievement of budget savings and associated risks is not reported on an individual basis. In addition, some Members commented that budget information is too complex and that more support is needed to ensure that they sufficiently understand the financial information in order to make effective decisions.
39. No performance indicators are reported as part of budget monitoring and performance reports are not taken alongside financial budget monitoring reports to enable 'whole service' analysis. The links between financial information and performance information are therefore not clearly made, for example, the impact of service performance on financial performance and vice-versa.
40. The Council is in a strong position in respect of 'usable' reserves and has increased these in recent years to stand at some £123 million at the end of 2014-15. The Council does not have a reserves policy but does have a policy to maintain the Council Fund balance within three per cent of its net revenue expenditure which it is maintaining. Reserves are reviewed annually when setting the Council's annual budget. However, some Members commented on there not being enough information on reserves and the decisions to use reserves, although since our review some Members have received a presentation on reserves from members of CMT.
41. The Council does not have a formal policy for income generation/charging other than a policy that all fees and charges will increase annually by inflation as a minimum unless there is a business case otherwise. The Council is reviewing its policy in this area and we recommended in our 2014-15 Financial Assessment Report that this work should be finalised to ensure that it remains relevant and feeds into the decisions being made to address funding pressures over the next few years. However, the review of income generation/charging has still not been completed.

Weaknesses in grants management continue to be a concern

42. The Council manages a large number of schemes/projects for which it has been successful in obtaining grant funding. In 2013-14, the amount of grant funding received

was over £350 million covering approximately 170 schemes. It is therefore important that the Council has robust systems and controls for grants management, including a proactive Audit Committee holding officers to account, to ensure that the monies are properly and efficiently spent and comply with relevant grant conditions. Failure to do so could result in loss of grant funding or reclaim by the grant providers, challenge from external parties and the associated bad publicity.

43. For a number of years, we have reported as part of our financial audit work, weaknesses within the Council's grants management processes. Internal Audit (IA) has also reported similar issues regarding grants management from its programme of work. The Council has started to resolve these weaknesses but as a matter of priority it needs to address those remaining.

Procurement arrangements are not always followed

44. In recent years we have reported on a number of weaknesses in procurement. Some of these are linked to the grants management issues noted above, but weaknesses in procurement are not isolated to grants alone. From this work, we found the following issues:

- non-compliance with procurement rules including single tender actions and the need for retrospective approvals in some cases;
- there is no list of single tender actions and retrospective approvals maintained or reported to Audit Committee;
- contrary to good practice there is no Tender Register to record the outcomes of tenders i.e., who submitted and who was successful, in addition there is no summary making it difficult to analyse trends and success rates;
- there is no complete Contracts Register to record contracts that the Council holds and details of these, for example, nature, length of contract, expiry date etc.; and
- there are differences in the arrangements for utilising the Council's framework contracts with some using mini frameworks, some call-offs, etc, which need to be clarified.

Proposal for Improvement

P2 Use of Resources – Finance:

- Develop more explicit links between the medium term financial plan (MTFP) and the
- Council's improvement planning, detailing the impact that financial constraints are having on outcomes for citizens.
- Develop and utilise benchmarking and value for money indicators in budget setting to better inform decisions and allow for further debate and challenge of existing costs and potentially identify further efficiency savings.
- Improve financial reporting by:
 - developing clearer links between financial and service performance including developing joint financial and performance reports to Members;
 - monitoring and reporting on individual savings targets to ensure that areas of over and underachievement are explicitly identified enabling effective challenge, remedial action and sharing of good practice;
 - providing sufficient information on reserves and a clear audit trail for decisions regarding reserves; and
 - liaising with Members to ensure that financial information is appropriate to their needs.
- Strengthen procurement arrangements by:
 - reviewing the reasons for non-compliance with procedures and taking corrective action to prevent these re-occurring;
 - setting up and maintaining a Tender Register and Contracts Register;
 - establishing, maintaining and regularly reporting to Audit Committee a list of single tender actions; and
 - reviewing the differences in the use of the Council's framework contracts to drive a more consistent process.

The Council's approach to people management is working well and it is addressing some of the key areas that need strengthening, such as strategic workforce planning

The Council's People Strategy Group has developed a clear People Strategy, however, this is not embedded effectively and the People Management and Performance division's business plan is weak

45. The Council's People Strategy Group (PSG) is effective and has been responsible for the development of the Council's new People Strategy which clearly sets out two visions. The first outlines how the Council wants to manage and treat people and the second captures the Council's ambition about how it hopes the workforce will feel as a result. However, the strategy is not yet embedded within the culture of the organisation as many officers could not explain the overall vision clearly.

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46. Alongside the strategy the Council has developed a range of indicators it will use to assess whether it is making progress towards the People Strategy goals. However, a number of the measures are too vague, making it difficult to assess both the Council's ambition and its progress.
 47. The People Management and Performance (PMP) business plan is confusing and difficult to read making it hard to understand how the division's five business units are going to work together, or individually, to achieve the strategic goals. Like the measures supporting the strategy the actions included in the plan are not specific, measurable or time bound making it difficult for managers to be held to account. However the Council is working on creating a suite of metrics that can be used to measure future performance better.
 48. Possibly as a consequence of the weakness of the PMP business plan the Learning and Development (L&D) and Fitness for Work (F4W) business units within the PMP Division have written their own strategies and action plans, however, these further confuse the situation.

The Council is successfully implementing initiatives in a number of areas to increase people capability and to achieve the Council's People Strategy goals

49. The Council has a broad range of good-quality, well-written accessible people management policies in place. These are supported by clear manager guides.
50. The Council has achieved significant success in improving its sickness absence performance. This is the result of a joined-up approach between PMP and the Policy and Resources (P&R) scrutiny committee. The P&R committee established a Task and Finish group, a key recommendation of which was to set up a dedicated Attendance Team. This team together with robust and effective support from F4W has helped improvement sickness levels from 11.3 to 9.6 days per Full Time Equivalent (FTE) over the last two years.
51. The L&D business unit has completed a great deal of effective work to develop the Council's workforce with a range of talent management and development programmes. However, the Council may be missing an opportunity by not using the Trade Unions Learn facility.
52. Linked to this the Council has reviewed its recruitment process for senior appointments, by introducing a rigorous process where candidates are assessed against the newly created leadership competency framework.
53. An established appraisal process is in place and to encourage take-up the Council promotes basing the appraisal process on high quality, regular conversations between line managers and their team members. However, not all staff have appraisals and some managers still operate a model of collective appraisal which is not good practice.
54. Attendance at Departmental Management Team (DMT) meetings by each business unit demonstrates the PMP Division's commitment and support for departments as well as adding value through expertise, performance information and challenge.

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- 55.** The co-location of the PMP Division is bringing benefits including the stronger feeling of 'team' and increased communication and interaction between PMP members. Payroll has also been co-located but remains managed by the finance service. The PMP Division has been planning a restructure for at least two years. The restructure plans include the introduction of a single point of contact for HR Payroll Support queries via a Helpdesk. Currently, it is unclear when the restructure will be completed and this uncertainty, particularly for those on temporary contracts, is a cause of frustration for officers, and is a critical factor in ensuring the efficiency and effectiveness of the service moving forward.

The Council recognising the need to strengthen workforce planning has developed a toolkit to gather consistent workforce information

- 56.** The Council recognised that it has not been strong at workforce planning for some time and has included a workforce planning risk in the Corporate Risk Register, in part due to successive rounds of severance processes. As a result the PMP Division has developed a Workforce Planning Toolkit for Managers. Now with an annual process linked to the development of the 2016-2017 business plans, the service workforce plans will be collated onto a corporate workforce plan by July 2016.
- 57.** The Council has run three severance schemes and is currently on its fourth. This fourth scheme is based on a three-year plan rather than a single year; therefore it fits better with longer-term workforce planning.

The Council has a number of information systems to support the PMP Division; however, the Council is not maximising their value and splitting employee information between systems could pose a risk to the Council.

- 58.** The Northgate Resource Link HR Payroll system has been in place for 11 years and has been updated regularly to ensure legal compliance and improve functionality. However, the system has not been developed as effectively as it could have been. For example, it is not used for the appraisal process, recording continuing professional development, or talent management. As a result the Council is spending more time undertaking these tasks manually.
- 59.** There is a limited use among directors, heads of service and HR staff of the Insight reporting system. HR officers have been asked to supply specifications for reports but they have not engaged with this process compounding the generally stated perception that reporting from HR information systems is difficult.
- 60.** The Northgate Information@Work document management system is also used to hold certain personnel-based information for employees. The records in Information@Work supplement the information held within Resource Link resulting in personnel information being included in two electronic systems which are not integrated. We understand that there are also paper case files, further weakening PMP's out-dated record keeping approach, which collectively poses a risk to the Council.

Communication within PMP and with the wider Council is complex and not always effective

61. Although there are meetings for each sub-team, the whole PMP division does not meet as a whole. Meeting as a group would help with the communication of strategic level messages as currently it is evident from officers' knowledge that this feedback is weaker than that for operational feedback.
62. The Communications manager works closely with the PMP division to facilitate communication and engagement with staff across the whole Council. However, whilst it is clear that the Council places high importance on managing people well to produce an engaged and well-informed workforce it overloads them with too many messages through too many different routes. This has the potential that key messages may get lost and the workforce may become blind to people management initiatives and changes.

Proposal for Improvement

P3 Use of Resources – People:

- Finalise and implement the revised structure for the PMP Division.
- Ensure all staff have an annual individual performance appraisal.
- Simplify communication mechanisms both within PMP and those used for communicating people management initiatives to the wider workforce.
- Review the ICT systems and equipment used within PMP and drive developments to deliver as a minimum:
 - a single personnel record;
 - effective self-service;
 - agile working for PMP officers;
 - a clear business requirement for ICT communicated to the ICT Strategy Group; and
 - more effective use of the Insight reporting system.

The Council's ability to effectively manage its asset base is currently being hampered by a number of factors

63. The Council has a Corporate Asset Management Plan (CAMP) which covers the period 2013-2016. This plan is currently being reviewed to cover 2016-2019 prior to wider consultation. Service Asset Management Plans (SAMPs) help inform the CAMP but these are of variable quality and the links between the SAMPs and the CAMP are weak. Small updates are made to the CAMP yearly but these are not clearly reported to Members.
64. The Council holds only limited information in relation to building condition. The conditions survey data gives a general categorisation of the condition of the asset (with an A – D rating) but it does not give an estimate of the cost of bringing the properties up to a satisfactory standard. This hampers effective decision making.

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65. Recognising the need to reduce the amount of office accommodation that it uses, the Council has developed an Office Accommodation Strategy for 2014-17. The strategy aims to reduce leased accommodation and any secondary offices, leaving the Council with a smaller portfolio of good-condition, fit-for-purpose properties. The Council has achieved a reduction in the amount of floor area of office accommodation between 2012-2013 and 2014-15 of over 11 per cent (34,462 m² to 30,522 m², with further reductions being delivered in the current year. The Council reports that reducing office space has saved approximately £225,000 in revenue costs and led to capital receipts of nearly £450,000. The rationalisation approach is also bringing additional benefit in co-locating staff, helping create efficiencies in how people are working.
 66. The Council has an Agile Working Policy (published July 2010) which recognises that working in this way can help reduce the Council's office accommodation needs. Whilst ICT infrastructures have not been able to effectively support this more modern way of working, a project is currently underway to implement a Virtual Desktop Infrastructure. A successful pilot has already been undertaken with the Youth Offending Team based in Llanelli.
 67. Despite a weak property market which has delayed sales, last year the Council was able to significantly exceed its financial target for the disposal of assets achieving £6.7 million in non-housing capital receipts during 2014-15 (against a target of £2.28 million). This resulted from the sale of land at the Cross Hands West Development. In order to better plan for the future the Council has produced a five-year capital receipt strategy.
 68. Collaborative working on assets with other public-sector partners is seen by the Council as an area where further improvements can be made. The LSB is looking at where partners can share property strategies and facilitate the identification of property collaboration opportunities. Already benefits include opportunities for sharing of buildings. However, not all partners regularly attend these meetings, limiting their effectiveness.
 69. The Council is also actively pursuing a policy of Community Asset Transfer. To support this process the Council has established an Asset Transfer Team which has representatives from different service areas and is focused on supporting community groups through the asset transfer process. The closing date for expressions of interest in relation to sporting assets closes in March 2016 and there is positive interest from Community and Town Councils and sports clubs. There are already a number of successful asset transfers that have taken place but the Council has some way to go to meet the savings targets identified in its budget strategy.
 70. Other assets such as the Council's vehicle fleet are also receiving attention. The fleet project has seen a reduction in total vehicle numbers and a rationalisation of refuse collection rounds. These initiatives have led to savings of around £750,000.

Proposal for Improvement

P4 Use of Resources – Assets:

- Strengthen the service level asset management plans and improve links between
-

these plans and the overarching corporate asset management plan.

- Report progress against the corporate asset management plan and the office accommodation strategy to Members quarterly.

Whilst slow to respond to the significant shortcomings with its ICT arrangements the Council is now taking action to improve

- 71.** In December 2014, the Chief Executive, recognising a number of significant shortcomings within the Council's ICT service sought a review into the way the Council's ICT was delivered. This initial high-level review was undertaken by the Head of IT and Central Support Services from Pembrokeshire County Council and resulted in the formation of a strategic and operational partnership between the two organisations. The joint Head of ICT is now responsible for producing a business case that supports, or otherwise, the case for a single ICT service. Recognising the importance of the ICT function, the Council's new arrangements rightly see the joint Head of ICT reporting directly to the Chief Executive.
- 72.** To inform the business case the Joint Head of ICT has established four work streams, these are:
- server infrastructure and disaster recovery arrangements;
 - voice and data networks;
 - access to services – to include desktop and mobile/agile working platforms; and
 - applications.
- 73.** The work streams are operating on a task and finish basis with the instruction to look at:
- cost by council of the current delivery model;
 - cost of each of the current service delivery models deployed across both councils; and
 - cost of a revised/redesigned delivery model for both councils.

The outcomes from the work streams will not only inform the business case but also a revised digital strategy.

- 74.** As the work streams have only just started their work it is too early to evaluate progress. However, it is critical that the Council makes progress over the next 12 months, in particular it must rebuild the organisational trust in ICT and create a modern ICT service that can both operate in an effective and efficient way and help facilitate change for citizen-focused services, enabling the Council to deliver quality outcomes with less resource. We will continue to monitor progress, the outcomes of the work streams and the development of the business case.

The Council's information management arrangements have served it well, but it faces new challenges as it moves towards a more mobile and agile workforce

75. The Council commissioned the National Archives to provide training for Information Asset Owners. This training was delivered in June 2015 and was attended by over 50 staff. Two further sessions are planned. The Senior Information and Risk Owner (SIRO) has also attended training along with other Members of the corporate team. The course provided officers with a clear picture of the responsibilities of the SIRO. The Council also has an e-learning module available, which is used by staff to refresh their knowledge.
76. The Council has a set of agreed information governance priorities which are in line with the Data Protection Act. Governance arrangements themselves are delivered through the Corporate Information Governance Group which was established in 2012 and is chaired by the SIRO. The Council processes a wide range of personal and financial information and has appropriate controls in place to provide security assurance.
77. The Council has experienced an increase of 25 per cent in the number of Freedom of Information Act requests since 2012. The Council has maintained its performance in responding to requests.
78. The corporate file plan continues to develop, with improvements being made in the controls that are applied to manage access. New service-based administrators, with detailed knowledge of their services and staff now apply the controls restricting access to only those who need it. The local service administrators are also enabled to manage the structure of the file plan in their area, below the first two layers, which follow the nationally recommended model. Other initiatives include email management and an increased use of the electronic document management system Northgate Information@Work. As the Council moves to a more mobile and agile workforce, it will face the challenge of ensuring that the information officers require is available to them wherever they are working, in a secure and safe way. As a result it needs to consider if its current file plan can meet its future business needs.
79. The Council plans to further improve governance arrangements. In particular the Council recognises the need to improve information risk management, further increase security controls, respond to the new European Union General Data Protection Regulation and continue to manage effectively its information sharing protocols.

Proposal for Improvement

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|----|--|
| P5 | Use of Resources – ICT and Information Management: <ul style="list-style-type: none">• Ensure that the ICT work streams resolve the apparent disconnect between the business and the ICT service and take appropriate account of business needs. |
|----|--|

The Council has a well-established and effective approach to partnership working

80. The Council has a long, well-established and robust approach to partnership working that is improving outcomes for its citizens. The partnership with Hywel Dda University Health Board (HDUHB) is particularly strong, collaboration has become 'mainstreamed' into the working relationship between the two organisations with a number of joint posts in place.
81. The Council has identified a number of areas to strengthen or simplify joint working with HDUHB to make it more straightforward. For example, the two organisations have different people management policies and have a very different approach to measuring service performance. Both the Council and the HDUHB are working on more complex aspects of partnership working such as shared strategies, a joint commissioning hub and pooled budgets, which they both acknowledge as being critical to drive further integration, efficiencies and better outcomes for citizens.

The Carmarthenshire Local Service Board has been an effective enabler

82. The Carmarthenshire Local Service Board (LSB) has clear aims set out in its Single Integrated Plan (SIP). The LSB has effectively used work streams (task and finish groups) to look at collaborative opportunities across the public sector to lead to cost efficiencies and a better delivery of public services. There are a number of good examples which highlight the effectiveness of partnership working which have a focus on achieving outcomes, two examples are below:
 - A one-stop information Hub, in Llanelli provides face-to-face advice and information on a range of issues through the involvement of 18 different partner organisations. Services include signposting on education, training and employment, financial management and free digital access. Plans are in place to extend its use to other services such as homelessness and housing enquiries and to open further Hubs in Carmarthen and Ammanford.
 - Partner organisations have built on the construction base in Carmarthenshire to create Constructing Carmarthenshire Together (CCT). The CCT is formed from three main partners, the Council, Coleg Sir Gar, and Carmarthenshire Construction Training Association Limited (CCTAL). Initially, partnership was started by CCTAL but the three organisations have worked together collaboratively to develop a capable skilled capacity for construction in the area. The partnership has opened pathways to employment and helped the construction industry to grow through the recession by taking students studying at Coleg Sir Gar on as apprentices supporting the improvement of the Council's housing stock.
83. There are, however, some examples where the same service is offered by more than one partner, particularly in the third sector. The Council recognises this and is currently mapping all third-sector involvement, grant awards and commissioning in order to identify key themes, link providers together and reduce duplication.

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84. The LSB recognised that there were some areas where its arrangements were not effective enough. To help identify these it has commissioned an in-depth review of all strategic partnerships, current partnership arrangements and ways of working. This will help to ensure that the LSB remains fit for purpose and continues to add value to the work of the individual members. The timing of this review is particularly useful in terms of preparing the LSB for the transition to the Public Service Board (PSB) under the Well-being of Future Generations Act. One of the success factors identified has been the need for attendance at the LSB to be at the right level, those attending need to come with the right level of authority to make decisions and be able to commit (or not) their organisations to projects.
 85. External communication from the LSB could be improved with a more effective use of social media and a greater focus on communicating the existence, purpose and achievements of the LSB to the citizens of Carmarthenshire.
 86. The LSB has been proactively contacting neighbouring councils to work collaboratively. Initial approaches were not responded to productively, however, the Council has set up an LSB co-ordinators network with Pembrokeshire and Ceredigion County Councils to share learning and develop a shared framework for the upcoming Needs Assessment required by the Well-being of Future Generations Act.

The Council's framework to manage improvement is good but lacks quality and consistent application within some departments leading to a lack of accountability

Improvement planning is well managed but links with financial planning could be strengthened

87. A strong ethos of continuous improvement runs through everything the Council does. This focus on improvement is well supported by a clear framework of well-aligned plans and strategies that translate the high-level outcomes the Council has agreed with partners into priorities for action. These outcomes form the basis of all performance monitoring and reporting, with each outcome consistently colour coded for ease of reference in reports. Services map their contribution to these outcomes in business plans, raising staff awareness of their part in driving improvement.
88. The Council draws on information from a wide range of sources to determine how and where to direct its improvement efforts. This includes feedback from citizens, views of regulators, peer reviews, national policy and a broad range of performance information. This is supplemented by a maturing approach to self-evaluation that is becoming more robust, open and transparent.
89. The combined annual report and improvement plan (ARIP) provides a sound basis for improvement planning. It allows the Council to simultaneously review its past performance and plan what to do next within a single public document. The ARIP is very comprehensive, incorporating information from a wide range of sources that the Council uses to evaluate and challenge the progress it is making. This information is

then used to determine what the Council needs to focus on going forward, including detailed actions and targets. Links with service business plans are explicit, although the links between financial planning and improvement planning are not as strong.

90. Political leadership of the improvement agenda has been strengthened. Executive Board Members are now taking greater responsibility for the performance of their portfolios, for example, by presenting their own reports, answering questions about performance, challenging business plans and attending scrutiny committees. The use of scrutiny Task and Finish groups is helping to drive improvement in a number of areas such as returning empty homes to use and tackling poverty.
91. Whilst head of service are held to account for performance adding a cross departmental review of performance would add to the level of challenge and enable the Council to better understand how the activity of one service impacts on the performance of others.
92. The Council demonstrates a determination to tackle major challenges to secure the improved outcomes it wants for local people, even in circumstances where its ability to exert influence is constrained by external factors largely outside its control; for example, by developing an ambitious strategy to increase the supply of affordable homes and taking decisive, co-ordinated action to more effectively tackle poverty.
93. The Council has a good track record of successfully managing its improvement programme and this is also apparent for the current year. Currently, 93 per cent of the 167 improvement actions in the ARIP that are scheduled to be completed during 2015-16 are on track, as are 72 per cent of performance measures. Looking more widely, 94 per cent of the deliverables in year 2 of the Outcome Agreement are also on target.

A robust framework is in place to manage performance but there is a lack of quality and consistent application within some departments limiting the ability to hold services to account

94. A coherent framework for managing performance is in place. This is diagrammatically demonstrated in key Council documents as a tiered 'wedding cake' structure that cascades the Council's priorities through a hierarchy of plans and strategies from the high-level outcomes agreed with partners down to plans and objectives for individuals.
95. This framework is supported by a comprehensive and well-established electronic system for collecting and reporting performance information (PIMS) that provides a sound basis for decision making. PIMS is used to record extensive amounts of performance data and generate reports for Members and senior managers. Service business plan actions and performance measures are included in PIMS and are updated quarterly. All Members have access to PIMS and Executive Board Members are fully trained in its use, although not all engage and use the system.
96. Performance information is widely available. It is reported regularly to CMT, quarterly to the Executive Board, six-monthly to scrutiny committees with an annual review of performance to Full Council. Detailed performance information is also reported annually in the ARIP. All reports are accompanied by a summary narrative, explaining any variances from targets and commenting on any areas of underperformance.

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97. Responding to Members' concerns about the complexity of information being reported, the Council has just introduced a simplified dashboard style of reporting for each portfolio and is making greater use of exception reporting. Executive Members have also been issued with tablet devices that more effectively display performance trends in each service but that allow Members to drill down into the detail as required. This is helping to improve Members' awareness of service performance and is strengthening their ability to challenge performance. However, no matter how good the PIMS system is, variations in the frequency of updates from services, together with some gaps in the information presented can reduce the effectiveness of this challenge.
98. A productive relationship between the Executive Board and scrutiny committees allows Task and Finish activity to provide recommendations for the Executive Board in a number of areas such as welfare reform, returning empty homes to use and tackling poverty. The Council is aware that there is scope to further strengthen the role of scrutiny committees in managing performance and is working on this.
99. The Council is gradually reducing its reliance on national performance indicators (PIs), completed actions and output measures to monitor the progress it is making. The systems thinking approach used in the Transform Innovate and Change (TIC) programme is raising awareness of the value of measures based on outcomes, particularly in fostering the right level of customer service. Some services are reviewing their reliance on PIs, concentrating only on those that are most useful while others are developing their own suite of indicators, replacing traditional input/output measures with outcome measures based on customer need. Good progress is being made on this issue in some areas, for example, in the Communities and Education directorates. However, there are no effective corporate mechanisms to share and learn from pockets of good practice as they emerge. Learning opportunities that do exist are mainly at heads of service level and through operational staff forums.
100. A performance culture is growing but the pace of change varies across the Council. The Council does not consistently use the extensive performance data it gathers to identify opportunities for improvement.
101. Despite the availability of a corporate template, the quality of business plans is highly variable; a few are sound, while others are barely fit for purpose, largely descriptive with few measurable actions or outcomes. Whilst the corporate performance unit provides timely and effective support to heads of service and directors, there is a lack of quality and consistent application within some departments limiting the ability to hold services to account. The Council has, through its refreshed CMT, a good opportunity to strengthen leadership on performance issues and further consolidate the progress the Council is already making.

Arrangements to manage risks are in place but there are some significant weaknesses at both Member and officer level

102. A clear framework is in place to manage corporate and project risks, with dedicated senior political and officer leadership and risk champions at departmental level. Risks are overseen by a risk management steering group which includes political

representation from the Council's Executive. Project risk registers are the responsibility of individual teams. Officer support is provided by a risk management unit with a dedicated budget and staff. However, the extent of wider political involvement in risk management is limited, which hinders a wider understanding of its role in managing performance and improvement.

- 103.** The Corporate risk register is web-based, with departmental access to maintain their risk registers. It is regularly updated and reviewed twice a year. The Council also regularly reviews its Risk Management Strategy. It is currently developing its sixth Strategy with the assistance of consultants to provide challenge and an external perspective. In response to concerns raised in our Safeguarding review the Council is also developing a new risk strategy for Safeguarding. However, the extent to which departmental risk registers are regularly updated is variable and not corporately monitored.
- 104.** Risk management is clearly incorporated into business continuity and emergency planning and the Council can demonstrate that it is integral with the development of new strategies such as affordable housing. A consideration of risks is now part of formal decision making. Committee report templates require that risks associated with both taking action or failing to take action are addressed before a formal decision is made, although the rigour with which this is applied can vary.
- 105.** Key strategic risks are reflected in business plans, especially where budget implications are involved but the extent to which risk management is integral to business planning is limited. Some business plans do not link service level risks or mitigation action to their respective departmental risk registers. Others include an assessment of risks but do not consider mitigation measures. A key weakness of business plans is that risks associated with interdependencies between the actions (or inaction in response to budget challenges) of one service on another are not routinely taken into account.
- 106.** Unlike most authorities, the Council's corporate risk register is not overseen by the Audit Committee. The Audit Committee receives the minutes of the risk management steering group but not the register itself. This prevents the Audit Committee delivering its remit on risk and precludes any wider political or public involvement in the Council's approach to managing risks. It is unclear how this arrangement contributes to the Council's stated aim to become the most open and transparent council in Wales.

Reporting of performance to the public is open, transparent, fair and balanced

- 107.** Public reporting of performance is fair and balanced. The ARIP is clearly laid out and presents a comprehensive picture of what the Council is aiming to achieve, the progress it is making and how its performance compares with other councils in Wales. The Council's wider ambitions for the community and improvement priorities are clearly explained as is the contribution of partners to delivery. Each priority outcome and KIO is presented in a consistent way, setting out what the Council has done, what it aims to achieve together with the key measures it will use to monitor progress.

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- 108.** A section entitled ‘Is anyone better off?’ helps the reader understand the difference the Council is making. The use of case studies, survey results and inclusion of feedback from users helps bring the data to life. Budget information is included, together with the progress the Council is making in securing savings and improving its governance arrangements.
- 109.** The combined review of past performance with the actions the Council plans to take next within a single document allows the reader to form a balanced picture of how well the Council is performing. The ARIP is very lengthy and detailed but there is also a useful summary, and together they provide all the information the reader could need. The ARIP and summary are published in Welsh and English, with appropriate arrangements for publicity. The report is easy to find on the Council’s website.
- 110.** Results from the National Survey of Wales (2015) indicate that 42 per cent of people responding think that the Council is good at letting them know how well it is performing, placing Carmarthenshire seventh out of 22 local authorities.
- 111.** However, although information from partners is included in the ARIP, the Council’s analysis of the effectiveness of partnerships is not fully developed making it difficult to properly evaluate whether a partnership is worth pursuing or not.
- 112.** The Council is continuously looking at ways to improve the ARIP to make it more transparent and easy to follow, without compromising the level of detail. This year, the Council added a colour-coded summary table to show at a glance performance trends across 43 key indicators, illustrating whether targets had been met, the overall direction of travel and any changes in how performance compares with the rest of Wales. The ARIP is subject to scrutiny committee challenge on performance issues prior to its publication and there may be scope to extend this to include presentation aspects and ease of understanding.

Proposal for Improvement

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| P6 | <p>Improvement Planning:</p> <ul style="list-style-type: none"> provide clearer direction and professional level challenge on all performance management issues to ensure consistent application of the Council’s performance management framework and sharing of good practice. |
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The Council, in collaboration with partners, is continuing to improve performance across its priority areas

- 113.** The Council’s arrangements are enabling it to continue to deliver improved outcomes for local people, despite the increasingly challenging budget pressures it faces. Frontline services have been protected as far as possible, as a result of budget decisions and more efficient ways of working. Overall performance as measured by PIs continues to improve. According to national indicators for 2014-15 performance in 60 per cent of PIs is above average for Wales compared with 51 per cent the previous year. The percentage of PIs that represent best performance in Wales has steadily

increased over the past five years to 36 per cent. Furthermore, results from both the Citizens Panel and the National Survey of Wales demonstrate that public satisfaction with the Council is improving. According to the 2015 National Survey of Wales 57 per cent of residents are both satisfied with the Council and feel that it provides high-quality services, representing a five per cent improvement on the previous year and placing it sixth out of 22 councils in Wales. Results from the Citizens Panel in 2014 back this up, with 58 per cent of people satisfied with the Council, an increase from 52 per cent in 2012.

- 114.** These are encouraging results at a time of increasing austerity and the need for tough spending decisions. We will report in more detail about the Council's service performance in our next Annual Improvement Report.

Appendix 1

Status of this report

The Local Government (Wales) Measure 2009 (the Measure) requires the Auditor General to undertake an annual improvement assessment, and to publish an annual improvement report, for each improvement authority in Wales. This requirement covers local councils, national parks, and fire and rescue authorities.

This report has been produced by staff of the Wales Audit Office on behalf of the Auditor General to discharge his duties under section 24 of the Measure. The report also discharges his duties under section 19 to issue a report certifying that he has carried out an improvement assessment under section 18 and stating whether, as a result of his improvement plan audit under section 17, he believes that the authority has discharged its improvement planning duties under section 15.

Improvement authorities are under a general duty to 'make arrangements to secure continuous improvement in the exercise of [their] functions'. Improvement authorities are defined as local councils, national parks, and fire and rescue authorities.

The annual improvement assessment is the main piece of work that enables the Auditor General to fulfil his duties. The improvement assessment is a forward-looking assessment of an authority's likelihood to comply with its duty to make arrangements to secure continuous improvement. It also includes a retrospective assessment of whether an authority has achieved its planned improvements in order to inform a view as to the authority's track record of improvement. The Auditor General will summarise his audit and assessment work in a published **Annual Improvement Report** for each authority (under section 24).

The Auditor General may also in some circumstances carry out special inspections (under section 21), which will be reported to the authority and Ministers, and which he may publish (under section 22). An important ancillary activity for the Auditor General is the co-ordination of assessment and regulatory work (required by section 23), which takes into consideration the overall programme of work of all relevant regulators at an improvement authority. The Auditor General may also take account of information shared by relevant regulators (under section 33) in his assessments.

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EXECUTIVE BOARD 1ST FEBRUARY 2016

SUBJECT:

DEVELOPING ALTERNATIVE SERVICE DELIVERY MODELS IN SOCIAL CARE AND HOUSING SERVICES

Purpose:

The purpose of this report is to provide an update on the work being undertaken to identify, consider and develop options and potential business case(s) for Alternative Service Delivery Models for agreed social care and housing services.

Recommendations / key decisions required:

- To confirm the approach for the consideration and development of alternative service delivery models for social care and housing services.
- To approve the planned engagement with members and staff during February 2016 on our approach to developing an awareness and understanding of the range of alternative service delivery models, and their appropriateness to a number of services in the Communities department.

Reasons:

- To consider the most appropriate way(s) to secure the long term quality and financial sustainability of agreed services given the likely future service demands and continuing public funding challenges. This may include attracting and generating additional investment to meet the Council's vision.
- To ensure the Council is flexible in meeting future demands through a mixed market approach while ensuring the availability of a provider of 'last resort'.
- To ensure members and staff are well informed and prepared for the future development of any selected options.
- To ensure that a full understanding of potential resulting models is developed to sustain a meaningful range of public consultation on any potential service changes.

Relevant scrutiny committee to be consulted : N/A
(relevant scrutiny committee will be consulted when options and business case(s) are developed)

Exec Board Decision Required Yes- 1st February 2016

Council Decision Required NO

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:-

Cllr Jane Tremlett- Health and Social Care

Cllr Linda Evans- Housing

**Directorate Communities
Dept**

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**EXECUTIVE SUMMARY
EXECUTIVE BOARD
1ST FEBRUARY 2016**

**SUBJECT:
DEVELOPING ALTERNATIVE SERVICE DELIVERY MODELS IN
SOCIAL CARE AND HOUSING SERVICES**

1. What is the purpose of the report?

The purpose of this report is to provide an update on the work being undertaken to develop an awareness and understanding of the alternative models of delivering social care and housing services. Where appropriate and beneficial, this may result in detailed options and business case(s) for alternative service delivery models for identified and agreed services.

2. Content

The attached report includes:

- The context for change
- How the process will meet the requirements of the Social Services and Well-being (Wales) Act 2014 that will come into effect from 1st April 2016.
- What services will be considered, how they will be assessed and what the business case may look like.
- The key assumptions that will need to be considered in any business case.
- The project plan to ensure delivery of business case(s) for consideration during the summer of 2016.

A detailed project plan and approval timescales and deadlines is attached for information.

Recommendations

- To confirm the approach for the development of the awareness and understanding of alternative service delivery models for social care and housing services.
- To approve the planned engagement with members and staff during February 2016 on this approach.
- To note the project plan.

DETAILED REPORT ATTACHED ?

YES together with project plan

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Robin Staines

Head of Housing and Public Protection

Policy, Crime & Disorder and Equalities NONE	Legal NONE	Finance NONE	ICT NONE	Risk Management Issues NONE	Staffing Implications NONE	Physical Assets NONE
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There will be future implications in the above areas which will be covered as part of the development of the options and business case(s).

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: Robin Staines

Head of Housing and Public Protection

1. Scrutiny Committee Will be formally consulted should options and business case(s) be developed.

2. Local Member(s)

There will be an opportunity for members to be informed and engaged through the provision of members' development sessions regarding the alternative models. Members will be fully consulted on any resulting business cases.

3. Community / Town Council

Will be consulted when options have been considered and should any business case(s) be developed.

4. Relevant Partners

Will be consulted when options have been considered and should any business case(s) be developed.

5. Staff Side Representatives and other Organisations

Staff will be engaged in the awareness and understanding of alternative models through the sessions and discussions in February. Staff, other organisations and users will be fully consulted on any resulting business cases for adopting an alternative delivery model.

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THERE ARE NONE

Report to Executive Board

Developing a Business Case for Alternative Service Delivery Models

Social Care and Housing Services

Department for Communities
February 2016

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1. Purpose of report

- 1.1. The purpose of this report is to provide an update on the work being undertaken to develop options and business case(s) for Alternative Service Delivery Models for identified Social Care and Housing Services.
- 1.2. It is anticipated that the final business case(s) will be developed for CMT by May 2016, allowing it to progress to Full Council approval on 14th September 2016.

2. Clarifying purpose of project

- 2.1. The purpose of the project is:

“To develop a business case and associated business plans regarding the possibility of delivering some, or all, of the existing in house social care provider and housing services through an alternative service delivery model”
- 2.2. To deliver against this purpose the following issues are currently being considered by the Project Team in the first instance:
 - The context in which we are delivering current services
 - Making sure we consider the requirements of the Social Services and Well- being (Wales) Act 2014 (that will come into effect from 1st April 2016) when considering options
 - Clarifying what services will be considered, how they will be assessed and what the business case will look like
 - Confirming the key assumptions that will need to be considered in any business case.
 - Developing the project plan to ensure delivery of business case(s) by May.

3. The context

- 3.1. The Council has adopted an overarching principle of adopting a mixed economy regarding social care and housing services. This means that providers will come from all sectors, including our own in-house provision. It is anticipated that this principle will remain.
- 3.2. We currently commission £70m a year from public, private and voluntary sectors
- 3.3. For our own in house provision, we have to face up to continuing financial constraints, demographics and the aim to continue to provide quality services.

- 3.4. Consequently the sustainability of in-house services depends on remodelling and modernising. In a competitive market place, our current governance structures make opportunity for commercial trading to secure the long term future of certain services and/or initiatives difficult. To maximise the opportunity for trading across social care and housing services, the future governance and structure of services needs to be considered.
- 3.5. This project will look at alternative delivery models to do so.

4. Meeting requirements of new Act

- 4.1. As a principle, we want to ensure that as many people as possible are involved in the development and implementation of new proposals for future service delivery.
- 4.2. Our main requirement under the Act is that we will need to demonstrate that we have involved people in considering what services are needed and how they could be provided in all stages of the development of alternative models. Whilst this part of the Act doesn't come into force until 1st April 2016, we will ensure our process meets these requirements.
- 4.3. As part of the options appraisal process we will ensure that options such as social enterprises and co-operatives have been considered and promoted in terms of future service delivery.
- 4.4. As a result we will be carrying out the following during February 2016 to begin this process:
 - An extensive awareness and communication programme with staff as to why we are looking at alternative delivery models and the key messages.
 - Engaging staff on what we will look at as part of the options appraisal and the criteria we will use to determine the preferred option(s) moving forward.

5. Services to be considered

- 5.1. Our approach at the present time is to go as wide as possible in terms of what services should be considered for an alternative model for service delivery.
- 5.2. The following table starts to identify the areas that will need to be specifically assessed for inclusion in an alternative delivery model.

Care and Support		Property development
Residential Home Care	Careline/Telecare	Care Homes
Domiciliary Care (including Rapid Response/Long term Re-enablement/Through the Night*/Extra Care	Children Respite	Additional Affordable homes
LD Social Centres	Older People's Housing Support (generic housing support)	Empty Homes
LD Respite*	Extra Care	Social Lets
LD Steps	Supported/ Assisted Living	Adaptations
Coleshill Social Centre	Transport	Other Social Care buildings e.g. Day Centres
Older People Day Centres		
MH Day Centres		

*Grant and Funding Contribution from Health

- 5.3. At the present time we are unsure whether a differential will have to be made between the "Care and Support arm" and the "Property Development" arm in terms of alternative delivery models
- 5.4. Alternative Service Delivery Models such as a Local Authority Trading Company, Mutual or Co-operative organisations and a Local Housing Company will be further considered as part of this process.
- 5.5. In order to assess whether or not services should be included it is intended to use the following criteria:
- Cost (e.g. Savings/Income/Growth)
 - Quality (e.g..Choice/Service of last resort/Legislative requirements/partnerships/outcomes)
 - Ability to transform services
 - Governance and flexibility (e.g. accommodate new services/respond quickly to market changes)
 - Acceptability to stakeholders (e.g. service users, carers, staff, partners and members)
- 5.6. A typical business case (when a service is assessed to be included) would include the higher level information (the why?) with the detail in the business plan (the how/what?)
- 5.7. The business case(s) will include:
- Executive Summary

- Benefits of proposed service delivery model chosen (and disadvantages of not doing so)
- Drivers for change
- New organisational design
- Governance of new structure
- Outcomes for service users
- Business and Financial Plans (up to five years)
- Potential for additional income
- Risks

6. The Project Structure

6.1. We have already set up a project structure and framework that includes:

- A Project Board, Project Sponsor and Project Manager.
- Terms of Reference
- Emerging Project Plan (Appendix A)

6.2. Four work streams have also been established

- Finance, Property and ICT
- HR, Communications and Marketing
- Legal and Risks
- Operations, services, contracting and procurement

6.3. We are also procuring external challenge into the process to ensure that the business case (s) can withstand robust scrutiny.

7. Project Work Streams and Assumptions

7.1. All of the work streams will consider:

- Key assumptions in that area
- What the reconfiguration of services will look like
- The provision of support services post live

7.2. Below is a draft list (not exhaustive) of the issues each of the work streams will be focusing on, understanding the implications of the assumptions being made under each heading.

7.3. **Finance, Property, ICT**- assumptions to be tested (list not currently exhaustive)

VAT/Company taxation	Cash flow	Costs of any new systems/development
Treatment of	Working capital	Payroll/Payments/FMS

profits/income		System etc
Efficiency savings	Equipment (IT and Care)	Potential future redundancy cost liability
Service budgets	ICT support	Gross budget transfer/contract structure
Support service costs	Access control to systems	Future surpluses/deficits/on-going efficiency delivery
Pension deficit	Cost of server space	Property transfer/ownership

7.4. HR, Communications and Marketing

Terms and Conditions	Resources for post go live work	Workforce mapping
TUPE- staff transfer	Communications Plan	Leaflets
Communication with key stakeholders (including stakeholder mapping)	Branding/Signage	SLA to confirm what will be provided in terms of services
Timeline key dates	Website	Pensions
Resources for post live		

7.5. Legal and Risks

Provision of legal advice	Risk Register- pre and post	
Provision of Insurance	Exit Strategy	
Leases and Licenses		

7.6. Services, Operations, Contracting and Procurement

Commissioning Strategy in place	Contracts to transfer	Direct Payments
No Registration issues	Procurement support- post live	Future challenge of service provision
Continue with balanced market	Future income- who keeps it?	Implication of Health funding
TECKAL compliance and future implications	Block contracts- will they change	

8. Recommendations

- To confirm the approach for the consideration and development of alternative service delivery models for social care and housing services.
- To approve the planned engagement with members and staff during February 2016 on our approach to developing an awareness and understanding of the range of alternative

service delivery models, and their appropriateness to a number of services in the Communities department.

Alternative Service Delivery Model Milestones	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	Sep-16	Oct-16	Nov-16	Dec-16	Jan-17	Feb-17	Mar-17	Apr-17	
Develop scope & define purpose																			
1) Establish project board and arrange meetings																			
2) Establish Criteria for services in scope																			
3) Establish governance arrangements																			
Communication Plan																			
1) Stakeholder analysis																			
2) Consult with Staff / Union / Members																			
3) Engagement Across Council																			
4) Consultation with Key Stakeholders and Partners																			
Engage consultant																			
Establish work streams																			
1) Finance / Property/ ICT																			
2) HR / Comms/ Marketing																			
3) Legal & risk																			
4) Operations & services																			
5) Agree membership of work streams																			
6) Define work streams																			
7) Integrate Alternative Learning Disabilities Service Delivery Models into Project																			
8) Develop work plans																			
9) Prepare work stream reports																			
Develop Business case																			
1) Executive summary																			
2) Confirm Scope of Services																			
3) Benefits of Alternative Service Delivery Model																			
4) Drivers for change																			
5) Define organisation structure & management of proposed alternative service delivery model																			
6) Governance of new structure																			
7) Establish financial model and service profile costs																			
8) Identify Agreed Assets e.g fleet/ property etc																			
9) Agree TUPE arrangements and staff terms and conditions																			
10) Confirm commissioning assumptions																			
11) Agree Asset transfer and maintenance																			
12) Confirm and define scope of Alternative Service Delivery Model services																			
13) Agree design and level of support services																			
14) Establish and monitor risks																			
15) Confirm TECKAL Compliance																			
16) Include key assumptions from workstreams																			
17) Agree and establish key principals e.g Terms & Conditions																			
18) Obtain specialist legal / other advice																			
19) Additional Income Generation Opportunities																			
20) Define outcomes for service users																			
21) Prepare Alternative Service Delivery Model contract																			
22) Develop go live implementation plan																			
Political Approval																			
KEY																			
DMT: Departmental Management Team																			
CMT: Corporate Management Team																			
PEB : Preliminary Executive Board																			
EB :Executive Board																			
CS: Community Scrunity & Social Care & Health Scrutiny																			
Full Council																			

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Executive Board 1st February 2016

Revenue Budget Strategy 2016/17 to 2018/19

Recommendations / key decisions required:

That the Board considers and recommends to County Council:

- a. The Budget Strategy for 2016/17, subject to recommendation (d)
- b. The Band D council Tax for 2016/17.
- c. That the provisional medium term financial plan be approved as a basis for future years planning.
- d. That the Director of Corporate Services will advise and recommend to County Council on 10th March of any impact and consequential action required from the Final Settlement which is due to be published by Welsh Government on 2nd March 2016, and debated on 9th March 2016.

Reasons:

To enable the Authority to set its Revenue Budget for the Council Fund and resultant Council Tax for 2016-2017.

Relevant scrutiny committee to be consulted: YES

Exec Board Decision Required YES

Council Decision Required YES

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Cllr. David Jenkins

Directorate: Corporate Services

Name of Head of Service:
Owen Bowen

Report Author:
Owen Bowen

Designations:

Interim Head of Financial Services

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EXECUTIVE SUMMARY

Executive Board

1st February 2016

Revenue Budget Strategy 2016/17 to 2018/19

This report brings together the latest proposals for the Revenue Budget 2016/2017 with indicative figures for the 2017/18 and 2018/19 financial years.

It summarises the latest Budgetary position giving an update on the budget validation, spending pressures, the Welsh Government final settlement and the responses from the budget consultation.

Members are required to consider the proposals within this report and make recommendations on the budget to County Council, in accordance with Council Policy.

Documents Attached:

- Report of the Director of Corporate Services
- Table 1 – Council Fund Summary
- Appendix A – Consultation
- Appendix B – Cost reduction proposals.
- Appendix C – Recession, Demographic, Legislative or continuing pressures.

DETAILED REPORT ATTACHED ?

YES

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Owen Bowen

Interim Head of Financial Services

Policy, Crime & Disorder and Equalities YES	Legal NONE	Finance YES	ICT NONE	Risk Management Issues NONE	Staffing Implications NONE	Physical Assets NONE
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1. Policy and Crime & Disorder

The budget has been prepared having regard for the Council's Corporate Strategy 2015-2020.

Equalities Impact Assessments have been undertaken on the budget proposals in order to consider and assess the potential impact with respect to protected characteristic groups and the Welsh language. All budget proposals considered to have an impact on front line services have undergone a period of public consultation. The Equalities Impact Assessments will be further developed following consideration of possible mitigation measures.

2. Finance

Council Fund

Final financial implications will be dependant upon the budget recommended by Executive Board to County Council, however the implications on the latest proposals are as follows:

- Proposed Net County Council Budget of £331,836k
- Proposed Council Tax increase of 5.00% for 2016-17 - Band D tax of £1,130.02

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: Owen Bowen

Interim Head of Financial Services

1. Scrutiny Committee – Not applicable

2. Local Member(s) – Not applicable

3. Community / Town Council – Not applicable

4. Relevant Partners – Consultation with relevant partners undertaken and results contained within the report.

5. Staff Side Representatives and other Organisations – Consultation undertaken and results contained within the report.

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
2016/17 3 year Revenue Budget		Corporate Services Department, County Hall, Carmarthen.
WG Provisional & Final Settlement		Corporate Services Department, County Hall, Carmarthen.

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REPORT OF DIRECTOR OF CORPORATE SERVICES

Executive Board

1st February 2016

REVENUE BUDGET STRATEGY 2016/17 to 2018/19

DIRECTOR & DESIGNATION.	DIRECTORATE	TELEPHONE NO.
C Moore, Director of Corporate Services	Corporate Services	01267 224120
AUTHOR & DESIGNATION	DIRECTORATE	TELEPHONE NO
O Bowen, Interim Head of Financial Services	Corporate Services	01267 224486

1. INTRODUCTION

1.1. Executive Board in November 2015 considered and endorsed the Revenue budget strategy 2016/17 to 2018/19 for consultation. The report had been prepared in advance of receipt of the provisional settlement and was based on officers projections of spending need and potential settlement with no forward indicators having been provided by Welsh Government (WG). It also reflected the departmental submissions for savings proposals and indicated a council tax increase of 5.00% in 2016-17. The Executive Board in endorsing the report for the consultation process expressed the view

‘that the contents of the budget report be noted and approved as a basis for consultation, and to specifically seek comments from consultees on the efficiency proposals detailed in appendix A to the circulated report’

1.2. This report updates members on the latest position for the Revenue budget including:

- Provisional Settlement Details
- Budget Consultation Results
- The Medium Term Spending Plans
- Implication on Council tax for 2016-2017.

The proposals have endeavoured to meet the aspirations of the Authority, whilst taking account of the continued tough economic climate. They address specific pressures in certain service areas

whilst recognising the need to minimise the impact on the local taxpayer.

1.3. The timetable for the Final settlement remains as follows:

- WG publish final budget 1st March 2016
- WG Publish Final Local Government Settlement 2nd March 2016
- WG move Final Welsh Budget 2016-17 for debate 8th March 2016
- WG Move Final Settlement for Debate 9th March 2016
- Setting of Council Tax for 2016/17 financial year: 10th March 2016

Due to the lateness of the final settlement and the legislative requirement, Executive Board recommendations to Council will need to be based on the provisional settlement figures, with any amendments to the budget requirement, should it be necessary, being made as part of the Council Tax setting report which will go to Council on the 10th March 2016.

1.4. In addition to the lateness of the Final Settlement, there are inherent risks attached to this Budget Strategy and they are detailed within the body of this report, however the Director of Corporate Services confirms that the proposed budget has been prepared in a robust manner.

1.5. The Executive Board needs to consider these detailed proposals and make recommendations to County Council in accordance with Council policy.

1.6. Whilst the Provisional Settlement has resulted in a better position than that anticipated, Local Government has again been faced with reductions which, in conjunction with significant validation requirement for such items as the NI rebate removal, continues to make the budget process extremely difficult. Decisions have had to be made in respect of prioritisation of services and the inclusion of substantial budget reductions in order to achieve what hopefully is an acceptable Council Tax increase.

2. CONSULTATION

2.1. The original proposals have been subjected to an extensive consultation exercise since the Budget Strategy reports were

presented to the Executive Board on the 16th November 2015, with the following groups and committees being invited to comment:-

- Public Consultation and Commercial Ratepayers
- School Budget Forum (School's Budget)
- Scrutiny Committees
- Trade Unions

2.2. A detailed report on the consultation results for each of the above is attached at Appendix A.

3. BUDGET REQUIREMENT 2016-17

3.1. Current Year Performance (2015/2016)

3.1.1. As the Authority's core spending requirements remains constant year on year, a review of current year's performance is important in identifying whether there are any underlying problems within the base budget.

3.1.2. The current projection for the Revenue Outturn for 2015/16 (based on the October 2015 monitoring) is as follows:

Service	Approved Budget £'000	Total Expenditure Forecast £'000	Variance Forecast For Year £'000
Chief Executive	10,609	11,019	410
Education and Children's Services	159,427	160,378	951
Corporate Services	22,905	22,649	-256
Communities	90,856	91,501	645
Environment	45,598	45,724	126
Departmental Expenditure	329,395	331,271	1,876
Cont from Dept/Earmarked Reserves		-949	-949
Capital Charges	-3,535	-4,735	-1,200
Pensions Reserve Adjustment	-5,085	-5,085	0
Levies and Contributions	9,214	9,214	0
Outcome Agreement Grant	-570	-570	0
Transfer to/ from Reserves	-1,198	-1,198	0
Net Expenditure	328,221	327,948	-273

The departmental overspends are primarily as a result of delays in the delivery of savings proposals put forward for 2015-16, and a review of the savings proposals that were agreed in February 2015 has identified that some £1.5 m of the original

proposals for 2015-16 are at risk of not being delivered/not being delivered in full.

The Education and Children’s Services department is facing particular pressure, due in the main to school based EVR and redundancy costs, and whilst the department can meet the bulk of these pressures through a transfer from its departmental reserves in the current year, this will not be available in future years.

3.1.3. In considering next year’s budget, consideration needs to be given to the ability of departments to address any ongoing pressures from the current year.

3.2. Validation

3.2.1. Validation reflects the changes in expenditure requirements to deliver the **current level** of services in future years. Primarily this is inflation, but also includes some service specific changes. The key validation factors contained in the budget strategy are as follows:

	2016/17	2017/18	2018/19
General inflation	0.6%	1.4%	1.8%
Electricity	3.0%	3.0%	3.0%
Gas	3.0%	3.0%	3.0%
Fuel	-12.5%	3.0%	3.0%
Pay Inflation - non teaching	1.0%	1.0%	1.0%
Pay Inflation - Additional cost of employers pay offer	£787k	£313k	£900k
Pay Inflation - Teaching	1.0%	1.0%	1.0%
Levies	1.0%	1.0%	1.0%
Pension Contributions	£297k	£309k	£312k
Teachers Superannuation	£575k		
Employers NI Changes	£4,100k		
Auto Enrolment		£1,600k	
Capital Charges	-	£250k	£250k
Main service Specifics:			
County Elections	£70k	£230k	-£300k
Adj to pay scales starting salary	£118k	-	-

3.2.2. Under the Local Authorities (Capital Finance and Accounting)(Wales)(Amendment) Regulations 2010 [the Amendment Regulations] the authority is required to make an annual provision from revenue to contribute towards the reduction in its overall borrowing requirement at a rate that it considers to be prudent and having regard to the guidance issued. The Budget Strategy has been prepared based upon the Regulatory Method for supported borrowing in which the calculation is based on 4% of the opening Capital Financing

Requirement and the Asset Life Method for the Unsupported Borrowing e.g. Modernising Education Provision and Fleet replacement.

- 3.2.3. The most significant specific validation over the three year period remains the change in the Employers NI rates from April 2016, when defined benefit contracting out will be abolished. The consequence of this is that contracted out employers will stop receiving National Insurance rebate and instead pay the same NI rate as all other employers. The estimated impact of this on the Authority is £4.1m.
- 3.2.4. The original budget strategy assumed that the Mid and West Wales Fire Authority Levy would show a standstill position in its levy. The 2016-17 budget approved by the Mid and West Wales Fire Authority was an increase of 0.99% on the budget requirement falling on the Constituent Authorities. The effect of this has been an additional £92k budget requirement.
- 3.2.5. There is a clear risk to the Budget Strategy as departments may find it difficult to manage their expenditure within these parameters, especially where the lower inflationary increases have been applied by service providers. This risk is something that will require close monitoring during the year.
- 3.2.6. The Budget as constructed makes provision for a 1.0% pay award for all staff in 2016-17, added to which has been the cost of the recent employers pay offer (not yet accepted) which proposed increases ranging from 1.01% on SCP 17 to 6.4% on SCP9 for NJC staff. The teachers pay award has been provided at 1% from September 2016.
- 3.2.7. In total validation adds £12.7m to the current year's budget.

3.3. Cost Reduction Programme

- 3.3.1. As detailed in the report to Executive Board on 16th November 2015, in anticipation of the reductions in this settlement round, significant work in identifying service efficiencies/rationalisation proposals had been undertaken and a range of proposals were presented and categorised as follows:

Managerial – cost reductions that result in no perceivable change to the overall level of service delivery or council policy

Policy – Efficiency or service rationalisation proposals that will directly affect service delivery.

- 3.3.2. Equality Impact Assessments have been conducted on those proposals which could have an impact on service delivery. These are intended to identify whether these savings could have a disproportionate impact on one or more groups. Where this is the case appropriate consultation with representatives of such groups will be conducted and measures to mitigate the impact will be considered where possible.
- 3.3.3. An exercise has been undertaken to obtain ‘expressions of interest’ from staff who may be interested in voluntary severance/early retirement as well as other flexible working options. 21 releases have currently been supported for release on or before 31st March 2015, generating annual savings of £687k, with a further 14 expressions of interest provisionally supported for release during the 2016-17 financial year.
- 3.3.4. All ‘policy’ proposals have undergone public consultation and Equality Impact Assessments (see attached report Appendix Aii). In deciding which savings proposals to adopt, members are reminded of their duty to give ‘due regard’ (consideration) to equality, as defined in the Equality Act 2010. In practice, this means taking decisions in the light of possible equality impacts and understanding how impacts on affected groups could be lessened (mitigated)
- 3.3.5. The cost reductions now included in the final budget strategy are:

	2016/17 £m	2017/18 £m	2018/19 £m
Managerial	6,307	3,347	2,357
Existing Policy	554	806	300
New Policy	6,835	7,418	7,522
Total	13,696	11,571	10,179

(Detailed in Appendix B)

3.4. New Expenditure Pressures

- 3.4.1. New expenditure pressures are the combination of additional cost to meet existing service needs e.g. increased client base/greater service take up and the costs of meeting change in service provision e.g. policy changes.
- 3.4.2. Bearing in mind the budget pressures in the current year, and following a detailed review of the growth bids submitted, it is the

view of the Corporate Management Team that a sum of £2.420m be allocated as outlined at Appendix C.

- 3.4.3. It must be noted that the allocated sum does not meet all the pressures identified by departments, and accordingly departments will be required to strictly manage their budgets to remain within their allocated sums.

4. FUNDING

4.1. Provisional Revenue Settlement 2016-2017

- 4.1.1. On the 9th December 2015, the WG Minister for Public Services announced the provisional settlement for 2016-2017.
- 4.1.2. The total value of support for local government is £4,099 million (excluding specified bodies), compared with £4,125 million in 2015-16 (£4,156 million after adjusting for transfers). This represents a cash reduction of 0.6% compared with 2015-16. After adjusting for transfers, the reduction is 1.4% on an all Wales basis - for Carmarthenshire it is -1%, which in real terms is greater when the effects of inflation and new cost burdens are taken into account.
- 4.1.3. The Outcome Agreement Grant has now been transferred into the Settlement. £31.1m (£1.9m for Carmarthenshire) has been transferred in to the Revenue Support Grant for 2016-17 onwards.
- 4.1.4. WG has maintained £244 million within the Settlement for 2016-17 in relation to Council Tax Reduction Schemes and £4.77 million to support the cost of administering the scheme.
- 4.1.5. The main service blocks within the Settlement take account of increases in support for Schools of £35 million and £21m for Social Care. The Budget Proposals reflect the passporting of Carmarthenshire's allocation of these sums to the respective services.
- 4.1.6. Consideration is being given to whether further flexibility might be offered regarding certain grant funding for 2016-17 and beyond. In particular, whether the Education Improvement Grant, or part of it, might be transferred into the Revenue Settlement Grant in the Final Settlement for 2016-17. No decision has been taken on this as yet and there will be further engagement with Local Government representatives as part of the consultation on the Provisional Settlement.

4.1.7. WG has not provided any indicative AEF figures for 2017-18 and beyond, and in the absence of these the revised budget outlook reflects anticipated reductions of 2% per annum for both the 2017-18 and the 2018-19 financial years.

4.1.8. For specific revenue grants, in a number of policy areas, decisions about the implications for specific grants for 2016-17 have yet to be finalised. However, of the specific grants confirmed as part of the provisional settlement there has been an average reduction of 5%. In particular the Single Environment Grant (which encompasses the former Sustainable Waste Grant) has reduced by 6%. Initial projections by WG officials had indicated a significantly greater reduction for this grant, and the smaller reduction has assisted with service pressures identified in the original strategy.

4.1.9. Business Rate Poundage is to increase to 48.6p from 48.2p for 2016/17. (+0.8%)

4.1.10. The table below provides a summary of the overall position for this authority after the provisional settlement:

	2015-2016 Settlement £m	2016-2017 Provisional Settlement £m
Standard Spending Assessment	327,885	330,353
Aggregate External Finance	252,481	251,685

4.2. Internal Funding

4.2.1. Generally speaking whilst the use of reserves to support annual budgets should not be summarily discounted, it must be treated with caution. Funding on-going expenditure from such funds merely defers and compounds difficult financial problems to the following year. One-off items of expenditure within any budget proposal lend themselves better for such funding support.

4.2.2. In deliberating this point however, members must bear in mind any **inherent risks** that may be built into the budget strategy. These include:

- Challenging Efficiency targets
- Future inflation/interest rates
- Current economic climate continuing
- Additional pressure on demand lead Services

- Overestimation of the future settlements.
- Lack of Welsh Government forward indicators for 2017-18 onwards.

4.2.3. Sensitivity impact analysis:

Budget element	Movement	Annual Impact £m
Pay inflation	1%	2.3
General inflation	1% (expenditure only)	2.1
General inflation	1% (income only)	-1.2
WG Settlement	1%	2.5
Specific Grants	1%	0.7
Council Tax	1%	0.76

4.2.4. The following table summarises the main categories of reserves held by the Authority.

	1 st Apr 2015 £'000	31 st Mch 2016 £'000	31 st Mch 2017 £'000	31 st Mch 2018 £'000	31 st Mch 2019 £'000
Schools Reserves	3,940	1,801	1,201	351	0
General Reserves	8,500	8,431	8,431	8,431	8,431
Earmarked Reserves	72,002	52,476	35,869	18,131	16,950

4.3. School Reserves

4.3.1. Schools have delegated responsibility for the management of their own finances. The level of reserves held by an individual school at any point in time will depend on a number of factors including the level of contingency fund that the school governing body considers appropriate, and the particular plans each school has for expenditure. Officers have yet to be informed of any transfers to/from these reserves by individual schools for future years.

4.3.2. Legislation allows schools to carry forward reserves from one financial period to another. Recent guidance requires schools to limit their carry forward to £50,000 for Primary Schools and £100,000 for Secondary Schools or 5% of their budget dependant on what is greater. School Improvement officers are currently working with schools to ensure they comply with the guidance. As at 31st March 2015, 22 schools were in deficit and 23 schools held surplus balances in excess of the £50k/£100k threshold

5. GENERAL RESERVES

5.1.1. In the changeable and challenging environment currently facing Local Government the Authority is committed to maintaining a reasonable level of General reserves or Balances. Whilst there is no prescribed minimum level for Balances, Council has previously deemed 3% of net expenditure as being a prudent level, which has been accepted by our Auditors as being reasonable.

5.1.2. The overall level of balances are taken into consideration each year when the annual budget is set and has on occasions been utilised to augment expenditure/reduce council tax. Whilst the 2015-2016 budget was set on the basis of a £138k transfer from General Reserves, with the October monitoring forecasting an end of year underspend, the net effect is a projected £204k increase in the general balance.

5.1.3. Taking account of these changes the average level of the general reserves is forecasted to be around 2.6% of net expenditure during 2016/17. This equates to £8.4m.

5.2. Earmarked Reserves

5.2.1. The Authority holds earmarked reserves which have been set up to finance the delivery of specific projects, or in protecting the authority against future liabilities or issues. The reserves can be summarised as follows:

Reserve	1 st Apr 2015 £'000	31 st Mch 2016 £'000	31 st Mch 2017 £'000	31 st Mch 2018 £'000	31 st Mch 2019 £'000
	£'000	£'000	£'000	£'000	£'000
Insurance	9,625	9,425	9,225	9,025	9,025
Capital Funds	28,063	25,531	16,095	2,467	1,773
Development Fund	899	304	389	547	700
IAG/OAG	3,246	1,328	1,328	0	0
Corporate Retirement Fund	4,158	2,766	971	0	0
Joint Ventures	1,591	1,760	1,940	2,120	2,300
Other	24,420	11,362	5,921	3,972	3,152
TOTAL	72,002	52,476	35,869	18,131	16,950

5.2.2. As can be seen from the table above the level of earmarked reserves fluctuates greatly year on year, and whilst the level in each fund is not an exact science it is based on an informed

estimate and past experience of the likely call on the authority in future years in line with the intended purpose of each reserve. Great care must therefore be taken when considering utilising such funds for purposes other than those which they were created as this could lead to the authority being faced with substantial unfunded liabilities in the future.

- 5.2.3. A review of Earmarked Reserves has been undertaken, and additional funding of some £20.375m has now been identified and allocated within the new proposed capital programme, which allows the inclusion of the new strategic projects that have been submitted by Departments as detailed elsewhere on the Agenda today.

In total some £33.865m of reserve funding is included over the five years of the proposed capital programme.

- 5.2.4. The budget proposals assume a sum of £200k per annum being transferred from the Insurance Reserve to support the revenue budget for 2016-17 and 2017-18.
- 5.2.5. Taking account of the proposals within this report, including the use of reserves, the Director of Corporate Services confirms that overall the estimated level of financial reserves (as indicated above) is adequate for the financial year 2016/17, with the General Reserves being at the minimum that could be supported.

6. MEDIUM TERM FINANCIAL PLAN AND COUNCIL TAX PROPOSAL 2016/17

- 6.1. The table below provides members with a summary of the latest position which reflects the contents of this report.
- 6.2. It should be noted that the summary below has made provision for the pressures identified within this report, the latest employers pay offer and more importantly the additional support provided by Welsh Government for schools budgets, which equates to £2.1m for Carmarthenshire.
- 6.3. It must be noted that the AEF as stated earlier in the report is still provisional, and the Final Settlement will not be debated in WG until the 9th March 2016. In addition it should be noted that not all the anticipated specific grants for 2016-17 have been announced as yet. The Director of Corporate Services will advise on any implications and changes required to the budget requirement at the County Council meeting on 10th March 2016, when Council will be formally setting the Council Tax for 2016-2017.

6.4. The Authority's net expenditure for 2016/17 is estimated to be £331.836m, this gives a consequential Council Tax increase 5.00%.

The table also summarises the impact of the current Strategy on 2017/18 and 2018/19.

	2016 - 2017 £'000	2017 - 2018 £'000	2018 - 2019 £'000
Previous Years Budget	329,989	332,036	331,561
Validations/Adjustments	13,891	10,386	8,271
Validated Budget	343,880	342,422	339,832
To be allocated	1,850	710	1,595
less			
Efficiency/Service Rationalisation (Identified)	-13,694	-11,571	-10,179
Projected Budget	332,036	331,561	331,248
Less : Contribution from Balances	-200	-200	
	331,836	331,361	331,248
WG Settlement RSG & NNDR	-251,685	-246,651	-241,718
Call on Council Tax	80,151	84,710	89,530

Tax Base	70,929	71,397	71,868
Council Tax Rate (Band D)	£ 1,130.02	£ 1,186.46	£ 1,245.75
Council Tax Increase	5.00%	5.00%	5.00%

6.4.1. A full summary of the Budget Build up can be seen in Table1.

6.4.2. It can be seen from the table above that following the adjustments made reflecting the provisional settlement, there is a balance 'to be allocated'. This sum allows members the opportunity to give further consideration to the following items:

- The rate of Council Tax to be applied in 2016-17
- The consultation feedback on the savings proposals
- Increasing investment in certain service areas.

6.4.3. It must be emphasised that the figures for 2017 - 2018 and 2018 - 2019 are indicative only and must therefore be treated with caution as the settlement figures, growth pressures and the inflation assumptions contained therein will all be subject to

revision as the year progresses and firmer data becomes available.

6.4.4. As outlined in paragraph 4.1.8, Welsh Government has not provided any indicative AEF figures for 2017-18 and beyond.

6.4.5. Recommendations

6.5. That Executive Board consider and recommend to County Council:

6.5.1. The Budget Strategy for 2016/17 (subject to paragraph 6.4.4)

6.5.2. The Band D council Tax for 2016/17.

6.5.3. That the provisional medium term financial plan be approved as a basis for future years planning.

6.5.4. That the Director of Corporate Services will advise and recommend to County Council on 10th March of any impact and consequential action required from the Final Settlement which is due to be published by Welsh Government on 2nd March 2016, and debated on 9th March 2016.

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COUNCIL FUND REVENUE ACCOUNT

TABLE 1

SUMMARY STATEMENT

2015/16 Approved Budget £'000	2015/16 Provisional Outturn £'000		2016/17 Proposed Budget £'000	2017/18 Indicative Budget £'000	2018/19 Indicative Budget £'000
10,609,265	11,019,359	Chief Executive	9,762,102	9,770,372	9,195,937
159,427,150	160,378,299	Education & Childrens Services	159,146,054	154,734,604	150,587,587
22,905,160	22,649,053	Corporate Services	25,330,606	31,504,357	36,367,402
90,856,396	91,501,129	Communities	91,402,073	89,934,784	89,254,436
45,597,203	45,723,600	Environment Services	45,909,764	44,789,596	44,670,764
329,395,174	331,271,440	Departmental Expenditure	331,550,599	330,733,713	330,076,125
-3,534,911	-4,735,224	Capital Charges/Asset Management Acc	-3,735,165	-3,485,165	-3,235,165
-5,084,948	-5,084,948	Pensions reserve adj	-5,085,052	-5,085,052	-5,085,052
		<u>Levies and Contributions</u>			
9,067,000	9,067,000	Mid & West Wales Fire Authority	9,157,143	9,248,714	9,341,202
147,000	147,000	Brecon Beacons National Park	148,014	149,494	150,989
329,989,315	330,665,268	Net Expenditure	332,035,539	331,561,704	331,248,099
-570,000	-570,000	Outcome Agreement Grant			
-138,000	135,047	Contribution from Balances		0	0
-1,060,000	-2,009,000	Transfer to/from Departmental Balances/Earmarked Reserves	-200,000	-200,000	
328,221,315	328,221,315	NET BUDGET	331,835,539	331,361,704	331,248,099
		TO BE FINANCED FROM:			
-	-		-	-	-
252,481,384	252,481,384	Aggregate External Finance	251,684,698	246,651,004	241,717,984
75,739,931	75,739,931	CALL ON TAXPAYERS	80,150,841	84,710,700	89,530,115
1076.22		Band D Tax	1,130.02	1,186.46	1,245.75
		Council Tax Increase	5.00%	5.00%	5.00%

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CARMARTHESHIRE COUNTY COUNCIL

REVENUE BUDGET 2016-17 to 2018-19

CONSULTATION

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CARMARTHENSHIRE COUNTY COUNCIL

BUDGET 2016-19 CONSULTATION

INTRODUCTION

A mixed-method approach to ascertaining views on the 2016-19 budget took place during the period from November 2015, to January 2016.

In making savings, the Council is concerned to minimise the impact upon service delivery. Many savings are being made through internal efficiencies and the current financial strategy includes proposals totalling £12m under this heading. It is however recognised that some savings proposals will potentially have an impact on service delivery. These are known as 'policy' proposals and **29** (with a total value of £24.2 million) are being considered by the Council in making its budget for 2016-19.¹

There are a variety of legal and policy reasons why the Council must undertake full and meaningful consultation, where service changes are under consideration.² Ultimately, a flawed approach can be a means whereby decisions can be challenged through the courts, through a process of Judicial Review. A decision against the Council would damage the reputation of Council, at a time when it needs to focus on responding to its challenging financial position.

This report:

- 1) Outlines the **consultation approach** and the different consultation methods deployed;
- 2) Summarises the **key findings**;
- 3) Details the **specific consultation findings** in relation to each of the 29 proposals;
- 4) Presents initial findings in relation to possible **service delivery methods**; and
- 5) Lists some ideas from the consultation for **making savings or generating income**

1) OUTLINE OF APPROACH AND CONSULTATION METHODS

As in previous years, the settlement provided by Welsh Government has challenged the Council to make significant cost reductions. In response, Council departments identified proposals for making savings and a consultation exercise was undertaken to elicit views on levels of agreement, possible impacts and ways the impacts could be minimised (mitigation).

Councillor involvement

¹ It is important to note that nine proposals were subject to detailed consultation during the previous budget consultation undertaken during November 2014 to January 2015. The results from this exercise have been carried forward into this report.

² The 2010 Equality Act and the Council's Strategic Equality Plan require that 'due regard' be given to the views of designated groups in making decisions. In terms of consultation, a body of case law points to the need for public authorities to properly gather and consider the views of the public in reaching decisions.

A series of departmental seminars for all county councillors took place during the period November to early January.³ Proposals were considered in detail and feedback sought. Moreover, the efficiency proposals were tabled for discussion at a meeting of the Community & Town Councils Liaison Forum (TCCLF).

Alongside councillor engagement, public consultation took place in the following ways:

Publicity

Information about the budget consultation, and ways to become involved, was disseminated widely. The issue was highlighted in Carms News and weekly bilingual coverage was secured in the Carmarthen Journal and Llanelli Star newspapers during the consultation period.

In addition, the consultation was publicised through relevant equality groups, including Equality Carmarthenshire and the Carmarthenshire Disability Coalition for Action. Community council involvement was encouraged through a presentation and discussion at the liaison panel meeting held on the 8th December. Businesses were also approached for comment, through a direct mailing.

Budget road shows

Following publicity, sessions were held in three locations across Carmarthenshire.⁴ The road shows led to discussion and contact with a total of around 240 people. Budget surveys were distributed as were 'postcards' highlighting the opportunity to participate through the on-line survey.

On-line survey

The survey provided financial and service information on each of the 20 new policy proposals and asked respondents to express a view on the degree to which they supported the proposal.⁵ Views were also sought regarding the potential impact of implementing the proposal on people and communities.⁶ Hard copies were available by request. A total of 287 survey responses were received from various sections of the community.⁷

Question of the week

Awareness of the consultation was promoted through social media. During the consultation period, weekly engagement was encouraged through asking users their views on a particular proposal. The 'question of the week' approach also allowed feedback to users. A total of 62 submissions were received on the featured proposals.⁸

Insight

³ As democratically elected representatives, councillor views are of central importance. This is of course in addition to their decision making role, as Council, in deciding the budget.

⁴ Sessions were held in Llanelli (Elli Centre and Library), Ammanford (outdoor market and Tesco's) and Carmarthen (town centre and leisure centre).

⁵ The format of the survey was identical to the previous budget survey, to ensure comparability of results for all 29 proposals.

⁶ The responses are important in establishing the impact of Council proposals on people – a key consideration in undertaking good decision making based on evidence, and a requirement of the 2010 Equality Act.

⁷ Of the 287 respondents who gave completed answers to demographic questions: 96% were from individuals, 4% from Town and Community Councils, organisations or businesses; 92% described as white, 3% minority ethnic. Responses were received from all age groups (largest proportion – 23% from the 35-44 category). 51% of responses were from women (45% from men), and 25% were single. 15% described themselves as disabled, 38% held a religion or belief (42% did not), and 82% described themselves as heterosexual (5% either lesbian, gay or bisexual).

⁸ Four of the proposals featured in 'question of the week': meals on wheels (23 responses); libraries (4); schools (11); and highways (24).

The Insight session took place 12th November at Parc y Scarlets and involved year 12 and 13 students from Ysgol Dyfryn Amman, Ysgol Gyfun Emlyn, Ysgol Bro Dinefwr, QE High, Maes y Gwendraeth and Ysgol Gyfun y Strade.

Each school had around 10 attendees, and Executive Board roles were allocated (QE High had two groups). In all, around 70 young people participated in the budget consultation exercise. Following briefings on portfolios and proposals for making savings, students undertook a discussion and decision making exercise to decide which proposals they would support. Members of the Council's Executive Board were in the audience as each group presented its views on the proposals. Comments from the session are noted against relevant proposals.

Other

7 responses were made by email, letter or in person, including responses from the Disability Coalition, and Equality Carmarthenshire.

Equality Carmarthenshire is a partnership consisting of public bodies and various groups, organisations and interested individuals who either live with protected characteristics as defined in the Equality Act 2010, or work to support people and communities who do. Its response highlights concern about the cumulative effect of the proposals under consideration, particularly on disabled people, young people, old people and families with disabled children. Further comments are noted throughout the report.

The public consultation phase ran from 18th November 2015 to 3rd January 2016.

About Average Index Score (AIS). Sometimes known as a 'weighted average', the AIS is a way of distilling the 'balance and strength of opinion' down into one number. Useful for questions with options to 'strongly agree', 'disagree', etc., the technique is used throughout the report. Values range from 2 (*everyone* strongly agrees) to minus 2 (*everyone* strongly disagrees).

Example

10 people are asked whether they 'strongly agree', 'agree', 'have no opinion', 'disagree' or 'strongly disagree' that Wales will win the six nations.

Results...

3 strongly agree (each response worth 2, so=**6**)

3 agree (each response worth 1, so=**3**)

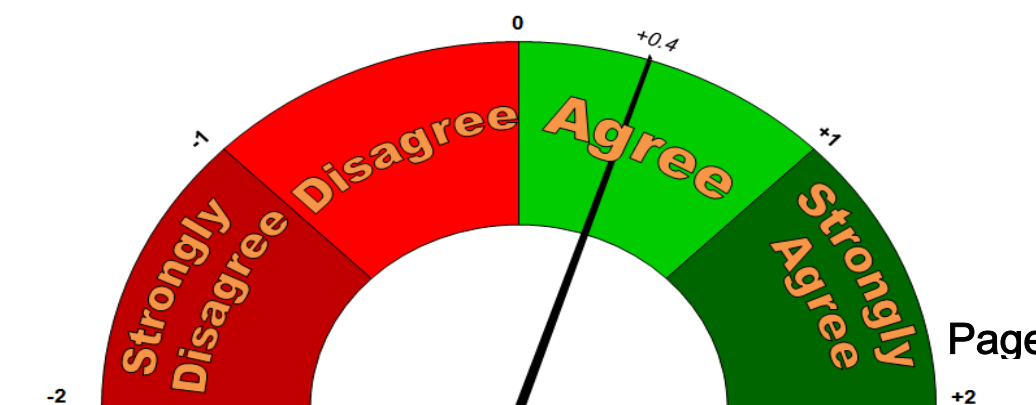
1 no opinion (each response worth 0, so=**0**)

1 disagree (each response worth -1, so= **-1**)

2 strongly disagree (each response worth -2, so=**-4**)

The AIS is calculated by adding all the numbers in bold: so, $6+3+0-1-4=4$;

Then dividing by the number of responses (10 in this case). The average index score is: $4 \div 10 = \mathbf{0.4}$ (shown graphically below)



2) SUMMARY OF KEY FINDINGS

Headline results – all 29 proposals

The table below shows the results from the on-line budget consultation survey. It shows details of the proposal, then gives results for the question: *'how strongly do you agree, or disagree, with this proposal'*.⁹ The table is ranked in order by AIS score. Those proposals with higher levels of support, reflected in higher AIS scores, appear first.¹⁰

It is important to note that the report considers 29 proposals, nine proposals of which were subject to detailed consultation during the previous budget consultation undertaken during November 2014 to January 2015.

⁹ The survey itself gave summary information about each proposal to inform the decisions of respondents.

¹⁰ Values near to zero may indicate no clear consensus, or may reflect apathy in relation to the proposal.

Proposal	3 Year Saving (£'000)	Consultation Year	Strongly Agree (%)	Agree (%)	Neither (%)	Disagree (%)	Strongly Disagree (%)	Average Index Score
Public Protection - Animal Welfare [pp. 10]	30	2015	46	33	13	3	5	1.12
Council Fund Housing - Options and Advice Services (2) [pp. 12]	10	2015	38	37	16	3	6	0.99
Oriel Myrddin [pp. 14]	14	2014	29	32	31	4	4	0.78
Children Looked After (Leaving Care, Taxis & Individual Review Service) [pp. 16]	50	2014	20	42	23	9	7	0.59
Revenues & Cash Desk [pp. 18]	25	2014	24	23	35	10	8	0.47
Sports, Leisure, Theatres Alternative Service Delivery Model [pp. 20]	550	2014	18	35	31	9	8	0.45
Youth Services [pp. 22]	20	2015	13	35	34	9	9	0.36
Secondary Speech & Language Provision [pp. 24]	50	2014	18	36	19	15	12	0.33
Catering Services - School Meals [pp. 26]	300	2015	22	36	9	17	16	0.31
Home to College Transport [pp. 28]	516	2014	20	34	17	13	16	0.28
Libraries [pp. 30]	240	2015	15	35	17	17	17	0.13
Meals on Wheels [pp. 32]	57	2015	12	35	13	22	19	0
Catering Services - Free School Breakfasts [pp. 34]	110	2015	18	26	15	18	23	0
Car Parks [pp. 36]	108	2015	15	30	11	18	26	-0.09
Delegated School Budget [pp.38]	18,280	2015	15	26	16	18	25	-0.11
School Crossing Patrols [pp. 40]	110	2014	13	22	25	20	20	-0.13
Council Fund Housing - Options and Advice Services (1) [pp. 42]	29	2015	13	22	21	26	18	-0.14
Home Care Service [pp. 44]	1,000	2015	9	30	21	17	23	-0.16
Local Authority Residential Homes for Older People (Glanmarlais & Tegfan) [pp. 46]	200	2014	11	21	25	23	19	-0.18
Cleansing Services and Environmental Enforcement [pp. 48]	252	2015	7	25	22	23	23	-0.32
Educational Psychology [pp. 50]	60	2015	10	22	18	26	25	-0.33
Public Protection - Welfare Rights and Citizens Advice [pp. 52]	100	2015	13	22	13	19	33	-0.37
Inclusion Services - Special Educational Needs (SEN) [pp. 54]	200	2014	10	16	22	29	23	-0.41
Education other than at School (EOTAS) & Behaviour Services [pp. 56]	50	2015	9	16	22	28	24	-0.42
Local Authority Residential Homes for Older People [pp. 58]	350	2015	7	17	17	32	27	-0.55

Proposal	3 Year Saving (£'000)	Consultation Year	Strongly Agree (%)	Agree (%)	Neither (%)	Disagree (%)	Strongly Disagree (%)	Average Index Score
Flood Defence, Land Drainage & Coastal Protection [pp. 60]	118	2015	7	18	14	29	33	-0.63
Highways Infrastructure Maintenance [pp. 62]	1,271	2015	6	17	16	27	33	-0.63
Inclusion Services - Special Educational Needs (SEN) [pp. 64]	120	2015	7	15	12	30	36	-0.73
Short Breaks / Respite for Disabled Children & Young People [pp. 66]	50	2015	4	8	14	40	34	-0.93

3) CONSULTATION FINDINGS – ALL PROPOSALS

Below, all 29 proposals are considered individually, in turn, in order to lay out a *comprehensive summary* of relevant consultation information.

Each summary begins by detailing relevant facts and figures, including the value of the proposal, its average index score (AIS), and its AIS rank against other proposals. It also gives an AIS for selected categories of respondent,¹¹ for comparative purposes, and also to help meet our Equality Duty of demonstrating ‘due regard’ to equality. It is important to recognise that some proposals will be of specific relevance to people in certain categories. This must be taken in account in reaching decisions.

Views expressed through the public consultation - whether through surveys, road shows, letters and emails - have been considered together and themes identified.

The ‘other relevant information’ section includes information from *specific* sources, such as representations and organisational responses.

The views of councillors, (as expressed through budget seminars or scrutiny committees) are included under the ‘councillor engagement’ heading.

In the AIS charts that follow for each proposal, negative values are highlighted to show where demographic groups are, on balance, in opposition.

¹¹ The selected categories are: staff (CCC staff); BME (minority ethnic groups); a number of age categories; disabled (disabled people); religion (those having a religion or belief) and LGB (people describing themselves as lesbian, gay or bisexual).

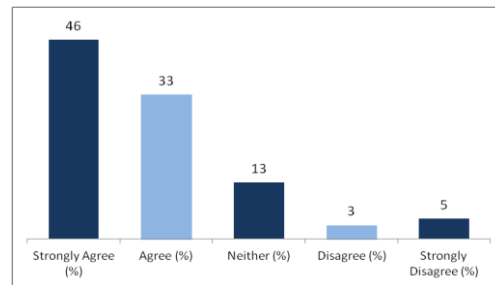
Public Protection – Animal Welfare

Total Budget: £45,000
3 Year Savings: £30,000

2016 - 17	2017 - 18	2018 - 19
30	0	0

Description: Increase in licensing fees for breeding, boarding and riding establishments.

Average index score: 1.12
Overall Rank (of 29): 1
Sample Size: 253



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.83	0.67	1.33	1.02	1.46	1.02	1.28	1.16	1.23	0.85	0.91
Sample	58	9	3	163	54	117	108	38	96	13	32

Key themes from the public consultation (53 comments):

- Too much breeding and too many animals need re-homing.
- Will prevent people keeping animals for the wrong reasons i.e. puppy farming
- Increase 'underground' breeding.
- Establishments should be strictly licensed and regulated,
- May encourage improved standards at establishments and less unwanted animals
- Increase in boarding costs for animal owners.
- Could jeopardise facilities such as riding for the disabled
- Tax dog owners, use the money to clean up the mess
- Mitigation - exclude charities; access for public to check traders are licensed (i.e. council website), re-introduce dog license fees.

Other relevant information:

N/A

Councillor engagement:

- General acceptance of the proposal

Equality Impact Assessment summary:

Description of impact
Increasing the cost of licences for animal boarding and breeding establishments
Affected groups:
The owners of these establishments. No equality impacts on protected characteristics are anticipated. The consultation shows all demographic groups favour the proposal
Mitigation
<ul style="list-style-type: none">• See above
Assessment undertaken: December 2015 (see appendix 1)

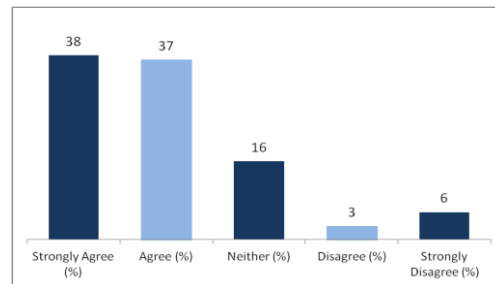
Council Fund Housing - Options and Advice Services (2)

Total Budget: £300,000
3 Year Savings: £10,000

2016 - 17	2017 - 18	2018 - 19
10	0	0

Description: Increased income from landlords licences for houses with multiple occupation.

Average index score: 0.99
Overall Rank (of 29): 2
Sample Size: 247



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.98	0.88	0.67	0.98	1.00	1.03	0.96	0.86	1.04	1.33	0.74
Sample	54	8	3	158	53	112	107	36	92	12	31

Key themes from the public consultation (36 comments):

- Buy to let scheme would be discouraged as it involves making money at the expense of the tenants and could restrict the number of houses for first time buyers.
- All landlords should be licensed and fees increased.
- Costs will more than likely be absorbed into the rental costs.
- Monitoring of landlords and tenants, many have neglected their duties i.e. inadequate standard of properties.
- On-line register of licences landlords/properties.
- Penalties for properties which are poorly maintained and do not meet regulations.
- Mitigation - council to ensure all landlords are licensed and inspected to ensure that premises meet regulations; fixed rental cost agreed by local authority; profits from licenses used to build new social housing, make the fee pro rata so that landlords of multiple properties pay more.

Other relevant information:

Councillor engagement:

- N/A

Equality Impact Assessment summary:

Description of impact
Charging landlords more for the issue of licences
Affected groups:
Landlords primarily. The consultation AIS results show all groups are in favour, with a number strongly so.
Mitigation
<ul style="list-style-type: none">• Advice on the changes, including conferences, will be provided to landlords
Assessment undertaken: xxx (see appendix 2)

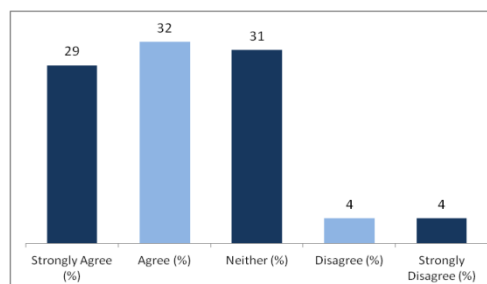
Oriel Myrddin Gallery (Carmarthen) (2014)

Total Budget: £102,000
3 Year Savings: £14,000

2016 - 17	2017 - 18	2018 - 19
14	0	0

Description: Phased transfer to independent trust status from 2016/17.

Average index score: 0.78
Overall Rank (of 29): 3
Sample Size: 602



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.65	1	0.63	0.81	0.8	0.77	0.77	0.69	0.77	0.56	N/A
Sample	190	5	30	352	186	296	258	80	321	9	N/A

Key themes from the public consultation (85 comments):

- A 'necessary evil'. Service take-up lower than for other services. Not classified as a 'front-line' service
- Appreciation that arts and entertainment budget cannot be ring-fenced. As such, many have a preference to protect theatres, not art galleries
- Bestowal of trust status grants additional benefits such as tax exemptions, ability to apply for grants
- Art galleries are an important outlet for artists and provide exposure. Closure threatens career of professional artists
- Will stunt growth of cultural activities and tourism
- Mitigation – clear communication with service users; support until trust established

Other relevant information:

- Expert Group representing Carmarthenshire Museum Service – it is necessary to preserve Carmarthenshire's rich heritage through the guardianship of artefacts. Inter-authority working would minimize administrative costs for Museum Services; Trust Status has had mixed success. Building maintenance, staff expertise and educational importance of service also requires careful deliberation.

Councillor engagement:

- Views generally in support of the proposal (budget seminar 2014); some comments relating to the position regarding on-going subsidy (budget seminar 2015)

Equality Impact Assessment summary:

Description of impact
The continued operation of the facility will involve a need to draw funding from sources other than the Council. A service reduction is not proposed.
Affected groups:
All demographic groups use the facility and no adverse effect is considered likely. The AIS shows all categories support the proposal.
Mitigation
<ul style="list-style-type: none">• Source funding from the arts and business community
Assessment undertaken: December 2015 (see appendix 3)

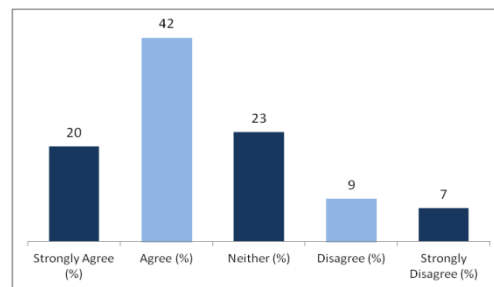
Looked After Children - Leaving Care, Taxis & Individual Review Service (2014)

Total Budget: £711,000
3 Year Savings: £50,000

2016 - 17	2017 - 18	2018 - 19
0	50	0

Description: Taxis are used to transport children when Looked After, either going to school, or for contact. Care leavers receive ongoing support up to 21, or even 25 if in full time education. A reduction of children coming into care; and the additional resources to support their rehabilitation home through targeted resources should contribute to a fall in numbers; both those in care, and those leaving care, and as a result, should achieve a financial reduction in these areas over time.

Average index score: 0.59
Overall Rank (of 29): 4
Sample Size: 627



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.52	0.8	0.03	0.6	0.69	0.46	0.71	0.47	0.59	0.78	N/A
Sample	198	6	34	361	194	308	269	89	336	9	N/A

Key themes from the public consultation (103 comments):

- The Council should not identify efficiency savings in areas concerned with the protection of vulnerable individuals
- Some consider foster carers are well compensated and should be responsible for the provision of such journeys
- Use of taxis for long, across-county journeys should be reviewed
- Clarification sought on what is being proposed
- Given people will no longer be children, why is support provided up to age 25?
- Mitigation – more extensive use of public transport; transfer responsibility for transport to fosterers

Other relevant information:
 N/A

Councillor engagement:
 N/A

Equality Impact Assessment summary:

Description of impact
The aim is to reduce the number of children looked after by using preventative services
Affected groups:
The consultation results show those 16-24 are only slightly in favour of the proposal
Mitigation
<ul style="list-style-type: none">• See above
Assessment undertaken: November 2014 (see appendix 4)

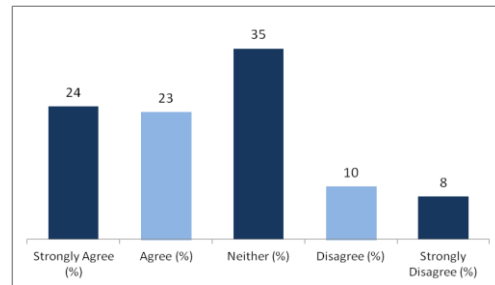
Revenues and Cash Desk (2014)

Total Budget: £789,000
3 Year Savings: £25,000

2016 - 17	2017 - 18	2018 - 19
25	0	0

Description: Closure of Llandeilo Cash Office.

Average index score: 0.47
Overall Rank (of 29): 5
Sample Size: 630



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.26	1.33	0.37	0.53	0.46	0.39	0.57	0.12	0.42	0.38	N/A
Sample	204	6	38	359	0.46	314	268	86	336	8	N/A

Key themes from the public consultation (219 comments):

- Noted that many people now make payments using other methods
- Regarded as an issue specific to local (perhaps older) residents of the Llandeilo area
- The importance of the Council having a local presence was stressed
- Cash desk making more use of the library.
- Leisure Centres used as a payment point.
- Having mobile access.
- Mitigation: encourage shift to on-line payment; move function to local shop/bank/post office

Other relevant information:

- T&CC – agreement providing functions can be transferred to local post offices (Llansteffan & Llanybri)

Councillor engagement:

- Explore options for alternative provision with banks and post offices

Equality Impact Assessment summary:

Description of impact
The closure would affect current users, though the numbers are low and reducing
Affected groups:
The proposal could affect older people, people with communication or access issues (due to race or disability). The AIS for the consultation shows these groups are in favour of the change
Mitigation
<ul style="list-style-type: none">• The proposed self service arrangements would be supervised, enabling support for those needing it• The service would be offered from alternative locations in close proximity• A mail shot of existing users would take place offering guidance on accessing the service in different ways (direct debit, Internet, post office, etc)
Assessment undertaken: December 2015 (see appendix 5)

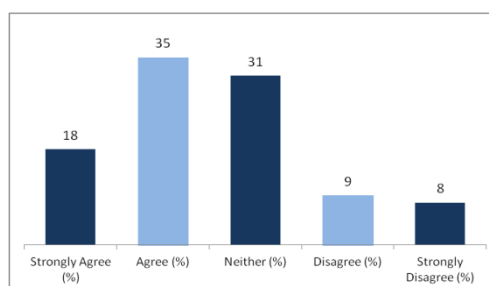
Sports, Leisure, Theatres Alternative Service Delivery Model (2014)

Total Budget: £2,937,000
3 Year Savings: £550,000

2016 - 17	2017 - 18	2018 - 19
0	250	300

Description: The proposal is to save money by delivering Sports, Leisure and Theatres in a different way - i.e. by a trust.

Average index score: 0.45
Rank (of 29): 6
Sample Size: 615



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.42	1	-0.33	0.44	0.65	0.42	0.47	0.46	0.44	0.33	N/A
Sample	192	6	33	357	190	301	266	83	329	9	N/A

Key themes from the public consultation (110 comments):

- Favour the change if it protects provision and we don't lose valuable assets.
- It is not obvious how a trust could deliver at a lower cost. More detail is needed
- They will no longer be accessible to communities when inflated charges are levied.
- New Trust to meet the Welsh Language requirements.
- Schools need to pay the proper rate for use
- Accountability – how would the trust relate to the Council?
- Mitigation: give thorough consideration of implications of trust status

Other relevant information:

- T&CC – the Trust should be a locally established entity (Llanelli Rural)
- Insight session – sports, leisure and theatres are/offer important activities for young people; concern over possible increase in charges and removal of free swimming; CCC should maintain some degree of control/steering

Councillor engagement:

- Acceptance of the need to consider a new model of delivery (including views concerning the advantages of commercial freedom); issues were raised in relation to service delivery and governance (budget seminar 2015)
- Clarification sought in relation to the status of Gwendraeth Leisure Centre (given closure of associated school) (budget seminar 2015)
- Clarification sought on implications of delivery via Trust on contractual arrangements of transferring staff (Scrutiny 2015)

- Trust model brings benefits of reduced subsidies (80% rate relief) and commercial freedom (Scrutiny 2015)

Equality Impact Assessment summary:

Description of impact:
Alternative delivery of sports, leisure and theatres. The intention is to maintain the same outcome specification as presently exists and no detrimental impact is anticipated
Affected groups:
The services are open to and used by all sections of the community. The AIS shows support from all groups except those 16-24
Mitigation
<ul style="list-style-type: none"> • The outcome specification can be determined by the Authority, ensuring continued high quality provision
Assessment undertaken: October 2014 (see appendix 6)

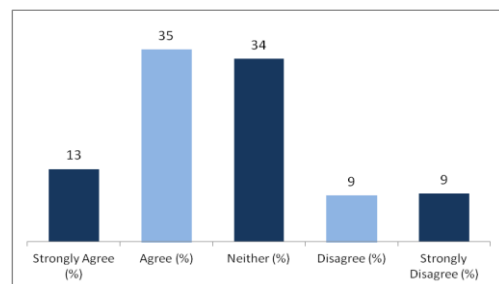
Youth Services

Total Budget: £427,000
3 Year Savings: £20,000

2016 - 17	2017 - 18	2018 - 19
0	20	0

Description: Review the use of the Quay Centre. Alternative arrangements within the Carmarthen town area would need to be explored to ensure that service provision is maintained in the locality.

Average index score: 0.36
Overall Rank (of 29): 7
Sample Size: 246



	Staff	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.26	-0.25	1.00	0.34	0.35	0.32	0.37	0.29	0.41	0.25	-0.09
Sample	54	8	3	160	51	114	104	34	92	12	33

Key themes from the public consultation (37 comments):

- Low number of overall comments, with most unaware of Quay Centre
- Proposal lacks information on current usage and doesn't specify alternative arrangements
- Importance of youth centres in combating anti-social behaviour and NEETs (Not in Education, Employment or Training) emphasised
- Costs incurred in setting up new premises will detract from 3 year savings
- A view that the savings don't go far enough
- Mitigation: hire out Quay Centre to generate income; co-working/co-location with community sector (e.g. Dr M'Z project in Carmarthen and St Peter's church)

Other relevant information:

- Llandovery YMCA – youth centres have a wider community role and should be protected
- Equality Carmarthenshire – concern about the impact on families with disabled children

Councillor engagement:

- It was suggested that greater collaboration with Dr Mz could be beneficial; the proposal generally supported as a cost-saving measure (budget seminar)
- Continuity – some concerns about ensuring alternative arrangements are in place (budget seminar)
- Some views in relation to funding for the youth service in general, and the need to provide opportunities for young people (budget seminar)

Equality Impact Assessment summary:

<i>Description of impact</i>
The Quay Centre is currently used for post-16 youth work, including 'one to one' and 'drop in' work. No adverse equality impacts are anticipated
<i>Affected groups:</i>
Post-16 young people. The AIS for demographic groups shows support, except for the BME and carer categories.
<i>Mitigation</i>
<ul style="list-style-type: none"> • Suitable alternative premises exist in Carmarthen
<i>Assessment undertaken:</i> December 2015 (see appendix 7)

Secondary Speech and Language Provision (2014)

Total Budget: £1,453,000

3 Year Savings: £50,000

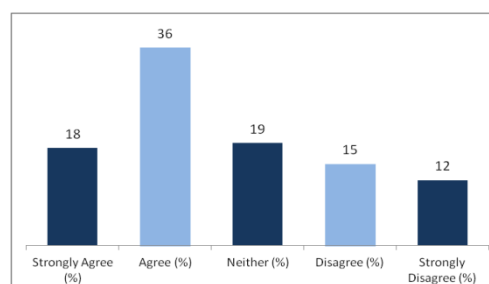
2016 - 17	2017 - 18	2018 - 19
50	0	0

Description: The County Council proposes to remodel how support is provided for secondary age pupils with speech, language and communication needs and move away from a special unit provision to enable support and provision in all schools.

Average index score: 0.33

Overall Rank (of 29): 8

Sample Size: 642



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.31	1	0	0.33	0.48	0.34	0.35	0.21	0.34	0.11	N/A
Sample	205	6	34	370	200	321	272	89	340	9	N/A

Key themes from the public consultation (183 comments):

- Support for the principle of integration into mainstream education
- Concern mainstream provision may not be best in every case
- Service needs more, not less, investment
- Schools may lack required expertise, leading to poorer outcomes
- In providing support, lessons may be disrupted
- Mitigation: ensure schools are equipped with the expertise to cope with added demands; implement re-modelled provision on a trial basis to ensure it meets needs

Other relevant information:

N/A

Councillor engagement:

N/A

Equality Impact Assessment summary:

Description of impact
Mainstreaming support in schools rather than within a specialist unit. Evidence suggests that functional and strategy-based approaches can be effective at secondary school level
Affected groups:
Pupils with additional speech and language needs; effected staff. The consultation shows no demographic groups are against the proposal.
Mitigation
<ul style="list-style-type: none">Schools and teachers will be given training to ensure pupils receive effective support within a mainstream environment
Assessment undertaken: November 2014 (revised December 2015 - see appendix 8)

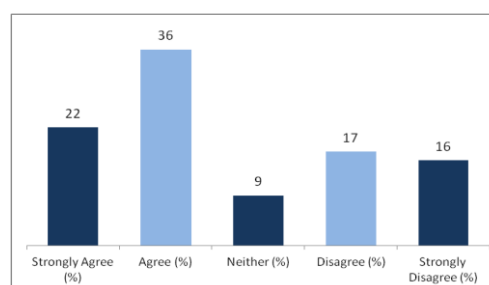
Catering Services - School Meals

Total Budget: £204,000
3 Year Savings: £300,000

2016 - 17	2017 - 18	2018 - 19
100	100	100

Description: It is proposed to increase the cost of a primary school meal price to £2.40 in April 2016, £2.50 in April 2017 and £2.60 in April 2018. There will be similar increases in charges for food in secondary schools. Increasing the price of a school meal progressively over the next 3 years may have an adverse impact on take-up.

Average index score: 0.31
Overall Rank (of 29): 9
Sample Size: 249



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.20	0.75	-2.00	0.17	0.72	0.16	0.48	0.34	0.34	0.64	0.09
Sample	55	8	3	160	53	116	105	35	94	11	33

Key themes from the public consultation (100 comments):

- The increase is fair and school meals offer good value; with some views to the contrary
- Concerns that rise may impact upon take up. This may have health impacts, because school meals are seen as healthier than other options (packed lunch or food purchased elsewhere at lunchtime)
- Low income and larger families will be affected to a greater extent – particularly those just above free school meals (FSM) threshold
- Mitigation: avoid price rises through finding cheaper suppliers or developing an alternative delivery method (e.g., externalise the service); giving discounts to larger families and those just about the FSM threshold; promote healthy eating to parents and students

Other relevant information:

- Insight session – impact on low income / large families recognised. Price increase too steep and will encourage unhealthy eating (packed lunch or chippy). Schools responsible for good nutrition
- TCCLF – agreement that the increase was reasonable and necessary
- T&CC – increase will affect take up (St Clears)
- Equality Carmarthenshire – concern about the impact on families of disabled children

Councillor engagement:

- Queries about the impact on take up of school meals, and issues of fairness relating to applying the same rate to children of different ages (budget seminar)

Equality Impact Assessment summary:

Description of impact
School meal price increases could impact upon take up.
Affected groups:
(Larger) families above free school meal threshold. In terms of AIS scores, those most in favour of the proposal were those 65+ and BME people; men were more strongly in favour than women
Mitigation
<ul style="list-style-type: none"> • Continue to promote the health, quality and value for money of school meals • Promote the benefits of healthy eating to all students
Assessment undertaken: December 2015 (see appendix 9)

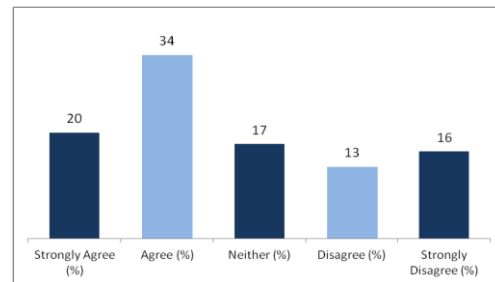
Home to College Transport

Total Budget: £544,000
3 Year Savings: £516,000

2016 - 17	2017 - 18	2018 - 19
65	451	0

Description: Post 16 transport is a discretionary service and statutory consultation is underway to sustain the service through the introduction of a charge.

Average index score: 0.28
Overall Rank (of 29): 10
Sample Size: 650



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.14	-0.6	-0.64	0.32	0.63	0.17	0.51	0.45	0.31	0.56	N/A
Sample	204	6	33	362	198	309	279	84	337	9	N/A

Key themes from the public consultation (115 comments):

- Reasonable proposal as further education is not mandatory. College users should bear some of the cost in order to maintain the service
- Saving necessary to protect front-line services
- Encourages younger people to manage money responsibly
- Urban/rural divide and imbalance: adverse impact on rural residents
- Proposal impacts on the most vulnerable in society and restricts social mobility
- Discriminates Welsh speaking sixth formers in schools
- Will segregate Year 12 and 13 pupils.
- Proposal will increase young people classified as NEET (Not in Education, Employment or Training) and hinder their prosperity
- Mitigation - greater use of e-learning; means test to support pupils from low-income families; charge minimal fee to maintain participation; introduce tapered charge over 3 years; support young drivers' schemes; implement cycle hire scheme; combine with public bus routes

Other relevant information:

- Youth Council – concern that this will constrain take-up of further education opportunities and force students to select courses that do not suit their career path (as may not be offered within nearest college)
- Insight session – points above reinforced, plus: taper charge to distance travelled; monthly payments; discounts for more than 1 bus pass per family

Councillor engagement:

- A balance of views against the proposal, given concern about the impact of charges on families (budget seminar). The validity of the proposal was questioned, given the views of the School Transport Member Focus Group against its implementation (scrutiny)

Equality Impact Assessment summary:

Description of impact
Students currently having free post-16 transport will be required to pay. A concern that the charge will affect take up of further education
Affected groups:
Students from less well off backgrounds and those from rural areas. The AIS shows that BME people and those 16-24 were against the proposal
Mitigation
<ul style="list-style-type: none"> • Introduce full charge over a number of years on a tapering basis • Payment of annual change in instalments • No charge for low income students
Assessment undertaken: December 2014 (see appendix 10)

Libraries

Total Budget: £2,381,000

3 Year Savings: £240,000

2016 - 17	2017 - 18	2018 - 19
0	92	148

Description:

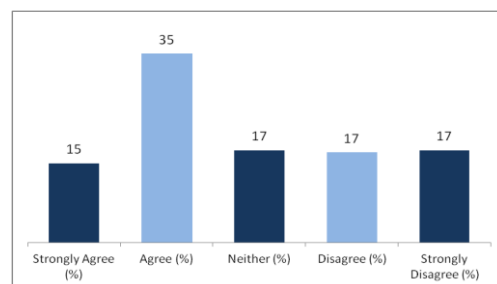
2016/17 - £92,000: The proposal is to change the way the mobile library service is delivered to make more effective use of the vehicles. Offering further services from mobile libraries (for instance, photocopying) is being considered as a way of improving the overall service.

2017/18 & 2018/19 - £148,000: To ensure a library service continues to be available in Carmarthenshire, the proposal is to close a number of branch libraries and rely on an enhanced mobile library service

Average index score: 0.13

Overall Rank (of 29): 11

Sample Size: 253



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	0.23	-0.22	1.33	0.10	0.25	0.12	0.17	0.14	0.1	0.08	0.12
Sample	57	9	3	163	53	118	107	36	96	13	34

Key themes from the public consultation (143 comments):

- Mobile libraries not comparable to branch libraries given frequency of access, fewer facilities and limited choice. Removes flexibility for borrowers, particularly parents and those in full-time work
- Library functions as a hub – place to read, browse, use computers, hold exhibitions and meetings and make use of timetabled educational activities
- A number of comments in support of the mobile library service. Upheld as indispensable for those with mobility issues (physical disability and rurality)
- Proposal is synchronous with current times – books are increasingly accessed by digital means
- Some agreement providing mobile service visits regularly, is better advertised (location & timings made clearer), choice of books is retained and town centre libraries remain open
- Mitigation: ‘click & collect’ (reserve books online for pick-up at mobile library); reduce opening hours of branch libraries; co-location (integrate with colleges)

Other relevant information:

- Insight session – bigger impact on elderly and rural residents; combine with coffee shops or schools (evening access); prioritise most popular libraries

- TCCLF – community buildings could house books, in order to help sustain the service. Each collection of books could be refreshed periodically by the Council
- T&CC – agreement with the proposed changes at St Clears, involving use of staff and volunteers (St Clears)

Councillor engagement:

- Views in favour of the review; sought clarity on involvement in decisions about closure of smaller branches
- Expand the range of services available through the mobile libraries, to include consideration of customer service centre (CSC) services, blue bag provision and banking services (budget seminar)

Equality Impact Assessment summary:

<i>Description of impact</i>
Mobile provision involves service improvement; some branches will need to be delivered in another way.
<i>Affected groups:</i>
Older people; digitally excluded; those in poverty. The AIS shows BME people are against the proposal, but others in support
<i>Mitigation</i>
<ul style="list-style-type: none"> • Proposal involves improving mobile provision • Opportunities for some smaller branch libraries to be delivered differently • Continued provision of housebound service to eligible (older and/or disabled) people • Welsh Public Library Standards will continue to be met
<i>Assessment undertaken:</i> December 2015 (see appendix 11)

Meals on Wheels

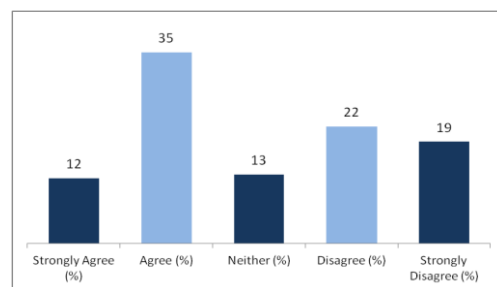
Total budget: £115,000
3 Year Savings: £57,000

2016 - 17	2017 - 18	2018 - 19
57	0	0

Description:

Increase meals cost by £1.00 from £3.70 to £4.70

Average index score: 0
Overall Rank (of 29): 12
Sample Size: 251



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.21	-0.56	-1.67	-0.04	0.36	-0.2	0.21	-0.16	0.04	-0.07	0.03
Sample	58	9	3	161	53	116	107	37	96	14	33

Key themes from the public consultation (105 comments):

- Meals on Wheels recipients should not have to pay more than the cost of making the meal themselves and some may not be able to meet the increased charges. Benefit claimants should be exempt from payment.
- More affluent residents prepared to pay the additional costs if the quality of the meal was adequate.
- Undertake means testing of income levels for residents receiving the service.
- Local restaurants or catering establishments supplying a meal for residents at a reduced cost.
- The 27% increase of an additional £5 a week is too steep.
- Could result in elderly residents cutting back on vital nutrition and impact on their wellbeing.
- Reducing the service further without a replacement will cause more social care packages to include meal preparation.
- Older and disabled (many lonely & isolated) people depend on this service.
- Mitigation - fund local cafes to provide meals for the elderly, assisting the local economy

Other relevant information:

- Insight session – above themes noted. Consensus that proposed increases are excessive and will impact isolation/loneliness. Involvement of local community groups and companies such as Wiltshire Farm Foods mooted
- TCCLF – take up in decline owing to private competition. Lack of volunteers to deliver meals a key constraint. Look to community luncheon clubs (undertake home delivery)
- T&CC – rise is likely to affect take up; value for money questioned (St Clears)
- Disability Coalition – incremental rise instead of single huge increase

Councillor engagement:

- A phased introduction of the increase would be more favoured
- Views against the proposed increase. Recognition of social aspect of meal delivery - combat loneliness. Larger voluntary organisations could sub-contract MoW service through smaller groups (Scrutiny)

Equality Impact Assessment summary:

Description of impact
An increased cost of meals provided to people with an assessed need
Affected groups:
Older people living in the community. Though the overall AIS shows no view, (positive or negative), the results are negative for the BME, single, female and disabled categories (among others)
Mitigation
<ul style="list-style-type: none"> • Delivery of the Integrated Community Nutrition and Hydration Strategy • Ensure accessible information on good nutrition is made widely available
Assessment undertaken: December xxx (see appendix 12)

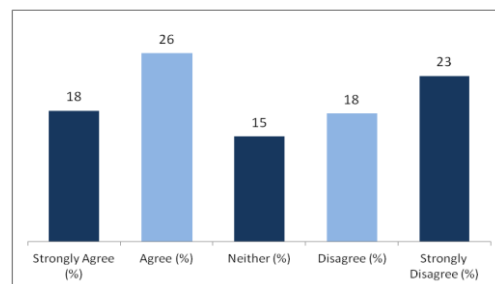
Catering Services – Free School Breakfasts

Total Budget: £842,000
3 Year Savings: £110,000

2015 - 16	2016 - 17	2017 - 18
100	10	0

Description: Remodel provision for Free Breakfasts in primary schools to reduce average time from 45 minutes to 30 minutes. There is a risk that some Free Breakfast settings may become unviable as a result of remodelling provision.

Average index score: 0
Overall Rank (of 29): 12
Sample Size: 249



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.04	-0.25	-0.67	-0.15	0.38	-0.22	0.16	0.17	-0.01	0.15	-0.13
Sample	52	8	3	160	52	116	105	35	93	13	31

Key themes from the public consultation (104 comments):

- The importance of the morning sessions to working parents was stressed. Many agreed that a cut in the session to half an hour was reasonable, although the reduced time may be detrimental to children with special needs
- It was noted that breakfast is important to the maximisation of individual learning, particularly where children do not have the meal provided at home (e.g., due to low income)
- Some suggested that provision of breakfast is solely a parental responsibility
- It was commented that parents who do not need the provision of a breakfast were taking advantage of the sessions as free child care.
- Concerns that sessions could become unviable because staff could not be identified to work for only half an hour
- Mitigation: suggestion that sessions should stay as 45 minutes, but agreement for the idea that parents pay for the balance of time (perhaps even extending the session providing childcare); keep session as it is in areas of deprivation only.

Other relevant information:

- TCCLF – proposal achievable, though it was cautioned that clubs are sometimes used as a ‘babysitting’ facility. May be sufficient demand to continue the non-breakfast element of provision on a commercial basis
- Equality Carmarthenshire – concern about the impact on families of disabled children

Councillor engagement:

- N/A

Equality Impact Assessment summary:

Description of impact
Reducing the time to ½ hour could affect the viability of some school breakfast clubs.
Affected groups:
Children attending smaller, Welsh speaking schools could be affected. Predominantly female workers could be affected by reduced hours. The AIS shows that age groups - other than those 65+ - are against the proposal
Mitigation
<ul style="list-style-type: none"> • Options to continue provision where services may be at risk will be discussed with governing bodies • Discussions with schools and staff to overcome issues arising
Assessment undertaken: December 2015 (see appendix 13)

Car Parks

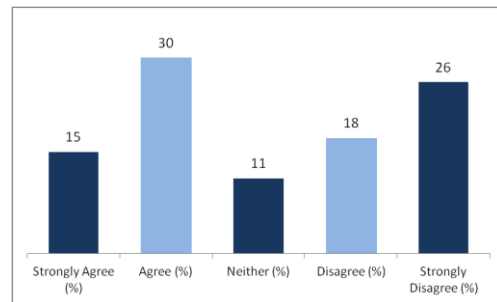
Total Budget: -£1,505,000 (net income)

3 Year Savings: £108,000

2016 - 17	2017 - 18	2018 - 19
0	54	54

Description: A 20 pence increase in car park charges at major town centres will contribute £54,000 (yearly) to sustain transport and highway related services. Increased charges would take effect in 2017.

Average index score: -0.09
Overall Rank (of 29): 14
Sample Size: 246



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.52	-1.13	-0.33	-0.01	-0.13	0.09	-0.21	-0.58	-0.11	-0.83	-0.42
Sample	56	8	3	158	53	116	102	36	92	12	33

Key themes from the public consultation (104 comments):

- Opposing views – some regard current charges as ‘prohibitive’, others as ‘reasonable’ in comparison with neighbouring and English authorities
- Concern that further increases will severely deplete the health of town centres
- Proposal is a setback for independent shops given tough retail environment
- Increased charges will have a disproportionate impact on full-time employees who work within town centres and pay for parking
- Proposal will ease congestion and encourage use of alternative forms of transport such as buses and walking
- 20p increase permissible if money is reinvested into Carmarthenshire’s transport infrastructure
- A view that the abolition of car parking charges will boost local trade/tourism
- Mitigation: Smaller increases across all Council car parks; Council staff to pay for parking; suspend proposal in the interim to revitalise town centres; introduction of half-hour slots; better enforcement (traffic wardens) would negate need for increases; decrease parking costs, increase business rates

Other relevant information:

- Insight session – proposal discourages town centre shopping and may foster illegal parking. Increase penalty (not ticket) charges & use pay-upon-exit
- TCCLF – it was generally agreed that the increased charges could be considered
- Disability Coalition – consider reinstating free Blue Badge parking in Council car parks

Councillor engagement:

- A Task and Finish group is presently considering the issue and there was a concern not to pre-empt the outcome (budget seminar)

Equality Impact Assessment summary:

Description of impact
Increased user charges
Affected groups:
Car park users. The AIS shows that all groups are against the proposal (to varying extents) except for women.
Mitigation
<ul style="list-style-type: none"> • Introduce small charge for very short stay parking; improve public transport
Assessment undertaken: December 2015 (see appendix 14)

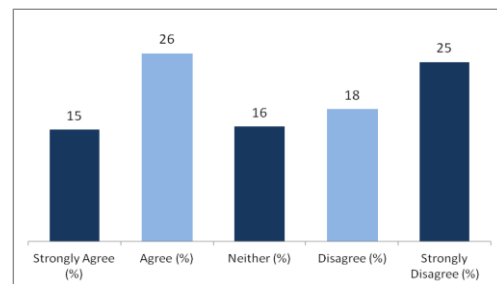
Delegated school budget

Total Budget: £109,708,000
3 Year Savings: £18,280,000

2016 - 17	2017 - 18	2018 - 19
5,500	6,000	6,780

Description: Education is a significant area of spend for the Council. This proposal is to reduce the total budget to schools and support schools in achieving a number of cost savings, for example, further collaboration between schools, reducing "back office" costs to prioritise classroom provision, etc.

Average index score: -0.11
Overall Rank (of 29): 15
Sample Size: 247



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.04	-0.63	0.67	-0.25	0.2	-0.48	0.23	-0.2	-0.26	-0.38	-0.25
Sample	54	8	3	160	54	114	106	35	95	13	32

Key themes from the public consultation (80 comments):

- Importance of ensuring a fit and proper education for future generations
- Status quo – school budgets already stretched; many back-office staff have been made redundant
- Proposal (in particular, collaboration) will increase pressure on teachers (class sizes) and deter individuals from taking up the profession
- Will impact on equality of opportunity and widen gap between best and worst performing schools (e.g., some schools do not offer swimming lessons as a consequence of charges imposed by Council)
- Proposal does not make clear how schools will be affected by changes
- Scepticism that degree of savings can be realised through collaboration and back office costs alone. It is thought teacher redundancies, larger classes, reduced support for SEN pupils and fewer GCSE options will be likely
- Proposal seen as reasonable: a more central and/or collaborative system would avoid duplication; pooling of resources agreeable
- Mitigation: hire out school facilities in evening and weekends; closure of schools with below optimal number of pupils; smaller cuts over a longer period

to best preserve standards; review new schools programme; academy schools; amalgamation should be situational

Other relevant information:

- Insight session – proposal will affect quality of teaching, breadth of curriculum and class sizes. May lead to more schools placed in special measures. Acceptance that schools need to be run efficiently. Share specialised staff
- Chair of Governors Coedcae School – proposal will lead to larger class sizes and teacher redundancies
- TCCLF – cuts may have an impact upon staffing levels and standards could be put at risk
- T&CC – severe impact on primary and secondary schools (St Clears)

Councillor engagement:

- Support for the idea of grouping smaller schools for the sharing of administration and back office functions

Equality Impact Assessment summary:

Description of impact
Schools would be required to run on a reduced budget, while maintaining standards
Affected groups:
Younger people of school age; possibly SEN pupils; reductions could affect provision for Gypsy Travellers and EAL students. School staff are predominantly female; non-Welsh speaking staff may be disadvantaged as services are remodelled. The AIS shows women are against the proposal, with men in favour; the age group most likely to consist of relevant parents (15-64) are against the proposal.
Mitigation
<ul style="list-style-type: none"> • Schools Finance Group established to pursue savings whilst limiting the impact on learners • The Council to continue holding schools to account for standards • Appropriate arrangements to be in place for any arising staffing issues
Assessment undertaken: December 2015 (see appendix 15)

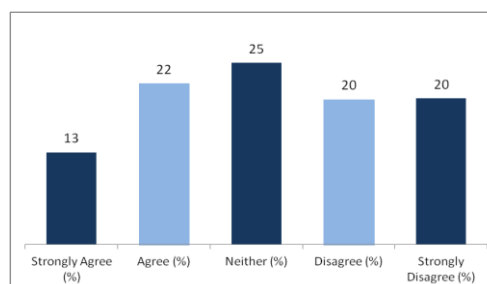
School Crossing Patrols (2014)

Total Budget: £218,000
3 Year Savings: £110,000

2016 – 17	2017 – 18	2018 – 19
0	55	0

Description: Efficiencies can be gained by de-selection of School Crossing Patrol sites using the criteria for the assessment of school crossing patrol sites, published in RoSPA's School Crossing Patrol national guidance document. Where the School Crossing Patrol is affected, we will work with the school to look at alternative provision if required.

Average index score: -0.13
Overall Rank (of 29): 16
Sample Size: 631



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.28	-0.63	-0.3	-0.1	-0.05	-0.16	-0.06	-0.08	-0.1	0.3	N/A
Sample	193	9	33	357	194	305	267	85	332	10	N/A

Key themes from the public consultation (139 comments):

- A child's safety is of paramount importance. Increases risk of serious collision and injury
- Proposal unwarranted given increase in number of cars on the road and propensity to park/drop-off pupils in hazardous locations near the school
- More populous areas should be protected, irrespective of formulaic assessments. Criteria for selection of patrol sites should include school size and traffic flow
- Schools and/or parents should assume some or all responsibility for costs
- Crossing patrols are of limited significance as most pupils travel to school with a responsible adult
- Mitigation – greater use of pelican and zebra crossings; enforcement of 20mph speed limit; speed cameras; sponsorship; utilise volunteers; include road safety education in the curriculum

Other relevant information:

- Insight session – no need for school crossing patrols where there are traffic lights or calming measures; lollipop wardens in high risk areas only; service important for primary schools, automate process at secondary schools

Councillor engagement:

- Any changes would need to be based on a thorough site-specific risk assessment. Consider attracting financial support from local businesses (budget seminar)
- Teaching staff could undertake patrol duties (Scrutiny, 2015)

Equality Impact Assessment summary:

Description of impact
Remove some crossing patrols (subject to safety criteria)
Affected groups:
Pupils between age 4 and 17; evidence suggests boys are at greater risk of being injured in a road traffic collision. The AIS shows all groups are opposed (except LGB)
Mitigation
<ul style="list-style-type: none"> • 55% of sites do not meet threshold criteria and could be removed; introduce crossings (e.g., traffic lights); more emphasis on road safety education and awareness; volunteer-run service
Assessment undertaken: December 2015 (see appendix 16)

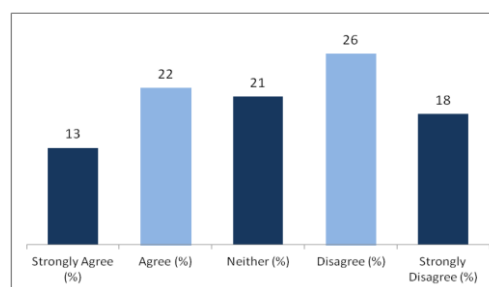
Council Fund Housing - Options and Advice Services (1)

Total Budget: £300,000
3 Year Savings: £29,000

2016 – 17	2017 – 18	2018 – 19
29	0	0

Description: Reduce grants to Women’s Aid and Shelter. Both organisations are changing working practices to try to minimise impact of services available to their client groups.

Average index score: -0.14
Overall Rank (of 29): 17
Sample Size: 254



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.23	-1.00	0.00	-0.23	0.15	-0.47	0.19	-0.42	-0.08	-0.31	-0.3
Sample	61	8	3	164	53	120	106	31	95	13	33

Key themes from the public consultation (66 comments):

- Homeless or Domestic Violence victims unable to seek the support that is needed.
- Services which are vital to the most vulnerable in our society and could put people’s lives at risk.
- Organisations survive on a shoestring budget and volunteers.
- Drugs and alcohol lead to these services being a priority.
- Inadequate support available and issues increasing due to migration from other areas.
- Domestic violence tends to increase due to stress/poverty.
- Marginal savings do not justify or warrant the likely impacts on vulnerable groups. The people who rely on these organisations find themselves in desperate situations.
- Mitigation – continue support to voluntary groups that can utilise external funding; more social housing accommodation for single people in need.

Other relevant information:

- T&CC – a need for greater collaborative working (St Clears)

Councillor engagement:

- An acknowledged need to review support for agencies across the third sector (budget seminar)

Equality Impact Assessment summary:

Description of impact
Review of housing options service will result in the Section taking on the housing-related aspect of what has been provided by Shelter and Women’s Aid. Specialist support will remain in place through these organisations
Affected groups:
People at risk of homelessness and/or domestic violence.. The Consultation results show a mix, but many groups are against the proposal, including, women, disabled and LGB people.
Mitigation
<ul style="list-style-type: none">• Proactive work with perpetrators; reducing Shelter’s overheads by offering office accommodation; alternative funding mechanisms are being pursued
Assessment undertaken: December 2015 (see appendix 17)

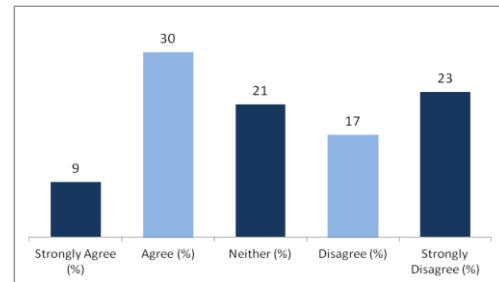
Home Care Service

Total Budget: £14,966,000
3 Year Savings: £1,000,000

2016 - 17	2017 - 18	2018 - 19
0	500	500

Description: Implementation of alternative service model either through externalising the service or developing a Local Authority Trading Company model.

Average index score: -0.16
Overall Rank (of 29): 18
Sample Size: 248



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.04	0	0.33	-0.22	-0.06	-0.29	0.01	0.19	0.01	-0.5	-0.71
Sample	57	9	3	158	53	112	108	37	93	14	31

Key themes from the public consultation (105 comments):

- Assists people to live in their homes for as long as possible.
- Prevents 'bed blocking'.
- Local Authority provision much more professional than private sector, better quality of service.
- Provision to remain under the umbrella of CCC: well trained and reliable staff.
- Externalising this service would see it driven by profit not priorities.
- Service should be regularly monitored and audited. Accountability for this service needs to be determined.
- Reasonable wages and adequate training for staff working in this profession
- Time to undertake the relevant duties required.
- Welsh speaking staff for clients that require them.
- Mitigation: Local carers for clients would result in less travelling time and costs; an option for clients to self-budget their care provision; joint working with the Health Service.

Other relevant information:

- Insight session – a range of views: some favouring third sector models, others retention by CCC. Standards of care thought to be poorer in private sector. Service reduces pressure on NHS
- TCCLF – there was agreement that an arrangement in which the Council retained oversight was strongly preferred
- T&CC – agree, so long as it is the LA trading company model that is pursued (St Clears)

Councillor engagement:

- Clarification needed on the legal and governance structures that are being considered (budget seminar)

Equality Impact Assessment summary:

<i>Description of impact</i>
The proposal would provide the same service standards to client groups, through a different delivery mechanism. Change is intended to help promote user choice
<i>Affected groups:</i>
Services are provided for older people; and disabled people; staff are predominantly female. The AIS shows that unpaid carers are strongly against the proposal
<i>Mitigation</i>
<ul style="list-style-type: none"> • Consultation and engagement with affected groups would be undertaken • Rigorous monitoring of delivery standards would be needed • Regular consideration of the EIA as part of the governance arrangements for the project development process
<i>Assessment undertaken:</i> December 2015 (see appendix 18)

Local Authority Residential Homes for Older People (2014)

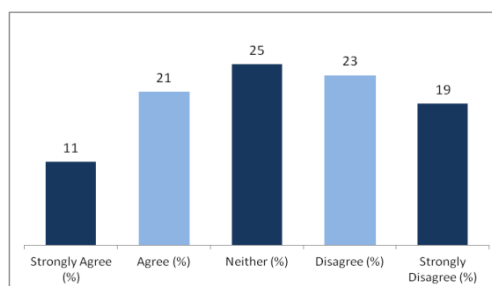
Total Budget: £4,795,000
3 Year Savings: £200,000

2016 - 17	2017 - 18	2018 - 19
200	0	0

Description:

Full year saving from closure of Glanmarlais/Tegfan and opening an extra care facility in the Ammanford area.

Average index score: -0.18
Overall Rank (of 29): 19
Sample Size: 613



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.33	0.2	-0.26	-0.16	-0.18	-0.31	-0.08	-0.49	-0.24	-0.33	N/A
Sample	188	6	34	354	191	298	267	83	324	9	N/A

Key themes from the public consultation (143 comments):

- Displacement will trigger anxiety and illnesses. Stress of settling in at new home and meeting new people. Loss of valued friendships
- Concerns about capacity and quality of alternatives; impact on delayed transfers
- Ensure residents of Glanmorlais and Tegfan are supported through the change.
- Need adequate local provision catering for local need
- Lack of understanding of flexi beds and Ammanford Extra Care scheme
- Realism: priority should be given to home care services (independence)
- Mitigation – effective respite care to reduce number of admissions; undertake short familiarisation visits prior to move; evaluate new arrangements

Other relevant information:

- T&CC –ageing population may increase demand (Gorslas)

Councillor engagement:

- Emphasis needs to be given to the provision of high quality and timely information to councillors, staff, residents and families, should the proposal be supported (budget seminar)

Equality Impact Assessment summary:

Description of impact
The proposal is part of a strategy to promote independence, improve service and integration, and put users at the centre of plans, while modernising accommodation. The primary risk concerns the potential adverse effect of moving older people
Affected groups:
The proposal primarily concerns residents (older people), who may be more likely to be women or disabled. The consultation shows most demographic groups oppose the proposal (except BME): notably disabled people; single people; LGB and women.
Mitigation
<ul style="list-style-type: none"> • Communication and consultation strategy; information to stakeholders; user involvement in making the change • Adherence to the Protocol for Local Authority Care Home Closure Arrangements • Redeployment Protocol will be followed with relevant staff
Assessment undertaken: December 2014 (see appendices 19a & 19b)

Cleansing Services & Environmental Enforcement

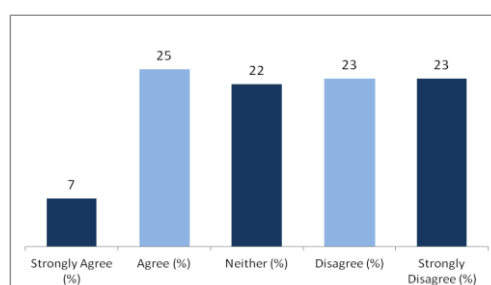
Total Budget: £2,355,000

3 Year Savings: £252,000

2016 - 17	2017 - 18	2018 - 19
85	84	83

Description: Re-configuration of service delivery and methods of operation, and the re-assessment of service standards. The proposal also includes reducing the Environmental Enforcement supplies and equipment budgets by £13,000 over the period 2016-19. Likely impacts include (i) a reduction in the frequency of litter picking and sweeping in town centres and urban areas, with cessation of routine litter collection in outlying and residential areas; (ii) aesthetic appearance of residential, urban and rural areas and (iii) effects on income generation for commercial premises and tourism.

Average index score: -0.32
Overall Rank (of 29): 20
Sample Size: 241



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.43	-0.75	0.00	-0.25	-0.62	-0.26	-0.38	-0.39	-0.31	0.08	-0.84
Sample	51	8	3	153	53	110	104	36	91	13	32

Key themes from the public consultation (82 comments):

- Routine street cleaning and emptying bins of litter is an important Council function, irrespective of area. Poor cleanliness standards will lead to more littering
- Detrimental impact on tourism, civic pride and morale. Would encourage use of cleaner out of town retail parks. Effects on income generation should be weighed against targeted savings
- Proposal runs counter to the Council's plans to make Carmarthenshire's communities healthier and cleaner. Unpicked litter will attract vermin
- A view that the degree of savings does not justify probable impacts
- Compounds urban/rural disparity. Urban areas would be cleaner than rural areas, blighting idyllic countryside (roadside litter cited as a concern)

- **Mitigation:** education; greater role for community councils; volunteering (including volunteer litter wardens); community service; enforcement of penalties for littering; increased fines; work with fast-food outlets

Other relevant information:

- Insight session – above points emphasised. Also: litter picking by schools (Welsh BAC); prioritise service in summer (tourism); anti-littering campaigns
- TCCLF – impact of increased litter on tourism. Community councils could contribute towards costs of street cleaning within their areas
- T&CC – increase enforcement; relevant business to take greater responsibility (e.g., fast food) (St Clears)

Councillor engagement:

- Consider increasing fines; concern about service standards and the potential impact on tourism (budget seminar)

Equality Impact Assessment summary:

Description of impact
Increased visibility of litter is possible
Affected groups:
All Carmarthenshire residents. AIS scores from the public consultation suggest opposition from most demographic groups
Mitigation
<ul style="list-style-type: none"> • Increase fines and enforcement; community litter picks; more responsibility from relevant businesses (e.g., fast food)
Assessment undertaken: December 2015 (see appendix 20)

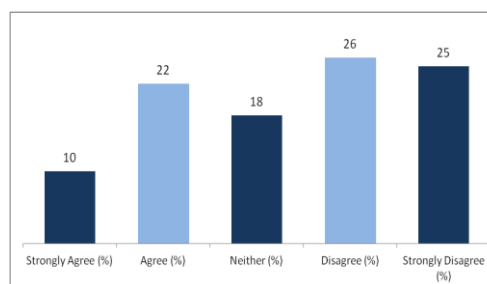
Educational Psychology

Total budget: £883,000
3 Year Savings: £60,000

2016 - 17	2017 - 18	2018 - 19
0	60	0

Description: Reduction of 1 post through review of existing structure. Reduced capacity for psychology support to schools and vulnerable children.

Average index score: -0.33
Overall Rank (of 29): 21
Sample Size: 249



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.36	-0.50	-0.67	-0.37	-0.21	-0.62	-0.02	-0.68	-0.43	0.31	-0.26
Sample	55	8	3	160	53	117	105	37	94	13	31

Key themes from the public consultation (54 comments):

- Proposal is of detriment to vulnerable pupils requiring specialist support
- Reduced support will compound waiting lists, shorten time spent with vulnerable pupils and may have secondary impacts on wider class
- A view that the current service is overstretched and in need of improvement
- Mental ill-health is on the rise and is unlikely to abate in the near future
- Proposal is ambiguous – does not mention the number of psychologists employed nor number of pupils receiving the service
- Concern that schools are being hit hard by current round of proposals
- Mitigation: impacts can be alleviated if less time is spent preparing reports (prioritise 1:1 support); provide access to other counselling services; train volunteers

Other relevant information:

- TCCLF – insufficient information to comment
- Disability Coalition – how is demand for service to be managed?

- Equality Carmarthenshire – concern about the impact on families of disabled children. Educational psychologists are often the gateway to further services and support

Councillor engagement:

- N/A

Equality Impact Assessment summary:

<i>Description of impact</i>
Reduced psychology support
<i>Affected groups:</i>
Young people 0-19 with SEN; disabled children and young people (up to 25) The AIS scores show opposition from all groups, except LGB.
<i>Mitigation</i>
<ul style="list-style-type: none"> • Prioritise activity to those with most significant need
<i>Assessment undertaken:</i> December 2015 (see appendix 21)

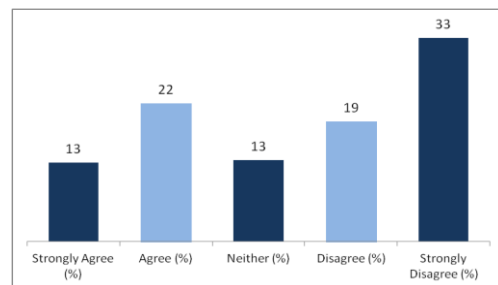
Public Protection - Welfare Rights and Citizens Advice

Total Budget: £148,000
3 Year Savings: £100,000

2016 - 17	2017 - 18	2018 - 19
100	0	0

Description: Make savings by reviewing contribution to voluntary organisations providing Benefits Advice (Catch up / CAB / Mencap).

Average index score: -0.37
Overall Rank (of 29): 22
Sample Size: 275



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.68	-1.44	0.33	-0.36	-0.29	-0.52	-0.18	-0.62	-0.26	-0.21	-0.58
Sample	65	9	3	181	55	127	117	37	96	14	36

Key themes from the public consultation (137 comments):

- High demand service in austere times. Will impact on those in greatest need
- Important given reduction in availability of legal aid – people need access to impartial advice
- These organisations offer home or group visits (access cited as an issue for some rural areas) and are often a preferred option to DWP
- These services contribute to the local economy.
- Impact on people unable to source an alternative.
- **Mitigation** - train front line staff; combine organisations providing service (one stop shop); incorporate this service into the HUB; make statutory agencies more approachable; ensure a forum of service providers is maintained; information should be available on the internet.

Other relevant information:

- Llandovery YMCA – weekly CAB sessions at YMCA could be put at risk

- TCCLF – there is often duplication of benefits advice
- T&CC – need for more collaborative working (St Clears)
- Disability Coalition – Catchup provides unique service; can't sustain cut of this scale
- Equality Carmarthenshire – concern about the impact on families with disabled children

Councillor engagement:

- An acknowledged need to review support for agencies across the third sector (budget seminar)

Equality Impact Assessment summary:

<i>Description of impact</i>
The reduction may affect the availability of welfare advice, however, there may be duplication of provision
<i>Affected groups:</i>
Those in or facing poverty; rural users. The AIS results show all groups are against the proposal (except those 16-24)
<i>Mitigation</i>
<ul style="list-style-type: none"> • Promotion of the variety of information sources available
<i>Assessment undertaken:</i> December 2015 (see appendix 22)

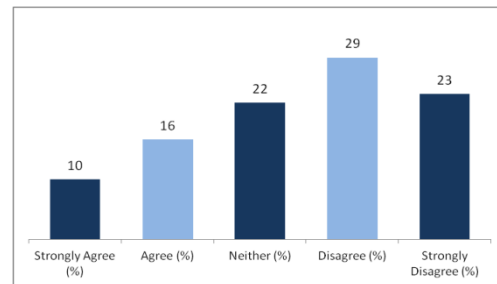
Inclusion Services – Special Educational Needs (2014)

Total Budget: £1,453,000
3 Year Savings: £200,000

2016 – 17	2017 – 18	2018 – 19
200	0	0

Description: When learners with a Statement of Special Education Needs leave school the Statement comes to an end. It is planned to reduce the level of funding provided to schools by giving up some of the funding associated with statements that expire. Consequently, there will be less funding available to schools to support children and young people with additional needs.

Average index score: -0.41
Overall Rank (of 29): 23
Sample Size: 644



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.47	0	-0.44	-0.51	-0.14	-0.57	-0.2	-0.6	-0.51	0	N/A
Sample	205	6	34	370	201	318	276	90	343	8	N/A

Key themes from the public consultation (171 comments):

- Proposal impacts upon vulnerable young people who need support
- May increase class disruption
- Support is currently under-funded. 30% cut is too great
- Reduced support may lead to further problems in future, such as increasing those NEET¹². Children deserve opportunities to fulfil their potential
- Stop pocket money for children in care.
- Mitigation: additional training to enable teachers to manage needs; greater involvement of charities who support disabled children

Other relevant information:

¹² Not in education, training or employment

- School governing body – council should have regard to the costs of implementing new national arrangements for supporting pupils with Additional Learning Needs

Councillor engagement:

- Issues are best tackled at an early stage in partnership with parents (budget seminar)

Equality Impact Assessment summary:

<i>Description of impact</i>
The change would involve delegation of funding to schools who then have greater opportunity to develop solutions fitting local need
<i>Affected groups:</i>
Pupils with a SEN requirement. The consultation shows most demographic groups oppose the proposal (notably disabled people, and the group most likely to have children at school – those 25-64)
<i>Mitigation</i>
<ul style="list-style-type: none"> • N/A
<i>Assessment undertaken:</i> December 2015 (see appendix 8)

Education Other Than At School (EOTAS) & Behaviour Services

Total Budget: £1,464,000

3-Year Savings: £50,000

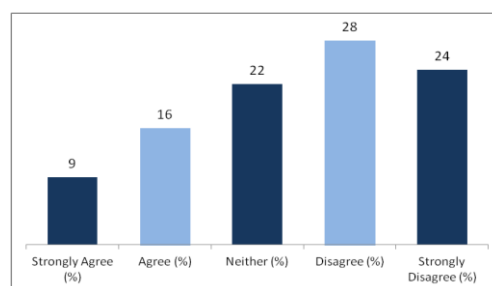
2016 – 17	2017 – 18	2018 – 19
0	50	0

Description: Remodelling behavioural management services, informed by the strategic review of current provision, which includes Rhydygors Day Centre. Possible impacts include a reduced service for schools in respect of behaviour support which could lead to higher exclusion rates.

Average index score: -0.42

Overall Rank (of 29): 24

Sample Size: 248



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.42	-0.38	0.33	-0.49	-0.28	-0.68	-0.17	-0.59	-0.44	-0.23	-0.45
Sample	53	8	3	160	53	116	105	34	95	13	33

Key themes from the public consultation (58 comments):

- Effect on education and attendance of young vulnerable people who need support
- Impacts on other children in mainstream schools; has a detrimental effect on pupil attainment, which could see an increase in anti social behaviour.
- Schools do not have the ability and support to provide the specialist assistance for pupils. Children with problems who are not helped and supported grow into adults with problems, which affects communities.
- Higher exclusion rates leads to unproductive adults in low paid or no jobs resulting in higher welfare costs.
- Parents should be more involved in the behaviour of their children.
- Mainstream education is not effective for all pupils, they need to be able to access the curriculum to gain skills that will benefit them and their community.

- **Mitigation** - alternative support ensuring young people are not isolated from mainstream; more support in local schools; behaviour management training for school staff.

Other relevant information:

- T&CC – a reduced service will significantly impact on quality and standards (St Clears)
- Disability Coalition – no difficulties, assuming service is maintained
- Equality Carmarthenshire – concerns about the impact on families with disabled children

Councillor engagement:

- N/A

Equality Impact Assessment summary:

Description of impact
Reduction of operational costs through redesigning service. Possible impact on exclusions and standards
Affected groups:
Children and young people (4-16) with special/additional educational needs; disabled children and young people (4-25); parents and carers. The consultation shows most groups are strongly opposed; in particular, women, disabled people and carers.
Mitigation
<ul style="list-style-type: none"> • The redesign will build the capacity of schools to meet needs within their own establishments • Redesign will include consideration of maximising support services, including: psychology; social, emotional and behavioural provision; and mental health services
Assessment undertaken: December 2015 (see appendix 23)

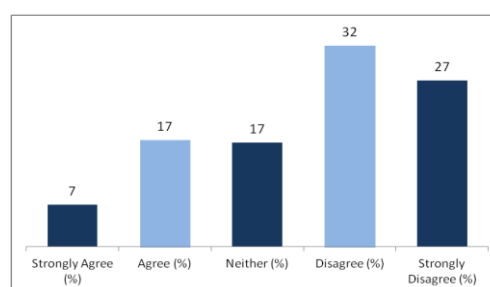
Local Authority Residential Homes for Older People (2015)

Total Budget: £4,355,000
3 Year Savings: £350,000

2016 – 17	2017 – 18	2018 – 19
0	0	350

Description: Implementation of alternative service model either through externalising the service or developing a Local Authority Trading Company model. This may compromise residents' ability to obtain a placement of choice close to family and friends.

Average index score: -0.55
Overall Rank (of 29): 25
Sample Size: 250



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.53	-0.33	0.33	-0.59	-0.54	-0.78	-0.33	-0.24	-0.38	-1.07	-1.06
Sample	57	9	3	160	54	115	108	37	95	14	33

Key themes from the public consultation (107 comments):

- Older people should be able to choose the location of their residential home, perhaps close to family and friends. A placement away from familiar surroundings could have a detrimental effect on social and mental wellbeing.
- Visiting hours impact on the family if not suitable with public transport timetables.

- Private homes expensive and unaffordable to many residents, driven by profit and maximising income rather than prioritising services.
- Quality of care provided at private homes not acceptable in comparison to the care received at local authority homes.
- More local authority homes required.
- Difficult to locate accommodation, even in an emergency situation.
- Staff need adequate training, decent wages and time to undertake tasks.
- Welsh language speaking staff required for residents who require it.
- Mitigation - limit the profits; more work on health promotion and exercise schemes to keep people active and independent longer; create a not for profit organisation instead of privatisation.

Other relevant information:

- T&CC – support for local authority trading company approach (St Clears)
- Disability Coalition – concerns over quality and standards

Councillor engagement:

- Clarity needed on the legal structure and governance arrangements for the service

Equality Impact Assessment summary:

<i>Description of impact</i>
The proposal will provide the same service standards to client groups, through a different delivery mechanism. Change is intended to help promote user choice
<i>Affected groups:</i>
Services are provided for older people; and disabled people; staff are predominantly female. The AIS shows all groups are against the proposal (except those 16-24)
<i>Mitigation</i>
<ul style="list-style-type: none"> • Consultation and engagement with affected groups to be undertaken • Rigorous monitoring of delivery standards • Regular consideration of the EIA as part of the governance arrangements for the project development process
<i>Assessment undertaken:</i> December 2015 (see appendix 18)

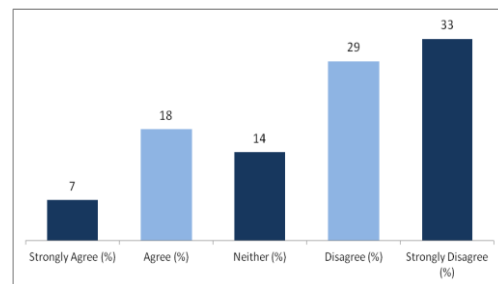
Flood Defence, Land Drainage & Coastal Protection

Total Budget: £393,000
3 Year Savings: £118,000

2016 – 17	2017 – 18	2018 – 19
50	42	26

Description: Reduction in preventative maintenance of flood defence and coastal protection assets potentially reducing our ability to react to future storm and severe weather events. Emergency works will have to be addressed through the re-prioritisation of departmental budgets.

Average index score: -0.63
Rank (of 29): 26
Sample Size: 246



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.78	-0.13	1.00	-0.6	-0.91	-0.75	-0.54	-0.89	-0.60	-0.69	-0.79
Sample	55	8	3	156	54	115	103	35	91	13	33

Key themes from the public consultation (65 comments):

- Proposal is penny wise and pound foolish – short term savings will be nullified by longer term costs (e.g. remedial works)
- Proposal is at variance with climate change predictions. Council should be preparing for an increase in flooding related incidents. Half measures will not adequately protect Carmarthenshire residents
- Recent events have brought to the fore the social and economic devastation caused by flooding – homelessness, loss of life etc.
- Flood defence spend is already low. Costs of one major flooding event will exceed proposed three year savings. Strengthening of defences needed
- A view that Natural Resources Wales should take greater responsibility
- Mitigation: prevention better than cure; prohibit floodplain developments; more effective planning; build resilient communities; community preparedness; artificial reefs to prevent coastal erosion (reduces wave energy)

Other relevant information:

- TCCLF – 3 year savings are a significant proportion of overall spend. Community councils likely to oppose the reduction
- T&CC – foolish given recent adverse weather (St Clears)

Councillor engagement:

- A lack of support, and a view this could be a ‘false economy’. A view that inspection needs strict prioritisation (budget seminar)

- Mention was made of the effects of global warming and recent floods in Cumbria. It was suggested that a lack of specialist vehicles to maintain gullies and culverts could lead to unnecessary flooding (Scrutiny).

Equality Impact Assessment summary:

Description of impact
Reduced preventative flooding and coastal protection works
Affected groups:
Communities in affected areas. The consultation shows all groups against (except 16-24) with a number strongly against, including people 65+ and disabled people
Mitigation
<ul style="list-style-type: none"> • Not giving permission to build on floodplains
Assessment undertaken: December 2015 (see appendix 24)

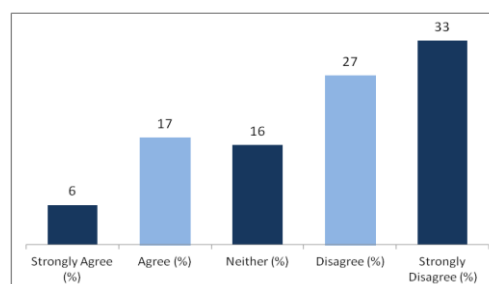
Highways Infrastructure maintenance

Total Budget: £7,082,000
3 Year Savings: £1,271,000

2016 - 17	2017 - 18	2018 - 19
512	478	281

Description: Reduction in routine maintenance of highways infrastructure assets (bridges, retaining walls / support embankments, drainage and highways/footway works). In practice, this means: a reduction in the number of gully emptiers; a reduction in the number of mechanical sweepers; a reduction in the general maintenance and response to category 1 (emergency) defects, such as potholes, flooding etc; mowing and weed treatment curtailed to address safety issues only with no general mowing and treatment taking place and, in respect of winter maintenance gritting, the current primary presalt routes will be reduced by up to 25%. Emergency works will have to be addressed through the re-prioritisation of departmental budgets.

Average index score: -0.63
Overall Rank (of 29): 27
Sample Size: 249



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.64	0.00	-0.33	-0.61	-0.74	-0.66	-0.6	-0.95	-0.43	-0.46	-1.06
Sample	55	8	3	160	53	116	105	37	93	13	32

Key themes from the public consultation (93 comments):

- Correlation between functioning transport network and local economy
- Proposal is a serious risk to public safety and will give rise to litigation
- Future trends – increase in adverse weather conditions (flooding, icy and snowy weather) and number of road users as population grows
- Important to retain emphasis on prevention – reactive measures will cost more than preventative measures
- Rurality – rural areas will be hardest hit by the proposal. Some roads said to be in a state of disrepair given low levels of maintenance. Concern that rural roads will become impassable, resulting in lost work days
- Impact on cyclists
- Mitigation – review payment structure (overtime); reduce spending on signage and traffic calming measures; reduce grass-cutting on highway verges; incentivise public transport; regional working; prioritise work on basis of seasons; keep maintenance work in-house

Other relevant information:

- Insight session – safety concerns shared; danger of ageing bridges; cut is significant and will hit rural areas; tourism impact; more effective repairs

- T&CC – concerns for safety and impact on tourism (St Clears)
- TCCLF – 3 year savings considerable. Community councils commented on how they could assist in identifying works of local priority, which could help ensure the best use of limited resources.

Councillor engagement:

- A lack of support. A general view that the saving may lead to longer term pressures, including increased exposure to litigation (budget seminar)
- Concern expressed over current state of roads/bridges; backlog faced and record against key performance indicators (Seminar)

Equality Impact Assessment summary:

Description of impact
Less routine highway maintenance
Affected groups:
Carmarthenshire’s road users. The consultation shows demographic groups are generally strongly opposed – particularly carers and the disabled
Mitigation
<ul style="list-style-type: none"> • Prioritise works in response to public consultation (reduce signage, cutting of verges, etc).
Assessment undertaken: December 2015 (see appendix 25)

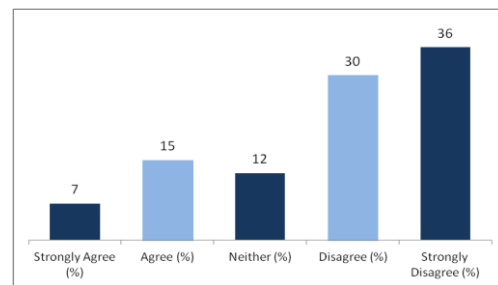
Inclusion Services - Special Educational Needs (SEN)

Total Budget: £1,983,000
3 Year Savings: £120,000

2016 - 17	2017 - 18	2018 - 19
120	0	0

Description: Remodel provision for Additional Learning support. This may result in reduced staffing and support for learners and could impact attendance and standards.

Average index score: -0.73
Overall Rank (of 29): 28
Sample Size: 250



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.60	-0.50	-0.33	-0.86	-0.66	-1.07	-0.50	-0.77	-0.75	-0.54	-0.94
Sample	53	8	3	161	53	116	106	35	95	13	33

Key themes from the public consultation (63 comments):

- Concerns that the proposal will have an adverse impact on SEN students in achieving their potential. Some holding this view considered that more, not less resource should be available to the service
- Support for the need to provide services to SEN students
- Any changes introduced to the service must secure fair outcomes for SEN students
- Comments suggesting that reduced provision will result in longer term costs for individuals and society
- Mitigation: hold inclusive community support groups for students struggling with key stage subjects; volunteers or parents to provide additional support

Other relevant information:

- T&CC - reduced service will impact on standards and quality of service (St Clears)
- TCCLF – some concerns raised, with members suggesting the broader trend is an increase in the need for SEN provision
- Disability Coalition – against the proposal, since service is needed at its present level
- Equality Carmarthenshire – concern about the impact on families with disabled children

Councillor engagement:

- N/A

Equality Impact Assessment summary:

Description of impact
The change would involve delegation of funding to schools who then have greater opportunity to develop solutions fitting local need
Affected groups:
Pupils with a SEN requirement. The consultation shows all demographic groups oppose the proposal (notably women, carers, and the group most likely to have children at school – those 25-64)
Mitigation
<ul style="list-style-type: none">• N/A
Assessment undertaken: December 2015 (see appendix 8)

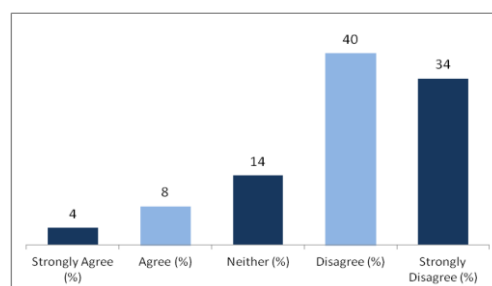
Short Breaks / Respite for Disabled Children & Young People

Total Budget: £338,000
3 Year Savings: £50,000

2016 - 17	2017 - 18	2018 - 19
50	0	0

Description: Reduce County Council's School Improvement team, reducing support for humanities subjects. Reduce scale of specialist provision out of school hours. The reduction of this funding will mean the likely closure of two Breakthro' services which serve the needs of children with disabilities, particularly supporting them through holiday periods.

Average index score: -0.93
Overall Rank (of 29): 29
Sample Size: 250



	Single	BME	16-24	25-64	65+	F	M	Dis-abled	Rel-igion	LGB	Carer
AIS	-0.89	-1.50	-2.00	-0.97	-0.8	-1.14	-0.8	-1.11	-0.70	-0.54	-0.91
Sample	55	8	3	160	54	116	106	36	94	13	33

Key themes from the public consultation (66 comments):

- A prevailing view that the proposal is unjust and targets vulnerable individuals
- Breakthro' recognised as a much needed service providing invaluable support to families
- Increased hardship. May result in family breakdowns, distress and more children in care (thereby straining foster care services)
- Respite provides an opportunity for disabled children to interact with others
- Lack of alternative support
- Taken together with other proposals, such as Inclusion Services – SEN, cumulative impact on disabled children and young people is considerable
- Mitigation – develop specialist family placement scheme; charge for service; work in partnership with voluntary sector

Other relevant information:

- T&CC - service users would be disadvantaged (St Clears)
- TCCLF – insufficient information to comment
- Disability Coalition – strongly against; parents need support
- Equality Carmarthenshire – concern about the impact on families with disabled children

Councillor engagement:

- A lack of support, due to the potential impact upon this vulnerable group (budget seminar)

Equality Impact Assessment summary:

Description of impact
Reduced provision could affect family life, isolation from peers; and an increase in looked after children
Affected groups:
Disabled children and young people, and their families. The AIS shows all groups are against the proposal
Mitigation
<ul style="list-style-type: none">• See consultation comments above
Assessment undertaken: December 2015 (see appendix 26)

4) DELIVERING SERVICES

In considering how to deal with sustained budget reductions, councils are examining the ways in which services can be delivered, including partnership working, delivery through the voluntary and/or private sectors and community ownership. The following outlines the public acceptability of delivering in these ways.¹³

	Preferred choice	2 nd choice	3 rd choice	4 th choice	last choice
Consumer protection	CCC (47%)	CCC & partners (47%)	Voluntary sector (20%)	Private sector (12%)	Community ownership (9%)
Council Housing	CCC (60%)	CCC & partners (39%)	Private sector (13%)	Voluntary sector (10%)	Community ownership (10%)
Council Housing Repairs	CCC & partners (51%)	CCC (45%)	Private sector (24%)	Voluntary sector (10%)	Community ownership (7%)
Environmental Health / Trading Standards	CCC (62%)	CCC & partners (43%)	Private sector (10%)	Voluntary sector (7%)	Community ownership (3%)
Services and facilities for older people	CCC & partners (57%)	CCC (51%)	Voluntary sector (27%)	Private sector (19%)	Community ownership (12%)
Services and facilities for ill and disabled people	CCC (54%)	CCC & partners (53%)	Voluntary sector (26%)	Private sector (16%)	Community ownership (10%)
Youth clubs & facilities for young people	Voluntary sector (50%)	CCC & partners (49%)	Community ownership (34%)	CCC (26%)	Private sector (17%)
Countryside Access	CCC & partners (42%)	CCC (38%)	Voluntary sector (34%)	Community ownership (28%)	Private sector (16%)
Waste & recycling	CCC (62%)	CCC & partners (41%)	Private sector (24%)	Voluntary sector (10%)	Community ownership (9%)
Leisure centres	CCC & partners (47%)	CCC (44%)	Private sector (33%)	Community ownership (23%)	Voluntary sector (14%)
Theatres & art galleries	Private sector (45%)	CCC & partners (42%)	Community ownership (36%)	Voluntary sector (30%)	CCC (26%)
Parks, including Millennium Coastal Park, open spaces	CCC (55%)	CCC & partners (45%)	Community ownership (29%)	Voluntary sector (18%)	Private sector (15%)
Playgrounds	CCC (49%)	CCC & partners (38%)	Community ownership (33%)	Voluntary sector (16%)	Private sector (12%)
Festivals and events	Private sector (50%)	CCC & partners (42%)	Community ownership (36%)	Voluntary sector (33%)	CCC (22%)
Bus services	CCC (50%)	CCC & partners (45%)	Private sector (36%)	Community ownership (9%)	Voluntary sector (8%)

¹³ Percentages will not aggregate to 100 as respondents could select multiple options

Bus shelters	CCC (46%)	CCC & partners (43%)	Private sector (26%)	Community ownership (18%)	Voluntary sector (8%)
Pavement maintenance / repairs	CCC (71%)	CCC & partners (37%)	Private sector (14%)	Voluntary sector (5%)	Community ownership (3%)
Road maintenance / repairs	CCC (76%)	CCC & partners (34%)	Private sector (12%)	Voluntary sector (3%)	Community ownership (2%)
Public car parks	CCC (60%)	CCC & partners (40%)	Private sector (16%)	Community ownership (11%)	Voluntary sector (3%)
Public conveniences	CCC (56%)	CCC & partners (42%)	Community ownership (20%)	Private sector (15%)	Voluntary sector (8%)
Street cleaning	CCC (65%)	CCC & partners (36%)	Private sector (18%)	Community ownership (11%)	Voluntary sector (9%)
Recycling facilities	CCC (55%)	CCC & partners (44%)	Private sector (28%)	Community ownership (10%)	Voluntary sector (8%)
Refuse collection	CCC (72%)	CCC & partners (38%)	Private sector (15%)	Community ownership (3%)	Voluntary sector (3%)
School transport	CCC (50%)	CCC & partners (42%)	Private sector (29%)	Voluntary sector (12%)	Community ownership (11%)
Street lighting	CCC (71%)	CCC & partners (36%)	Private sector (10%)	Community ownership (6%)	Voluntary sector (2%)
Planning services	CCC (73%)	CCC & partners (33%)	Private sector (12%)	Community ownership (3%)	Voluntary sector (2%)
Nursery education	CCC (53%)	CCC & partners (41%)	Private sector (27%)	Voluntary sector (20%)	Community ownership (14%)
Primary & Secondary education	CCC (84%)	CCC & partners (28%)	Community ownership (6%)	Voluntary sector (3%)	Private sector (3%)
Adult education	CCC (51%)	CCC & partners (48%)	Private sector (21%)	Voluntary sector (20%)	Community ownership (19%)

Respondents prefer Carmarthenshire County Council to deliver 22 out of 29 listed services. In these cases, alternative models of service delivery attracted variable degrees of support. To illustrate, 76% of respondents thought CCC should carry out road maintenance and repairs, 34% thought joint working (CCC and partners) was acceptable, whilst 12% felt this service should be performed by the private sector (also: vol. sector 3%; community ownership 2%).

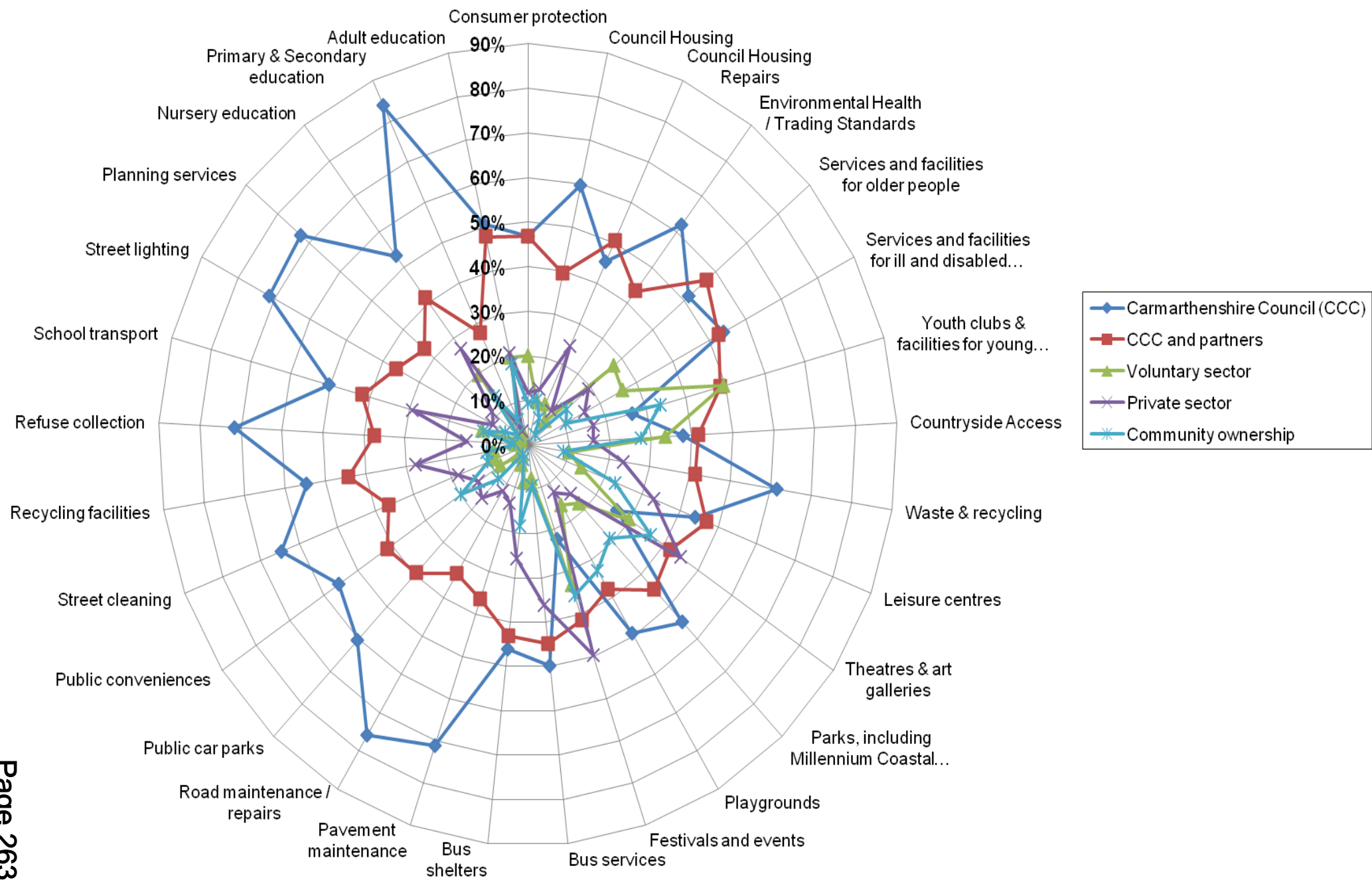
Only one in five (22%) thought the Council should deliver festivals and events in isolation and, similarly, around one in four (26%) thought youth clubs and facilities should be the sole responsibility of the Council, suggesting that respondents are amenable to the involvement of other stakeholders.

Delivery via the private sector is supported to some degree for a number of services, in particular those concerned with leisure and regeneration. Support for private sector involvement is highest for festivals and events (50%) and theatres and art galleries (45%) and lowest for education (3%) and environmental health / street lighting (both 10%). Generally, it takes up a position as the third most popular option, behind CCC and CCC and partners. In the main, service delivery models which transfer provision to the voluntary sector or local communities do not garner much support, although there are some exceptions (see youth clubs/facilities).

The chart overleaf is useful in showing the overall distribution/spread of values. It reinforces, for example, that delivery by Carmarthenshire County Council is typically the preferred option, attracting high degrees of support. In contrast, community ownership is tightly clustered around the lower percentage values though does have several outliers; attracting support for services such as festivals and events.

On the topic of delivering services in different ways, the following additional points were raised:

- Acknowledgement that it is not financially viable, nor cost effective, for the Council to provide all services
- Prioritising on basis of statutory / non-statutory functions is justifiable, however ceasing non-statutory services may have knock-on effects on statutory ones
- Pursuit of joined-up working strongly encouraged
- Service-specific comments, including a view that the (contentious) involvement of the private sector in matters such as planning, waste collection and environmental health could be counterbalanced by retaining directors in an overseer role



5) SUGGESTIONS FOR MAKING SAVINGS OR RAISING INCOME

As with last year, this budget consultation survey asked whether people had comments or suggestions about how the Council could save money or generate income. Given the commonality of issues raised, the approach to this section has been to combine the results from the previous budget consultation exercise with comments from this exercise.

In total, over 1105 comments were made through the public consultations.¹⁴ This section reflects the key themes.

The consultation demonstrates widespread **public understanding** of the financial constraints facing the Council. This is reflected in the many very realistic comments and suggestions made. However, where a view is expressed on the subject, the Council is encouraged to exercise restraint in respect of any rises to Council Tax.¹⁵

A number of comments were made concerning the **staffing structure** of the organisation. This is unsurprising given workforce cost is a major component of Council service delivery. It is typically felt that the need for management roles in general should be critically examined, and that the number, and salary, of senior management ought to be reviewed.

Furthermore, comments suggest the view that effective public service delivery depends to a great extent on staff at the '**front line**'. There is support for the view that maintaining high quality services relies on the 'front line' taking precedence over support and 'back office' functions. Councillors involved in budget consultation discussions have likewise generally supported the view that processes need to be as efficient as possible, in order services deliver the maximum value to the public.

A commonly held view related to reducing the costs associated with the **democratic process**, namely expenses, allowances and number of members. A number believed there was further scope for savings in this area.

A group of responses related to the **approach** the Council ought to take in considering the budget. There was support for the idea that there should be priority to statutory services, reductions should be fair and equitable, and that there should be no areas of protection. An alternative view with support was the idea that certain services need protecting – in particular, public transport, services for vulnerable people, and public toilets. This distinction was also in evidence in relation to each of the 52 proposals discussed earlier.

Another common view was that the Council should seek **different ways of doing things**. There was widespread support for further 3rd sector (charities and non-profit making organisations) involvement in service delivery, though much less support for private sector involvement, especially in areas such as social care. Some stressed the greater role that town and community councils could play in service delivery. Of

¹⁴ The breakdown of results is 970 (2014) and 135 (2015).

¹⁵ This should not be interpreted as indicating general opposition to Council Tax rises, rather that some respondents identified it as being an issue.

interest is evidence to suggest that reorganisation may be considered acceptable, if this enabled the quality of service delivery to be protected.

Other comments related to the need to further examine options such as asset transfer, and perhaps more radically, the establishment of a trading arm of the Council

Specific ideas for **saving money** included:

- Consider alternative service delivery methods (to include trading company, third or private sector options)
- Reducing the number of Council buildings and offices
- Outsource maintenance work to private contractors
- Reducing the frequency of domestic waste and recycling collection; consider privatising the service
- Reducing cutting schedules for highway verges, or just maintaining areas such as junctions
- Use of libraries as mini Customer Service Centres
- Reducing street lighting (see specific proposal)
- Reducing publicity and marketing
- Printing documents in either Welsh or English, according to language choice
- Not allowing fleet vehicles to be taken home; and replace less frequently
- Flagship projects are not a priority and can be a drain on resources (sports and entertainment specifically referenced)
- Reducing expenditure on traffic calming measures and unnecessary signage
- Suggestions in relation to council housing. These included reducing voids, undertaking only necessary upgrades, and transferring upkeep to tenants

A number of suggestions for savings were made specifically in relation to the **internal arrangements** of the Authority:

- Share more functions with neighbouring authorities and other public sector organisations
- Cut all forms of waste
- Challenge every budget to ensure value for money
- Undertake a 'zero-based' budget review every five years
- Cut 'back office' provision within the Council and its departments
- Regularly process map procedures to ensure they work in most efficient way possible
- Ensure that procurement achieves best value for money
- Review Council structure and merge departments where this represents an efficiency
- Addressing energy use in Council buildings (heating and lighting)
- Delivering more through competitive tenders (Technical Services)
- Prohibit use of consultants

Furthermore, a number of ideas were put forward concerning **maximising income**.

- Greater use of school premises to generate income
- Increasing Council Tax on second homes and charge business rates on holiday and 'buy to let' homes
- Charging for the issue of concessionary bus passes

- Linking all charges to the CPI (consumer price index)
- Selling surplus Council assets (land and buildings, etc.)
- Investment in renewable energy schemes
- Investment in a waste-to-heat plant, producing energy from non-recyclable waste incineration
- Consideration of roundabout sponsorship, and sponsorship of appropriate services (e.g., waste collection sponsorship by fast food companies)
- More effective enforcement of parking charges
- Increasing debt collection rates

Councillor engagement

The involvement of councillors is critical to effective engagement in respect of the budget consultation. The following issues were highlighted through the councillor budget seminars, or through scrutiny committee budget discussions.

Statutory provision – such services must be provided, but (as with other services) judgements need to be made concerning the quality specification of service delivery.

Collaboration - which results in cost savings - should be exhaustively pursued. For instance, it is sensible to link with Local Service Board organisations when considering requirements for office space. Furthermore, consideration should be given to the most efficient configuration of highway depots. Can we share facilities with other organisations to achieve savings?

Alternative service delivery – more information for members on alternative delivery models and implications. Theme relates to leisure provision, ‘outsourcing’ of home care etc but also to the general question of what the Council is doing to prepare the 3rd sector for a potentially greater role in service delivery. Consideration should also be given to the development of a trading arm as a source of income.

Performance – consideration of the financial, or other, impacts of reducing performance in particular areas of service delivery. This will assist in addressing financial challenges in a way that continues to meet public needs.

Further issues included:

- **Cuts elsewhere** – considering what can be learnt from looking at examples in England.
- **Integrated services** – there is a need to ensure obligations are met at the interface with social care. Additional concerns arose in respect of growing demands for social care (given demographic trends)
- **Workforce** – a need to develop a greater pool of generic job roles across council services; consideration of the role of the severance scheme in reducing costs
- **School reserves** – work with schools to support use where prudent
- **Back office functions** across the Council. Examine, with a view to achieving reductions.
- **Third sector¹⁶ grants** - review corporate impact to ensure value for money.

¹⁶ The term third sector refers to organisations includes charities and other not for profit organisations.

- **Asset transfer** - discussions need to be concluded with greater urgency, where there is agreement. Disposal of assets should be undertaken as soon as under-utilisation is identified.

6) SCRUTINY COMMITTEES:

COMMUNITY SCRUTINY 10th December 2015

The Committee considered the Revenue Budget Strategy 2016/17 to 2018/19 (Appendix A) which had been endorsed by the Executive Board for consultation purposes at its meeting on 16th November 2015. It was advised that Welsh Government (WG) had announced the provisional settlement the previous day and that Carmarthenshire would see a 1% cut in budget rather than the 3.3% on which the Strategy was predicated. WG was also protecting schools budgets although the extent of the protection was as yet unclear. The Strategy had been based on there being no protection of school budgets. There had been no indication for the settlement in future years. In summary, the shortfall in efficiency savings identified for 2016/17 might not now be needed, however delivery of the £13.6m identified savings was essential. Council tax was set to increase by 5% in the Strategy and a 1% movement equated to £760k.

The following issues were discussed during consideration of the report:

It was proposed and seconded that the report be deferred given the uncertainties surrounding the settlement. The Group Accountant advised that it was important that Members commented on the proposed efficiency savings as these would need to be confirmed early in the New Year. Deferring the report would not allow this. Following a vote, the motion was defeated.

(In accordance with CPR 16.5, Councillors S.L. Davies, T. Devichand and R. Thomas asked that their vote in favour of the motion be recorded.)

It was asked if the managerial saving proposals of realignments in Leisure and Sports services had previously been brought to the Committee's attention. The Head of Leisure & Sport confirmed that they had over the last 2 – 3 years.

It was asked whether or not there was a proposal to amalgamate leisure facilities particularly within the countryside function. The Head of Sports & Leisure advised that the proposal to deliver certain functions via a Trust included sports and leisure facilities as well as theatres. The majority of countryside facilities would remain under the control of the Authority however consideration was being given to including the Ski Centre in Pembrey Country within the Trust. In response to an additional question, he reminded the Committee that it had considered a detailed report looking at management options for sports and leisure services last September. This had included the rationale for proposing a Trust in terms of cost benefits and income generation for services where there was market experience. The next steps were to develop a tender which could take 6 months or so and then to test the market. The final decision would rest with Elected Members.

It was asked if staff transferring into the proposed Trust under TUPE arrangements would have their terms and conditions protected, particularly in relation to zero hours contracts. The Head of Sports & Leisure stated that prior to the process being completed there would be a period of competitive dialogue during which these issues would be explored. The Authority's existing policies aim to steer away from zero hours contracts and any Trust would be required to join the Dyfed Pension Fund for any staff transferring over. It was also intended to ask any potential partners what they had done in the past with other authorities and also what their intention was for staff and workforce practice here. Another driver could be that potential partners may wish to bid for contracts elsewhere in the region and would therefore be seeking to develop positive relationships with staff and the authority as potential referees. It was not possible however to guarantee the terms and conditions of transferring staff in the future, just as there are no guarantees if the service were to stay 'in-house' with

the authority. A number of positive workshops had been held with staff and trade unions regarding a potential transfer and its implications, and further information was available to all staff via the Council's intranet site.

A question was asked about the level of research that had been done regarding trust models and their sustainability, particularly within such a competitive market as leisure. The Head of Sports & Leisure confirmed that a significant amount of research had been done through visiting and speaking to other authorities with trusts and using a consultant with expertise in the area to appraise the various options. There were examples of successful trusts elsewhere in Wales, in England and the majority of leisure services in Scotland were delivered through trusts. He reminded the Committee that the division had delivered significant savings over the last 5 years however the level needed from 2017/18 onwards meant that the facilities would not be sustainable under the current arrangements and the alternative may be closures or a significant reduction in opening hours.

It was asked if a subsidy would be required to support a trust model. The Head of Sports & Leisure advised that some facilities would always require subsidies given their nature and location. A trust model would reduce the subsidy level significantly as it would get 80% rate relief which equated to around £500k per annum for the whole of Leisure. It would also have more freedom to trade commercially which was needed in a competitive sector.

The latest position regarding the Archives service was requested. The Head of Sports & Leisure stated that a report had recently been considered by the Executive Board which had decided that the Archives should be retained in Carmarthen or within the county if possible. A tender process had been completed for the removal of collections for specialist cleaning by a company in Oxford and temporary storage in Glamorgan Archives. Options within the county and Carmarthen were being carefully considered with potential partners such as the University of Trinity Saint David. There was also some merit in having discussions on a regional basis in terms of identifying strategic leads and the digital service agenda.

Further information was requested in relation to the efficiency proposal within Minerals and Waste. The Head of Planning Services clarified that the service was being reviewed via the TIC process. Seven different agreements were currently in place, with inconsistencies in how information was obtained from other authorities and how payments were made. She would be meeting with all the authorities early in the New Year and was also aware of some other authorities who were interested in using the service. It was therefore important to understand the level of resources that was required to deliver it.

Forward Planning was referred to and it was asked what issues could affect this in the future. The Head of Planning Services advised that the Local Development Plan (LDP) adopted last year required review every 4 years to ensure it was still fit for purpose in terms of meeting needs. The new Planning Act required Welsh Government (WG) to produce a National Development Framework (NDF) for public consultation in 2017. The LDP would have to reflect the content of the NDF. There might also be Strategic Development Plans (SDP) in between to consider and plan cross border issues such as housing demand in an integrated way. WG had already suggested Cardiff and Swansea and surrounding counties as potentially needing a SDP (Carmarthen might therefore be included). She advised that authorities were able to make Expressions of Interest (EOI) for a SDP as of now however it would need a considerable amount of research to underpin the EOI.

It was asked what the impact of reducing grants to Women's Aid and Shelter would be given the importance of the work of both organisations. The Housing Services Manager advised that this was the third year of a planned reduction in grant that both

organisations were committed to. Both were also supported in other ways that were appropriate such as the co-location of Shelter in Eastgate which had resulted in closer working relationships.

Further information was requested in relation to the efficiency savings proposed for the mobile library service. The Head of Sports & Leisure stated that the provision would be largely retained and most of the savings were from reducing the cost of the vehicles. Replacing the current fleet with more agile and accessible vehicles was being considered.

It was noted that the Housing (Council Fund) budget estimates over the next 3 years remained largely static. It was asked if these were liable to change. The Housing Services Manager advised that these were conservative estimates as the service needed to understand the implications of the new Housing Act which had some WG grant funding at the moment. The Group Accountant added that the budget estimates reflected validation and any growth areas less the efficiency saving proposals over the next 3 years.

An update was requested in relation to Burry Port Harbour. The Head of Leisure & Sport stated that colleagues in the Environment Department were developing a brief for the dredging and other maintenance issues including the Harbour walls. They were also looking to appoint contractors via the framework to take this work forward. He would report the cost of the tender and timeline going forward. In response to an additional question, he confirmed that the mooring fees had been frozen for the last couple of years because of the access issues caused by the siltation of the Harbour.

It was noted that there were limited increases planned for fees within culture and heritage. The Head of Leisure & Sport advised that there was realistically little potential to increase fees for theatres in particular and also it was important not to set income targets too high in case they could not be met. Both charging and income targets had been challenged by the HoS, however, the Theatres Management team felt that the proposals were realistic and deliverable given the current market.

It was asked why some charges in leisure had not been implemented in the previous year. The Head of Leisure & Sport stated that some charges such as those in Pitch and Putt were the maximum and managers had discretion to reduce them for certain groups. In some cases they had not been fully implemented and this was being discussed further with the relevant site manager.

RESOLVED to:

6.1 Receive the report

6.2 Endorse the charging digests.

ENVIRONMENTAL AND PUBLIC HEALTH SCRUTINY 11th December 2015

The Committee considered the Revenue Budget Strategy 2016/17 to 2018/19 (Appendix A) which had been endorsed by the Executive Board for consultation purposes at its meeting on 16th November 2015. The Interim Head of Financial Services advised that Welsh Government had announced the provisional settlement earlier that week (9th December) and that Carmarthenshire would see a 1% cut in budget rather than the 3.3% on which the Strategy was based. Whilst the settlement would mean an extra £7.5m for Carmarthenshire, most of this additional funding would be allocated to cover other requirements such the shortfall in efficiency savings and the recently agreed Employees Pay Offer. He added that the extent of the Welsh Government's protection of schools budgets was as yet unclear, even though the Council's strategy had been based on there being no protection of school budgets. The Director of Environment and the Public Health Services Manager also gave a brief overview of their respective service areas.

The following issues were discussed during consideration of the report:

Reference was made to the Welsh Government's settlement announcement and it was asked whether the figures outlined in the budget strategy would change and if so, would this not make consideration of the report irrelevant. The Interim Head of Financial Services strongly advised the Committee to consider and comment on the proposed efficiency savings and charging digests as delivery of the identified savings was essential and these would need to be confirmed early in the New Year. Deferring the report would not allow sufficient time for this.

Reference was made to the Environment Department's Policy & Performance Division and it was asked whether this, as an administrative function costing in excess of £900,000, should also be bearing significant efficiency savings when front-line services were being reduced or cut. The Director of Environment reminded the Committee that in order for the department to operate successfully, there would always be a need for a back-office function. However, there were always opportunities to make such functions more efficient and that this would be looked at as part of other corporate initiatives to rationalise back-office services, systems and infrastructure.

It was suggested that there was a dichotomy between the information presented in the report relating to public lighting and the information provided to members at the Environment departmental budget session earlier in the week. It was claimed that whilst the report stated that the proposal was to reduce operating costs without turning lights off, the information at the seminar indicated that the savings might not be achieved and would result in total shut-off of the public lighting system. The Street-Scene Manager clarified that the Welsh Government Invest to Save funding would be used to install LED lighting and timers for part-night illumination during the first two years. The scheme would then be evaluated to assess the extent of its success against expected outcomes. The Director of Environment added that the business case had been developed on the basis that the savings would be realised but an evaluation would still be required after two years.

It was asked whether the managed car pool system savings of £200,000 would be achieved if other departments did not sign up to the scheme and clarification was sought as to how the pool cars were monitored to prevent misuse. The Head of Transport & Engineering informed the Committee that staff mileage in the current year had reduced significantly and the proposal was to roll-out a managed pool car scheme per building/site across the Authority to assist with the savings target and this would impact on all departments. The business case included a proposal to fit the pool cars with a GPS tracking system to monitor performance and active monitoring of mileage was required. Approximately 75% of the Authority's existing vehicle fleet was already fitted with tracking devices.

Reference was made to the proposal for charging for post-16 transport and it was suggested that it should not be included in the budget report prior to the findings of the recent consultation. The Executive Board Member for Technical Services reminded the Committee that this was included in the proposals as it had been passed as part of the 2015/16 budget by County Council in February 2015. The Head of Transport & Engineering acknowledged elected members' feelings on this issue but reminded the Committee that officers were seeking to sustain the service for a modest charge of circa £5.60 per week and that following the extensive consultation, a report would be presented to elected members in due course. The Director of Environment noted that if the charge was not introduced, there would be a £516,000 gap which would need to be found. This might lead to a removal of the service completely. The proposal presented, sought to avoid this.

It was suggested that the annual budgetary proposals were about what the Council wanted rather than what residents needed and that there was no reference to opportunities to income generate. The Director of Environment noted that the proposals did include some income-generating proposals but it was an option that should be given more consideration.

It was asked what alternatives were in place for schools who faced not only cuts to their budgets but the loss of a school crossing patrol operative. The Executive Board Member for Technical Services reminded the Committee that assessments were made for all schools and where a road was deemed safe and a patrol was not required, such positions would not be re-advertised. However, no existing patrols were being removed. The Head of Transport & Engineering informed the Committee that where there was a vacancy, the Authority would always seek to recruit and when there had been difficulties covering absence due to illness or leave, schools and Police Community Support Officers had been contacted to

provide assistance. In response to an additional suggestion that teaching staff could undertake crossing patrol duties, the Head of Transport & Engineering confirmed that the Authority's insurance would indemnify school staff if they were required to undertake such duties on behalf of the Authority. He added that the assessments for the respective school sites (a Royal Society for the Prevention of Accidents assessment template), could be made available to local members if required.

Concern was expressed at the effects of global warming and reference made to the recent flooding in Cumbria. It was also suggested that the lack of specialist vehicles to maintain and empty gullies and culverts could also lead to unnecessary flooding in some areas of the county. The Street-Scene Manager clarified that the proposals outlined in the report would affect the provision of new works, but much of the County's flood defence infrastructure has been upgraded to modern standards over the past 10-15 years. Routine maintenance works on the existing defences would continue to be prioritised and the further development of flood risk plans would allow the Authority to target resources where required.

It was asked whether the current task and finish review of car parking charges would have any impact on the proposed 20p increase in car parking charges, outlined in the report. The Executive Board Member for Technical Services stated that this was also included in the proposals as it had been passed as part of the 2015/16 budget by County Council. Upon taking on her portfolio, she had requested that this not be implemented in 2015/16 and wished to wait for the Task and Finish Group to make its proposals.

Serious concerns were expressed at the state of the county's highways and bridges, the backlog of work that faced the Authority and its continued poor performance in respect of key performance indicators. It was also suggested that the Authority would be open to litigation due to poor maintenance of its infrastructure and it was asked when the corporate manslaughter development session, requested in a previous meeting, would be provided for elected members. The Executive Board Member for Technical Services acknowledged the concerns but reminded the Committee that Carmarthenshire did have the second longest highway network in Wales and that whilst it appeared that highway services were being reduced, officers were seeking to work in more effective and efficient ways in order to minimise the effect on these front-line services. The Assistant Consultant informed the Committee that its request for a development session had been included on the Elected Members' Development Programme but that a date had yet to be finalised. He agreed to clarify this with the Learning & Development Unit.

In response to a question on the tendering exercise for future waste and recycling services, the Street-Scene Manager informed the Committee that a significant

amount of work had been undertaken to date, especially in conjunction with the Authority's Legal Services. Whilst no further details could be disclosed at this stage, the interim contract with CWM Environmental was still in place and he assured members that progress was being made with respect to scoping and preparatory work to provide valuable information to inform the debate with regard to the best solution for the future.

Concern was expressed at the potential 25% reduction in the Sustainable Waste Management (SWM) Grant and how this would impact on the Authority's ability to meet the Welsh Government's expectations in relation to reducing waste and increasing recycling. The Interim Head of Financial Services noted that at the time of writing, the forecast had been up to 25% but recent indications were now of a 6.5% reduction (approximately £250,000) for Carmarthenshire.

It was suggested that the information provided in relation to the pumping stations in Appendix A(ii) was insufficient and further detail was requested. The Director of Environment informed the Committee that officers had since been in discussions with Welsh Water which would now carry out the work on behalf of the Authority and meant that these pressures would not now be as great. Discussions were on-going but more details could be provided for the Committee in due course.

It was asked why the Authority was continuing to fund CCTV operations as members were of the understanding that this service had ceased. The Community Safety Manager reminded the Committee that whilst the Executive Board had decided to cease 'live' monitoring of the cameras, it had made a commitment to cover on-going costs relating to the operation of the cameras, namely the electricity and links. The Police were able to review the recordings taken by the cameras should they be required in conjunction with a particular incident. However, the Police's contribution in the future had yet to be determined due to a Force review of the future use of CCTV. The Authority did not have any contractual agreements with the cameras' manufacturers/suppliers but a legal agreement between itself and the Police was being drafted in order to clarify the roles, responsibilities and financial contribution of each organisation in the future.

Reference was made to licence fee increases as it had been noted in a previous meeting that these would be reviewed. The Public Health Services Manager reminded the Committee that due to previous legal challenges brought against other local authorities, the Authority could only charge fees to cover the cost of its work and was not permitted to make a profit. She also reminded the Committee that this was the subject of the next item on the agenda.

Clarification was sought as to the funding prognosis for the Bwcabus service and its future operations. The Head of Transport & Engineering acknowledged that this was a flagship service and dialogue with the Welsh Government was on-going in order to secure future funding. A detailed report was also being prepared for the relevant minister.

In response to a question about fees for sports pitches, the Executive Board Member for Technical Services informed the Committee that a meeting between officers and sports clubs representatives was scheduled for January. She believed that agreements had been reached with most clubs although there were some difficulties with other clubs which had declining memberships (e.g. lawn bowls).

Clarity was sought as to whether vets inspection costs were included within the proposed dog breeding and riding establishment fees. The Public Health Services Manager stated that there might be specific contracts in place with certain veterinary providers for these services but that she would clarify this for the Committee.

RESOLVED that the report be received.

Social Care and Health Scrutiny 14th December 2015

The Committee considered the Revenue Budget Strategy 2016/17 to 2018/19 (Appendix A) which had been endorsed by the Executive Board for consultation purposes at its meeting on 16th November 2015. It was advised that Welsh Government had announced the provisional settlement earlier that week (9th December) and that Carmarthenshire would see a 1% cut in budget rather than the 3.3% on which the Strategy was based. The Welsh Government was also protecting schools budgets although the extent of the protection was as yet unclear. The Strategy had been based on there being no protection of school budgets. In summary, the shortfall in efficiency savings identified for 2016/17 might not be needed however, delivery of the £13.6m identified savings was essential. Council tax was set to increase by 5% in the Strategy and a 1% movement equated to £760,000. The Director of Community Services also gave a brief overview of the Social Care Service area.

The following issues were discussed during consideration of the report:

It was asked how the Authority addressed schools with budget deficits. The Interim Head of Financial Services informed the Committee that in such circumstances, a school would be required to produce a plan to show how it was intending to address its budget deficit. The Director of Community Services noted that very often, schools budgets were affected by falling pupil ratios and it was essential that schools had effective and appropriate financial arrangements in place. The Authority did have powers to intervene in certain situations. In response to an additional question regarding the uncertainty around protecting school budgets, the Interim Head of Financial Services noted that the Welsh Government was usually quite explicit about how it wished budgets to be protected and so forth. However, following the recent announcement, there was no further guidance on this matter. A meeting of senior local authority officers and the Welsh Government had been held and further discussions were planned in order to come to an agreement and gain clarity on the matter.

An explanation for the reduction in grants to voluntary organisations in relation to Older People & Physical Disabilities and Learning Disabilities Services was sought. The Director of Community Services informed the Committee that the reduction was in relation to the way in which the Authority was now buying provision from these organisations. The Authority was now moving to spot contracts where it paid for the services it used rather than via block contracts and was a far more efficient method of procuring services. In response to a suggestion that these reductions could be spread over three years, the Interim Head of Mental Health & Learning Disabilities Services noted that this could be considered but informed the Committee that some of the reductions had been planned for some time, one example being the Llanelli & District Gateway Club which was due to close in the near future. Other reductions such as the £65,000 for Mencap had been built-in to recently agreed grant funding. The Director of Community Services reassured the Committee that the reductions in grants did not mean that the affected organisations would close and was part of an on-going efficiency drive and that officers had been working closely with the relevant groups.

Clarification was sought with regards to progress in implementing alternative service models for the Local Authority's Residential Homes for Older People either by externalising the service or developing a Local Authority Trading Company model. The Director of Community Services reminded the Committee that this had been approved by County Council following consideration of the Carmarthenshire Vision for Sustainable Services for Older People 2015-2025, at its meeting in October 2015. A business plan was being developed for what was a complex proposal and would

be presented to the Committee later in 2016. In response to a further question, the Director advised the Committee that there were a variety of models that could be adopted as well as a number of freedoms delegated to the arms length entity by the Authority, which would remain as the main shareholder. He assured the Committee that the detailed report would provide members with a range of options for its consideration.

In response to a query regarding the reasons for the reduction in private sector residential home placements, the Head of Integrated Services noted that the Delayed Transfers of Care performance did not mean that the Local Authority was not providing social care and that there were often health-related problems which prevented transferring older people from hospital beds back in to their homes or other residential settings. She added that the Transfer of Care & Advice and Liaison Service (TOCALs) provided a real opportunity to work with hospital staff to further progress and improve performance in this area. The Welsh Government had also informed Health Boards that it expected to see improvements in discharge planning.

In response to concerns expressed at the proposed increase in charges for Meals on Wheels, the Director for Community Services reminded the Committee that the increase was not about closing the service but about cost recovery and ensuring that funding to provide this service was not taken from other service areas. The Director also reminded the Committee that the reality was that the demand for this service was changing significantly. Many individuals, who may have previously received meals in their homes, were now buying frozen meals which could be heated at a time of their choosing. Officers were now working with the WRVS (Royal Voluntary Service) who had been tasked by the Executive Board Member for Social Care & Health to look at how the service could be enhanced to cater for more than just meal delivery, with a special focus on preventing loneliness.

Following further discussion regarding the proposed increase to charges for Meals on Wheels (Appendix Ai) and Community Meals (Appendix C), it was suggested that increasing these charges across three years be explored, rather than introducing it in 2016/17. The Committee agreed to this proposal.

It was asked whether the larger national voluntary organisations operating within the county could operate services by sub-contracting through smaller local groups. The Director of Community Services acknowledged that this was a way in which smaller local groups could be safeguarded and supported and that the Authority had a role to play in ensuring that this was included in any procurement exercise. However, it was often the case that voluntary groups had seen each other as competitors rather than seeking to work together to offer the best services to the county's residents.

RESOLVED that:

- 7.1 The Corporate Budget Strategy for 2016/17 – 2018/19 be received.
- 7.2 The Charging Digest for the Social Care & Health Department be endorsed.
- 7.3 The option for spreading the proposed increases in Meals and Wheels and Community Meals across three years, be explored.

POLICY AND RESOURCES SCRUTINY 6th January 2016

The Committee considered the Revenue Budget Strategy 2016/17 to 2018/19 (Appendix A) which had been endorsed by the Executive Board for consultation purposes at its meeting on 16th of November 2015. It was advised that Welsh Government (WG) had announced the provisional settlement on the 9th of December and that Carmarthenshire would see a 1% cut in budget rather than the 3.3% on which the Strategy was predicated. This equated to an additional £7.5m for the 2016/17 budget however this also included the Outcome Agreement Grant. WG had

funded £35m to protect education and £21m to protect social care on an all Wales basis which equated to £2.1m and £1.3m respectively for Carmarthenshire. It was still unclear what the protection of school budgets entailed. Eleven grants had not yet been confirmed however the reduction in the Waste Grant (now the Single Environment Grant) was far less than anticipated at 6% rather than the 25-50% which was previously indicated by the Minister. In summary, the deficit in efficiency savings identified for 2016/17 would not now be needed, however delivery of the £13.6m identified savings was required.

Concern was expressed about the timing of the WG announcement of the final settlement in early March, given the need to set the level of Council Tax by 11th of March. It was asked what might be the impact of any variations in the final settlement. The Director of Corporate Services advised that this was difficult to answer. A means of accommodating minor adjustments were being planned for and WG officers had previously indicated that they were not anticipating much movement. The picture would be clearer in early February following the end of the consultation period on 20th of January. The overall timescales and the lateness of the announcements were linked to the Westminster Comprehensive Spending Review.

Disappointment was expressed that the protection of education was unclear. The Director of Corporate Services stated that our Strategy is to plan to passport the £2.1m onto schools which would reduce the efficiency savings they were expected to deliver in 2016/17 to £3.4m. The Chief Executive advised that he was representing Local Government in dialogue with WG about the protection of education. It was his understanding that all local authorities were planning to pass their share of the £35m onto schools. There was also ongoing dialogue about potentially including £90m specific education grants in the Revenue Support Grant (RSG) which would mean £5.4m more for Carmarthenshire. He added that 4 rural authorities had suffered the highest cuts under the provisional settlement and WG was proposing a rural deprivation grant of £5m to assist them.

It was noted that the benchmarking of support services across Wales had been referred to in the member budget seminars. An update was requested. The Director of Corporate Services stated that the Regional Treasurers Group of 6 local authorities was working through the KPMG report commissioned by WG to consider the reasons for any variations. It was however some months from conclusion.

The Charging Digest was referred to and it was asked why some fees had not increased. The ACE Regeneration & Policy advised that generally increases were based on inflation however some within her remit were statutory fees, whilst others were set on a market basis. The Director of Corporate Services added that the general policy was that fees should be increased at a minimum in line with inflation unless there was a justified reason not to, for example, the level of inflation was sometimes so low that the administrative cost of implementing an increase outweighed the benefit.

Further information was requested in relation to the new charge for payroll overpayment invoicing of external organisations. The Interim Head of Financial Services advised that that the charge would be applied where organisations had not notified payroll of transfers or terminations.

RESOLVED to:

6.1 Accept the report.

6.2 Endorse the Charging Digest.

7) SCHOOL BUDGET FORUM 19TH NOVEMBER 2015

The Interim Head of Financial Service addressed the Forum and circulated a report entitled "Revenue Budget Strategy 2016/17 to 2018/19". The Executive Board, in September 2015, received a report on the Revenue Budget Outlook for 2016/17 to 2018/19 which appraised members of the financial outlook and the proposals for taking forward the budget preparation for the 3 year period.

Current Medium Term Financial Plan

	2016/17	2017/18
Council Tax Rise	5.0%	5.0%
Efficiencies Required (Schools)	£18.2m (£7.4m)	£13.8m (£6.5m)
Welsh Government Funding	£244.15m	£236.09m

Forward Financial Plan

WG Settlement Assumptions

- Comprehensive spending review due 24th November 2015
- Provisional settlement 9th December 2015.
- WG setting final budget 1st March 2016.
- Final settlement 2nd March 2016
- Council Tax setting meeting 10th March 2016
- 1 year settlement figures
- Outlook reflects annual 3.3% reductions in the WG settlement (£8.6m in 2016/17).

Headline Figures

Forecasted overspend at Departmental level - £2.3m

Main Validations (1)

- General inflation 0.6% (Yrs 16/17); 1.4% (Yrs 17/18); 1.8% (Yrs 18/19)
- Pay Awards: 1% per annum
- Fuel: -12.5% (Yrs 16/17); 3% per annum
- Energy Costs 3% per annum

Main Validations (2)

- National Insurance rebate of 3.4% for staff in pension funds removed in 2016/17: £4.1m
- Auto Enrolment from April 2017: £1.6m
- The Teachers Pension Scheme – rate increased from 14.1% to 16.4% from 1st September 2015. Additional £575k cost in 2016-17.
- Council Tax modelled at 5% increase per annum.

A copy of the power point presentation will be circulated to Forum members.

The Interim Head of Financial Services was thanked for his presentation and attendance at the meeting.

The Chief Education Officer addressed the Forum and shared the information discussed at the Members Budget Consultation meeting held on the 18th November regarding School Budgets.

Schools Funding

- Last year for WG funding protection for schools 2015/16
- Current proposals assume no service protection going forward
- Target saving for schools:
2016-17 £5.5m (4.9%)
2017-18 £6.0m (5.5%)
2018-19 £6.7m (6.4%)

Total: £18.280m

The Chief Education Officer informed the Forum that further discussions will be undertaken regarding efficiency savings:-

- Benchmarking exercises – teachers; support staff, TLRs;
- Back office remodelling
- Collaboration
- Supply insurance and cover
- Impact on EVR/Redundancy budget
- HR advice and support
- Impact on Service Level Agreements
- Procurement
- Protection for small schools for 1st year

The Chief Education Officer will provide all schools with a copy of his power point presentation

The Director of Education and Children stated that it is inevitable that money will be taken out of the system. All schools will be required to work collaboratively to reach the savings required.

The Head of Ysgol Bro Banw asked if information had been received regarding the statutory Regulations relating to the Foundation Phase. The Chief Education Officer informed the Forum that he is attending the Ministers Annual Meeting on the 18th November and will be asking this question at that meeting.

The Chief Education Officer will update Forum members.

8) CONSULTATION MEETING WITH THE TRADES UNIONS

Corporate Employee Relations Forum - Budget Consultation 22 October 2015

Present: Caroline Green (CG), GMB Branch Secretary
Mark Evans (ME), UNISON Branch Secretary
Mark Preece (MP) UNITE Branch Secretary
Chris Moore (CM) Director of Corporate Services (part meeting)
Paul Thomas, (PT) Assistant Chief Executive (part meeting)
Robert Jones-Young (RY), Deputy HR Manager

The Director of Corporate Services referred to the Preliminary Executive Board Report (14/9/15) - Revenue Budget Outlook 16/17 to 18/19 - which had been circulated in advance of the CERF meeting.

The Director of Corporate Services stated that WG provisional budget would not be released until 8th December, two months later than is usual. Assumption made that budget will reduce by 3.3%

Updated report to be taken to Executive Board on 16 November which will trigger round of consultation with stakeholders.

The Director of Corporate Services estimated that £40 million of savings would need to be made over the next three years.

Assumption made that, unless Welsh Government confirm a level of protection for schools, education budget would be reduced in line with other services.

Trade unions considered that there are areas where efficiency savings can be made and that they have highlighted these previously eg standby

MP questioned the use of NPS when it is believed that purchases can be made locally at a lower cost.

The Director of Corporate Services acknowledged the concerns in respect of NPS and is aware that some other authorities have similar concerns. The Director of Corporate Services thought it likely that a report would be provided for Corporate Management Team in the near future.

Corporate Employee Relations Forum - Budget Consultation 22 January 2016

Present: Carmarthenshire CC
Chris Moore Director of Corporate Services
Paul Thomas Assistant Chief Executive
Robert Young Deputy HR Manager
Dylan Jones Schools Finance Manager

Unions
Mark Evans Unison
Mark Preece Unite
Caroline Greene GMB

The Director of Corporate Services stated that the first consultation exercise had taken place at the end of October 2015 where an overview of the financial outlook was given.

At this time, the indications were that the Authority would face a funding reduction of 3.3%, however the publication of the provisional settlement in December 2015 stated that Carmarthenshire CC would face a reduction of 1%, a difference equating to £7 million. Although this settlement figure is better than originally expected, it will present a significant challenge once inflationary factors are considered. Welsh Government have only provided a one year indication and also there are 11 grants not declared as yet. Welsh Government have continued to protect schools at 1% above their budget. The Director of Corporate Services went on to explain that additional items such as the Apprenticeship levy, the new rate of National Insurance for those in an occupational pension scheme and growth items make the task of delivering these savings even more difficult.

The Director of Corporate Services stated that the Final Settlement is due to be published on 2 March 2016, which would be after the Authority had set its budget for 2016-17. The situation could also become even more difficult as the Welsh Government are currently looking at 'rural flooring' to ease the impact on those authorities hardest hit by funding reduction, and possibly reallocate funding between authorities by the Final Settlement.

Unison re-iterated their stance regarding a 'no cuts budget' and that the budget they provided last year would still apply.

In response to comments made regarding the way the consultation was carried out and concerns that the responses do not reflect a true view of the public, the Director of Corporate Services and the Assistant Chief Executive stated that any feedback would be welcomed that could improve response and capture a greater audience.

CONSULTATION WITH TOWN & COMMUNITY COUNCILS 8th December 2015

Cllr Jenkins introduced the discussion by explaining the Council's financial position in broad terms, stressing there are hard times ahead with further reductions in the money available to councils over the coming few years.

Chris Moore, Director of Corporate Services, then gave a detailed presentation. The report that went to the Council's Executive Board was circulated for reference. A question was raised in respect of the lack of note made of consulting with town and community councils over the budget. The Director of Corporate Services explained that the report was considered in advance of the consultation exercise. Subsequent reports later in the process will reflect consultation such as this meeting.

The Director of Corporate Services explained that the UK Government position has implications for Wales and these effects can then 'knock on' to affect Welsh local government. The July budget signalled a continuation of 'austerity' policies. The UK Government's Comprehensive Spending Review (CSR) was concluded fairly recently. Due to levels of protection for health and education, the amount allocated to Wales was better than expected (an increase of 0.7%). The Director of Corporate Services suggested the reduction for Carmarthenshire CC may not be as bad as anticipated, though the provisional settlement for local government was pending tomorrow (9th December).

The Director of Corporate Services explained the difficulty in agreeing the budget, since the actual settlement for the Council is not expected until March, yet the Council must agree its budget by 11th March at the latest (1982 Act statutory deadline for precepting authorities). He explained that a 1% variance in the amount from WG had a value of £2.5 million, compared to £760,000 for a 1% variance for Council Tax. £51 million in savings have been delivered by the Council over the last 5 years, with further savings necessary until at least 2020, due to austerity policies at a UK level.

The Director of Corporate Services went on to describe the impact of education and social care spending. Education is the largest area of spend (stable), followed by social care (pressures due to demographic changes). When budgets overall are reducing, over a period of time, less money is available to deliver all the other Council services. Should WG protect education spending, the impact on other services will be greater.

The Council's financial projections are based on a number of considerations, including:

- 5% Council Tax rise (maximum)
- 0.6% inflation
- 1% pay award
- 3.4% due to removal of 3.4% National Insurance rebate
- Financial impact of the new auto-enrolment system with respect to pensions

- Pension increases for teachers

It is currently unclear how the £40 million promised by WG for education will affect the situation. Council departments have worked to identify proposals for saving money over the coming three years. The 'policy' proposals amount to £7.4 million (2016-17); £8.2 million (2017-18); and £8.6 million (2018-19).

Following the overview, the Director of Corporate Services explained the Council's approach. Its' priorities are: rural development; job creation; regeneration; and protecting front-line services. Proposals for saving have been developed as illustrated in the consultation survey (copies were circulated to assist the discussion).

A number of comments were made. A question concerned the level of reserves held by schools and whether these could assist the Council's budget. The Director of Corporate Services indicated the total reserve was around £5 million and, although difficulties would exist in the Council claiming reserves, there is an expectation that schools have plans in place to spend the money. In addition, School Improvement Officers are working with schools to address their use of reserves and it was suggested that community councillors take the message concerning the use of reserves back to their school governing bodies.

There was discussion over the Council's overall reserves. The Director of Corporate Services advised that these amounted to £72 million (earmarked for specific purposes) and £8.5 million (general), and were slightly lower than Wales Audit Office-recommended levels. Capital is being used to help fund the Modernising Educational Provision programme, amongst other things.

A discussion ensued on potential impacts of cuts of school budgets on education standards. It was suggested that cuts would have an impact upon staffing levels and that standards could be put at risk. Cllr Jenkins related the view that all the reductions under consideration were undesirable, but that choices need to be made. The governing body of Ysgol Dyfryn Amman, for example, were discussing significant reductions. The Director of Corporate Services informed the meeting that discussions were taking place with head teachers and there was general agreement that the £5.5 million saving proposed for next year was achievable. Cllr Stephens stressed the need for schools to consider all options in addressing savings, including levels of federation. It was commented that there was a real risk to smaller rural schools.

The issue of achieving savings through collaboration was raised. The Director of Corporate Services assured the meeting that avenues were being actively pursued and cited the examples of joint posts with the health service, and a joint head of IT, with Pembrokeshire County Council. It depends on the function in question, though a great deal of consideration is being given to collaborating wherever possible. Collaboration was also cited in response to a question concerning preparedness for local government reorganisation.

The matter of public interest in the salaries of senior staff was discussed. The reduction in the number of directors and heads of service over recent years was explained. Cllr Jenkins related that public attendees of the budget road shows had been almost exclusively concerned with this topic. He pointed out contractual obligations, which would arise should senior staff be made redundant, work against moves in that direction.

There was discussion over the proposal to reduce support for organisations providing benefits advice, at a time when the service is much needed. Cllr Jenkins commented that there is duplication of benefits advice which needs addressing. Cllrs Jenkins and Stephens assured the meeting that Executive Board is primarily concerned with protecting vulnerable people.

The meeting then moved to consider specific savings proposals, as set out in the budget consultation survey.

Cllr Jenkins observed that the information in relation to the proposals could have been more detailed and committed to making improvements in subsequent years. Cllr Stephens highlighted the importance of the meeting as an opportunity to have a face-to-face conversation with community councillors.

School meals – agreement that the increase was reasonable and necessary.

School breakfast clubs. It was explained that some parents use these as ‘babysitting’ for their children, whereas their intended purpose is to provide a breakfast to all pupils. Breakfast could be supplied in a shorter period, involving less time. It was suggested that there may be sufficient demand to continue the non-breakfast element of provision on a commercial basis.

Special educational needs (SEN). Cllr Stephens explained that the Education and Children’s Services department is expecting a decline in expenditure on SEN. Some concerns were raised, with some members suggesting the broader trend is in increase in the need for SEN provision.

Youth services. In reference to the use of the Quay Centre, it was suggested that greater collaboration with Dr Mz could be beneficial.

Members of the meeting considered that there was insufficient information to support comment on the educational psychology and short breaks proposals.

Libraries. The Director of Corporate Services explained that the proposal concerned updating the service to provide a better facility in a more cost effective way. The mobile library would be updated to include IT facilities and other services. Some smaller branch libraries would be closed as part of the proposal. It was suggested that community buildings could house books, in order to help sustain the service. Each collection of books could be refreshed periodically by the Council.

Home care service. The proposal involves considering the development of an arm’s length organisation, which could provide the service at a lower cost and could attract grants. The Director of Corporate Services clarified that the company could operate as a wholly-owned subsidiary of the Council – according to the current arrangement in relation to Cwm Environmental. There was agreement that an arrangement in which the Council retained oversight was strongly preferred.

Meals on wheels. Cllr Stephens described the service and explained that take up is in decline, partly due to commercial operators, such as Wiltshire Farm Foods. A lack of volunteers to deliver meals is a key constraint on the service. A comment was made concerning community luncheon clubs who also undertook home delivery.

Flood defence. It was noted that the proposed saving was very large in comparison to the overall budget. Some affected community councils would oppose the reduction. The Director of Corporate Services explained that the proposal has resulted from a reduction of specific funding from Welsh Government (WG).

Highway maintenance. Again, it was noted that the proposed saving was very large against the overall budget. Cllr Stephens asked communities to consider the help they may be able to give. Cllr Evans explained that she understood the frontline nature of this service, but that her department needed to take its share of the cuts. A number of community councils commented on how they could assist in identifying works of local priority, which could help ensure the best use of limited resources.

Cleansing services. It was asked that the impact of increased litter on tourism be given weight. Some representatives indicated that their community council may be prepared to fund street cleaning within their areas.

Car parks. It was generally agreed that the increased charges could be considered.

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Carmarthenshire County Council**Assessing Impact****The Equality Act 2010**

The Equality Act 2010 (the Act) brings together and replaces the previous anti-discrimination laws with a single Act. It simplifies and strengthens the law, removes inconsistencies and makes it easier for people to understand and comply with it. The majority of the Act came into force on 1 October 2010.

The Act includes a new public sector equality duty (the 'general duty'), replacing the separate duties on race, disability and gender equality. This came into force on 5 April 2011.

What is the general duty?

The aim of the general duty is to ensure that public authorities and those carrying out a public function consider how they can positively contribute to a fairer society through advancing equality and good relations in their day-to-day activities. The duty ensures that equality considerations are built into the design of policies and the delivery of services and that they are kept under review. This will achieve better outcomes for all.

The duties are legal obligations. Failure to meet the duties may result in authorities being exposed to legal challenge.

Under equality legislation, public authorities have legal duties to pay 'due regard' to the need to eliminate discrimination and promote equality with regard to race, disability and gender, including gender reassignment, as well as to promote good race relations. The Equality Act 2010 introduces a new public sector duty which extends this coverage to age, sexual orientation, pregnancy and maternity, and religion or belief. The law requires that this duty to pay 'due regard' be demonstrated in the decision making process. It is also important to note that public authorities subject to the equality duties are also likely to be subject to the obligations under the Human Rights Act and it is therefore wise also to consider the potential impact that decisions could have on human rights as part of the same process.

Carmarthenshire’s approach to Equality Impact

In order to ensure that the council is considering the potential equality impact of its proposed policies and practices, and in order to evidence that we have done so, every proposal will be required to be supported by the attached Equality Impact Assessment. Where this assessment identifies a significant impact then more detail may be required.

Reporting on assessments

Where it is clear from the assessment that the likely impact on the authority’s ability to meet the general duty is substantial, then it must publish a report.

Initial and Detailed Equality Impact Assessments

The initial EIA (appendix 1) is a simple and quick method of assessing the effect of a policy, function, procedure, decision including financial cuts on one or more of the protected characteristics.

The Service Manager responsible for the relevant new or revised policies, functions, procedures and financial decisions must undertake, at least, an initial EIA and where relevant a detailed Equality Impact Assessment (appendix 2); EIA must be attached as background paper with reports to Executive and Scrutiny .

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Appendix 1 - Public Protection – Animal Welfare

Initial Equalities Impact Assessment Template

Department: Communities	Completed by (lead): Roger Edmunds	Date of initial assessment: 22/12/15 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Increase in Fees and Costs -Animal Boarding/Breeding Establishments	
Is this existing or new function/policy, procedure, practice or decision?	New Decision to increase present Fees	
What evidence has been used to inform the assessment and policy? (please list only)		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	To recover cost of administration and inspection of Licensing such premises ,generate Income for the Authority.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) eliminate unlawful discrimination, harassment	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty? N	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	4. If there is a disproportionately negative impact what mitigating factors have you considered?

and victimisation; (2) advance equality of opportunity between different groups; and (3) foster good relations between different groups (see guidance notes)		Please indicate high (H) medium (M), low (L), no effect (N) for each.	Risks None	Positive effects None	None
Protected characteristics	Age	N			
	Disability	N			
	Gender reassignment	N			
	Race	N			
	Religion/Belief	N			
	Pregnancy and maternity	N			
	Sexual Orientation	N			
	Sex	N			
	Welsh language	N			
	Any other area	N			

5. Page 289 Has there been any consultation/engagement with the appropriate protected characteristics?	
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		YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
6. What action(s) will you take to reduce any disproportionately negative impact, if any? No action required			
7. Procurement Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service. None Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.			
8. Human resources Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? None			
9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)		YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
Approved by: Head of Service	Robin Staines Head of Housing, Public Protection & Direct Services	Date: 4 th January, 2016	

Appendix 2 - Council Fund Housing – Options and Advice Services (2)

Initial Equalities Impact Assessment Template

Department: Communities	Completed by (lead): Jonathan Willis ,Housing Manager, Housing Options	Date of initial assessment: December 2015 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Landlords Licensing	
Is this existing or new function/policy, procedure, practice or decision?	Existing	
What evidence has been used to inform the assessment and policy? (please list only)		
The Housing Act (Wales) 2014 will require all landlords to register and undertake training.		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	<p>Welsh Government introduced legislation where it is compulsory for private sector landlords to register with a new national body, Rent Smart Wales. The cost of registration will be £33.00. There will be an additional requirement for landlords to obtain prescribed training and get licensed which will cost an additional £145.00.</p> <p>Local authorities along with the national body will be required to police the national scheme in accordance with the new legislation. Proactive work and enforcement will be recovered by recharging the national body.</p> <p>As part of being a licensed landlord there are standards which must be adhered to. The purpose is to improve standards in the private rented sector.</p>
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<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p> <table border="1" data-bbox="1075 379 1720 630"> <tr> <td data-bbox="1075 379 1379 630">Risks</td> <td data-bbox="1379 379 1720 630">Positive effects</td> </tr> </table>		Risks	Positive effects	<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
Risks	Positive effects						
<p>Protected characteristics</p>	<p>Age</p>	<p>Low</p>	<p>The level of fees involved minimises the risk of landlords withdrawing their investment and reducing the number of properties for rent.</p> <p>As part of introducing the new legislation Welsh Government have undertaken a full impact assessment.</p>	<p>The introduction of national licensing will support improving standards in the private rented sector regardless of age/gender etc</p>	<p>Welsh Government have undertaken a full program of consultation involving landlords and landlords bodies across Wales.</p> <p>Landlords have been given a year to get registered and licensed. Welsh Government and Rent Smart Wales have issued publicity and undertaken marketing regarding the requirements</p> <p>Carmarthenshire will be holding three landlords’ conferences to support landlords and provide</p>		

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					<p>advice on what they need to do to comply with the law.</p> <p>In addition Carmarthenshire will be offering individual advice where required aimed at supporting landlords comply.</p>
Disability	Low	As above	As above		
Gender reassignment	Low	As above	As above		
Race	Low	As above	As above		
Religion/Belief	Low	As above	As above		
Pregnancy and maternity	Low	As above	As above		
Sexual Orientation	Low	As above	As above		
Sex	Low	As above	As above		
Welsh language	Low	As above	As above		

Any other area				
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5. Has there been any consultation/engagement with the appropriate protected characteristics?	<p>YES <input type="checkbox"/> Welsh Government undertook a full programme of consultation with landlords, tenants, local authorities and other relevant organisations.</p>
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<p>6. What action(s) will you take to reduce any disproportionately negative impact, if any?</p> <p>Carmarthenshire will be holding three landlords’ conferences to support landlords and provide advice on what they need to do to comply with the law.</p> <p>In addition Carmarthenshire will be offering individual advice where</p>

<p>7. Procurement</p> <p>There are no procurement issues</p> <p>Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.</p> <p>Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.</p>
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<p>8. Human resources</p> <p>There are no human resource issues.</p> <p>Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?</p>
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9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)		<p>NO <input type="checkbox"/></p>
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Approved by:		Date: 1/12/2015
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Head of Service	Robin Staines Head of Housing and Public Protection	
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Appendix 3 - Oriel Myrddin

Carmarthenshire County Council

Efficiencies / service rationalisation proposals

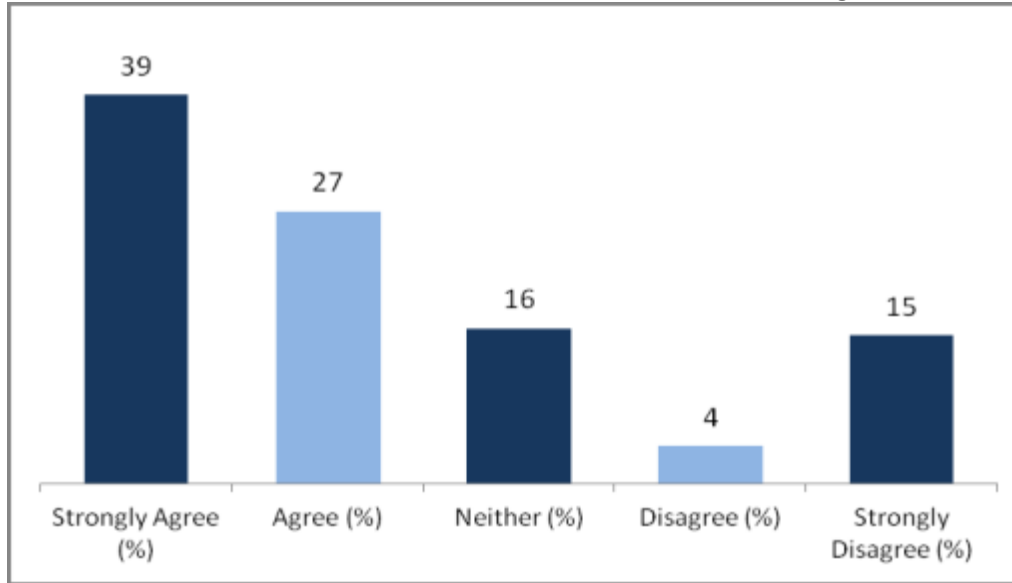
2016/17

Contact Name	Ian Jones Jane Davies Eleri Retallick	Title	Head of Leisure Senior Cultural Services Manager Principal Arts Officer
Budget title	Oriel Myrddin – Full transfer to Trust status in 2016-17		
Amount £	£TBCk		
Saving £	£14k		
Description	<p>To test the market for the running of this facility as an independent charitable trust, by professional trustees, to try and reduce or eliminate the current actual subsidy of £102k from the local authority.</p> <p>The gallery is currently managed by CCC but is constituted as an unincorporated trust with trustees drawn from both town and county councils. The gallery could benefit from wider external funding opportunities e.g. grants from charitable trusts, given the appropriate direction and management and independence from the council.</p> <p>The current proposal will deliver £14k worth of efficiencies in 2016-17 through a reduction in subsidy from the council.</p> <p>The gallery has recently secured funding for a feasibility study which will assess the impact of a reconfiguration of the space to broaden appeal, accessibility and sustainability. It is proposed that part of the Arts Consultant's work will be to</p>		

	<p>consider the benefits of independent trust status.</p> <p>The objective is to implement the transfer of a sustainable activity, replacing council subsidy with external funding sourced under the direction of the Board of Trustees, thus ensuring continuity. This assumes an appetite from the arts and business community and ongoing participation from the Arts Council, who are also a major funding partner. If during the process it is not possible to identify new partners to move the venture forward then other alternatives will have to be considered.</p>
<p>Will this proposal have an adverse impact on any of the protected groups (Age, Disability, Gender reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion and Belief, Sex and Sexual Orientation). Please also give consideration to the Welsh language and the impact on Welsh speakers. Will it impact disproportionately on those in lower income groups?</p>	
No	<p>No, a full breakdown of returns from the various socio-economic groups is available following a series of public consultation events held by the local authority on all proposed efficiencies</p>
<p>If Yes, please briefly describe the nature of the impact. Which groups are likely to be affected and in what way?</p>	
Description of impact	N/A
<p>Consultation Have you consulted any of these groups or their representative bodies? If so please give details, What was the outcome?</p>	
Description of consultation	<p>A series of public consultation events were held by the local authority on all proposed efficiencies in December 2016 as in previous budget planning rounds. The results of previous consultations are summarised below for the proposal around</p>

Oriel Myrddin.

Full transfer to Trust status in 2016-17 and a reduction in CCC funding of £14K:



Key themes from the public consultation:

- Art galleries and theatres should be self-financing and not subsidised. It is not an essential front-line service
- Provision of an arts & craft facility is essential for the wellbeing and growth of cultural activities in the area. Economic benefit also stressed
- The exhibition programme and educational activities offer a valued service in the locality
- Success hinges on securing alternative sources of funding – a challenging task in the current financial climate
- As an aside, several respondents enquired whether Dylan Thomas Boathouse could also be managed by a Trust
- Mitigation – support Oriel Myrddin until alternate finding is secured

	<p>Other relevant information:</p> <ul style="list-style-type: none"> <input type="checkbox"/> King Street Art Gallery - Oriol Myrddin attracts international artists and tourists and thus is imperative to a prosperous arts & craft sector in Carmarthenshire <input type="checkbox"/> G39 Cardiff & freelance artists – cessation of mechanism to identify talented artists; will stunt growth of visual arts industry in Wales <input type="checkbox"/> Inside Out Art Group - identified savings disproportionate to impact on local cultural scene <input type="checkbox"/> Engage Cymru – collaborative working with Oriol Myrddin vital to deliver a mental health arts project <p>Individual comments were also made as part of the consultation event, and are again summarised in Appendix A</p>
<p>Mitigation What can be done to mitigate any adverse impact?</p>	
<p>Details of steps to be taken to mitigate any adverse impact</p>	<p>This proposal doesn't reduce service delivery or capacity. It considers and alternative model of delivering the service. There should be very little negative impact on service users, and hopefully a more positive effect with a fully independent Trust being able to access additional funding sources, not currently available.</p>
<p>Context Is this proposal part of a wider plan which would place it in context? (E.g. closure of an individual facility in the context of a wider investment programme).</p> <p>No</p>	
<p>Details of context of the proposal</p>	

Monitoring	
Do you have any plans to monitor the ongoing impact on the affected group(s)?	
	The local authority will continue to work with the Trust, supporting and monitoring its progress and the views of the end users. We will be liaising with the Arts Council for Wales as well, as Oriol Myrddin is a supported revenue client of this organisation.
Other information	
Is there anything else which ought to be recorded?	
No	
Authorised by: Head of Service	Ian Jones

Appendix 4 - Children Looked After (Leaving Care, Taxis & Individual Review Service) Initial Equalities Impact Assessment Template

Department: Education & Children	Completed by (lead): Stefan Smith	Date of initial assessment: 5 th November 2014	
		Revision Dates:	
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Children Looked After – Fostering £50k (Year 3) Fostering incl Boarded Out £250k (Year 1) Children Looked After incl Leaving Care, Taxis & Ind Review Service £50k (Year 3)		
Is this existing or new function/policy, procedure, practice or decision?	Existing		
What evidence has been used to inform the assessment and policy? (please list only)			
Current trends.			

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	The aim is to reduce numbers of looked after children through the effective utilisation of preventative services.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) eliminate unlawful discrimination, harassment	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	4. If there is a disproportionately negative impact what mitigating factors have you considered?

and victimisation; (2) advance equality of opportunity between different groups; and (3) foster good relations between different groups (see guidance notes)		Please indicate high (H) medium (M), low (L), no effect (N) for each.	Risks	Positive effects	
Protected characteristics	Age				
	Disability				
	Gender reassignment				
	Race				
	Religion/Belief				
	Pregnancy and maternity				
	Sexual Orientation				
	Sex				
	Welsh language				
	Any other area				

5. Has there been any consultation/engagement with the appropriate protected characteristics?	
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		YES <input type="checkbox"/>	NO <input type="checkbox"/>
6. What action(s) will you take to reduce any disproportionately negative impact, if any?			
7. Procurement Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service. Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.			
8. Human resources Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? No			
9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)		YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
Approved by: Head of Service	Stefan Smith	Date: 07/11/2014	

Appendix 5 – Revenues & Cash Desk Initial Equalities Impact Assessment Template

Department: Resources	Completed by (lead): John Gravelle	Date of initial assessment: Dec 2014 Revision Dates:
Area to be assessed: (i.e. name of <i>policy, function, procedure, practice or a financial decision</i>)	Potential closure of Llandeilo Cash-office	
Is this existing or new function/policy, procedure, practice or decision?	New decision	
What evidence has been used to inform the assessment and policy? (please list only)		
Statistics on customer usage of the facility have been obtained from the cash receipting system		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	Closure of Llandeilo Cash-office with the introduction / promotion, of alternative payment methods, would generate a PBB saving. The proposal is based on the very low level of customer footfall at the facility and takes into account the options available to customers.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) eliminate unlawful discrimination, harassment	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	4. If there is a disproportionately negative impact what mitigating factors have you considered?

and victimisation; (2) advance equality of opportunity between different groups; and (3) foster good relations between different groups (see guidance notes)		Please indicate high (H) medium (M), low (L), no effect (N) for each.	Risks	Positive effects	
Protected characteristics	Age	N	Inconvenience due to alternative payment methods having to be adopted	N/A	N/A
	Disability	No – The kiosk replacing the cash desk would be at the same location as the current cash desk and therefore access would be unaffected. Also, the kiosks acquired by the Council would be DDA compliant with touch screens at wheelchair friendly height.	As above	N/A	N/A
	Gender reassignment	N	As above	N/A	N/A
	Race	No – The kiosks would be introduced with English/ Welsh Language options but if required, additional language options could be added.	As above	N/A	N/A
	Religion/Belief	N	As above	N/A	N/A
	Pregnancy and maternity	N	As above	N/A	N/A
	Sexual Orientation	N	As above	N/A	N/A
	Sex	N	As above	N/A	N/A
	Welsh language	No – Customers would be able to	As above	N/A	N/A

		chose from English/ Welsh Language option when using the kiosk(s)			
Any other area	N	As above	N/A	N/A	

5. Has there been any consultation/engagement with the appropriate protected characteristics?
YES - through the general budget consultation process. No specific engagement with protected characteristic groups

6. What action(s) will you take to reduce any disproportionately negative impact, if any?
Alternative payment arrangements/facilities would be introduced including a self-service payment kiosk, along with arrangements with the local post office, as well as promotion of Direct Debiting

7. Procurement
 Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service. **No**
 Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.

8. Human resources
 Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? **Yes – the post of Area Cashier at Llandeilo would be deleted. The current incumbent would have to redeploy to another cash office location unless offered and accepting severance.**

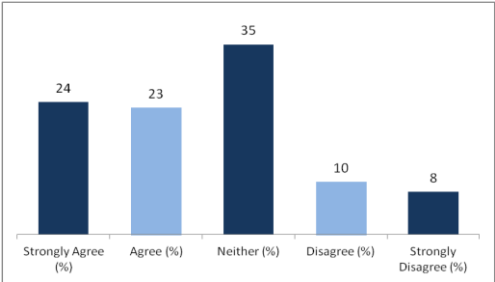
9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)
YES

Approved by: _____ Date: _____
 Head of Service

Detailed Equalities Impact Assessment Template

Department:	Please see initial impact assessment
Completed by (lead):	
Date of Detailed assessment:	
Area to be assessed: (<i>Policy, function, procedure, practice or a financial decision</i>)	Please see initial impact assessment
Is this existing or new function/policy/Procedure/ practice	Please see initial impact assessment

1. Describe the aims, objectives or purpose of the function/policy, practice or procedure and who is intended to benefit.	Please see initial impact assessment
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<p>2. Please list any existing documents, evidence, research which have been used to inform the Detailed equality impact assessment. (This must include relevant data used in this assessment)</p>	<p>Public consultation documentation.</p> <p>Response to consultation was more positive than anticipated</p>												
<p>3. Has any consultation, involvement been undertaken with the protected characteristics to inform this assessment? (please provide details, who and how consulted)</p>	<p>Public consultation undertaken (see bar chart below for summery of responses)</p> <p>Key themes from the public consultation as follows:</p> <ul style="list-style-type: none"> • Noted that many people now make payments using other methods • Regarded as an issue specific to local (perhaps older) residents of the Llandeilo area • The importance of the Council having a local presence was stressed • Cash desk making more use of the library. • Leisure Centres used as a payment point. • Having mobile access. • <u>Mitigation</u>: encourage shift to on-line payment; move function to local shop/bank/post office <p>Other relevant information:</p> <ul style="list-style-type: none"> • T&CC – agreement providing functions can be transferred to local post offices (Llansteffan & Llanybri) <p>Councillor engagement: Explore options for alternative provision with banks and post offices</p> <p>Note:</p> <ol style="list-style-type: none"> post office payment provision is already available at all local post offices at no cost to the payer local presence would be retained and potentially enhanced with the relocation of the library service  <table border="1"> <caption>Survey Results</caption> <thead> <tr> <th>Response</th> <th>Percentage (%)</th> </tr> </thead> <tbody> <tr> <td>Strongly Agree</td> <td>24</td> </tr> <tr> <td>Agree</td> <td>23</td> </tr> <tr> <td>Neither</td> <td>35</td> </tr> <tr> <td>Disagree</td> <td>10</td> </tr> <tr> <td>Strongly Disagree</td> <td>8</td> </tr> </tbody> </table>	Response	Percentage (%)	Strongly Agree	24	Agree	23	Neither	35	Disagree	10	Strongly Disagree	8
Response	Percentage (%)												
Strongly Agree	24												
Agree	23												
Neither	35												
Disagree	10												
Strongly Disagree	8												

<p>4. What is the actual/likely impact?</p>	<p>Financial saving to the Council</p> <p>Increased transactions / business, at local post offices</p> <p>Potential channel shift with customers opting for other payment methods such as Direct Debit and on-line payments</p> <p>Potential for increased foot fall in the local library, and for customers taking greater advantage of the other facilities the library service offers e.g. digital access</p>			
<p>5. What actions are proposed to address the impact? (<i>The actions needs to be specific, measurable and outcome based</i>)</p>	<p>What are we going to do</p>	<p>Who will be responsible</p>	<p>When will it be completed</p>	<p>How will we know we have achieved our objective</p>
<p>Customers using the current facility are being identified and a mail-shot would be sent to provided information and guidance as to new & alternative facilities (as well as contact point for further advice).</p> <p>Similarly, the duty Area Cashier would provide this information face-to-face, to customers if/when a closure date is confirmed</p>	<p>Revenue Services Controls Team</p> <p>Area Cashier</p>	<p>In advance of any agreed closure date</p>	<p>Customer responses to be monitored.</p>	

6. How will actions be monitored?	Record kept of customers' responses and of those electing to take advantage of the alternative payment methods.			
Approved by: Head of Service			Date:	

Appendix 6 – Sports, Leisure, Theatres Alternative Service Delivery Model Initial Equalities Impact Assessment Template

Department: Regeneration & Leisure	Completed by (lead): Ian Jones (Head of Leisure)	Date of initial assessment: 24th October 2014 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Consideration of delivering the Leisure services function via alternative delivery means.	
Is this existing or new function/policy, procedure, practice or decision?	The transfer of services to be run by alternative operating bodies is new to the service within Carmarthenshire, but a well established model in other parts of the UK and Wales	
What evidence has been used to inform the assessment and policy? (please list only)		
A detailed options paper was presented to CMT and then ratified by the Preliminary Executive Board on the 30 th June 2014.		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	<p>The purpose of the proposals is to examine if an alternative service delivery model can provide both efficiency and service delivery benefits to end users, and the local authority as the funding body.</p> <p>The outcome specification for the delivery of the service through an alternative provider is determined by the local authority as the funding body. Any equality impact on service, staff and end user may need to be re-visited if that outcome specification were to deviate from what the authority asks its internal Leisure division to provide as a service at present. As things stand, there are no proposals to deviate from this service specification at present, and any policy decision that are taken to alter this status, would be subject to a separate EIA anyhow.</p> <p>An alternative Leisure Trust delivery model offer the opportunity for the authority to save money as a charitable trust would be eligible for 80% National Non Domestic Rate relief, and has more flexibility and freedom to operate more commercially outside of</p>
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		the direct control of a local authority.			
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p>		<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
			Risks	Positive effects	
Protected characteristics	Age	N			
	Disability	N			
	Gender reassignment	N			
	Race	N			
	Religion/Belief	N			
	Pregnancy and maternity	N			
	Sexual Orientation	N			
	Sex	N			

Welsh language	N			
Any other area	N			

5. Has there been any consultation/engagement with the appropriate protected characteristics?	NO
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6. What action(s) will you take to reduce any disproportionately negative impact, if any?

Due to there being no perceived risk, there has not been any consultation or engagement.

There will of course, be significant consultation with members and end users in terms of assurances around the delivery specification (controlled by CCC). Any changes to delivery specification prior to, or after the establishment of an alternative delivery model, would be subject to separate, specific, service / policy EIA's.

With an alternative delivery model, staff are transferred over to the new body with TUPE rights and again significant consultation would be undertaken as part of this process

7. Procurement

Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

Yes. The procurement team are fully involved in the process of tendering for the appointment of a specialist consultant to assist with the next steps of the review process and potentially to help set up a new trust, or procure an existing trust partner.

Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.

Confirmed and in hand

8. Human resources

Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?

Yes, considerable implications in terms of staff potentially transferring across to a new operating body under TUPE guidelines. Whilst it is very early in the process, the HR

Part 3

Manager is fully aware of the proposals and the matter has been discussed at CMT. Consultation with the trade unions would form part of the next phase, if members support the concept of an alternative delivery model for the leisure service, or part of it.

9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)	YES	NO <input checked="" type="checkbox"/>
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Approved by: Head of Service	Ian Jones	Date: 24/10/14
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Appendix 7 – Youth Service

Initial Equalities Impact Assessment Template

Department: Department for Education and Children Learner Programmes Division Youth Support Services	Completed by (lead): Gill Adams	Date of initial assessment: 14/12/15 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	To cease Youth Service use of the Quay Centre, Carmarthen.	
Is this existing or new function/policy, procedure, practice or decision?	Existing function	
What evidence has been used to inform the assessment and policy? (please list only)		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	To deliver financial savings for the local authority through closure of Quay Centre, Carmarthen.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) eliminate unlawful discrimination, harassment	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	4. If there is a disproportionately negative impact what mitigating factors have you considered?

and victimisation; (2) advance equality of opportunity between different groups; and (3) foster good relations between different groups (see guidance notes)		Please indicate high (H) medium (M), low (L), no effect (N) for each.	Risks	Positive effects	
Protected characteristics	Age	L	The Quay Centre is used for post 16 Youth Work currently; this includes a 'drop in' for young people and young adults once per week; Youth Workers also carry out one to one work with young people and young adults within the building. The building is also used for staff meetings and meetings with partners and stakeholders.		
	Disability	N			
	Gender reassignment	N			

Race	N			
Religion/Belief	N			
Pregnancy and maternity	N			
Sexual Orientation	N			
Sex	N			
Welsh language	N			
Any other area	N			Currently no Youth Service staff are based at the Quay Centre; their office base is Parc Dewi Sant and therefore there would be no impact upon their office location.

<p>5. Has there been any consultation/engagement with the appropriate protected characteristics?</p>	<p>NO</p>
<p>6. What action(s) will you take to reduce any disproportionately negative impact, if any?</p> <p>Exploration of alternative venues for the delivery of the work currently undertaken at The Quay Centre. There are alternative suitable facilities available within Carmarthen town centre which can be explored as alternative venues for the engagement of young people and adults by Youth Workers.</p> <p>Meeting rooms are available at Parc Dewi Sant and therefore there should be no negative impact in terms of arranging and holding staff and partnership meetings.</p>	

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7. Procurement Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service. Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.		
8. Human resources Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?		
9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)		NO
Approved by: Head of Service		Date:

Appendix 8 – Secondary Speech & Language Provision; Inclusion Services, SEN (2014); Inclusion Services, SEN

Initial Equalities Impact Assessment Template

Department: Education & Children	Completed by (lead): Rebecca Williams	Date of initial assessment: 5 th November 2014 Revision Dates: 16/12/2015
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Additional Learning Needs: <ul style="list-style-type: none"> • SEN £200k (Year 1), £320k (Year 2), £16k (Year 3) • Secondary Speech & Language Provision £50k (Year 2) 	
Is this existing or new function/policy, procedure, practice or decision?	New policy decision (to be considered by the Executive Board)	
What evidence has been used to inform the assessment and policy? (please list only)		
<ul style="list-style-type: none"> • Draft Additional Learning Needs Education Tribunal (Wales) Bill • Welsh Government ALN White Paper on ALN Reform (July 2014) • Data on falling requests for Statutory Assessment – ALN Inclusion Panel Minutes for April 2014 – October 2014 • ALN Annual Report 2013 – 2014 • Supporting children with Speech Language and Communication Needs (SLCNs) within integrated children’s services (Gascoigne 2006) • The Bercow Report (Bercow 2008) – overview of provision for children and young people with SLCN • The Better Communication Research Programme : Improving provision for CYP with SLCN • What really makes a difference for CYP with SLCN? Delivering services for maximum impact (Gascoigne) 		

Evidence of consultation with elected members via the Education and Children's Services Scrutiny Committee

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.

The action is proposed due to the current and impending challenges for this service in the next three years which include:

- Reducing local authority budgets
- Reducing Welsh Government budgets/grants
- In line with WG White paper on ALN Reform WG/LA strategy of meeting needs of CYP with ALN outside of statutory processes
- ALN Reform envisages that schools will build capacity to deal with all ALN needs at a local level
- Delegation of funding to schools, tightening of statementing criteria and more ALNs being met outside statutory systems will lead to more flexible use of school-based resources (including improvements in the use of learning support - for example deployment of TAs) and pooling of resources for collaborative ALN work between school clusters which in turn will lead to efficiencies
- Improvements in impact monitoring systems and greater flexibility in the management of ALN provision in schools will lead to more effective use of resources in schools

Secondary Speech and Language provision

- The Speech and Language provision for CYP with specific language/speech/communication needs (SLCN) is currently being reviewed and it is proposed that changes should be made to the service for secondary age pupils with language and communication needs. The evidence around Speech and Language Therapy intervention and provision for pupils with SLCNs suggests that early, intense and frequent intervention is most effective. As pupils move up through the school system, their needs become much more functional and strategy-based and there is less evidence for direct unit intervention at a secondary level.
- To this end it is proposed that the secondary language unit at Bro Dinefwr will be phased out over the next two years. Secondary schools across the LA will be supported, to include additional training if required, to develop their capacity to provide appropriate language support for pupils with specific language impairment/SLCNs in order to access the

		mainstream curriculum and extra-curricular activities.			
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p>		<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
			Risks	Positive effects	
Protected characteristics	Age	H	<p>The range of provision and training to meet the needs of school-aged CYP with ALNs may be reduced in some smaller mainstream schools who may be unable to meet their statutory duties and as a result are liable under the Equality Act.</p>	<p>Schools will build capacity to offer a range of interventions and strategies to meet the needs of all pupils with ALN in the most cost efficient manner.</p> <p>Well-documented research suggests that secondary aged pupils with SLCNs have their needs met more</p>	<p>LA is ultimately responsible for ensuring that schools meet pupils’ ALNs and make appropriate provision in line with parental preference – there are no mitigating factors.</p>

			<p>Potential increase in appeals to SENTW against LA decisions. High cost to LA in man-power/legal fees in defending Tribunal cases</p> <p>Secondary aged pupils with SLCNs will no longer be offered the choice to attend a specialist language unit setting with specialist staff and high pupil/staff teaching ratio.</p> <p>Potential cost to schools of additional learning support in secondary schools/cost to LA of providing ELKLAN/Afaisic Language training</p>	<p>effectively with their peers in mainstream</p>	
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Page 323	Disability	M	<p>Some small schools may be unable to meet the needs of some pupils with a disability due to insufficient resources – this would mean they would be discriminated against in accessing local provision.</p> <p>In larger schools a reduction in resources may lead to discrimination in the form of reduced opportunities</p>	Secondary pupils with SLCNs will be supported in local mainstream schools with appropriate strategies/interventions to meet need.	Discussions with schools to ensure timely planning is undertaken to ensure the necessary curricular and building adaptations for pupils with a range of disabilities.
	Gender reassignment	L	Less resources available for awareness raising	NA	NA
	Race	L	As above	NA	NA
	Religion/Belief	L	As above	NA	NA
	Pregnancy and maternity	L	Secondary schools	NA	NA

		may not be able to provide support in line with statutory obligations		
Sexual Orientation	L	Less resources available for awareness raising	NA	NA
Sex	L	NA	NA	NA
Welsh language	M	Welsh language pupils with ALN may have reduced access to the full range of ALN provision	NA	NA
Any other area				

<p>5. Has there been any consultation/engagement with the appropriate protected characteristics?</p>	<p>YES <input checked="" type="checkbox"/> CCC staff/elected members/Head teachers in schools NO <input checked="" type="checkbox"/> CYP, families and wider disabled community</p>
<p>6. What action(s) will you take to reduce any disproportionately negative impact, if any? Identify training opportunities to train school based staff to build capacity</p>	

- Strategy to convert existing statements to IDPs releasing funding currently tied up in individual support
- Cease statements for targeted ALN groups/individuals (eg Dyslexia, SLCNs)
- Bro Dinefwr secondary language unit – redeploy specialist language teacher/TAs to support pupils with SLCNs in mainstream secondary schools

7. Procurement

None

Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.

8. Human resources

Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?

Yes – the changes have the potential to impact on workforce deployment in mainstream schools (deployment of fewer Teaching Assistants)

Bro Dinefwr secondary language unit – redeployment of specialist staff

- Specialist Teacher x 1 (fte)
- TA2 x1(fte)
- TA3 x 1 (fte)

9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)

YES

NO

Approved by:

Head of Service

Gareth Morgans

Date: 7-1-16

Appendix 9 – Catering Services – School Meals

Initial Equalities Impact Assessment

Department: Education & Children	Completed by (lead): Helen Bailey / David Astins	Date of initial assessment: 5 th November 2014 Revision Dates: 14 th December 2015
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	School meals service <ul style="list-style-type: none"> • 2016-17 £100k • 2017-18 £100k • 2018-19 £100k 	
Is this existing or new function/policy, procedure, practice or decision?	An extension of an existing approach to charging which has seen the cost of school meals rise above inflation in 2014-15 (£2.20 for a primary meal) and 2015-16 (£2.30 for a primary meal)	
What evidence has been used to inform the assessment and policy? (please list only)		
<ul style="list-style-type: none"> • Charging comparisons with other Local Authorities in Wales • Close monitoring of take-up and income following previous price increases 		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	Increasing the price of a primary school meal by 10p per year for 3 years (to £2.40 in April 2016, £2.50 in April 2017, and £2.60 in April 2018), with equivalent price rises in secondary school cafeterias. This is expected to generate an additional £100,000 of net income per annum, provided there is not a significant drop in take up.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) eliminate unlawful discrimination, harassment and victimisation;	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty? Please indicate high (H) medium (M), low (L), no effect (N) for each. H / M	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	
		Risks	Positive effects
		4. If there is a disproportionately negative impact what mitigating factors have you considered?	

<p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>					
<p>Protected characteristics</p>	Age	M	Further price increases could have a negative impact on take-up. Some families in 'working poverty', who do not qualify for free school meals, might not be able to afford school meals.		Publicise the availability of Free School Meals so that all who are entitled are aware
	Disability	N			
	Gender reassignment	N			
	Race	N			
	Religion/Belief	N			
	Pregnancy and maternity	N			
	Sexual Orientation	N			
	Sex	N			
	Welsh language	N			
	Any other area	N			

<p>5. Has there been any consultation/engagement with the appropriate protected characteristics?</p>	<p>YES <input type="checkbox"/></p>	<p>NO <input checked="" type="checkbox"/></p>
<p>6. What action(s) will you take to reduce any disproportionately negative impact, if any?</p> <p>We will continue to demonstrate that a school meal is still good value for money, being of good nutritional quality.</p>		
<p>7. Procurement</p> <p>Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.</p> <p>Procurement of good value products can help keep the price of the school meals service down.</p> <p>Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.</p>		
<p>8. Human resources</p> <p>Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?</p> <p>A fall in take-up / income could lead to a loss in overall hours in the service. This is managed on a location by location basis already, with hours at each location determined by the number of meals served, reviewed twice annually.</p>		
<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>	<p>YES <input type="checkbox"/></p>	<p>NO <input checked="" type="checkbox"/></p>
<p>Approved by:</p>	<p>David Astins Strategic Development Manager</p>	<p>Date: 14th December 2015</p>

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Appendix 10 – Home to College Transport Initial Equalities Impact Assessment Template

Department: Environment	Completed by (lead): Alwyn Evans, Passenger Transport Manager	Date of initial assessment: November 2013 Revision Dates: May 2014; June 2015;
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Financial savings: £65,000 2016/17; £451,000 2017/18. Discretionary provision of transport in the post-16 sector.	
Is this existing or new function/policy, procedure, practice or decision?	Changes to existing policy	
What evidence has been used to inform the assessment and policy? (please list only)		
Budget Budget Consultation 2013/14; Budget Consultation 2014/15; Policy Consultation to be undertaken September – October 2015		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	<p>Charging / removal of support for discretionary post-16 transport service from 1st September 2016. The decision is subject to statutory consultation which results in efficiencies for the part of the year only in 16/17.</p> <p>There is a varied approach to this discretionary service throughout Wales, with eight of the twenty two Local Authorities charging for the post 16 transport service. The charges imposed by these Local Authorities range from £60 - £380, with thirteen Welsh Local Authorities stating that they are revising their current arrangements.</p> <p>The proposal for charging is acceptable under legislation which allows charging for post 16 travel, The Learner Travel Operational Guidance 2009, Section 2.23 states:</p> <p>‘When the Local Authority uses its discretion in making learner travel arrangements (under section 6), a charge can be made for</p>
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		these arrangements. For learners who are not of compulsory school age, there is no restriction on charging. With regard to children of compulsory school age, charging must be in accordance with sections 455 and 456 of the Education Act 1996 (as amended by section 22 of the Measure). The means to charge, or pay all or part of a learner’s travel expenses, provides flexibility for local authorities to put in place travel arrangements that exceed the statutory requirements set by sections 3 and 4 of the Measure’.			
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p>		<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
			Risks	Positive effects	
<p>characteristics</p>	<p>Age</p>	<p>(1) N (2) M (3) N</p>	<p>Services are used by post-16 students and there is a risk that there would be no transport available to their chosen school/college. Further consultation will be undertaken with the students during September 2015 to identify any potential issues.</p>		<p>Transport provision is not a statutory requirement.</p> <p>Other LAs across Wales already charge or are considering a charge or removal of the service.</p>
	<p>Disability</p>	<p>(1) N (2) N (3) N</p>	<p>Potential Impact on SEN transport will be evaluated during the</p>	<p>N/A</p>	<p>Potential to exempt SEN students form a charge. Further Legal input</p>

		consultation process.		is being obtained.
Gender reassignment	(1) N (2) N (3) N	There is no impact in terms of gender reassignment as the proposal makes no differentiation to the right to join the scheme, transport provided or charging for the service based on gender reassignment. There is no data available for 16+ students of gender reassignment.	N/A	N/A
Race	(1) N (2) N (3) N	The proposal makes no differentiation on the basis of race. There are no barriers based on racial differences to entitlement to join the scheme, the proposed charging policy or the type of transport provided. All students wishing to join the 16+ travel scheme are treated equally as above. In this way the policy promotes racial equality and eliminates discrimination.	N/A	N/A
Religion/Belief	(1) N (2) N (3) N	No differentiation is made to the right to	N/A	N/A

		join the scheme, transport provided or the charging system based on the grounds of religion or belief including a lack of belief.		
Pregnancy and maternity	(1) N (2) N (3) N	No differentiation is made to the right to join the scheme, transport provided or the charging system based on the grounds of pregnancy and maternity.	N/A	N/A
Sexual Orientation	(1) N (2) N (3) N	No differentiation is made to the right to join the scheme, transport provided or the charging system based on the grounds of sexual orientation.	N/A	N/A
Sex	(1) N (2) N (3) N	No differentiation is made to the right to join the scheme, transport provided or the charging system based on the grounds of sex.	N/A	N/A
Welsh language	(1) N (2) N (3) N	No differentiation is made to the right to join the scheme, transport provided or the charging system based on the grounds	N/A	There are currently more post 16 pupils using the school transport service to access English medium

			of Welsh Language.		schools.
Any other area	(1) N (2) M (3) N	Students from families with a low income may be affected, but those who meet the free school meals criteria will be exempt from the proposed charge. Students that live in rural areas of the County.	N/A	Students and their families should be made aware of available grants and support for school and college transport. Those who meet the free school meals criteria will be exempt from the proposed charge. The proposed charge is a flat rate charge for all those students to ensure there is equal opportunity of access for all , if for example there was a higher charge for students living in deep rural areas they would be more disadvantaged and this could affect the numbers attending education.	

<p>5. Has there been any consultation/engagement with the appropriate protected characteristics?</p>	<p>YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p> <p>The public consultation undertaken in 2013/14 resulted in 50.3% of respondents supporting this proposal, with 34.8% in disagreement – this response was further supported in the latest budget consultation (14/15), with 53% in support of either removal or charging for the service, with 29% in disagreement. Following the 2013/14 consultation, some respondents stated that the proposal would have a negative impact on those unable to pay and those in rural areas, given lack of suitable alternatives; while others said that it will affect participation rates. Some respondents felt that it must not be allowed to affect Welsh medium provision. It was suggested that if a charging option was to be introduced that it should be means tested to ensure low income families would not be disproportionately affected. The majority of these views were repeated during the 2014/15 consultation also.</p>
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During 2014/15 respondents also noted their concern in relation to urban/rural divide and the potential for the increase in the number of young people classified as NEET (Not in Education or Training). Some comments received in support of the proposal included the benefit of encouraging young people to manage money responsibly; the saving was necessary to protect front line services and college users should bear some of the costs in order to maintain the service. The Youth Council raised concerns in relation to the proposal resulting in the constraint of take-up of further education opportunities and force students to select courses that do not suit their career path (as may not be offered within nearest college).

Further statutory consultation will be undertaken during September 2015, to include a wide range of stakeholders:

- All post-16 institutions where we currently send learners;
- All Carmarthenshire secondary schools;
- Future post-16 students;
- Learners and parents of learners;
- School staff and Governors (through provision of drop-in sessions at each of the sites);
- Neighbouring Local Authorities of which some learners could be affected.

The consultation and engagement process will include options for completing a questionnaire online, by post or in person at a drop-in session. A drop-in session will be held at each of the County's secondary schools and colleges and will be open for anyone to attend. The consultation will be widely promoted through local press, literature to all schools and colleges (approximately 17,000 postcards) the Council's website, primary school web sites and social media.

6. What action(s) will you take to reduce any disproportionately negative impact, if any?

We will promote the different grants that are available to some students, such as, students of low income families are eligible for EMA (Education Maintenance Allowance) which is intended to "help with the costs of further education".

Any charge will be introduced on a phased approach to impose minimum impact.

The fee proposed is a flat rate in order to avoid penalising those in rural areas with greater distances to travel and less alternatives.

The proposed fee has been kept as low as possible and is cheaper than equivalent public transport even for the shortest journeys

Those students that are eligible for free school meals will be exempt from the charge.

We will encourage operators to offer and develop public transport options where possible. The withdrawal of free transport may have a beneficial effect by encouraging growth of the public transport network with subsequent benefits to all members of the community.

7. Procurement

Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice. N/A

8. Human resources

Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? N/A

9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)

YES

NO

Approved by:
Head of Service

S G Pilliner

Date:

7th September,2015

Appendix 11 - Libraries

Carmarthenshire County Council

Equality Impact Assessment

Contact Name	Ian Jones Jane Davies Mark Jewell	Title	Head of Leisure Senior Cultural Services Manager Library Services Manager
Budget title	Libraries (Mobile & Branch)		
Amount £	£TBCK		
Saving £	£240k		
Description	<p>County Library Services has been tasked with finding £240k of savings in the 2016/17 and 2017/18 and 2018/19 financial years. Of these savings, the £92k in 2016/17 is for the review of the mobile service which is seen as a managerial efficiency.</p> <p>A service review is ongoing looking at public library provisions across Carmarthenshire. It is intended that the review will outline a new direction for the Service against a background of significant cuts to local authority budgets.</p> <p>Library services are continually changing to meet the needs of the public, and this has led to a need to review the pattern of service delivery. Stronger community participation and widening the appeal are essential for the Service to prosper.</p> <p>In order to meet the £240k efficiency, some service provision will inevitably be affected. These efficiencies will impact on the following areas:</p> <ul style="list-style-type: none"> • Community Branch Library services • Mobile & Housebound Library Services <p>Potentially, there are a number of libraries that are not viable in terms of public usage and cost effectiveness. This may be due to their size or that they are no</p>		

	<p>longer fit for purpose. Some of our libraries now only serve a very small number of borrowers and as such, the case for maintaining a static service point is questionable. Currently there are 15 static service points with 4 mobile library units operating within Carmarthenshire.</p> <p>In addition to the 3 main Town libraries, the review is beginning to highlight an additional 5 centres of excellence, along with a fleet of 3 mobile libraries and a housebound service. Of the remaining branch libraries, a number will need to be considered for “alternative methods/forms of service delivery” e.g. co-location, whilst others may be recommended for closure.</p> <p>The relationship between town, branch and mobile / housebound services is key. Less static service points (branch libraries) may require adaptations to the mobile service.</p> <p>As of April 2016 the mobile service will be looking to operate 3 more efficient vehicles covering 27 community hub stops for half a day per stop. The service will also provide additional access to the internet through wi-fi. The housebound service will also be re-vamped to ensure that it’s the clients who qualify and most need to support who access this service.</p> <p>Library services in Wales are required to provide an efficient, effective and comprehensive service. They are underpinned by the Welsh Public Library Standards (WPLS). The proposals outlined above would still ensure that the authority meets its statutory obligations whilst delivering to the WPLS.</p>
<p>Will this proposal have an adverse impact on any particular groups of people including those who may be disadvantaged by virtue of gender, race, religion / belief, age, disability or sexual orientation? Will it impact disproportionately on those in lower income groups?</p>	
Yes	Public libraries are a powerful resource and important in addressing a number of the priorities set out in the Welsh Government’s “Programme for Government”, including promoting growth and tackling poverty.

		<p>Welsh public libraries address poverty by tackling the digital divide, providing access to the internet with trained staff delivering advice and guidance, and helping people develop vital information literacy skills. They will also become an important community resource in helping people claim Universal Benefit and enabling them to take advantage of a broad range of statutory and voluntary support available in their local community. These and other aspects of the service are planned, shaped and delivered by skilled and knowledgeable professional library staff.</p> <p>Additionally libraries play an important role in advancing knowledge by providing access to information, supporting entrepreneurial activity, and inspiring life-long learning and reading for enjoyment. They foster social mobility and strengthen our communities, catering, as they do, for the needs of all parts of society from toddlers and their parents, to students (of all ages) and researchers, from local activists to small businesses, and from the frail and elderly and their carers to hobbyists and creators.</p>
<p>If Yes, please briefly describe the nature of the impact. Which groups are likely to be affected and in what way?</p> <ol style="list-style-type: none"> 1. There will be an impact in terms of what is currently provided, and what may be provided in the future. Some current service users may have to access service on line or from a mobile provision in future as opposed to a branch library. 2. WPLS – a more outcome based framework is now in place where services need to demonstrate the wider contribution and value of public libraries and allow for greater reconfiguration along more innovative lines within local authorities. Library services in Wales are required to provide an efficient, effective and comprehensive service. They are underpinned by the Welsh Public Library Standards (WPLS). The proposals outlined above would still ensure that the authority meets its statutory obligations whilst delivering to the WPLS. 		

Description of impact	Some changes to how service is delivered to the public, most of which will be positive. This will enable the authority to provide a modern fit for purpose library service which will be sustainable and reflective of the requirements of the authorities Forward Financial Plan.
<p>Consultation</p> <p>Have you consulted any of these groups or their representative bodies?</p> <p>We regularly consult with users, unions, and the Museums, Archives, And Libraries (MALD) division within Welsh Government, as well as the Society of Chief Librarians (SCL) for Wales. LA members are also consulted as part of the PBB efficiency programme presented to them for consideration, and there is a full public consultation exercise underpinning this annually as part of the budget planning process. Full and specific consultation would be undertaken if a particular branch library were proposed for closure. Changes to the mobile and housebound services are deemed as operation changes to routes, delivery vehicles and points and means of contact.</p> <p>If so please give details, what was the outcome?</p> <p>To be confirmed</p>	
Description of consultation	Public consultation on budget planning is currently underway (Dec 2015), with result hopefully available in early January 2016
Mitigation	
Details of steps to be taken to mitigate any adverse impact	<p>Alternative Methods/Forms of Service Delivery</p> <ul style="list-style-type: none"> • Volunteer run libraries <p>The use of volunteers in libraries has become prominent in the last couple of years. Currently one Community library is operated by volunteers within the county. This could be further explored/extended within Carmarthenshire and where</p>

	<p>implemented would be supported and managed by professional Library Service, providing professional support, stocks of books and non book materials along with IT support to small community based libraries run by volunteers from within the community.</p> <ul style="list-style-type: none"> • Community councils <p>In a number of authorities, community councils have contributed towards library provision. Working in partnership, community councils often provide accommodation and staffing, while the county council provide book stock and professional support for these small community based libraries. Pontyberem library goes a long way towards this route with the Community Council funding the building and staffing costs.</p> <ul style="list-style-type: none"> • Co-location of existing libraries <p>Across the Principality libraries are being relocated within other local authority buildings such as Leisure Centres, Community Centres and Civic Centres all having been used with varying degrees of success. Where practical, shared premises and staffing with other departments / organisations within Carmarthenshire may be able to offer extended library provision. Such a move would bring savings from having shared premises but investment would be needed to fund any such relocations. A good example of shared services can be seen at “Y Gat” St Clears.</p> <ul style="list-style-type: none"> • Enhanced housebound services <p>The current housebound delivery service provides a tailored service specific to the requirements of the individual members with stock carefully selected by professional staff and delivered to borrowers’ homes by library staff. Many current users in more remote locations could be transferred to the home delivery service, which would work in partnership with the Mobile library service. Consideration should be given to the use of volunteers and the establishment of partnerships with existing providers.</p> <ul style="list-style-type: none"> • Deposit collections <p>The library service already supplies a number of large deposit collections of books</p>
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	<p>to day centres, nursing homes and hospitals, Stock is changed on a regular basis and selected by professional library staff. Providing there are suitable community venues this is a model that can be replicated. Costs for this would be met within existing budget providing there was no staffing or building cost to the Service.</p> <ul style="list-style-type: none"> • Mobile library service By streamlining our static branch library service with an adapted mobile library service, this will facilitate ‘community’ stops of between around 3 hours per visit replacing the present traditional ‘silver service’ door to door type mobile stop approach of between 5 and 30 minutes. This would require significant changes to the existing mobile schedule, also reducing the current fleet from 4 to 3 vehicles. The costs of running this streamlined extended service and staffing would be within the lower than the existing budget, whilst no extra costs would be incurred. Some precedence for using the mobile library as a replacement to static libraries exists as there are a number of locations on the current schedule which are served by longer ‘community’ stops. • Other Provision Libraries are recognised as important community venues which often provide a safe learning environment for children out of school hours and adults wishing to learn new skills. In many communities, the library may provide the only IT facilities in the area, enabling access to the internet. Where possible, consideration should be given to providing access to these services from other alternative premises in the area. Where possible, grant funding bodies should be explored in order to facilitate these changes.
<p>Context Is this proposal part of a wider plan which would place it in context? (e.g. closure of an individual facility in the context of a wider investment programme).</p> <p>These efficiencies come on the back of the global recession, and the well documented challenge to all public sector organisations to deliver their services with fewer resources. Almost every division</p>	

<p>within the authority has had to deliver significant budget efficiencies over the past number of years; however the next 3 financial years are likely to present the toughest challenge yet for a number of services.</p> <p>In order to support a programme of change and develop a service that responds to the wider agenda for efficiencies and service challenges ahead, the service review has had to determine whether to continue to support resources in services that are not fit for purpose and inefficient in terms of hourly costs and performance. The “Alternative Methods/Forms of Service Delivery” should enable resources to be applied where performance and service levels can best deliver as centres of excellence.</p>	
<p>Details of context of the proposal</p>	<p>These proposals should be subject to an ongoing equalities impact assessment as part of a consultation process.</p>
<p><u>Monitoring</u> Do you have any plans to monitor the ongoing impact on the affected group(s)?</p>	
	<p>Any of these alternatives forms of service delivery would come with a considerable amount of planning and preparation to ensure that the replacement service meets with community needs. Along with this, the need to continually assess performance against delivery will be paramount. (WPLS)</p>
<p>Other information Is there anything else which ought to be recorded?</p>	
	<p>None</p>

Appendix 12 – Meals on Wheels

Initial Equalities Impact Assessment Template

Department: Integrated Services	Completed by (lead): Julia Wilkinson	Date of initial assessment: 06/01/2016
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Meals on Wheels	
Is this existing or new function/policy, procedure, practice or decision?	Existing	
What evidence has been used to inform the assessment and policy? (please list only)		
<p>This change should be read in the context of the following strategic documents:</p> <ul style="list-style-type: none"> • Integrated Community Nutritional Strategy • Carmarthenshire’s Vision for Social Services for Older People in the Next Decade • Ageing Well Plan 2015 - 2019 <p>With the founding principles of the services:</p> <ul style="list-style-type: none"> • Promoting independence, • Improving Services • Integration of Primary, Community & Social care Services • Putting service users at the centre of their plans 		

	<p>Greater flexibility of service provision</p> <p>Enabling service user to have more choice and control over their services</p> <p>Promoting Welsh Language</p> <p>Promoting diversity and ensuring Equality of Opportunity</p> <ul style="list-style-type: none"> • Supporting families and carers • Designing high quality safe and effective services • Delivering services closer to people’s home and within their communities • Value for money • Evidence and research based practice • Engaging the independent sector. • Care and Social Services Inspectorate for Wales’s regulations and standards.
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<p>1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.</p>	<p>Carmarthenshire’s Social Services supplies community meals to those who have an assessed need. An assessment would establish if a person was; able to re-heat a frozen meal unaided, if people are at risk of forgetting to eat or are unable to eat without assistance. Provision of a hot meal may be part of a service users’ package of care or could be the only service provided.</p> <p>A significant number of hot meals are prepped within the Local Authority Care Homes and delivered through a contract with the Royal Voluntary Service. CCC also has an arrangement with Appetito who franchise with a sister company Wiltshire Farm Foods to deliver a in a frozen meal service.</p> <p>The decision to increase the costs of the community meal provision has been taken to ensure not only that that costs are covered but that a quality and</p> <p>nutritionally balanced meal service is delivered to those where Meals on Wheels is the best option the met their needs. It should also be considered in conjunction with a number of factors:</p> <ul style="list-style-type: none"> • The community meals service continues to decline in popularity with the numbers of service users accessing the service declining, with 486 people accessing the service in 2012 compared to 328 in March 2015.
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- Around 1 in 10 older people are malnourished or at risk of malnutrition, this equates to around 1 million in the UK and of these 93% are living in the community.
- An integrated community nutritional and hydration strategy has recently been approved. This is an integrated initiative between health and social care aimed at addressing the barriers to older people meeting their nutritional needs. This will include encouraging social eating initiatives, introducing a malnutrition screening tool in the community and a comprehensive training programme.

The aim of current work is to ensure that nutritional needs of vulnerable people are met in the community, this includes ensuring quality of current provision, as well as providing a range of options for meal provision to Carmarthenshire residents through an enabling or rehabilitative model to support independence for individuals who have been identified as requiring assistance with nutritional needs.

The ethos of the Reablement Service in regaining and maintaining people's independence in preparing and making meals also supports this agenda. It is evident from CRTs that people are accessing local communities to meet their needs.

The "Recipe for Life" project aimed to find better ways to support older people to eat well, found a number of social and psychological factors which had an impact on dietary intake which included:

- Eating with others
- Cooking for others
- Having a good quality meal
- Eating food of personal choice and taste
- Eating food that looks appetising
- Smelling food as it is being cooked
- Getting out of the house
- Being active
- Having exposure to foods and food ideas

Nutritional need will continue to be identified within care plans and services arranged to promote choice and independence that meet the needs of each individual. The Community Resource Teams of Llanelli, Amman and Gwendraeth and Teifi, Towy and Taf undertake multi disciplinary community care assessments in consultation with service users, their families, carers and other professionals, and NHS colleagues as well as colleagues in other departments of the Council such as Housing.

The proposed change will be communicated to all stakeholders and community meals will continue to be delivered to appropriate clients. Other nutritional initiatives will also ensure an integrated infrastructure of preventative support and services that are tailored to personal choice and preferences in light of the transformation in practices in the delivery of adult social care arising from the personalisation of services, (e.g. Putting People First and Think Local Act Personal programmes)

The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-

- (1)** eliminate unlawful discrimination, harassment and victimisation;
- (2)** advance equality of opportunity between different groups; and
- (3)** foster good relations between different groups

Protected Characteristic	The level of impact on each group/ protected characteristics in terms of the three aims of the duty high (H) medium (M), low (L), no effect (N) for each.	Identify the risk or positive effect that could result in the proposed change.	Mitigating factors considered.
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		Risks	Positive Effects	
Age	<p>High</p> <p>The service change will affect Older People as services users of Meals on Wheels are all above the age of 65. Population projections in the medium to long term (over the next 10 years) show a continued trend towards an older population, especially the numbers of over 85's which is predicted to increase by 40% by 2025.</p>	<ul style="list-style-type: none"> • Carmarthenshire has a higher than Wales average of older residents which is likely to have significant implications on the demand for adult social care services. Moreover as ill-health increases with age, this is the main challenge for the services. • Around 1 in 10 older adults are malnourished or at risk of malnutrition. This equates to around 1 million in the UK and of these 93% are living in the community. • Data on individuals who are currently receiving the service and have ceased due to cost increase will be collated and evaluated by each Locality Social Work Team. A way forward to be agreed in communicating with service users with regard to the changes for the MOW service. 	<ul style="list-style-type: none"> • Information already suggests that reliance on the MOW service is in decline as people utilise services within their communities. • Research suggests that good nutrition in older adults is supported through choice and sociability which an integrated nutritional strategy will address. • Reablement will continue to contribute to the reduction for the need for on-going care by promoting the independence of service users through the provision of care and support services which aid daily living. • More community based 	<p>Integrated services are taking a great deal of care and attention to mitigate the potential negative impacts of the service changes, including:</p> <ul style="list-style-type: none"> • Delivery of Integrated Community Nutrition and Hydration Strategy. • Accessible information and staff training regarding meeting nutritional needs and the need for change. • Setting up clear and transparent service standards to measure the performance of maintaining people's independence and non reliance on statutory community services. • Creating a greater role for services users and their carers to audit the quality standards that will be

		<ul style="list-style-type: none"> • Access and availability of services across the county especially within rural communities may prove challenging when seeking appropriate alternative arrangements. • Access to appropriate dietary requirements and special diets may be challenging. • Financial implications to service users that continue with the service. • Potential loss of the added value of personal contact from the deliverer if numbers decrease. 	<p>locally designed and delivered services, promoting innovation and choice.</p> <ul style="list-style-type: none"> • Greater involvement for service users as part of their community • Greater choice in relation to the menu available, time of meal and frequency. • Appropriate care packages delivered cost effectively. • Empowering service users to find solutions locally which in turn would support the local economy. 	<p>implemented.</p> <ul style="list-style-type: none"> • Signposting to welfare benefits maximisation services to ensure financial support.
<p>Disability</p>	<p>High</p> <p>Services are specifically for individuals who face a critical or substantial risk to their independence, primarily due to disability or frailty.</p>	<p>Many of the risk factors are common with the older adult group – specific issues for disability however are:</p> <ul style="list-style-type: none"> • When mobility is a contributing 	<ul style="list-style-type: none"> • There will be more capacity to tailor provision to meet individual need which addresses individualised barriers. 	<ul style="list-style-type: none"> • Transport and mobility issues are embedded into Community Nutrition and Hydration Strategy Action Plan.

		factor to disability alternative models of nutritional support may not be appropriate.	
Gender reassignment	Low	Low risk with limited impact on this protected characteristic group	N/A
Race	Low	Low risk with limited impact on this protected characteristic group	N/A
Religion/Belief	Low	Low risk with limited impact on this protected characteristic group	N/A
Pregnancy and maternity	Low	Low risk with limited impact on this protected characteristic group	N/A
Sexual Orientation	Low	Low risk with limited impact on this protected characteristic group	N/A

<p>Page 350</p>	<p>Low</p>	<p>Low risk with limited impact on this protected characteristic group</p>	<p>N/A</p>
<p>Welsh language</p>	<p>Medium</p>	<ul style="list-style-type: none"> • There will be a need to ensure that service users are able to access services in the language of their choice. • Welsh language requirements will need to be met and the service delivery model adopted will need to deliver Welsh Government policy requirements. 	<ul style="list-style-type: none"> • Any alternative service delivery model developed will need to ensure that Welsh language provision is catered for.

<p>5. Has there been any consultation/engagement with the appropriate protected characteristics?</p>	<p>YES <input type="checkbox"/> NO X <input checked="" type="checkbox"/></p>
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6. What action(s) will you take to reduce any disproportionately negative impact, if any?

No disproportionate impact has been identified however actions are in place to mitigate any impact which include:

- Data on individuals who are currently receiving the service and have ceased due to cost increase will be collated and evaluated by each Locality Team. A way forward to be agreed to meet nutritional needs of service users with regard to the financial changes for the MOW service.
- Delivery and monitoring of action plan for the Integrated Community Nutrition and Hydration Strategy which clearly addresses barriers and support measures to good nutrition.
- A higher level of signposting of mainstream preventative services and community provision.

- A more consistent application of eligibility criteria and care management functions.
- More community based and locally designed and delivered services, promoting innovation in delivery.

7. Procurement

Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.

There may be an increased take up for Wiltshire Farm Foods which can be managed by the brokerage service within commissioning and contracting.

8. Human resources

Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?

There may be implications for the Royal Voluntary Service with regard to staffing if demand falls however we are currently in discussions with them to support services related to community based models of meal services .

<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>	<p>YES <input checked="" type="checkbox"/></p>	<p>NO <input type="checkbox"/></p>
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<p>Approved by: Head of Service</p>	<p>Rhian Dawson Head of Integrated Services</p>	<p>Date: 14th January, 2016</p>
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Appendix 13 – Catering Services, Free School Breakfasts Initial Equalities Impact Assessment

Department: Education & Children	Completed by (lead): Helen Bailey / David Astins	Date of initial assessment: 14 th December 2015 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Free School Breakfast service <ul style="list-style-type: none"> • 2016-17 £100k • 2017-18 £10k 	
Is this existing or new function/policy, procedure, practice or decision?	A new practice / decision	
What evidence has been used to inform the assessment and policy? (please list only)		
<ul style="list-style-type: none"> • Changing approaches by other Local Authorities in Wales • The need to focus on statutory responsibilities 		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	Reviewing the provision of Free Primary School Breakfasts to that needed for the provision of free breakfasts only. This will be reviewed setting by setting, with the likelihood being that the average time for each setting will be around 30 minutes.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) eliminate unlawful discrimination, harassment and victimisation; (2) advance equality of opportunity between different groups; and	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty? Please indicate high (H) medium (M), low (L), no effect (N) for each. H / M	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	
		Risks	Positive effects
		4. If there is a disproportionately negative impact what mitigating factors have you considered?	

(3) foster good relations between different groups (see guidance notes)					
Protected characteristics	Age	M	Some settings may potentially become unviable due to the availability of staff willing to work for shorter periods.		In such settings discussions will be held with the Governing Body to assess options for retaining the provision as we would not wish to see any setting become unviable.
	Disability	N			
	Gender reassignment	N			
	Race	N			
	Religion/Belief	N			
	Pregnancy and maternity	N			
	Sexual Orientation	N			
	Sex	N			
	Welsh language	M	There is a small risk that breakfast provision in small Welsh medium schools could become unviable		If a reduction in hours will potentially make the service unviable at a particular setting it will be reviewed with the Governing Body to seek alternative options (which will include not reducing the hours).
	Any other area	N			

5. Has there been any consultation/engagement with the appropriate protected characteristics?	YES <input type="checkbox"/> X NO <input type="checkbox"/>	
6. What action(s) will you take to reduce any disproportionately negative impact, if any? Discussions with Governing Bodies and staff.		
7. Procurement Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service. None. Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.		
8. Human resources Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? An overall reduction in staff hours will affect women more than men due to the profile of the workforce. However the majority of breakfast staff go on to work in the kitchen preparing and serving school meals so the loss for most will be minimal. If a reduction in hours will potentially make the service unviable at a particular setting, it will be reviewed with the Governing Body to seek alternative options (which will include not reducing the hours).		
9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)	YES <input type="checkbox"/>	NO <input type="checkbox"/> X
Approved by:	David Astins Strategic Development Manager	Date: 14 th December 2015

Appendix 14 – Car Parks

Initial Equalities Impact Assessment Template

Department: Environment	Completed by (lead): John McEvoy, Road Safety & Traffic Manager	Date of initial assessment:	
		Revision Dates:	
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Financial savings: £54,000 2016/17; £54,000 2017/18. Increase parking charges by 20p across all Carmarthen centre car parks.		
Is this existing or new function/policy, procedure, practice or decision?	No		
What evidence has been used to inform the assessment and policy? (please list only)			
Budget Budget consultation 2014/15. Car parking review decision report to the Executive Board 4 th Oct 2010.			

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	Efficiencies can be gained by deselecting school crossing patrol sites using the criteria for the assessment of school crossing patrol sites, published in RoSPA’s School Crossing Patrol national guidance document.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) Eliminate unlawful discrimination, harassment	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	4. If there is a disproportionately negative impact what mitigating factors have you considered?

and victimisation; (2) advance equality of opportunity between different groups; and (3) foster good relations between different groups (see guidance notes)		Please indicate high (H) medium (M), low (L), no effect (N) for each.	Risks	Positive effects	
Protected characteristics	Age	(1) L (2) N (3) N	N/A	N/A	N/A
	Disability	(1) N (2) N (3) N	N/A	N/A	N/A
	Gender reassignment	(1) N (2) N (3) N	N/A	N/A	N/A
	Race	(1) N (2) N (3) N	N/A	N/A	N/A
	Religion/Belief	(1) N (2) N (3) N	N/A	N/A	N/A
	Pregnancy and maternity	(1) N (2) N (3) N	N/A	N/A	N/A
	Sexual Orientation	(1) N (2) N (3) N	N/A	N/A	N/A
	Sex	(1) L (2) N (3) N	N/A	N/A	N/A
	Welsh language	(1) N (2) N (3) N	N/A	N/A	N/A
	Any other area	(1) N (2) N (3) N	N/A	N/A	N/A

5. Has there been any consultation/engagement with the appropriate	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
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<p>protected characteristics?</p>	<ul style="list-style-type: none"> • A comprehensive consultation exercise has been undertaken with the general public. • Statutory notices have been published in the local press (21st May 2014) and on our corporate website in relation to evening charges <p>The feedback received from the comprehensive public consultation found that 53.1% of respondents disagreed ('disagree' and 'strongly disagree') with the proposal of introducing evening charges. The main areas of concern were more illegal parking, making it difficult for residents; Impact on evening economy and many thought that the additional enforcement costs would outweigh the additional income. Several respondents suggested introducing evening charges at a reduced rate.</p> <p>The proposed increase in car parking charges resulted in slightly more respondents disagreeing (45.6%) than those in favour (43.3%). Respondents commented that charging was already high and increasing the charge further would deter the public and visitors from shopping in the town centre, and would encourage the use of 'out of town' businesses. Other concerns were raised about increase in illegal parking. Some suggestions for reducing the impact included reduced cost of annual parking passes; introduce a very cheap short stay ticket for town centre; improve public transport.</p> <p>Statutory notices have been published in the local press (21st May 2014) and on our corporate website, to invite objections from the general public. We received 12 representations as a result of this widespread publicity. The objections raised referred to generic issues such as the potential for increased financial burden placed on residents; effect on evening trade in the town centres; effect on the vitality and viability within the affected town centres; potential effect on current social practices and we received one representation with regards to concerns over safety.</p>
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6. What action(s) will you take to reduce any disproportionately negative impact, if any?

7. Procurement
Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

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Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.		
8. Human resources Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? N/A		
9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)	YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
Approved by: Head of Service	S G Pilliner	Date:

Appendix 15 – Delegated School Budget Initial Equalities Impact Assessment Template

Department: EDUCATION AND CHILDREN'S SERVICES	Completed by (lead): Gareth Morgans	Date of initial assessment: November 18th, 2015 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Reduction in Schools budgets to contribute to Corporate Efficiency targets	
Is this existing or new function/policy, procedure, practice or decision?	This is a new policy decision in respect of schools budgets being included in the County Council's approach to managing the effect of a reduced settlement from the Welsh Government.	
What evidence has been used to inform the assessment and policy? (please list only)		
<ul style="list-style-type: none"> • School Funding arrangements in Wales. • Carmarthenshire's Scheme for Financing Schools • Consultation with school leaders, Governors and staff from the Education Service. 		

<p>1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.</p>		<p>A reduction in delegated school funding. Funding is delegated to Schools on an annual basis using the agreed Fair Funding Scheme. In order to meet the efficiency targets it is planned to remove funding from the delegated budget-</p> <p>2016/17- 5.5m 2017/18- 6m 2018/19- 6.780m</p> <p>Over the next three years this equates to a reduction per pupil to the value of approximately £680.</p>							
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p> <table border="1" data-bbox="1079 715 1715 967"> <tr> <th data-bbox="1079 715 1379 751">Risks</th> <th data-bbox="1386 715 1715 751">Positive effects</th> </tr> <tr> <td data-bbox="1079 756 1379 967"></td> <td data-bbox="1386 756 1715 967"></td> </tr> </table>		Risks	Positive effects			<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
Risks	Positive effects								
<p>characteristics</p>	<p>Age</p>	<p>HIGH</p>	<p>Reduced funding will lead to schools needing to review their budgets. This could lead to reduction in staffing levels, increased class sizes and reduced provision.</p>	<p>Schools will need to work collaboratively and consider joint posts, cooperation on back office support, specific areas of responsibility and possibly shared/improved leadership.</p>	<p>Schools (Leaders at all levels) and the County Council will need to be proactive in planning for this budget reduction. A Schools Finance Group has been set up to develop ideas to mitigate impact on front line services to learners.</p>				
	<p>Disability</p>	<p>M</p>	<p>The support and provision for vulnerable/disable pupils could be affected.</p>	<p>Review of current systems and structures and collaboration with other settings.</p>	<p>The County Council will have to ensure that schools meet the diverse needs of all pupils and hold school leaders to account.</p>				

Gender reassignment	N			
Race	M	There will be a potential reduction in funding to support EAL/Gypsy Travellers.		Finance and Education colleagues to find ways of protecting this element of the Education Improvement Grant funding.
Religion/Belief	N			
Pregnancy and maternity	N			
Sexual Orientation	N			
Sex	M	A high percentage of school staff are female. A reduced budget could mean a reduced workforce with females bearing the brunt of this.		Ensure appropriate support and challenge from Human Resources section in respect of redundancy process and equality issues.
Welsh language	M	Staff who do not speak Welsh might be at a disadvantage as schools remodel to manage with reduced resources and implement Welsh Government and local strategies e.g. Welsh in Education Strategic Plan		Ensure appropriate support and challenge from Human Resources section in respect of redundancy process and equality issues.
Any other area				

5. Has there been any consultation/engagement with the appropriate protected characteristics?	YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
6. What action(s) will you take to reduce any disproportionately negative impact, if any?		
7. Procurement Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service. Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.		
8. Human resources Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?		
9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
Approved by: Head of Service	Gareth Morgans	Date: 18-11-15

Detailed Equalities Impact Assessment Template

Department:	EDUCATION AND CHILDREN'S SERVICES
Completed by (lead):	GARETH MORGANS
Date of Detailed assessment:	
Area to be assessed: (<i>Policy, function, procedure, practice or a financial decision</i>)	Please see initial impact assessment
Is this existing or new function/policy/Procedure/ practice	Please see initial impact assessment

1. Describe the aims, objectives or purpose of the function/policy, practice or procedure and who is intended to benefit.	Please see initial impact assessment
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<p>2. Please list any existing documents, evidence, research which have been used to inform the Detailed equality impact assessment. (This must include relevant data used in this assessment)</p>				
<p>3. Has any consultation, involvement been undertaken with the protected characteristics to inform this assessment? (please provide details, who and how consulted)</p>				
<p>4. What is the actual/likely impact?</p>				
<p>5. What actions are proposed to address the impact? (<i>The actions needs to be specific, measurable and outcome based</i>)</p>	<p>What are we going to do</p>	<p>Who will be responsible</p>	<p>When will it be completed</p>	<p>How will we know we have achieved our objective</p>

6. How will actions be monitored?				
Approved by: Head of Service		Date:		

Appendix 16 – School Crossing Patrols Initial Equalities Impact Assessment Template

Department: Environment	Completed by (lead): John McEvoy, Road Safety & Traffic Manager	Date of initial assessment: Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Financial savings: £55,000 2016/17; £0 2017/18. Manage and maintain an efficient, effective, and safe school crossing patrol service.	
Is this existing or new function/policy, procedure, practice or decision?	No	
What evidence has been used to inform the assessment and policy? (please list only)		
Budget		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	Efficiencies can be gained by deselecting school crossing patrol sites using the criteria for the assessment of school crossing patrol sites, published in RoSPA’s School Crossing Patrol national guidance document.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) eliminate unlawful discrimination, harassment	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	4. If there is a disproportionately negative impact what mitigating factors have you considered?

and victimisation; (2) advance equality of opportunity between different groups; and (3) foster good relations between different groups (see guidance notes)		Please indicate high (H) medium (M), low (L), no effect (N) for each.	Risks	Positive effects	
Protected characteristics	Age	(1) L (2) N (3) N	The service is provided to reduce the risk of road injury to children on their way to and from school. The age range of schoolchildren affected by the withdrawal of the service would be 4 years to 17 years. The service also provides a safer crossing facility for pedestrians of all ages during its period of operation. This service is particularly welcomed by the more vulnerable/elderly pedestrians.	N/A	55% of sites where SCPs are deployed do not meet the national threshold criteria and could be removed.
	Disability	(1) N (2) N (3) N	N/A	N/A	N/A
	Gender reassignment	(1) N (2) N (3) N	N/A	N/A	N/A

Race	(1) N (2) N (3) N	N/A	N/A	N/A
Religion/Belief	(1) N (2) N (3) N	N/A	N/A	N/A
Pregnancy and maternity	(1) N (2) N (3) N	N/A	N/A	N/A
Sexual Orientation	(1) N (2) N (3) N	N/A	N/A	N/A
Sex	(1) L (2) N (3) N	Boys are at greater risk than girls of being injured in a road traffic collision and are – likely to be more disadvantaged by the withdrawal of the SCP service.	N/A	55% of sites where SCPs are deployed do not meet the national threshold criteria and could be removed.
Welsh language	(1) N (2) N (3) N	N/A	N/A	N/A
Any other area	(1) N (2) N (3) N	N/A	N/A	N/A

5. Has there been any consultation/engagement with the appropriate protected characteristics?	YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
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6. What action(s) will you take to reduce any disproportionately negative impact, if any?
To introduce an increased level of road safety education, publicity and training.

<p>7. Procurement</p> <p>Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.</p> <p>Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.</p> <p>N/A</p>		
<p>8. Human resources</p> <p>Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? N/A</p>		
<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>	<p>YES <input type="checkbox"/></p>	<p>NO <input checked="" type="checkbox"/></p>
<p>Approved by: Head of Service</p>	<p>S G Pilliner</p>	<p>Date:</p>

**Appendix 17 – Council Fund Housing, Options and Advice
Initial Equalities Impact Assessment Template**

Department: Communities	Completed by (lead): Jonathan Willis ,Housing Manager, Housing Options	Date of initial assessment: September 2015 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Reduction Housing Strategy Grant, £29,000 (Reduction of assistance to Shelter and Women’s Aid Organisations)	
Is this existing or new function/policy, procedure, practice or decision?	Existing	
What evidence has been used to inform the assessment and policy? (please list only)		
<ul style="list-style-type: none"> • Corporate Review of Third Sector Funding • Review of Housing Options Services 		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	<p>The funding assisted the organisations to provide support and advice to a range of service users including those who are potentially homeless and have experienced domestic abuse.</p> <p>The Housing Options Service has undertaken a review of how it provides housing advice. A re-alignment of the service has been undertaken in accordance with that review and in the light of the Housing Act (Wales) 2014.Both the review and the new legislation required local authorities to be proactive in terms of the provision of housing advice. Whilst there is continued emphasis on partners housing advice provided by these groups have been absorbed into the day to day operation of the Housing Options Team.</p> <p>Specialist support provided by the organisation will continue via alternative funding mechanisms.</p>
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<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p>		<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
			<p>Risks</p>	<p>Positive effects</p>	
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Protected characteristics</p>	<p>Age</p>	<p>Low</p>	<p>The Council have implemented a new process for the delivery of housing advice and support. All service users who contact the Housing Options Team are supported with regard to the situation they are in.</p>	<p>Specialist support remains in relation to the organisations involved.</p> <p>We have reviewed our partnership arrangements with Shelter who are now co-located with our Housing Options Team to ensure a co-ordinated approach to housing advice.</p>	<p>The withdrawal of funding has been staggered over a three year period to allow for the relevant service changes.</p> <p>We are working in partnership with domestic abuse services to ensure protocols are in place to ensure the level of support is maintained.</p>
	<p>Disability</p>	<p>Low</p>	<p>As above</p>	<p>As above</p>	

Gender reassignment	Medium	<p>Whilst there are risks the withdrawal of grant. It will not affect the specialist support and advice for both men and women experiencing domestic abuse.</p> <p>The realignment of Housing Options and training of Housing Advisers will ensure service users get the appropriate support.</p>	As above	
Race	Low	As above	As above	
Religion/Belief	Low	As above	As above	

Pregnancy and maternity	Low	As above	As above	
Sexual Orientation	Low	As above	As above	
Sex	Low	As above	As above	
Welsh language	Low	As above	As above	
Any other area				

5. Has there been any consultation/engagement with the appropriate protected characteristics?	<p>YES <input type="checkbox"/></p> <p>Meetings and discussions were held with all groups two years ago to inform them of the proposals. Further meetings have been held with Shelter and Llanelli Women’s Aid in terms of developing the partnership arrangements.</p>
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<p>6. What action(s) will you take to reduce any disproportionately negative impact, if any?</p> <p>We have mitigated the impact by staggering the withdrawal of funding. We have reviewed our service delivery modal with regard to housing advice and the role of partners.</p>
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<p>7. Procurement</p> <p>There are no procurement issues</p> <p>Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.</p> <p>Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.</p>
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<p>8. Human resources</p> <p>There are no human resource issues.</p> <p>Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?</p>		
<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>		<p>NO <input type="checkbox"/></p>
<p>Approved by:</p> <p>Head of Service</p>	<p>Robin Staines Head of Housing and Public Protection</p>	<p>Date: 1/9/2015</p>

Detailed Equalities Impact Assessment Template

Department:	Please see initial impact assessment
Completed by (lead):	
Date of Detailed assessment:	
Area to be assessed: (<i>Policy, function, procedure, practice or a financial decision</i>)	Please see initial impact assessment
Is this existing or new function/policy/Procedure/ practice	Please see initial impact assessment

1. Describe the aims, objectives or purpose of the function/policy, practice or procedure and who is intended to benefit.	Please see initial impact assessment
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<p>2. Please list any existing documents, evidence, research which have been used to inform the Detailed equality impact assessment. (This must include relevant data used in this assessment)</p>				
<p>3. Has any consultation, involvement been undertaken with the protected characteristics to inform this assessment? (please provide details, who and how consulted)</p>				
<p>4. What is the actual/likely impact?</p>				
<p>5. What actions are proposed to address the impact? (<i>The actions needs to be specific, measurable and outcome based</i>)</p>	<p>What are we going to do</p>	<p>Who will be responsible</p>	<p>When will it be completed</p>	<p>How will we know we have achieved our objective</p>

6. How will actions be monitored?				
Approved by: Head of Service		Date:		

Appendix 18 – Home Care Service; Local Authority Residential Homes for Older People

Initial Equalities Impact Assessment Template

Department: Communities	Completed by (lead): Gareth Miller	Date of initial assessment: 08/01/16 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	To equality impact assess the development of a business case and associated business plans regarding the possibility of delivering some, or all, of the existing in house social care provider and housing services through an alternative service delivery model.	
Is this existing or new function/policy, procedure, practice or decision?	Alternative service delivery models to deliver social care provider and housing services is new to Carmarthenshire, but has been adopted by local authorities in other parts of the UK.	
What evidence has been used to inform the assessment and policy? (please list only)		
A detailed options appraisal was presented to CMT in December 2014. A further report outlining options for the future delivery of existing in-house social care provider services was submitted to CMT and Preliminary Executive Board in September 2015. A more recent report outlining the process for developing a business case for alternative service delivery models was presented to CMT in December 2015.		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	<p>The Council has adopted an overarching principle of adopting a mixed economy regarding social care and housing services. This means that providers will come from all sectors, including our own in-house provision. It is anticipated that this principle will remain. We currently commission £70m a year from public, private and voluntary sectors. For our own in house provision, we have to face up to continuing financial constraints, demographics and the aim to continue to provide quality services.</p> <p>Consequently the sustainability of in-house services depends on remodelling and modernising. In a competitive market place, our current governance structures make opportunity for commercial trading to secure the long term future of certain services and/or initiatives difficult. To maximise the opportunity for trading across social care and housing services, the future governance</p>
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		and structure of services needs to be considered. This project will look at alternative delivery models to do so. Within this context, there may be a significant opportunity to improve outcomes, achieve efficiencies and create sustainability of quality service provision by developing an alternative service delivery model.			
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/protected characteristics in terms of the three aims of the duty? Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p>		<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
			<p>Risks</p>	<p>Positive effects</p>	
<p>Protected characteristics</p>	<p>Age</p>	<p>Medium</p>	<p>Population projections in the medium to long term (over the next 10 years) show a continued trend towards an older population, especially the numbers of over 85's which is predicted to increase by 40% by 2025.</p> <p>Carmarthenshire has a higher than Wales average of older residents which is likely to have significant implications on the demand for adult social care services. Moreover as ill-health increases with age, this is the main challenge for the services.</p> <p>This will increase the pressure on existing service provision which will be unable to cope if future population</p>	<p>The consideration of alternative service delivery models will support the flexible delivery of services to older people.</p> <p>There will be more ability to tailor services to meet individual need and manage increased service demand.</p> <p>There may opportunities to generate more income which will support more innovative service development.</p>	

		projections are accurate.		
Disability	Medium	<p>Around 1030 people are receiving domiciliary care in their own homes at any time. 876 people have been placed by the Council to live in a care home. We spent £13.4 million on this service in 2015.</p> <p>LD information to follow</p>	<p>However, from benchmarking information, we know that Carmarthenshire needs to continue to reduce the reliance on care homes, as more people are placed in care homes than some other authorities, and this is reinforced by what older people want.</p> <p>7 out of 10 people want to live as long as they can at home. Future service delivery can be designed with this in mind.</p>	N/A
Gender reassignment	Low	Low risk with limited impact on this protected characteristic group	N/A	N/A
Race	Low	Low risk with limited impact on this protected characteristic group	N/A	N/A
Religion/Belief	Low	Low risk with limited impact on this protected characteristic group	N/A	N/A
Pregnancy and maternity	Low	Low risk with limited impact on this protected characteristic group	N/A	N/A
Sexual Orientation	Low	Low risk with limited impact on this protected characteristic group	N/A	N/A
Sex	Medium	Provider services workforce is predominantly made up of female staff. There is risk that this group may be potentially disadvantaged through the development of a new service delivery model.	N/A	<p>Yes. There will be full consultation with staff about any changes in relation to the way the service will be provided.</p> <p>TUPE advice would be sought in</p>

					relation to staff transferring to an alternative service delivery model and any impact that this would have on terms and conditions.
	Welsh language	Medium	<p>There will be a need to ensure that service users are able to access services in the language of their choice.</p> <p>Welsh language requirements will need to be met and the service delivery model adopted will need to deliver Welsh Government policy requirements.</p>	<p>Any alternative service delivery model developed will need to ensure that Welsh language provision is catered for.</p> <p>Service specifications will be developed with this in mind and contracts will be monitored to ensure compliance via Governance arrangements.</p>	The requirement to provide services in Welsh would be a requirement of any contract developed.
	Any other area	N	N/A	N/A	N/A

5. Has there been any consultation/engagement with the appropriate protected characteristics?	<p>YES <input type="checkbox"/> NO <input checked="" type="checkbox"/></p> <p>We are going to undertake a consultation exercise with residents and service users in relation to alternative service delivery models that can be used to deliver services. As part of this process we will complete an options appraisal to determine the preferred service delivery model. This will identify delivery options and the pros and cons of each.</p> <p>We anticipate further engagement and consultation following completion of this work in March 2016 with residents and service users.</p>
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<p>6. What action(s) will you take to reduce any disproportionately negative impact, if any?</p> <p>There will be significant consultation with members, service users and staff in terms of the development of any alternative service delivery models. The development of any service specification and contract relating to the delivery of the service would ensure that the needs of all client groups are taken into account and will be monitored accordingly. In relation to staffing issues, representation from Human Resources has been included in the project workstreams and advice and guidance will be obtained throughout the process. Welsh language requirements would need to be considered and included in any future contract specification in order to protect the right of individual service users to have the service delivered to them in Welsh. Specific advice and guidance is being sought from Human Resources in relation to TUPE and pension rights for staff.</p>
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<p>7. Procurement</p> <p>Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.</p> <p>Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.</p> <p>The procurement team have been fully involved in the process of tendering for the appointment of the specialist consultant to support the process of identifying an appropriate service delivery model. Advice and guidance has and will be obtained from the procurement team throughout the process. The procurement team are engaged in the project workstreams that form part of a broader cross-departmental project team that meets regularly to take this work forward. These workstreams include the following areas: Finance. Property and ICT, Human Resources, Communications and Marketing, Legal and Risk and Operations and Services.</p>		
<p>8. Human resources</p> <p>Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?</p> <p>There are considerable implications in terms of staff potentially transferring across to an alternative service delivery model operating body under TUPE guidelines and significant consultation would be undertaken as part of this process. It is also proposed that any contract would require the partner to gain admitted body status to the Dyfed Pension Fund, thus preserving existing pension rights for staff employed by CCC at the point of transfer.</p> <p>Communication is ongoing with staff and the unions as part this initial work, however, the detailed consultation will only begin if the authority signs a contract to transfer the running of these services.</p>		
<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>		<p>YES</p>
<p>Approved by:</p> <p>Head of Service</p>	<p>Robin Staines</p> <p>Head of Housing, Public Protection & Direct Services</p>	<p>Date:11/1/16</p>

Detailed Equalities Impact Assessment Template

Department:	Please see initial impact assessment
Completed by (lead):	Gareth Miller
Date of Detailed assessment:	08/01/16
Area to be assessed: (<i>Policy, function, procedure, practice or a financial decision</i>)	Please see initial impact assessment
Is this existing or new function/policy/Procedure/ practice	Please see initial impact assessment

1. Describe the aims, objectives or purpose of the function/policy, practice or procedure and who is intended to benefit.	Please see initial impact assessment
2. Please list any existing documents, evidence, research which have been used to inform the Detailed equality impact assessment. (This must include relevant data used in the assessment)	<p>Carmarthenshire's Vision for sustainable services for Older People for the next decade.</p> <p>Options Appraisal – Models for future delivery of Local Authority Adult Social Care Services</p> <p>Care First information in relation to Home Care and Residential Care</p> <p>Briefing paper for CMT: Developing a business case for alternative service delivery models. Social Care and Housing Models.</p>

	<p>December 2015.</p> <p>CMT Report: Options for the future delivery of existing in-house social care provider services. September 2015.</p>			
<p>3. Has any consultation, involvement been undertaken with the protected characteristics to inform this assessment? (please provide details, who and how consulted)</p>	<p>We are going to undertake a consultation exercise with residents and service users in relation to alternative service delivery models that can be used to deliver services. As part of this process we will complete an options appraisal to determine the preferred service delivery model. This will identify delivery options and the advantages and disadvantages of each.</p> <p>We anticipate further engagement and consultation following completion of this work in March 2016 with residents and service users.</p>			
<p>4. What is the actual/likely impact?</p>	<p>There will be a medium impact on services users in relation to the protected characteristics of age and disability and Welsh language. There will also be a medium impact in relation to gender for the workforce which is predominantly made up of female staff.</p> <p>The population in Carmarthenshire is increasing and people are living longer. Today, 28% of the adult population is over the age of 65, and by 2030 the proportion of older adults will increase to 34%. Carmarthenshire also has more older people than the average for Wales. We will have to change the way we provide services if we are going to meet the needs of more people who require services, in the next decade and beyond, within the money that is available. Any plan to improve the sustainability of services for older people must be ambitious and aspirational to meet the challenges that lay ahead. This will require us to make the best use of the resources that will be available. We are looking at developing alternative service delivery models that will enable us to provide more flexible services which meet the needs of our service users.</p>			
<p>5. What actions are proposed to address the impact? (The actions needs to be specific, measurable and outcome based)</p>	<p>What are we going to do</p>	<p>Who will be responsible</p>	<p>When will it be completed</p>	<p>How will we know we have achieved our objective</p>
	<p>Consultation exercise with residents, service users and</p>	<p>Project Workstream leads</p>	<p>February 2016</p>	<p>Consultation Report will outline findings and be presented to</p>

	staff			Project Board
	Options appraisal to be completed for Alternative Service Delivery Models	Project Workstream leads	February 2016	Options appraisal report will outline findings and be presented to Project Board
	Further consultation exercise with residents, service users and staff on Service Delivery Model selected	Project Workstream leads	March 2016	Final consultation report will outline findings and be presented to Project Board
	Specific staffing issues such as TUPE, pension and equalities issues will be discussed with staff following advice from human resources	Project Workstream leads	May 2016	This information will be addressed as part of the workstream assumptions that will be included in the business case.
	Present report with final recommendations to CMT and Executive Board	Project Board	May 2016	Final report will outline findings and make recommendations for approval by Executive Board and Full Council
6. How will actions be monitored?	<p>We have established a project management structure which will monitor progress against all actions. The governance arrangements include weekly project workstream meetings and monthly project board meetings. The Project Board meetings are chaired by the Project Sponsor, Director for Communities and is attended by members of DMT and the Executive Board Member for Social Care and Health as well as project lead officers for each of the workstreams.</p> <p>The above actions will be monitored via weekly project workstream leads meetings. An overarching project plan is maintained and reported to Project board on a monthly meeting together with an action log which monitors progress against each action identified in the project board meetings.</p> <p>A risk log is also maintained to monitor and take action to mitigate risks and this is updated and discussed at Project Board meetings on a monthly basis. Progress made against the Equalities Impact Assessment will also be reported at Project Board and the document will updated throughout the project.</p>			

Approved by: Head of Service	Robin Staines Head of Housing and Public Protection	Date: 11/1/16
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Appendix 19a – Local Authority Residential Homes for Older People (Glanmarlais)

Initial Equalities Impact Assessment Template

Department: Commissioning Division Directorate for Communities	Completed by (lead): Gail Jones	Date of initial assessment: May 2015 Revision Dates:
Area to be assessed: (i.e. name of <i>policy, function, procedure, practice or a financial decision</i>)	Provider Services - Local Authority Residential Care Homes Glanmarlais Residential Care Home	
Is this existing or new function/policy, procedure, practice or decision?	Existing	
What evidence has been used to inform the assessment and policy? (please list only)		
<p>This document should be read in the context of the following strategic documents where the wider context of service changes are outlined</p> <ul style="list-style-type: none"> • Developing modern services for older people – Carmarthenshire’s joint commissioning strategy for health, social care and housing related services for the over 65s 2008-2011 • Flexible Care and Housing Choices for Older People and Unblocking the Potential for the Sheltered Housing Service November 2010 • Healthy Ageing Action Plan • Care Home Vacancy Monitoring information. • Assessment and reviews • Local authority residential care homes – residents profile, dependency level tool. • Accommodation for older people – care homes review • Quality of care in the private care home sector – report of findings from service users and relatives questionnaires • Dementia Support in Carmarthenshire 2011/12 • A positive future – making person centred care a reality in Carmarthenshire Nov 2013 • Local Authority Care Home Closure protocol 		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.

Carmarthenshire County Council has been delivering a modernisation programme for its Residential Care Homes for a number of years which has included:

- The redevelopment of existing care homes
- The replacement of non compliant care homes with an extension to an existing care home
- Maximising inward investment by working with housing associations to increase and replace out of date non compliant care homes with new state of the art extra care schemes.

Two discussion documents “Flexible Care & Housing Choices for Older People” and “Unblocking of the potential for the sheltered housing service” were developed outlining the next stage of the modernisation programme. This included the development of the next generation of extra care schemes to complement the de-commissioning of existing residential care homes in Ammanford and Carmarthen. These recommendations agreed by full council in July 2010.

Glanmarlais in conjunction with Tegfan are earmarked for closure during the latter part of 2015, the extra care facility construction in the Ammanford Area is due for completion during the first months of 2016.

A closure programme commenced in February 2015 for Glanmarlais and Tegfan, this being in line with the Local Authority home closure arrangements. Both of these LA care homes within the Amman Gwendraeth locality will be going through the process of closure so that the staff teams and residents will have an equal opportunity to find suitable alternative employment and appropriate new accommodation. This phase of the process will continue until the opening of the new extra care development which is expected to be complete early 2016

The process of closing a care home is a complex one and can often cause anxiety for residents, relations and staff. It therefore needs to be approached with care and sensitivity by all staff involved with assessing and preparing residents and families for the change.

Any closure of a local authority residential care homes is compliant with the **Protocol for Local Authority Care Home Closure Arrangements**. This comprehensive document provides a mechanism and structure

	<p>aimed at supporting people through this process. Significantly, the protocol contains both local and national experience research government circulars, statue regulations and case law, Carmarthenshire has referenced in particular; Escalating concerns with and closures of Care Homes providing services for Adults’ – Welsh Assembly Government 2009. The document addresses the management of closures of care homes that are registered with the Care and Social Services Inspectorate for Wales (CSSIW). It is issued under section 7 of the local Authority Social services Act 1070 and section 12 and 19 of the National Health Service (Wales) Act 2006.</p> <p>The aforementioned service changes will affect older people their families and staff as noted below. The most likely impacts are as follows:-</p> <p>This Equality Impact assessment is considering the impact to residents and staff on closure of the care home.</p>								
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>	<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p> <p>Services are specifically for individuals over the age of 65 the impact will be most clearly felt by this age group. (H)</p> <p>Services are specifically for people whose needs are assessed as being at a critical or substantial risk to losing their</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p> <table border="1" data-bbox="1077 927 1715 1377"> <thead> <tr> <th data-bbox="1077 927 1379 983">Risks</th> <th data-bbox="1386 927 1715 983">Positive effects</th> </tr> </thead> <tbody> <tr> <td data-bbox="1077 987 1379 1166">Relocating current residents may have a significant detrimental effect on frail older people.</td> <td data-bbox="1386 987 1715 1222">A Reablement approach will ensure appropriate care packages are delivered cost effectively in extra care.</td> </tr> <tr> <td data-bbox="1077 1198 1379 1377">The Glanmarlais building has been gradually deteriorating and the current state of the</td> <td data-bbox="1386 1246 1715 1377">More community based and locally designed and delivered services,</td> </tr> </tbody> </table>	Risks	Positive effects	Relocating current residents may have a significant detrimental effect on frail older people.	A Reablement approach will ensure appropriate care packages are delivered cost effectively in extra care.	The Glanmarlais building has been gradually deteriorating and the current state of the	More community based and locally designed and delivered services,	<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p> <p>Older People and Physical Disability services are taking a great deal of care and attention to mitigate the potential negative impacts of the service changes, including:</p> <p>Care Home Closure protocol and regular meetings Regular stakeholder meetings and briefings.</p> <p>Accessible information and</p>
Risks	Positive effects								
Relocating current residents may have a significant detrimental effect on frail older people.	A Reablement approach will ensure appropriate care packages are delivered cost effectively in extra care.								
The Glanmarlais building has been gradually deteriorating and the current state of the	More community based and locally designed and delivered services,								

	<p>independence. Often this is due to a disability or frailty. Impact (H)</p> <p>Residents have to share shower, bathing and toilet facilities. There are no en-suite facilities in Glanmarlais.</p> <p>It is envisaged that there will be limitations for people on choice of new home local to current location of care home. Geographically home area may be compromised. (H)</p> <p>The nearest LA residential care home is 4 miles away in LLandeilo.</p> <p>Independent sector Care Homes are located nearer than other LA Care Homes.</p> <p>Service Users may be at a financial detriment as top up fees may be required for new placement of choice. (M)</p> <p>Providing individuals with the opportunity to experience an independent living environment which promotes, choice and dignity. (M)</p>	<p>building is considerably poor. Residents have been moved from the upper floor to the lower floor due to: rain penetrating the roof and the elevator not working.</p> <p>Homes geographically close to residents' or their past communities may be compromised.</p> <p>From late Autumn 2015 to early 2016 CCC will be closing three care homes and opening two extra care facilities. It is envisaged that there will be a number of operational issues in closing several homes within a relatively short time scale</p>	<p>promoting innovation in service delivery.</p> <p>A greater role for service users, families and their carers to audit the quality standards.</p> <p>To build on The Sterling University Dementia Standard 3.</p> <p>Extra Care will be accessible and disability friendly, as well as a further emphasis on enabling individuals to participate within their environment.</p> <p>Where residents continue to require residential care they will be assisted to find suitable alternative care homes registered with the Authority so that they have the fullest assistance in both LA and Independent</p>	<p>Staff meetings to explain the rationale for service changes. Continued discussion and dialogue with Trade Unions on all service change plans.</p> <p>Setting up clear and transparent service standards to measure the performance of all services. This will create a greater role for services users and their carers to audit the quality standards that will be implemented.</p> <p>Cost of provision of furniture and fitments,</p> <p>Care and support staff will provide a settling in service to new tenants within the extra care facility.</p>
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	<p>Changes in support and care service providers. (L)</p> <p>An increased risk of anxiety and confusion arising from uncertainty and misinformation (H)</p> <p>Friendship groups will be considered when relocating residents (M)</p>	<p>Private Sector Residential Care Homes</p> <p>The choice of homes near residents' carers and current communities may be compromised.</p> <p>It is expected that the change to delivering the extra care provision will lead to additional staff being required in the Contracting Team.</p> <p>Home Care Services for Older People: Standards – currently service users are satisfied with LA current residential provision which will need to be maintained and remain equitable in quality when</p>	<p>Sector Care Homes.</p> <p>Consultation and communication with service users and their families will aim to deliver placements that are appropriate.</p> <p>The relocation process will be achieved by following a phased approach to the closure process.</p> <p>Advocacy arrangements are to be put in place.</p> <p>Engagement with service users and their families aim to ensure appropriate placements.</p> <p>Potential for development within the independent sector to for new builds or to extend current care home provision.</p>	
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		<p>outsourced.</p> <p>Continuity – changes of the staff team will be minimised disruption, it is hoped will be limited.</p> <p>Quality and Care is paramount; cost will be secondary.</p>	<p>Floating support to offer pre and post tenancy support.</p> <p>Nominated social worker will co-ordinate reassessment and review to ensure consistency of provision and core care and support staff provide a settling in service.</p> <p>Local Authority Redeployment protocol will be followed in supporting staff to find suitable alternative employment.</p> <p>Current experienced and trained staff transferred into the extra care support team.</p> <p>The improvement in accommodation will ensure tenants are able to live with dignity and privacy. Extra Care</p>	
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			<p>flats provide accommodation to promote independence and choice.</p> <p>Residents with close friends or relatives may wish to rent a flat together. This has not previously been a viable option.</p> <p>Couples would be able to rent an apartment together, if one or both had care requirements.</p> <p>An onsite restaurant with a communal lounge area where tenants can purchase a main meal or snack. Family and friends will be able to meet up to share a coffee or celebration meal. Members of the general public would also be able to utilise the restaurant which promotes inclusion and</p>	
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			<p>cohesion with the community.</p> <p>Tenants will be assisted if unable to serve or feed themselves</p> <p>Staff will provide a settling in service to new tenants within the extra care facility.</p> <p>All tenants prior to taking up their tenancy will undergo an Occupational Therapy assessment and care and support assessment.</p> <p>All residents will have a 6 weeks post placement review.</p>	
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	<p>RESIDENTS OF Glanmarlais Residential Care Home</p>	<p>What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>			
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Protected characteristics</p>	<p>Age</p>	<p>(H)</p>			
	<p>Disability</p>	<p>(H)</p>			
	<p>Gender reassignment</p>	<p>(N)</p>			
	<p>Race</p>	<p>(N)</p>			
	<p>Religion/Belief</p>	<p>(L)</p>			
	<p>Pregnancy and maternity</p>	<p>(N)</p>			
	<p>Sexual Orientation</p>	<p>(N)</p>			
	<p>Sex</p>	<p>(L)</p>			
	<p>Welsh language</p>	<p>(L)</p>			
	<p>Any other area</p>	<p>(N)</p>			

Glanmarlais Residential Care Home – STAFF.

Age	(L)			
Disability	(N)			
Gender reassignment	(N)			
Race	(N)			
Religion/Belief	(N)			
Pregnancy and maternity	(N)			
Sexual Orientation	(N)			
Sex	(N)			
Welsh language	(N)			
Any other area	(N)			

<p>5. Has there been any consultation/engagement with the appropriate protected characteristics?</p>	<p>YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p> <p>All the residents have been fully informed and engaged with the consultation process via a number of residents meetings, from the care staff and with their families. Briefing notes have been made available</p> <p>Vacancies have been identified in another local authority care home, staff will aid the</p>
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	<p>transfer by careful planning and be sensitive to and minimised the emotional effect of the move.</p> <p>An individual impact assessment will be completed in consultation with the Care Home Manager and the assigned social worker.</p> <p>Detailed information on individual circumstances, assessment and reviews will be recorded separately to this report for reasons of individual confidentiality.</p>
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6. What action(s) will you take to reduce any disproportionately negative impact, if any?

7. Procurement

Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.

8. Human resources

Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?

All the staff have been fully informed and engaged with the consultation process via a number of meetings, their line managers, HR and Trade unions. Briefing notes have been made available

Arrangements will be made for individual interviews to consider redeployment procedures and accessing severance schemes Vacancies have been identified in another local authority care home and these have been ring fenced pending the outcome of individual interviews

Detailed information on individual circumstances, assessment and reviews will be recorded separately to this report for reasons of individual confidentiality.

<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>			<p>YES <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p>
<p>Approved by:</p> <p>Head of Service</p>	<p>Robin Staines</p> <p>Head of Housing, Public Protection & Direct Services</p>	<p>Date: 4th January, 2016</p>		

Detailed Equalities Impact Assessment Template

Department:	Please see initial impact assessment
Completed by (lead):	
Date of Detailed assessment:	
Area to be assessed: (<i>Policy, function, procedure, practice or a financial decision</i>)	Please see initial impact assessment
Is this existing or new function/policy/Procedure/ practice	Please see initial impact assessment

1. Describe the aims, objectives or purpose of the function/policy, practice or procedure and who is intended to benefit.	Please see initial impact assessment
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Public
Access

<p>2. Please list any existing documents, evidence, research which have been used to inform the Detailed equality impact assessment. (This must include relevant data used in this assessment)</p>				
<p>3. Has any consultation, involvement been undertaken with the protected characteristics to inform this assessment? (please provide details, who and how consulted)</p>				
<p>4. What is the actual/likely impact?</p>				
<p>5. What actions are proposed to address the impact? (<i>The actions needs to be specific, measurable and outcome based</i>)</p>	<p>What are we going to do</p>	<p>Who will be responsible</p>	<p>When will it be completed</p>	<p>How will we know we have achieved our objective</p>

6. How will actions be monitored?				
Approved by: Head of Service		Date:		

Appendix 19b – Local Authority Residential Homes for Older People (Tegfan)

Initial Equalities Impact Assessment Template

Department: Commissioning Division Directorate for Communities	Completed by (lead): Gail Jones	Date of initial assessment: May 2015 Revision Dates:
Area to be assessed: (i.e. name of <i>policy, function, procedure, practice or a financial decision</i>)	Provider Services - Local Authority Residential Care Homes Tegfan Residential Care Home	
Is this existing or new function/policy, procedure, practice or decision?	Existing	
What evidence has been used to inform the assessment and policy? (please list only)		
<p>This document should be read in the context of the following strategic documents where the wider context of service changes are outlined</p> <ul style="list-style-type: none"> • Developing modern services for older people – Carmarthenshire’s joint commissioning strategy for health, social care and housing related services for the over 65s 2008-2011 • Flexible Care and Housing Choices for Older People and Unblocking the Potential for the Sheltered Housing Service November 2010 • Healthy Ageing Action Plan • Care Home Vacancy Monitoring information. • Assessment and reviews • Local authority residential care homes – residents profile, dependency level tool. • Accommodation for older people – care homes review • Quality of care in the private care home sector – report of findings from service users and relatives questionnaires • Dementia Support in Carmarthenshire 2011/12 • A positive future – making person centred care a reality in Carmarthenshire Nov 2013 • Local Authority Care Home Closure protocol 		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.

Carmarthenshire County Council has been delivering a modernisation programme for its Residential Care Homes for a number of years which has included:

- The redevelopment of existing care homes
- The replacement of non compliant care homes with an extension to an existing care home
- Maximising inward investment by working with housing associations to increase and replace out of date non compliant care homes with new state of the art extra care schemes.

Two discussion documents “Flexible Care & Housing Choices for Older People” and “Unblocking of the potential for the sheltered housing service” were developed outlining the next stage of the modernisation programme. This included the development of the next generation of extra care schemes to complement the de-commissioning of existing residential care homes in Ammanford and Carmarthen. These recommendations agreed by full council in July 2010.

Glanmarlais in conjunction with Tegfan are earmarked for closure during the latter part of 2015, the extra care facility construction in the Ammanford Area is due for completion during the first months of 2016.

A closure programme commenced in February 2015 for Glanmarlais and Tegfan, this being in line with the Local Authority home closure arrangements. Both of these LA care homes within the Amman Gwendraeth locality will be going through the process of closure so that the staff teams and residents will have an equal opportunity to find suitable alternative employment and appropriate new accommodation. This phase of the process will continue until the opening of the new extra care development which is expected to be complete early 2016

The process of closing a care home is a complex one and can often cause anxiety for residents, relations and staff. It therefore needs to be approached with care and sensitivity by all staff involved with assessing and preparing residents and families for the change.

Any closure of a local authority residential care homes is compliant with the **Protocol for Local Authority Care Home Closure Arrangements**. This comprehensive document provides a mechanism and structure

	<p>aimed at supporting people through this process. Significantly, the protocol contains both local and national experience research government circulars, statue regulations and case law, Carmarthenshire has referenced in particular; Escalating concerns with and closures of Care Homes providing services for Adults’ – Welsh Assembly Government 2009. The document addresses the management of closures of care homes that are registered with the Care and Social Services Inspectorate for Wales (CSSIW). It is issued under section 7 of the local Authority Social services Act 1070 and section 12 and 19 of the National Health Service (Wales) Act 2006.</p> <p>The aforementioned service changes will affect older people their families and staff as noted below. The most likely impacts are as follows:-</p> <p>This Equality Impact assessment is considering the impact to residents and staff on closure of the care home.</p>								
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>	<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p> <p>Services are specifically for individuals over the age of 65 the impact will be most clearly felt by this age group. (H)</p> <p>Services are specifically for people whose needs are assessed as being at a critical or substantial risk to losing their</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p> <table border="1" data-bbox="1075 925 1720 1377"> <thead> <tr> <th data-bbox="1075 925 1377 981">Risks</th> <th data-bbox="1377 925 1720 981">Positive effects</th> </tr> </thead> <tbody> <tr> <td data-bbox="1075 981 1377 1244">Relocating current residents may have a significant detrimental effect on frail older people.</td> <td data-bbox="1377 981 1720 1244">A Reablement approach will ensure appropriate care packages are delivered cost effectively in extra care.</td> </tr> <tr> <td data-bbox="1075 1244 1377 1377">Homes geographically close to residents’ or their</td> <td data-bbox="1377 1244 1720 1377">More community based and locally designed and delivered services,</td> </tr> </tbody> </table>	Risks	Positive effects	Relocating current residents may have a significant detrimental effect on frail older people.	A Reablement approach will ensure appropriate care packages are delivered cost effectively in extra care.	Homes geographically close to residents’ or their	More community based and locally designed and delivered services,	<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p> <p>Older People and Physical Disability services are taking a great deal of care and attention to mitigate the potential negative impacts of the service changes, including:</p> <p>Care Home Closure protocol and regular meetings Regular stakeholder meetings and briefings.</p> <p>Accessible information and</p>
Risks	Positive effects								
Relocating current residents may have a significant detrimental effect on frail older people.	A Reablement approach will ensure appropriate care packages are delivered cost effectively in extra care.								
Homes geographically close to residents’ or their	More community based and locally designed and delivered services,								

	<p>independence. Often this is due to a disability or frailty. Impact (H)</p> <p>Residents have to share shower, bathing and toilet facilities. There are no en-suite facilities in Tegfan.</p> <p>It is envisaged that there will be limitations for people on choice of new home local to current location of care home. Geographically home area may be compromised. (H)</p> <p>The nearest LA residential care home is 4 miles away in LLandeilo.</p> <p>Independent sector Care Homes are located nearer than other LA Care Homes.</p> <p>Service Users may be at a financial detriment as top up fees may be required for new placement of choice. (M)</p> <p>Providing individuals with the opportunity to experience an independent living environment that promotes, choice and dignity. (M)</p>	<p>past communities may be compromised.</p> <p>From late Autumn 2015 to early 2016 CCC will be closing three care homes and opening two extra care facilities. It is envisaged that there will be a number of operational issues in closing several homes within a relatively short time scale</p> <p>Private Sector Residential Care Homes</p> <p>The choice of homes near residents' carers and current communities may be compromised.</p> <p>It is expected that the change to</p>	<p>promoting innovation in service delivery.</p> <p>A greater role for service users, families and their carers to audit the quality standards.</p> <p>To build on The Sterling University Dementia Standard 3.</p> <p>Extra Care will be accessible and disability friendly, as well as a further emphasis on enabling individuals to participate within their environment.</p> <p>Where residents continue to require residential care they will be assisted to find suitable alternative care homes registered with the Authority so that they have the fullest assistance in both LA and Independent</p>	<p>Staff meetings to explain the rationale for service changes. Continued discussion and dialogue with Trade Unions on all service change plans.</p> <p>Setting up clear and transparent service standards to measure the performance of all services. This will create a greater role for services users and their carers to audit the quality standards that will be implemented.</p> <p>Cost of provision of furniture and fitments,</p> <p>Care and support staff will provide a settling in service to new tenants within the extra care facility.</p>
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	<p>Changes in support and care service providers. (L)</p> <p>An increased risk of anxiety and confusion arising from uncertainty and misinformation (H)</p> <p>Friendship groups will be considered when relocating residents (M)</p> <p>There are two service users living in a bungalow within the grounds of Tegfan. Shared services with the care home will necessitate the relocation with closure of the home. Early engagement by Social Workers from the LDMH Team will ensure they fully engaged and re-located to accommodation to meet their assessed needs.</p>	<p>delivering the extra care provision will lead to additional staff being required in the Contracting Team.</p> <p>Home Care Services for Older People: Standards – currently service users are satisfied with LA current residential provision which will need to be maintained and remain equitable in quality when outsourced.</p> <p>Continuity – changes of the staff team will be minimised disruption, it is hoped will be limited.</p> <p>Quality and Care is paramount; cost will be secondary.</p>	<p>Sector Care Homes.</p> <p>Consultation and communication with service users and their families will aim to deliver placements that are appropriate.</p> <p>The relocation process will be achieved by following a phased approach to the closure process.</p> <p>Advocacy arrangements are to be put in place.</p> <p>Engagement with service users and their families aim to ensure appropriate placements.</p> <p>Potential for development within the independent sector to for new builds or to extend current care home provision.</p>	
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			<p>Floating support to offer pre and post tenancy support.</p> <p>Nominated social worker will co-ordinate reassessment and review to ensure consistency of provision and core care and support staff provide a settling in service.</p> <p>Local Authority Redeployment protocol will be followed in supporting staff to find suitable alternative employment.</p> <p>Current experienced and trained staff transferred into the extra care support team.</p> <p>The improvement in accommodation will ensure tenants are able to live with dignity and privacy. Extra Care</p>	
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			<p>flats provide accommodation to promote independence and choice.</p> <p>Residents with close friends or relatives may wish to rent a flat together. This has not previously been a viable option.</p> <p>Couples would be able to rent an apartment together, if one or both had care requirements.</p> <p>An onsite restaurant with a communal lounge area where tenants can purchase a main meal or snack. Family and friends will be able to meet up to share a coffee or celebration meal. Members of the general public would also be able to utilise the restaurant which promotes inclusion and</p>	
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			<p>cohesion with the community.</p> <p>Tenants will be assisted if unable to serve or feed themselves</p> <p>Staff will provide a settling in service to new tenants within the extra care facility.</p> <p>All tenants prior to taking up their tenancy will undergo an Occupational Therapy assessment and care and support assessment.</p> <p>All residents will have a 6 week post placement review.</p>	
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	<p>RESIDENTS OF Tegfan Residential Care Home</p>	<p>What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>			
<p>Protected characteristics</p>	<p>Age</p>	<p>(H)</p>			
	<p>Disability</p>	<p>(H)</p>			
	<p>Gender reassignment</p>	<p>(N)</p>			
	<p>Race</p>	<p>(N)</p>			
	<p>Religion/Belief</p>	<p>(L)</p>			
	<p>Pregnancy and maternity</p>	<p>(N)</p>			
	<p>Sexual Orientation</p>	<p>(N)</p>			
	<p>Sex</p>	<p>(L)</p>			
	<p>Welsh language</p>	<p>(L)</p>			
	<p>Any other area</p>	<p>(N)</p>			

Tegfan Residential Care Home – STAFF.

Protected characteristics	Age	(L)			
	Disability	(N)			
	Gender reassignment	(N)			
	Race	(N)			
	Religion/Belief	(N)			
	Pregnancy and maternity	(N)			
	Sexual Orientation	(N)			
	Sex	(N)			
	Welsh language	(N)			
	Any other area	(N)			

<p>5. Has there been any consultation/engagement with the appropriate protected characteristics?</p>	<p>YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p> <p>All the residents have been fully informed and engaged with the consultation process via a number of residents meetings, from the care staff and with their families. Briefing notes have been made available</p> <p>Vacancies have been identified in another local authority care home, staff will aid the</p>
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	<p>transfer by careful planning and be sensitive to and minimised the emotional effect of the move.</p> <p>An individual impact assessment will be completed in consultation with the Care Home Manager and the assigned social worker.</p> <p>Detailed information on individual circumstances, assessment and reviews will be recorded separately to this report for reasons of individual confidentiality.</p>
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6. What action(s) will you take to reduce any disproportionately negative impact, if any?

7. Procurement

Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.

8. Human resources

Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?

All the staff have been fully informed and engaged with the consultation process via a number of meetings, their line managers, HR and Trade unions. Briefing notes have been made available

Arrangements will be made for individual interviews to consider redeployment procedures and accessing severance schemes Vacancies have been identified in another local authority care home and these have been ring fenced pending the outcome of individual interviews

Detailed information on individual circumstances, assessment and reviews will be recorded separately to this report for reasons of individual confidentiality.

<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>	<p>YES <input type="checkbox"/></p>	<p>NO <input type="checkbox"/></p>
<p>Approved by: Head of Service</p>	<p>Robin Staines Head of Housing, Public Protection & Direct Services</p>	<p>Date: 4th January, 2016</p>

Detailed Equalities Impact Assessment Template

Department:	Please see initial impact assessment
Completed by (lead):	
Date of Detailed assessment:	
Area to be assessed: (<i>Policy, function, procedure, practice or a financial decision</i>)	Please see initial impact assessment
Is this existing or new function/policy/Procedure/ practice	Please see initial impact assessment

1. Describe the aims, objectives or purpose of the function/policy, practice or procedure and who is intended to benefit.	Please see initial impact assessment
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<p>2. Please list any existing documents, evidence, research which have been used to inform the Detailed equality impact assessment. (This must include relevant data used in this assessment)</p>				
<p>3. Has any consultation, involvement been undertaken with the protected characteristics to inform this assessment? (please provide details, who and how consulted)</p>				
<p>4. What is the actual/likely impact?</p>				
<p>5. What actions are proposed to address the impact? (<i>The actions needs to be specific, measurable and outcome based</i>)</p>	<p>What are we going to do</p>	<p>Who will be responsible</p>	<p>When will it be completed</p>	<p>How will we know we have achieved our objective</p>

6. How will actions be monitored?				
Approved by: Head of Service		Date:		

Appendix 20 – Cleansing Services and Environmental Enforcement Initial Equalities Impact Assessment Template

Department: Environment	Completed by (lead): Hywel Thomas, Waste Services Manager	Date of initial assessment: Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Financial savings: £85,000 2016/17; £84,000 2017/18; £83,000 2018/19 Sweeping and de-littering of streets and footways.	
Is this existing or new function/policy, procedure, practice or decision?	No	
What evidence has been used to inform the assessment and policy? (please list only)		
Budget Budget consultation 2013/14; 2014/15; 2015-18.		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	Individual service review to be undertaken which will include reassessing service levels and incorporate an assessment of the transport and plant provision. Re-zoning of cleansing areas resulting in a reduction of cleansing, litter bin frequencies and a decrease in mechanical sweeping. Reduced number of litter bins. Increased time limits to clear illicitly tipped material. This will affect all residents of Carmarthenshire and anyone who visits the county on business or within tourism as it will result in a higher level of litter on the streets. Furthermore a decrease in the cleansing index scores.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) eliminate unlawful discrimination, harassment	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	4. If there is a disproportionately negative impact what mitigating factors have you considered?

and victimisation; (2) advance equality of opportunity between different groups; and (3) foster good relations between different groups (see guidance notes)		Please indicate high (H) medium (M), low (L), no effect (N) for each.	Risks	Positive effects	
Protected characteristics	Age	(1) N (2) N (3) N	N/A	N/A	N/A
	Disability	(1) N (2) N (3) N	N/A	N/A	N/A
	Gender reassignment	(1) N (2) N (3) N	N/A	N/A	N/A
	Race	(1) N (2) N (3) N	N/A	N/A	N/A
	Religion/Belief	(1) N (2) N (3) N	N/A	N/A	N/A
	Pregnancy and maternity	(1) N (2) N (3) N	N/A	N/A	N/A
	Sexual Orientation	(1) N (2) N (3) N	N/A	N/A	N/A
	Sex	(1) N (2) N (3) N	N/A	N/A	N/A
	Welsh language	(1) N (2) N (3) N	N/A	N/A	N/A
	Any other area	(1) N (2) N (3) N	N/A	N/A	N/A

5. Has there been any consultation/engagement with the appropriate protected characteristics?	YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
A public consultation took place between November 2014 and January 2015.	

	<p>44% of consultees were in disagreement with the proposal whilst only 33% were in favour. 23% were neutral to the proposal. It was felt that the emphasis should be on ‘Standards not schedules’; potential impact on civic pride, public health and reputation of county, thwarting efforts to attract tourists and businesses. There was concern that the service is not adequate in rural areas and that the proposal may lead to a rise in fly-tipping and anti-social behaviour. Some said that it was fair compromise assuming obligations are met and that communities should take more responsibility for keeping their area clean. Suggestions include: increase littering fines; better monitoring in town centres; charge nominal fee for blue recycling bags and invest money in cleansing services; outsource costs; responsibility to be taken up by businesses (e.g., fast food), local communities / local councils, JSA claimants / offenders, or volunteers.</p>
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6. What action(s) will you take to reduce any disproportionately negative impact, if any? N/A

7. Procurement

Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice. N/A

8. Human resources

Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? N/A

9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)	YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
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Approved by: Head of Service	M.Cresci	Date:
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Appendix 21 – Educational Psychology

Initial Equalities Impact Assessment Template

Department: Education and Children's Services	Completed by (lead): SS/ Angela Davies (ASD) Principal Educational and Child Psychologist	Date of initial assessment: 14th January 2016 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Proposed financial decision to reduce the Educational and Child Psychology Service budget by £60K in 17-18 by accepting one of the expressions of interest in severance of one Educational and Child Psychologist post, thereby further reducing the statutory specialist psychological service to support children and young people with special educational needs in Carmarthenshire.	
Is this existing or new function/policy, procedure, practice or decision?	The services are established; the financial decision is new for 2017/18.	
What evidence has been used to inform the assessment and policy? (please list only)		
<ul style="list-style-type: none"> • Three expressions of interest received from Educational and Child Psychologists for severance within the invited timescale of 2016-19. These have already been declined due to the anticipated increased demand on service delivery indicated by the forthcoming Additional Learning Needs (ALN) Reform, particularly extending statutory duties from 0-19 to 0-25. • Analysis of usage, spend and outcome of existing services - see Service Profile 15-16. 		

<p>1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.</p>		<p>The proposal is to help address the current financial pressures on the local authority budget.</p>			
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p>		<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Protected characteristics</p>	<p>Age</p>	<p>Children and young people aged 0-19 with special/additional educational needs</p>	<p>Medium risk</p> <p>Possible Impact of reduced service:</p> <ul style="list-style-type: none"> • Later identification of SEN (Special Educational Needs) with less opportunity for prevention • Schools and families less well prepared supported to meet the additional needs of pupils 	<p>None other than the initial financial saving</p>	<p>There are no alternative services that could provide the same quality of assessment, advice and support. Activity would need to be prioritised to most significant need and earlier preventative work would decrease and lead to less support for schools to raise their capacity to meet the full range of additional learning need inclusively. Parents and pupils would have to fight for scarce resources to meet their needs.</p>

			<ul style="list-style-type: none"> • Impact on education standards, wellbeing and inclusion. • Increased number of statutory assessments of SEN • Increased demands for special provision • Increased exclusions • Increased SEN Tribunal appeals • Out of county residential placements • Increased number of disabled children becoming LAC • Lack of equality of access to the same life chances as their peers 		<p>We would not be able to meet the increased workforce requirements/duties for the forthcoming ALN Reform in an efficient manner. Therefore there would be a negative impact including potential lack of confidence in a new equality rights based system for identifying and meeting children and young peoples Additional Learning Needs from 0-25.</p>
	Disability	Disabled children and young people	Medium risk	None other than the initial	There are no alternative services

		(up to age 25, young adults)	<p>Possible Impact of reduced service:</p> <ul style="list-style-type: none"> • Later identification of SEN with less opportunity for prevention • Schools and families less well prepared supported to meet the additional needs of pupils • Impact on education standards, wellbeing and inclusion. • Increased number of statutory assessments of sen • Increased demands for special provision • Increased exclusions • Increased SEN Tribunal appeals • Out of county residential 	financial saving	<p>that could provide the same quality of assessment, advice and support. Activity would need to be prioritised to most significant need and earlier and preventative work would decrease and lead to less support for schools to raise their capacity to meet the full range of additional learning need inclusively. Parents and pupils would feel that they have to fight for scarce resources to meet their needs. We would not be able to meet the increased workforce requirements/duties for the forthcoming ALN Reform in an efficient manner. Therefore there would be a systemic negative impact including potential lack of confidence in a new equality rights based system for identifying and meeting children and young peoples Additional Learning Needs from 0-25.</p>
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		<p>placements</p> <ul style="list-style-type: none"> • Increased number of disabled children becoming LAC • Lack of equality of access to the same life chances as their peers • Social isolation for some • Family breakdown for some 		
Gender reassignment	Children and young people aged 0-19 with special/additional educational needs	<p>Medium</p> <p>Reduced access to specialist consultation for schools and parents where significant additional needs are identified.</p>	None other than the initial financial saving	
Race	Children and young people aged 0-19 with special/additional educational needs	<p>Medium</p> <p>Reduced access to specialist consultation for schools and parents where</p>	None other than the initial financial saving	

			significant additional needs are identified.		
Religion/Belief	Children and young people aged 0-19 with special/additional educational needs	Medium	Reduced access to specialist consultation for schools and parents where significant additional needs are identified.	None other than the initial financial saving	
Pregnancy and maternity	Children and young people aged 0-19 with special/additional educational needs	Medium	Reduced access to specialist consultation for schools and parents where significant additional needs are identified.	None other than the initial financial saving	
Sexual Orientation	Children and young people aged 0-19 with special/additional educational needs	Medium	Reduced access to specialist consultation for schools and parents where significant additional	None other than the initial financial saving	

		needs are identified.		
Sex	Children and young people aged 0-19 with special/additional educational needs	Medium Boys tend to be referred more for acting out behavioural difficulties and so girls may have similar needs but not be prioritised.	None other than the initial financial saving	Educational Child Psychologists(ECP) encourage schools to ensure girls needs are identified and significant impact of internal behaviour and wellbeing is also prioritised.
Welsh language	Access to Educational and Child Psychologist who is able to function professionally through the medium of Welsh.	High risk	None other than the initial financial saving	Two of the three ECPs who have expressed an interest in severance are Welsh speaking and to lose a Welsh speaker would put considerable pressure on service delivery meeting the needs of our bilingual community. We currently have three fluent Welsh speaking ECPs.
Any other area	Parents and carers	Medium risk Impact: • Family breakdown		There are other services that support parents and carers where children and young people have disability but where there is complexity a multiagency approach

			<ul style="list-style-type: none"> • Parent carer's inability to maintain their caring role • Out of county residential placements • Increased number of disabled children becoming LAC • Non compliance with Children's Act, Carer's and Disabled Children's Act 		is required. We would have less service availability to contribute to multiagency planning and problem solving.
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5. Has there been any consultation/engagement with the appropriate protected characteristics?	YES	NO <input checked="" type="checkbox"/>
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6. What action(s) will you take to reduce any disproportionately negative impact, if any? There are no actions that can be undertaken to reduce the negative impact as there is also a proposed reduction in complementary Services across the board due to the financial climate. With regards to access to Welsh speaking ECPs we would have to redistribute service delivery to schools and seek to recruit a Welsh speaking ECP at the next opportunity.

7. Procurement

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<p>Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service. No Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.</p>		
<p>8. Human resources</p> <p>Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? There may be TUPE implications for some of the services. Yes, as the cut would be made through supporting an expression of interest in severance.</p>		
<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>	<p>YES <input checked="" type="checkbox"/></p>	<p>NO <input type="checkbox"/></p>
<p>Approved by:</p> <p>Head of Service</p>		<p>Date:</p>

Detailed Equalities Impact Assessment Template

Department:	Please see initial impact assessment
Completed by (lead):	SS/ASD
Date of Detailed assessment:	14 th January 2016
Area to be assessed: (<i>Policy, function, procedure, practice or a financial decision</i>)	Please see initial impact assessment
Is this existing or new function/policy/Procedure/ practice	Please see initial impact assessment

<p>1. Describe the aims, objectives or purpose of the function/policy, practice or procedure and who is intended to benefit.</p>	<p>Please see initial impact assessment</p> <p>The proposal is to help address the current financial pressures on the local authority budget.</p>
<p>2. Please list any existing documents, evidence, research which have been used to inform the Detailed equality impact assessment. (This must include relevant data used in this assessment)</p>	<ul style="list-style-type: none"> • Three expressions of interest received from Educational and Child Psychologists (ECP) for within the invited timescale of 2016-19. These have already been declined due to the anticipated increased demand on service delivery indicated by the forthcoming ALN Reform, particularly extending statutory duties from 0-19 to 0-25. • Two are fluent Welsh speakers. Two are Senior ECP posts with management, strategic (Disability and Learning) and core service patch delivery duties and one is a maingrade ECP with additional strategic duties in Assessment. • The Educational and Child Psychology Service has 10fte permanent ECPs and 1 temporary ECP to backfill for secondment. Three ECPs are fluent Welsh speakers. • However the need to find considerable cuts has led to those expressions of interest in severance being considered as possible cuts. • Analysis of usage, spend and outcome of existing services - see Service Profile 15-16 on Council File Plan. • Recent cuts to the service of £26 +26+40 K have been mitigated as far as possible and only led to a loss of 0.2fte but a further 0.7 fte post loss has been mitigated this year by gaining grant funding. However this is short term and may not be sustained –in which case a cut to overall service activity would have to be made and staff lost. This would be in addition to the proposed cut currently being considered. • Additional Learning Needs reform WG documents including workforce planning. • Social Care and Wellbeing Act 2015.

<p>3. Has any consultation, involvement been undertaken with the protected characteristics to inform this assessment? (please provide details, who and how consulted)</p>	<p>No specific piece of work has been undertaken for this exercise. However, the Service undertakes regular review including views of school, parents and professional colleagues and effectiveness and planning data is routinely collated. This has been used to inform this assessment.</p>
<p>4. What is the actual/likely impact?</p>	<p>There would be considerable expertise, skill and strategic capacity loss to the Service and Local Authority to delete any one of these ECP posts.</p> <ul style="list-style-type: none"> • To lose a Welsh speaking ECP would require redistribution of link ECPs to schools and require a wide geographical patch delivery for the two remaining. • To lose a Senior ECP would reduce the strategic and patch delivery. Management duties would have to be redistributed across the remaining two Senior ECPs. • To lose the non fluent Welsh speaker would result in losing a SECP post and considerable expertise in Disability, Person Centred Practice and ALN Reform at a time where this systemic change is being brought in across Wales through the ALN Reform and the Social Care and Wellbeing Act. • There is a risk that this could be on top of a fte 0.7 cut to post as the £40K cut in 15-16 has been mitigated at present through additional grant funding but this may not be sustainable. • There will need to be a reduced planned service to schools, who have already received a reduction from the academic year 15-16. • There will need to be priority activity on statutory assessment/Individual Development Plan activity and less activity in strategic, capacity building and early preventative work. There will need to be a priority activity around key transition planning into school, primary to secondary and school to college etc. There will likely need to be more activity around crisis management rather than prevention. • There is a possibility that more activity will be on disagreement resolution, which is a costly activity in terms of time and outcomes.

	<ul style="list-style-type: none"> Schools will receive less consultation to support early identification of additional learning need, supporting raising their capacity to meet pupil's additional needs in a timely and efficient manner. As the additional duties of Local Authorities become statutory in 2018 of meeting the Additional Learning Needs (ALN) of 16 to 25 year olds including undertaking specialist post 16 assessment of ALN the ECPS statutory duties will increase considerably and reduce Service allocation to schools further. Statutory assessment of sen is a current priority activity and in annual evaluations schools have consistently requested more ECPS Consultation time as they have other pupils that they would seek our specialist advice on in order to support them. We have arranged service activity to ensure that we work as best we can within our resources to meet as many pupils needs but the pressure will increase further given cuts and the considerable impact of ALN Reform. As seen in the initial Equalities Impact Assessment all of our work impacts on vulnerable children and young people and those with disability. <p>To further reduce the Educational Psychology Service at a time when there is the need to implement a new and significant process in line with ALN Reform which extends the LA duty from 0-19 to 0-25 would have a serious negative impact across the system. Welsh Government has recognised the key role of Educational Psychologists in building education settings capacity to identify and meet ALN of pupils, to providing specialist, holistic assessment and advice and support to identify and meet ALN, to facilitate and contribute to effective multiagency planning in partnership with parents and carers. Educational Psychology Services have taken a lead in supporting the early implementation of working Person Centred Planning in line with WG expectations.</p> <p>The ECPS provides vital support to the most vulnerable children young people and their families within the county. The service works to support those who support a range of needs which includes disabled children with very complex needs which can bring significant challenge to families and services. We are often required to problem solve and provide assessment and advice to maintain placements and resolve challenging issues. On a cost benefit basis our Service input represents excellent value for money and are vital in ensuring that we can meet our statutory duties – including those outlined in the Social Services and Wellbeing Act which will be coming into force in 2016. With reduced services there is increased risk to the level of input and where placements are not resolved/supported locally there is a significant additional cost incurred for families and the LA.</p>			
<p>5. What actions are proposed to address the impact? (The actions needs to be specific, measurable and</p>	<p>What are we going to do</p> <p>If the proposed cut is agreed</p>	<p>Who will be responsible</p>	<p>When will it be completed</p>	<p>How will we know we have achieved our objective</p> <p>Decision on which post to</p>

outcome based)	consider which post loss will have least impact and inform ECPs.	SS/ASD	February 2016	agree severance on in made.
	Meet with officers and headteachers affected by the cut to the services to consult on redistribution/allocation of service and how impact will be mitigated as far as possible.	ASD	February – December 2016	A risk plan will be drawn up and completed
	If future funding becomes available and it is possible to recruit backfill look for opportunities to provide service activity which supports system capacity building, early preventative activity.	SS/ASD		
6. How will actions be monitored?	Through supervision between SS and ASD.			

Approved by: Head of Service	Stefan Smith	Date: 14/1/16
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Appendix 22 – Public Protection, Welfare Rights and Citizens Advice

Carmarthenshire County Council

Efficiencies / service rationalisation proposals

2015/16

Contact Name	Roger Edmunds	Title	TS MANAGER
Budget title	Citizens Advice Service		
Amount £	100000		
Saving £	100000		
Description	General/Core Citizens Advice and Welfare Rights Advice		
<p>Will this proposal have an adverse impact on any of the protected groups (Age, Disability, Gender reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion and Belief, Sex and Sexual Orientation). Please also give consideration to the Welsh language and the impact on Welsh speakers. Will it impact disproportionately on those in lower income groups?</p>			
Yes	<p>As an example prior to last cut of £97000, funding received 2012 – 2013 generated gains of £4,322,323, any reduction in funding will adversely impact the ability to maintain or increase this figure. this in turn will impact on the local economy. Clients include all of all the above protected groups, CAB aims stipulate “regardless of Race, Gender, Sexuality or disability.</p> <p>There is a Welsh language policy, and at present the service is delivered in the medium of Welsh and English from each office. Withdrawal of funding would impact on the ability to commit to this level. There is a dedicated welfare benefit telephone advice service, of which two of the three specialists</p>		

	are Welsh speaking. The protected groups as above are the higher proportion of service users at approximately 70% of service users.
No	
If Yes, please briefly describe the nature of the impact. Which groups are likely to be affected and in what way?	
Description of impact	<p>Any reduction of funding would impact in the following way:</p> <ul style="list-style-type: none"> • Reduce the number of hours the service is available to all above protected groups in the community • Withdrawal of the dedicated Welfare Benefits telephone service removes affordable specialist advice to the rural community, lower income and protected groups. • Loss of specials welfare benefit advisors removes the support mechanism that enables us to prepare and represent those clients with the highest level of need and vulnerability. <p>The confidence shown by Carmarthenshire County Council to the CAB enables us as a one stop partnership delivery service to continue the fight against poverty, support the most vulnerable and strive to improve the quality of life within our Community.</p>
Consultation Have you consulted any of these groups or their representative bodies? If so please give details, What was the outcome?	
Description of consultation	Yes met with Director of CAB to discuss proposed cut.
Mitigation What can be done to mitigate any adverse impact?	
Details of steps to be taken to	Very little, as the funding supplied by the Authority provides for the core delivery and for Welfare rights benefit to the protected groups and community as a whole,

mitigate any adverse impact	removal of this fund will create collateral issues for other service providers e.g. other benefit providers who if they cannot meet the extra need and capacity and will lead to increased poverty, vulnerability and debt which will in turn impact the local economy.
Context Is this proposal part of a wider plan which would place it in context? (E.g. closure of an individual facility in the context of a wider investment programme).	
Details of context of the proposal	Debt, poverty and reduction in client empowerment County wide. And economic implications for the wider Community but particularly for those in most need.
Monitoring Do you have any plans to monitor the ongoing impact on the affected group(s)?	
	Yes
Other information Is there anything else which ought to be recorded?	
Authorised by: Head of Service	Robin Staines, Head of Housing, Public Protection & Direct Services 4 th January, 2016

Appendix 23 – Education other than at School (EOTAS) & Behaviour Services

Initial Equalities Impact Assessment Template

Department: Education and Children's Services	Completed by (lead): Angela Davies (ASD) Principal Educational and Child Psychologist	Date of initial assessment: 21st January 2016 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Proposed financial decision to reduce the budget for the provision of Canolfan Y Gors and Rhydygors Day Centre by £50K in 2017-18 by reducing the operational costs.	
Is this existing or new function/policy, procedure, practice or decision?	The services are established and the financial decision is new for 2017/18.	
What evidence has been used to inform the assessment and policy? (please list only)		
<ul style="list-style-type: none"> • Analysis of usage of service by schools • Pattern of spend of existing services over previous financial years. 		

<p>1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.</p>		<p>The proposal is to help address the current financial pressures on the local authority budget.</p>							
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p> <table border="1" data-bbox="1075 549 1718 799"> <tr> <td data-bbox="1075 549 1379 799">Risks</td> <td data-bbox="1379 549 1718 799">Positive effects</td> </tr> <tr> <td> </td> <td> </td> </tr> </table>		Risks	Positive effects			<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
Risks	Positive effects								
<p>Protected characteristics</p>	<p>Age</p>	<p>Children and young people aged 4 - 16 with special/additional educational needs</p>	<p>Medium risk</p> <p>Possible Impact of reduced service:</p> <ul style="list-style-type: none"> • Later identification of SEN with less opportunity for prevention • Schools and families less well prepared /supported to meet the additional needs of pupils • Impact on education 	<p>None other than the initial financial saving</p>	<p>The Behaviour Support Services Remodelling, which is currently being designed -16-17, will need to further support building schools’ capacity to meet SEBD needs within their own establishments. Other services and approaches e.g. TAF will need to work in partnership to support learners and their families. Current workforce/services will need to review approaches, support services and provision e.g. Educational and Child Psychology Service, specialist Social Emotional Behavioural</p>				

Public Sector Equality Duty

			<p>standards, wellbeing and inclusion.</p> <ul style="list-style-type: none"> • Increase in number of exclusions • Increased number of statutory assessments of SEN • Increased demands for special provision • Increased SEN Tribunal appeals and out of county residential placements • Increased number of children becoming LAC • Lack of equality of access to the same life chances as their peers 		<p>Difficulties provision/ placements, Home Tuition, Children Services and Specialist Mental Health Services.</p>
Disability	Disabled children and young people (age 4- 25)	Medium risk	<p>Possible Impact of reduced service:</p> <ul style="list-style-type: none"> • Later identification of SEN with less 	None other than the initial financial saving	As above

			<p>opportunity for prevention</p> <ul style="list-style-type: none"> • Schools and families less well prepared to meet the additional needs of pupils • Impact on education standards, wellbeing and inclusion. • Increased number of statutory assessments • Increased demands for special provision and out of county residential placements • Increased exclusions • Increased SEN Tribunal appeals • Increased number of disabled children becoming LAC • Lack of equality of access to the 		
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			<p>same life chances as their peers</p> <ul style="list-style-type: none"> • Increased mental health difficulties beyond school age • Social isolation for some • Family breakdown for some 		
	Gender reassignment	Children and young people aged up to 16 with special/additional educational needs	<p>Medium</p> <p>Reduced access to specialist SEBD intervention in an emotionally safe educational environment where required.</p>	None other than the initial financial saving	
	Race	Children and young people aged up to 16 with special/additional educational needs	<p>Medium</p> <p>Reduced access to specialist SEBD intervention in an emotionally safe educational environment where required.</p>	None other than the initial financial saving	
	Religion/Belief	Children and young people aged up to 16 with special/additional	<p>Medium</p> <p>Reduced access to</p>	None other than the initial financial saving	

	educational needs	specialist SEBD intervention in an emotionally safe educational environment where required.		
Pregnancy and maternity	Children and young people aged up to 16 with special/additional educational needs	Medium Reduced access to specialist SEBD intervention in an emotionally safe educational environment where required.	None other than the initial financial saving	
Sexual Orientation	Children and young people aged up to 16 with special/additional educational needs	Medium Reduced access to specialist SEBD intervention in an emotionally safe educational environment where required.	None other than the initial financial saving	
Sex	Children and young people aged up to 16 with special/additional educational needs	Medium Boys tend to be referred more for acting out behavioural difficulties and so girls may have similar SEBD needs but not be prioritised.	None other than the initial financial saving	Professionals encourage schools to ensure girls' needs are identified and significant impact of internal behaviour and wellbeing is also prioritised.

	Welsh language	Access to Educational and Child Psychologist who is able to function professionally through the medium of Welsh.	Medium Operational costs include transport for outreach and educational materials. These may be needed to ensure both Welsh and English materials are available and Welsh medium education continues to be accessed where this is chosen.	None other than the initial financial saving	Bilingual staff are recruited to deliver outreach support and educational provision.
	Any other area	Parents and carers	Medium risk Impact: <ul style="list-style-type: none"> • Family breakdown • Parent carer's inability to maintain their caring role • Out of county residential placements • Increased number of disabled children becoming LAC 		There are other services that support parents and carers where children and young people have disability but where there is complexity a multiagency approach is required. We would have less service availability to contribute to multiagency planning and problem solving. Parents and carers may have to adjust their work/care commitments if pupils are excluded/receive home tuition.

5. Has there been any consultation/engagement with the appropriate protected characteristics?	YES	NO x
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6. What action(s) will you take to reduce any disproportionately negative impact, if any? We will seek to ensure that all services are considered in planning to support children and young people and their parents/carers/families e.g. TAF approach etc. However we are aware that there is also a proposed reduction in complementary Services across the board due to the financial climate. We will seek charitable financing opportunities to fund some operational costs whenever possible. We will consider increasing the cost that schools contribute pro-rata when pupils gain a placement if operational costs need to be supplemented.			
7. Procurement Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service. No Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.			
8. Human resources Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? There may be TUPE implications for some of the services. No as we do not propose to cut posts.			
9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)		YES	NO x <input type="checkbox"/>
Approved by: Head of Service	Gareth Morgans	Date: 21/1/16	

Appendix 24 – Flood Defence, Land Drainage & Coastal Protection Initial Equalities Impact Assessment Template

Department: Environment	Completed by (lead): Rhys Williams, Flood Defence Engineer	Date of initial assessment: Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Financial savings: £50,000 2016/17; £42,000 2017/18; £26,000 2018/19 Service review of flood defence and land drainage functions.	
Is this existing or new function/policy, procedure, practice or decision?	No	
What evidence has been used to inform the assessment and policy? (please list only)		
Budget Budget consultation 2013/14; 2014/15; 2015-18.		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	Reduction in flood defence and land drainage maintenance / improvement works will result in reduced ability to provide solutions to flooding issues. All sectors are affected by flooding.		
The Public Sector Equality Duty requires the Council to have “due regard” to the need to:- (1) Eliminate unlawful discrimination, harassment	2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?	3. Identify the risk or positive effect that could result for each of the group/protected characteristics?	4. If there is a disproportionately negative impact what mitigating factors have you considered?

Protected characteristics	and victimisation; (2) advance equality of opportunity between different groups; and (3) foster good relations between different groups (see guidance notes)	Please indicate high (H) medium (M), low (L), no effect (N) for each.	Risks	Positive effects	
	Age	(1) N (2) N (3) N	N/A	N/A	N/A
	Disability	(1) N (2) N (3) N	N/A	N/A	N/A
	Gender reassignment	(1) N (2) N (3) N	N/A	N/A	N/A
	Race	(1) N (2) N (3) N	N/A	N/A	N/A
	Religion/Belief	(1) N (2) N (3) N	N/A	N/A	N/A
	Pregnancy and maternity	(1) N (2) N (3) N	N/A	N/A	N/A
	Sexual Orientation	(1) N (2) N (3) N	N/A	N/A	N/A
	Sex	(1) N (2) N (3) N	N/A	N/A	N/A
	Welsh language	(1) N (2) N (3) N	N/A	N/A	N/A
Any other area	(1) N (2) N (3) N	N/A	N/A	N/A	

5. Has there been any consultation/engagement with the appropriate protected characteristics?	YES <input checked="" type="checkbox"/>	NO <input type="checkbox"/>
	A public consultation took place between November 2014 and January 2015. The majority of	

	<p>consultees – 65% - disagreed with the proposal (including those who strongly disagreed) whilst only 16% were in agreement.</p> <p>The majority of consultees were concerned that a reduction in this service would result in a greater risk of flooding. The issue of building on floodplains featured strongly with some people suggesting that many of the current problems were as a result of poor planning decisions in allowing developments in susceptible areas. Likely increase in frequency and magnitude of extreme weather events justifies increased spend. Fundamental that the Authority has a proficient response system in place. ‘Spend to save’: long history of flooding in UK illustrates high costs of clean-up, repairs, social & economic disruption to all parts of communities. Two-pronged approach needed: flood defence and land drainage work in tandem and should be accorded equal status. Failure to address issue will increase insurance premiums for homeowner.</p>
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6. What action(s) will you take to reduce any disproportionately negative impact, if any? N/A

7. Procurement

Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.

N/A

8. Human resources

Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? N/A

<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>	<p>YES <input type="checkbox"/></p>	<p>NO <input checked="" type="checkbox"/></p>
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<p>Approved by: Head of Service</p>	<p>M.Cresci</p>	<p>Date:</p>
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Appendix 25 – Highways Infrastructure Maintenance Initial Equalities Impact Assessment Template

Department: Environment	Completed by (lead): Huw Morgan / Darren King, Area Manager	Date of initial assessment: Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Financial savings: £512,000 2016/17; £478,000 2017/18; £281,000 2018/19 Highway maintenance functions encompassing structural improvements to the public highway ie. re-kerbing and re-surfacing of existing footways; carriageway reconstruction and resurfacing; drainage improvement works. Minor structural works ie. pothole / kerb / drainage / sign repairs. Cyclical activities ie. grass cutting; hedge & tree cutting; bus shelter cleaning; weed control; ditching & siding; emergency works; gully emptying and sweeping rural roads; amenity grass cutting.	
Is this existing or new function/policy, procedure, practice or decision?	No	
What evidence has been used to inform the assessment and policy? (please list only)		
Budget Budget consultation 2013/14; 2014/15; 2015-18.		

1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.	Reassessment of service delivery and standards which will consider reductions in structural works, cyclical maintenance including emergency response, drainage works, mechanical sweeping, surface treatment works, winter maintenance, verge mowing and weed control functions. A review of manning levels, transport and plant will form part of this process. As a result of the interim review of manning levels the service is near to the optimum manning level with a further review to be
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		undertaken.			
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p>		<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
			Risks	Positive effects	
Protected characteristics	Age	(1) N (2) N (3) N	N/A	N/A	N/A
	Disability	(1) N (2) N (3) N	N/A	N/A	N/A
	Gender reassignment	(1) N (2) N (3) N	N/A	N/A	N/A
	Race	(1) N (2) N (3) N	N/A	N/A	N/A
	Religion/Belief	(1) N (2) N (3) N	N/A	N/A	N/A
	Pregnancy and maternity	(1) N (2) N (3) N	N/A	N/A	N/A
	Sexual Orientation	(1) N (2) N (3) N	N/A	N/A	N/A
	Sex	(1) N (2) N (3) N	N/A	N/A	N/A

Welsh language	(1) N (2) N (3) N	N/A	N/A	N/A
Any other area	(1) N (2) N (3) N	N/A	N/A	N/A

<p>5. Has there been any consultation/engagement with the appropriate protected characteristics?</p>	<p>YES <input checked="" type="checkbox"/> NO <input type="checkbox"/></p> <p>A public consultation took place between November 2014 and January 2015. 64% of the consultees disagreed with the proposal (including those who strongly disagreed) whilst only 20% were in agreement.</p> <p>It was felt by many respondents that existing provision is inadequate and that any further cuts would impact on safety and have long term cost implications including an increase in vehicle damage/litigation. Short term savings will result in greater long term costs; current (perceived) backlog raised as a point of concern. Suggestions included: consider efficiencies generated by cutting signage, markings, and traffic calming measures; reduce number of warning vehicles deployed when works undertaken; prioritising road maintenance and response to events, not verge mowing; allowing foremen to 'project manage' (determine what work is needed); and better co-ordination of road works with other departments and utilities companies.</p>
<p>6. What action(s) will you take to reduce any disproportionately negative impact, if any? N/A</p>	
<p>7. Procurement</p> <p>Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.</p> <p>Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice. N/A</p>	
<p>8. Human resources</p> <p>Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service? N/A</p>	

9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)	YES <input type="checkbox"/>	NO <input checked="" type="checkbox"/>
Approved by: Head of Service	M.Cresci	Date:

Appendix 26 – Short Breaks / Respite for Disabled Children & Young People

Initial Equalities Impact Assessment

Department: Education & Children	Completed by (lead): Stefan Smith / Wendy Thomas	Date of initial assessment: 20th November 2015 Revision Dates:
Area to be assessed: (i.e. name of policy, function, procedure, practice or a financial decision)	Financial decision to reduce the spending on short breaks and support for disabled children and their families i.e. to end purchasing specialist services from 3 rd sector providers. This would include the highly specialist services that are not delivered by any other organisation	
Is this existing or new function/policy, procedure, practice or decision?	The services are established the financial decision is new for 2016/17	
What evidence has been used to inform the assessment and policy? (please list only)		
<ul style="list-style-type: none"> • Briefing paper • Analysis of usage, spend and outcome of existing services 		

<p>1. Describe the aims, objectives or purpose of the proposed function/policy, practice, procedure or decision and who is intended to benefit.</p>		<p>To reduce the spending on 3rd sector short break and support provision for disabled children and their families. The proposal is to help address the current financial pressures on the local authority budget.</p>					
<p>The Public Sector Equality Duty requires the Council to have “due regard” to the need to:-</p> <p>(1) eliminate unlawful discrimination, harassment and victimisation;</p> <p>(2) advance equality of opportunity between different groups; and</p> <p>(3) foster good relations between different groups</p> <p>(see guidance notes)</p>		<p>2. What is the level of impact on each group/ protected characteristics in terms of the three aims of the duty?</p> <p>Please indicate high (H) medium (M), low (L), no effect (N) for each.</p>	<p>3. Identify the risk or positive effect that could result for each of the group/protected characteristics?</p> <table border="1" data-bbox="1081 547 1720 802"> <tr> <td data-bbox="1081 547 1384 802">Risks</td> <td data-bbox="1395 547 1720 802">Positive effects</td> </tr> </table>		Risks	Positive effects	<p>4. If there is a disproportionately negative impact what mitigating factors have you considered?</p>
Risks	Positive effects						
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Protected characteristics</p>	<p>Age</p>	<p>(H) Disabled children and young people 0-19</p>	<p>Possible Impact:</p> <ul style="list-style-type: none"> • Social isolation • Family breakdown • Out of county residential placements • Increased number of disabled children becoming LAC • Lack of equality of access to the same life chances as their peers • Non compliance with Children’s Act, Carer’s and Disabled Children’s Act 	<p>None other than the initial financial saving</p>	<p>There are no alternative services that could provide for a number of these children; at this cost. Therefore there would be a negative impact. There are other respite services that would help to alleviate pressure on families; but these are currently heavily subscribed.</p>		

Disability	(H) Disabled children and young people	Impact: <ul style="list-style-type: none"> • Social isolation • Family breakdown • Out of county residential placements • Increased number of disabled children becoming LAC • Lack of equality of access to the same life chances as their peers • Non compliance with Children's Act, Carer's and Disabled Children's Act 	None other than the initial financial saving	There are no alternative services that could provide for a number of these children; at this cost. Therefore there would be a negative impact. There are other respite services that would help to alleviate pressure on families; but these are currently heavily subscribed.
Gender reassignment	N			
Race	N			
Religion/Belief	N			
Pregnancy and maternity	N			
Sexual Orientation	N			
Sex	N			
Welsh language	N			
Any other area	(H) Parents and carers	Impact: <ul style="list-style-type: none"> • Family breakdown 		There are no alternative services that could provide for a number of

			<ul style="list-style-type: none"> • Parent carer's inability to maintain their caring role • Out of county residential placements • Increased number of disabled children becoming LAC • Non compliance with Children's Act, Carer's and Disabled Children's Act 		<p>these children; at this cost. Therefore there would be a negative impact. There are other respite services that would help to alleviate pressure on families; but these are currently heavily subscribed.</p>
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5. Has there been any consultation/engagement with the appropriate protected characteristics?	YES NO <input checked="" type="checkbox"/>
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6. What action(s) will you take to reduce any disproportionately negative impact, if any

There are no actions that can be undertaken to reduce the negative impact as there is also a proposed reduction in the amount of direct payments that families can access. Therefore, there is no action that can be undertaken to reduce the impact of the proposed changes.

7. Procurement

Following collation of evidence for this assessment, are there any procurement implications to the activity, proposal, service.

None

Please take the findings of this assessment into your procurement plan. Contact the corporate procurement unit for further advice.

8. Human resources

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<p>Following collation of evidence for this assessment, are there any Human resource implications to the activity, proposal or service?</p> <p>There may be TUPE implications for some of the services.</p>		
<p>9. Based on the information in sections 2 and 6, should this function/policy/procedure/practice or a decision proceed to Detailed Impact Assessment? (recommended if one or more H under section 2)</p>		<p>YES <input checked="" type="checkbox"/> x</p>
		<p>NO <input type="checkbox"/></p>
<p>Approved by:</p> <p>Head of Service</p>	<p>Stefan Smith</p> <p>Head of Children's Services</p>	<p>Date: 11th December 2015</p>

Detailed Equalities Impact Assessment Template

Department:	Education & Children
Completed by (lead):	Stefan Smith / Wendy Thomas
Date of Detailed assessment:	7 th December 2015
Area to be assessed: (<i>Policy, function, procedure, practice or a financial decision</i>)	Please see initial impact assessment
Is this existing or new function/policy/Procedure/ practice	Please see initial impact assessment

1. Describe the aims, objectives or purpose of the function/policy, practice or procedure and who is intended to benefit	Please see initial impact assessment
2. Please list any existing documents, evidence, research which have been used to inform the Detailed equality impact assessment. (This must include relevant data used in this assessment)	<p>The services that are commissioned from the 3rd sector are:</p> <ul style="list-style-type: none"> • Breakthro Carmarthen which runs Saturday Clubs throughout the year and a Summer Play Scheme. They work with in excess of 40 disabled children and young people and they work with many of the children with most complex needs.. They are the only provider that has a hoist and therefore, they can accommodate the needs of very complex children that require lifting in the evenings, weekends and during school holidays. They also draw down additional funding, funders will only fund if there is core funding in place. <p>The service works with 12 -15 children per session and they run a session every Saturday 10.00am – 4pm. For 48 weeks. In addition they run 4 days per week for 4 weeks in the Summer holidays again</p>

10.00 am – 4 pm. This equates to 64 days per year.

$\text{£}21,700/64 = \text{£}339$ per day. $\text{£}339/15$ (children) = $\text{£}22$ per child per day

$\text{£}22$ per child per day/6 hours = $\text{£}3.66$ per hour.

- Dinefwr Play scheme is based in Bro Dinefwr School and again accommodates 25 children with extremely complex needs in the Summer holidays. They are also able to draw down additional funding, funders will only fund if there is core funding in place.

The service works with 25 children for 3 weeks in the Summer holiday. The provision is open 10.00 am – 4 pm. There are approximately 15 children per session and 4 sessions per week.

The cost of each child on the scheme is $\text{£}5,000/25 = \text{£}200$. If a child access 2 sessions per week for 3 weeks - $\text{£}200/12$ hours/3 weeks = $\text{£}5.55$ per hours

- CYCA works with disabled children and young people in a variety of settings – including after school clubs, Saturday and holiday clubs. The funding to this service has already been reduced based upon an analysis of usage and need. The funding is now paid retrospectively based on identified need and allocation via our internal processes. This is closely monitored and effectiveness regularly measured.
- Mencap Family Advisor Service – The Children’s Information Officer. This service offers advice, information, guidance and support to parents and carers of disabled children and young people. They do this in a variety of ways:
 1. Newsletters
 2. Information sessions around particular topics e.g. Carer’s support
 3. Parent’s coffee mornings and support sessions
 4. They support parents to facilitate the HAIPAC website

	<ol style="list-style-type: none"> 5. Workshops 6. Family fun days 7. Sign posting 8. Co-ordinate and facilitate parent representation at planning and commissioning groups and workshops etc. 9. Coordinate and facilitate parent consultation on a variety of topics e.g. service development, training, communication, usage and quality of services. 10. Undertake specific independent pieces of work e.g. a review of short break provision with families <p>The Social Services and Wellbeing Act places a great emphasis on information, advice, support and sign posting. The Mencap project will have a major role to play in helping the Local Authority deliver these increased statutory duties. In addition commissioning the project enables Children’s Services to deliver the statutory duties outlined within the Carer’s Measure and the Disabled Children and Carer’s Act. The service also has a key role in recruiting and supporting parents to participate in our planning and commissioning processes. The service costs £18,134 – if we recruited a worker in house to cover just the participation element of the service it would cost more than this. The service covers most of the aspects that we are required to address in legislation.</p> <p>These services represent excellent value for money as they meet the needs of children with extremely complex needs. A large number of these children would either become LAC or be placed within a high cost specialist provision if this support were not available. If a child is place in residential provision it can cost in excess of £100,000 per year. The services outlined above work with over 70 families per year.</p>
<p>3. Has any consultation, involvement been undertaken with the protected characteristics to inform this assessment? (please provide details, who and how consulted)</p>	<p>No specific piece of work has been undertaken for this exercise. However, all the services are regularly reviewed and effectiveness and planning data is routinely collated. This has been used to inform this assessment.</p>

<p>4. What is the actual/likely impact?</p>	<p>These services provide vital support to the most vulnerable children young people and their families within the county. The services work with disabled children with very complex needs and are often the only service equipped to do this e.g. Breakthro's access to hoisting equipment. On a cost benefit basis these services represent excellent value for money and are vital in ensuring that we can meet our statutory duties – including those outlined in the Social Services and Wellbeing Act which will be coming into force in 2016. If these services are no longer available there may be families that would no longer be able to meet their children's needs and there would be an increase in the number of disabled children accessing high cost residential respite provision or becoming looked after – which would be a huge social and financial cost. None of the service would be financially viable without the local authority's contracted element</p>			
<p>5. What actions are proposed to address the impact? (<i>The actions needs to be specific, measurable and outcome based</i>)</p>	<p>What are we going to do</p> <p>Serve notice to the providers as they are contracted services</p>	<p>Who will be responsible</p> <p>WT</p>	<p>When will it be completed</p> <p>January 2016</p>	<p>How will we know we have achieved our objective</p> <p>The service will cease</p>
	<p>Meet with families affected by the closure of the services to re-assess their needs without the support</p>	<p>?</p>	<p>January – April 2016</p>	<p>A risk plan will be drawn up and completed</p>
	<p>If the funding is available recruit an Information Officer and Participation Officer – these will be required to meet our statutory requirement of the Acts outlined in section 2</p>	<p>WT</p>	<p>January – April 2016</p>	<p>The officers are in place and processes are being developed</p>

<p>6. How will actions be monitored?</p>	<p>The proposed reduction in funding will result in closure of the services. There are no alternatives in place and most families will not receive appropriate support from any other service e.g. a severely disabled child who requires hoisting will be unable to access a service in the evenings, weekends and throughout school holidays.</p> <p>If an Information Officer and Participation Officer are not recruited then monitoring the effectiveness of the authority in delivering against the statutory duties outlined in section 2 would be greatly reduced. In addition, there would be a significantly reduced capacity to deliver the parent planning and commissioning participation, service reviews or consultation.</p>	
<p>Approved by: Head of Service</p>	<p>Stefan Smith Head of Children's Services</p>	<p>Date: 11/12/15</p>

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Current Proposals					EXISTING POLICY PROPOSALS				NEW POLICY PROPOSALS				TOTAL PROPOSALS			
	MANAGERIAL				2016/17 £'000	2017/18 £'000	2018/19 £'000	Total £'000	2016/17 £'000	2017/18 £'000	2018/19 £'000	Total £'000	2016/17 £'000	2017/18 £'000	2018/19 £'000	Total £'000
	2016/17 £'000	2017/18 £'000	2018/19 £'000	Total £'000												
Chief Executive	863	365	429	1,657	0	0	0	0	0	0	0	0	863	365	429	1,657
Education	453	130	125	708	250	50	0	300	370	240	100	710	1,073	420	225	1,718
Schools Delegated				0	0	0	0	0	5,500	6,000	6,000	17,500	5,500	6,000	6,000	17,500
Corporate Services	752	401	568	1,721	25	0	0	25	0	0	0	0	777	401	568	1,746
Community Services	2,912	1,859	775	5,546	214	250	300	764	318	520	978	1,816	3,444	2,629	2,053	8,126
Environment	1,327	592	460	2,379	65	506	0	571	647	658	444	1,749	2,039	1,756	904	4,699
	6,307	3,347	2,357	12,011	554	806	300	1,660	6,835	7,418	7,522	21,775	13,696	11,571	10,179	35,446

New strands of savings:	2016/17 £000	2017/18 £000	2018/19 £000	Total £000
1. Collaborate to save	45	10	25	80
2. New ways of working to save	7,988	7,613	7,951	23,552
3. Re-structure to save	1,440	832	724	2,996
4. Specification to save	3,860	2,689	968	7,517
5. Invest to save	363	373	357	1,093
6. Transformation, innovation and challenge	0	54	154	208
	13,696	11,571	10,179	35,446

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
	£000	£000	£000	£000		

Chief Executive**Chief Executive**

Printer Rationalisation	109			109	Printer Rationalisation	2
Health & Safety	85	100	35	220	Restructuring of Health & Safety function within the authority to yield savings from a reduction in expenditure on external contractors and eliminate duplication of Health & Safety Management	2
Carbon Tax	140			140	Charging Schools and Housing Revenue Account for their properties consumption of Carbon Tax	2
Chief Executive & Support Services	30			30	Reduction in Support Services budget for Chief Executive's office.	3
Total Chief Executive	364	100	35	499		

People Management & Performance

Human Resources	40	0	40	80	Severance	3
Learning & Development	40	40	35	115	Realignment and reduction in course fees by collaborating with other local users	2
Total People Management & Performance	80	40	75	195		

Customer Focus & Policy

Registrars	12	13	4	29	Increased income and reduced overtime	2
Communications - Press	25	0	46	71	Service Review	3
Net Customer Services	18	18		36	Transfer of part of service covered by Senior Manager i.e Careline to Communities, and rest of service to be realigned	3
Direct Communications	10	35	4	49	Increased income	2
Net Policy	20	0	35	55	Reduction in projects & activities and additional income	2
Customer Service Centres	20	20	65	105	Service review and potentially reducing opening times. Also a possibility of moving to an 'appointments only' service with as much traffic as possible encouraged towards online self-service, or failing that, to the telephone, and wider distribution of simple services, eg blue bag provision, via libraries and other possible outlets	2
Contact Centre	55	30	5	90	Service review which will result in increased use of 'self help' via council website, increase in telephone call traffic arising from further reductions in CSC opening hours, plus introduction of appointments only CSC service (appointments made via contact centre)	2
Performance Management	30	30	5	65	2016-17 - Maintenance agreement on GIS software to cease with implementation of new in-house developed GIS application (Planweb); 2017-18 & 2018-19 Income generation from provision of Performance Management software to other Authorities	2
Total Customer Focus & Policy	190	146	164	500		

	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total		
Chief Executive	£000	£000	£000	£000	Increased income from landlords licences for houses with multiple occupation.	Strand of Saving 1 - 6
Administration & Law						
Departmental - Legal	6	12		18	2016/17 - £2k Reduction in Printing; £2k - Other Hired and Contracted Services; £2k - Staff Travelling. 2017/18 - £10k - Reduction in working hours; £2k - Reduction in costs of Practising Certificates	2
Land Charges	20			20	2016/17 - £20k -Reductions in costs of Land Charges software;	2
Net Departmental Administration	6	6	3	15	2016/17 - Further £6k reduction in stationery budget; 2017/18 - £3k Other Hired and Contracted Services; £3k Reduction in printing	2
Corporate Management	2	2	0	4	2016/17 - £2k Advertising; 2017/18 - £2k Printing; £2k	2
Democratic Process	17	7	0	24	2016/17 - £4k - Reduction in Conferences; £5k - Reduction in members travelling budget based on previous years claims; £2k Reduction in fuel; £3k - Reduction in Civic vehicles from 2 to 1; £1k - Reduction in newspapers and books; £2k - Reduction in spend on refreshments for meetings 2017/18 - £1k - Further reduction in fuel; £2k - remaining balance on Civic vehicle; £4k - Reduction in spend on Conferences	2
Departmental Democratic			20	20	2018/19 - Possible Reduction in Working hours/VER	3
Total Administration & Law	51	27	23	101		
Regeneration						
Marketing Tourism Development	31	52	19	102	Realignment of whole of the Division to focus on new economic priorities and to meet efficiencies	3
Community Grants	25	0		25	Realignment of the whole of the division to focus on new economic priorities and to meet efficiencies	3
Rural Carmarthenshire	4	0		4	Reduction in hired services	2
3 T's			48	48	Severance	3
Physical Regeneration	24	0	0	24	Realignment of whole of the Division to focus on new economic priorities and to meet efficiencies,	3
Amman Gwendraeth Regeneration	2	0		2	Realignment of whole of the Division to focus on new economic priorities and to meet efficiencies,	3
Llanelli Regeneration	6	0		6	Realignment of whole of the Division to focus on new economic priorities and to meet efficiencies,	3
Support Services	75	0	25	100	Realignment of whole of the Division to focus on new economic priorities and to meet efficiencies,	3
Business Support Projects	1	0	0	1	Realignment of whole of the Division to focus on new economic priorities and to meet efficiencies	3
West Wales European Centre	10	0	40	50	Review of premises and other costs 17/18; Severance 18/19	3
Total Regeneration	178	52	132	362		
Chief Executive Total	863	365	429	1,657		

Education & Children

Director & School Related Budgets

	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
	£000	£000	£000	£000		
Education strategy	30			30	WJEC have reviewed and reduced annual fees	4
Total Director & School related budgets	30	0	0	30		

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Strategic Development & Schools' Catering

Catering Services	40			40	Adjustment of labour table by 10% to bring in line with neighbouring Authorities (CCC is currently the highest)	4
Catering Services	0	40	0	40	Review of catering central support resulting in 1 FTE reduction through severance	4
Business Support	0	20	0	20	Reduction in support to Departmental Management Team through severance	3
Business Support	20	0	0	20	Change in creditor payment processes, leading to reduction in staff resource through severance	2
Total Strategic Development & Schools' Catering	60	60	0	120		

Governance & Inclusion

School Governance	20	0	0	20	Restructure of Governor Support Service, release of member of staff through severance. To be dealt with through local restructuring.	3
School Improvement & Governance	30	0	0	30	Review of existing work practices and grant utilisation	3
SEN & Governance		20		20	Remove external licensed software for SEN and Governor management and replace with internal solution	3
Early Years	30	0	0	30	Assume continued non take-up of places in non-maintained settings	4
Youth Service	20	0	0	20	Release of Youth Worker as a result of contract ending March 2016	4
YOPS	18	0	0	18	Reduction in support staff	3
Total Governance, Inclusion & School Catering	118	20	0	138		

Children's Services

Support Services	80			80	Reduction of back office support following move to electronic case file system	2
Risk Assessment team	80			80	Discontinuation of the Risk Assessment Team in Children's Services	2
Education Welfare	0	0	25	25	Release of staff member through severance	4
Legal Fees for Child Protection Proceedings	30	0	0	30	Assuming that volume of proceedings will reduce in line with reduction in number of Looked After Children	5
Direct Payments	30	0	0	30	Assume decline in requests for direct payments continues	5
Accommodating Looked After Children		50	100	150	Assuming that trends in reducing the number of looked after children can be sustained into future years	5
Short Breaks	25	0	0	25	Release of member of staff through severance	3
Total Children's Services	245	50	125	420		

Education & Children Total	453	130	125	708		
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Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
Corporate Services	£000	£000	£000	£000		
Finance						
Accountancy	87	127	186	400	2016-17 £57k Structure Realignments, £30k NI savings Car leasing scheme; 2017-18 £30k NI savings Car leasing scheme, £97k structure realignment. 2018-19 Structure realignment	3
Council Tax	10			10	Girobank charges - savings on fees	2
Cashiers	20			20	Security Plus - new contract and collection arrangements	2
Revenues	35			35	Restructure of Fraud Team	3
Revenues	32			32	Controls - Team leader post	3
Revenues	32			32	Recovery/Debtors - realignment	3
Payments	45			45	Structure Realignment	3
Total Financial Services	261	127	186	574		
Audit, Risk & Procurement						
Audit, Risk & Procurement		33	57	90	Structure Realignments	3
Total, Audit Risk & Procurement	0	33	57	90		
Information Technology						
Information Technology	103	100	95	298	2016/17 Removal of 2 FTE (£103k) . 2017/18 & 2018/19 Savings from collaboration with Pembs	3
Corporate Network	100			100	2016/17 Reduction in Corporate Network Budgets by up to £100K but also seek initiatives from across the Division	2
IT Operational	216		100	316	2016/17 Reduce IT Operational codes by up to £200K but also seek initiatives across the Division. 2018-19 savings from collaboration with Pembs.	2
Total Information Technology	419	100	195	714		
Corporate Property						
Admin Buildings	25	141	130	296	Savings on building running costs: £15k Sale of 1 & 2 Spilman St, £10k Sale of Coleshill Sale of Nurses home and Jobs Well House, £40k Vacation and Sale of Ty'r Nant, £50k vacation of Pibwrlwyd Offices, £40k Office Accommodation following staff reduction/agile working 2016-17: £111k 2017-18: £111k 2018-19: £130k Office Accommodation following staff reduction/agile working	2
Admin Buildings	20			20	Reduction in caretaking staffing costs	2
Admin Buildings	7	0		7	Savings in Energy costs following Solar installation	5
Industrial	5			5	Pembrey airfield - above inflation rent increase	2
Provisions market	4			4	Savings following tendering of skip hire and security contracts	2
Livestock Market	4			4	Above-inflation rent increases arising from increased throughput	2
Commercial Properties	7			7	Reduction in holding costs following sale / transfer of Education Centre, Ferryside	2
Total Corporate Property	72	141	130	343		
Corporate Services Total	752	401	568	1,721		

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
	£000	£000	£000	£000		
Community Services						
Housing & Public Protection						
Temporary Accommodation	4			4	Reduced admin budgets	4
Social Lettings Agency	4			4	Reduced admin budgets	4
Housing & Public Protection	36	35	34	105	No application of increases in supplies, transport & premises	4
Options and Advice	25			25	Deletion of post	3
Public Protection		50	50	100	Development fund application for a Financial investigator - forecast income streams for years 2 & 3 (net of salary costs)	5
Housing & Public Protection		50		50	Service Review / Severances - H&PP Council Fund Services	3
HOUSING (Council Fund) TOTAL	69	135	84	288		
Commissioning						
L.A Residential Homes	100			100	Service review of in house provision	4
Domiciliary care	20	20	10	50	Operational efficiency	4
	120	20	10	150		
Older People Physical Disabilities						
Review of Contract Replacement Care Contract for Older People	150			150	Adjustment to Crossroads contract	4
Private Sector Residential Homes	350	300		650	Reduction in placements	4
Extra Care	350			350	Service review and renegotiation of contract	4
Private Sector Home Care	450	300		750	Reduction in care packages	4
Grants to Voluntary Organisations	55			55	Reduction of grants to voluntary sector (Amman Valley Dementia (£10k), Crossroads (£10k), Hafan Gobaith (£15k), Care & Repair (£14K) and Llanelli Assoc for the blind (£6k))	4
Careline		30		30	Increased income	2
Divisional Supplies & Services	40	93	122	255	No inflationary uplift	4
Management & Support	75	40		115	Workforce modernisation and service redesign	3
	1,470	763	122	2,355		
Learning Disabilities						
LA Day services & Employment Training	40			40	Management restructure	3
LA Day services & Employment Training	40			40	Reconfiguration of craft centre	1
Private Sector Residential Homes	500	500		1000	£500k each year from Accommodation strategy	4
Grants to Voluntary Organisations	123			123	Reduction of grants to voluntary sector (MIND (£27k), Mencap (£65k), Llanelli & district Gateway Club (£23k), Links (£8k))	4
Divisional non pay budgets	159	360	470	989	No inflationary uplift	4
	862	860	470	2,192		
Support Costs						
Back Office realignment	50			50	Realignments	3
Support Costs	98	71	69	238	Rationalisation of functions	3
	148	71	69	288		

Leisure	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
	£000	£000	£000	£000		
Sports & Leisure - County Wide						
Sport & Leisure General	10			10	Realignment to reduce staff costs 1 FTE	3
Total Sports & Leisure - County Wide	10	0	0	10		
Sport & Leisure West						
Sport & Leisure Management West	15			15	Reduction of grants to individuals participating in sports event (£10k)(retention of £5k for hardship fund) and reduction in other hired services (£5k)	4
Carmarthen Leisure Centre	20			20	Realignment to reduce staff costs 1 FTE (£15k)/increased dryside income (£5k)	3
Bro Myrddin Indoor Bowling Club		5		5	Phased hand-over to Bowling committee, no subsidy from 2018/19.	1
Newcastle Emlyn Leisure Centre	20			20	Realignment to reduce staff costs 1 FTE (£15k)/reduced pool subsidy (£5k)	3
St Clears	6			6	Increased income (£5k) / General efficiencies (£1k)	2
Total Sport & Leisure West	61	5	0	66		
Sport & Leisure East						
Dinefwr Bowling Club	5	5		10	Phased hand-over to Bowling committee, no subsidy from 2018/19.	1
Amman Valley Leisure Centre	10			10	Increased income on dryside, wetside and health & fitness	2
Llandovery Swimming Pool	14			14	Review of hours (closed daytime when not delivering school swimming) therefore a realignment to reduce staff costs 1 FTE	4
Total Sport & Leisure East	29	5	0	34		
Sport & Leisure South						
Llanelli Leisure Centre	24			24	Re-alignment to reduce staff costs 1 FTE (£9k) / increase dryside income (£15k)	3
Sport & Leisure Management South	5			5	Realignment to reduce staff costs	3
Coedcae Sports Hall	2			2	Increased income	2
Total Sport & Leisure South	31	0	0	31		
Outdoor Education						
Pendine School Camp	12	0		12	Savings identified as part of internal staffing realignment in 2015-2016	3
Total Outdoor Education	12	0	0	12		
Countryside Facilities						
Pembrey Country Park	15			15	Review of Operational Service Contracts	4
Countryside General	12			12	Realignment of staffing structure with delivery of 1-2 FTEs	3
Countryside General	30			30	Countryside and Leisure realignment	3
Total Countryside Facilities	57	0	0	57		
Culture & Heritage						
Theatres			20	20	Realignment of staffing structure with delivery of 1-2 FTEs	3
Libraries	5	0		5	£5k Review operational procedures and costs e.g. IT, contract cleaning, spend on book fund. Re-charges for use of premises.	4
Archives	28			28	Realignment of staffing structure with delivery of 1 FTE	3
Museums	10			10	Charges at MOS	2
Total Culture & Heritage	43	0	20	63		
Total Leisure	243	10	20	273		
Community Services Total	2,912	1,859	775	5,546		

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
Environment	£000	£000	£000	£000		
Policy and Performance						
Policy divisional cost centre	92	81	0	173	No posts identified as yet. Efficiencies will be dependant on the outcome of the departmental Admin review and subsequent departmental restructuring.	3
Total Policy and Performance division	92	81	0	173		
Streetscene						
Streetscene division	50	70	0	120	Individual service reviews currently underway on Streetscene functions in order to rationalise service provision in conjunction with a divisional re-structure.	3
Highway Lighting	196	173	107	476	Saving in energy consumption arising from investment in LED lighting and installation of timers for part night illumination. Funding options have been explored and a submission for WG Invest 2 Save funding has been made. Proposal is to reduce operating costs without turning lights off.	5
Ammanford Cemetery	3	4	0	7	Majority of testing and remedial works will be completed during 2014/15. Remaining budget to be utilised to undertake cyclical grounds maintenance and cyclical testing. Impact : Ensure continued safety to the general public. Reduced ability to undertake substantial remedial works.	2
Total Streetscene	249	247	107	603		
Transport						
Public Transport Support	144	0	0	144	16/17 deliverable from network and procurement efficiencies achieved from the public transport and school transport networks.	4
General - Public & School Transport	0	0	100	100	Procurement efficiencies	6
Fleet procurement efficiencies	180	0	0	180	Efficiencies gained from changing the method of procurement	4
School Crossing Patrols	55	0		55	Efficiencies can be gained through natural wastage as SCP's retire at sites with low traffic flows and risks.	3
Managed car pool system	200	0	0	200	Yet to be delivered - covered by Public Transport and School Transport network and procurement efficiencies in 2015/16. Future years savings to be reviewed. This is a corporate saving that will need to be allocated across all Departments of the Council.	2
Total Transport	579	0	100	679		
Property Services						
Building Maintenance, Operational & Services	0	26		26	Further savings on non operational costs centralised from the other budget headings.	2
Energy budgets	300	0	0	300	Efficiencies generated via review of energy budgets	2
Property Services	70	0	59	129	Divisional re-alignment and severances	3
Total Property Services	370	26	59	455		
Planning						
Development Management	12	33	20	65	2017/18 - 1 FTE in planning support and fee generation; 2018/19 - new way of working (additional income from pre-application advice)	2
Building Control - Admin	10	30	0	40	2016/17 - £10k reduction in travelling costs; Comprehensive review of structure as part of the corporate review of Property Services in 17/18.	3
Minerals & Waste	0	0	25	25	Collaboration through providing mineral and waste service (review of SLAs)	1
Forward Planning	0	0	14	14	New ways of working - development briefs for service departments	2
Planning Admin Account	15	40	0	55	New ways of working leading in the reduction of consultant costs and general expenditure 16/17 and 17/18	2
Total Planning	37	103	59	199		
Service rationalisation	0	65	135	200	Review of service basis currently being undertaken with a view to producing efficiencies in the forthcoming years.	2
Review of structure	0	70	0	70	Review of Senior Management in the department	3
Environment Total	1,327	592	460	2,379		

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
	£000	£000	£000	£000		
Education & Children						
Inclusion Services - SEN	200			200	When learners with a Statement of Special Education Needs leave school the Statement comes to an end. It is planned to reduce the level of funding provided to schools by giving up some of the funding associated with statements that expire. Consequently, there will be less funding available to schools to support children and young people with additional needs.	2
Secondary Speech & Language Provision	50			50	The County Council proposes to remodel how support is provided for secondary age pupils with speech, language and communication needs and move away from a special unit provision to enable support and provision in all schools.	2
Children Looked After incl Leaving Care, Taxis & Ind Review Service		50		50	Taxis are used to transport children when Looked After, either going to school, or for contact. Care leavers receive ongoing support up to 21, or even 25 if in full time education. A reduction of children coming into care; and the additional resources to support their rehabilitation home through targeted resources should contribute to a fall in numbers; both those in care, and those leaving care, and as a result, should achieve a financial reduction in these areas over time.	2
Education and Children Total	250	50	0	300		

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
	£000	£000	£000	£000		
Corporate Services						
Revenues & Cash Desk	25			25	Closure of Llandeilo Cash Office linked to Llandeilo hub and relocation of library	2
Corporate Services Total	25	0	0	25		

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
	£000	£000	£000	£000		
Community Services						
L.A Residential Homes for Older People	200			200	Full year saving from closure of Glanmarlais/Tegfan and opening an extra care facility in the Ammanford area	2
Sports, Leisure, Theatres Alternative service delivery model (Trust)		250	300	550	The proposal is to save money by delivering Sports, Leisure and Theatres in a different way - i.e. by a trust.	2
Oriel Myrddin CCC	14			14	Phased transfer to independent status	2
Community Services Total	214	250	300	764		

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
	£000	£000	£000	£000		
Environment						
Home to College Transport	65	451	0	516	post 16 transport is a discretionary service and statutory consultation is underway to sustain the service through the introduction of a charge.	4
School Crossing Patrols	0	55	0	55	Efficiencies can be gained by deselection of School Crossing Patrol sites using the criteria for the assessment of school crossing patrol sites, published in RoSPA's School Crossing Patrol national guidance document. Where the School Crossing Patrol is affected, we will work with the school to look at alternative provision if required.	2
Environment Total	65	506	0	571		

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
Education & Children	£000	£000	£000	£000		
Catering Services - School Meals	100	100	100	300	It is proposed to increase the cost of a primary school meal price to £2.40 in April 2016, £2.50 in April 2017 and £2.60 in April 2018. There will be similar increases in charges for food in secondary schools.	5
Catering Services - Free School Breakfasts	100	10	0	110	Remodel provision for Free Breakfasts in primary schools to reduce average time from 45 minutes to 30 minutes.	4
Inclusion Services - SEN	120			120	Remodel provision for Additional Learning support.	4
Rhydygors Day Centre		50		50	Remodelling behavioural management services, informed by the strategic review of current provision	3
Youth Services	0	20	0	20	Review the use of the Quay Centre.	2
Educational Psychology	0	60	0	60	Reduction of 1 post through review of existing structure.	4
Short Breaks / Respite for Disabled Children & Young People	50	0	0	50	Reduce scale of specialist provision out of school hours.	4

Delegated Schools Budget

Delegated school budget	5,500	6,000	6,000	17,500	Education is a significant area of spend for the Council. This proposal is to reduce the total budget to schools and support schools in achieving a number of cost savings, for example, further collaboration between schools, reducing "back office" costs to prioritise classroom provision, etc.	2
Education and Children Total	5,870	6,240	6,100	18,210		

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
Community Services	£000	£000	£000	£000		
Council Fund Housing - Options and Advice Services	29			29	Reduce grants to Women's Aid and Shelter.Both organisations are changing working practices to try minimise impact of services available to their client groups.	4
Public Protection	100			100	Make savings by reviewing of contribution to voluntary organisations providing Benefits Advice (Catch up / CAB / Mencap).	4
Council Fund Housing - Options and Advice Services	10			10	Increased income from landlords licences for houses with multiple occupation.	2
Public Protection	30			30	Increased income licences - animal health	2
Meals on Wheels	57			57	Increase meals cost by £1.00 from £3.70 to £4.70	2
L.A Residential Homes for Older People			350	350	Implementation of alternative service model either Externalising the service or developing a Local Authority Trading Company model	2
Domiciliary care		500	500	1000	Implementation of alternative service model either Externalising the service or developing a Local Authority Trading Company model	2
Libraries	92	20	128	240	Year 1 - The proposal is to change the way the mobile library service is delivered to make more effective use of the vehicles. Offering further services from mobile libraries (for instance, photocopying) is being considered as a way of improving the overall service. Years 2 & 3 - to ensure a library service continues to be available in Carmarthenshire, the proposal is to close a number of branch libraries and rely on an enhanced mobile library service	2
Community Services Total	318	520	978	1,816		

Department	'2016-17 Proposed	'2017-18 Proposed	'2018-19 Proposed	Total	EFFICIENCY DESCRIPTION	Strand of Saving 1 - 6
Environment	£000	£000	£000	£000		
Flood Defence, Land Drainage & Coastal Protection	50	42	26	118	Reduction in preventative maintenance of flood defence and coastal protection assets potentially reducing our ability to react to future storm and severe weather events.Emergency works will have to be addressed through the re-prioritisation of departmental budgets.	4
Highways Infrastructure maintenance	512	478	281	1271	Reduction in routine maintenance of highways infrastructure assets (bridges, retaining walls / support embankments, drainage and highways/footway works).Emergency works will have to be addressed through the re-prioritisation of departmental budgets.	4
Cleansing Services & Environmental Enforcement	85	84	83	252	Re- configuration of service delivery and methods of operation, and the re-assessment of service standards. The proposal also includes reducing the Environmental Enforcement supplies and equipment budgets by £13k over the period 2016-19.	2
Car Parks	0	54	54	108	A 20 pence increase in car park charges at major town centres will contribute £54,000 to sustain transport and highway related services	6
Environment Total	647	658	444	1,749		

Demographic, Legislative or continuing pressures					
	2016-2017	2016-2017	2017-2018	2018-2019	Description
	£'000	ALLOCATED £'000	£'000	£'000	
Chief Executive's					
Registration of Electors	30	30			Voter registration changes
Coroners			35		Review of pay arrangements
Language Translation	205	205			Increased costs arising from implementing the new Welsh Standard
	235	235	35	0	
Communities					
Full year effect of proposed increase in Residential Care Home fees	711				
Demand pressures – existing commitments	500				
Re-instatement of budget for Day services - No council decision	500	1,800			
Living Wage - Impact on charges from private sector	449				£449k minimum scenario - worst case £2.560m
	2,160	1,800	0	0	
Environment					
Streetscene					
Waste strategy	79		166	544	as per Waste strategy costings. Legislative pressure due to Part 4 of the Environment Bill (increase trade waste recycling rates)
Potential reduction in SWM Grant (25%)	1,000	260			
Transport					
Safe walking routes to schools	32				Implementation of revised statutory guidance on the criteria for Safe Walking routes to School
MEP	125	125	125	125	Demographic & MEP pressures.
Property Services					
Pumping Stations	88				Current budget is inadequate to cover all maintenance and utility costs - Overspend has been covered by Hydrology surpluses in previous years however with the transfer of the WW contract back to WW this will become a direct pressure on the department. Potential Environmental consequences if additional budget is not allocated.
	1,324	385	291	669	
	3,719	2,420	326	669	

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EXECUTIVE BOARD 1ST FEBRUARY 2016

FIVE YEAR CAPITAL PROGRAMME (COUNCIL FUND) – 2016/17 TO 2020/21

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

That Executive Board approve and recommend to County Council:

1. The Five Year Capital Programme and funding as detailed in Appendix B, with 2016/17 being a hard budget and 2017/18 to 2020/21 soft/indicative budgets.(Subject to recommendation 4)
2. That the 2020/21 budget be reviewed over the coming year in order to address the funding shortfall.
3. That the programme be reviewed, as is usual, if anticipated External or County Council funding does not materialise.
4. That the Director of Corporate Services will advise and recommend to County Council on 10th March of any impact and consequential action required from the Final Settlement which is due to be published by Welsh Government on 2nd March 2016, and debated on 9th March 2016

REASONS:

To enable the Authority to agree a Five Year Capital Programme 2016/17 to 2020/21.

Relevant Scrutiny Committee Consulted	YES
Exec Board Decision Required	YES
Council Decision Required	YES

Directorate:
Corporate Services
Report Author:
Owen Bowen

Designation:
Interim Head of Financial Services

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E-mail address:
obowen@carmarthenshire.gov.uk

EXECUTIVE SUMMARY
EXECUTIVE BOARD
DATE 1ST FEBRUARY 2016

**FIVE YEAR CAPITAL PROGRAMME (COUNCIL FUND) – 2016/17
 TO 2020/21**

The report brings together the latest proposals for the Five Year Capital Programme 2016/17 to 2020/21. The report also takes account of the consultation exercise undertaken and the revenue implications arising from the capital programme.

The capital programme proposed gross expenditure for 2016/17 is £61.706m with the projected funding of the programme being £43.370m from the County Council through the use of borrowing, capital receipts, reserves, general capital grant and outcome agreement grant. The balance of funding of £18.336m will come from external sources.

The capital programme is projected to be fully funded over the first 4 years from 2016/17 through to 2019/20 while the final year 2020/21 shows a shortfall which will be reviewed over the coming year.

DETAILED REPORT ATTACHED ?	YES
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INTEGRATION

I confirm that the Community Strategy Integration Tool has:

Not been used to appraise the subject of this report as it is not appropriate to do so.

Signed: O. Bowen **Interim Head of Financial Services.**

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :Signed: O. Bowen **Interim Head of Financial Services.**

Policy and Crime & Disorder NONE	Legal NONE	Finance YES	ICT NONE	Risk Management Issues NONE	Organisational Development NONE	Physical Assets YES
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Finance

The updated Capital Programme is projected to be fully funded from 2016/17 through to 2019/20 but 2020/21 has a funding shortfall of £2.804m which will be reviewed over the coming year. If any of the currently anticipated funding does not materialise, the Capital Programme will need to be revisited.

Physical Assets

New assets created from the Capital Programme will be added to the Council's portfolio. In addition the Programme proposes expenditure to improve the existing assets and comply with statutory responsibilities.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below
Signed: O. Bowen
Interim Head of Financial Services

1. Local Member(s) N/A.
2. Community / Town Council N/A
3. Relevant Partners Full consultation has been undertaken
4. Staff Side Representatives and other Organisations Full consultation has been undertaken

Section 100D Local Government Act, 1972 – Access to Information
List of Background Papers used in the preparation of this report:
These are detailed below

Title of Document	File Ref No.	Locations that the papers are available for public inspection
2015-20 Capital Programme		Corporate Services Dept, County Hall, Carmarthen
2016-21 Capital Programme		Corporate Services Dept, County Hall, Carmarthen

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REPORT OF DIRECTOR OF CORPORATE SERVICES

EXECUTIVE BOARD 1st FEBRUARY 2016

FIVE YEAR CAPITAL PROGRAMME (COUNCIL FUND)

2016/17 TO 2020/21

HEAD OF SERVICE & DESIGNATION.	DIRECTORATE	TELEPHONE NO.
O Bowen Interim Head of Financial Services	Corporate Services	01267 224886
AUTHOR & DESIGNATION	DIRECTORATE	TELEPHONE NO
O Bowen Interim Head of Financial Services	Corporate Services	01267 224886

1. INTRODUCTION

- 1.1. Executive Board on the 4th January 2016 considered and endorsed the Five Year Capital Programme 2016/17 to 2020/21 report for consultation purposes.
- 1.2. This report updates members on the latest position taking account of the consultation results and aims to establish the Authority's Five Year Capital Programme.
- 1.3. The Authority is required to approve a rolling capital programme each year as part of the budget process. This facilitates forward planning, is consistent with the requirements of the Prudential Code in terms of financial planning and funding, and assists officers in bidding for external funding.
- 1.4. The Executive Board needs to consider the detailed proposals within the report and approve the recommendations in accordance with Council policy.

2. CONSULTATION

- 2.1. The Budget Strategy has been subject to a full consultation exercise since the initial report was presented to Executive Board on the 16th November 2015, and comprehensive feedback is detailed within the Revenue Budget report which is being presented to the same meeting.
- 2.2. The detailed Capital Programme (Appendix B) has been presented to the Policy and Resources Scrutiny Committee on the 6th January 2016 to seek its views on the 5 year proposals. The minutes of the meeting are attached in Appendix A for review.

- 2.3. The Capital Programme has also been presented to an all members seminar on the 18th January 2016. Minutes of the meeting to follow when finalised.

3. FUNDING

- 3.1. The final settlement has not yet been confirmed but the provisional settlement indicated capital funding of £9.406m for the Authority in 2016/17. This is made up of Supported Borrowing of £5.848m and General Capital Grant of £3.558m. This means a small increase in funding of £36k or 0.4% compared to the current financial year 2015-16. This increase is the same when compared to the indicative figure assumed in the forecast funding for 2016-17 as approved by County Council in February 2015. In the absence of any forward indications by WG this level of funding has been assumed for each year of the five year programme.
- 3.2. As a consequence of the settlement the Outcome Agreement Grant (OAG) has been transferred into the Revenue Support Grant (RSG) and is therefore no longer linked to performance. This means that the funding is now secured within the RSG but there is an impact on the capital programme as it will not be available for the last three years of the programme 2018/19, 2019/20 and 2020/21. Funding of £1.328m per year is still included for 2016/17 and 2017/18 under the previous OAG regime.
- 3.3. The level of capital receipts funding included within the programme has been revised in line with latest estimates. General capital receipts of £13.585m are forecast over the 5 year period together with earmarked Education receipts from the sale of school buildings at £677k. The level of receipts is continually monitored during the year and may require future capital programmes to be adjusted if there is a shortfall.
- 3.4. Earmarked reserves were approved as part of last year's report and were included as funding for the current capital programme. Additional funding of some £20.375m has now been identified and allocated within the new proposed programme, which allows the inclusion of the new strategic projects that have been submitted by Departments. In total some £33.865m of reserve funding is included over the five years of the programme as set out in this report.
- 3.5. Within the Modernising Education Programme (MEP) additional resources have been approved in recent years for the Band A 21st Century Schools projects. This had arisen as the WG had asked Authorities to bring forward their Band A projects for completion by 2018/19. This investment includes supported borrowing, earmarked reserves and capital receipts and is part of the County Council's 50% contribution towards the Band A projects with the balance coming from the WG. The Authority will need to monitor closely the development of this programme in order to ensure that funding is available to cover the projects as they are committed.

4. CAPITAL PROGRAMME 2016/17 TO 2020/21

- 4.1. When the capital programme was approved for consultation purposes by Executive Board it was fully funded for the first 4 years from 2016/17 through to 2019/20 but there was a funding shortfall of £2.804m for the final year 2020/21. Following the consultation period the shortfall remains as before and it is proposed that the programme in 2020/21 be reviewed or re-profiled over the coming year.
- 4.2. The capital programme has not changed overall since the consultation exercise and the following paragraphs summarise the outcome of the review carried out previously.

Community Services

- 4.3. Within Community Services the main addition to the existing programme is the Llanelli Leisure Centre Development with an estimated cost of £16.5m. Part of the funding could potentially be met from within the Llanelli Waterside Joint Venture (subject to Welsh Government agreement and sale of certain development sites).
- 4.4. Other new projects in Communities include the track resurfacing and safety fencing at the Carmarthen Park Velodrome £286k (16/17) and the dredging of Burry Port Harbour £400k (16/17). A new Cycle Track at Pembrey Country Park £500k (16/17) is also included, together with the Carmarthen Archive Relocation £2m (£250k 16/17, £1.750m 17/18).
- 4.5. There has also been a reprofiling of the Social Care Llanelli Area Review project which previously showed a budget of £7m in 2016/17. The latest forecast is a spend of £1.5m in 2016/17 with a slippage of £5.5m to 2017/18.
- 4.6. In 2020/21 within Private Sector Housing, funding is provided for Disabled Facility Grants £2m and Emergency Repairs Assistance £200k, while in Leisure the Rights of Way Improvement Programme is allocated £50k.

Environment

- 4.7. In the Environment programme a new project is included in 2016/17 for the Pantyglyn Retaining Wall and Culvert £500k. Urgent works are required due to the poor condition of the wall and culvert.
- 4.8. A number of new proposals for the 2020/21 year have been included. Some of these are a continuation of existing rolling programmes of work such as Highway Improvements/ Bridge Maintenance £500k, Coastal Defence £300k and Road Safety Improvement £250k.
- 4.9. There is also further funding allocated in 2020/21 to existing projects such as the Cross Hands Economic Link Road Phase 2 with £300k CCC funding and the Tywi Valley Transport Corridor Concept £500k CCC funding.

Education and Children

- 4.10. In the Education and Children capital programme the MEP includes the final elements of the Dinefwr transformation and the Band A 21st Century Schools improvement programme. The programme has been reprofiled to reflect updated costs and the phasing of work. A new scheme has also been included for the proposed school in Carmarthen West £7.5m (18/19 to 20/21) which is funded by Welsh Government grant and Developer contributions.
- 4.11. Further funding has also been allocated in 2020/21 for the next stage of the 21st Century Schools improvement programme. The Band B projects have been allocated County Council funding of £5m and it has been assumed that WG will provide 50% as is the case with Band A, although this is yet to be confirmed.
- 4.12. In 2020/21 a new scheme has been included for the upgrade of dormitory/bathrooms and school facilities at the Rhydygors school site in Carmarthen £500k.

Chief Executives and Corporate Services

- 4.13. In the Chief Executive and Corporate Services programme, which now includes Economic Development, new proposals have been included in earlier years including the redevelopment of the Glanamman Industrial Estate £1m (16/17), the Rural Enterprise Fund £2m CCC (16/17 and 17/18) for the development of new and existing commercial buildings and the Transformation Commercial Property Development Fund £3m CCC (16/17 and 17/18) for the acquisition and development of key strategic buildings.
- 4.14. Additional funding has also been included in 2016/17 for the existing Cross Hands East employment site £1.1m, Llanelli Market renewal works £300k and East Gate fit-out £114k.
- 4.15. Funding has also been allocated in 2020/21 for the continuation of ongoing schemes such as IT Strategy Developments £250k, Capitalised Maintenance £3m and the Transformation Strategy Project Fund £1.5m.

5. SUMMARY

The table below shows an overall summary of the expenditure and its funding both by County Council and externally.

	2016/17 £'000	2017/18 £'000	2018/19 £'000	2019/20 £'000	2020/21 £'000
<u>Expenditure</u>					
Community Services	7,286	19,800	10,800	2,300	2,300
Environment	18,595	9,946	7,720	8,680	5,985
Education & Children	18,856	24,273	12,748	3,911	15,000
Chief Executive and Corporate Services	16,969	15,055	8,025	7,750	7,750
Total Expenditure	61,706	69,074	39,293	22,641	31,035
<u>Funding</u>					
External Funding	18,336	27,042	19,081	9,475	16,275
Net Expenditure Funded by CCC	43,370	42,032	20,212	13,166	14,760
<u>CCC Funding</u>					
Supported Borrowing	5,848	5,848	5,848	5,848	5,848
Unsupported Borrowing	0	4,500	0	0	0
General Capital Grant	3,558	3,558	3,558	3,558	3,558
Capital Receipts	4,509	2,538	3,076	1,962	1,500
Capital Reserves	11,307	13,446	3,047	0	817
Outcome Agreement Grant	1,328	1,328	0	0	0
Additional Borrowing - MEP	0	886	2,183	1,868	0
Prudential Borrowing - Fleet Replacement	7,433	1,826	0	0	0
Prudential Borrowing – 21 st Century Schools	5,600	2,311	0	0	0
MEP Revenue Contribution/Cap Receipts	1,971	3,791	0	163	0
Joint Venture Funding Llanelli Leisure Centre	0	2,000	2,500	0	0
Carmarthen West New Road	1,816	0	0	0	0
Funding Carried Forward	0	0	0	-233	233
Overall Net Position - Surplus (+)/Deficit (-)	0	0	0	0	-2,804

6. REVENUE IMPLICATIONS

- 6.1. No revenue implications have been validated within the revenue budget and if funding is required Departments will need to find resources from within their existing budgets.

7. CONCLUSION

- 7.1. The capital programme for the years 2016/17 through to 2019/20 as presented in this report is fully funded. There is a shortfall of £2.804k in the final year of the programme 2020/21.

- 7.2. Over the five years the total cost of the capital programme is £223.749m. County Council funding of £130.736m has been identified together with External Funding of £90.209m which leaves a shortfall of £2.804m. The final proposed 5 Year Capital Programme for 2016/17 to 2020/21 is attached in Appendix B.

8. RECOMMENDATIONS

8.1. That Executive Board approve and recommend to County Council:

- 8.1.1. The Five Year Capital Programme and funding as detailed in Appendix B, with 2016/17 being a hard budget and 2017/18 to 2020/21 soft/indicative budgets.(Subject to paragraph 8.1.4)
- 8.1.2. That the 2020/21 budget be reviewed over the coming year in order to address the funding shortfall.
- 8.1.3. That the programme be reviewed, as is usual, if anticipated External or County Council funding does not materialise.
- 8.1.4. That the Director of Corporate Services will advise and recommend to County Council on 10th March of any impact and consequential action required from the Final Settlement which is due to be published by Welsh Government on 2nd March 2016, and debated on 9th March 2016

APPENDIX A

REPORT OF DIRECTOR OF CORPORATE SERVICES

EXECUTIVE BOARD

1st FEBRUARY 2016

Capital Budget Consultations

HEAD OF SERVICE & DESIGNATION. O Bowen, Interim Head of Financial Services	DIRECTORATE Corporate Services	TELEPHONE NO. 01267 224886
AUTHOR & DESIGNATION O Bowen, Interim Head of Financial Services	DIRECTORATE Corporate Services	TELEPHONE NO 01267 224886

SCRUTINY COMMITTEE – BUDGET CONSULTATIONS COMMENTS

POLICY AND RESOURCES SCRUTINY COMMITTEE – 6th JANUARY 2016

The Committee considered the 5 year capital programme which had been approved by the Executive Board for consultation on the 4th of January. It was advised that the timing of the provisional settlement had meant that this Scrutiny Committee was the only one being consulted however it was also planned to present the programme to a members' seminar. The overall programme was more than £221m capital investment and was strongly linked to regeneration and job creation in the county. The EBM Resources added that he was keen to hear the Committee's views.

It was asked whether or not it was intended to complete the Carmarthen West new school within the 5 year span of the programme and also if the external funding was the "roof tax" from the housing development. The Director of Corporate Services advised that the completion of the school was subject to the timing of the housing development build although the funding model provided the school within the 21st Century Band A programme timeline. The infrastructure needs would utilise the first tranche of the roof tax however subsequently the funds would be used for the school.

Recent press reports about the utilisation of an additional £20m of earmarked reserves to support the new capital programme were referred to and clarification requested about WG's position in light of these. The Director of Corporate Services stated that reserves earmarked for the capital programme had been set aside for a number of years. A review of all earmarked reserves had been carried out, as had been undertaken in previous years and some, such as the reserve for job evaluation and single status, could now be released. The WG Minister might bring

in legislation following the Assembly elections requiring his approval to use reserves, however this Council would have a long term supported capital programme linked with regeneration and job creation and would be able to demonstrate the prudent and planned use of reserves.

It was asked if the £2m set aside each year for Disabled Facilities Grants was adequate to meet demand. The Director of Corporate Services advised that the overall programme was developed with departments input. Historical demand data showed that £2m was adequate however the situation would be monitored.

A question was asked whether or not the £300k budget for coastal erosion was sufficient given recent climatic events and flooding. The Director of Corporate Services stated that the bids from departments were assessed by the Strategic Asset Steering Group which also monitored the programme and would respond to any changes in demand.

Further information was requested in relation to the Tywi Valley Transport Corridor Concept. The Director of Corporate Services advised that this was a cycleway proposed from Carmarthen to Llandeilo planned over a number of years utilising the WG Local Transport Grant (LTG). The ACE Regeneration & Policy added that the project had huge links with tourism and other external funding sources were being investigated.

It was asked why the Ammanford Valley Distributor Road Phase 2 had not been considered a priority in the draft capital programme given the links with regeneration in the area, particularly in light of some of the projects included in the programme. The Director of Corporate Services stated that priority was given to projects with external funding. The Phase 2 project was linked with WG LTG and dependent on the timing of that being available. He added that the Wind Street/Tirydail Junction project in Ammanford was included and fully funded. The Chief Executive noted that Phase 2 was not high on the WG priority list and the Executive Board continued to lobby WG Transport Minister to place it higher up the list and provide the funding. A motion was proposed and seconded to ask the Executive Board to re-consider including the Ammanford Valley Distributor Road Phase 2 in the new capital programme. An amendment was proposed and seconded to add a request to the Executive Board to continue to lobby the WG for funding for the Phase 2 project.

UNANIMOUSLY RESOLVED

7.1 That the draft Five Year Capital Programme 2016/17 – 2020/21 be endorsed subject to 7.2.

7.2 To request that the Executive Board re-consider including the Ammanford Valley Distributor Road Phase 2 in the new capital programme and continue to lobby the Welsh Government for Local Transport Grant funding for the project.

Five Year Capital Programme 2016/17, 2017/18, 2018/19, 2019/20 and 2020/21

Capital Programme

COUNCIL FUND	County Council Funding 2016/17 £'000	External Funding 2016/17 £'000	Total Scheme 2016/17 £'000	County Council Funding 2017/18 £'000	External Funding 2017/18 £'000	Total Scheme 2017/18 £'000	County Council Funding 2018/19 £'000	External Funding 2018/19 £'000	Total Scheme 2018/19 £'000	County Council Funding 2019/20 £'000	External Funding 2019/20 £'000	Total Scheme 2019/20 £'000	County Council Funding 2020/21 £'000	External Funding 2020/21 £'000	Total Scheme 2020/21 £'000
COMMUNITY SERVICES															
Private Sector Housing															
Disabled Facility Grants	2,000	0	2,000	2,000	0	2,000	2,000	0	2,000	2,000	0	2,000	2,000	0	2,000
Emergency Repairs Assistance	250	0	250	250	0	250	200	0	200	200	0	200	200	0	200
Social Care															
Llanelli Area Review	1,500	0	1,500	5,500	0	5,500	0	0	0	0	0	0	0	0	0
Leisure															
Sports & Leisure															
Llanelli Leisure Centre	0	0	0	6,000	2,000	8,000	6,000	2,500	8,500	0	0	0	0	0	0
Parks & Countryside															
Rights of Way Improvement Programme	50	50	100	50	50	100	50	50	100	50	50	100	50	50	100
Rights of Way Bridge Strengthening Programme	250	250	500	200	200	400	0	0	0	0	0	0	0	0	0
Strategic Open Spaces - site development and linkages	0	0	0	400	400	800	0	0	0	0	0	0	0	0	0
Pembrey Country Park - strategic infrastructure development	250	750	1,000	0	0	0	0	0	0	0	0	0	0	0	0
Carmarthen Park Velodrome	286	0	286	0	0	0	0	0	0	0	0	0	0	0	0
Burry Port Harbour	400	0	400	0	0	0	0	0	0	0	0	0	0	0	0
Cycle track at Pembrey	500	0	500	0	0	0	0	0	0	0	0	0	0	0	0
Arts & Culture															
Oriel Myrddin Gallery Redevelopment, Carmarthen	0	0	0	250	750	1,000	0	0	0	0	0	0	0	0	0
Libraries & Museums															
Carmarthenshire County Museum Abergwili	500	0	500	0	0	0	0	0	0	0	0	0	0	0	0
Carmarthenshire Archive Relocation	250	0	250	1,750	0	1,750	0	0	0	0	0	0	0	0	0
Total Community Services	6,236	1,050	7,286	16,400	3,400	19,800	8,250	2,550	10,800	2,250	50	2,300	2,250	50	2,300

Five Year Capital Programme 2016/17, 2017/18, 2018/19, 2019/20 and 2020/21

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Capital Programme

COUNCIL FUND	County Council Funding 2016/17 £'000	External Funding 2016/17 £'000	Total Scheme 2016/17 £'000	County Council Funding 2017/18 £'000	External Funding 2017/18 £'000	Total Scheme 2017/18 £'000	County Council Funding 2018/19 £'000	External Funding 2018/19 £'000	Total Scheme 2018/19 £'000	County Council Funding 2019/20 £'000	External Funding 2019/20 £'000	Total Scheme 2019/20 £'000	County Council Funding 2020/21 £'000	External Funding 2020/21 £'000	Total Scheme 2020/21 £'000
<u>ENVIRONMENT</u>															
<u>Street Scene</u>															
Highway Improvements Plus Bridge Strengthening	500	0	500	500	0	500	500	0	500	500	0	500	500	0	500
Street Lighting Replacement & Upgrade	360	0	360	360	0	360	360	0	360	0	0	0	0	0	0
Street Lighting - LED Lanterns	950	0	950	0	0	0	0	0	0	0	0	0	0	0	0
Coastal Defence	350	0	350	300	0	300	300	0	300	300	0	300	300	0	300
Pantyglyn Retaining Wall & Culvert	500	0	500	0	0	0	0	0	0	0	0	0	0	0	0
<u>Transportation</u>															
Multi Storey Car Park, Llanelli	50	0	50	50	0	50	60	0	60	60	0	60	60	0	60
Road Safety Improvement Schemes	250	0	250	250	0	250	250	0	250	250	0	250	250	0	250
Cross Hands Economic Link Road Phase 3	50	1,750	1,800	75	2,425	2,500	0	3,000	3,000	1,750	1,750	3,500	300	1,200	1,500
Tywi Valley Transport Corridor Concept	25	725	750	25	975	1,000	0	1,000	1,000	500	1,000	1,500	500	1,000	1,500
Ammanford Distributor Road Phase 3	0	0	0	0	0	0	0	100	100	100	400	500	150	350	500
Llanelli Rail Station	0	0	0	25	475	500	0	0	0	0	0	0	0	0	0
Walking & Cycling Linkages	25	725	750	25	725	750	25	725	750	125	875	1,000	125	875	1,000
Transport Interchange & Bus Corridor Improvements	0	200	200	0	200	200	0	200	200	20	200	220	0	0	0
Safe Routes in the Communities	25	225	250	25	225	250	0	250	250	25	225	250	25	225	250
Wind St/Tirydail Junction Ammanford	25	850	875	100	900	1,000	25	325	350	0	0	0	0	0	0
A4138 Hendy Link Road	0	0	0	25	225	250	25	475	500	100	400	500	25	0	25
Highway Junction Improvements/Signals Upgrade	0	0	0	25	75	100	25	75	100	25	75	100	25	75	100
Carmarthen West New Road - Developer Contribution	1,816	1,761	3,577	0	110	110	0	0	0	0	0	0	0	0	0
Fleet Replacement - Prudential Borrowing	7,433	0	7,433	1,826	0	1,826	0	0	0	0	0	0	0	0	0
Total Environment	12,359	6,236	18,595	3,611	6,335	9,946	1,570	6,150	7,720	3,755	4,925	8,680	2,260	3,725	5,985

Five Year Capital Programme 2016/17, 2017/18, 2018/19, 2019/20 and 2020/21

Capital Programme

COUNCIL FUND	County			County			County			County			County		
	Council Funding 2016/17 £'000	External Funding 2016/17 £'000	Total Scheme 2016/17 £'000	Council Funding 2017/18 £'000	External Funding 2017/18 £'000	Total Scheme 2017/18 £'000	Council Funding 2018/19 £'000	External Funding 2018/19 £'000	Total Scheme 2018/19 £'000	Council Funding 2019/20 £'000	External Funding 2019/20 £'000	Total Scheme 2019/20 £'000	Council Funding 2020/21 £'000	External Funding 2020/21 £'000	Total Scheme 2020/21 £'000
EDUCATION & CHILDREN															
Modernising Education Programme															
Ffwrnes - Replacement Building	20	0	20	0	0	0	0	0	0	0	0	0	0	0	0
Dinefwr - Dyffryn Aman / Maes Y Gwendraeth / Bro Dinefwr	849	0	849	0	0	0	0	0	0	0	0	0	0	0	0
Ysgol Carreg Hirfaen	100	0	100	0	0	0	0	0	0	0	0	0	0	0	0
Burry Port - New School	75	0	75	0	0	0	0	0	0	0	0	0	0	0	0
Coedcae Phase 1	1,585	0	1,585	100	0	100	0	0	0	0	0	0	0	0	0
Seaside - New School	3,250	0	3,250	3,679	1,352	5,031	163	87	250	0	0	0	0	0	0
Strade Phase 1	246	0	246	0	0	0	0	0	0	0	0	0	0	0	0
Llanelli Vocational Village	40	0	40	0	0	0	0	0	0	0	0	0	0	0	0
Trimsaran	1,044	2,600	3,644	1,120	800	1,920	100	0	100	0	0	0	0	0	0
Cwm Tywi - New Area Primary School	553	813	1,366	915	915	1,830	273	272	545	0	0	0	0	0	0
St John Lloyd Phase 1	193	1,107	1,300	404	692	1,096	137	213	350	0	0	0	0	0	0
Ammanford Primary - Major Development	100	0	100	3,120	4,120	7,240	3,063	3,380	6,443	1,031	0	1,031	0	0	0
Llandeilo A	100	0	100	597	1,598	2,195	1,131	1,429	2,560	1,000	0	1,000	0	0	0
Parc Y Tywyn	5,000	0	5,000	2,861	2,000	4,861	500	500	1,000	0	0	0	0	0	0
Carmarthen West New School	0	0	0	0	0	0	0	1,500	1,500	0	1,500	1,500	0	4,500	4,500
Ysgol Llangennech Infants - Double Mobile	110	0	110	0	0	0	0	0	0	0	0	0	0	0	0
Heol Goffa Hydro Pool	0	700	700	0	0	0	0	0	0	0	0	0	0	0	0
Provisions Expenditure	171	0	171	0	0	0	0	0	0	0	0	0	0	0	0
21st Century Schools Band B	0	0	0	0	0	0	0	0	0	0	0	0	5,000	5,000	10,000
Pupil Referral Unit	100	0	100	0	0	0	0	0	0	0	0	0	0	0	0
Ysgol Brynamman Car Park/Bus Stop	100	0	100	0	0	0	0	0	0	0	0	0	0	0	0
Rhydygors School Refurbishment	0	0	0	0	0	0	0	0	0	0	0	0	500	0	500
Catering															
Ysgol Griffith Jones Kitchen Refurbishment	0	0	0	0	0	0	0	0	0	130	0	130	0	0	0
Emlyn Comprehensive Kitchen Refurbishment	0	0	0	0	0	0	0	0	0	150	0	150	0	0	0
Brynsaron Kitchen Refurbishment	0	0	0	0	0	0	0	0	0	100	0	100	0	0	0
Total Education & Children	13,636	5,220	18,856	12,796	11,477	24,273	5,367	7,381	12,748	2,411	1,500	3,911	5,500	9,500	15,000

Five Year Capital Programme 2016/17, 2017/18, 2018/19, 2019/20 and 2020/21

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Capital Programme

COUNCIL FUND	County Council Funding 2016/17 £'000	External Funding 2016/17 £'000	Total Scheme 2016/17 £'000	County Council Funding 2017/18 £'000	External Funding 2017/18 £'000	Total Scheme 2017/18 £'000	County Council Funding 2018/19 £'000	External Funding 2018/19 £'000	Total Scheme 2018/19 £'000	County Council Funding 2019/20 £'000	External Funding 2019/20 £'000	Total Scheme 2019/20 £'000	County Council Funding 2020/21 £'000	External Funding 2020/21 £'000	Total Scheme 2020/21 £'000
<u>CHIEF EXECUTIVE & CORPORATE SERVICES</u>															
<u>IT Strategy Developments</u>															
Enhancements to County Backbone Network	200	0	200	200	0	200	200	0	200	0	0	0	0	0	0
Public Sector Broadband Aggregation	150	0	150	0	0	0	0	0	0	0	0	0	0	0	0
Licence Management	50	0	50	50	0	50	50	0	50	0	0	0	0	0	0
E Government / Service Transformation Developments	75	0	75	75	0	75	75	0	75	0	0	0	0	0	0
IT Security Provision	50	0	50	50	0	50	50	0	50	0	0	0	0	0	0
Systems Consolidation	50	0	50	50	0	50	50	0	50	0	0	0	0	0	0
Mobile Developments	50	0	50	50	0	50	50	0	50	0	0	0	0	0	0
Applications Interfacing	50	0	50	50	0	50	50	0	50	0	0	0	0	0	0
Virtual Unix Replacement	200	0	200	200	0	200	0	0	0	0	0	0	0	0	0
I/O Virtualisation	0	0	0	200	0	200	0	0	0	0	0	0	0	0	0
IT Strategy Developments	0	0	0	0	0	0	0	0	0	250	0	250	250	0	250
<u>Corporate Property</u>															
Capital Maintenance	3,250	0	3,250	3,250	0	3,250	3,000	0	3,000	3,000	0	3,000	3,000	0	3,000
County Farms - Farm houses & Outbuildings	300	0	300	300	0	300	0	0	0	0	0	0	0	0	0
St Davids Park	0	0	0	750	0	750	0	0	0	0	0	0	0	0	0
Glanamman Industrial Estate Redevelopment	1,000	0	1,000	0	0	0	0	0	0	0	0	0	0	0	0
Llanelli Market	300	0	300	0	0	0	0	0	0	0	0	0	0	0	0
East Gate Fit Out	114	0	114	0	0	0	0	0	0	0	0	0	0	0	0
<u>Regeneration</u>															
Transformation Strategy Project Fund	1,500	3,000	4,500	1,500	3,000	4,500	1,500	3,000	4,500	1,500	3,000	4,500	1,500	3,000	4,500
Rural Enterprise Fund	1,000	1,000	2,000	1,000	1,000	2,000	0	0	0	0	0	0	0	0	0
Cross Hands East Phase 2	1,100	0	1,100	0	0	0	0	0	0	0	0	0	0	0	0
Pembrey Peninsula Study	100	0	100	0	0	0	0	0	0	0	0	0	0	0	0
Llanelli Regeneration Plan	100	0	100	0	0	0	0	0	0	0	0	0	0	0	0
Transformation Commercial Property Development Fund	1,500	1,830	3,330	1,500	1,830	3,330	0	0	0	0	0	0	0	0	0

Five Year Capital Programme 2016/17, 2017/18, 2018/19, 2019/20 and 2020/21

Capital Programme

COUNCIL FUND	County Council Funding 2016/17 £'000	External Funding 2016/17 £'000	Total Scheme 2016/17 £'000	County Council Funding 2017/18 £'000	External Funding 2017/18 £'000	Total Scheme 2017/18 £'000	County Council Funding 2018/19 £'000	External Funding 2018/19 £'000	Total Scheme 2018/19 £'000	County Council Funding 2019/20 £'000	External Funding 2019/20 £'000	Total Scheme 2019/20 £'000	County Council Funding 2020/21 £'000	External Funding 2020/21 £'000	Total Scheme 2020/21 £'000
Total Chief Executive & Corporate Services	11,139	5,830	16,969	9,225	5,830	15,055	5,025	3,000	8,025	4,750	3,000	7,750	4,750	3,000	7,750
TOTAL COUNCIL FUND	43,370	18,336	61,706	42,032	27,042	69,074	20,212	19,081	39,293	13,166	9,475	22,641	14,760	16,275	31,035
County Council Funding															
Supported borrowing	5,848			5,848			5,848			5,848			5,848		
Unsupported borrowing	0			4,500			0			0			0		
General Capital Grants	3,558			3,558			3,558			3,558			3,558		
Capital Receipts	4,509			2,538			3,076			1,962			1,500		
Reserves	11,307			13,446			3,047			0			817		
Outcome Agreement Grant (Allocated not yet secured)	1,328			1,328			0			0			0		
Additional Borrowing MEP	0			886			2,183			1,868			0		
Joint Venture Funding Llanelli Leisure Centre	0			2,000			2,500			0			0		
Education Revenue/Reserve Contribution	1,633			3,615			0			0			0		
Education Capital Receipts	338			176			0			163			0		
Prudential Borrowing - Fleet Replacement	7,433			1,826			0			0			0		
Prudential Borrowing - 21st Century															
Schools LGBT	5,600			2,311			0			0			0		
Carmarthen West New Road	1,816			0			0			0			0		
Funding Carried Fwd										-233			233		
Total County Council Funding	43,370			42,032			20,212			13,166			11,956		
Net Position	0			0			0			0			-2,804		

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EXECUTIVE BOARD 1ST FEBRUARY 2016

Housing Revenue Account Budget and Housing Rent Setting for 2016/17

RECOMMENDATIONS / KEY DECISIONS REQUIRED:

That Executive Board consider the following Carmarthenshire Homes Standard Steering Group recommendations and recommend to County Council.

1. To increase the average housing rent by 2.97% (£2.27) per dwelling per week as per WG Social Housing Rents Policy (inclusive of progression for tenants below target rents). This will produce a sustainable Business Plan and continue to achieve & maintain CHS+ .
2. To continue with maximum progression permissible for rents below target, until target rents are achieved.
3. To increase garage rents to £8.75 per week (from £8.50 in 2015/16) and garage bases to £2.20 per week (from £2.15 in 2015/16)
4. Apply the service charge policy to ensure tenants who receive the benefit from specific services pay for those services
5. To increase charges for using our sewerage treatment works by 2.97%
6. To approve the proposed Capital Programme and applicable funding for 2016/17 and the indicative spends for 2017/18 and 2018/19 as set out in Appendix C.
7. To approve the Housing Revenue Account Budget for 2016/19 (2017/18 & 2018/19 being soft budgets) as set out in Appendix B.

REASONS:

To enable the Authority to set its Housing Revenue Account Budget and the Housing Rent levels for 2016/17.

Relevant scrutiny committee to be consulted Yes

Exec Board Decision Required Yes

Council Decision Required Yes

EXECUTIVE BOARD MEMBER PORTFOLIO HOLDER:- Cllr David Jenkins

Directorate: Corporate Services

Name of Director: Chris Moore

Designations:

Director of Corporate Services

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Report Author: David Eldred

Group Accountant

**EXECUTIVE SUMMARY
EXECUTIVE BOARD
1ST FEBRUARY 2016**

**Housing Revenue Account Budget and Housing Rent
Setting for 2016/17**

This report has been prepared in conjunction with officers from the Communities Department and brings together the latest proposals for the Revenue and Capital Budgets for the Housing Revenue Account 2016/2019. The report has been presented to the Community Scrutiny Committee on the 15th January 2016 as part of the budget consultation process .

The report has been prepared reflecting the latest proposals contained in the Housing Revenue Account (HRA) Business Plan , which is the primary financial planning tool for delivering the Carmarthenshire Homes Standard *Plus*(CHS+) for the future. The proposed investment within the current business plan delivered the CHS by 2015 (to those homes where tenants agreed to have work undertaken), provides investment to maintain CHS+ and commences investment for our Affordable Housing Commitment.

Appendix A Summarises the CHS+ : Delivering What Matters 2016/19.

Appendix B of this report provides the proposed Revenue Account Budget for 2016/19.

Appendix C provides the proposed Capital Programme for 2016/19.

Appendix D – Scrutiny Consultation

DETAILED REPORT ATTACHED ?

YES

IMPLICATIONS

I confirm that other than those implications which have been agreed with the appropriate Directors / Heads of Service and are referred to in detail below, there are no other implications associated with this report :

Signed: Chris Moore

Head of Financial Services

Policy, Crime & Disorder and Equalities	Legal	Finance	ICT	Risk Management Issues	Staffing Implications	Physical Assets
NONE	NONE	YES	NONE	NONE	NONE	NONE

FINANCE

The report details the HRA proposals to be considered by Executive Board. If the proposals are agreed the budget for the HRA will be set for 2016/17 with an expenditure level of £33M.

The average rent will increase from £76.46 to £78.73 (2.97%).

The proposed Capital Programme will be £13.7M for 2016/17, £15.6M for 2017/18 and £13.7M for 2018/19.

Physical Assets

The capital programme continues the works to bring the housing properties up to/maintain the Carmarthenshire Home Standard+ as per the 30 year business plan.

CONSULTATIONS

I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below

Signed: Chris Moore

Director of Corporate Services

1. Local Member(s) - Not applicable

2. Community / Town Council – Not applicable

3. Relevant Partners - Not applicable

4. Staff Side Representatives and other Organisations – Not applicable

Section 100D Local Government Act, 1972 – Access to Information

List of Background Papers used in the preparation of this report:

THESE ARE DETAILED BELOW

Title of Document	File Ref No.	Locations that the papers are available for public inspection
Social Housing Rents Policy		Financial Services, County Hall, Carmarthen
30 year Housing Business Plan		Financial Services , County Hall, Carmarthen

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REPORT OF THE DIRECTOR OF CORPORATE SERVICES

EXECUTIVE BOARD

1st FEBRUARY 2016

HOUSING REVENUE ACCOUNT AND HOUSING RENT SETTING 2016/17

- REVENUE AND CAPITAL

DIRECTOR & DESIGNATION.	DIRECTORATE	TELEPHONE NO.
C Moore Director of Corporate Services	Corporate Services	01267 224160
AUTHOR & DESIGNATION	DIRECTORATE	TELEPHONE NO
D Eldred Group Accountant	Corporate Services	01267 228747

1. INTRODUCTION

1.1. This report explains the proposed 2016/17 Housing Revenue Account (HRA) budget for both revenue and capital. It has been prepared in conjunction with officers from the Communities Department and was presented to Community Scrutiny on 15th January 2016 as part of the budget consultation process. The views expressed by Community Scrutiny are attached to this report for Executive Board's consideration when setting the 2016/17 HRA budget and Housing Rents.

1.2. The HRA budget for 2016/17 is being set to reflect:

- Social Housing Rent Policy (set by WG)
- Proposals contained in the Carmarthenshire Homes Standard *Plus* (CHS+) Business Plan (which will be presented by the Head of Housing & Public Protection to the Community scrutiny committee 12/02/16 and county council on the 10/03/16); and
- Exiting the Housing Revenue Account Subsidy (HRAS) system ,which occurred on 1/4/15

1.3. IMPACT OF HRAS REFORM

Carmarthenshire County Council along with the other 10 local authorities (LAs) in Wales, exited the HRAS on 1/4/15.

The financial impact of exiting the Housing Revenue Account Subsidy (HRAS), as part of the agreement between the U.K. and Welsh Governments, is that the 11 housing stock authorities paid a settlement figure to the Treasury of £919million. To achieve this LAs were required to raise long term borrowing to fund the settlement. The loan repayment costs for the 11 authorities is £38.3million per annum. For Carmarthenshire, this entailed borrowing £79million with annual repayments of approximately £4.9million comprising estimated interest payments of £3.3million and £1.6million principal debt repayment (Minimum Revenue Provision – MRP). However, those payments would be offset against the £6.2million negative subsidy repayments that the authority previously repaid annually to the UK treasury.

As part of the agreement between WG and the Treasury, a borrowing cap of £1.87 billion has been set for all the stock retaining authorities. This borrowing will include:

- The debt incurred to buy ourselves out of exiting system (£919million).
- Existing borrowing to meet the Welsh Housing Quality Standard (£462million).
- New borrowing to meet the Welsh Housing Quality Standard (£358million).

This left £114million of borrowing which was distributed between the stock retaining authorities for projects such as new build council homes and housing development programmes. For Carmarthenshire the borrowing headroom allocation was £5.3million. This gave Carmarthenshire a final limit of indebtedness (Borrowing Cap) of £228million.

After the initial agreement between WG and the treasury, the treasury issued a further £17million addition to the borrowing cap. This is yet to be allocated by WG.

WG have now set up a steering group to identify strategic priorities, improve collaborative working and review the broader aspects of moving to the new financing system. Initial meetings have taken place to identify terms of reference and a forward work programme for the steering group.

As part of the HRAS reforms, LAs with retained stock were required to adopt the new Social Housing Rents Policy set by the Welsh Government (WG). County Council approved the implementation of the policy on 24/02/15.

1.4 Capital investment

A capital investment of £231m was undertaken to deliver the CHS+ by 2015. This includes £117million of unsupported borrowing. This investment was funded by Major Repairs Allowance received from the WG, capital receipts from the sales of land and dwellings, HRA revenue funding, external grants and borrowing.

The (CHS+) 2016-19 highlights the approach that will be taken over the next three years and will be presented to the next scrutiny meeting on 12/02/16. An overview of the Business Plan is attached on appendix A. It includes further investment over the next 5 years of £45million to maintain the CHS+ and £31million for our affordable homes programme

In order to support the future viability of the Business Plan, nearly £3million of capital receipts will be required by 2021/22. The timing and method of sale is being kept under review to ensure that receipts are maximised, while retaining the current target to support the Business Plan. It is recognised that CHS+ supports the building of new council homes and utilising existing Council land for future housing opportunities.

The profile of capital expenditure required to maintain the CHS+ and invest in affordable homes will be £13.8million in 2016/17. Further investment will continue with £15.7million in 2017/18 and £13.8million being invested in 2018/19. The plan is extremely sensitive to change and is currently being fully reviewed every 6 months, with ongoing monthly monitoring to identify any potential issues.

2. BUSINESS PLAN ASSUMPTIONS

2.1. There are many assumptions within the Business Plan, including future rental levels, interest rates, inflation etc. Business Plan guidance from the WG is yet to be received for 2016/17 as the date for submission has been changed from December to February.

The main Business Plan assumptions are currently as follows:

- **Rents** continue with the new Social Housing Rents Policy introduced by the Welsh Government (WG) for 2015/16. Every year the WG will increase the target rent by September 2015 CPI plus 1.5%, and for those properties below the target rent with a maximum of £2 per week increase until the target rent is reached (this was the policy agreed by County Council last year).
- **Major Repairs Allowance (MRA)** has not changed and is calculated by our stock levels. This has not been increased for future years, but has been varied for changing stock numbers. Our MRA is estimated to be £6million for 2016/17.
- **Capital Receipts from the sale of land** are 100% useable. The programme of sales has been re-profiled with fewer sales planned

over the next 5 years. This is considered to be a prudent measure considering the current prevailing market conditions.

- **Void Loss** incurred on dwellings currently set at 2.7% however it is expected during the year that the loss will reduce as part of the continued work on reducing voids. Any reduction will be accommodated as part of budget monitoring in 2016/17.
- **Central Support Costs** are based on services received by departments, these have been validated accordingly.
- **Stock Numbers** have been updated based on the latest forecast.
- **Interest on Balances** is estimated to be £48k based on an interest rate of 0.5%

2.2. As outlined in 1.3. of this report exiting the HRAS has provided additional resources to the HRA. The business plan assumptions for 2016/17 are yet to be confirmed by WG but we know that the rent increase for 2016/17 is September 2015 CPI (-0.1%) plus 1.5%=1.4% (plus progression which is a maximum of £2).

Members should note that our capital expenditure is limited over the life of the financial model by the borrowing cap of £228million.

As most of the schemes in delivering Housing projects have a significant lead in time, there will be an ongoing review of what is needed to maintain CHS+ and deliver our affordable housing commitment.

3. EXPENDITURE

3.1. The expenditure levels in the Business Plan have been set in anticipation of the Business Planning guidance from the WG which has not been received to date (target rents were notified to local authorities 16/12/15)

3.2. Maintenance and Stock Improvement

Revenue repairs and maintenance expenditure is forecast to be £8.69million in 2016/17. This is an increase on the 2015/16 budget (£8.58million) which reflects local building costs, forecast outturn for 2015/16 and changes in stock numbers.

The capital programme for achieving and maintaining the CHS+ for 2016/17 is £7.3million. This gives an overall spend of £15.99million on stock improvement and maintenance (the total for 2015/16 was £24.78million).

The capital programme and funding sources for this programme up to 2018/19 are detailed in Appendix C.

3.3 Affordable Housing Commitment

We have set aside £31 million over the next five years as part of the capital programme to increase the supply of affordable homes. The Delivery Plan detailing how this funding will be spent is due to be approved by Council on the 10th March. Within 2016/17 £6.5million has been identified for the Delivery Plan (including development costs).

Validation

The proposed Business Plan includes the following validations for 2015/16, which is in line with the proposed budget strategy:

- general payroll costs are set as per the current employer's pay offer.
- Increased National Insurance employer's contribution approximately £89k
- general inflation has been accommodated at +0.6% .
- Electricity, gas & oil at +3%.
- Fuel at -13%
- Increased employer's pension costs from 17.2% to 17.5%

3.4.Capital Financing and Subsidy

The capital financing costs reflect the borrowing requirement inclusive of the exit from HRAS.

3.5. Details of the budget for Housing Revenue Account for the period up to 2018/19 is shown in Appendix B

4. INCOME

4.1. Carmarthenshire's current average rent is £76.46 per week, which leaves us just below the low-end WG target rent level of £76.73. Housing Association rents in Carmarthenshire's area currently average £81.46 and private sector rents are approximately £100. At the present time there are about 1,004 homes above this target rent (1,136 last year) 5,608 homes below this level (7,828 last year) and 2,332 are at target rent . All these properties are required to meet the target rent set by WG within the next four year period.

The formula used for future annual rent increases has been set by the WG in the Social Housing Rents Policy which commenced in 2015/16 and is fixed for a 5 year period.

When setting rents for 2016/17 the rent calculation will be fixed as follows:

For those properties at target rent the increase will be:-

Consumer Price Index (CPI for September 2015 @ -0.1%) + 1.5% = 1.4%.

For those properties where rent is below target the increase can be:

Consumer Price Index (CPI for September 2015 @ -0.1%) + 1.5%=1.4%

plus a maximum of £2 progression

Those rents above target are frozen until such time that they meet the target. When a property becomes empty it is placed in the target rent band. All the above principles were agreed at county council 23/02/15.

4.2.Transitional Protection (as per WG policy)

The additional £2 maximum increase gives protection to tenants particularly if they are not in receipt of Housing Benefits. The maximum £2 per week has been included to restrict rent increases should some homes be significantly below target rent at the present time. If we need to increase average weekly rent so that it falls within the target rent band, transitional protection for tenants will apply. So legally, the rent for an individual tenant cannot be increased by more than £2 per week, in addition to the agreed annual rate of rent increases.

4.3.Target Rents for Carmarthenshire

Current targets and those for 2016/17 are set out below :-

	Houses and Bungalows (£)					Flats (£)				Bedsits (£)
	1Bed	2Bed	3Bed	4Bed	5+Bed	1Bed	2Bed	3Bed	4+Bed	
Target Rent 2015/16	72.17	80.19	88.21	96.23	104.24	65.30	72.55	79.81	87.06	58.04
Target Rent 2016/17	73.45	81.61	89.77	97.93	106.09	66.45	73.84	81.22	88.61	59.07

Post-SAP policy rent band, 2016-17		
Low end (£ per week)	Mid point (£ per week)	High end (£ per week)
78.08	82.19	86.30

Table1: Current Average Weekly Rents , Target Rents and WG Policy Rent Bands 2016/17

For Carmarthenshire our average target rent for 2016/17 is £78.08 (low end).The all Wales average is £85.69 with Carmarthenshire’s being the 2nd lowest.

Based on applying the policy for 2016/17 rent plus £2 progression we would be above the low end by 65p at £78.73. Continuing to progress towards target rents will eventually give scope to amend rents in areas of high and low demand while remaining within the rent envelope.

The second part of the policy requires us to harmonise our rents. Though we will achieve target rent we still have a number of properties that do not fall within the rent harmonisation banding on property type. Below is a table outlining the numbers of properties reaching target rents over the next 4 years. The options given below will help us achieve rent harmonisation over a period of time.

Note the significant increase in properties which do not meet the rent target post 2020/21 if the maximum progression is not implemented in table below :-

Year	1.4%+ £2 max increase cap	1.4%+ £1.50 max increase cap	1.4%+ £1 max increase cap
2016	2848	2799	2394
2017	1115	515	455
2018	657	650	466
2019	1088	631	596
Post 2020	2292	3405	4089

Table 2: Properties achieving target rents per year - assuming 1.4% increase plus cap at £2/£1.50 & £1

4.4. Impact on the HRA Business Plan

Our Business plan makes certain assumptions about rent levels which then determine capital projects and revenue projections for the delivery of services and maintaining the CHS.

The risk of not implementing the maximum progression during this transitional period (up to 2019/20) could be loss of rental income that may

not be recovered in future years. It should be noted a number of properties will take some years to reach the new target rent subject to these arrangements. Within the policy there are powers available to Welsh Ministers to ensure local authorities comply with the policy. The WG intend to review the Policy in 3 to 5 years time post implementation.

	Target 52 wk, Capped Increases, No Decreases
Cap applied to increase.	
Total rent envelope based on current proposals at £1 progression	36461k
16/17 rent envelope from 15/16 business plan	36709k
deficit (-) /surplus compared to 15/16 business plan	- 248k
forecast average rent	78.13
increase in average rent from 15/16	2.18%
% age deficit (-)/ surplus compared to 15/16 business plan	-0.68%
Total rent envelope based on current proposals at £1.50 progression	36604k
16/17 rent envelope from 15/16 business plan	36709k
deficit (-) /surplus compared to 15/16 business plan	- 105k
forecast average rent	78.44
increase in average rent from 15/16	2.59%
% age deficit (-)/ surplus compared to 15/16 business plan	-0.41%
Total rent envelope based on current proposals at £2 progression	36738k
16/17 rent envelope from 15/16 business plan	36709k
deficit (-) /surplus compared to 15/16 business plan	29k
forecast average rent	78.73
increase in average rent from 15/16	2.97%
% age deficit (-)/ surplus compared to 15/16 business plan	0.07%

Table3 : financial impact of a £1 cap, £1.5 cap and £2 cap

4.4.1.Options for Consideration

1. Increase rents as per the WG policy of CPI+1.5% plus a maximum of £2 progression. This increases the average rent from £76.46 to £78.73 (2.97%). This is within the target rent band set by WG and leaves Carmarthenshire £3.46 below the target rent (mid-point).

By agreeing to a rent increase capped at £2 with no decrease for those properties above target rent, we will generate income similar to the 2015/16 Business Plan assumptions as agreed by members.

2. Increase rents as per the WG policy of CPI plus 1.5% plus a maximum of £1.50 progression. This increases the average rent from £76.46 to

£78.44 (2.59%). This is within the target rent band set by WG and leaves Carmarthenshire £3.75 below the target rent (mid-point).

It produces a rent envelope approximately £75k below the assumptions made in the 2015/16 Business Plan.

3. Increase rents as per the WG policy of CPI plus 1.5% plus a maximum of £1 progression. This increases the average rent from £76.46 to £78.13 (2.19%). This is within the target rent band set by WG and leaves Carmarthenshire £4.06 below the target rent (mid-point).

It produces a rent envelope approximately £220k below the assumptions made in the 2015/16 Business Plan.

Rents not at target rents

By agreeing to a rent increase capped at £2 with no decrease for those properties above target rent, we will be compliant with the 2016/17 Business Plan assumptions.

Currently we have 36% tenants receiving no support through Housing Benefit (HB) ,28% receiving partial HB and 36% receiving full HB.

Details of the rent increases on individual householders are below :-

Receive an increase of :-	No. of householders affected by:-		
	2.97% increase	2.59% increase	2.18% increase
No increase	574	574	574
up to £2.00	2768	2768	2844
£2.00 to £2.99	466	5588	5526
£3.00 to £3.99	5136	14	0
£4.00 to £4.99	0	0	0
	8944	8944	8944

Table 4 : No .of Householders affected by average increases (not decreases)

4.5. Garage Rental Income

The HRA currently receives a net rental income of £109k per annum. This equates to a weekly charge of £8.50 per week. The average rental for garages in the private sector is about £8 per week, dependant on location. It is proposed that garage rents are increased by 2.8% in line with the rent

increase to £8.75 per week. This will increase the net rental income to £119k for 2015/16. Garage bases will rise similarly from £2.15 per week to £2.20 per week.

4.6. Service and Heating charges

Service charges are now calculated in line with the policy adopted in 2011 and is based on actual expenditure for the previous financial year. In line with the policy and to reflect the additional work carried out, an administration fee of 10% is added. Implementing the Service Charge Policy will ensure those who receive additional services now pay for those services in a fair and transparent way. We have also separately identified charges relating to the cost of extra services that some tenants benefit from, over and above the services covered by basic rent. The Environment department currently carries out grounds maintenance and grass cutting for communal areas and all HRA owned land. It is proposed at present not to implement a service charge to recover the cost of grounds maintenance for HRA public open places on Council estates but to continue to pool these costs. This can be reviewed when guidance is issued by the Welsh Government.

However there is a case to charge and recover costs from tenants that benefit from grounds maintenance of areas directly around or outside specific properties where there is a common and exclusive boundary. It is proposed that Officers investigate further the introduction of such charges for future years.

The impact on tenants is outlined in the table below :-

Service Charge Weekly Increase	Number of Householders Affected	
	2015/16	2016/17
Capped at £3.30	127	52
Rise of between £2 and £3.30	90	24
Rise of between £1 and £2	276	111
Rise of less than £1	415	186
No Change	6	0
Reduced by less than £1	213	275
Reduced by between £1 and £2	98	176
Reduced by greater than £2	79	473
No Charge in year	0	7
Total	1304	1304

Table 5 : No .of Householders affected by service charge changes.

4.7 Sewerage Treatment Works

The cost of running and maintaining the works falls on the HRA. The treatment works were originally built to serve 140 rural council owned properties built at around the same time. Since the initial commissioning of treatment works, 75 of the original council properties have been subject to Right to Buy and are no longer in council ownership. Income generated from charges for use of these facilities comes to approximately £45k. It is proposed for 2016/17 that current charges are increased as per our rent increase. In the meantime Officers are reviewing the future use and running of the Works as part of the Asset Management Plan.

5. BALANCES

5.1. The final forecasted balances will obviously be subject to the decisions made on the income levels proposed within this report. If the rental increase is set at 2.97% the overall proposed budget will result in a surplus on the Housing Revenue Account of £4.89 million for the year. It should also be noted in Appendix B that balances are required to support the current strategy of funding our capital expenditure and continue to make our business plan affordable over a 30 year period.

6. RECOMMENDATIONS

6.1. That Executive Board consider the following and recommend to County Council.

- **To increase the average housing rent by 2.97% (£2.27) per dwelling per week as per WG Social Housing Rents Policy. This will produce a sustainable Business Plan and continue to achieve & maintain CHS+ and is supported by DCHS Steering Group**
- **To continue with maximum progression permissible for rents below target, until target rents are achieved.**
- **To increase garage rents to £8.75 per week (from £8.50 in 2015/16) and garage bases to £2.20 per week (from £2.15 in 2015/16)**
- **Apply the service charge policy to ensure tenants who receive the benefit from specific services pay for those services**
- **To increase charges for using our sewerage treatment works by 2.97%**

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CHS+: Delivering What Matters 2016-2021

At the end of 2015, the work programmes to achieve the CHS have been completed.

This work has been completed over a period of over 8 years, costing over £231 million, and achieved with the support of our tenants, members and other stakeholders.

As part of the CHS+, we have made a commitment to continue our work to achieve the CHS and maintain tenants' homes. This includes:

- Supporting tenants and residents by:
 - Continuing to provide as much support and advice to tenants who are impacted by Welfare Reform
 - Increasing the training and employment opportunities for tenants, prospective tenants and the homeless
 - Continuing to check homes to ensure they are in a good state of repair through an annual "MOT"
 - Carrying out improvements to sheltered schemes to ensure they continue to meet the needs of their tenants
 - Looking at the way we assist with community activities for residents to deliver things that they want. We will look to further use Time Credits to do this
 - Delivering a trial project on the use of LED lighting in homes to save tenants money
 - Continuing to increase the number of Fuel Clubs where there is no mains gas supply
 - Identifying opportunities to make the purchasing of broadband more affordable for tenants

- Invest in Tenants Homes by:
 - Completing work to homes where tenants have previously declined the CHS
 - Maintaining the CHS over the next 5 years by:
 - Surveying the condition of 840 kitchens and 417 bathrooms; replacing ones that no longer meet the Standard
 - Upgrading the electrics at 228 homes
 - Servicing heating appliances at 8,910 homes, 190 of which will be nearing 15 years old
 - Rendering 1,400 homes
 - Re-roofing 639 homes
 - Completing additional work to homes that do not have an energy performance certificate of 65

- Providing more homes

The Affordable Housing Commitment was agreed by Council in 2015. It clearly states our key principles on how we will increase the supply of affordable homes.

We have set aside £31 million over the next five years as part of the capital programme to increase the supply of affordable homes. The Delivery Plan detailing how this funding will be spent is due to be approved by Council on the 10th March.

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Appendix B

Housing Revenue Account Revenue Budgets 2016-2019	2016-17 Budget £'000	2017-18 Budget £'000	2018-19 Budget £'000
Income			
Rents	- 35,861	- 37,080	- 38,545
Charges	- 659	- 672	- 690
Interest	- 48	- 72	- 100
Recharges	- 366	- 370	- 375
Grants/other income	- 1,031	- 707	- 721
Total Income	- 37,965	- 38,901	- 40,431
Repairs & Maintenance	8,692	8,962	9,284
Supervision & Management	6,202	6,303	6,396
Central Support Charges/recharges	3,034	3,054	3,080
Direct Revenue Financing	463	445	445
Subsidy	-	-	-
Provision for Bad Debt	705	708	709
Capital Financing Cost	13,981	14,353	14,613
Total Expenditure	33,077	33,825	34,527
Surplus(-)/Deficit in year	- 4,888	- 5,076	- 5,905
Housing Revenue Account Balances			
	2016-17 Budget £M	2017-18 Budget £M	2018-19 Budget £M
BALANCE B/F	-7.916	-12.804	-17.880
BUDGETED SURPLUS(-)/DEFICIT(+)	-4.888	-5.076	-5.905
BALANCE C/F	-12.804	-17.880	-23.785

Appendix C

Scheme	Budget 2016/17 (£000s')	Budget 2017/18 (£000s')	Budget 2018/19 (£000s')
Improving / Upgrading kitchens, bathrooms, heating and electrical	1,733	4,208	2,187
Environmental works, including garage sites	380	395	401
Rendering	1,652	1,316	1,285
Energy efficiency works	40	526	632
Adaptations	926	506	514
Housing development programme	6,498	6,480	6,480
Re-roofing	706	759	771
Empty homes needing major work	300	304	308
Planned replacement programme i.e. Boiler replacements	782	356	343
Sheltered Scheme Improvements	100	354	360
Structural works on estates i.e. Boundary walls	501	304	308
Programme management	167	169	172
TOTAL	13,785	15,677	13,761
Funding Source	Budget 2016/17 (£000s')	Budget 2017/18 (£000s')	Budget 2018/19 (£000s')
Major Repairs Allowance	6,025	6,025	6,025
Useable receipts	0	620	0
External income	0	0	0
Direct revenue financing	463	445	445
Borrowing	7,297	8,587	7,291
Total Funding	13,785	15,677	13,761

COMMUNITY SCRUTINY COMMITTEE Friday, 15 January 2016**HOUSING REVENUE ACCOUNT AND HOUSING RENT SETTING 2016/17
(REVENUE AND CAPITAL)**

The Committee considered the Housing Revenue Account (HRA) Budget and Housing Rent Setting for 2016/17 which was being presented as part of the budget consultation process. The report, a revised version of which was circulated, reflected the latest proposals contained in the Housing Revenue Account Business Plan, which was the primary financial planning tool for delivering the Carmarthenshire Homes Standard *Plus* (CHS+).

The following issues were raised in relation to the report and its appendices:

- The Committee was advised that under the original Carmarthenshire Homes Standard programme all work requested by tenants had been completed;
- In terms of sewage charges it was pointed out that where properties were not connected to the mains sewage, and this was particularly the case in rural areas, tenants could apply for assistance to ensure appropriate arrangements were in place. The Head of Public Protection agreed to check that no tenants were paying Welsh Water excessively for any arrangement;
- It was clarified that service charges primarily related to sheltered housing schemes and flats and the Head of Public Protection agreed to circulate Members with a breakdown of the service charges. Tenants automatically received a breakdown;
- Concerns were expressed over the possible impact of the rent increases proposed particularly where tenants were not in full time employment and/or had to pay for school transport;
- Rents charged by Housing Associations were currently in the region of £8.00-10.00 per week above the Council's charges but the Welsh Government wished to see a move towards one level charge over about 5 years;
- The Director of Corporate Services, in response to a query, agreed to circulate members with details of the long term loans raised to fund the exit from the HRAS [Housing Revenue Account Subsidy];
- It was agreed that a more appropriate description of Table 2 in the report would be 'Properties achieving target rents per year'. Officers agreed to circulate Members with a more detailed explanation of Table 2;
- The Committee was advised that income from the sale of any Council houses was crucial in meeting the need for housing throughout the County.

UNANIMOUSLY RESOLVED to endorse the report and the following proposals to the Executive Board:

- **To increase the average housing rent by 2.97% (£2.27) per dwelling per week as per WG Social Housing Rents Policy. This will produce a**

sustainable Business Plan and continue to achieve & maintain CHS+ and is supported by DCHS Steering Group;

- **To continue with maximum progression of £2, for rents below target, until target rents are achieved;**
- **To increase garage rents to £8.75 per week (from £8.50 in 2015/16) and garage bases to £2.20 per week (from £2.15 in 2015/16);**
- **Apply the service charge policy to ensure tenants who receive the benefit from specific services pay for those services;**
- **To increase charges for using our sewerage treatment works by 2.97%.**