

POLICY AND RESOURCES CABINET BOARD

*Immediately Following Scrutiny Committee on
WEDNESDAY, 21 SEPTEMBER 2016*

COMMITTEE ROOMS 1/2 - PORT TALBOT CIVIC CENTRE

PART 1

1. To agree the Chairman for this Meeting.
2. To receive any declarations of interest from Members.
3. To receive the Minutes of the previous Policy and Resources Cabinet Board held on 27 July, 2016. *(Pages 5 - 6)*
4. Forward Work Programme 2016/17. *(Pages 7 - 10)*

To receive the Report of the Director of Finance and Corporate Services

5. Welsh Church Act Trust and Miscellaneous Grants Fund Applications *(Pages 11 - 16)*

To receive the Report of the Head of Financial Services

6. Insurance Arrangements 2016/17 *(Pages 17 - 20)*
7. Anti Money Laundering Policy *(Pages 21 - 38)*
8. Annual Treasury Management Outturn Report 2015/16 *(Pages 39 - 54)*
9. Treasury Management Monitoring 2016/17 *(Pages 55 - 60)*

To receive the Report of the Head of Legal Services.

10. Public Services Ombudsman for Wales Annual Letter and Report 2015/2016 (*Pages 61 - 84*)
11. Legal Services (Licensing) Business plan 2016/17 (*Pages 85 - 100*)

To receive the Report of the Head of Corporate Strategy and Democratic Services

12. Quarterly Performance Management Data 2016-2017 - Quarter 1 Performance (1 April 2016- 30 June 2016) (*Pages 101 - 150*)
13. Corporate Governance Improvement Action Plan - April - August Progress Report 2016-2017 (*Pages 151 - 164*)
14. Joint Resilience Committee Minutes - 30 October, 2015 (*Pages 165 - 168*)
15. Joint Resilience Committee Minutes - 15 March, 2016 (*Pages 169 - 176*)
16. Margam Joint Crematorium Committee Minutes - 22 January, 2016 (*Pages 177 - 182*)

To receive the Report from the Head of ICT and Corporate Procurement

17. Extension of the Framework Agreement for the Provision of Multifunctional Devices and Services (*Pages 183 - 188*)
18. Any urgent items (whether public or exempt) at the discretion of the Chairman pursuant to Statutory Instrument 2001 No 2290 (as amended).
19. Access to Meetings - to resolve to exclude the public for the following items pursuant to Regulation 4(3) and (5) of Statutory Instrument 2001 No. 2290 and the relevant exempt paragraphs of Part 4 of Schedule 12A to the Local Government Act 1972.

PART 2

To receive the Private Report of the Head of Financial Services.

20. Leisure And Social Services Residential Care Write Offs (Exempt under Paragraph 14). (*Pages 189 - 194*)
21. Write Off Of Council Tax (Exempt Under Paragraph 14) (*Pages 195 - 206*)

S.Phillips
Chief Executive

Civic Centre
Port Talbot

Thursday, 15 September 2016

Cabinet Board Members:

Councillors: A.H.Thomas and A.N.Woolcock

Notes:

- (1) *If any Cabinet Board Member is unable to attend, any other Cabinet Member may substitute as a voting Member on the Committee. Members are asked to make these arrangements direct and then to advise the committee Section.*
- (2) *The views of the earlier Scrutiny Committee are to be taken into account in arriving at decisions (pre decision scrutiny process).*

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EXECUTIVE DECISION RECORD
CABINET BOARD – 27 JULY, 2016
POLICY AND RESOURCES CABINET BOARD

Cabinet Board Members:

Councillors: P.A.Rees and A.N.Woolcock (Chairperson)

Officers in Attendance:

Ms.C.Furlow, Mrs.T.Davies and Miss.C.Davies

1. **APPOINTMENT OF CHAIRPERSON.**

Agreed that Councillor A.N.Woolcock be appointed Chairperson for the meeting

2. **MINUTES OF THE PREVIOUS POLICY AND RESOURCES CABINET BOARD HELD ON 29 JUNE, 2016**

Decision:

Noted by the Committee

3. **CORPORATE GOVERNANCE IMPROVEMENT ACTION PLAN 2015-16**

Decision:

That the report be noted.

4. **NEATH PORT TALBOT COUNTY BOROUGH COUNCIL STRATEGIC EQUALITY PLAN 2015-19**

Decision:

That the contents of the progress at Appendix 1 to the circulated report, be noted.

5. **TREASURY MANAGEMENT MONITORING 2016-17**

Decision:

That the report be noted.

6. **LEGAL SERVICES BUSINESS PLAN 2016-17**

Decision:

That the Legal Services Business Plan for the financial year 2016/17, be endorsed.

Reason for Decision:

To allow the section to operate in line with the business plan for the 2016/17 financial year.

Implementation of Decision:

The decision will be implemented after the three day call in period.

7. **FORWARD WORK PROGRAMME 2016-17**

Decision:

That the Forward Work Programme 2016/17, be noted.

CHAIRPERSON

Policy and Resources Cabinet Board – Forward Work Programme (DRAFT)

Meeting Date	Agenda Items	Type (Decision/ Monitoring Or Information)	Rotation (Topical, Annual, Bi-Annual, Quarterly, Monthly)	Contact Officer/ Head of Service
2nd Nov 16	Finance			
	Treasury Mgt Monitoring	Information	Monthly	H. Jenkins
	Private Reports: Write Offs	Decision	Monthly	D. Rees
	Miscellaneous Grant Applications	Decision	Monthly	H.Jenkins
	Policy on money laundering	Decision	Annual	D.Rees
	Chief Execs			
	SEP Annual Report	Decision	Annual	C.Furlow
	Wellbeing of Future Generation – Act. Population Needs Assessment	Information	Topical	K.Jones
	Quarter 1 Sickness Report	Information	Quarterly	S. Rees
	Community Cohesion Plan/ Progress report	Decision	Annual	S.Morris
Unreasonable Customer Behaviour Policy	Decision	annual	J.Banfield	

Policy and Resources Cabinet Board – Forward Work Programme (DRAFT)

Meeting Date	Agenda Items	Type (Decision/ Monitoring Or Information)	Rotation (Topical, Annual, Bi-Annual, Quarterly, Monthly)	Contact Officer/ Head of Service
14th Dec 16	Finance			
	Treasury Management Monitoring Report	Information	Monthly	H. Jenkins
	Private Reports e.g. Housing Benefit Write Offs/Council Tax Write Offs	Decision	Monthly	D. Rees
	Chief Execs			
	Sickness Taskforce Report	Information	Topical	S.Rees
	Quarter 2 Sickness Report	Information	Quarterly	S.Rees
	CCTV Final Business Case	Decision	Topical	K.Jones
	Quarter 2 Performance Data Report 16/17	Monitoring	Quarterly	S.Davies
	Third Sector Grants – Approval of applications 17/18	Decision	Annual	C.Furlow
	Community Boundary Review	Decision	Topical	R.George

Policy and Resources Cabinet Board – Forward Work Programme (DRAFT)

Meeting Date	Agenda Items	Type (Decision/ Monitoring Or Information)	Rotation (Topical, Annual, Bi-Annual, Quarterly, Monthly)	Contact Officer/ Head of Service
18th Jan 17	Finance			
	Treasury Management Monitoring Report	Information	Monthly	H. Jenkins
	Private Reports e.g. Housing Benefit Write Offs/Council Tax Write Offs	Decision	Monthly	D. Rees
	Chief Execs			
	Violence Against Women Strategy	Decision	Topical	S.Morris

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NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

POLICY AND RESOURCES CABINET BOARD

21 SEPTEMBER 2016

REPORT OF THE DIRECTOR OF FINANCE & CORPORATE SERVICES

Matters for Decision

Wards Affected

Alltwen (Welsh Church Act Trust Fund application)

Bryncoch South, Neath East (Miscellaneous Applications)

WELSH CHURCH ACT TRUST AND MISCELLANEOUS GRANTS FUND APPLICATIONS

1. Purpose of Report

To seek Member approval in relation to grant applications received.

2. Background and Financial Impact

Welsh Church Acts Fund Guidelines for Grant Applications

- a) Each application will be considered on its merits.
- b) Grants will only be awarded to charities and voluntary bodies which are based in, or active in, or provide significant benefits to some or all of the residents of the Neath Port Talbot County Borough area.
- c) Grants will only be awarded to individuals in exceptional circumstances.
- d) Grants will not normally exceed £1,000 and in exceptional circumstances £4,000 per applicant and successful applicants will not normally be reconsidered for a further grant within 3 years of the date of approval of the last grant.
- e) Grants will have a time limit for the take up of said grant of two years from the date of approval.

- f) Grants will not normally be awarded where the service could be dealt with out of the annual budget of the Council's service Committees activities or by other public bodies.
- g) Grants will not normally be awarded where they would commit the fund to regular annual payments nor will recurring annual expenses be supported.
- h) Grants will only be made out of the income of the fund, preserving the Fund's capital assets.
- i) Priority will be given to applications which are of significant benefit to the Neath Port Talbot County Borough area.
- j) Grant aid will not normally cover the full cost of a project/proposal and normally will be approved at 25% of actual costs incurred up to the maximum as outlined in condition (d) above. The grant of £4,000 will only be approved where expenditure exceeds £50,000.
- k) Organisations assessed as being able to meet the cost (e.g. by size or nature) are unlikely to receive any grant aid.
- l) Grants towards work of a structural nature will only be considered where
 - there is evidence that a professional assessment has been made of the works
 - the applicant organisation can demonstrate that there is no other impediment to work proceeding at an early date (e.g. planning permission).
- m) In the case of Churches and Chapels grants will only be approved for the repair of the fabric of buildings which are more than 50 years old and of the highest architectural and historic interest. Church halls, however, where available and used significantly by the public for non-religious purposes will not be subject to these criteria.
- n) No retrospective applications are considered.
- o) The Panel will take into account the Church membership and the normal size of the congregation.
- p) In the case of students undertaking further Education courses, contributions towards the costs of individual instruments or pieces of equipment etc. will be made as follows - 50% of all

costs over a threshold of £2,000 up to a maximum grant of £1,000.

3. Miscellaneous Grant Applications

Existing Policy Statement

- a) Each application will be considered on its merits.
- b) The Committee will only approve applications for financial assistance from voluntary or charitable organisations which are manifestly committed to voluntary endeavours of a local nature. This will not preclude the consideration of applications where the disposal of funds is outside the area but still provides significant benefits for the people from the Neath Port Talbot area.
- c) No applications will be considered from religious bodies except relating to church halls and other premises where there is significant community use of the property for non-religious activities.
- d) No applications will be considered from other public funded bodies such as community councils, hospital trusts, etc. or where the benefit may be in lieu of their contributions such as appeals for hospital equipment.
- e) Applications from individuals may be considered where both the person and the community derive a benefit.
- f) No grants will be made to any individual or organisation whose prime purpose is to distribute their funds to other charitable bodies.

4. Miscellaneous Grant funding available

Members have approved a budget of £3,650 for miscellaneous grants for 2016/17. Committee has previously approved £1,750 against this budget thus leaving £1,900 currently available.

5. Consultation

There is no requirement under the Constitution to consult on these items.

6. Recommendations

It is recommended that Members determine the applications set out in Appendices 1 and 2 of this report.

7. Reason for Proposed Decisions

To decide on providing financial support in respect of the grant applications received.

8. Implementation of Decisions

The decisions are proposed for implementation after the three day call in period.

9. List of Background Papers

Grant Applications

10. Appendices

Appendix 1 – Welsh Church Act Trust Fund Application

Appendix 2 – Miscellaneous Grant Applications

11. Officer Contact

Mr Hywel Jenkins – Director of Finance and Corporate Services

Tel. No: 01639 763251

email: h.jenkins@npt.gov.uk

Welsh Church Act Trust Fund Application

Applicant	Purpose	Amount Request/Cost of "Project"	Previous Support	Comments
Cilybebyll Church	Building maintenance works (including coping stones, repair to roof and downpipes) to the Tower at Cilybebyll Church	Cost of works £9980 If this application is successful 25% of the total amount will be payable for costs up to £4,000.	Grant assistance previously granted but was not paid – time lapsed	Maximum grant of £1,000 or 25% of costs up to £4,000.

Miscellaneous Grant Applications

Applicant	Purpose	Amount Request/Cost of "Project"	Previous Support	Comments
Cwrt Herbert Sports Association	Grant to cover Cwrt Herbert Playing Fields in line with Council asset transfer scheme.	£1,500 p.a.	N/A	Provide grant to fully cover rent for 5 year period from in line with rent review period
F.A.N. Community Alliance	Grant to cover the annual rent of land and hall at Maes-y-Ffynon Close Neath	£2,500 p.a.	N/A	Provide grant of 90% to cover rent for 5 year period in line with rent review period. £250 to be paid by service user.

NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

Policy and Resources Cabinet Board

21 September 2016

Report of the Head of Financial Services – David Rees

Matter for Decision

Wards Affected - All

Insurance Arrangements 2016/17

Purpose of Report

1. The purpose of the report is to seek Members confirmation of the insurance arrangements for 2016, which are co-ordinated on our behalf by our insurance brokers, Marsh Limited.

The report outlines the cost of providing the insurance cover for the Council's main policies and provides a comparison with the previous financial year.

Background

2. The Council's Long Term Agreements for the insurance cover of property, fidelity guarantee, combined liability, professional indemnity, motor fleet, contractors all risks, hired in plant and computer were put in place from 1st October 2015.

Approval of the insurance renewals is required in advance of the 1st October each year to ensure that the Council continues to have adequate insurance cover in place.

Financial Impact - Premiums 2016/17

3. Insurers have confirmed that they are not increasing the premium rates that they included in the long term agreement which commenced 1st October 2015. The reason for premium increases is due to a change in the number/value of properties, vehicles, ICT equipment etc. being insured. The total cost for our tendered Insurance premiums, fees, etc. for renewal from 1st October 2016 is £944,279 (inclusive of 10% insurance premium tax). Table 1 below summarises the total renewal cost by class of business and includes the 2015/16 figures for

comparison purposes. The most significant increase in the costs since last year is Insurance Premium Tax which has increased to 10% from 6%. Also, the cost of insurance for buildings has risen to reflect the introduction of the new school into the Council's property portfolio.

Included in the total cost of Insurance premiums and fees is a claims handling deposit premium of £73,280 payable to Gallagher Bassett International for handling liability claims on behalf of the Authority and our liability insurers. The actual claim handling cost is subject to variation based on the actual number of claims received per policy area.

Table 1

Class of Business	Current Provider	2015/16	2016/17
		£	£
Material Damage (Buildings)	AIG via RMP	306,976	328,690
Fidelity Guarantee	QBE via RMP	14,425	14,425
Combined Liabilities	QBE via RMP	211,725	211,725
Combined Liabilities-SWTRA	QBE via RMP	132,515	132,515
Professional Indemnity	QBE via RMP	6,700	6,700
Motor Fleet-Minimum Deposit Policy	QBE via RMP	64,650	65,550
Motor retro Low Claims Rebate	QBE via RMP	-2,887	0
Contractors All Risk / Hired in Plant	HSB via RMP	7,779	7,779
Computer	HSB via RMP	4,151	4,778
Insurance Premium Tax		44,762	77,216
Total Premium (including Tax)		790,796	849,378
Claims Handling	Gallagher Bassett	72,966	73,280
Insurance Consultants Fees	Marsh	21,621	21,621
TOTAL		885,383	944,279

4. The policy renewal conditions remain the same as in 2015/16. These are:
- Combined Liability, which covers Employers and Public Liability insurance, has an excess for each and every claim of £100,000. The Aggregate Stop remains at £3.1m.
 - Material Damage, which covers building insurance, has a self-insurance element amounting to £100,000. This increases to £250,000 for schools. The Aggregate Stop remains at £1m.
 - Motor Fleet insurance has an excess for each and every claim of £100,000. The Aggregate Stop remains at £350,000.

The Authority will aim to maintain reasonable internal budgets to fund the self-insured excesses.

Equality Impact Assessment

5. There is no requirement for an equality impact assessment in respect of this item.

Workforce Impact

6. There are no workforce impacts in respect of this item.

Legal Impact

7. There is no legal risk to the Authority.

Risk Management

8. Ensuring that there are appropriate insurance policies in place mitigates the Council's costs in the case of legitimate insurance claims.

Consultation

9. There is no requirement for external consultation on this item.

Recommendation

10. It is recommended that Members approve the Council's Insurance Renewal Arrangements effective from 1st October 2016.

Reason for proposed decision

11. To provide a decision in relation to the Council's Insurance arrangements, which need to be in place before the 1st October 2016.

Implementation of decision

12. The decision is an urgent one for immediate implementation, subject to the consent of the relevant Scrutiny Chair as the insurance policies have to be put in place by the 1st October 2016.

List of Background Papers

13. Insurance Renewal Report 2016

Officer Contact

Mr Dave Rees – Head of Financial Services

☎ 01639 763634

E-mail: d.rees1@npt.gov.uk

Mrs Janet North, Chief Accountant-Technical and Exchequer

☎ 01639 763635

E-mail: j.north@npt.gov.uk

Mrs Jayne Howells, Insurance Manager

☎ 01639 763710

E-mail: j.howells@npt.gov.uk

NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

Policy and Resources Cabinet Board

21 September 2016

Report of the Head of Financial Services – David Rees

Matter for decision

Wards Affected: All

Anti Money Laundering Policy

Purpose of report

1. The report sets out a proposed Anti Money Laundering policy for member approval.

Executive Summary

2. Whilst local authorities are not directly covered by the requirements of the Money Laundering Regulations 2007, guidance from CIPFA indicates that they should comply with the underlying spirit of the legislation and regulations.
3. As such the Anti Money Laundering policy has been prepared for the Council to clearly demonstrate that it has put in place appropriate and proportionate anti-money laundering safeguards and reporting arrangements.

Background

4. The policy which covers all Council employees allocates the role of Money Laundering Reporting Officer (MLRO) to the Director of Finance and Corporate Services, and outlines the requirements of this key role.
5. The other key aspects of the policy involve the procedures for reporting suspicions of money laundering which are dealt with in detail.

Financial Impact

6. There are no financial implications from this report.

Equality impact assessment

7. There was no requirement for an equality impact assessment on this issue.

Workforce impacts

8. There are no workforce impacts from this report.

Legal impacts

9. The legal implications are included in the policy itself.

Risk management

10. There are no risk management issues.

Consultation

11. There is no requirement under the Constitution for external consultation on this item.

Recommendations

12. It is recommended that members approve the attached policy.

Reasons for proposed decisions

13. The Council is committed to the highest standards of conduct and the policy demonstrates that it has put in place appropriate and proportionate anti-money laundering safeguards and reporting arrangements.

Implementation of decision

14. The decision is proposed for implementation after the three day call in period.

Appendices

15. Appendix – Anti Money Laundering Policy.

List of background papers

16. None

Officer contact

Mr David Rees – Head of Financial Services

Tel. No.: 01639 763634

Email: d.rees1@npt.gov.uk



ANTI-MONEY LAUNDERING POLICY

September 2016

Version 1

1. Introduction

- 1.1 Although local authorities are not directly covered by the requirements of the Money Laundering Regulations 2007, guidance from CIPFA indicates that they should comply with the underlying spirit of the legislation and regulations.
- 1.2 Neath Port Talbot County Borough Council is committed to the highest standards of conduct and has, therefore, put in place appropriate and proportionate anti-money laundering safeguards and reporting arrangements.

2. Scope of the Policy

- 2.1 This policy applies to all Council employees and aims to maintain existing high standards of conduct within the Council by preventing criminal activity through money laundering.
- 2.2 This Policy is particularly relevant for various services including cashiers, revenues, public protection, estates, property, housing and legal services.

2.3 Key Message

The key message of this Policy is that if you suspect that money laundering activity may be taking place or proposed in relation to anything you are dealing with you should immediately disclose those suspicions to the Council's Money Laundering Reporting Officer (MLRO) and do nothing further without instruction from the MLRO.

The Council's MLRO is the Director of Finance & Corporate Services.

3. Definition of Money Laundering

- 3.1 Money laundering describes offences involving the integration of the proceeds of crime, or terrorist funds, into the mainstream

economy. Such offences are defined under section 327 – 329 of the Proceeds of Crime Act 2002 as the following ‘prohibited acts’:

- Concealing, disguising, converting, transferring or removing criminal property from the UK
- Becoming involved in an arrangement which an individual knows or suspects facilitates the acquisition, retention, use or control of criminal property by or on behalf of another person
- Acquiring, using or possessing criminal property
- Doing something that might prejudice an investigation e.g. falsifying a document
- Failure to disclose one of the offences listed above where there is a reasonable grounds for knowledge or suspicion
- Tipping off a person(s) who is/are or is/are suspected of being involved in money laundering in such a way as to reduce the likelihood of or prejudice an investigation

3.2 As the Council does not undertake activities regulated under the Financial Services and Markets Act 2000, the offences of failure to disclose and tipping off do not apply. However the Council and its employees remain subject to the remainder of the offences and the full provisions of the Terrorism Act 2000.

The Terrorism Act 2000 made it an offence of money laundering to become concerned in the arrangement relating to the retention or control of property likely to be used for the purposes of terrorism, or resulting from acts of terrorism.

Although the term ‘money laundering’ is generally used to describe the activities of organised crime, for most people it will involve a suspicion that someone they know, or know of is benefitting financially from dishonest activities.

Potentially very heavy penalties (unlimited fines and imprisonment up to 14 years) can be handed down to those who are convicted of one of the offences above.

4. Requirements of the Money Laundering Legislation

4.1 The main requirements of the legislation are:

- Appoint a Money Laundering Reporting Officer (MLRO) to receive disclosures from employees of any suspected money laundering activity
- Maintain client identification procedures in certain circumstances
- Implement a procedure to enable the reporting of suspicions of money laundering ie as set out by this report.

5. The Money Laundering Reporting Officer

5.1 The officer nominated to receive disclosures about money laundering activity within the Council is the Director of Finance & Corporate Services. His contact details are Director of Finance & Corporate Services, Civic Centre, Port Talbot, SA13 1PJ. Telephone 01639 763251 or email h.jenkins@npt.gov.uk. Some of the review work will be undertaken by Internal Audit.

5.2 In the absence of MLRO, the Head of Financial Services is authorised to deputise for him and can be contacted at the same address or on telephone number 01639 763634 or by email d.rees1@npt.gov.uk.

All suspicions must be reported directly to the MLRO or his deputy using the relevant documentation.

6. Identification of potential money laundering situations

6.1 It is not possible to give a definitive list of ways to identify money laundering or how to decide whether to make a report to the MLRO. The following are types of risk factors which may, either alone or cumulatively, suggest possible money laundering activity:

- Payment of a substantial sum in cash (over £10,000),
- Payment of lower cash sums where cash is not the normal means of payment,

- A secretive customer, e.g. refuses to provide requested information without a reasonable explanation,
- Concerns about the honesty, integrity, identity or location of a customer,
- Illogical third party transactions such as unnecessary routing or receipt of funds from third parties or through third party accounts,
- Involvement of an unconnected third party without a logical reason or explanation,
- Overpayments by a customer or payments of deposits subsequently requested back,
- Absence of an obvious legitimate source of funds,
- Unusual transactions or ways of conducting business, without reasonable explanation,
- A transaction without obvious legitimate purpose or which appears uneconomic, inefficient or irrational,
- The cancellation or reversal of an earlier transaction,
- Poor business records or internal accounting controls,
- A previous transaction for the same customer which has been, or should have been, reported to the MLRO,
- Lack of 'traceability' of the persons involved,
- Individuals or companies that are insolvent yet have funds.

7. Reporting Procedure for Suspicions of Money Laundering

7.1 When you know or suspect that money laundering activity is taking/has taken place, or become concerned that your involvement in a matter may amount to a prohibited act under the Act, you must disclose this as soon as practicable to the MLRO. The disclosure should be made within hours of the information coming to your attention, not days, weeks or month later. Your disclosure should be made to the MLRO using the form provided as appendix 1 of this policy. The report must include as much information as possible including:

- Full details of the people involved;
- Full details of the nature of their/your involvement;

- The types of money laundering activity involved;
- The dates of such activity;
- Whether the transactions have happened, are ongoing or are imminent;
- Where they took place;
- How they were undertaken;
- The amount of the money/assets involved;
- Why exactly you are suspicious;
- Any other available information which will assist the MLRO to make a judgement as to whether there are reasonable grounds for knowledge or suspicion of money laundering and enable him to prepare a report to the National Crime Agency (NCA) where appropriate. You should enclose copies of any relevant supporting documentation.

7.2 If you are concerned that your involvement in the transaction would amount to a prohibited act as detailed in paragraph 3.1 above then your report must include all relevant details, as you will need consent from the NCA via the MLRO, to take any further part in the transaction – this is the case even if the individual gives instructions for the matter to proceed before such consent is given. You should therefore make it clear in your report if such consent is required and clarify whether there are deadlines for giving such consent e.g. a completion date or court deadline.

7.3 Once you have reported the matter to the MLRO you must follow any directions he may give you. You must NOT make any further enquiries into the matter yourself; any necessary investigation will be undertaken by the NCA. Simply report your suspicions to the MLRO who will refer the matter to the NCA if appropriate. All members of staff will be required to co-operate with the MLRO and the authorities during any subsequent money laundering investigation.

7.4 Similarly, at no time and under no circumstances should you voice any suspicions to the person(s) whom you suspect of, even if the NCA has given consent to a particular transaction proceeding,

without the specific consent of the MLRO'; otherwise you may commit a criminal offence of 'tipping off'.

Do not, therefore, make any reference on a client file to a report having been made to the MLRO – should the client exercise their right to see the file, then such a file note will obviously tip them off to the report having been made and may render you liable to prosecution. The MLRO will keep the appropriate records in a confidential manner.

8. Consideration of the disclosure by the MLRO

8.1 Upon receipt of the disclosure report, the MLRO must note the date of receipt on his section of the report and acknowledge receipt of it. He should also advise you of the timescale within which he expects to respond to you.

The MLRO will consider the report and any other available internal information he thinks relevant e.g.:

- Reviewing other transaction patterns and volumes;
- The length of any business relationship involved;
- The number of any one-off transaction and linked one-off transactions;
- Any identification evidence held.

And undertake such other reasonable inquiries he thinks appropriate in order to ensure that all available information is taken into account in deciding whether a report to the NCA is required (such enquiries to be made in such a way as to avoid any appearance of tipping off those involved). THE MLRO may need to discuss your disclosure report with you.

8.2 Once the MLRO has evaluated the disclosure report and any other relevant information, he must make a timely determination as to whether:

- There is actual or suspected money laundering taking place; or
- There are reasonable grounds to know or suspect that this is the case; and

- Whether he needs to seek consent from the NCA for a particular transaction to proceed.
- 8.3 Where the MLRO does so conclude, then he must disclose the matter as soon as possible to the NCA on their standard report form and in the prescribed manner, unless he has a reasonable excuse for non-disclosure to the NCA (for example, if you are a lawyer and you wish to claim legal privilege for not disclosing the information). The MLRO should follow the attached for guidance on reporting of any suspicious activity:
[https://www.ukciu.gov.uk/\(4mzrub45tlkas5rgm10deimc\)/saronline.aspx](https://www.ukciu.gov.uk/(4mzrub45tlkas5rgm10deimc)/saronline.aspx)
- 8.4 Where the MLRO suspects money laundering but has a reasonable excuse for non – disclosure, then he must note the report accordingly; he can then immediately give his consent for any ongoing or imminent transactions to proceed.
- 8.5 If you are a legal adviser and consider that legal professional privilege may apply to the information, you should explain fully in the report form the reasons why you contend the information is privileged. The MLRO, in consultation with the Head of Legal Services will then decide whether the information is exempt from the requirement to report suspected money laundering to the National Crime Agency (NCA)
- 8.6 Where consent is required from the NCA for a transaction to proceed, then the transaction(s) in questions must not be undertaken or completed until the NCA has specifically given consent, or there is deemed enough consent through the expiration of the relevant time limits without objection from the NCA.
- 8.7 Where the MLRO concludes that there is no reasonable grounds to suspect money laundering then he shall mark the report

accordingly and give his consent for any ongoing or imminent transaction(s) to proceed.

8.8 All disclosures reports referred to the MLRO and reports made by him to the NCA must be retained by the MLRO for a minimum of 5 years.

8.9 The MLRO commits a criminal offence if he knows or suspects, or has reasonable grounds to do so, through a disclosure being made to him, that another person is engaged in money laundering and he does not disclose this as soon as practicable to the NCA.

9. Awareness Raising

9.1 The Council will take appropriate measures to ensure that all employees are made aware of their responsibilities in relation to money laundering.

10. Conclusion

10.1 Given a local authority's legal position with regard to the legislative requirements governing money laundering, the Council believes that this policy represents a proportionate response to the level of risk it faces of money laundering offences.

10.2 This policy will be reviewed as and when required.

TO BE COMPLETED BY REPORTING PERSON

Confidential

Report Re: Money Laundering Activity

To: Director of Finance & Corporate Services

Date _____

From: _____

[Insert name of employee]

Directorate: _____ Ext/Tel. No. _____

[Insert post title and business unit]

Details of suspected offence

Name(s) and address(es) of person(s) involved:

[if a company or public body please include details of nature of business]

Nature of suspicions regarding such activity:

[Please continue on a separate sheet if necessary]

Has any investigation been undertaken (as far as you are aware)

[Please delete as applicable] **YES NO**

If yes please include details below:

Have you discussed your suspicions with anyone else?

[Please delete as applicable] **YES NO**

If yes please specify below, explaining why such discussion was necessary

Signed _____ **Date** _____

Please do not discuss the content of this report with anyone you believe to be involved in the suspected money laundering activity described. To do so may constitute a tipping off offence, which carried a maximum penalty of 5 years imprisonment.

TO BE COMPLETED BY MONEY LAUNDERING REPORTING OFFICER

MLRO DECISION RECORD

Date report received: _____

Date receipt acknowledged: _____

Has any supervisory body guidance been obtained re money laundering? (e.g. the Law Society)?

[Please delete as applicable] **YES NO**

If yes please give details below:

Is there a valid reason for not disclosing the matter to NCA? (e.g. are you a lawyer and wish to claim legal professional privilege?)

[Please delete as applicable] **YES NO**

If yes, please set out full details below:

Is the transaction a prohibited act (under sections 327-329 of the 2002 Act or section 18 of the 2000 Act) and which requires consent from NCA?

[Please delete as applicable] **YES NO**

If yes, please enclose details in the box below:

Please set out below any other relevant information:

OUTCOME OF CONSIDERATION OF DISCLOSURE:

Are there reasonable grounds for suspecting money laundering activity?

Do you know the identity of the alleged money launderer or the whereabouts of the property concerned?

If there are reasonable grounds for suspicion, will a report be made to NCA?

[Please delete as applicable] **YES NO**

If yes, please confirm date of report to NCA: _____

And complete the box below:

Details of liaison with NCA regarding the report:

Is consent required from NCA to any ongoing or imminent transactions which would otherwise be prohibited acts?

[Please delete as applicable] **YES NO**

If yes, please confirm full details in the box below:

Date consent given by NCA: _____

Date consent given by MLRO to employee: _____

If there are reasonable grounds to suspect money laundering, but you do not intend to report the matter to NCA, please set out below the reason(s) for non-disclosure:

[Please set out any reason for non-disclosure]

Date consent given by MLRO to employee for any prohibited act transactions to proceed: _____

Other relevant information:

Signed by MLRO: _____ Date: _____

THIS REPORT MUST BE KEPT FOR AT LEAST FIVE YEARS

POLICY & RESOURCES CABINET BOARD

REPORT OF THE HEAD OF FINANCIAL SERVICES – MR DAVID REES

21st September 2016

SECTION B – MATTERS FOR INFORMATION

WARDS AFFECTED: ALL

ANNUAL TREASURY MANAGEMENT OUTTURN REPORT 2015/16

1. Purpose of Report

- 1.1 This Council is required through regulations issued under the Local Government Act 2003 to produce an annual treasury report reviewing treasury management activities and the actual prudential and treasury indicators for 2015/16 (this report).
- 1.2 This report meets the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code). Some information incorporated within this report has been provided by the Council's Treasury Advisors Capita Asset Services.
- 1.3 Recent changes in the regulatory environment place a much greater onus on members for the review and scrutiny of treasury management policy and activities. This report is important in that respect, as it provides details of the outturn position for treasury activities and highlights compliance with the Council's policies previously approved by members.
- 1.4 This Council also confirms that it has complied with the requirement under the Code to give prior scrutiny to the annual strategy report, which was submitted to Cabinet in February 2015 before being reported to full Council.

2.0 Executive Summary

- 2.1 During 2015/16, the Council complied with its legislative and regulatory requirements. The key actual prudential and treasury

indicators detailing the impact of capital expenditure activities during the year, with comparators, are as follows:

Prudential and Treasury Indicators	2014/15 Actual £000	2015/16 Revised Estimate £000	2015/16 Actual £000
Capital Expenditure	57,902	66,729	62,999
Capital Financing Requirement	242,118	276,744	270,267
External debt(gross)	194,224	220,685	225,686
Less Investments	(47,550)	(60,000)	(79,870)
Net Borrowing	146,674	160,685	145,816

2.2 The full list of prudential and treasury indicators are to be found in Appendix 1. During the financial year the Council operated within its treasury limits and Prudential Indicators.

2.3 The financial year 2015/16 was once again a challenging environment as in previous years with low investment returns and continuing counterparty risk.

3.0 Introduction and Background

3.1 This report summarises:

- Capital activity during the year;
- Impact of this activity on the Council's underlying indebtedness (the Capital Financing Requirement);
- Reporting of the required prudential and treasury indicators;
- Overall treasury position identifying how the Council has borrowed in relation to this indebtedness, and the impact on investment balances;
- Summary of interest rate movements in the year;
- Detailed debt activity; and
- Detailed investment activity

4.0 The Council's Capital Expenditure and Financing 2015/16

4.1 The Council undertakes capital expenditure on long-term assets. These activities may either be:

- Financed immediately through the application of capital or revenue resources (capital receipts, capital grants, revenue contributions etc), which has no resultant impact on the Council's borrowing need; or
- If insufficient financing is available, or a decision is taken not to apply resources, the capital expenditure will give rise to a borrowing need.

4.2 Actual capital expenditure forms one of the required prudential indicators. The table below shows the actual capital expenditure and how this was financed.

	2014/15 Actual £'000	2015/16 Revised Estimate £'000	2015/16 Actual £'000
Total capital expenditure	57,902	66,729	62,999
Resourced by:			
• Capital receipts	(1,250)	(3,700)	(2,077)
• Capital grants & contributions	(22,708)	(19,628)	(24,499)
• Capital reserves + Direct Revenue Financing	(2,432)	(2,192)	(1,836)
Unfinanced capital expenditure (to be funded from Borrowing)	(31,512)	(41,209)	(34,587)

5.0 The Council's Overall Borrowing Need

5.1 The Council's underlying need to borrow for capital expenditure is termed the Capital Financing Requirement (CFR). This figure is a gauge of the Council's debt position. The CFR results from the capital activity of the Council and what resources have been used to pay for the capital spend. It represents the 2015/16 unfinanced capital expenditure (see previous table), and prior years' net of

unfinanced capital expenditure which has not yet been paid for by revenue or other resources.

- 5.2 Part of the Council's treasury activities is to address the funding requirements for this borrowing need. Depending on the capital expenditure programme, the treasury service organises the Council's cash position to ensure sufficient cash is available to meet the capital plans and cash flow requirements. This may be sourced through borrowing from external bodies (such as the Government, through the Public Works Loan Board [PWLB] or the money markets), or utilising temporary cash resources within the Council.
- 5.3 Reducing the CFR – the Council's underlying borrowing need (CFR) is not allowed to rise indefinitely. Statutory controls are in place to ensure that capital assets are broadly charged to revenue over the life of the asset. The Council is required to make an annual revenue charge, called the Minimum Revenue Provision – MRP, to reduce the CFR. This is effectively a repayment of the borrowing need. This differs from the treasury management arrangements which ensure that cash is available to meet capital commitments. External debt can also be borrowed or repaid at any time, but this does not change the CFR.
- 5.4 The total CFR can also be reduced by:
- The application of additional capital financing resources (such as unapplied capital receipts); or
 - Charging more than the statutory revenue charge (MRP) each year through a Voluntary Revenue Provision (VRP).
- 5.5 The Council's amended 2015/16 MRP Policy was approved by Council during February 2016.
- 5.6 The Council's CFR for the year is shown below, and represents a key prudential indicator.

CFR	2014/15 Actual £'000	2015/16 Revised Estimate £'000	2015/16 Actual £'000
Opening balance	219,942	242,118	242,118
Add unfinanced capital expenditure (as above)	31,512	41,209	34,587
Less MRP/Set aside receipts	(9,336)	(6,583)	(6,438)
Closing balance	242,118	276,744	270,267

5.7 The borrowing activity is constrained by prudential indicators for net borrowing and the CFR, and by the authorised limit.

5.8 Net borrowing and the CFR – in order to ensure that borrowing levels are prudent over the medium term the Council’s external borrowing, net of investments, must only be used for a capital purpose. This essentially means that the Council is not borrowing to support revenue expenditure. Net borrowing should not therefore, except in the short term, have exceeded the CFR for 2015/16 plus the expected changes to the CFR over 2016/17 and 2017/18. This indicator allows the Council some flexibility to borrow in advance of its immediate capital needs in 2015/16. The table below highlights the Council’s net borrowing position against the CFR. The Council has complied with this prudential indicator.

	31/3/15 Actual £'000	31/3/16 Revised Estimate £'000	31/3/16 Actual £'000
Net borrowing position	146,674	160,685	145,816
CFR	242,118	276,744	270,267

5.9 The authorised limit – the authorised limit is the “affordable borrowing limit” required by s3 of the Local Government Act 2003. The Council does not have the power to borrow above this level.

5.10 The operational boundary – the operational boundary is the expected borrowing position of the Council during the year.

Periods where the actual position is either below or over the boundary is acceptable subject to the authorised limit not being breached.

	Actual 2015/16 £000
Operational boundary	319,336
Authorised limit	299,336
Maximum Gross Borrowing during 2015/16	
<u>Comprising of:</u>	
Maximum Long Term Borrowing at any point during year	225,686
Maximum Short Term Borrowing at any point during year	2,000

The Council has maintained gross borrowing below the Authorised limit.

6.0 Treasury Position as at 31st March 2016

- 6.1 The Council's debt and investment position is managed by Finance Treasury Staff in order to ensure adequate liquidity for revenue and capital activities, security for investments and to manage risks within all treasury management activities. Procedures and controls to achieve these objectives are well established both through Member reporting detailed in the executive summary, and through officer activity detailed in the Council's Treasury Management Practices. At the beginning and the end of 2015/16 the Council's treasury position was as follows:

	31 March 2015 Principal	Rate / Return	31 March 2016 Principal	Rate / Return
Fixed rate funding:	£m	%	£m	%
-PWLB	127.926	5.03	150.258	4.56
-Market (Rifw & LOBO)	65.298	3.93	75.428	3.69
-Other	1.000	0.5		
Variable rate funding:				
-PWLB	-	-		
-Market	-	-		
Total debt	194.224	4.80	225.686	4.27
Investments:				
- in house	47,550	1.20	79,870	0.78
- with managers				
Total investments	47,550		79,870	0.78

PWLB = Public Works Loans Board which is a body the Government has established to lend money to Local Government.

Market LOBO's = Lender Option Borrower Option – this is borrowing from the market when the lender has offered a long term loan but with options to continue or foreclose on the loan at various specific intervals.

7.0 The Strategy for 2015/16

7.1 The strategy for 2015/16 was approved by Cabinet and Council in February 2015.

7.2 New Borrowing:

The cheapest borrowing will be internal borrowing by running down cash balances and foregoing interest earned at historically low rates. However this strategy can only be used as a short term measure therefore consideration will be given to entering into external borrowing during 2015/16.

The following types of loan arrangement will be considered (in no particular order):

- Temporary borrowing from the money markets or other local authorities.
- Short dated borrowing from the market or PWLB.
- Long term fixed rate market or PWLB loans

7.3 Investments

The Council continued with its main investment priorities:

- (a) security of capital
- (b) liquidity of capital

with the aim of achieving the optimum return commensurate with proper levels of security and liquidity. With investments being dominated by low counterparty risk considerations, relatively low returns were expected when compared to borrowing rates.

7.4 For balances generated through normal cashflow the strategy looked to utilise the business reserve (call account) and short dated deposits.

7.5 Debt Rescheduling

The strategy did allow for the use of investment balances to repay debt prematurely providing it was economically worthwhile and it enhanced the maturity profile of the debt portfolio.

No debt rescheduling was anticipated (or took place) in 2015/16 particularly as the PWLB rate structures have made it more expensive in recent years to do so.

8. Borrowing Outturn for 2015/16

8.1 The following long term loans were entered into during 2015/16 due to the fact that PWLB loan rates were at historic low rates. These loans are used to finance capital expenditure on projects such as the Strategic School Improvement Programme, Street Lighting Replacement Programme and the new Aberafan Leisure and Fitness Centre.

Lender	Date	Amount £'000	Rate %	Period	Details
PWLB	30/7/15	9,000	3.12	48yrs	Maturity
PWLB	11/1/16	10,000	1.99	10yrs	EIP
PWLB	8/3/16	5,000	2.74	50yrs	Maturity

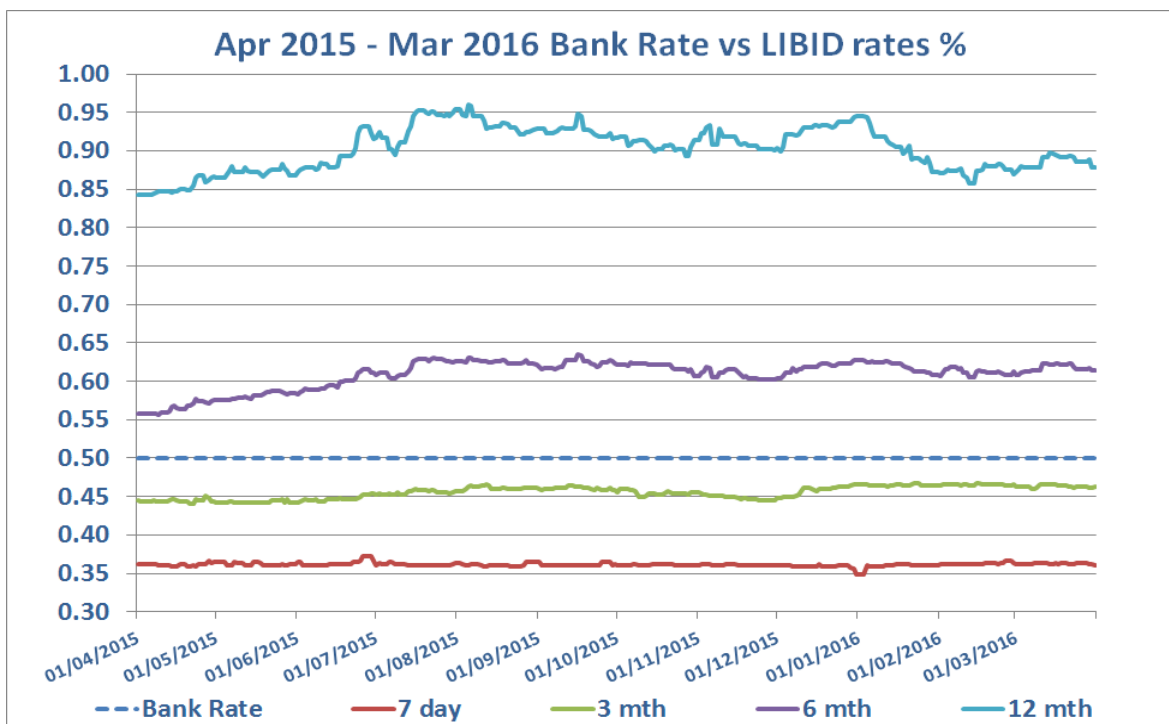
8.2 Treasury Borrowing – The following short term temporary loans were undertaken during the year:-

Start Date	End Date	Lender	Value £'000	Rate %
31/7/15	3/8/15	Leicester County Council	2,000	0.35

8.3 Rescheduling – No loans were rescheduled during 2015/16

9. Investment Rates in 2015/16

9.1 Bank Rate remained at its historic low of 0.5% throughout the year; it has now remained unchanged for seven years. Market expectations as to the timing of the start of monetary tightening started the year at quarter 1 2016 but then moved back to around quarter 2 2018 by the end of the year.



10. Investment Outturn for 2015/16

- 10.1 Investment Policy – the Council’s investment policy is governed by Welsh Government guidance, which has been implemented in the annual investment strategy approved by Council in February 2015. This policy sets out the approach for choosing investment counterparties, and is based on credit ratings provided by the three main credit rating agencies supplemented by additional market data (such as rating outlooks, credit default swaps, bank share prices etc).
- 10.2 The investment activity during the year conformed to the approved strategy, and the Council had no liquidity difficulties.
- 10.3 Resources – the Council’s longer term cash balances comprise, primarily, revenue and capital resources, although these will be influenced by cash flow considerations. The Council’s core cash resources comprised the following:

Balance Sheet Resources	31 March 2015 £'000	31 March 2016 £'000
Balances and Earmarked Reserves	42,972	48,857
Provisions	8,238	8,290
Usable capital receipts	6,826	5,484
Total	58,038	62,631

- 10.4 Investments held by the Council – The Council received the following return on its investments:

Average Investment £'000	External Interest Earned £'000	Rate of Return %	Benchmark Return %
69,456	545	0.78	0.45

The benchmark for funds managed in house is the 3 month LIBID uncompounded. The rate reflects a more realistic neutral position for core investments with a medium term horizon and a rate which is more stable with fewer fluctuations caused by market liquidity.

11. Performance Measurement

- 11.1 One of the key requirements in the Code is the formal introduction of performance measurement relating to investments, debt and capital financing activities. Whilst investment performance criteria have been well developed and universally accepted, debt performance indicators continue to be a more problematic area with the traditional average portfolio rate of interest acting as the main guide (as incorporated in the table in section 6). The Council's original performance indicators for 2015/16 were set out in the Annual Treasury Strategy approved by Council in February 2015.

12. Financial Impact

All financial impacts are detailed within the body of the report.

13. Equality impact assessment

There is no requirement for an equality impact assessment for this report.

14. Workforce impacts

There are no workforce impacts resulting from this report.

15. Legal impacts

The report deals with the Council's legal requirements as set out in Local Government Act 2003.

16. Risk management

Compliance with the strategies outlined in this report should be sufficient in terms of managing risks in this area.

17. Recommendations

It is recommended that Members note the 2015/16 treasury management function performance as set out in this report including the actual 2015/16 prudential and treasury indicators.

18. Reasons for proposed decisions

For Members to note the Treasury Management Performance for last financial year.

19. Implementation of decision

Not applicable

20. Appendices

Appendix 1 – Prudential Indicators

List of Background Papers

Treasury Management Closing Files 2015/16

Capita Asset Services - Treasury Management Templates

Officer Contact

For further information on this report item, please contact: -

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Mr. Huw Jones – Chief Accountant – Capital and Corporate

Tel. No. 01639 763575

E-mail: h.jones@npt.gov.uk

Mr. Chris Rees – Senior Accountant

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PRUDENTIAL INDICATORS

PRUDENTIAL INDICATORS	2014/15 Actual	2015/16 Revised Estimate	2015/16 Actual
Capital Expenditure	£'000 57,902	£'000 66,729	£'000 62,999
Ratio of financing costs to net revenue stream	% 6.70	% 5.96	% 5.80
In year borrowing requirement	£'000 31,512	£'000 41,209	£'000 34,587
Capital Financing Requirement as at 31 st March	£'000 242,118	£'000 276,744	£'000 270,267
Incremental impact of capital investment decisions	£ p	£ p	£ p
Increase in council tax (Band D) per annum *	14.69	21.05	15.35

*However due to the change in the Minimum Revenue Provision Policy the net cost per band D property of the Council's funding decisions reduced by £51.25.

PRUDENTIAL INDICATORS

TREASURY MANAGEMENT INDICATORS	2014/15 Actual	2015/16 Revised Estimate	2015/16 Actual
	£'000	£'000	£'000
Authorised Limit for External Debt: Borrowing and other long term liabilities	249,861	299,336	299,336
Operational Boundary for External Debt: Borrowing and other long term liabilities	229,861	319,336	319,336
External Debt (Gross)	194,224	220,685	225,686
Less Investments	(47,550)	(60,000)	(79,780)
Net Borrowing Position	146,674	160,685	145,816

PRUDENTIAL INDICATORS

Maturity Structure of Fixed Rate Borrowing During 2014/15	2014/15 Actual	2015/16 Original Estimate		2015/16 Actual
		Upper Limit	Lower Limit	
	%	%	%	%
Under 12 months	1	15	0	2
12 months to 2 years	2	15	0	6
2 to 5 years	6	40	0	9
5 to 10 years	12	60	0	8
10 years and above	79	100	15	75

POLICY AND RESOURCES CABINET BOARD

REPORT OF THE HEAD OF FINANCIAL SERVICES – DAVE REES

21st September 2016

SECTION B - MATTERS FOR INFORMATION

Wards Affected - All

TREASURY MANAGEMENT MONITORING 2016/17

1. Purpose of Report

- 1.1 This report sets out treasury management action and information since the previous report.

2. Rates of Interest

- 2.1 After remaining at 0.50% for over seven years the Bank of England's Monetary Policy Committee voted on the 4th August 2016 to reduce the bank rate to 0.25%. The cut in rate is intended to reduce borrowing costs in an attempt to stimulate growth in the economy.

Effective Date	Bank Rate
10 April 2008	5.00%
08 October 2008	4.50%
06 November 2008	3.50%
04 December 2008	2.00%
08 January 2009	1.50%
05 February 2009	1.00%
05 March 2009	0.50%
04 August 2016	0.25%

2.2 The following table provides examples of external borrowing costs as provided by the Public Works Loans Board as at 25th August 2016.

	Equal Instalments of Principal		Annuity		Maturity	
	Previous 15Jul16	Current 25Aug16	Previous 15Jul16	Current 25Aug16	Previous 15Jul16	Current 25Aug16
	%	%	%	%	%	%
5-5.5 years	1.21	1.12	1.21	1.12	1.44	1.27
10-10.5 years	1.44	1.27	1.45	1.27	1.97	1.72
20-20.5 years	1.97	1.72	2.00	1.74	2.63	2.26
35-35.5 years	2.54	2.18	2.60	2.22	2.54	2.20
49.5-50 years	2.70	2.32	2.68	2.31	2.40	2.09

3. General Fund Treasury Management Budget

3.1 The following table sets out details of the treasury management budget for 2016/17. The budget consists of a gross budget for debt charges i.e. repayment of debt principal and interest, and interest returns on investment income.

2015/16 Outturn Position £'000		2016/17 Original Budget £'000
14,799	Principal and Interest charges	16,762
	Investment Income	
(740)	- Total	(614)
218	- less allocated to other funds*	260
(522)	Subtotal Income	(354)
(97)	Contribution to/(from) treasury management reserve	
2,900	Contribution to voluntary redundancy reserve	
17,080	Net General Fund	16,408

NB: Other funds include Trust Funds, Social Services Funds, Schools Reserves, Bonds etc.

4. Borrowing

- 4.1 Since the last report the Council has taken advantage of the current low rates of interest for long term borrowing and arranged the following loans:

Date of Advance	Lender	Amount	Interest Rate	Period (Years)	Type	Maturity Date
08Aug16	PWLB	£10.0m	2.12%	48	Maturity	1 st Jul 2064
26Aug16	PWLB	£5.0m	1.89%	45.5	Maturity	1 st Jan 2062

The loans are used to fund capital expenditure on assets including Ysgol Bae Baglan, Ysgol Gyfun Ystalfyera Remodelling and the Street Lighting Replacement Programme amongst others.

5. Investment Income

- 5.1 In line with the Council's Investment Strategy, the 2016/17 Original Budget for investment income is £614k; treasury management investment income generated on investments made to date is £432k.

The recent cut in bank rate has led to a reduction in the interest rate paid to the Council on its investments for example the interest paid by the Government's Debt Management Agency has been reduced from 0.25% to 0.15%. Interest paid by Banks and Building Societies has also been reduced. The expectation is that for this financial year interest generated will now be nearer to £500k not the £614k included in the budget.

The Council also pays interest to other funds such as planning bonds (Escrow Accounts), the rate of interest paid on these funds will now reduce from 0.5% to 0.25% which should provide some savings to offset against the reduction in investment interest. This could mean a shortfall of some £100k which if required will be funded from the Treasury Management Reserve.

Members should note that the majority of investments are classified as 'specified' i.e. up to 12 months and are currently

deposited with Local Authorities, UK banks including Barclays, Lloyds Group, Bank Santander and Nationwide Building Society.

5.2 The Council policy will allow investments up to a maximum of £25m for periods of more than 1 year and up to 5 years, and this will be considered when decisions on investing surplus funds are made.

5.3 No additional long term investments have been carried out since the last report. The Council currently has £10m invested for periods in excess of 12 months:

Counterparty	Value £'000	Period	Maturity	Rate %
Eastbourne Borough Council	4,000	4.5 Years	June 18	2.20%
Peterborough City Council	6,000	5.0 Years	Dec 18	2.10%
TOTAL	10,000			

Financial Impact

6. The report is for information only. All relevant financial information is provided in the body of the report.

Equality Impact Assessment

7. An equality impact assessment was not required for this report.

Workforce Impacts

8. There are no workforce impacts arising from this report.

Legal Impacts

9. There are no legal impacts arising from this report.

Risk Management

10. There are no risk management issues arising from this report.

Consultation

11. There is no requirement under the Constitution for external consultation on this item.

Appendices

12. None

List of Background Papers
Treasury Management Files
PWLB Notice Number 271/16

Officer Contact

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Neath Port Talbot County Borough Council POLICY AND RESOURCES CABINET BOARD

21 September 2016

REPORT OF THE HEAD OF LEGAL SERVICES

SECTION B – MATTER FOR INFORMATION

WARDS AFFECTED: ALL

Public Services Ombudsman for Wales Annual Letter and Report 2015/2016

Purpose of Report

1. To advise Members of the receipt of the Ombudsman's Annual Letter and the publication of his Annual Report.

Background

2. In recent years the Public Services Ombudsman for Wales ("the Ombudsman") has adopted the practice of sending an annual letter to each local authority which comes within his jurisdiction. A full copy of the letter and Factsheet is reproduced for Members at Annex 1. In table E of the Factsheet the column showing the performance of this Council is the column on the left.
3. Comparatively little commentary is required on the Annual Letter. The number of service complaints received by the Ombudsman has decreased between the financial years 2014/15 and 2015/16 (see Section A of the Factsheet). As compared with a notional local authority average of 40 complaints (adjusted for population) there were 33 complaints against this Council. This is to be welcomed. However it should be noted that we are no longer a direct provider of general housing – a function which generally attracts some complaints.
4. The mix of complaints is dealt with in Section B of the Factsheet. The numbers in the various categories are similar to the Welsh average overall. The numbers are slightly higher for planning and

building contract and I have asked for the cases in that area to see whether there is any pattern.

5. As to time taken to respond, (Section E of the Factsheet) since there were only two cases here the figures are not statistically significant.
6. In the remainder of this report I look at the annual report of the Ombudsman for the financial year 2015/16. I have reproduced at Annex 2 an extract from the Ombudsman's report intended to give Members a flavour of the business handled by the Ombudsman's office in the year in question. It is to be noted that there is an overall decrease in the number of complaints against county and county borough councils. The Ombudsman comments that complaints about public bodies overall may be beginning to plateau. I have however noted that the Ombudsman has recently commented that his office has seen a record number of enquiries. Overall, cuts in public expenditure create an environment in which there is a mismatch between public expectations and the service which can be provided. This will make it even more important to deal promptly with any complaints which arise and look for practical and achievable solutions.
7. I have not included coloured pie charts but a link to the on-line version of the report appears below.

http://www.ombudsman-wales.org.uk/~media/Files/AnnualReports_en/Annual%20Report%202015-16%20-%20Final%20for%20web%20English.ashx

8. The number of Code of Conduct complaints against members of county and county borough councils fell between the financial year 2014/15 and 2015/16. However, there was a marked increase in the number of complaints against community councils. This may be the result of substantial numbers of complaints against individual community councils.
9. Annex 3 contains the statistics for all county and county borough councils in Wales in relation to service complaints. This table deals with cases closed rather than cases received.
10. Annex 4 contains statistics relating to code of conduct complaints against members of county and county borough councils in Wales.

Financial Impact

11. There is none as this is an information report.

Equality Impact Assessment

12. None is required since this is an information report.

Workforce Impacts

13. There are none.

Legal Impacts

14. None arise from this report.

Risk Management

15. Legal Services is required to provide statistics to the insurers from time to time on Ombudsman complaints.

Consultation

16. None is required.

Appendices

17. Annex 1 - Annual Letter of the Ombudsman 2015/16
18. Annex 2 - Extract from the Ombudsman's report
19. Annex 3 - Statistics for all County and County Borough Councils in Wales in relation to service complaints
20. Annex 4 - Statistics relating to Code of Conduct complaints against Members of County and County Borough Councils in Wales

List of Background Papers

21. Public Services Ombudsman for Wales Annual Report 2015/2016.

Officer Contact

22. Mr. David Michael – Head of Legal Services

E-mail d.michael@npt.gov.uk. Tel: 01639 763368

Our ref: NB/LG/MM



lucy.geen@ombudsman-wales.org.uk

matthew.aplin@ombudsman-wales.org.uk

28 July 2016

Sent by email

Dear Mr Phillips

Annual Letter 2015/16

Following the recent publication of my Annual Report I am pleased to provide you with the Annual Letter (2015/16) for **Neath Port Talbot County Borough Council**.

Overall my office's caseload has increased by 4% this year, but I am pleased to say that public body complaints fell by the same amount; only the second time in a decade this has happened. However, disappointingly the NHS in Wales was the only sector in my jurisdiction that saw a rise in complaints which now count for over a third of all public body complaints; a total increase of 51% in the last five years.

During 2015/16 we received 906 complaints against local authorities, down from 938 from the previous year.

In reference to outcomes there has been a large increase in the number of early resolutions and voluntary settlements achieved with local authorities with 81 cases in 2015/16 compared to 58 in 2014/15. I am committed to ensuring where possible, bodies from all sectors resolve complaints as quickly and effectively as possible and I am therefore pleased with these statistics.

My office has issued only one public interest report against a local authority during the past year – the same number as 2014/15. This related to failings around a council's failure to properly consider assess and identify the special educational needs of a primary school pupil.

Across all public bodies, after health (36%), housing is the second biggest area of complaint (13%) of our caseload, followed by Planning and Building Control (10%) and Social Services (9%).

The number of Code of Conduct complaints rose by 19% compared with 2014/15 (274 in 2015/16 against 231). It is disappointing to see this rise, although it is almost entirely attributable to community councils where there has been a 49% increase.

Last year I introduced a public interest test for code of conduct complaints and I am pleased to say this has helped my office in dealing with these complaints in an effective manner.

I am only too aware that we are in the run-up to the local elections where historically there is a spike in code of conduct complaints against local authority members. I have spoken previously about vexatious complaints and I would be most disappointed to see an increase in complaints of a trivial matter over the next 12 months when my office is dealing with issues of real concern across public services in my jurisdiction.

More generally my office is working in a number of ways to “turn the curve” of complaints against a backdrop of austerity and an ageing population.

During the past year, I introduced some staffing changes at my office, key amongst these was enhanced roles for a number of investigation staff to include ‘improvement officer’ duties. This places a greater emphasis on best practice, corporate cultural development, and ending cycles of poor service delivery. Whilst the new arrangements are still in their early days, I have been very pleased with the progress that has been made.

Whilst the ombudsman scheme in Wales is well respected at home and abroad, I feel strongly that we must ensure that it is future-proofed and citizen-centred.

I have been particularly pleased that the Finance Committee of the National Assembly for Wales agreed to undertake an inquiry into the powers of the Public Services Ombudsman for Wales, and that a draft Public Services Ombudsman (Wales) Bill has resulted from this. I am now keen to see the Fifth Assembly take this bill forward and introduce it as legislation as soon as is practically possible.

You will find below a factsheet giving a breakdown of complaints data relating to your local authority along with explanatory notes.

This correspondence has been copied to the Leader of the Council for consideration by the cabinet. I will also be sending a copy to your contact officer within your organisation and would again reiterate the importance of this role. Finally, a copy of all annual letters will be published on my website.

Yours sincerely



Nick Bennett

Ombudsman

Factsheet

In reference to your local authority, the number of complaints received by my office has reduced from 40 in 2014/15 to 33 in 2015/16. Two complaints were taken into investigation, up from zero in 2014/15. Of these two cases, one was responded to within a week while another took more than six weeks.

A) Comparison of complaints received by my office with average, adjusted for population distribution

In total my office received **33** complaints against **Neath Port Talbot County Borough Council** during 2015-16 compared to a local authority average of **40**.

B) Comparison of complaints by subject category with LA average

Subject	2015/16 Neath Port Talbot County Borough Council	2015/16 LA Average
Adult Social Services	3	3
Benefits Administration	1	1
Children's Social Services	4	5
Community facilities, recreation and leisure	2	1
Complaints-handling	1	2
Education	3	2
Environment and Environmental Health	5	4
Finance and Taxation	3	2
Health	0	0
Housing	1	5
Planning and building control	4	9
Roads and Transport	2	3
Agriculture and Fisheries	0	0
Independent Care Providers	0	0
Various Other	4	3
Total	33	40

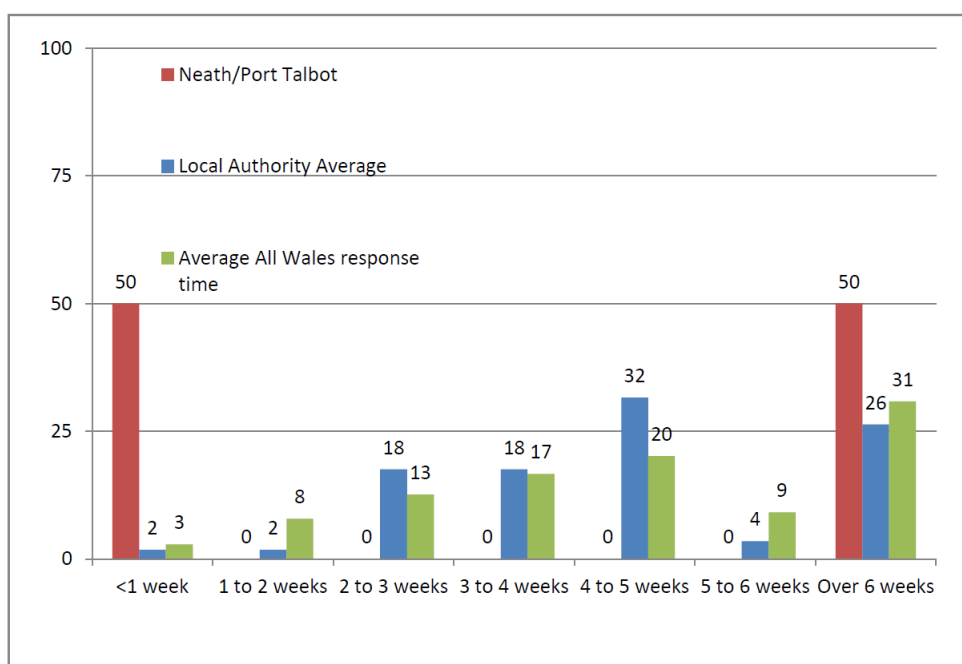
C) Complaints taken into investigation by my office

	2015/16 Neath Port Talbot	2015/16 LA Average
Number of complaints taken into investigation	2	3

D) Comparison of complaint outcomes with average outcomes, adjusted for population distribution

Complaint Outcomes	2015/16 Neath Port Talbot	2015/16 LA average
Out of jurisdiction	5	6
Premature	14	13
'Other' cases closed after initial consideration	16	16
Discontinued	0	0
Quick fix / Voluntary settlement	1	4
Section 16 – Upheld – in whole or in part	0	0
Other report upheld – in whole or in part	0	1
Other report – not upheld	1	1
Withdrawn	1	0

E) Comparison of times for responding to requests for information with average LA and average All Wales response times, 2015/16 (%)



F) Code of Conduct complaints

In total two code of conduct complaints against members of Neath Port Talbot County Borough Council were made during 2015-16. In both cases a decision was made not to investigate.

G) Summaries

Casebook 21

No summaries

[Casebook 22](#)

201406335

Casebook 23

No summaries

[Casebook 24](#)

201500136

Appendix

Explanatory Notes

Section A compares the number of complaints against the Council which were received by my office during 2015/16, with the Local Authority average (adjusted for population distribution) during the same period.

Section B provides a breakdown of the number of complaints about the Council which were received by my office during 2015/16 with the with the Local Authority average for the same period. The figures are broken down into subject categories.

Section c provides the number of complaints against the Council which were investigated by my office during 2015/16 with the Local Authority average (adjusted for population distribution) during the same period.

Section D compares the complaint outcomes for the Council during 2015/16, with the average outcome (adjusted for population distribution) during the same period. Public Interest reports issued under section 16 of the Public Services Ombudsman (Wales) Act 2005 are recorded as 'Section 16'.

Section E compares the Council's response times during 2015/16 with the average response times for all Local Authorities and all public bodies in Wales during the same period. This graph measures the time between the date my office issued an 'investigation commencement' letter, and the date my office receives a full response to that letter from the public body.

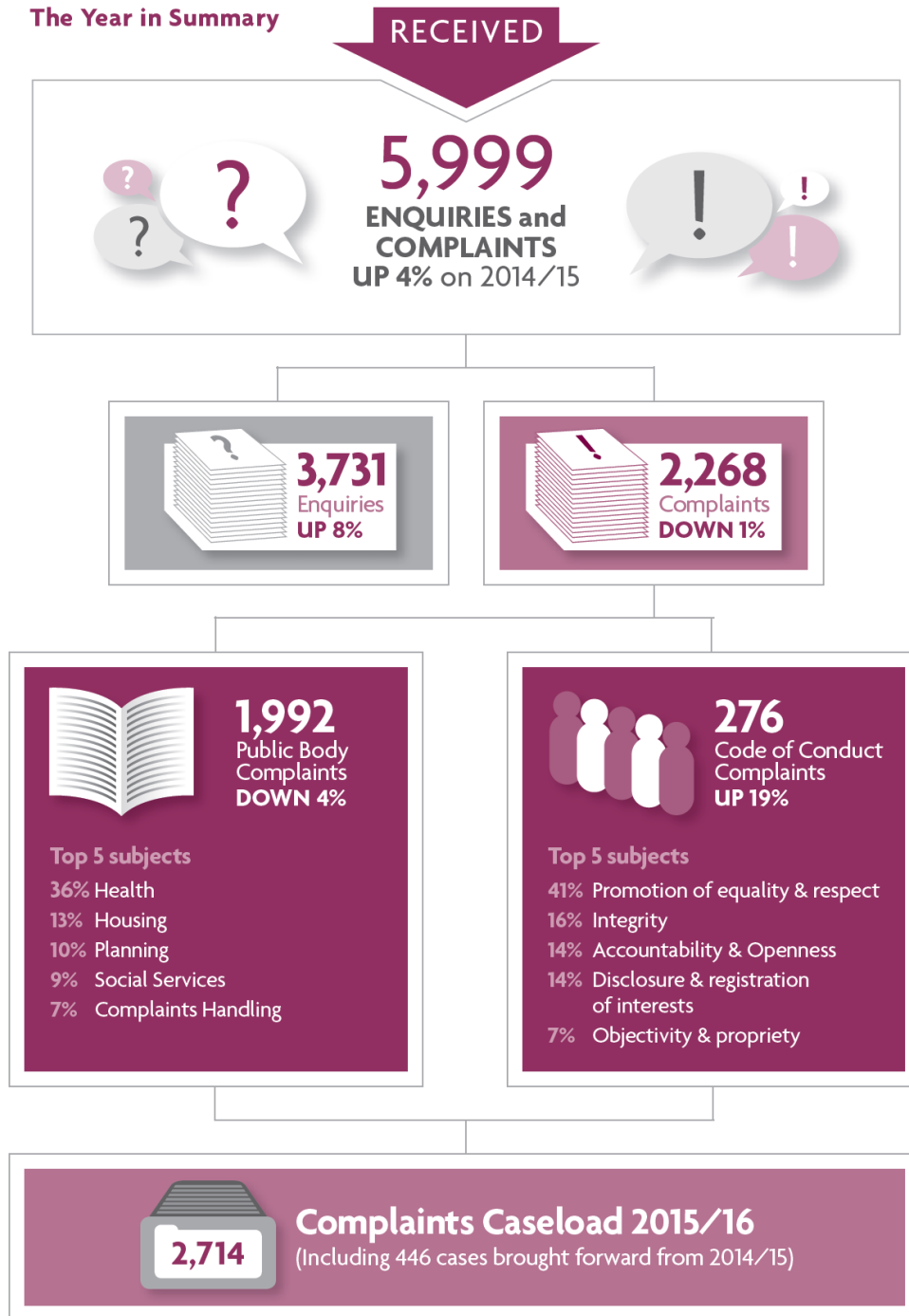
Section F provides a breakdown of all Code of Conduct complaints received against Councillors during 2015/16. Finally, Section G contains the summaries appearing in our casebook during 2015/16.

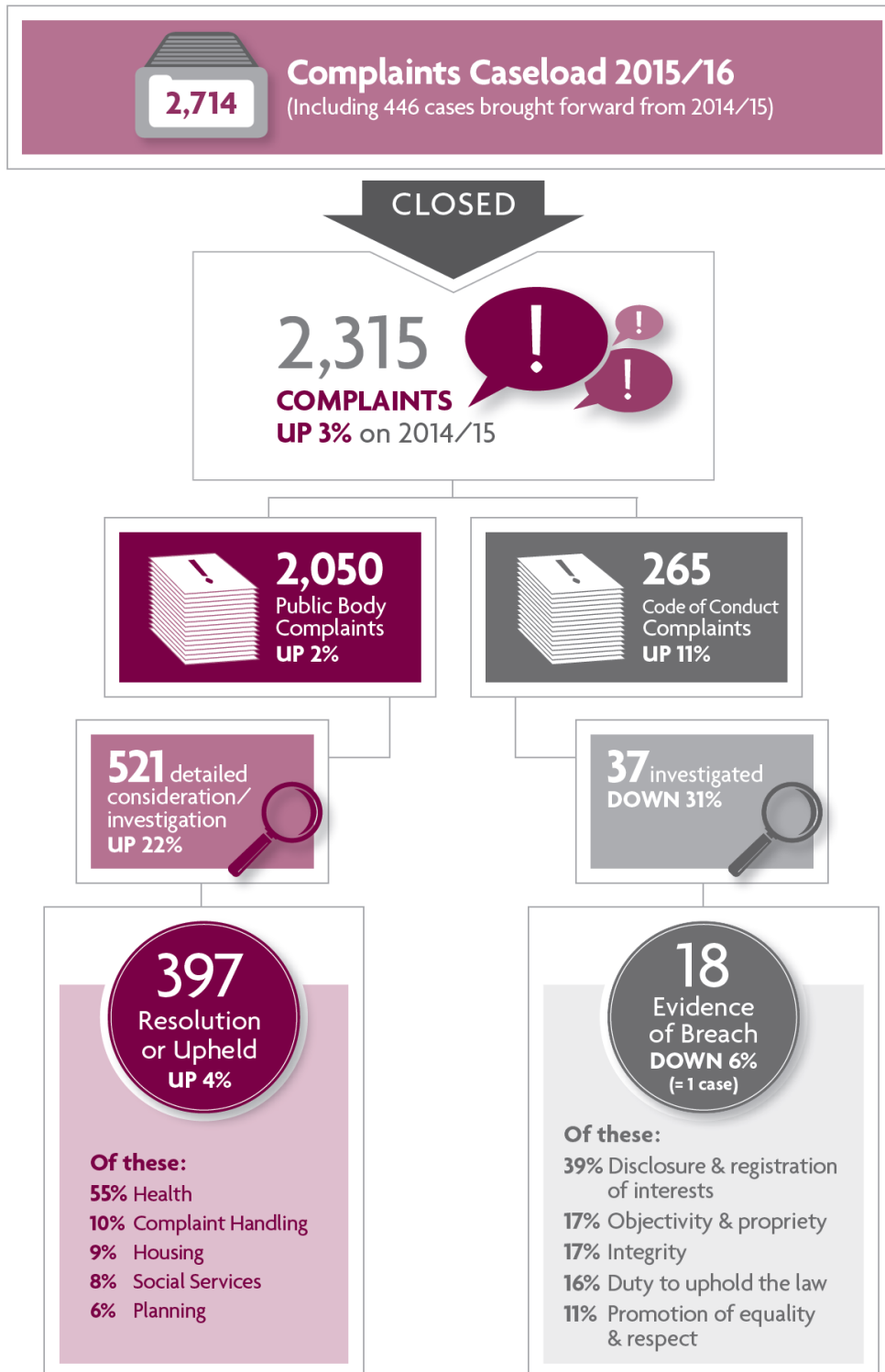
Feedback

We welcome your feedback on the enclosed information, including suggestions for any information to be enclosed in future annual summaries. Any feedback or queries should be sent to lucy.geen@ombudsman-wales.org.uk or matthew.aplin@ombudsman-wales.org.uk

4. The Complaints Service

The Year in Summary

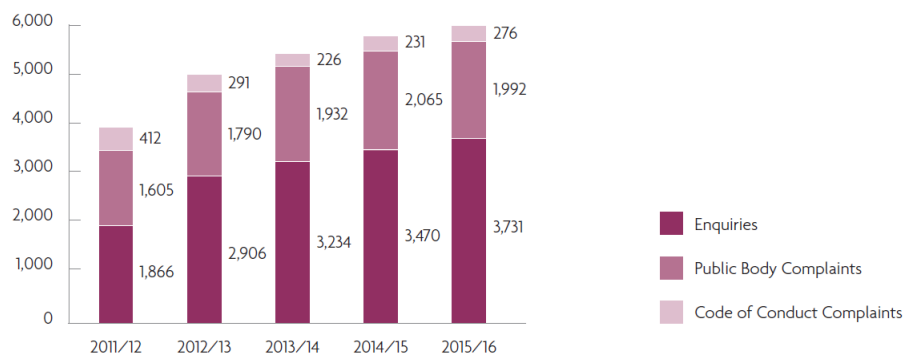




Overall Casework

The number of enquiries and complaints (public body complaints, and complaints about the conduct of members of local authorities) totalled 5,999 during 2015/16 which is a 4% increase on the position for 2014/15. As can be seen from the chart below, comparing the position with that of five years ago, there has been a 54% increase. However, there are signs that the increases that the office has seen since the time it came into existence are beginning to plateau. I discuss the various aspects of this in greater detail below.

Total Enquiries and Complaints received by year



Enquiries

The office dealt with 3,731 enquiries during 2015/16, compared with 3,470 the previous year (an 8% increase). Compared with five years ago, this is a 100% increase. It is worth noting that February 2016 saw the highest ever number of enquiries made to this office.

An enquiry is a contact made by a potential complainant asking about the service provided, which does not, in the end, result in a formal complaint being made to me. At this point in our service we will advise people how to make a complaint to me or, where the matter is outside my jurisdiction, direct the enquirer to the appropriate organisation able to help them. Where appropriate, the Complaints Advice Team will also seek to resolve a problem at enquiry stage without taking the matter forward to the stage of a formal complaint.

We set ourselves the target of answering our main line reception calls within 30 seconds in 95% of cases. Yet again the Team performed impressively in this regard, answering 99% of calls within this timescale.

I am delighted that despite the continued increase in enquiries to this office we have maintained a prompt service at the frontline.

Public Body Complaints

For only the second time in the ten year history of the PSOW’s office (the first being in 2008/09), there was a decrease in the complaints about public service providers compared with the previous year. We received 1,992 such complaints in 2015/16 compared with 2,065 in 2014/15, being a 4% decrease. There is no real identifiable reason for this and the number of complaints received month by month during the year was erratic, varying from being low one month, to high the next. I consider the complaints received by sector in further detail below.

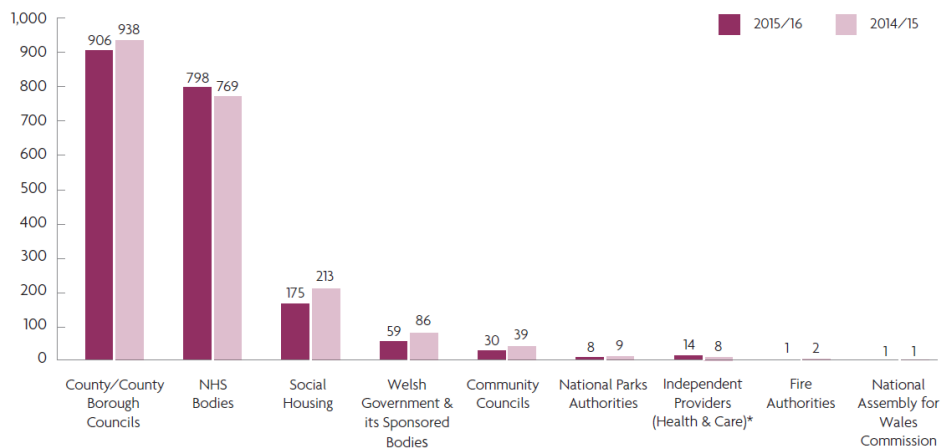
Sectoral breakdown of complaints

County councils provide the widest range of services amongst those in my jurisdiction. As usual, and as expected, it is this sector that was responsible for the most number of complaints that I received. Nevertheless, I was pleased to see a 3% decrease in the complaints about county councils over the past year, compared with 2014/15.

Indeed, there was a decrease in complaints across all sectors, with one exception. That exception was the NHS sector in Wales. This includes complaints about local health boards, NHS trusts, GPs and dentists. There was a 4% increase in complaints about health bodies compared with 2014/15 (798 compared with 769). Of the 798 health body complaints, local health boards and NHS trusts accounted for 661 of them. Within this there is a variation: there were fewer complaints about some health boards/trusts compared to last year, but a notable increase in complaints in respect of others in particular Abertawe Bro Morgannwg UHB and Betsi Cadwaladr UHB.

The chart below shows the distribution of the complaints received by sector.

Complaints by public body sector



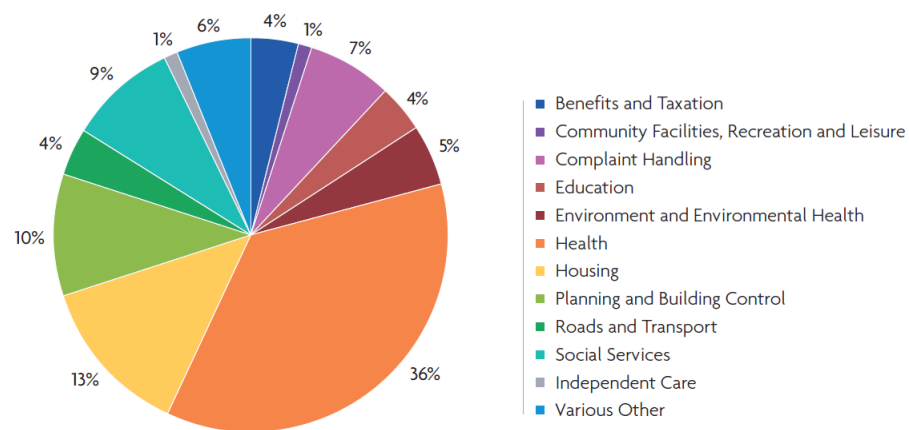
* The PSOW was able to accept complaints about independent self funded care from 1 November 2014

Complaints about public bodies by subject

Complaints to me can have many aspects to them, however, the chart below illustrates the main subject of the complaints I have received over the past year. Once again, health was the major part of the office caseload, but this year accounting for 36% of this compared with 34% in 2014/15. We have already seen that there has been an increase in complaints about NHS bodies, however, the percentage increase also arises from the fact that there have been fewer complaints about other public services. As has been the case in recent years, housing (13%) and planning (10%) are the service areas which are account for the greatest number of complaints received after health complaints.

Last year I commented on the increase being seen in relation to complaints about social services. This year there has been no significant increase in this type of complaint compared with 2014/15.

Complaints by subject 2015/16



[Note: Complaints are categorised by the main subject area of a complaint. However, complaints can also comprise other areas of dissatisfaction - for example, a 'Health' complaint may also contain a grievance about 'Complaint Handling'.]

Outcomes of complaints considered

We closed 2,050 complaints about public service providers during the past year compared with 2,015 in 2014/15, (an increase of 2%). A summary of the outcomes is set out in the table below and detailed breakdowns of the outcomes by public service provider can be found at Annex B.

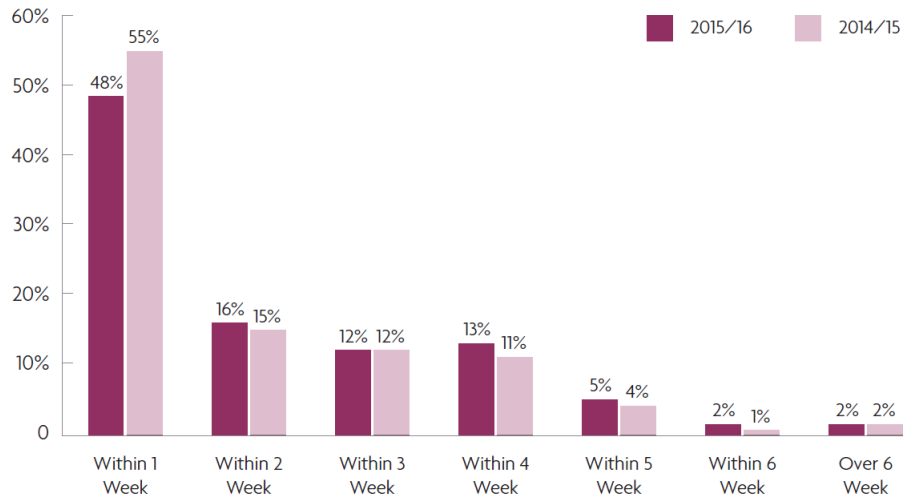
I am pleased that staff have managed to achieve this level of closure during the year, together with the fact that the number of cases on hand at the end of 2015/16 stood at 412, compared with 446 at the end of 2014/15 (which is a reduction of 8%). This is well within what I consider to be a reasonable caseload for the office to have open at any one time and this not a backlog. In addition to this, there was a 20% increase in the number of cases where we either achieved an informal resolution or took a complaint into investigation. However, there was a reduction in the number of public interest reports issued.

Complaint about a Public Body	2015/16	2014/15
Closed after initial consideration	1,488	1,564
Complaint withdrawn	41	23
Complaint settled voluntarily (includes 182 "quick fix" of cases)	227	164
Investigation discontinued	19	8
Investigation: complaint not upheld	105	71
Investigation: complaint upheld in whole or in part	163	173
Investigation: complaint upheld in whole or in part – public interest report	7	12
Total Outcomes – Public Body Complaints	2,050	2,015

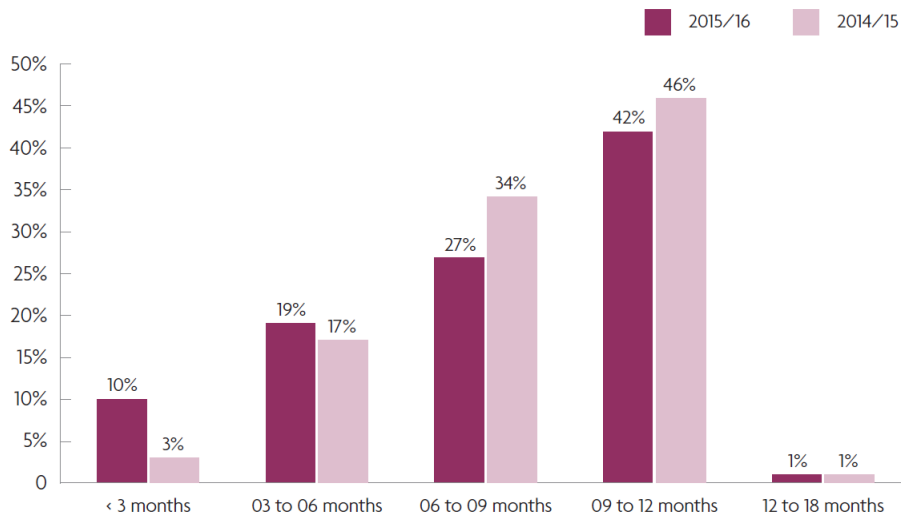
Decision times

Time taken to tell the complainant if I will take up their complaint

We set ourselves the target to tell complainants whether or not I will take up their complaint (from the date that sufficient information is received) within four weeks in 90% of cases. We just missed this target, doing so in 89% of cases (compared with 92% during 2014/15). Whilst disappointing, this is not a surprise to me in view of the continued increase in casework volume being dealt with by the Complaints Advice Team. We have been reviewing this target, and have been assessing whether a blanket four week target for all the various types of complaint consideration at this stage is now realistic and achievable in view of the level of casework. For example, at this stage, the Complaint Advice Team will endeavour to achieve, where appropriate, an early resolution to a complaint.



Similar to 2014/15, we again completed 99% of investigations within 12 months, against the 100% target we set ourselves. There were five investigations that went over 12 months. Largely these cases were complex with serious challenges which required further investigatory work. The chart below gives further details on investigation timescales.



Code of Conduct Complaints

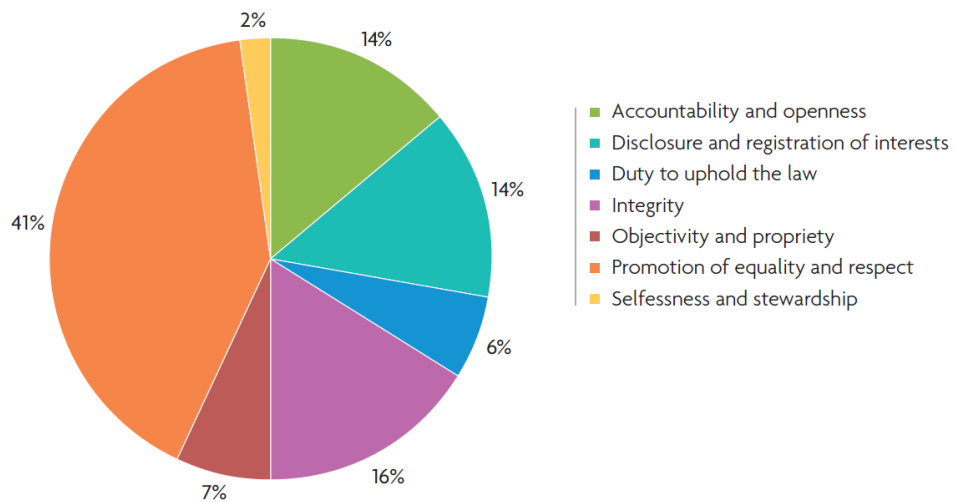
Complaints received

The number of Code of Conduct complaints rose by 19% compared with 2014/15 (274 in 2015/16 against 231). It is disappointing to see this rise, especially in relation to community councils where there has been a 49% increase.

	2015/16	2014/15
Community Council	158	106
County/County Borough Council	115	125
Fire Authority	0	0
National Park Authority	1	0
Police & Crime Panels	0	0
Total	274	231

Nature of Code of Conduct complaints

By far the majority of complaints received during 2015/16 related to matters of ‘equality and respect’, accounting for 41% of the complaints made to me (this was 35% in 2014/15). The next largest area of complaint related to ‘integrity’ at 16%, and then ‘disclosure and registration of interests’ and ‘accountability and openness’ both of which accounted for 14% of the Code of Conduct caseload.



Summary of Code of Conduct complaint outcomes

Consistent with previous years, the vast majority of these complaints (213 of them) were closed under the category 'Closed after initial consideration' (178 were closed in this way in 2014/5). This includes decisions such as:

- there was no 'prima facie' evidence of a breach of the Code
- the alleged breach was insufficiently serious to warrant an investigation (and unlikely to attract a sanction)
- the incident complained about happened before the member was elected (before they were bound by the Code), and
- with a few referred back for local resolution.

Despite the higher level of complaints received, fewer were taken into full investigation (27 in 2015/16 compared with 34 the previous year). I largely attribute this to be the result of a key change over the past year whereby I introduced a 'public interest test'. This test was developed as a result of the high number of trivial complaints received at my office, and to make clear the criteria that I will apply when considering whether a complaint should be taken into investigation or not. It also ensures that I continue to investigate serious complaints to maintain public confidence in standards of public life.

Of those 27 cases that were fully investigated, six were referred to either a standards committee or the Adjudication Panel (nine were referred in 2014/15). In such circumstances it is for these bodies to consider the evidence found, together with any defence put forward by the member concerned. It is then for them to determine whether a breach has occurred and, if so, what penalty, if any, should be imposed. Whilst at the time of writing three cases await consideration, decisions have been arrived at on the other three cases, as follows:

Hearing by:	Decision & Sanction	Nature of breach of Code
Standards Committee	Breach of Code - Councillor suspended for one month	Duty to uphold the law
Standards Committee	Breach of Code - Councillor suspended for one month	Disclosure and registration of interests
Tribunal of Adjudication Panel for Wales	Breach of Code - Councillor suspended for three months and to receive training during this time.	Disclosure and registration of interests

A breakdown of the outcomes is below:

	2015/16	2014/15
Closed after initial consideration	213	178
Complaint withdrawn	15	7
Investigation discontinued	10	20
Investigation completed: No evidence of breach	11	17
Investigation completed: No action necessary	10	8
Investigation completed: Refer to Standards Committee	3	8
Investigation completed: Refer to Adjudication Panel	3	1
Total Outcomes – Code of Conduct complaints	265	239

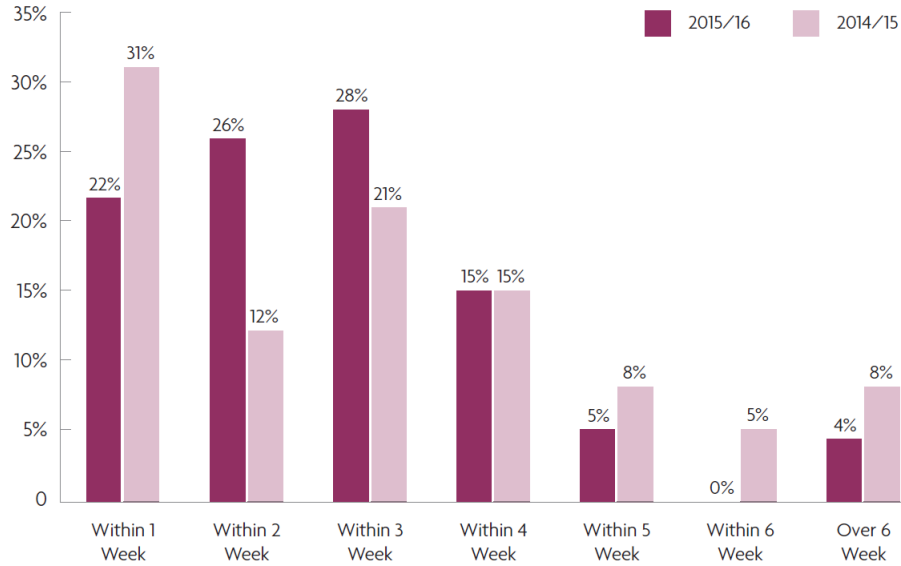
A detailed breakdown of the outcome of Code of Conduct complaints investigated, by authority, during 2015/16 is set out at Annex C.

Decision times

Time taken to tell the complainant if I will take up their complaint

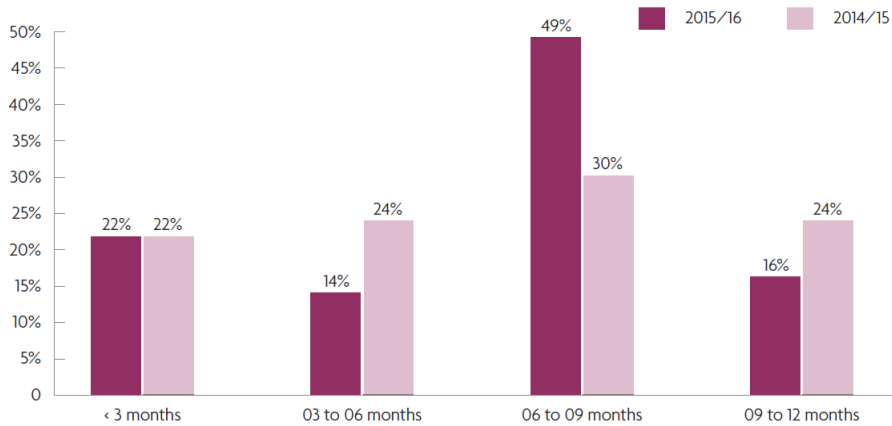
In respect of Code of Conduct complaints, 91% of complainants were informed within four weeks of whether I would take up their complaint (from the date that sufficient information is received). I'm particularly pleased that we surpassed our 90% target in this regard. Last year I reported that we achieved the four week target in 79% of cases and that I would work with my staff during this past year to ensure that we advise both the complainant and the accused member promptly as to whether I will take the matter into investigation or not. In addition to this improvement against the four week target, it is also worth noting that 96% had been informed within five weeks. My staff and I are always mindful of the fact that being the subject of a complaint can be a stressful and serious matter for the member being complained about.

Further details on these decision timescales are shown below.



Decision times for concluding Code of Conduct investigations

Comparing performance against 2014/15, in addition to the improvement in meeting the four week target, as discussed above, I am also pleased that there was an improvement on closing investigations within twelve months. Furthermore, as the chart below shows, during the past year 85% of Code of Conduct investigations were completed within 9 months, compared with 76% in 2014/15.



County/County Borough Councils

County/ County Borough Council	Out of Jurisdiction	Premature	'Other' cases closed after initial consideration	Discontinued	Quick Fix/ Voluntary Settlement	S16 Report - Upheld - in whole or in part	Other Report - in whole or in part	Other Report - Not Upheld	Withdrawn	Total Cases Closed
Blaenau Gwent	3	8	5	1	1		1			19
Bridgend	4	18	17		1				2	42
Caerphilly	10	17	24		2		1	1	1	56
Cardiff	15	46	58		20		2	1	1	143
Carmarthenshire	8	12	18		8		2	3		51
Ceredigion	7	12	6	1	5		2			33
Conwy	3	5	10		2					20
Denbighshire	7	10	17	2	1		2	1	1	41
Flintshire	4	18	14		2		3			41
Gwynedd	7	4	11	1	4		1	1		29
Isle of Anglesey	2	14	12				4	1		33
Merthyr Tydfil	1	5	5	1	4				1	17
Monmouthshire	7	7	9				1			24
Neath Port Talbot	5	14	16		1			1	1	38
Newport	1	10	14	1	4		1	4		35
Pembrokeshire	6	17	17		4		1		1	46
Powys	13	20	16		5		7	1	1	63
Rhondda Cynon Taf	9	11	19		3					42
Swansea	12	9	19		2		1		1	44
Torfaen	2	4	9		1			1		17
Vale of Glamorgan	6	14	19		3					42
Wrexham	6	17	21		8	1	2		1	56
Total	138	292	356	7	81	1	31	15	11	932

County/County Borough Councils

County/County Borough Council	Closed after initial consideration	Discontinued	No evidence of breach	No action necessary	Refer to Standards Committee	Refer to Adjudication Panel	Withdrawn	Total Cases Closed
Blaenau Gwent	3							3
Bridgend	9							9
Cardiff	14		1				2	17
Carmarthenshire	3	3	1	1				8
Conwy	2							2
Denbighshire	5							5
Flintshire	1							1
Gwynedd	6							6
Isle of Anglesey	1	1						2
Monmouthshire	4		1	1				6
Neath Port Talbot	2							2
Newport	2							2
Pembrokeshire	5		1	2				8
Powys	13							13
Rhondda Cynon Taf	3		1					4
Swansea	11							11
Torfaen	5		1					6
Vale of Glamorgan	6					1		7
TOTAL	95	4	6	4		1	2	112

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NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

Policy and Resources Cabinet Board

21st September 2016

Report of the Head of Legal Services – David Michael

Section A - Matter for decision

Wards Affected: All

Legal Services (Licensing) Business plan 2016/17

Purpose of the Report

1. To seek endorsement from the Policy and Resources Cabinet Board of the Legal Services (Licensing) Business plan for 2016/17.

Background

2. One of the requirements within the Council's Performance Management Framework is the production of business plans by heads of service.
3. The Legal Services Business Plan has already been approved by the Policy and Resources Cabinet Board, however, that business plan did not include the Licensing Section, as it was decided that a separate business plan be produced.
4. The Legal Services (Licensing) Business Plan is attached at appendix 1.

Financial Impact

5. Legislation dictates that the Licensing Section cannot make a profit from licensing fees. One of the objectives of the Licensing Section therefore is to recover its costs from those that derive benefit from it.

Equality Impact Assessment

6. There was no requirement for an equality impact assessment on this issue.

Workforce Impacts

7. Workforce issues are dealt with in the plan itself.

Legal Impacts

8. There are no legal impacts arising from this report.

Risk Management

9. There are no risk management issues associated with this report.

Consultation

10. There is no requirement under the constitution for external consultation on this item.

Recommendation

11. That the Cabinet Board endorses the Legal Services (Licensing) Business Plan for the financial year 2016/17.

Reasons for Proposed Decision

12. To allow the Licensing Section to operate in line with the business plan for the 2016/17 financial year.

Implementation of Decision

13. The decision is proposed for implementation after the three day call in period

Appendices

14. Appendix 1 - Legal Services (Licensing) Business Plan 2016/17

List of Background Papers

15. Legal Services Business Plan 2016/17

Budget Working Papers 2016/17

Officer Contact

16. Mr David Michael
Head of Legal Services
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E-mail d.michael@npt.gov.uk

17. Mr Neil Chapple
Licensing Manager
Tel (01639 763056)
Email n.chapple@npt.gov.uk

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Legal Services - Licensing

Business Plan 2016/17

Head of Service: David Michael
Area of Responsibility: Legal Services
Sponsor (Cabinet Member): Councillor Arwyn Woolcock

Introduction

This Business Plan covers the financial year 1st April 2016 to 31st March 2017 for the Licensing Section. A separate business plan has already been completed for the rest of Legal Services.

Principle 1 - Delivery of Priorities in 2015/16

AIM	ACTION	ACHIEVEMENT
Review Licensing Act Policy in accordance with statutory timescales	Update existing Licensing Act 2003 Policy, undertake consultation with interested parties and seek approval from Council.	Completed December 2015
Review Gambling Act Statement of Principles in accordance with statutory timescales	Update existing Gambling Act 2005 Statement of Principles, undertake consultation and seek approval from Council	Completed December 2015
Implement taxi driver training in relation to safeguarding issues including child sexual exploitation	Liaise with Swansea Council's Taxi Licensing team to implement training across both areas.	Various obstacles have delayed implementation of this training. This was discussed at Policy Resources Scrutiny Committee on the 31 st March 2015. This item is included on the 2016/2017 business plan.

AIM	ACTION	ACHIEVEMENT
Licence fees review	Undertake a comprehensive review of all Licence fees utilising the All Wales Licensing Expert Panel's Licensing Fees Toolkit	2016 / 2017 Licensing fees approved in March 2016.
Implement risk based inspection system for licences issued under the Licensing Act 2003	Develop a risk based inspection system which will be incorporated into the Diamond Licensing Software. Officers to inspect 1/3 of licensed premises in the period 2015/2016	Risk based inspection system completed in June 2016. 89 of proposed 159 inspections completed. This was discussed at Policy Resources Scrutiny Committee on the 31 st March 2015

Principle 2 - Priorities to be delivered in 2016/17

Priority	Actions to deliver priority	Timescale	Evidence
Risk based inspections	1/3 of licensed premises to inspected in addition to the shortfall in inspections from 2015/2016.	March 2017	Details to be provided on the Licensing 2016/2017 Report Card.
Review of Street Trading Policy	Update existing street trading policy, undertake consultation with interested parties and seek approval from the Registration and Licensing Committee.	March 2017	Adoption by the Registration and Licensing Committee
Implement Online DBS checks for taxi drivers	Identify and sign up to an online DBS check provider. Communicate changes to the taxi trade and phase out paper based DBS checks.	December 2016	Implementation of Online system for DBS checks
Develop and implement a system for enabling online taxi applications	This is only possible once DBS applications are completed online. A System will need to be developed locally as online taxi licensing is not supported by GOV.UK	January 2017	Implementation of online taxi applications

Priority	Actions to deliver priority	Timescale	Evidence
Implement taxi driver training in relation to safeguarding issues including child sexual exploitation	Continue to work on removing the obstacles delaying the implementation of training, in particular funding. In the interim period, safeguarding questions are to be added to the knowledge test and safeguarding factsheets are to be added to the application pack.	September 2016 for knowledge test and factsheets. March 2017 for training	Application packs to contain relevant materials and knowledge test to be approved by the Registration and Licensing Committee. Training information to be provided on the Licensing 2016/2017 Report Card
Review of licence fees to ensure the Council recovers the cost of the Licensing Service from those that derive benefit from it	This is an ongoing task and will be included in all future business plans. The aim is to ensure that the Council recovers as much of its costs (as is legally permissible) from the licensed trade.	March 2017	Adoption of Licensing fees for the 2017/2018 period and budget monitoring.

Principle 2 continued – Why are these priorities

Priority	Reason for priority	How will the priority be achieved
Risk based inspections	In accordance with the Regulators Code, premises should be inspected based on risk to allow for better allocation of resources. To enable premises to be risk assessed, each premises will receive an initial inspection; these inspections will take place over a 3 year period which began in 2015 / 2016. The target is to inspect 1/3 of premises each year.	Review of the Licensing teams roles and responsibilities, so licensing officers are less office based.
Review of Street Trading Policy	The Street Trading Policy has been in place since Local Government reorganisation in 1996. The policy requires reviewing to take account of Council's corporate improvement plan and to better protect the public.	The policy will be drafted to take account of local needs and the Council's improvement plan, prior to an extensive consultation exercise with interested parties.
Implement Online DBS checks for taxi drivers	Moving to online DBS applications, will allow the introduction of online taxi applications. The paper based system has a high turnaround time for applications, which does not promote an efficient licensing service, in addition the paper based system is due	Options will include: 1. Upgrading existing umbrella registration with the Disclosure and Barring Service to enable online application to be submitted.

Priority	Reason for priority	How will the priority be achieved
	to be phased out by the Disclosure and Barring Service.	<p>2. Entering into a contract with a 3rd party provider.</p> <p>3. Entering into a contract with Powys County Council, who already provide the DBS service for the NPT Human Resources Department.</p> <p>Option 3 being the preferred option.</p>
Develop and implement a system for enabling online taxi applications	In line with the Council's Digital By Choice policy, work is being undertaken to ensure that all relevant services are available digitally. The EU Services Directive introduced in 2009 required the majority of licences to be made available online. As a consequence, the Government introduced a free national online system, which Local Authorities could use without charge; this system is now GOV.UK. Taxi Licensing however was not included within the regulations and	Taxi driver applications currently require a paper based DBS check. Entering into a contract with an online provider of DBS checks will pave the way for an online system to be created locally, working with I.T and the Digital by Choice team.

Priority	Reason for priority	How will the priority be achieved
	therefore has not been made available digitally.	
Implement taxi driver training in relation to safeguarding issues including child sexual exploitation	Taxi drivers are the eyes and ears of the community, they will come into contact with many vulnerable people and without adequate training, they may not recognise the signs that someone needs help. Training taxi drivers to identify issues and report their concerns could uncover instances of CSE and other safeguarding issues.	By overcoming the various obstacles, particularly with funding. Working in collaboration with Swansea Taxi licensing and the Western Bay Partnership.
Review of licence fees to ensure the Council recovers the cost of the Licensing Service from those that derive benefit from it	It is essential that the Council sets legal licensing fees, which recover the cost of the service, but do not make a profit. The legal implications of getting this wrong can result in Local Authorities having to pay back thousands if not millions of pounds.	Utilising the All Wales Licensing Expert Panel's Fees Toolkit which sets out clearly how licensing fees should be calculated in order to withstand any legal challenge.

Principle 3 – Workforce Planning

What are the key workforce challenges for the Service?

The Licensing Section recovers its costs from those that derive benefit from it, but legislation dictates that it must not make a profit; the Section therefore attempts to be as close to cost neutral as possible. The Section however can never be completely cost neutral, as there are certain licensing functions where a fee is not permitted to be levied and other functions where the fee is set by statute, which does not necessarily reflect the actual cost.

The Section recovers at least all its above line costs, and an attempts to recover as much of its below line costs (central recharges) as possible, by ensuring that Licensing fees are calculated accurately based on actual costs and officer time monitoring systems.

There has been a shift in government policy towards deregulation and cutting red tape for business, which ultimately may lead to a reduction in the number of licences being issued and consequently a reduction in the section's workload. There has already been some deregulation, however this has not significantly affected the workload.

<p>What are the longer term workforce challenges for this Service?</p>	<p>If this trend of deregulation continues it could inevitably lead to a significant reduction in the number of licences being issued, which would in turn lead to significant reduction in income. Staffing levels as a consequence would need to be reduced in order to maintain a balanced budget. There is however no indication of major changes in the short to medium term.</p> <p>The Licensing Section also has 3 members of staff who will reach retirement age within the next 4-6 years. It will be essential to ensure that team have the appropriate skills in place in order for the section to continuing operating efficiently.</p>
<p>What options can be taken to address these challenges?</p>	<p>The actions are:-</p> <ul style="list-style-type: none"> • Working with the WLGA, Wales Licensing Expert Panel and Institute of Licensing to ensure that Local Authority views on deregulation are considered as part of government policy. • Effective communication with staff • Effective training of junior team members.
<p>Property Management What are the property consequences of delivering the priorities outlined in this business plan?</p>	<p>There are none</p>

Mandatory Corporate Measures Table

Mandatory Corporate Measures (2016/17)	2014/15 Performance	2015/16 Performance	2016/17 Performance Target
Number of transactional services:			
a) Fully web enabled	13	8	9
b) Partially web enabled	0	0	0
% of revenue expenditure within budget	100%	100%	100%
Amount of FFP savings at risk	Nil	Nil	Nil
Average FTE days lost due to sickness	2.3	7	6
% (No.) of staff performance appraisals to be completed during 2016/17	0%	0%	100%
Number of employees who left due to unplanned departures	Nil	Nil	Nil This target however is outside the control of the Head of Service and assumes that no staff will leave for employment elsewhere.

Mandatory Corporate Measures (2016/17)	2014/15 Performance	2015/16 Performance	2016/17 Performance Target
Total number of complaints: Internal / External	Nil	Nil	Nil
Total number of compliments: Internal External	Nil	Nil	The number of compliments received is outside the control of the Head of Service
% (No) of services measuring customer satisfaction	Nil	Nil	Nil
% (No) of service report cards to be produced by 31.3.17		100% (1 service card for Licensing)	100% (1 service card for Licensing)

NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

Policy and Resources Cabinet Board

21st September 2016

REPORT OF THE HEAD OF CORPORATE STRATEGY AND DEMOCRATIC SERVICES – MRS K. JONES

Matter for Monitoring

Wards Affected: ALL

Quarterly Performance Management Data 2016-2017 – Quarter 1 Performance (1st April 2016– 30th June 2016)

Purpose of the Report

1. To report quarter 1 performance management data for the period 1st April 2016 to 30th June 2016 for Chief Executive's and Finance & Corporate Services Directorates and, the performance management data for the same period for services that are within the remit of the other four main Scrutiny Committees (CYPE, SCHH, E&H and ECR). This will enable the Policy & Resources Cabinet Board and Scrutiny Members to discharge their functions in relation to performance management.

Executive Summary

2. The Council continues to prioritise certain areas of work and these are expressed as the Council's six improvement priorities in the Corporate Improvement Plan "Rising to the Challenge" 2016/2019.

A number of new measures have been introduced into the Council's full suite of performance indicators for 2016/17 including a new set of local Digital by Choice measures and in Adult Services and

Children's and Young people services a new set of statutory measures.

Section 1 of the appendix includes a summary of performance that falls within the remit of the Council's six improvement priorities. Also included is a summary of performance across a number of other services that is drawn to Members attention.

Section 2 of the appendix includes the performance data and comments where relevant for the Council's full suite of performance indicators. Also included in this section is a performance key which includes symbols to explain the direction of improvement of each performance indicator.

Section 3 includes Compliments and Complaints data that is collected in line with the [Council's Comments, Compliments & Complaints Policy](#) and are reported to all relevant Cabinet Board on a quarterly basis.

Background

3. The role of scrutiny committees was amended at the Annual Meeting of Council in May 2010 to reflect the changes introduced by the Local Government (Wales) Measure 2009:
 1. Scrutinise the service improvement set out in the Corporate Plan which fall within the committee's purview;
 2. Scrutinise the performance of all services within its purview and the extent to which services are continuously improving;
 3. Ensure performance measures are in place for each service and that the measures reflect what matters to local citizens;
 4. Commission and participate in systems reviews through appropriate mechanisms and report onwards to the Executive
 5. Monitor implementation by the Executive of responses to the conclusions and recommendations of the Council's external regulators; and
 6. Promote innovation by challenging the status quo and encourage different ways of thinking and options for service delivery.

Financial Impact

4. The performance described in the Report is being delivered against a challenging financial backdrop.

Equality Impact Assessment

5. This report is not subject to an Equality Impact Assessment.

Workforce Impacts

6. The Council has seen a downsizing of its workforce by 241 in 2014/15 and by further 197 in 2015/16 as it sought to deliver significant year on year savings.

Legal Impacts

7. This Report is prepared under:
 - 1) The Local Government (Wales) Measure 2009 and discharges the Council's duties to "make arrangements to secure continuous improvement in the exercise of its functions".
 - 2) The Neath Port Talbot County Borough Council Constitution requires each cabinet committee to monitor quarterly budgets and performance in securing continuous improvement of all the functions within its purview.

Risk Management

8. Failure to produce a compliant report within the timescales can lead to non-compliance with our Constitution. Also failure to have robust performance monitoring arrangements could result in poor performance going undetected.

Consultation

9. No requirement to consult

Recommendations

10. Members monitor performance contained within this report.

Reasons for Proposed Decision

11. Matter for monitoring. No decision required.

Implementation of Decision

12. Matter for monitoring. No decision required.

Appendices

13. Appendix 1 - Quarterly Performance Management Data 2016 /2017– Quarter 1 Performance (1st April 2016– 30th June 2016) – APPENDIX 1

List of Background Papers

14. The Neath Port Talbot [Corporate Improvement Plan - 2016/2019](#) “Rising to the Challenge”;
15. Policy & Resources Committee report date 30th July 2010 – Securing continuous improvement and scrutiny work programme.

Officer Contact

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Quarterly Performance Management Data 2016/2017 – Quarter 1 Performance (1st April 2016– 30th June 2016)

Report Contents:

Section 1: Summary of performance.

Section 2: Quarterly Performance Management Data and performance key

Section 3: Compliments & Complaints Data

Section 1: Summary of performance.

- **Improvement Objective 1 – Safer, Brighter Futures**

Children's Services

The 1st Quarter 2016/17 sees the introduction of a new suite of Welsh Government Statutory Indicators for Children and Young People Services. Comparison data for these Indicators will become available over time.

These Indicators represent a reduction in the reporting obligations of Children and Young People's Services (CYPS) to Welsh Government during 2016/17. The aim of Welsh Government is to reduce the performance management reporting burden placed upon local authorities, whilst at the same time implementing a more outcome focused set of performance measures which complement the ethos of the recently introduced Social Service and Well-Being (Wales) Act.

The revised statutory reporting obligations to Welsh Government will be mirrored in its reporting arrangements to Members during 2016/17. This change was noted at CYPE Committee on 28th July 2016.

In addition, a new set of 8 'Priority Indicators' were approved at CYPE Committee on the 8th September 2016 and will be reported to Members from quarter 2, 2016/17. These Indicators are designed to evidence progress against key objectives, as detailed within the CYPS Business Plan 2016/17.

Despite the reduction in the number of statutory indicators, CYPS are required to report during 2016/17; it is the intention that the Service continues to gather and use a vast suite of performance management data to support decision making at both an individual and strategic level. In addition, CYPS is expanding its ability to capture information routed in the quality of its intervention with children, young people and families.

- **Improvement Objective 2 –Better Schools, Brighter Prospects**

Education

Schools in NPT have secured an improvement in pupil attendance in the secondary sectors for the fifth year running (a rise of 0.06%).

Key Stage 2 results have seen a significant improvement compared to 2014/15 academic year.

There has been a rise in pupils taught in the medium of Welsh at Key Stage 2 of 1.5% and a considerable rise of 3.4% at Key Stage 3.

The number of full day childcare places provided by the council has increased but the number of Young People in contact with the youth service has seen a decrease.

The percentage of final statements of special education need issued within 26 weeks excluding exceptions has remained at maximum performance and the number excluding exceptions has risen considerably from 8.5% to 23.6%.

There has been a rise in both the number of statements of special educational needs and new statements issued within the period.

- **Improvement Objective 3 -Improving Outcomes, Improving Lives**

Adults Services

Adult social care has seen a number of changes within the last year, which include changes in practice, reconfiguration and the development of an intake service.

From the 6th April 2016 there is a statutory requirement for Adult Services to collect new Social Services Well-being Act (SSWBA) measures. Guidance for these new indicators/measures was not finalised until after

the 6th April 2016 and clarity had to be sought thereafter. As a consequence, we are currently unable to report some data items for Quarter 1 2016/17. However, systems are in place to capture this data for future reports. Existing National Strategic Indicator and Public Accountability Measures will still be included in this report for 2016/17. The service is currently tightening processes whereby reviews in particular are being highlighted; future targets are going to be issued to teams to ensure reviews are carried out within timescale.

- **Improvement Objective 4 –Prosperity for All**

Economic Development

The Economic Development Team continues to receive a significant number of requests for support which, in general, are of a more positive nature as they look to support expansion and growth. Many of the investments, once completed, will attract new private sector investment and support the creation of new jobs within the Borough so it is anticipated that overall performance will increase as the 2016/17 year progresses.

In addition, the granting of Enterprise Zone status for Port Talbot Waterfront will also be of huge benefit to businesses and will further help promote economic growth and job creation in the area.

The team continues to work closely with Careers Wales, Department of Works and Pensions and Welsh Government to help those facing redundancy and provide support to the many local businesses within the Tata supply chain that have to deal with staff losses or look for new markets. This has led to an increase in referrals to the Council's Enterprise Club as individuals seek advice and guidance on self-employment.

Homelessness

At 91% the percentage of all potentially homeless households for whom homelessness was prevented for at least 6 months has deteriorated on last year's figure by 5%.

At 26, the number of private rented tenancies made available by the Housing Options Service that were suitable and likely to be available for at least 6 months has greatly exceeded the 2015/16 figure of 11.

Performance last year was greatly enhanced by the availability of a large ring-fenced Welsh Government Homelessness Grant Transitional Fund (TF) allocation. The TF allocation for 2016/17 is however significantly reduced on 2015/16. It should however be noted that the significant

reduction in TF for 2016/17 is also highly likely to impact negatively, to some extent, on ongoing performance in this area, as the year progresses. A suite of local homelessness measures is currently being developed to mirror the headlines in the recently published Welsh Government Statistical First Release 'Homelessness in Wales, 2015-16'. Performance against these measures in Quarter 1 will be reported on, together with that in Quarter 2, in the Autumn.

- **Improvement Objective 5 – Reduce, Reuse, Recycle**

Waste Management

The Council is progressing with the implementation of its waste strategy and achieved the 2015/16 statutory recycling and composting target of 58%. The next target to reuse / recycle / compost 64% of waste collected by 2019/20.

- **Improvement Objective 6 – Digital by Choice**

Digital by Choice performance

Overall we are on track to deliver what we have planned for this priority. We are progressing well with making our website easier and more new services will be available on-line this year. 92% of our website is available in Welsh; most of the remaining pages are in the process of being translated.

During the quarter 1 this year however, we have seen an increase in demand in customer services, this increase is due to the roll out of Recycle + and should reduce as arrangements embed. The good performance results achieved in customer services 2015/2016 will be harder to reproduce due to less resource in Customer Services. However, as the availability of customer self-serve online options increase in keeping with the Council's Digital by Choice Strategy the current reliance on staff intervention via traditional methods of customer contact (telephone and face to face) should reduce.

Roll out of the i-procurement system continues to go well and the volume of transactions is still rising every quarter.

A digital inclusion charter was approved in May 2016 which will assist more people to become digitally included and enjoy the benefits that they can experience from being online. Work to upskill staff in relation to digital literacy is progressing.

Other areas that are drawn to committee's attention include:

- **Sickness Management**

It is disappointing that there has been an increase in the quarter 1 data (from 2.2 average full time equivalent days lost in quarter 1 last year to 2.4 days this year) for 2016 / 2017. A detailed report in relation to quarter 1 will be presented to Members at this committee in early November to help Members understand what lies behind this statistic. Members will however be pleased to know that the All Wales Benchmarking figures have been released for 2015 / 2016, and the Council has improved its position moving from Joint 7th, to 6th place out of the 22 Local Authorities in Wales. What this does show is that whilst sickness increased slightly in the Council in 2015 / 2016 when compared to 2014 / 2015 (and Members received the 2015 / 2016 end of year report in relation to sickness in the June meeting of this committee), the challenges being faced across Wales in managing sickness are perhaps similar but the Council's processes and practices are performing well when benchmarked to other Councils.

- **Housing - Private Sector Renewal**

The average number of days taken to deliver a Disabled Facilities Grant (DFG) has reduced by 15 days during this quarter when compared to the same quarter of the previous year. The total number of DFG's completed during this reporting period has decreased to 88, compared to 99 in the same reporting period in 2015/16. The reduction in the time taken to deliver a DFG can be attributed to the fact that fewer extensions were completed during this period. This has equated to 5 extensions being completed in this reporting period compared to 8 in the same period 2015/16.

Customer satisfaction surveys reveal a very high level of satisfaction. With 100% of respondents indicating that their quality of life had improved as a result of the adaptation and that they no longer need to consider moving home.

- **Public Protection**

92.57% of food establishments were "broadly" compliant with food hygiene standards, marginally down on last year's performance within the same period of 92.8%. The percentage of high risk businesses inspected for food hygiene equals the same period last year. However, the percentage of high risk businesses that have been inspected by Trading Standards is considerably lower as the department is detecting and dealing with more complex and significant infringements of consumer fraud and resources have been diverted to deal with them. These

investigations are not necessarily related to high risk businesses, but are as a result of intelligence received.

The percentage of significant breaches that were rectified by intervention has increased for Trading Standards (43.75% in comparison to 15.7%) and Animal Health (100% in comparison to 80%). Rectification was achieved through the issuing of written warnings or the provision of formal advice to traders.

The percentage of identified new businesses which were subject to a food hygiene risk assessment visit is considerably lower than last year. This is as a consequence of there being a delay between the provision of advice to the new business and the actual start-up of that business. This is a matter which is beyond the control of the service. Nevertheless, all businesses are, and will continue to be, coached and advised prior to the commencement of trading to help raise standards and legal compliance. The risk assessment inspection can only take place when the business is trading, therefore there is always a lag period between food businesses becoming registered and actually having an unannounced inspection.

- **Planning**

Planning performance has in the majority of categories either improved or remained consistent since the same quarter in 2015/16.

The first quarter has seen a significant improvement in the overall time taken to both validate applications (PLA/M001) which, as identified in the previous quarter's report, has been positively affected by the introduction of "invalidity notices" in March 2016. Such new legislative requirements have been coupled with the introduction of new internal processes which seek to validate applications swiftly, or return the applications to applicants for subsequent submission when identified errors are corrected. It is also considered that such changes have had a knock-on impact on the improvement in time taken to determine applications from received date (PLA/M002), although this has also been as a result of continued Officer efforts which have increasingly focussed on "front-loading" discussions on applications and to determine applications swiftly wherever possible.

Overall there has also been a positive impact on the total percentage of all applications determined within 8 weeks which, whilst not recorded overall within the key performance indicators, stands at 80.1% for the first quarter of the financial year.

- **Building Control**

The performance for the percentage of building control 'full plan' applications checked within 15 working days for the first quarter shows an improvement over that reported for the same quarter in 2015/2016. It is, however, lower than that reported at the end of the same year. This can be attributed to the section losing an experienced member of staff, with the recruitment process to appoint a replacement still ongoing.

Encouragingly, performance in relation to the percentage of 'full plan' applications approved first time, which demonstrates how well officers have interacted with applicants to achieve compliance, has remained at 100% through this challenging period.

- **Libraries**

There has been an increase in the number of people using Public Libraries in the first 3 months of 2016/17 but a slight decline in the number of library materials issued.

The increase in numbers is largely due to the extra work staff are doing to attract audiences to the venues for activities and events.

- **Transport and Highways**

The Council continues to progress its street lighting renewal project. Similarly, improvements are being seen in respect of overall road conditions as a result of the improvements made by the Council in respect of Highway Asset Management Planning.

The increase in average repair time has increased to 1.96 days from the first quarter last year is due to an increase in the number of regional electricity company's network repair times and an increase in repair times of authority faults due to operational conditions.

The percentage of adults over 60 who hold a bus pass has decreased slightly due to data cleansing.

- **Asset Management and Street Scene**

Asset Management and Street Scene performance indicators are reported on an annual basis.

Section 2: Quarterly Performance Management Data and Performance key

2016/2017 – Quarter 1 Performance (1st April 2016 – 30th June 2016)

Note: The following references are included in the table. Explanations for these are as follows:







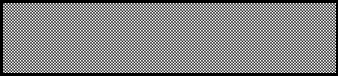

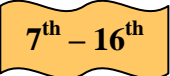
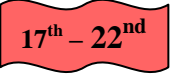
(NSI) National Strategic Indicators (NSIs) - are used to measure the performance of local authorities at a national level and focus on key strategic priorities. The Welsh Government recently published a written statement confirming the revocation of the Local Government (Performance Indicators) (Wales) Order 2012. As such, 2015/16 will be the final year of collection of the former National Strategic Indicators (NSIs) by Welsh Government. In order to ensure minimal disruption for local authorities, many of whom will have included these indicators in their improvement plans for the current financial year, the WLGA's (Welsh Local Government Association) coordinating committee agreed that local authorities should collect them alongside the PAMs for 2016/17.

(PAM) Public Accountability Measures - consist of a small set of "outcome focussed" indicators, selected initially from within the existing Performance Measurement Framework. They will reflect those aspects of local authority work which local authorities agree are considered to be important in terms of public accountability. For example, recycling, educational attainment, sustainable development, etc. This information is required and reported nationally, validated, and published annually.

(SID) Service Improvement Data - can be used by local authority services and their regulators as they plan, deliver and improve services.

All Wales - The data shown in this column is the figure calculated using the base data supplied by all authorities for 2015/2016 i.e. an overall performance indicator value for Wales.

(Local) Local Performance Indicator set by the Council.

	Performance Key
	Maximum Performance
	Performance has improved
	Performance has been maintained
	Performance has declined but is within 5% of previous years performance
	Performance has declined by 5% or more on previous year's performance - Where performance has declined by 5% or more for the period in comparison to the previous year, an explanation is provided directly below the relevant performance indicator.
	No comparable data (data not suitable for comparison /no data available for comparison)
	No All Wales data available for comparison.
	2015/16 NPT performance in upper quartile (top six of 22 local authorities) in comparison with All Wales national published measures (NSI & PAM's).
	2015/16 NPT performance in mid quartiles (7 th – 16 th) in comparison with All Wales national published measures (NSI & PAM's).
	2015/16 NPT performance in lower quartile (17 th – 22 nd) in comparison with All Wales national published measures (NSI & PAM's).

1. Chief Executive's and Finance & Corporate Services

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
1	Benefits M001 (Local)	Percentage of new claims correctly assessed.	100%	100%		100%	100%	😊
2	7.7(L) (Local)	Percentage of standard searches carried out in 10 working days.	86.3%	61.5%		22.2%	85.8%	↑
3	Benefits M002 (Local)	Average days taken for new claims and changes of circumstances from application to assessment.	6.86	6.18		10.5	7.34	↑
Page 14	CFH/007 (SID)	The percentage of council tax due for the financial year which was received by the authority.	97.5%	97.9%		29.2%	29.3%	↑
	CFH/008 (SID)	The percentage of non-domestic rates due for the financial year which were received by the local authority.	100.7%	98.0%		33.3%	36.9%	↑
	CS001 (Local)	Customer Services - Average customer waiting times (face to face contact)	6.8 minutes	5.4 minutes		6.7 minutes	6.7 minutes	↔
7	CS004 (Local)	Customer Services - Percentage of customers leaving before being seen (walk offs)	0.08% 53 of 67,886	0.07% 44 of 65,481		0.02% (3 of 16,998)	0.10% (20 of 18,571)	v
8	CHR/001 (SID)	The percentage of employees (including teachers and school based staff) who leave the employment of the local authority, whether on a voluntary or involuntary basis.	13.48%	13.22%		1.5%	1.76%	v
9	CS003 (Local)	Customer Services - Percentage of telephone calls abandoned after 5 seconds	12.47%	2.63%		2.61%	5.55%	v

1. Chief Executive's and Finance & Corporate Services - continued



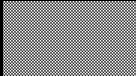


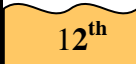
No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
10	CS002 (Local)	Customer Services - Average time to answer telephone calls	33 seconds	16 seconds		15 seconds	26 seconds	↓
	<p>The second phase/roll out of the Recycle + scheme was implemented during Quarter 1 thereby increasing customer awareness and expectations regarding recycling services in the Council. The side waste (black bag) restriction scheme was also launched in June 2016. Related enquiries for both aspects created extended call handling explanations, longer wait times for call to be answered and a rise in abandoned calls as additional and longer discussions were needed about associated aspects for both schemes.</p> <p>The Contact Centre also provided extra staff to the One Stop Shop face to face services to ensure their business continuity at the first point of contact. This reduced the number of staff at the Contact Centre to respond to telephone calls and also contributed to a drop in comparable performance to the previous Quarter 1.</p> <p>The good performance results achieved in 2015/2016 will be harder to reproduce due to less resource in Customer Services. However, as the availability of customer self-serve online options increase in keeping with the Council's Digital by Choice strategy the current reliance on staff intervention via traditional methods of customer contact (telephone and face to face) should reduce.</p>							
Page 115	CHR/002 (PAM)	The number of working days/shifts per full time equivalent (FTE) local authority employee lost due to sickness absence.	9.4	9.7	10.2 6 th	2.2	2.4	↓
	<p>It is disappointing that there has been an increase in the quarter 1 data for 2016 / 2017. A detailed report in relation to quarter 1 will be presented to Members at this committee in early November to help Members understand what lies behind this statistic. Members will however be pleased to know that the All Wales Benchmarking figures have been released for 2015 / 2016, and the Council has improved its position moving from Joint 7th, to 6th place out of the 22 Local Authorities in Wales. What this does show is that whilst sickness increased slightly in the Council in 2015 / 2016 when compared to 2014 / 2015 (and Members received the 2015 / 2016 end of year report in relation to sickness in the June meeting of this committee), the challenges being faced across Wales in managing sickness are perhaps similar but the Council's processes and practices are performing well when benchmarked to other Councils.</p>							
12	PAY/001 (local)	i) Percentage of invoices paid within 30 days	N/a new			A system to capture data for these new performance indicators is being developed. Data will be reported to Members once this process is complete.		—
		ii) The amount of interest paid to suppliers due to late payment	N/a new					—
		iii) total amount of interest that the contracting authority was liable to pay, i.e. whether or not paid, whether statutory or otherwise, due to a breach of the Regulations.	N/a new					—

- Note: Indicator CHR002 (indicator 11 above) whilst achieving 6th position across Wales, NPT are placed outside the upper quartile as not all Local Authorities provided data.

2. Chief Executive's and Finance & Corporate Services – Digital by Choice Measures								
No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
13	DBC/001 (Local)	Percentage of transactions completed on-line	N/a New	56.9%		50.2%	60.4%	↑
14	DBC/002 (Local)	Number of new services available on-line	7	7		7	8	↑
15	DBC/003 (Local)	Percentage of webpages available in Welsh	62%	88% see note 1		62%	92% see note 1	↑
Page 116	DBC/004 (Local)	Reduce the demand on Customer Services – visitors to one stop shops	67,886	65,481		16,998	18,355	↓
	As per explanation for CS002 (indicator 10) above.							
	DBC/005 (Local)	Percentage volume of transactions processed through i-procurement	N/a New	45.5%		N/a New	47%	—
18	DBC/006 (Local)	Improve the professional rating of our website page rating from a 1 star (maximum rating is 4 star):	1 star	2 star		2016-17 data available March 2017		—
19	DBC/007 (Local)	Percentage of customers very satisfied/satisfied or OK with improvements made to services available on-line – General look and feel	N/a new	91%		2016-17 data available in Autumn 2016		—
20	DBC/008 (Local)	More of our customers find the website easier to use: Percentage very satisfied/Satisfied or OK with ease of getting around site.	N/a new	83%		2016-17 data available in Autumn 2016		—
21	DBC/009 (Local)	More of our customers can access the information/service they want (on our website) first time: Percentage very satisfied/Satisfied or OK with ease of finding information/Services.	N/a new	78%		2016-17 data available in Autumn 2016		—
22	DBC/010 (Local)	Number of people we support to develop digital skills to access services	N/a new	N/a new		Survey to be undertaken during 2016-17		—

Note 1: additional 9% of pages (as at 31st March 2016) and additional 5% of pages (as at 30th June 2016) with external translators awaiting translation.

3. Education – Schools

No	PI Reference	PI Description	Quarter 1 2014/15 (2013/14 full academic year)	All Wales 2015/16 (2014/15 academic year)	Quarter 1 2015/16 (2014/15 full academic year)	Quarter 1 2016/17 (2015/16 full academic year)	Direction of Improvement
23	EDU/006ii (NSI)	The percentage of pupils assessed, in schools maintained by the local authority, receiving a Teacher Assessment in Welsh (first language) at the end of: Key Stage 3.	10.0% (150 of 1,500 pupils)	17.8% 	11.6% (173 of 1,491)	15.0% (225 of 1,499)	↑
24	EDU/003 (NSI/PAM)	The percentage of pupils assessed at the end of Key Stage 2, in schools maintained by the local authority, achieving the Core Subject Indicator, as determined by Teacher Assessment.	84.1% (1,144 of 1,360 pupils)	88.1% 	83.3% (1,194 of 1,433)	84.9% (1,331 of 1,567)	↑
25	EDU/006i (SID)	The percentage of pupils assessed, in schools maintained by the local authority, receiving a Teacher Assessment in Welsh (first language) at the end of: Key Stage 2	15.4% (209 of 1,360 pupils)		14.1% (202 of 1,433 pupils)	15.6% (244 of 1,567 pupils)	↑
26	EDU/016b (PAM)	The percentage of pupil attendance in Secondary Schools.	93.5% (2,182,564 of 2,333,737 sessions)	93.2% 	93.7% (2,148,160 of 2,293,388 sessions)	93.7% (P) (2,186,082 of 2,332,537 sessions)	↔
27	EDU/004 (PAM)	The percentage of pupils assessed at the end of Key Stage 3, in schools maintained by the local authority, achieving the Core Subject Indicator, as determined by Teacher Assessment.	73.1% (1,096 of 1,500 pupils)	84.1% 	77.8% (1,160 of 1,491)	77.7% (1,165 of 1,499)	▼
28	EDU/002i (NSI/PAM)	The percentage of all pupils (including those in local authority care), in any local authority maintained school, aged 15 as at the preceding August, who leave compulsory education, training or work based learning without and approved external qualification.	0.2% (3 of 1,667 pupils)	0.2% 	0.1% (1 of 1,542 pupils)	Data available Quarter 2	—

P – provisional data

3. Education –Schools - continued

No	PI Reference	PI Description	NPT Actual 2014/15 (2013/14 academic year)	All Wales 2015/16 (2014/15 academic year)	Quarter 1 2015/16 (2014/15 full academic year)	Quarter 1 2016/17 (2015/16 full academic year)	Direction of Improvement
29	EDU/002ii (NSI)	The percentage of pupils in local authority care, in any local authority maintained school, aged 15 as at the preceding August, who leave compulsory education, training or work based learning without and approved external qualification.	0%	0.5% Joint 1st	0%	Data available Quarter 2	—
Page 118	EDU/008a (SID)	The number of permanent exclusions during the academic year per 1,000 pupils from Primary Schools.	0.1 1 pupil		0 0 pupils	Data available Quarter 2	—
	EDU/008b (SID)	The number of permanent exclusions during the academic year per 1,000 pupils from Secondary Schools.	1.3 10 pupils		1.2 9 pupils	Data available Quarter 2	—
32	EDU/009a (SID)	The average number of school days that permanently excluded pupils did not receive an offer of full time appropriate education provision during the academic year.	79.8		26.7	Data available Quarter 3	—
33	EDU/009b (SID)	The average number of school days that permanently excluded pupils did not receive an offer of part time appropriate education provision during the academic year.	52.2		11.9	Data available Quarter 3	—
34	EDU/010a (SID)	The percentage of school days lost due to fixed-term exclusions during the academic year, in Primary Schools.	0.016% 262 days		0.008% 203 days	Data available Quarter 2	—

3. Education - Schools -continued

No	PI Reference	PI Description	NPT Actual 2014/15 (2013/14 academic year)	All Wales 2015/16 (2014/15 academic year)	Quarter 1 2015/16 (2014/15 full academic year)	Quarter 1 2016/17 (2015/16 full academic year)	Direction of Improvement
35	EDU/010b (SID)	The percentage of school days lost due to fixed-term exclusions during the academic year, in Secondary Schools.	0.112% 1,598 days		0.085% 1,255 days	Data available Quarter 2	—
36	EDU/011 (NSI/PAM)	The average wider point score for pupils aged 15 as at the preceding 31 August, in schools maintained by the local authority.	540	538.6 2 nd	586	Data available Quarter 2	—
37	EDU/016a (PAM)	Percentage of pupil attendance in Primary Schools.	94.6% 3,153,617 of 3,333,372 sessions	95.0% 13 th	94.8% 3,262,430 of 3,441,713 sessions	Data available Quarter 3	—
38	EDU/017 (NSI/PAM)	The percentage of pupils aged 15 at the preceding 31 August in schools maintained by the local authority who achieved the level 2 threshold including a GCSE grade A-C in English or Welsh first language and Mathematics.	55.8%	58.3% 11 ^h	58.4%	Data available Quarter 2	—

4. Education - Other

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
39	EDU/015b (NSI)	The percentage of final statements of special education need issued within 26 weeks excluding exceptions.	100%	100%	94.5% Joint 1 st	100%*	100%*	😊
40	EDU/015a (NSI)	The percentage of final statements of special education need issued within 26 weeks including exceptions.	23.4%	10.5%	68.1% 22 nd	8.5%*	23.6%	↑
Page 120	L(SEN) 1b (Local)	Total number of children with statements of special educational needs.	790	799		755*	792*	↑
	L(FP) 1+ (Local)	Number of full day childcare places provided.	1,624	2,003		2,201	2,581	↑
	L(Yth)2+ (Local)	The percentage of 11 - 19 year olds in contact with the youth service.	30.24% (4,358 of 14,411)	31.31% (4,431 of 14,150)		14.06% (1,989 of 14,150)	9.91% (1,379 of 13,920)	∨
	L(SEN) 1a (Local)	Number of children with new statements of special educational needs.	77	95		47*	55*	↓
	The increase in the number of new statements issued can be attributed to the advanced early detection of need with more referrals and early alerts coming from health and early years providers in Flying Start.							

*- Calendar year data - 6 months data

6. Social Services Health & Wellbeing Indicators - Children's Services

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
45	PI 24	The percentage of assessments completed for children within 42 days from point of referral	N/a New				99.2%	—
46	PI 25	The percentage of children supported to live with their family	N/a New				68.3%	—
47	PI 26	The percentage of Looked After Children returned home from care during the year	N/a New				Reported Annually	—
48	PI 27	The percentage of re-registrations of children on the local authority Child Protection Register	N/a New				13.5%	—
49	PI 28	The average length of time (in days) for all children who were on the Child Protection Register during the year	N/a New				222.2 days	—
50	PI 29	The percentage of children receiving the core subject indicators at key stage 2 + 3	N/a New				Reported Annually	—
51	PI 30	The percentage of children seen by a dentist within 3 months of becoming looked after	N/a New				Reported Annually	—
52	PI 31	The percentage of Looked After Children at 31 st March registered with a GP within 10 working days of the start of their placement	97.2%	99.3%			Reported Annually	—
53	PI 32 (NSI)	The percentage of children looked after at 31 March who has experienced one or more change of school, during a period or periods of being looked after, which were not due to transitional arrangements, in the 12 months to 31 March.	10.7%	9.4%	11.9%	7 th	Reported Annually	—
54	PI 33 (PAM)	The percentage of children looked after on 31 March who has had three or more placements during the year.	7.1%	8.8%	9.8%	5 th	Reported Annually	—
55	PI 34	The percentage of all care leavers who are in education, training or employment continuously for 12 + 24 months after leaving care	N/a New				Reported Annually	—
56	PI 35	The percentage of care leavers who have experienced homelessness during the year	N/a New				Reported Annually	—

7. Social Care - Adults Services

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
57	SCA/018a (Local)	The percentage of carers of adult service users who were offered an assessment or review of their needs in their own right during the year.	100%	100%	94.5% Joint 1 st	100%	100%	😊
58	SCA/019 (local)	The percentage of adult protection referrals completed where the risk has been managed.	100%	100%	97% Joint 1 st	100%	100%	😊
59	SCA/002b (NSI)	The rate of older people (aged 65 or over): Whom the authority supports in care homes per 1,000 population aged 65 or over at 31 March.	21.71	21.96	18.02 20 th	21.92	22.8	v
60	SCA/002a (NSI)	The rate of older people (aged 65 or over): Supported in the community per 1,000 population aged 65 or over at 31 March.	111.46	109.7	64.12 N/a	112.37	110.77	v
61	SCA/001 (NSI)	The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 or over.	3.21	4.36	4.87 12 th	1.29	1.51	↓
This fall in performance can be attributed to a delay in being able to access Community Reablement due to a lack of capacity. A number of solutions are being put in place such as a rapid response Home Care Service and a removal of the rule that all cases need to go through reablement.								
62	SCA/007 (Local)	The percentage of clients with a care plan at 31st March whose care plans should have been reviewed that were reviewed during the year.	79.3%	72.7%	83.0% 20 th	74.7%	68.4%	↓
Reviews are currently the focus of social work management who are in the process of issuing teams targets on the number of reviews completed on time. We would expect this figure to begin rising again in the near future.								

8. Social Services Health & Wellbeing Indicators - Adults Services

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
63	1	Number of adults who received advice or assistance from the information, advice and assistance service during the year.	N/a New				931	—
64	2	Number of assessments of need for care and support undertaken during the year;	N/a New				178	—
65	2(i)	Of which, the number of assessments that led to a care and support plan.					137	—
66	3	Number of assessments of need for support for carers undertaken during the year;	N/a New				96	—
67	3(i)	Of which, the number of assessments that led to a support plan.					9	—
68	4	Number of carer assessments that were refused by carers during the year.	N/a New				28	—
69	5	Number of assessments of need for care and support for adults undertaken during the year whilst in the secure estate;	N/a New				0	—
70	5(i)	Of which, the number of assessments that led to a care and support plan.					0	—

8. Social Services Health & Wellbeing Indicators - Adults Services - con't

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
71	6	Number of requests for re-assessment of need for care and support and need for support made by an adult during the year a) in the secure estate b) all other adults and carers	N/a New	N/a New	N/a New	N/a New	Systems currently being developed to capture data	—
72	6i	Of which, the number of re-assessments undertaken on a) adults in the secure estate b) all other adults and carers						—
Page 124 7/24	6ii	Of which, the number of re-assessments that led to a care and support plan or a support plan on: a) adults in the secure estate b) all other adults and carers						—
								—
								—
74	7	Number of care and support plans and support plans that were reviewed during the year:						N/a New
75	7i	Of which, the number of plans that were reviewed within agreed timescales	851	—				
76	8	Number. of requests for review of care and support plans and support plans for carers before agreed timescales made by an adult during the year	N/a New	N/a New	N/a New	N/a New	Systems currently being developed to capture data	—
77	8i	Of which, the number of reviews undertaken						—

8. Social Services Health & Wellbeing Indicators - Adults Services - con't

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
78	9	Number of adults who received a service provided through a social enterprise, co-operative, user led or third sector organisation during the year	N/a New				Systems currently being developed to capture data	—
79	10	Number of adults who received care and support who were in employment during the year	N/a New				5	—
80	11	Number of adults with a care and support plan who received the following services during the year; Dom care, Day care, Respite, Reablement, Equipment, Adaptations, DP, supported Acc., Sheltered Acc., Adult placements, Adult care homes, Telecare, Advocacy, Recreational, leisure and lifelong services	N/a New				2,604	—
81	12	Number of adults who paid the maximum weekly charge towards the cost of care and support or support for carers during the year	N/a New				1	—
82	13	Number of adults who paid a flat rate charge for care and support or support for carers during the year	N/a New				1,563	—
83	14	Number of adults who were charged for care and support or support for carers during the year	N/a New				2,214	—
84	19	The rate of delayed transfers of care for social care reasons per 1,000 population aged 75 and over	3.21	4.56	4.87	1.29	1.51	↓
	This fall in performance can be attributed to a delay in being able to access Community Reablement due to a lack of capacity. A number of solutions are being put in place such as a rapid response Home Care Service and a removal of the rule that all cases need to go through reablement.							

8. Social Services Health & Wellbeing Indicators - Adults Services - con't

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
85	20a	The percentage of adults who completed a period of reablement and have a reduced package of care and support 6 months later	N/a New			Systems currently being developed to capture data	—	
86	20b	The percentage of adults who completed a period of reablement and have no package of support 6 months later	N/a New				—	
87	21	The average length of time adults (aged 65 and over) are supported in residential care homes	N/a New				—	
88	22	Average age of adults entering residential care homes	N/a New				—	
89	23	The percentage of adults who have received advice and assistance from the information, advice and assistance service and have not contacted the service for 6 months	N/a New				Unable to report until quarter 3	

9. Housing – Homelessness and Housing Advice

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
90	HOS/001 (Local)	The number of private rented tenancies made available by the Housing Options Service that were suitable and likely to be available for at least 6 months	N/a New	92		11	26	↑
91	HHA/013 (Local)	The percentage of all potentially homeless households for whom homelessness was prevented for at least 6 months.	95.5%	91.0%		96%	91%	↓
Performance last year was greatly enhanced by the availability of a large ring-fenced Welsh Government Homelessness Grant Transitional Fund (TF) allocation. The TF allocation for 2016/17 is however significantly reduced on 2015/16. Some degree of ongoing deterioration in performance was therefore anticipated it is not unlikely that performance may deteriorate even further as the year progresses								

10. Housing - Private Sector Renewal

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
92	PSR/002 (NSI/PAM)	The average number of calendar days taken to deliver a Disabled Facilities Grant.	252	228	241 10 th	221	206	↑
93	PSR/009b (SID)	The average number of calendar days taken to deliver a Disabled Facilities Grant for: Adults	233	220		218	202	↑
94	PSR/009a (SID)	The average number of calendar days taken to deliver a Disabled Facilities Grant for: Children and young people	437	354		278	296	↓
	During this reporting period we have completed more extensive and complex works with one particular job being significantly delayed at the request of the parents to a time which suited the family.							
95	PSR/007a (SID)	Of the Houses in Multiple Occupation known to the local authority, the percentage that: Have a full license.	1.63%	1.35%		1.4%	1.34%	v
96	PSR/004 (NSI)	The percentage of private sector dwellings that had been vacant for more than 6 months at 1 April that were returned to occupation during the year through direct action by the local authority.	68.59%	40.2%	11.08% 3 rd	Reported Annually		—
97	PSR/007b (SID)	Of the Houses in Multiple Occupation known to the local authority, the percentage that: Have been issued with a conditional license.	0%	0%		0%	0%	—
98	PSR/007c (SID)	Of the Houses in Multiple Occupation known to the local authority, the percentage that: Are subject to enforcement activity.	0%	0%		0%	0%	—

11. Planning and Regulatory Services - Public Protection

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement	
99	PPN/007ii (SID)	The percentage of significant breaches that were rectified by intervention during the year for Animal Health.	71.4%	100%		80%	100%	😊	
100	PPN/007i (SID)	The percentage of significant breaches that were rectified by intervention during the year for Trading Standards.	86.8%	73.5%		15.7%	43.75%	↑	
101	PPN/001iii (SID)	The percentage of high risk businesses that were liable to a programmed inspection that were inspected for Animal Health.	100%	100%		40%	40%	↔	
102	PPN/001ii (SID)	The percentage of high risk businesses that were liable to a programmed inspection that were inspected for Food Hygiene.	98%	100%		21%	21%	↔	
103	PPN/009 (PAM)	The percentage of food establishments which are 'broadly' compliant with food hygiene standards	92.8%	92.7%	94.2% 16 th	92.82%	92.57%	v	
104	PPN/001i (SID)	The percentage of high risk businesses that were liable to a programmed inspection that were inspected for Trading Standards.	100%	100%		19.5%	3.7%	↓	
	<p>The department is detecting more complex and significant infringements of consumer fraud and is targeting resources to address them. High risk business inspections are spread throughout the financial year. Some high risk businesses were inspected at the end of the last financial year and it would be too early to inspect them in the first quarter of the current year as it would not give the department a good indication of how the business is developing over time. Officers are regularly reminded that they are the priority for the work programme. Certain inspections require specialist equipment and for efficiency and reasons of costs these businesses are all inspected at the same time.</p>								
105	PPN/008ii (SID)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year: Food Hygiene	79%	92%		76%	38%	↓	
	<p>Of the 16 new businesses identified by Food Hygiene, 6 were subject to a risk assessment visit for this period compared to 25 out of 33 for the same period in 2015-16. There is usually a lag period between new food businesses becoming registered and seeking advice on food hygiene in relation to their emerging business and actually opening the business, thus necessitating the need for an unannounced inspection. This delay between advice received and the commencement of use of the business is beyond the control of the service. However, all businesses are coached / advised and where appropriate some are visited prior to commencing trading to ensure they are able to comply with basic legal requirements.</p>								
106	PPN/008iii (SID)	The percentage of new businesses identified which were subject to a risk assessment visit or returned a self-assessment questionnaire during the year: Animal Health.	There were no new businesses detected for Animal Health in these periods.						—

12. Planning and Regulatory Services – Planning

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
107	PLA/M001 (Local)	Average time taken from receipt of application to validation of application - days	30.6 days	31.5 days		31.5 days	14.1 days	↑
108	PLA/M002 (Local)	Average time taken from receipt of application to date decision is issued - days	82.7 days	96.1 days		115.2 days	67.8 days	↑
109	PLA/004d (SID)	The percentage of all other planning applications determined during the year within 8 weeks.	79%	70.3%		74.1%	75.6%	↑
110	PLA/M004 (Local)	The percentage of major planning applications determined during the year within 8 weeks.	30.4%	16%		25%	25%	↔
111	PLA/002 (SID)	The percentage of applications for development determined during the year that were approved.	96.4%	96.3%		96.2%	95.4%	v
112	PLA/004b (SID)	The percentage of minor planning applications determined during the year within 8 weeks.	63.5%	66.1%		67.9%	64.2%	v
113	PLA/004c (SID)	The percentage of householder planning applications determined during the year within 8 weeks.	87.4%	95.1%		95.4%	95.2%	v
114	PLA/006(b) (NSI)	The number of additional affordable housing units provided during the year as a percentage of all additional housing units provided during the year.	42%	30%	36% 12 th	Reported Annually		—

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
13. Planning and Regulatory Services – Building Control								
115	BCT/007 (SID)	The percentage of 'full plan' applications approved first time.	96.6%	99.02%		100%	100%	😊
116	BCT/004 (SID)	Percentage of Building Control 'full plan' applications checked within 15 working days during the year.	100%	95.12%		92.3%	94%	↑
14. Economic Development								
117 Page 131	L(ED) 2 (Local)	Number of new business start-up enquiries assisted through Business Services	361	271		87	98	↑
	L(ED) 1 (Local)	Number of jobs created as a result of financial support by the Local Authority.	187	184		53	28	↓
Although lower in comparison to the first quarter last year, the Team is currently in the process of administering a number of applications from local businesses for funding to support investments in areas such as capital equipment, website development, accreditations, training and general marketing activities. It is anticipated therefore that performance will increase significantly in the next quarter								
119	L(ED) 3 (Local)	Number of business enquiries resulting in advice, information or financial support being given to existing companies through Business Services.	686	584		181	139	↓
	The Team is still receiving a high volume of enquiries from existing businesses looking for support on a range of issues such as property, rates relief, local contract opportunities, tendering, events, etc. The Team also deals with referrals from other business support organisations such as Business Wales, and there has recently been a period where new tenders for delivery were being issued which has impacted on the level of referrals. New contracts have now been issued and working relationships embedded so we anticipate performance will significantly increase in the next quarter.							

15. Corporate Health – Asset Management

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
120	CAM/001ai (SID)	The percentage of the gross internal area of the local authority's buildings in condition categories: A – Good	7.21%	7.68%		Reported Annually		—
121	CAM/001aii (SID)	The percentage of the gross internal area of the local authority's buildings in condition categories: B – Satisfactory	43.33 %	42.83%				—
122	CAM/001aiii (SID)	The percentage of the gross internal area of the local authority's buildings in condition categories: C – Poor	39.79%	38.22%				—
123	CAM/001aiv (SID)	The percentage of the gross internal area of the local authority's buildings in condition categories: D – Bad	9.67%	11.27%				—
124	CAM//001bi (SID)	The percentage of the total value of required maintenance for the local authority's buildings assigned to works of priority level: 1 – Urgent work	15.11%	21.95%				—
125	CAM/001bii (SID)	The percentage of the total value of required maintenance for the local authority's buildings assigned to works of priority level: 2 – Essential work	56.72%	50.76%				—
126	CAM/001 biii (SID)	The percentage of the total value of required maintenance for the local authority's buildings assigned to works of priority level: 3 – Desirable work	28.17%	27.29%				—
127	CAM/037 (PAM)	The percentage change in the average Display Energy Certificate (DEC) score within local authority public buildings over 1,000 square metres.	6.8%	4.4%				—

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16. Leisure and Libraries

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
128	LCL/001(b) (NSI)	The number of people using Public Libraries during the year, per 1,000 population.	5,709 (798,609 visits)	5,745 (807,077 visits)	5,374 5 th	1,380 (193,892 visits)	1,448 (204,189 visits)	↑
129	LCL/004 (SID)	The number of library materials issued, during the year, per 1,000 population.	3,219 (450,318 issued)	3,071 (431,549 issued)		780 (109,642 issued)	758 (107,560 issued)	∇
Page 133	LCS/002(b) (NSI)	The number of visits to local authority sport and leisure centres during the year, per 1,000 population where the visitor will be participating in physical activity.	5,775 (807,892 visits)	5,331 (748,992 visits)	8,409 22 nd	Reported six monthly		—
	LCL/002a (SID)	The number of publicly accessible computers per 10,000 population.	6	6		Reported Annually		—
	LCL/002b (SID)	The percentage of available computer hours, in use.	46%	42%		Reported Annually		—
133	LCL/003 (SID)	The percentage of library material requests supplied within 7 calendar days.	81%	76%		Reported Annually		—

17. Environment & Transport – Waste Management

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
134	WMT/009b (NSI/PAM)	The percentage of municipal waste collected by local authorities and prepared for reuse and/or recycled, including source segregated bio wastes that are composted or treated biologically in another way.	58.10%	58.32%	60.19% 18 th	58.73%	60.22%	↑
	WMT/004b (NSI/PAM)	The percentage of municipal waste collected by local authorities sent to landfill.	11.13%	14.04%	18.14% 10 th	10.4%	8.77%	↑
135	WMT/010i (SID)	The percentage of local authority municipal waste: Prepared for re-use.	0.29%	0.45%		0.44%	0.54%	↑
137	WMT/010ii (SID)	The percentage of local authority municipal waste: Recycled.	38.47%	37.68%		36.05%	39.83%	↑
		a) Incinerator Bottom Ash recycling rate	N/a new	1.97%		N/a new	2.86%	—
		b) Kerbside dry recycling rate	N/a new	16.40%		N/a new	16.44%	—
		c) Household Waste Recycling centres dry recycling rate	N/a new	19.31%		N/a new	20.53%	—
138	WMT/012 (SID)	The percentage of local authority collected municipal waste used to recover heat and power.	32.40%	29.2%		20.04%	30.0%	↑
139	WMT/010iii (SID)	The percentage of local authority municipal waste: Collected as source segregated bio-wastes and composted or treated biologically in another way.	19.34%	19.88%		22.25%	19.84%	↓

18. Environment & Transport – Transport and Highways

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
140	THS/007 (NSI)	The percentage of adults aged 60 or over who hold a concessionary bus pass.	90.6%	92.1%	85.6% 4 th	91.3%	88%	v
141	THS/009 (SID)	The average number of calendar days taken to repair street lamp failures during the year.	1.56	1.55		1.25	1.96	↓
	Although there is a slight increase, response times are well within Council's service time recognising that FFP targets have had an effect.							
142	THS/012a (SID)	The percentage of: Principal (A) roads in overall poor condition.	5.8%	4.5%		Reported Annually	—	
143	THS/012b (SID)	The percentage of: Non-principal/classified (B) roads in overall poor condition.	4.0%	2.6%		Reported Annually	—	
144	THS/012c (SID)	The percentage of: Non-principal /classified C roads in overall poor condition.	7.0%	5.9%		Reported Annually	—	
145	THS/012 (NSI/PAM)	The percentage of Principal (A) roads, Non-principal (B) roads and Non-principal C roads that are in overall poor condition.	5.6%	4.3%	11.2% 2 nd	Reported Annually	—	

19. Environment & Transport - Street Scene

No	PI Reference	PI Description	NPT Actual 2014/15	NPT Actual 2015/16	All Wales 2015/16	NPT Quarter 1 2015/16	NPT Quarter 1 2016/17	Direction of Improvement
146	STS/005b (PAM)	The percentage of highways and relevant land inspected of a high or acceptable standard of cleanliness.	98.8%	93.57%	96.5% 16 th	Reported Annually		—
147	STS/005a (SID)	The cleanliness Indicator	70.6	70.5		Reported Annually		—
148	STS/006 (NSI)	The percentage of reported fly tipping incidents cleared within 5 working days.	72.06%	67.67	95.26% 21 st	Reported Annually		—

Note: Indicator STS005b (indicator 146 above) whilst achieving 16th position across Wales, NPT are placed in the lower quartile as not all Local Authorities provided data

Section 3: Compliments and Complaints

2016/2017– Quarter 1 (1st April 2016 – 30th June 2016) – Cumulative data

	Performance Key
↑	Improvement : Reduction in Complaints/ Increase in Compliments
↔	No change in the number of Complaints/Compliments
v	Increase in Complaints but within 5%/ Reduction in Compliments but within 5% of previous year.
↓	Increase in Complaints by 5% or more/ Reduction in Compliments by 5% or more of previous year.

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CHIEF EXECUTIVE'S AND FINANCE (Policy & Resources Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
1	<u>Total Complaints - Stage 1</u>	29	7	6	↑
	a - Complaints - Stage 1 upheld	9	2	2	
	b -Complaints - Stage 1 <u>not</u> upheld	16	3	4	
	c -Complaints - Stage 1 partially upheld	4	2	0	

CHIEF EXECUTIVE'S AND FINANCE (Policy & Resources Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
2	<u>Total Complaints - Stage 2</u>	3	1	2	↓
	a - Complaints - Stage 2 upheld	0	0	0	
	b - Complaints - Stage 2 <u>not</u> upheld	2	1	2	
	c- Complaints - Stage 2 partially upheld	1	0	0	
Page 38	<u>Total - Ombudsman investigations</u>	0	0	0	↔
	a - Complaints - Ombudsman investigations upheld	0	0	0	
	b - Complaints - Ombudsman investigations <u>not</u> upheld	0	0	0	
4	Number of Compliments	226	54	41	↓
5	<p>Stage 1 - Complaints have decreased by 1 compared to same quarter last year. There was 2 upheld complaints one which related to Council Tax discount and an error made in providing information to the complainant, an apology was given and employees have been reminded of the need to verify information in the future, the other relates to Benefits and how communication with a landlord was unsatisfactorily dealt with, again an apology was given and further discussions have taken place with the employee. 4 complaints that were not upheld, 2 related to Council Tax and 2 for Benefits.</p> <p>Stage 2 - Complaints have increased by 1 compared to same quarter last year, the 2 received were both not upheld.</p> <p>Compliments - A total of 41 compliments were received for the first quarter this year which was a slight decrease in the same quarter last year. Mainly due to staff being helpful, understanding and efficient in most of the services listed:- 2 for Customer Services, 11 for Communications (website compliments), 3 for Council Tax, 1 for Insurance, 1 for Benefits, 6 for Community Safety and 17 for Crucial Crew (excellent training courses).</p>				

EDUCATION, LEISURE & LIFELONG LEARNING (Economic and Community Regeneration Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
1	<u>Total Complaints - Stage 1</u>	544	535	1	↑
	a - Complaints - Stage 1 upheld	481	481	0	
	b -Complaints - Stage 1 <u>not</u> upheld	63	54	1	
	c -Complaints - Stage 1 partially upheld	0	0	0	
2	<u>Total Complaints - Stage 2</u>	1	0	1	↓
	a - Complaints - Stage 2 upheld	0	0	0	
	b - Complaints - Stage 2 <u>not</u> upheld	1	0	1	
	c- Complaints - Stage 2 partially upheld	0	0	0	

EDUCATION, LEISURE & LIFELONG LEARNING (Economic and Community Regeneration Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
3	<u>Total - Ombudsman investigations</u>	1	0	1	↓
	a - Complaints - Ombudsman investigations upheld	0	0	0	
	b - Complaints - Ombudsman investigations <u>not</u> upheld	1	0	1	
Page 140	Number of compliments	3	0	0	↔
5	<p>Summary</p> <p>Stage 1:- 2016/17 has seen a significant DECREASE in the number of complaints received when compared to 2015/16 first quarter, from 535 to 1. This is partly due to work undertaken by staff across the Directorate in particular at Margam Park.</p> <p>Stage 2 :- 2016/17 has seen the number of complaints rise by 1 when compared to 2015/16 first quarter. This complaint concerned the library service in Neath Port Talbot and the public consultation process but was not upheld.</p> <p>Ombudsman:- One complaint was escalated to the Ombudsman but was not upheld.</p> <p>Compliments:- The number of compliments has remained at zero.</p>				

EDUCATION, LEISURE & LIFELONG LEARNING
 (Children, Young People and Education Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
1 Page 141	<u>Total Complaints - Stage 1</u>	8	2	0	↑
	a - Complaints - Stage 1 upheld	0	0	0	
	b -Complaints - Stage 1 <u>not</u> upheld	8	2	0	
	c -Complaints - Stage 1 partially upheld	4	0	0	
2	<u>Total Complaints - Stage 2</u>	4	2	0	↑
	a - Complaints - Stage 2 upheld	0	0	0	
	b - Complaints - Stage 2 <u>not</u> upheld	3	2	0	
	c- Complaints - Stage 2 partially upheld	1	0	0	

EDUCATION, LEISURE & LIFELONG LEARNING (Children, Young People and Education Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
3	<u>Total - Ombudsman investigations</u>	3	0	1	↓
	a - Complaints - Ombudsman investigations upheld	1	0	0	
	b - Complaints - Ombudsman investigations <u>not</u> upheld	2	0	0	
Page 142	Number of compliments	2	0	3	↑
5	<p>Summary</p> <p>Stage 1:- quarter 1 2016/17 has seen a decrease in the number of complaints received when compared to 2015/16 first quarter, from 2 to zero. This is partly due to work undertaken by staff across the Directorate.</p> <p>Stage 2 :- quarter 1 2016/17 has seen a decrease in the number of complaints received when compared to 2015-16 first quarter, from 2 to zero. This is partly due to work undertaken by staff across the Directorate.</p> <p>Ombudsman:- One complaint was escalated to the Ombudsman but was not upheld, which relates to a complaint made in December 2015.</p> <p>Compliments:- The number of compliments has increased to 3 from zero when compared to 2015/16 first quarter.</p>				

SOCIAL SERVICES, HEALTH AND HOUSING (Children's Services)

(Children, Young People and Education Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
1 Page 143	<u>Total Complaints - Stage 1</u>	27	6	9	↓
	a - Complaints - Stage 1 upheld	5	2	2	
	b - Complaints - Stage 1 <u>not</u> upheld	13	3	1	
	c - Complaints - Stage 1 partially upheld	3	1	1	
	d - Complaints - Stage 1 other (incl. neither upheld/not upheld; withdrawn; passed to other agency; on-going)	6	0	5	
2	<u>Total Complaints - Stage 2</u>	1	1	1	↔
	a - Complaints - Stage 2 upheld	0	0	0	
	b - Complaints - Stage 2 <u>not</u> upheld	0	0	1	
	c - Complaints - Stage 2 partially upheld	1	1	0	

SOCIAL SERVICES, HEALTH AND HOUSING (Children's Services)
(Children, Young People and Education Cabinet Board)

No	<i>PI Description</i>	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
3 Page 144	<u>Total - Ombudsman investigations</u>	0	0	0	↔
	a - Complaints - Ombudsman investigations upheld	0	-	-	
	b - Complaints - Ombudsman investigations <u>not</u> upheld	0	-	-	
	Number of Compliments	25	4	4	↔
5	<p>Summary Stage 1 – there has been an increase in the number of complaints received during the 1st quarter 2016/17 (when compared to 2015/16) from 6 to 9 (50%); the first quarter, in particular April, saw a rise in the numbers. The Complaints Team will monitor forthcoming quarters to ascertain any trends.</p> <p>Stage 2 – these have remained at the same level as the previous year; there continues to be a stronger emphasis on a speedier resolution at 'local' and 'Stage 1' levels.</p> <p>Compliments – the number of compliments has remained the same; this can be attributed to a lack of reporting from services receiving praise and thanks. The Complaints Team will continue to raise the profile for the need to report such incidences.</p>				

SOCIAL SERVICES, HEALTH AND HOUSING (All Services except Children's Services)
(Social Services, Health and Housing Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
1 Page 145	<u>Total Complaints - Stage 1</u>	30	7	10	↓
	a - Complaints - Stage 1 upheld	7	3	2	
	b - Complaints - Stage 1 <u>not</u> upheld	13	3	1	
	c - Complaints - Stage 1 partially upheld	4	1	1	
	d - Complaints - Stage 1 other (including withdrawn, passed to other agency, on-going)	6	0	6	
2	<u>Total Complaints - Stage 2</u>	4	0	0	↔
	a - Complaints - Stage 2 upheld	0	0	0	
	b - Complaints - Stage 2 <u>not</u> upheld	1	0	0	
	c- Complaints - Stage 2 partially upheld	2	0	0	
	d- Complaints - Stage 2 other	0	0	0	

SOCIAL SERVICES, HEALTH AND HOUSING (All Services except Children's Services)

(Social Services, Health and Housing Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
3	<u>Total - Ombudsman investigations</u>	0	0	0	↔
	a - Complaints - Ombudsman investigations upheld	0	0	0	
	b - Complaints - Ombudsman investigations <u>not</u> upheld	0	0	0	
Page 146	Number of Compliments	20	3	1	↓
5	<p>Summary</p> <p>Stage 1 – there has been an increase in the number of complaints received during the 1st quarter 2016/17 (when compared to 2015/16) from 7 to 10 (43%); the first quarter, in particular April, saw a rise in the numbers. The Complaints Team will monitor forthcoming quarters to ascertain any trends.</p> <p>Stage 2 – there were no Stage 2 complaints in the first quarter; there continues to be a stronger emphasis on a speedier resolution at 'local' and 'Stage 1' levels.</p> <p>Compliments – the number of compliments has decreased; this can be attributed to a lack of reporting from services receiving praise and thanks. The Complaints Team will continue to raise the profile for the need to report such incidences.</p>				

ENVIRONMENT DIRECTORATE
(Economic and Community Regeneration Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
1 Page 147	<u>Total Complaints - Stage 1</u>	3	0	1	↓
	a - Complaints - Stage 1 upheld	0	0	0	
	b -Complaints - Stage 1 <u>not</u> upheld	3	0	1	
	c -Complaints - Stage 1 partially upheld	0	0	0	
2	<u>Total Complaints - Stage 2</u>	15	2	2	↔
	a - Complaints - Stage 2 upheld	0	0	0	
	b - Complaints - Stage 2 <u>not</u> upheld	15	2	2	
	c- Complaints - Stage 2 partially upheld	0	0	0	

ENVIRONMENT DIRECTORATE
(Economic and Community Regeneration Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
3	<u>Total - Ombudsman investigations</u>	0	0	0	↔
	a - Complaints - Ombudsman investigations upheld	0	0	0	
	b - Complaints - Ombudsman investigations <u>not</u> upheld	0	0	0	
Page 148	Number of Compliments	5	2	0	↓
5	Welsh Language - There were NO complaints in relation to the Welsh Language.				

ENVIRONMENT DIRECTORATE
(Environment & Highways Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
1	<u>Total Complaints - Stage 1</u>	31	0	8	↓
	a - Complaints - Stage 1 upheld	15	0	1	
	b -Complaints - Stage 1 <u>not</u> upheld	16	0	7	
	c -Complaints - Stage 1 partially upheld	0	0	0	
2	<u>Total Complaints - Stage 2</u>	5	2	1	↑
	a - Complaints - Stage 2 upheld	2	0	0	
	b - Complaints - Stage 2 <u>not</u> upheld	3	2	1	
	c- Complaints - Stage 2 partially upheld	0	0	0	

ENVIRONMENT DIRECTORATE
(Environment & Highways Cabinet Board)

No	PI Description	Full year 2015/16	Quarter 1 2015/16	Quarter 1 2016/17	Direction of Improvement
3	<u>Total - Ombudsman investigations</u>	0	0	1	↓
	a - Complaints - Ombudsman investigations upheld	0	0	0	
	b - Complaints - Ombudsman investigations <u>not</u> upheld	0	0	1	
Page 150	Number of Compliments	23	5	31	↑
5	<p>Summary</p> <p>Complaints: The increase in the number of Stage 1 complaints for Quarter 1 is due to increased recording</p> <p>Compliments: The awareness of compliments received and recording them has resulted in an increase. In addition, social media compliments have also been included in these figures.</p> <p>Welsh Language – There was one Welsh Language complaint reported during the 2015-16 financial year which was not upheld</p>				

NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

POLICY AND RESOURCES CABINET BOARD

21st September 2016

REPORT OF THE HEAD OF CORPORATE STRATEGY AND DEMOCRATIC SERVICES – K.JONES

SECTION A- MATTER FOR MONITORING

WARDS AFFECTED - ALL

Corporate Governance Improvement Action Plan – April - August Progress Report 2016-2017

Purpose of Report

To provide Members with an update on progress made on the Corporate Governance Improvement Action Plan (Appendix 1) for the period April – August 2016. The action plan reflects the governance issues identified in the Council’s Annual Governance Statement for 2015-16. This action plan also incorporates the outstanding actions from the Wales Audit Office Corporate Assessment report: “Neath Port Talbot Annual Improvement Report, incorporating the Corporate Assessment Report 2014, November 2014.”

Executive Summary

The Corporate Governance Group continues to oversee the improvement work identified in the Corporate Governance Improvement Action Plan to ensure the Council’s processes and procedures enable the Council to carry out its functions effectively. During the period April – August 2016, good progress has been made on most of the improvement work contained within the action plan. However, there has been a delay in taking some improvement actions forward due to pressures of other work which has needed to have priority.

Background

The Annual Governance Statement describes the Council’s governance arrangements and the controls we employ to manage the risks of failure

to achieve strategic objectives. The Annual Governance Statement forms part of the Annual Statement of Accounts and provides a public statement of the extent to which the Council complies with the Code of Governance.

Progress:

During the period, good progress has been made across a number of the areas of improvement work contained within the action plan.

This has included:

- The issuing of revised guidance for both business plans and service report cards to further strengthen and improve our performance management processes.
- The roll-out of the new performance appraisal process across the Council.
- Continuing the roll-out of Modern Gov.
- Continuing to strengthen and improve the Council's Corporate Risk Management processes.
- Rolling out data protection training across the Council.
- Making arrangements to ensure the Council meets the requirements of the Wellbeing of Future Generations (Wales) Act 2015.
- Undertaking the review of the Workforce Strategy Collective Agreement.

There are some areas where progress has been slower due to a number for reasons including capacity and this will be addressed during the next period. This includes:

- Updating the Council's Property Asset Management Plan
- The production of revised equalities guidance to incorporate examples of good practice for data collection and data sources.

Financial Appraisal

The progress described was delivered against a challenging financial backdrop.

Equality Impact Assessment

The Equality Act 2010 requires public bodies to “pay due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act;
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and
- Foster good relations between persons who share relevant protected characteristics and persons who do not share it.”

As the focus is a progress report, there is no requirement to undertake an equality impact assessment.

Workforce Impact

The progress described was delivered as the Council saw a further downsizing of its workforce by a further 197 employees during 2015-2016.

Legal Impact

This progress report is prepared under the Local Government (Wales) Measure 2009 and discharges the Council’s duties to “make arrangements to secure continuous improvement in the exercise of its functions”.

Risk Management

The Council also has a general duty under the local Government (Wales) Measure 2009 to “make arrangements to secure continuous improvement in the exercise of its functions”. In discharging this overall responsibility, the Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, including arrangements for the management of risk. Failure to monitor progress on the action plan may lead to the Wales Audit Office making statutory recommendations the Council would be obliged to address.

Consultation

There is no requirement for external consultation on this item.

Recommendations

It is recommended that Members note the progress made on the Corporate Governance Improvement Action Plan for the period April – August 2016 attached at Appendix 1.

Appendices

Appendix 1 – Corporate Governance Group Improvement Action Plan 2016-17

List of Background Papers

Annual Governance Statement 2015-16 (Audit Committee 23.09.16)

Officer Contact

Mrs Karen Jones, Head of Corporate Strategy and Democratic Services.
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Ms Caryn Furlow, Corporate Policy, Performance & Partnerships Manager. Tel 01639 763242, e-mail: c.furlow@npt.gov.uk

Corporate Governance Improvement Action Plan 2016-2017

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
G1	Corporate Performance Management Framework	<ul style="list-style-type: none"> further embed the business planning and service report card arrangements 	KJ	Mar 17	On-going. Revised guidance issued for 2016/2017 taking on board the proposals for improvement in WAO report. Business Plans and Service Report Cards being presented to Cabinet / Scrutiny Committees. On-going support being provided.	Green
		<ul style="list-style-type: none"> complete Member training on scrutiny of service report cards 	KJ	July 16	Completed. Steve Barry (WAO) will provide feedback to Corporate Management Group (September). Positive feedback received from Members.	Green

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
		<ul style="list-style-type: none"> complete the roll-out of new performance appraisal process across the Council 	SR	Mar 17	On-going. New process has been rolled out and Human Resources receiving feedback from teams. Checks will be made to ensure staff are receiving appraisals. Review scheduled at end of March 17.	Green
		<ul style="list-style-type: none"> review the outcomes of the workforce planning process in business plans to identify any corporate issues that require a corporate response 	SR	Oct 16	On-going. There are some key themes arising from the information contained in Business Plans. These will be looked at in further detail when all business plans have been reported to relevant Cabinet Boards along with other sources of information including Welsh language and equalities.	Green

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
G2	Modernise and Strengthen Democratic Services	<ul style="list-style-type: none"> address the remaining issues raised by Members in the survey undertaken during 2014-2015 	KJ	May 17	On-going. The focus of work is on the development of the Member Induction Programme for May 17.	Green
		<ul style="list-style-type: none"> initiate roll-out of workflow functions of Modern Gov to ensure consistency in the way reports are administered and realise efficiency savings 	KJ	Dec 16	On-going. The next phase - Report Flow Management is currently being rolled out.	Green
		<ul style="list-style-type: none"> roll-out the Modern Gov application to more Members in line with the revised ICT Scheme for Members 	KJ	Dec 16	On-going. To date 45 Members have indicated they would like to take up Modern Gov.	Green

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
G3	Corporate Risk Management	<ul style="list-style-type: none"> implement work plan for Audit Committee to discharge their role contained within the Corporate Risk Management Policy and as contained in the Audit Committee Terms of Reference 	DR	Sept 16	On-going. A paper on the role was provided to the last Audit Committee and training for those members is planned in Sept. An initial review has been included in in the 16/17 Audit Plan	Green
		<ul style="list-style-type: none"> undertake post-implementation review of the Corporate Risk Management Policy to identify any changes required to the process 	DR	Nov 16	Not yet started – This will commence following the above initial review undertaken by Internal Audit.	Green
G4	Regional collaborative arrangements	<ul style="list-style-type: none"> continue to strengthen scrutiny arrangements by identifying areas for work programmes for the 2016-17 civic year. 	KJ	Oct 16	On-going and awaiting WG announcements in the Autumn	Green

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
G5	Information Commissioner's Audit action plan	<ul style="list-style-type: none"> complete roll-out of Data Protection training across the Council 	SJ	March 17	On-going. On-line training is being rolled out. Email to be issued to Heads of Service to remind staff to undertake training. Management information to be provided to Corporate Governance Group to review take-up.	Green
G6	Information Strategy	<ul style="list-style-type: none"> finalise the Council's Information Strategy and communicate this to all staff 	SJ	Oct 16	On-going. Strategy is complete. Head of IT to circulate to Corporate Governance Group for information.	Green

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
		<ul style="list-style-type: none"> provide an annual report on information management and information governance matters to members to enable them to evaluate performance and the effectiveness of arrangements 	SJ	Oct 16	On-going. Head of IT and Head of Legal Services to prepare report for Corporate Directors and Members.	Green
G7	Decision making	<ul style="list-style-type: none"> review the mechanisms for recording decisions taken by officers under delegated authority. 	DM	March 17	Awaiting sight of proposals for the amendment of local authority constitutions which are due in September.	Green

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
G8	Wellbeing of Future Generations (Wales) Act 2015	<ul style="list-style-type: none"> ensure the Council's planning and partnership arrangements comply with the requirements of the Wellbeing of Future Generations (Wales) Act 2015 	KJ	Sept 16	On-going. Work is underway to ensure the Council meets the requirements of the Act. Kate Carr, Director for Partnerships, Engagement and Communications from the Future Generations Commissioner's office is attending Corporate Management Group in September and an invite has been made to Sophie Howe (Commissioner) to attend a Members' Seminar in the Autumn. Action plans to amend the Council's Community Planning and Corporate Planning Processes have been established.	Green

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
G9	Workforce Strategy Collective Agreement	<ul style="list-style-type: none"> complete the scheduled review 	SR	Oct 16	On-going. To be reported to Members in October.	Green
G10	Asset Management	<ul style="list-style-type: none"> ensure the Strategic Asset Management Group is operational 	SB	on-going	The group has met and will meet again in Sept/Oct	Green
		<ul style="list-style-type: none"> make progress on updating the Council's: <ul style="list-style-type: none"> i) Property Asset Management Plan 	SB	Nov 16	On-going. An officer is now covering asset management and is currently working on the first draft	Green
		<ul style="list-style-type: none"> ii) ICT Asset Management Plan 	SJ	Dec 16	On-going. The scope of the plan is currently being considered and will be discussed with the WAO.	Green

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
G11	Equalities	<ul style="list-style-type: none"> ensure support is available for those officers completing complex and complicated Equality Impact Assessments 	KJ	Mar 17	On-going. Support continues to be provided. Recent examples include the support provided on the completion of the E.I.A. for residential care proposals.	Green
		<ul style="list-style-type: none"> revise associated guidance to incorporate examples of good practice for data collection, data sources 	KJ	Oct 16	Work to start in September. Responses to the Welsh Language Commissioner and work to implement the Welsh Language Standards has taken priority over this work	Red

Key Improvement Area		Action	Lead Officer	Timescale	Progress April – August 2016	RAG Status
G12	Welsh Language	<ul style="list-style-type: none"> ensure the systems established to implement the Welsh Language Standards are robust 	KJ	Mar 17	On-going. Additional evidence to support the challenge has been submitted and now awaiting response. The Welsh Language Officers' Group has been re-established to ensure compliance with the Standards accepted by the Council is secured.	Green

JOINT RESILIENCE COMMITTEE

(Committee Room 3 - Port Talbot Civic Centre)

Members Present:

30 October 2015

**Neath Port Talbot
County Borough
Council:** **Councillors** R.G.Jones, Mrs.S.M.Penry and
A.N.Woolcock (Chairperson)

**City and County of
Swansea:** **Councillors** D.W.Cole

Officers in Attendance:

**Neath Port Talbot
County borough
Council:** S.Burgess and Mrs.J.Woodman-Ralph

Apologies for Absence:

Councillors: Mrs. D.Jones and D.G.Sullivan

Officers: Mrs.S.Rees and M.Nicolls

1. **APPOINTMENT OF CHAIRMAN (2015/2016) (NEATH PORT
TALBOT CBC)**

RESOLVED: that Councillor A.N.Woolcock (Neath Port Talbot
County Borough Council) be appointed
Chairperson for municipal year 2015/16.

2. **APPOINTMENT OF VICE-CHAIRMAN (2015/2016) (CITY AND
COUNTY OF SWANSEA)**

RESOLVED: that Councillor D.W.Cole (City and County of
Swansea) be appointed Vice Chairperson for
municipal year 2015/16.

3. **MINUTES OF THE JOINT RESILIENCE COMMITTEE HELD ON THE 1 MAY 2015**

The minutes of the Joint Resilience Committee held on the 1st May, 2015 were received and noted as a true and accurate record.

4. **NEATH PORT TALBOT & CITY AND COUNTY OF SWANSEA RISK ASSESSMENTS (PRESENTATION)**

Mr.S.Burgess gave Members a demonstration on the Neath Port Talbot and City and County of Swansea Risk Register.

Members noted that there are 84 risks contained in the register. Mitigating measures had been put in place for all the risks contained in the register including Major Incident Plans that were in place in both authorities. It was confirmed that the register is accessible via the DRAGON system which Members are able to view.

Members identified the need to include the new Port Talbot Periphery Distributor Road (PDR) and an update had been received from Natural Resources Wales (NRW) in regard to flooding which also needed to be included in the final version of the Risk Register.

RESOLVED: That the Neath Port Talbot and City and County of Swansea Risk Register be approved subject to the two amendments being included in the final version of the Risk Register.

5. **PUBLIC FACING REGISTER (PRESENTATION)**

Members received a presentation on the Public Facing Risk Register which is made available to the general public on the website.

RESOLVED: that the Public Facing Risk Register be approved.

6. **ACCESS TO MEETINGS**

At this point in the meeting the Chair agreed to move into Private Session.

RESOLVED the pursuant to Section 100A (4) and (5) of the Local Government Act 1972, the public be excluded for the following item of business which involved the likely disclosure of exempt information as defined in Paragraph 14 of Part 4 of Schedule 12A to the above Act.

7. **COMAH SLA/RECHARGES (PRESENTATION)**

Members discussed the legislation that allows local authorities to re-charge COMAH operators that are involved in the Control of Major Accidents Hazards (COMAH) exercises. The current level of suggested charges contained in the Service Level Agreement (SLA) was out for consultation with operators involved.

RESOLVED: that the Service Level Agreement after consultation be approved for signing.

Committee resolved into Open Session

8. **REPORT CARDS AND OBJECTIVES - UPDATE**

Members received an update on report cards which identify performance on key priority areas that were contained in the section business plan which was monitored by the Policy and Resources Scrutiny Committee. Report Cards will also be an agenda item for the Joint Resilience Committee and would be circulated with the agenda prior to the meeting.

The duplication in plans is currently being reviewed between the two authorities to ascertain whether joint plans could be developed in future. COMAH template is being re-designed to try to make it more manageable. Silver training has been delivered in Swansea which was very successful and will be undertaken in Neath Port Talbot shortly.

RESOLVED: that the verbal update be noted.

9. **JOINT RESILIENCE UNIT - UPDATE**

Members received the report of the Health, Safety & Joint Resilience Manager re: Joint Resilience Unit – Update which gave an overview of the key resilience challenges facing both Councils, to explain how these challenges are currently being addressed and to provide an insight into the wider resilience framework which exists at a local, regional and national level.

Members confirmed that the City Safe Plans and Activities should remain being known as ‘City Evac’.

It was highlighted that Exercise SPIDER is taking place on the 13th November 2015 in the Towers Hotel, Jersey Marine which was a multi-agency exercise with Flogas, Llandarcy under the COMAH Regulations 2015.

RESOLVED: that the report be noted and for the City Safe Plans and Activities to continue being known as “City Evac”.

10. **FUTURE MEETINGS**

Members received a verbal update from the Health, Safety and Joint Resilience Manager in relation to an invitation to the Joint Resilience Committee to visit the Port Health Authority. Also, for Western Power to be invited to attend a future meeting to undertake a presentation on the measures that were in place to deal with a total power loss.

Members asked if consideration could be given to holding future meetings at other venues.

RESOLVED: that the verbal update be noted and arrangements made for future meetings.

CHAIRPERSON

JOINT RESILIENCE COMMITTEE

(Council Chamber Port Talbot Civic Centre)

Members Present:

15 March, 2016

**Neath Port Talbot
County Borough
Council:**

Councillors Mrs.D.Jones, R.G.Jones,
Mrs.S.M.Penry, A.N.Woolcock and
Mrs.J.Dudley

**City and County of
Swansea:**

Councillors D.W.Cole, T.J.Hennegan, and
G.Sullivan

Officers in Attendance:

**Neath Port Talbot
County borough
Council:**

Mrs.S.Rees, Mr.S.Burgess and Miss G.Cirillo

Apologies for Absence:

Councillors:

Councillors: Mrs.Mary Jones and Mrs.Christine
Richards (City and County of Swansea)

1. **CHAIRPERSON'S ANNOUNCEMENT**

Cllr.A.Woolcock (Chairperson) thanked Members for their attendance today given the postponement of the meeting which was scheduled for 12 February 2016 due to a fatal accident at the M4 Motorway. The Chairperson conveyed his sympathy on behalf of the Committee, to all those involved.

2. **MINUTES OF THE JOINT RESILIENCE COMMITTEE HELD ON 30 OCTOBER 2015**

The Minutes of the Joint Resilience Committee held on 30 October 2015 were received and noted as a true and accurate record.

3. **ACCESS TO MEETINGS**

RESOLVED: that pursuant to Section 100 (A) (4) & (5) of the Local Government Act 1972, the public be excluded from the following items of business which involved the likely disclosure of exempt information as defined in Paragraph 14 of Part 4 of Schedule 12A to the above Act.

4. **COUNTER TERRORISM UPDATE**

Members received an overall Quarter 3 Report update on the work of the Joint Resilience Unit (JRU) as detailed below.

Members noted that approval was sought to implement 3 projects “Stay Safe, - Run, Hide, Tell”, Project Argus and Project Griffin as detailed within the private circulated report.

Stay Safe – Run Hide Tell

Officers explained to Members that this project relates to actions that could be taken by individuals or groups in the event of a weapons attack by one or more people on a building (Marauding Terrorist Firearms Attack – MTFA) and mirrors the presentation received by Members of the JRC in January 2016. The aim is to provide individuals with information so that in the event of an attack they would be able to “stay safe”.

Members raised their concerns about major incidents and mentioned that this information be extended to Community Councils. Officers confirmed that they would be engaging with Community Councils and Businesses in the process of updating the location of rest centres across the County Borough. It was also confirmed with Members that Sports Centres would also be utilised where appropriate. Following discussions, members requested that an additional recommendation be added to include the engagement and involvement of Members regarding the project.

RESOLVED:

- that the engagement of NPT staff and the provision of information to keep themselves, and others safe in the event of a Marauding Terrorist Firearms Attack (MTFA), be approved.

- that engagement with staff and contractors who have responsibilities within public buildings, owned, managed or supported by NPT e.g. theatres, leisure facilities and libraries, be approved.
- that engagement with staff and contractors who have responsibilities in managing or protecting large open spaces with large footfall frequented by the public e.g. Margam Park (Events), Aberavon Beach, be approved.
- that as an Authority, Neath Port Talbot County Borough Council engage and support its own business community prioritising those who own and/or manage premises with large footfall e.g. Aberavon Shopping centre.
- that engagement of JRU Members, be approved.

Project Argus

Members were informed that Project Argus is a suite of workshop-based events designed to inform and advise senior management in preparing a response to a serious event, such as a terrorist attack in crowded places, e.g. Shopping Centres, Major Events, Health Sector, Night Time Economy, and Hotels, as detailed in the private circulated report.

Members questioned whether the Trade Unions could support training in any way. In response to this Officers confirmed that engagement is ongoing with Trade Unions on the matter and that links had already been made with major stores such as Tesco and Asda.

Following discussions, Members requested that an additional recommendation be added to include City and County of Swansea managers and the engagement of Members in the project.

RESOLVED:

- that the engagement of NPT and CCOS managers and Members be approved.
- that the delivery of workshops in relation to the Council's larger buildings e.g. Civic Centres and The Quays, be approved.
- that the engagement of frontline staff who have duties at the Council's larger publicly accessed buildings, be approved.
- that the engagement of staff tasked with the management of statutory or regulated services e.g. licensing, be approved.
- that the engagement of staff who provide frontline or support to our health and social care provisions, be approved.
- that the engagement as Councils (NPT and CCOS) with WECTU to support our retail and business sectors providing them with up to date, accurate and credible information on current threat, risk and mitigation, be approved.

Project Griffin

Members received an overview of Project Griffin as detailed within the private circulated report, which aims to engage, encourage and enable members of the community to work in partnership with the police to deter, detect and counter terrorist activity and crime. Project Griffin seeks to enlist the help and support of individuals or groups

responsible for the safety and security of buildings, businesses, districts or neighbourhoods.

Following discussions members requested that “ City and County of Swansea” be added to the first recommendation as detailed in the private circulated report.

RESOLVED: that the engagement of staff at Neath Port Talbot County Borough Council and the City and Council of Swansea who have responsibility for the safety and security of buildings or management of neighbourhood (e.g. Rangers), be approved.

that the support to partners who have similar responsibilities both in the public and private sectors e.g. University College Campus’, be approved.

5. **CONTROL OF MAJOR ACCIDENT HAZARDS (COMAH)**

Members noted, that in November 2015, the JRU completed the 3 yearly test and exercise with Flogas, Llandarcy. The exercise successfully tested and validated the Flogas external (off-site) emergency plan as part of statutory duties under the Control of Major Accident Hazard Regulations 2015. As a result of changes to the Regulations, the JRU has worked closely with the local community around Flogas to ensure they are aware of the risks of living and / or working near an upper tier COMAH site, discuss any concerns they may have and ensure they have the latest copies of the Flogas Major Emergency Safety Instructions.

The JRU Manager confirmed that a report had been carried out on this exercise and that this would be forwarded to Members via e-mail for their information.

Other Industrial Matters

Members were informed that the JRU is continuing to engage with partners in terms of risk at other regulated locations. A site north of Swansea has recently had its hazardous range extended and as a result, its borders now envelop some significant infrastructure including part of the M4 motorway. Members also noted that the JRU continues to engage with colleagues from neighbouring authorities to

plan for actions required should the reservoir system at the Brecon Beacons be compromised, as detailed within the circulated report.

Swansea City Centre Plan

Members noted that a task & finish group of all necessary partners is currently being formed to consider the plan and it was confirmed it as an operational document. The current road network of the city centre is changing, therefore, to place the plan in a 'final' document would be premature, and it will remain as a 'live' document whilst works are ongoing in this area.

Counterterrorism exercises and inputs from the JRU and WECTU working in partnership also continue to take place. These deliver nationally prepared inputs in terms of threats, and actions to be taken in the event of an incident.

Building Security and Business Continuity

Members noted that the JRU has been supporting the CCoS Facilities Team to plan for partial or full movement of resources from the Civic Centre. With the closure of Penllergaer Civic Centre and the displacement of staff to other venues, this work is key to ensuring that with a reduced estate, impact on sites can be minimised. It was also noted that the JRU had been working successfully in partnership with South Wales Police regarding a demonstration and IT issues illustrating positive engagement with partners.

Major Accident and Hazard Pipelines

Officers updated members of a review which had been undertaken of the plans for the National Transmission System High Pressure natural gas pipelines as detailed in the private circulated report. The plans cover the main transmission pipelines across both Council areas as well as the UK T28 from Milford Haven to Gloucester. A similar review had been taken for the pipeline feeding the GE Power Station at Baglan Energy Park.

Business Continuity

Officers informed Members that the revised BC process continues to roll out across the Councils with CCoS's Education and Social Services entering the staff consultation stage. It is hoped that if successful, the process can be rolled out to all services later this year.

Flooding Update

Members were made aware of a number of flood warnings across both Council areas as outlined in the circulated report. Partners were placed on stand-by should there have been a need for an evacuation process to take place.

Other Areas of Engagement

Members received a brief update regarding the JRU engaging with the CCoS project to reduce the use of paper within the Council and transfer processes onto electronic resources. The Unit is providing advice on relevant business continuity and resilience matters. There is also ongoing work with ABMU regarding exercising their plans for major hospitals in the area, and the Joint Resilience Unit is working with Swansea University in relation to their current emergency plans (displacement of people from their campus and accommodation/rest centres) and future emergency plans (e.g. Gower Chemicals).

RESOLVED: that the report be noted.

6. DATE OF NEXT MEETING

To be confirmed.

CHAIRPERSON

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MARGAM JOINT CREMATORIUM COMMITTEE

(Acting with Plenary Powers))

Members Present:

22 January 2016

Chairperson: Cllr.E.V.Latham

**Representing Neath
Port Talbot County
Borough Council:** Councillors R.G.Jones, and A.Taylor

**Representing
Bridgend County
Council** Councillors Mrs. P.James and M.Reeves

**Officers in
Attendance:** H.Jenkins, D.Michael, S.Brennan, C.Phillips,
Mrs.A.Dixon and Mrs.J.Woodman-Ralph

1. **MINUTES OF THE PREVIOUS MEETINGS HELD ON THE 25TH
SEPTEMBER 2015**

RESOLVED: that the Minutes of the previous meeting held on the 25th September 2015 be confirmed as a true and accurate record of proceedings.

2. **APPLICATIONS FOR CREMATIONS**

Members received information regarding applications for cremations, for the period 1st July to 31st December 2015.

Members noted that Dr. Llewelyn, Medical Referee will be retiring shortly and asked that a letter be sent to Dr.Llewelyn giving the Committee's best wishes and appreciation.

RESOLVED: that the report be noted.

3. **ANNUAL BUDGET REPORT**

The Treasurer gave an overview of the Margam Crematorium Joint Committee Revised Budget for 2015/16 and the estimate for 2016/17 as detailed in the circulated report.

Members asked that a clearer description be given on the proposed table of Cremation fees and charges for 2016/17 in regard to the cost of additional time for services in the chapel.

Also, whether consideration should be given to setting aside a reserve fund for future repair/replacement of crematorium equipment. The Treasurer to discuss with Auditors and prepare a report for consideration at a future meeting.

Members also requested that a workshop be arranged for February/March to discuss developing a work programme identifying a list of improvement works in priority order and to discuss options for a covered walkway at the crematorium.

Members thanked the Treasurer and Accountant for all the work undertaken in the preparation of the accounts.

- RESOLVED:**
1. that the revised budget 2015/16 be approved;
 2. that the budget for 2016/17 be approved;
 3. that the precept for 2016/17 be levied at:
 - Neath Port Talbot County Borough Council £561
 - Bridgend County Borough Council £439
 4. that approval be granted for the 2016/17 fees as detailed in Appendix 2 of the circulated report;
 5. that the Cremator Project and Reserve position be noted;
 6. that a Workshop be arranged to consider developing a work programme and a covered walkway at the crematorium.

4. **CHRISTMAS MEMORY TREE**

Members received information on the Christmas Memory Tree placed in the Chapel of Remembrance.

It was noted that the Memory Tree was very popular and would be placed in the Chapel of Remembrance on an annual basis.

RESOLVED: That the report be noted

5. **PALM SUNDAY SERVICE OF REMEMBRANCE**

Members received information on the arrangements for the Palm Sunday Service of Remembrance scheduled for Sunday, March 20th 2016 as detailed in the circulated report.

RESOLVED: that the arrangements for the Palm Sunday Service scheduled for Sunday, March 20th 2016 be approved.

6. **OUTCOME OF THE OPEN DAY**

Members were informed of the outcome of the Open Day held in November 2015 as detailed in the circulated report.

The outcome of the Open Day was very positive with an excellent follow up article in the Evening Post and requests made to consider holding another Open Day in future.

Members asked that their appreciation be given to Crematorium staff for all their support on the day.

RESOLVED: that the report be noted.

7. **URGENT ITEM**

Because of the need to deal with the matter contained in Minute No 8 below, the Chairman agreed that this could be raised at today's meeting as an urgent item pursuant to Section 100B(4) (b) of the Local Government Act 1972.

Reason:

Due to the time element.

8. **ICCM RECYCLING OF METALS SCHEME DISTRIBUTION OF SURPLUS FUNDS TO CHARITIES**

Members received an overview of the ICCM Recycling of Metals Scheme Distribution of Surplus Funds to Charities as detailed in the circulated report. It was highlighted that the report is for Decision and not for Information as stated.

After discussion Members agreed that a national death/bereavement related charity should be the selection for this year but in future years local death/bereavement charity/charities would be selected on an alternate basis between Neath Port Talbot County Borough Council and Bridgend County Borough Council.

RESOLVED: that CRUSE be the nominated charity for year 2015/16 for the ICCM Recycling of Metals Scheme Distribution of Surplus Funds to Charities.

9. **ACCESS TO MEETINGS**

RESOLVED: that pursuant to Section 100A(4) and (5) of the Local Government Act 1972, the public be excluded for the following items of business which involved the likely disclosure of exempt information as defined in Paragraphs 12 of Part 4 of Schedule 12A to the above Act.

10. **STAFFING REPORT (EXEMPT UNDER PARAGRAPH 12)**

Members received an overview of Staffing as detailed in the private circulated report.

Members asked that their thanks and good wishes be forwarded to the Deputy Superintendent and Registrar on his retirement at the end of March 2016.

RESOLVED that the report be noted.

CHAIRPERSON

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NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

Policy and Resources Cabinet Board

21st September 2016

Report of the Head of ICT and Corporate Procurement - Stephen John

Section A - Matter for Decision

Wards Affected: All

Extension of the Framework Agreement for the Provision of Multifunctional Devices and Services

Purpose of the Report

1. To seek approval to extend the current Framework Agreement for the provision of multifunctional devices and services (the "Framework") to ensure continuity of supply of the provision of multifunctional devices and services and to allow for the procurement and implementation of a new framework for the provision of multifunctional devices and services (the "Service").

Executive Summary

2. The report seeks authorisation to exclude the requirements of competition, to suspend Rule 2.1 of the Council's Contracts Procedure Rules ("CPRs") and to extend the Framework Agreement.

Background

3. The Framework is a call-off from the Crown Commercial Service Framework for Multifunctional Devices and Services Managed Print Services and Print Audit Services (the "CCS Framework").
4. The Framework commenced on the 1st November 2012 for a period of three years with an option to extend for a further year, such option having been implemented.
5. The due date for the end of the Framework is 31st October 2016.
6. Canon (UK) Limited (the "Framework supplier") is the sole supplier appointed to the Framework.
7. It was anticipated that the Crown Commercial Service (the "CCS") would have their replacement Framework (the "proposed CCS framework") in place upon expiry of the CCS Framework on 31st August 2016.
8. However, at the present time the expected commencement date of the proposed CCS framework is 26th October 2016, which would not allow enough time to award a call-off framework prior to expiry of the Framework.
9. The National Procurement Service (the "NPS") have included the Service in its pipeline for an All Wales Framework (the "proposed NPS Framework" but the commencement date is not expected until January 2017.
10. Therefore continuity of the provision of the Service is at risk.
11. For the reasons set out below, in order to ensure continuity of supply of the Service, it is necessary to extend the Framework for a period of 6 months from the Framework end date, including an option to extend up to a maximum period of an additional 6 months.
12. The reasons:
 - 12.1 The continuity for the provision of multifunctional devices and services is at risk between the end of the Framework and the commencement date of the proposed CCS Framework.

12.2 Following the award of the proposed CCS Framework and the proposed NPS Framework, time will need to be allowed to undertake potential mini competitions under one of the proposed Frameworks.

12.3 It will be necessary to allow sufficient time for the implementation of a new Framework.

Financial Impact

13. The costs for an extended 6 month period of the Framework are estimated to be in the sum of £135,000.

14. The Council will continue to pay the Framework supplier in accordance with the conditions of contract under the Framework which provides greater certainty of price.

Equality Impact Assessment

15. An Equality Impact Screening Assessment has been undertaken to assist the Council in discharging its Public Sector Equality Duty under the Equality Act 2010. After completing the initial screening assessment it has been determined that this proposal does not require an Equality Impact Assessment.

Workforce Impacts

16. Continuity of the Service is critical to ensure the efficient management and provision of service of all Council service users in relation to the Service.

Legal Impacts

17. From the information set out above the estimated cost of the purchase of the Service will be as follows:

17.1 for the initial period of 6 months: £135,000

17.2 if the option to extend up to a maximum period of a further 6 months is implemented: £270,000

18. Consideration therefore must be given to the requirements of the Public Contract Regulations 2015, which requires that contracts over the value of £164,176 for this particular type of service should be tendered competitively in the Official Journal of the European Union.

19. Rule 33(3) of the Public Contract Regulations 2015 states that term of a framework agreement shall not usually exceed 4 years.

20. Members should note therefore that that these agreements are being entered into without a procurement exercise being undertaken and attention is drawn to the risks of the process of entering into these agreements with no competitive process.

21. Failure to comply with these rules may lead to a claim and the agreement being rendered ineffective by the Courts. Advice from the Cabinet Office is that “the impacts of a successful ineffectiveness claim are clearly very high”. This could involve both the cancellation of current contractual arrangements and/or the threat of a financial penalty determined by the Courts.

22. However, it would be contended that the risk of challenge is somewhat limited here as it is the Council’s intention to utilise the proposed CCS Framework or the proposed NPS Framework for the eventual appointment of a service provider and this exercise will be undertaken at the same time as the extension is to be put in place.

23. In addition, the Council must ensure that suitable contractual arrangements can be put in place for the provision of the Services without delay and to ensure continuity is not disrupted for the Councils’ service users currently using the present Supplier.

24. In addition, the Council must comply with our own internal CPRs which provide that the Council will, whenever possible put a contract of this value out to open tender.

25. Rule 2.1 of the CPRs provides that where the value of the contract is over £50,000 tenders shall be invited using whichever of the tender procedures referenced is deemed appropriate. As part of the Recommendations, an exclusion of the CPRs will be sought.

Risk Management

26. This Report seeks to minimise the risk to the Council by ensuring continuity of the Service pending the Council undertaking a new procurement exercise either through the proposed CCS Framework or the proposed NPS Framework to secure a new Framework for the Service.

Consultation

27. There is no requirement under the Constitution for external consultation on this item.

Recommendations

It is recommended that:

28. That the requirements of competition are excluded and Rule 2.1 of the CPRs is suspended.

29. It is recommended that the Framework is extended for a period of 6 months including an option to extend up to a maximum of a further 6 months to utilise either the proposed CCS Framework or the proposed NPS Framework for the eventual appointment of a contractor or alternatively run its own competitive tender exercise and either of these exercises will be undertaken at the same time as the extension is to be put in place.

Reasons for Proposed Decision

30. To ensure continuity of the provision of the Service pending the implementation of a new Framework.

Implementation of Decision

31. It is proposed for the three day call in period to apply.

Appendices

32. N/A.

Officer Contact

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of the Local Government Act 1972.

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