

Public Document Pack



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County Hall
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Tuesday, 12 January 2021

Dear Councillor

CABINET

You are requested to attend a **Cabinet** meeting to be held at **remotely** on **Wednesday, 20th January, 2021, at 2.00 pm.**

AGENDA

1. Apologies for Absence
2. Declarations of Interest
3. To consider the following reports (Copies attached):
 - i. **Chippenham Mead Play Area Capital Budget** 1 - 8
Division/Wards Affected: All

Purpose: To obtain member approval for the inclusion of a capital budget in 2020/2021 for the Monmouth Chippenham Mead Play Area project.

Author: Mike Moran, Community Infrastructure Coordinator

Contact Details: mikemoran@monmouthshire.gov.uk
 - i. **Fixed Play Assessments and Future Action** 9 - 22
Division/Wards Affected: All

Purpose: To present members with the outcome of the play value assessment of fixed play provision in the county.

To propose a way forward for future fixed play provision in Monmouthshire.

Author: Mike Moran, Community Infrastructure Coordinator

Contact Details: mikemoran@monmouthshire.gov.uk
 - i. **Bus Emergency Scheme (BES) - Request to all Councils to sign up** 23 - 106

to the BES2 Scheme

Division/Wards Affected: All

Purpose: To set out the wider context, background and reasons for the Bus Emergency Scheme (BES) and to seek Cabinet approval for Monmouthshire County Council to sign up to the BES2 scheme. It also sets out Welsh Governments (WG) proposed reform of bus services in Wales and seeks Cabinet support in calling for a further report on proposed bus reform relating to future management of bus services in Wales.

Author: Richard Cope

Contact Details: richardcope@monmouthshire.gov.uk

i. **DRAFT REVENUE BUDGET PROPOSALS 2021/22**

107 -
416

Division/Wards Affected: All

Purpose: To set out draft revenue budget proposals for financial year 2021/22.

To commence a period of consultation on the draft budget proposals for a four-week period to 17th February 2021.

To consider the 2021/22 draft budget proposals within the context of the 4 year Medium Term Financial Plan (MTFP) and the Corporate Plan.

Author: Peter Davies, Chief Officer for Resources

Contact Details: peterdavies@monmouthshire.gov.uk

i. **DRAFT CAPITAL BUDGET PROPOSALS 2021/22**

417 -
446

Division/Wards Affected: All

Purpose: To set out draft capital budget proposals for financial year 2021/22 and the indicative capital budgets for the three years 2022/23 to 2024/25.

To commence a period of consultation on the draft budget proposals for a four-week period to 17th February 2021.

Author: Peter Davies, Chief Officer for Resources

Contact Details: peterdavies@monmouthshire.gov.uk

Yours sincerely,

Paul Matthews

Chief Executive

CABINET PORTFOLIOS

County Councillor	Area of Responsibility	Partnership and External Working	Ward
P.A. Fox (Leader)	<p>Whole Authority Strategy & Direction Lead Officer – Chief Executive</p> <p>CCR Joint Cabinet & Regional Development; Organisation overview; Regional working; Government relations; Public Service Board lead; WLGA lead</p>	<p>WLGA Council WLGA Coordinating Board Public Service Board</p>	Portskewett
R.J.W. Greenland (Deputy Leader)	<p>Enterprise and Land Use Planning Lead Officer – Frances O’Brien Support Officers – Mark Hand, Cath Fallon</p> <p>Local Development Plan; Strategic Development Plan; Economic Resilience and Growth; Town Centre Investment and Stewardship; Development Management and Building Control; Housing Delivery</p>	<p>WLGA Council Capital Region Tourism</p>	Devauden
P. Jordan	<p>Governance and Law Lead Officers – Matthew Gatehouse, Matthew Phillips, Ian Saunders</p> <p>Council & Executive decision making; Constitution review and implementation of change; Law, Ethics & Standards; Audit and Regulatory WAO Relations Support for Elected Members Democracy promotion & citizen engagement Whole Authority Performance; Whole Authority Service Planning & Evaluation Community Hubs and Contact Centre Community Learning Tourist Information / Museums / Theatre / Attractions</p>		Cantref
R. John	<p>Children & Young People and MonLife Lead Officers – Will McLean, Ian Saunders Support Officers – Nikki Wellington, Sharon Randall-Smith, Richard Simpkins</p> <p>Early Years Education</p>	<p>Joint Education Group (EAS) WJEC</p>	Mitchel Troy

	<p>All Age Statutory Education Additional Learning Needs; School Inclusion Post 16 entitlement / offer</p> <p>School standards and Improvement; Education Achievement Service Commissioning Coleg Gwent and University liaison. Leisure / Sport Outdoor education / Duke of Edinburgh Active Travel Countryside / Biodiversity</p>		
P. Jones	<p>Social Care, Safeguarding & Health Lead Officer – Julie Boothroyd Support Officers – Eve Parkinson, Jane Rodgers</p> <p>Children’s Services Fostering & Adoption; Youth Offending Service; Adults Services Whole Authority Safeguarding (children & adults); Disabilities; Mental Health; Health liaison.</p>		Raglan
P. Murphy	<p>Whole Authority Resources Lead Officer – Peter Davies, Frances O’Brien Support Officers – Deb Hill-Howells, Sian Hayward, Tracey Harry, Mark Howcroft</p> <p>Finance; Information technology (SRS); Digital Programme Office Human Resources; Health & Safety; Emergency Planning; Procurement; Land & Buildings (inc. Estate, Cemeteries, Allotments, Farms); Vehicle Fleet / Passenger Transport Unit Property maintenance; Facilities Management (inc. Building Cleaning and Catering all ages)</p>	Prosiect Gwrydd	Caerwent
J. Pratt	<p>Infrastructure and Neighbourhood Services Lead Officer – Frances O’Brien Support Officers – Roger Hoggins, Carl Touhig, Nigel Leaworthy, Mark Hand, Paul Keeble</p> <p>County Roads / Pavements South Wales Trunk Road Agency</p>	SEWTA Prosiect Gwrydd	Goytre Fawr

	<p>Highways Maintenance, Transport, Traffic & Network Management, Car Parks / Illegal Parking Enforcement Whole Authority De-carbonisation Plastic Free Monmouthshire Waste / Recycling / Cleansing Grounds Maintenance Parks & Open Spaces/ Public Conveniences Flood Prevention / Management / SUDs</p>		
S. Jones	<p>Social Justice & Community Development Lead Officer – Frances O’Brien Support Officers – Cath Fallon, David Jones, Ian Bakewell, Mark Hand</p> <p>Rural Deprivation / Isolation; Digital Deprivation Poverty / Disadvantage Homelessness; Supporting People Community Safety / Equality and welsh Language / Public Relations; / Communications / Marketing Trading Standards / Environmental Health; Licensing; Registrars</p>		Llanover

Aims and Values of Monmouthshire County Council

Our purpose

Building Sustainable and Resilient Communities

Objectives we are working towards

- Giving people the best possible start in life
- A thriving and connected county
- Maximise the Potential of the natural and built environment
- Lifelong well-being
- A future focused council

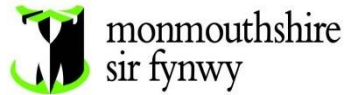
Our Values

Openness. We are open and honest. People have the chance to get involved in decisions that affect them, tell us what matters and do things for themselves/their communities. If we cannot do something to help, we'll say so; if it will take a while to get the answer we'll explain why; if we can't answer immediately we'll try to connect you to the people who can help – building trust and engagement is a key foundation.

Fairness. We provide fair chances, to help people and communities thrive. If something does not seem fair, we will listen and help explain why. We will always try to treat everyone fairly and consistently. We cannot always make everyone happy, but will commit to listening and explaining why we did what we did.

Flexibility. We will continue to change and be flexible to enable delivery of the most effective and efficient services. This means a genuine commitment to working with everyone to embrace new ways of working.

Teamwork. We will work with you and our partners to support and inspire everyone to get involved so we can achieve great things together. We don't see ourselves as the 'fixers' or problem-solvers, but we will make the best of the ideas, assets and resources available to make sure we do the things that most positively impact our people and places.



SUBJECT:	Chippenham Mead Play Area Capital Budget
MEETING:	Cabinet
DATE TO BE CONSIDERED:	20th January 2021
WARDS AFFECTED:	All Wards

1. PURPOSE

To obtain member approval for the inclusion of a capital budget in 2020/2021 for the Monmouth Chippenham Mead Play Area project.

2. RECOMMENDATION

That a capital budget of £111,421 be included in the 2020/21 capital budget to fund the construction of a new play area at Chippenham Mead, Monmouth and that this is funded by a corresponding capital contribution from the S106 balances held by the Council from the Croft-y-Bwla development at Rockfield, Monmouth (Finance Code N563).

3. KEY ISSUES

- 3.1 In 2014 Cabinet agreed to allocate capital funding towards the project for a new play area at Chippenham Mead, Monmouth. The relevant planning application references are DC/2006/00858 and DC/2011/00436.
- 3.2 The funding from the development was received in August 2013, with a use by period of five years. The use by date was extended in June 2017 for a further three years by agreement with Persimmon Homes to August 2021.
- 3.3 During that period the Council has obtained planning permission and village green consent for the new play area and there is currently a detailed design and equipment list out on consultation until the end of this month.
- 3.4 There are three conditions on the planning consent that need to be discharged when the consultation period has ended, relating to the detailed layout and hard and soft landscaping. Once these conditions have been discharged it is proposed to commence the works before the end of March.

4.0 WELL BEING OF FUTURE GENERATIONS IMPLICATIONS (INCLUDING EQUALITIES, SUSTAINABILITY, SAFEGUARDING AND CORPORATE PARENTING)

The EQIA is attached to this report at **Appendix A**. This particular report would only have implications arising from the EQIA if members for some reason decided not to include the funding in the capital budget.

5.0 OPTIONS APPRAISAL

The options available are to not include the funding in the capital budget and either (a) repay it to the developer; or (b) re-allocate it to another as project or to include the funding in the capital budget as proposed in this report.

It is proposed that option 3 is adopted, as the funding was allocated to the Chippenham play area project in 2014.

6.0 EVALUATION CRITERIA

This decision will be evaluated in September 2022, when the new play area has been operational for a full twelve month period. The review will consist of obtaining feedback from users and their families through the use of an on-site questionnaire and obtaining feedback from children that attend the SHEP and open access play provision in the 2021 and 2022 school summer holidays.

7.0 REASONS

- 5.1 To ensure there is enough funding available in the capital budget to cover the costs of reinstatement, landscaping and provision of the new play area.

8.0 RESOURCE IMPLICATIONS

- 8.1 The funding is required to fund the construction of the new play area and associated works. It is currently available in the Council's capital balances and the decision to allocate it to this particular project was made in June 2014.

9.0 CONSULTEES

Cabinet Members

Local Monmouth Members

S106 Working Group

Senior Leadership Team

10.0 BACKGROUND PAPERS

1. Cabinet report approved by members on 4th June 2014
2. Email dated June 2017 from the Managing Director of Persimmon Homes

11.0 AUTHOR

Mike Moran, Community Infrastructure Coordinator

Tel: 07894 573834

Email: mikemoran@monmouthshire.gov.uk



Equality and Future Generations Evaluation

Name of the Officer Mike Moran Tel: 07894 573834 Email: mikemoran@mmonmouthshire.gov.uk	Please give a brief description of the aims of the proposal Chippenham Mead Play Area Capital Budget Upload To obtain member approval for the inclusion of a capital budget in 2020/2021 for the Monmouth Chippenham Mead Play Area project.
Name of Service area MonLife	Date 29 December 2020

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3. **Are your proposals going to affect any people or groups of people with protected characteristics?** Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	The proposals in this report will be of benefit mainly to children in the 0-12 age range and their families	None	N/A
Disability	Neutral	None	N/A
Gender reassignment	Neutral	None	N/A
Marriage or civil partnership	Neutral	None	N/A
Pregnancy or maternity	Neutral	None	N/A

Cabinet Meeting – 20th January 2021

APPENDIX A

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Race	Neutral	None	N/A
Religion or Belief	Neutral	None	N/A
Sex	Neutral	None	N/A
Sexual Orientation	Neutral	None	N/A
Welsh Language	Neutral	None	N/A
Poverty	This funding will benefit children from all local families and enable funding to be prioritised in more income-deprived LSOAs	None	N/A

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4. **Does your proposal deliver any of the well-being goals below?** Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!





Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs	Positive – the limited resources available will be directed at a smaller number of sites to ensure a more sustainable maintenance programme and will also provide opportunities for education through landscapes for learning	Consultation with a range of stakeholders and the local community.


Cabinet Meeting – 20th January 2021

APPENDIX A

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	Positive – the funding will enable a link between play and improvements to the natural environment to improve biodiversity, ecology and pollinators	There are no negative impacts, this report is a request for inclusion of a capital budget to allow works to proceed.
A healthier Wales People’s physical and mental wellbeing is maximized and health impacts are understood	Positive – the proposals will provide a wider range of outdoor activities. The health & well-being benefits of spending time in the outdoors is well-documented	With the budget is uploaded it will facilitate the involvement of a range of stakeholders and the local community in proposed local nature improvements
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Positive – the funding will allow the designation of both neighbourhood and doorstep fixed play areas, all of which will be designed to meet UK and European safety standards	Consultation with local communities to encourage participation in the choice of equipment and landscape proposals to supplement the overall play experience for children and families
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Positive – the funding will enable a greater proportion of natural materials such as sustainable hardwoods which over time will allow disused items to be recycled rather than disposed of via landfill	The use of natural materials will in future be the “first choice” option when selecting new items of play equipment – this could be more expensive than the use of more traditional steel equipment
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	Positive – the funding for fixed play is intended to encourage participation in outdoor recreation	Involvement of children in schools and in the annual playmaker conferences held in each town for all year 5 pupils
A more equal Wales People can fulfil their potential no matter what their background or circumstances	Positive – the proposals are intended in part to address the current inequity of access to quality fixed play opportunities	The proposals will allow the direction of other funding to those areas identified as income-deprived.

3. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>The proposals are part of a plan for the longer term by addressing the current lack of capital and revenue resources to invest in fixed play provision across the county - and to provide a more sustainable long term model that will address identified shortfalls.</p>	<p>The improvements to the Chippenham play area will form part of the establishment of a sustainable model through an initial pilot exercise that can then be rolled out to other locations in the county.</p>
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>The proposal is to involve a number of key stakeholders in mapping out the fixed play landscape and suggesting informed choices on future action.</p>	<p>Widen the scope of the stakeholder group to include more partners and agencies</p>
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>The proposal is to involve the local community and site-specific households in those areas where there are suggestions for change so that local people can contribute to positive outcomes in their locality</p>	<p>The layout and the equipment to be used will be the subject of community consultation</p>
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>There are limited opportunities to attract capital and ongoing revenue investment for fixed play. It is important to adopt a planned approach and to ensure the best use of Welsh Government AWPOG grants and Section 106 funding from new developments in the county.</p>	<p>Identify priorities for investment and work with local “friends groups” on schemes to attract investment through sources such as the national lottery and other funding programmes.</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>The fixed play improvements and the use of landscape features as a means of play area enclosure will encourage children and families to spend more time in the outdoors and should have a positive impact on the health and well-being of local communities</p>	

4. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Social Justice, Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

Page 7	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Social Justice	Enables the council to deliver on an investment commitment dating back to 2014.		Local consultation with local families and other stakeholders.
Safeguarding	N/A		
Corporate Parenting	N/A		

5. What evidence and data has informed the development of your proposal?

- Fixed Play Area Assessments carried out at 110 sites in Monmouthshire in 2019
- Welsh Index of Multiple Deprivation
- Discussion with Welsh Government Play Division and Play Wales

6. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

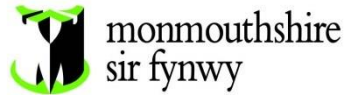
The proposals are intended to assist with the response to significant play value shortfalls in fixed play provision in the county, identified in the independent assessments carried out in 2019 and to establish a more sustainable model for future fixed play provision in the county. These proposals also respond to actions identified in the council’s 2019 play sufficiency action plan. In Monmouth specifically the decision to upgrade the Chippenham Mead play area was taken back in 2014 and the deadline for spending the S106 funding available was extended by two years in consultation with the developers that contributed the money from the Croft-y-Bwla development.

7. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible
Consult locally on the proposals and place orders for new equipment	February/March 2021	Community Infrastructure Coordinator
Consult locally on the re-provisioning and landscape proposals	February/March 2022	Community Infrastructure Coordinator
Apply for capital funding for re-provisioning and landscape work	April/May 2022	Community Infrastructure Coordinator

8. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1.	Cabinet	June 2014	Funding allocated to improve the Chippenham Mead play area
2.	Cabinet	May 2019	Play Action Plan approved by members
3.	Children and Young Peoples Select Committee	8 th December 2020	General support for the proposals
4.	Cabinet	20 th January 2021	To adopt the proposal for a new model of fixed play provision



SUBJECT:	Fixed Play Assessments and Future Action
MEETING:	Cabinet
DATE TO BE CONSIDERED:	20th January 2020
WARDS AFFECTED:	All Wards

1. PURPOSE

- 1.1 To present members with the outcome of the play value assessment of fixed play provision in the county;
- 1.2 To propose a way forward for future fixed play provision in Monmouthshire.

2. RECOMMENDATION that, subject to consultation, the council

- 2.1 rationalises the number of fixed play areas in the county and re-provisions those that are recommended for closure – the opportunities for rationalisation are more likely to occur in the four main settlements;
- 2.2 replaces the current Fields in Trust (FiT) classification in favour of a two-tier classification of Neighbourhood and Doorstep Play Areas and that this is used to rationalise the number of urban-based play areas in the four main towns;
- 2.3. uses this revised classification when assessing layout plans for new residential developments in the county;
- 2.4 carries out a rationalisation of fixed play provision in the town of Monmouth as an initial pilot, which can then be rolled out to the other main settlements;.
- 2.5. in future moves towards the provision of play equipment constructed of more natural materials such as sustainable hardwoods (e.g. robinia), with a greater proportion of accessible equipment.

3. KEY ISSUES

- 3.1 Article 31 of the United Nations Convention on the Rights of the Child (UNCRC) recognises that every child has the right to relax, play and take part in a wide range of cultural and artistic activities. In Wales play is a statutory duty of local authorities set out in Section 11 of the Play Opportunities, Children and Families (Wales) Measure 2010. This legislation is part of the Welsh Government's anti-poverty agenda. Section 11 came into effect fully in 2014 and it requires local authorities to assess and secure sufficient play opportunities for children in their areas.

- 3.2 As part of the legislation councils have a duty to undertake full play sufficiency assessments every three years and to produce an annual play action plan. The current Play Action Plan was approved by Cabinet in May 2019. The action areas outlined in respect of Matter C – Space for Children to Play include:
1. Local environment quality and a wider green infrastructure approach
 2. Community development – supporting and enabling community action
 3. Street play – community training, street closures and play value
 4. Exploring the potential for the use of school grounds to facilitate play
 5. Fixed play
 - a) play value, inclusivity and natural play potential
 - b) rationalisation/improvement of fixed play, based on assessment
 - c) planning guidance (links to LDP), review of play standards
 - d) progress delivery of new enhanced play area at Chippenham
 - e) supporting and enabling community driven play proposals
 - f) consideration of play opportunities in rural areas
- 3.3 The council has a large stock of fixed play areas across the county, which consists of a mix of older play areas - many inherited from predecessor authorities - and newer play areas provided via Section 106 Agreements drawn up and agreed as part of the granting of planning permission for new residential developments. For these newer play areas, the council receives commuted sum payments from developers to cover the estimated costs of maintenance for the first ten to twenty years – but there isn't, and never really has been, a dedicated budget for maintaining the older play area stock.
- 3.4 The classification of play areas in the county is based on the Fields in Trust (formerly National Playing Fields Association) Six Acre Standard and comprises three types of play area as follows:
1. NEAPS (Neighbourhood Equipped Areas for Play) – a larger play area with a wide range of equipment and designed to serve a wider age group;
 2. LEAPS (Local Equipped Areas for Play) – a smaller or mid-size play area designed for the primary school age group;
 3. LAPS (Local Areas for Play) – a small “estate-type” play area with a small amount of equipment and designed for the pre-school age group.
- 3.5 Last year the council, funded by a Welsh Government Play Opportunities Grant, carried out a play value assessment of all its play areas and some play areas owned and/or managed by town and community councils. In total, some

110 play areas were assessed by an independent consultant using the assessment form attached to this report at **Appendix A**.

- 3.6 These assessments were undertaken in line with the actions identified in the Council's play action plan, as set out in para 3.2, and in the knowledge from previous research that fixed play is not the only contribution to play opportunities. In addition to the supervised SHEP and open access play provisions delivered in the school summer holidays there are a number of other opportunities for children's play that can be delivered through green infrastructure initiatives, wild play sessions and creating child-centred settings that encourage children to experiment in their natural environment.
- 3.7 The outcome of the play area assessments is that only three fixed play areas were ranked as "good" (56-84), ten were ranked as "adequate" (29-55) and the rest ranked as "poor" (0-28). The lowest ranking score was 1/84 and the highest was 69/84. The three "top rated" sites in terms of play value were the Usk Playpark, the Bailey Park Play Area and the play area at King George V Playing Field in Caldicot (town council-owned), in that order. A copy of the full list of assessments and individual site reports are available upon request.
- 3.8 It should be stressed that the assessments carried out relate to play value considerations only. The councils fixed play areas are inspected on a regular basis (in most cases weekly) and all of them are safe to use – but they offer little in terms of play value and most if not all are constructed mainly of steel or metal equipment designed for longevity and relative ease of maintenance. Also, a number of the smaller new play areas will have registered a lower score, as they are specifically designed for a younger age group.
- 3.9 It is not considered viable to continue to support 110+ play areas due to the ongoing and increasing costs of maintenance and the lack of an adequate maintenance budget for fixed play. If the recommendations in this report are adopted the council will still use the Fields in Trust Six Acre Standard as an assessment tool for determining standards of public open space provision and will continue to work with Fields in Trust to protect public open spaces in the county – the only change proposed is the move to larger neighbourhood play areas to serve a particular neighbourhood and investment in better provisioned doorstep fixed play provision in income deprived areas within the county. Officers will continue to work with town and community councils and other local organisations that are responsible for some of the fixed play provisions for which they are responsible.
- 3.10 It is not proposed to impose a rigid approach to the new classification and no changes will be made without prior consultation with the relevant local members, town councils, friends groups and local residents. The council has been awarded funding this year from the LP4N (local places for nature) fund to carry out a study in Monmouth to see how some of the smaller play areas there could be re-provisioned and to propose landscape improvements on five existing play areas in the Overmonnow2 LSOA (lower super output area) where 23% of household are income-deprived.

- 3.11 The re-provisioning of play areas could include alternative uses such as community food growing areas (e.g. fruit trees, mini allotments or veg beds), local provenance tree nurseries/mini forests, wildlife nature areas, re-wilded mini meadows that can double up as wild play areas and pollinator planting.
- 3.12 Consultation with the local community on proposed re-provisioning would take place under the banner of the Local Nature Partnership, working with partners such as town councils, the Gwent Wildlife Trust, Natural Resources Wales, local transition and climate change groups, social landlords and local schools. If the process is successful in Monmouth and is rolled out subsequently to other areas then the local stakeholders in each area may be slightly different.

4.0 WELL BEING OF FUTURE GENERATIONS IMPLICATIONS (INCLUDING EQUALITIES, SUSTAINABILITY, SAFEGUARDING AND CORPORATE PARENTING)

The EQIA is attached to this report at **Appendix B**. This highlights the need to prioritise future investment (from S106 and other funding sources) in doorstep fixed play provisions located in income-deprived areas within the county.

5.0 OPTIONS APPRAISAL

Option	Benefits	Disadvantages	Recommendation
Take no action	<ul style="list-style-type: none"> • Easy option – no need to plan anything; • Continue applying for funding as and when it becomes available but with no overall plan 	<ul style="list-style-type: none"> • Does not comply with approved Play Action Plan; • Existing play area stock continues to deteriorate; • Eventual closure of some play areas; 	This option is not recommended as it prolongs an existing problem and stores up more difficult issues for the future.
Proceed with actions and recommendations set out in the report	<ul style="list-style-type: none"> • Complies with approved Play Action Plan; • Creates a more sustainable plan for fixed play in the future; • Provides a template for investment in income deprived communities 	<ul style="list-style-type: none"> • Expenditure is focussed in one area in the first year; • There is a risk that further funding will be delayed or will not materialise 	There is no “quick fix” or easy solution to this long term issue but these recommendations provide a plan for future action and offer a positive long term solution.
Take some other action to address the outcome of the play value assessments	<ul style="list-style-type: none"> • Depends on the alternative(s) chosen 	<ul style="list-style-type: none"> • Depends on the alternative(s) chosen 	

6.0 EVALUATION CRITERIA

This decision will be evaluated via feedback with users at the completion of the works and the position will be reviewed annually when the Play Action Plan is being prepared.

7.0 REASONS

- 7.1 To implement the actions approved by Cabinet in the adopted play action plan
- 7.2 To address the play value shortcomings in the council's stock of fixed play provision, identified in the assessments undertaken in 2019;
- 7.2 To ensure that the council's fixed play areas are placed on a more sustainable footing for the future and to enable better prioritisation of the scarce resources available as and when these arise.

8.0 RESOURCE IMPLICATIONS

- 8.1 The current funding for maintaining play areas (other than those maintained from commuted sum payments provided by developers for the newer sites) comes from the grounds maintenance budget, which is currently under pressure due to limited resources against a background of ever growing demands and community expectations.
- 8.2 Unless action is taken to address the current situation the council could well find itself with a large stock of deteriorating assets, with items of play equipment having to be removed and not replaced.
- 8.3 If there is an agreed rationalisation programme, with priority sites identified for investment when funding does become available then investment decisions can be made on an informed basis.
- 8.4 It is not envisaged that the proposals to improve fixed play provision in the main settlements will create a capital budget pressure in the next four to five years. Once a programme of improvements has been drawn up it is proposed to implement changes using mainly S106 contributions and future Welsh Government AWPOG funding as and when that becomes available. Officers will also support and work with voluntary sector "friends" groups when they make applications for grants from external bodies such as the Community Fund, the National Lottery and the Community Facilities Fund. In terms of the timescale for completing the roll out programme, this will very much depend upon the availability of funding from the sources identified above.
- 8.5 The Council has been allocated £60,000 from AWPOG (All Wales Play Opportunities Grant) to spend on improvements to doorstep play areas in the Overmonnow2 LSOA, namely King's Fee, Goldwire Lane and Hendre Close.

8.6 It is also worth noting that there is currently approximately £400,000 worth of S106 funding reserved for investment in a number of play areas across the county. This includes a sum of £111,000 reserved for the relocated/new play area at Chippenham village green in Monmouth and £130,000 for investment in the community council owned play area at Mardy Playing Field.

9.0 CONSULTEES

Cabinet Members	CYP Select Committee
Local Members	Monmouth Town Council
S106 Working Group	Senior Leadership Team
Section151 Officer	

The CYP Select Committee supported the proposals but some members were concerned about the possible implications of reduced provision on children's development, and expressed dissatisfaction at the reduction of play's budget in recent years. The committee recommended the proposal be taken to cabinet for approval.

10.0 BACKGROUND PAPERS

1. Wales - A Play Friendly Country, 2014 – Welsh Government Statutory Guidance for Local Authorities
2. MCC Play Action Plan approved by Cabinet
3. Play Value Assessment Report – Sport and Leisure Consulting Ltd
4. Detailed list (and results) of the sites included in the assessments
5. Report to Children and Young Peoples' Select Committee – Dec 2020

11.0 AUTHOR

Mike Moran, Community Infrastructure Coordinator

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APPENDIX A

Play Assessment Project for Monmouthshire County Council		
Report By:	Site Name:	Date of Visit:
	Type: (LAP/Local/Destination)	
Contact and Visit By:	Site Address:	

Age Group: 0-6 Years	Score	Age Group: 7-12 Years	Score
Traditional Play Values		Traditional Play Values	
Swinging	0	Swinging	0
Sliding	0	Sliding	0
Rocking	0	Hanging	0
Climbing	0	Climbing	0
Balance	0	Balance	0
Rotating / Spinning	0	Rotating / Spinning	0
Inclusive / Less-abled	0	Inclusive / Less-abled	0
Development Play Values		Development Play Values	
Social Play	0	Social Play	0
Physical and Personal Development	0	Physical and Personal Development	0
Imagination	0	Imagination	0
Sensory	0	Sensory	0
Problem Solving / Educational	0	Problem Solving / Educational	0
Natural Play	0	Natural Play	0
<i>Additional (e.g. Bounce, Zip Wire)</i>	0	<i>Additional (e.g. Bounce, Zip Wire)</i>	0
TOTAL	0/42	TOTAL	0/42
SCORING RESULT: 0/84			
<i>Poor</i>	<i>Adequate</i>		

Other Considerations	General Comments & Observations
Seating Available	
Surfacing	
Access and Location	
Distance to Local/Destination playpark	

Individual Value Result	Score	Total Playground Result	Score
Non-existent	0	Poor	0 – 28
Low	1	Adequate	29 – 55
Medium	2	Good	55 - 84
High	3		

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monmouthshire
sir fynwy

Equality and Future Generations Evaluation

<p>Name of the Officer Mike Moran Tel: 07894 573834 Email: mikemoran@mmonmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>Fixed Play Value Assessments and Future Action</p> <p>To advise members of the outcome of play value assessments carried out on 110 fixed play sites in the county in 2019 and to propose a way forward for a more sustainable model of fixed play provision in the county for the future.</p>
<p>Name of Service area</p> <p>MonLife</p>	<p>Date 18 December 2020</p>

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Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	The proposals in this report will be of benefit mainly to children in the 0-12 age range and their families	Some smaller play areas may be closed as a result of the proposal	Any play areas that are closed will be re-provisioned as local places for nature
Disability	The proposed changes will increase significantly the amount and range of accessible play equipment available	This will give a greater choice of sites for children with disabilities and other mobility issues	
Gender reassignment	Neutral		

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Marriage or civil partnership	Neutral		
Pregnancy or maternity	Neutral		
Race	Neutral		
Religion or Belief	Neutral		
Sex	Neutral		
Sexual Orientation	Neutral		
Welsh Language	The sites improved will enhance Welsh Language provision through signage and interpretation		
Poverty	Most of the sites will benefit children from low income families, as funding will be prioritised in more income-deprived LSOAs		





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2. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales	Positive – the limited resources available will be directed at a smaller number of sites to ensure a more sustainable maintenance programme and will	Consultation with a range of stakeholders and the local community.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
Efficient use of resources, skilled, educated people, generates wealth, provides jobs	also provide opportunities for education through landscapes for learning	
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	Positive – the proposals will provide a link between play and improvements to the natural environment to improve biodiversity, ecology and pollinators	Consultation with/involvement of local communities in the ongoing management of any areas that are re-provisioned as local spaces for nature
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	Positive – the proposals will provide a wider range of outdoor activities. The health & well-being benefits of spending time in the outdoors is well-documented	A key feature of the proposals is the involvement of a range of stakeholders and the local community in the local nature improvements proposed
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Positive – the proposals include the designation of both neighbourhood and doorstep fixed play areas, all of which will be designed to meet UK and European safety standards	Consultation with local communities to encourage family participation in the landscape proposals to supplement the doorstep play opportunities
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Positive – the proposal is to use a greater proportion of natural materials such as sustainable hardwoods which over time will allow disused items to be recycled rather than disposed of via landfill	The use of natural materials will in future be the “first choice” option when selecting new items of play equipment
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	Positive – the proposals for fixed play are intended to encourage participation in outdoor recreation	Involvement of children in schools and in the annual playmaker conferences held in each town for all year 5 pupils
A more equal Wales People can fulfil their potential no matter what their background or circumstances	Positive – the proposals are intended in part to address the current inequity of access to quality fixed play opportunities	Consultation with local families and other stakeholders

3. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>The proposals are intended to plan for the longer term by addressing the current lack of capital and revenue resources to invest in fixed play provision across the county - and to provide a more sustainable long term model that will address the identified shortfalls.</p>	<p>Establish a sustainable model though an initial pilot exercise that can then be rolled out to other locations in the county.</p>
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>The proposal is to involve a number of key stakeholders in mapping out the fixed play landscape and suggesting informed choices on future action – these include the town council, social landlords, action on climate change (ACE), the Gwent Wildlife Trust, NRW and local schools.</p>	<p>Widen the scope of the stakeholder group to include more partners and agencies</p>
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>The proposal is to involve the local community and site-specific households in those areas where there are suggestions for change so that local people can contribute to positive outcomes in their locality</p>	<p>The details of the enhancement scheme will be the subject of community consultation</p>
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>There are limited opportunities to attract capital and ongoing revenue investment for fixed play. By adopting the planned approach recommended in this report it provides a blueprint that can be used for future investments through Welsh Government AWPOG grants and Section 106 funding from new developments in the county.</p>	<p>Identify priorities for investment and work with local “friends groups” on schemes to attract investment through sources such as the national lottery and other funding programmes.</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>The fixed play improvements and the proposal to link play with local spaces for nature will encourage children and families to spend more time in the outdoors and should have a positive impact on the health and well-being of local communities</p>	

4. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Social Justice, Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

Page 21 of 21	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Social Justice	Promotes better standards of provision for fixed play in more income-deprived LSOAs (Lower Super Output Areas)		Involve local families in the proposals. In the pilot area proposed 23% of families are income-deprived
Safeguarding	N/A		
Corporate Parenting	N/A		

5. What evidence and data has informed the development of your proposal?

- Fixed Play Area Assessments carried out at 110 sites in Monmouthshire in 2019
- Welsh Index of Multiple Deprivation
- Discussion with Welsh Government Play Division

6. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

The proposals are intended to respond to significant play value shortfalls in fixed play provision in the county, identified in the independent assessments carried out in 2019 and to establish a more sustainable model for future fixed play provision in the county. These proposals also respond to actions identified in the council's 2019 play sufficiency action plan. In the short term it is intended to initiate a pilot project in Monmouth which will then be evaluated and if necessary refined, before it is rolled out to other communities across the county in the longer term. In Monmouth external grant funding has been accessed to look at the link between play and local nature improvements that should benefit the local community, the local environment and provision for wider community recreation opportunities.

7. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible
Consult locally on the proposals and place orders for new equipment	February/March 2021	Community Infrastructure Coordinator
Consult locally on the re-provisioning and landscape proposals	February/March 2022	Community Infrastructure Coordinator
Apply for capital funding for re-provisioning and landscape work	April/May 2022	Community Infrastructure Coordinator

8. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1.	Cabinet	May 2019	Play Action Plan approved by members
2.	Children and Young Peoples Select Committee	8 th December 2020	General support for the proposals
3.	Cabinet	20 th January 2021	To adopt the proposal for a new model of fixed play provision

SUBJECT: BUS EMERGENCY SCHEME (BES) – REQUEST TO ALL COUNCILS TO SIGN UP TO THE BES2 SCHEME

MEETING: CABINET

DATE: 20th January 2021

DIVISION/WARDS AFFECTED: ALL

1. PURPOSE:

To set out the wider context, background and reasons for the Bus Emergency Scheme (BES) and to seek Cabinet approval for Monmouthshire County Council to sign up to the BES2 scheme. It also sets out Welsh Governments (WG) proposed reform of bus services in Wales and seeks Cabinet support in calling for a further report on proposed bus reform relating to future management of bus services in Wales.

(The contents and recommendations of this report are being mirrored in reports in January to Individual cabinet members or cabinets of 'lead' authorities in Wales (Monmouthshire, Swansea, Powys, Flintshire – i.e. those authorities that administer the payments to the bus operators on behalf of the regions) and also to the remaining 18 authorities albeit the recommendation is amended slightly to reflect support for the lead authorities to continue in their role).

2. RECOMMENDATIONS:

- the authority signs up to the BES 2 agreement (Appendix 2) as regional lead authority to secure (conditional) financial support for the bus sector and to establish a relationship with their constituent local authorities that ensures that the ongoing emergency funding meets those authorities' priorities and is delivered on their behalf.
- That approval of any subsequent amendments to the agreement (Appendix 2) be delegated to the chief officer for Enterprise in consultation with the cabinet member other than where any such amendment alters the impact upon MCC such that the chief officer considers it necessary to refer the matter to Cabinet.
- to call for a further report on bus reform proposals relating to the future management of bus services in Wales.

- To note the contents of a report (specific to MCC – Appendix 3) that describes the background to the role of the regional bus team, provides budget forecasts and job descriptions for the members of the team. *As the establishment of the team is budget neutral in MCC terms this report will be submitted to Enterprise DMT to establish the posts within the staff establishment, however the report also indicates that the team is likely to transfer to employment within the CCR City Deal Office at some point in the future.*

3. KEY ISSUES:

Bus travel across Wales has been severely affected by the Covid-19 pandemic. Passenger numbers have plummeted, whilst social distancing and additional cleansing requirements have placed added burdens and costs on operators.

Subsequently, WG and local authorities (LA) have stepped in to support the sector with substantial financial assistance.

There has also been an excellent, ongoing dialogue between all parties to discuss and agree on support arrangements. Prior to the pandemic, WG had consulted on a range of proposed changes to bus service delivery in Wales and a Bus Bill was to be brought forward during the current Senedd term. However, due to pressures associated with not only the pandemic but also the large volume of legal work generated by Brexit, WG was forced to postpone the planned legislation.

Due to the large amount of public funding that goes into bus services from WG and LAs, WG would like to see the public sector having greater influence over areas such as the networks of services provided, ticketing and integration with rail services. It also sees a greater role for Transport for Wales, which is now responsible for rail services in Wales.

This raises two issues: (i) short term survival of operators and (ii) longer term reform of the sector. WG believes that both these issues are linked and should be considered together. In the short term, the funding to keep operators afloat is being provided with a number of conditions designed to incentivise operators to engage in planned changes that are in line with longer-term ambitions for reform.

The Minister of Economy and Transport and North Wales, Ken Skates MS, has met with Leaders of all 22 LAs, along with his officials, to outline WG's direction of travel. Further details have been included in the Wales Transport Strategy (WTS), currently the subject of consultation.

More recently, the Deputy Minister, Lee Waters MS, met with all Leaders to discuss the WTS but also to encourage LA's to sign up to BES2.

This is the latest phase of financial support to help operators through the period of the pandemic. Leaders have agreed to establish a WLGA Bus Member Group, with a focus on the longer-term proposals to reform the sector's operations. That group includes the WLGA Leader (who is also the WLGA's Transport Spokesperson), the deputy Transport Spokesperson, chairs of the four regional transport bodies and the co-chairs of the WLGA Rural Forum. That Member Group is due to meet with Lee Waters on 18th January 2021.

The problems facing operators were recognised an early stage of the pandemic. Looking ahead, to secure their services for the future, local authorities agreed to continue making payments for contracted services even though many services were initially suspended. Alongside this, WG stepped in to help operators deal with reduced income on commercially operated routes and the additional costs incurred. Initially, WG made £29m available from a Hardship Fund, which operated from April 2020 for three months. This Fund was assembled from monies that would otherwise have been paid via Bus Services Support Grant, Mandatory Concessionary Fare reimbursement and the 'My Travel Pass' scheme.

A Bus Emergency Scheme was subsequently introduced in July to provide ongoing support. This became known as 'BES 1' and it continued to maintain operators' income at known historic levels, based on what was being paid to them under previous grant schemes. In return for this financial support, WG signalled that it expected operators to contribute to a reshaping of bus services in Wales – to include improved regional networks with greater integration with rail services, smart ticketing and timetabling.

BES 1.5' was introduced in August and was administered by the lead Authorities (Monmouthshire Council on behalf of the South East Wales Authorities), through whom BSSG had been paid since 2013. It provided £10m of so-called 'ramp up funding' to support the reopening of schools and economic activity. This funding helped to cover the cost of reinstating services suspended when travel restrictions associated with the pandemic were introduced, which was needed to meet increasing demand due to capacity constraints from social distancing.

BES 1.5 was then extended to the end of March 2021 following the announcement of a further support package in September 2020. Operators were again asked to sign up to a range of terms and conditions to access the funding. To date Welsh Government have made an additional £45m available over and above pre-covid budget allocations.

WG, working with Transport for Wales (TfW), are now proposing to enter into a longer-term BES 2 agreement with operators and local authorities to protect services.

It will operate for an initial maximum term of up to 2 years from the date BES 1.5 commenced (i.e. up until 31 July 2022, unless market conditions recover sufficiently for an operator to no longer require BES support for any of its services whether they be contracted or commercial).

BES 2 will continue to address the loss of farebox revenue and the additional costs associated with responding to the pandemic. Under BES 2, WG funding will sit alongside local authority funding provided through the Concessionary Travel Scheme and via Revenue Support Grant and the Bus Services Support Grant to make up any shortfall.

Welsh Government will be a co-signatory to the BES 2 agreement with bus operators, along with Transport for Wales. Given that the agreement is under discussion between Welsh Government, operators and Transport for Wales as well as local authorities, and must be approved by all parties. However, it is also recognised that it may be subject to some changes before it is finalised. Officers will inform members of any changes to the current draft proposal.

Local authorities retain legal responsibilities for bus services and therefore remain central to determining which local services receive this support. Parties need to sign up to the principle of the agreement and the relationship with their Lead Authority, in ensuring that the ongoing emergency funding meets their priorities and is delivered on their behalf. This will provide the legal basis for WG to make payments to the operators. In this way, WG can use its powers to support operators, whereas the additional funding would breach

local authorities' de minimis limits for direct award contracts. (further details in the briefing note in Appendix 1 and the full proposed Agreement is in Appendix 2).

LA's will retain responsibility for services they currently contract directly with bus operators and will need to consider planning for contingencies, such as if the BES2 agreement is not signed or the level of funding for BES2 is reduced during the period of the agreement.

Therefore the key features of BES2 are:

- Maximum term until 31st July 2022 or until market conditions recover sufficiently for an operator to no longer require support / operators enter into an embedded partnership agreement
- development and delivery of a Reference Network, intended to provide a range of benefits to communities; multi-operator ticketing; and operator sign-up to an Economic Contract at the heart of WG's Economic Action Plan (and its principles of fair work, health, decarbonisation, skills and learning etc)
- long term co-operation and co-ordination across TfW, LAs and operators by entering into partnerships with a clear set of obligations and shared standards
- one agreement per operator in each of the regions that they work in, signed by WG, TfW, a lead authority and the operator
- operators will be allowed to make a (capped) profit on services that has not been possible under emergency funding to date.

Looking beyond BES 2, discussions are starting to take place in relation to the planning of future networks and the respective roles of WG, TfW, LAs and operators. Given the importance of bus services supporting wider Authority and Welsh Government policies, the reference bus network will need to be designed and agreed collectively by WG, TfW and LAs and discussed with operators. An All-Wales Bus Network officer group has been established to progress the thinking around this

It is important to note however that network design and quality standards are not the prime focus of the BES2 agreement. It will be vitally important for further detailed discussions to take place with elected members on these matters.

This however is not considered a reason to delay the signing of the BES 2 agreement. WG and officers of the Council believe that the BES2 offer will help to engage operators in the discussions about the future, at a time when their income is more dependent than ever on public sector support. In signing up to BES 2, Monmouthshire would be agreeing to financial support of the sector. The Council would not however, be committing to any specific future model of bus service management as that will be the subject of further discussions.

4. EQUALITY AND FUTURE GENERATIONS EVALUATION (INCLUDES SOCIAL JUSTICE, SAFEGUARDING AND CORPORATE PARENTING):

The recommendations in this report seek:

- (a) approval to set up the financial arrangements surrounding the ongoing support for public bus transport and,
- (b) call for a further report on bus reform proposals relating to the future management of bus services in Wales.

As such the recommendation (a) is predominantly around the financial agreement to maintain public bus transport for a period of up to 2 years and (b) asks for further information and recommendations be brought forward in a future report.

There are undoubtedly EqIA and Future Regenerations implications surrounding the future provision of public (bus) transport and these will be addressed in a full FGEA as and when any further reports are presented that address the future provision of public bus services.

However in the event of Cabinet (or any other of the South East Wales local authorities) not approving the recommendations of this report then a further report must be prepared to consider what options exist for the future support of public bus operators and the implications of failing to do so.

5. OPTIONS APPRAISAL

Cabinet approves the signing up of the Council to the Bus Emergency Scheme (BES) 2 and supports a call for a further report from Welsh Government on their proposed bus reforms relating to management of services in Wales

The benefit for operators is that a longer term funding agreement will be provided (up to July 2022) that assists planning and continuity of services. The ability to make a profit under the terms of BES 2 will assist future investment. No profit has been allowed in the emergency arrangements up to now.

The benefit for the public sector is that we can jointly better manage the recovery of bus services, whilst maintaining a core public bus network. The likely alternative impact of failing to take action is, as recovery begins, operators will shrink their networks to the routes and services that are commercially viable leaving the public sector to support an even larger subsidised bus service network.

The BES 2 arrangements are therefore seeking to ensure that operators are incentivised to support the recovery of the whole network and not just a limited number of commercial routes.

The public sector is taking the farebox risk under BES 2 and, as farebox levels rise, this revenue will augment the funding available to work with operators to support the recovery of services. This will benefit both sectors in the long term by building passenger confidence in a reliable and comprehensive public transport network.

Although recovery from the impact of the COVID 19 on patronage is likely to be slow, we do not expect operators to stay within the BES 2 arrangements forever. As passenger confidence returns and farebox recovers, we expect operators to exit the BES 2 arrangements and work with us under partnership agreements.

The partnership agreements will be based on agreed core sets of principles and behaviours that will be developed with operators as part of the BES 2 agreement.

The option remains not to support the recommendation. Should this authority (or any other authority in South East Wales region) not support the recommendations then a further report that describes the implications of failing to gain agreement amongst the local authorities and the options that remain for support of the public bus services in the region will be drafted on behalf of the region member authorities. However failure to gain support across Wales will also have implications upon how a national bus strategy will develop and this will also need to be addressed within the report.

6. EVALUATION CRITERIA

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
Operators choose not to sign the BES 2 agreements and instead shrink their networks to the minimum required and/or reduce the quality of their services to make a commercial return.	M	M	Officers continue working with operators to address their concerns and ensure that all parties see this as a beneficial arrangement.	Chief Officer Enterprise
The BES 2 arrangements breach competition, state aid or procurement law and are rendered invalid	L	L	WG/LA legal teams to ensure that the terms of the BES2 are compliant.	WG/LA legal teams
Operators challenge the local authority's ability to let new contracts on routes where the operator has registered a commercial service	L	M	Standards specified as part of BES2 provide an objective way to defend the local authority's right to let a supported contract where the service offered by the operator does not meet the specified standard. <i>Legal advice and guidance provided by WG to support this statement.</i>	Chief Officer Enterprise
Additional funding from Welsh	L	L	WG have committed additional funding from September 2020 to support local bus services	WG Chief Officer Enterprise

Government beyond the end of March 2021 is yet to be confirmed			and officials are working to secure further funding to support these key services beyond the 2020/21 budget horizon.	
Funding operators in this way is not cost effective and/or operators are not incentivised to be efficient	L	L	Analyse data from operators to assess the cost effectiveness of the spend and shape contract terms to incentivise efficiency.	WG Chief Officer Enterprise

7. REASONS:

The signing of the BES 2 agreement is crucial to maintaining local bus services for the future and working in partnership with Welsh Government, Transport for Wales and Bus Operators to develop new bus networks for the future

8. RESOURCE IMPLICATIONS:

BES 2 is Welsh Government funded. Whilst there no direct cost to the authority, the partnership assumes current bus service contracts will be maintained. The MCC staff that are employed in administering the various bus grants are funded by WG so there are no staff costs associated with administering the scheme (existing or proposed).

9. CONSULTEES:

WLGA
Welsh Government
Transport for Wales
Chief Officer Enterprise
Cabinet Member for Infrastructure and Neighbourhood Services
Section 151 Officer
SLT
MCC legal team

10. BACKGROUND PAPERS:

WLGA briefing note – Appendix 1

Draft agreement – Appendix 2

Briefing report for MCC to describe budget background and implications plus JD's – Appendix 3

11. AUTHOR: Richard Cope

12. CONTACT DETAILS:

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DATED

2021

(1) WELSH MINISTERS

- and -

(2) TRANSPORT FOR WALES

- and –

(3) [*LEAD REGIONAL TRANSPORT AUTHORITY*]

- and –

(4) [*OPERATOR*]

AGREEMENT

relating to

Bus Emergency Scheme 2 in respect of the
areas of the following [*insert all Local
Authorities in the Region*]

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BETWEEN:

- (1) **WELSH MINISTERS** ("Welsh Government");
- (2) **TRANSPORT FOR WALES** of 3 Llys Cadwyn, Pontypridd, Wales, CF37 4TH ("**TfW**");
- (3) [**LEAD REGIONAL TRANSPORT AUTHORITY**] of [address] acting for and on behalf of [List names of Constituent Local Authorities] ("**Lead Authority**"); and
- (4) [**OPERATOR**] of [address] registered in England and Wales with company number [number] ("**Operator**"),

(together the "**Parties**").

BACKGROUND:

- A Welsh Government has been taking action to help bus operators in Wales, including the Operator, get through the inevitable uncertainty of the COVID-19 affected operating conditions, and that such action has enabled the Operator to continue provision of services which could not have been provided by the Operator without this financial support since March 2020. The Operator further acknowledges that the provision of this support has enabled the Operator to retain customers and a network of services which may otherwise have been lost or reduced significantly, and that this will support the Operator's business in recovering following relaxation of rules on social distancing and other factors which affect bus travel at the date of this Agreement.
- B Funding has been provided by the Welsh Government to bus operators in Wales pursuant to the Bus Hardship Funding letter dated 2 April 2020, the Bus Emergency Scheme 1 letter ("**BES 1**") and Bus Emergency Scheme 1.5 letter ("**BES 1.5**") which provided money to bus operators (including the Operator) through the Lead Authority on behalf of its Constituent Local Authorities. Those letters set out conditions to the Operator receiving such funding (together the "**Previous BES Funding Arrangements**").
- C In continuing to provide Bus Emergency Scheme funding, Welsh Government wish to move to a lasting partnership between bus operators and the public sector. Working together will enable a fundamental reshaping of Wales' local bus services, through a new approach to managing services, sharing data and information and establishing standards for routes, services, fares and tickets to meet the needs of passengers in a world affected by COVID-19, climate change, new transport choices and changes to working patterns.
- D It is intended that funding provided under this new BES 2 agreement ("**Agreement**") will ensure that support provided to bus operators is more directly aligned with the provision of bus services that meet with the aim of supporting the management and interaction across transport modes including smart ticketing, unified routing, integrated timetabling and will do this both by Welsh Government funding pursuant to section 7 Transport (Wales) Act 2006 to support the provision of public service obligations by operators reflecting the services agreed by the public sector to continue to be provided by the operators (including both supported and formerly commercial services) and the parties also agreeing a framework for long term partnership which will continue to cover both supported and commercial bus services into the future.
- E Welsh Government and Transport for Wales have agreed to: (i) consult with bus operators before making policy changes which affect or are impacted by local bus services and give full

consideration to the views expressed, consistent with their duties under the Well-being of Future Generations (Wales) Act 2015; (ii) ensure funding arrangements are clear, communicated and executed in a timely fashion; (iii) recognise and take account, wherever possible in designing policy for bus regulation of the real costs of operating services, bus provision and employee matters; and (iv) ensure requests for information to bus operators are targeted, minimise unnecessary burdens on operators and involve no more work than is required to achieve the relevant purposes.

- F This Agreement is intended to provide a step in ensuring that services and funding are aligned, whilst providing a framework for development of future partnership working between the public sector and bus operators, which can be built upon over the coming years, including to secure co-production in the design and delivery of bus transport services. In particular: (i) Welsh Government and TfW shall engage fully and openly with bus operators in the development of the National Transport Delivery Plan, including policies for the delivery of zero carbon bus fleets and for the development of interventions to improve bus journey times through tackling congestion; and (ii) the Constituent Local Authorities shall take action to enhance highways infrastructure, bus facilities and service information, subject to the availability of funding.
- G The Parties acknowledge that the contribution of the Welsh Government, TfW and local government to delivering quicker, more reliable and predictable services through traffic and congestion reduction and the introduction and improvement of bus priority is crucial to the successful delivery of bus services.
- H As a result this Agreement includes specific requirements in respect of the continued funding and provision of services including specifying the terms of an umbrella partnership arrangement between the Parties, other bus operators and the Lead Authority (on behalf of Constituent Local Authorities in the Region and other Local Authorities affected by the partnership) to support Welsh Government's wider objectives.
- I The Parties acknowledge that this Agreement includes a reconciliation process which shall take into account the costs and revenues from all Local Services provided by the Operator, including Supported Services, Formerly Commercial Services and Commercial Services. For the avoidance of doubt, the assessment of whether the Operator has been over or under compensated and the calculation of any margin due shall be based on the net position on costs and revenues across all the Operator's Local Services.
- J It is acknowledged that this Agreement is not intended to amend the basis of payments of BSSG and Concessionary Travel Scheme which shall continue to be paid in accordance with their terms subject to any future reform of such payments with Welsh Government may undertake.

IT IS AGREED:

1. DEFINITIONS AND INTERPRETATION

In this Agreement:

- 1.1 Unless the context otherwise requires, the following expressions shall have the meanings set out below:

"ADR Notice"	has the meaning given to it in clause 25.4;
"Agreement"	has the meaning given to it in Recital D;

"Alternate Lead Authority"	means each of [Flintshire County Council], [Monmouthshire County Council], [Swansea Council], [Ceredigion County Council], and [Powys County Council] which may be appointed to assist with disputes in accordance with clause 6.7; [Note: delete Lead Authority from this list.]
"BES 1"	has the meaning given to it in Recital B;
"BES 1.5"	has the meaning given to it in Recital B;
"BES 2 Funding"	means funding provided by the Welsh Government to the operators in Wales pursuant to the terms of this Agreement;
"BES Funding Period"	means the period of the BES Previous Funding and the BES 2 Funding;
"BES Previous Funding"	means funding provided by the Welsh Government to operators in Wales pursuant to the Previous BES Funding Arrangements;
"BSSG"	means Bus Services Support Grant awarded to a Lead Authority by Welsh Government to support and maintain the core strategic bus network, improve connectivity and quality, provide certain bus and other local transport services, and develop close and effective partnership working;
"Change in Covid-19 Impact Event"	means any new event or circumstances (or change to event or circumstances) which occurs following the Effective Date which arise as a direct result of the COVID-19 Virus and which adversely impacts the Operator's ability to perform its obligations under this Agreement including but not limited to the introduction of lockdown measures, travel restrictions or amended social distancing measures in the United Kingdom;
"CMA"	means the Competition and Markets Authority of Victoria House, Southampton Row, London WC1B 4AD;
"Commercially Sensitive"	means in relation to a Disclosing Party that the disclosure of such information is either a trade secret or if disclosed would prejudice the commercial interests of that Party, and shall include any Operator Information identified as Commercially Sensitive in Part 4 of Schedule 4;
"Commercial Service"	means a Local Service which a bus operator provides on a commercial basis and not pursuant to any Existing Supported Services Contract or New Supported Services Contract;
"Confidential Information"	means, in relation to a Disclosing Party: <ul style="list-style-type: none"> (a) information of whatever nature concerning the business, assets, liabilities, dealings, transactions, policies or affairs of the Disclosing Party including all trade secrets, financial, marketing and technical information, ideas, concepts, technology, processes,

knowledge and know-how, together with all details of a Disclosing Party's, customers, suppliers, prices, discounts, margins, information relating to research and development, current trading performance and future policy or business strategy and all other information of a like nature; and

- (b) any information which is expressly indicated to be confidential or commercially sensitive or which, due to the nature and circumstances of its disclosure or its content might reasonably be considered to be confidential (whether or not marked as such),

in each case in whatever form or medium (including written, electronic, visual and oral) such information is recorded or kept and whether or not created for the purpose of entering into this Agreement or otherwise, and shall include, for the avoidance of doubt, any Operator Data identified as Confidential Information in Part 4 of Schedule 4;

"Constituent Local Authorities"

means a group of local authorities in Wales who are working together and are represented by the Lead Authority (and **"Constituent Local Authority"** shall be construed accordingly);

"COVID-19"

means the virus identified and named "COVID-19 virus" by the World Health Organisation which was characterised as a pandemic by the World Health Organisation on 11 March 2020;

"Data Protection Laws"

means the EU General Data Protection Regulation 2016/679 of the European Parliament and of the Council ("**GDPR**") and the Data Protection Act 2018, together with the Privacy and Electronic Communication Regulations 2003 and all codes of practice issued by the Information Commissioner;

"Defaulting Party"

means a Party who commits a material breach of its obligations under this Agreement;

"de minimis contracts"

means Local Services contracts entered into pursuant to section 63 of the Transport Act 1985 which have been procured on a direct award basis to secure the provision of such public transport services as are considered appropriate to meet any public transport requirements which would not otherwise be met, pursuant to the exceptions allowed under section 91 Transport Act 1985 by the Service Subsidy Agreements (Tendering) Regulations 1985 as amended;

"Disclosing Party"

means a Party that discloses Confidential Information to one or more Receiving Parties under this Agreement;

"Dispute"	means a dispute or difference arising out of or in connection with this Agreement or any such matter which a Party deems (acting reasonably) to constitute a dispute;
"Economic Contract"	has the meaning given to it in the Welsh Government "Prosperity for All - Economic Action Plan";
"Effective Date"	means the date of this Agreement;
"EIR"	means the Environmental Information Regulations 2004;
"Existing Supported Services"	means any Local Services operated pursuant to the terms of an Existing Supported Services Contract;
"Existing Supported Services Contracts"	means contracts for the provision of Local Services in Wales by the Operator that were entered into before the Effective Date pursuant to: <ul style="list-style-type: none"> a) terms let by or on behalf of the Welsh Government pursuant to section 7 of the Transport (Wales) Act 2000; b) contract terms let by one or more local transport authority pursuant to section 63 of the Transport Act 1985 (including, for the avoidance of doubt, any de minimis contracts); or c) any other contract let by one or more local transport authorities in accordance with sections 89 – 92 of the Transport Act 1985;
"FOIA"	means the Freedom of Information Act 2000;
"Force Majeure Event"	means any event or occurrence (including fire, flood, violent storm, pestilence, explosion, malicious damage, act of terrorism, epidemic, pandemic, any industrial action by the workforce of an affected Party or by the workforce of a critical or key supplier, armed conflict, acts of terrorism, nuclear, biological or chemical warfare, or any other disaster, natural or man-made) which: <ul style="list-style-type: none"> a) without prejudice to the operation of clause 11.6, the affected Party could not reasonably have provided against before entering into this Agreement; b) materially adversely affects the ability of a Party to perform its obligations (in whole or in part) under this Agreement; c) which is outside the reasonable control of an affected Party; d) having arisen, could not reasonably be avoided or overcome by the affected Party;

- e) occurs in the United Kingdom; and
- f) is not attributable to any act or failure to take reasonable preventative action by an affected Party;

"Former Commercial Services"	has the meaning given to it in clause 15.1;
"Funding Review(s)"	means the review carried out in accordance with Schedule 5;
"Good and Efficient Operator"	has the meaning given to it in Section 1 to Schedule 3;
"Gross Cost Contract"	means a contract whereby the procuring authority retains the right to receipt of passenger revenue and therefore carries the financial risk in respect of the level of passenger revenue received in respect of services provided under such contract;
"Historic"	means up to 1 March 2019;
"Insolvent Party"	has the meaning given to it in clause 11.3;
"Intellectual Property Rights"	means patents, rights to inventions, copyright and related rights, trademarks and service marks, business names and domain names, rights in get-up and trade dress, goodwill and the right to sue for passing off or unfair competition, rights in designs, rights in computer software, database rights, rights to use, and protect the confidentiality of, confidential information (including know-how and trade secrets) and all other intellectual property rights, in each case whether registered or unregistered and including all applications and rights to apply for and be granted, renewals or extensions of, and rights to claim priority from, such rights and all similar or equivalent rights or forms of protection which subsist or will subsist now or in the future in any part of the world;
"Lead Authority"	means a local authority in Wales acting as the Lead Regional Transport Authority for one or more of its Constituent Local Authorities;
"Lead Authority Dispute"	means a Dispute which involves the Lead Authority and may therefore be resolved in accordance with clause 25.3;
"Legislation"	means any Act of Parliament or subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, any Welsh law within the meaning given to it in section 1(3) of the Legislation (Wales) Act 2019, any exercise of the Royal Prerogative, and any enforceable EU right within the meaning of Section 2 of the European Communities Act 1972 (as amended), in each case in the United Kingdom;

"Local Service"	has the meaning given to it in the section 2 of the Transport Act 1985 and for the avoidance of doubt, this shall not include: services which are not registrable pursuant to section 6 of the Transport Act 1985, including any services which are provided where a railway service is temporarily interrupted under section 40 Railways Act 2005;
"Net Cost Contract"	means a contract whereby the operator retains all passenger revenue and takes the risk in respect of the level of passenger revenue received in respect of services provided under such contract;
"New Supported Services"	means any Local Service operated pursuant to the terms of a New Supported Services Contract;
"New Supported Services Contract"	means contracts for the provision of Local Services in Wales by the Operator that were entered into after the Effective Date pursuant to: <ul style="list-style-type: none"> a) terms let by or on behalf of the Welsh Government pursuant to section 7 of the Transport (Wales) Act 2000; b) contract terms let by one or more local transport authority pursuant to section 63 of the Transport Act 1985 (including, for the avoidance of doubt, any de minimis contracts); or c) any other contract let by one or more local transport authorities in accordance with sections 89 – 92 of the Transport Act 1985;
"New Supported Services Contract Tendering Assumptions"	has the meaning given to it in clause 17.3;
"Operator Data"	means Operator data required to be provided under this Agreement which are confidential or commercially sensitive to the Operator as identified in Part 4 of Schedule 4;
"Operator Companies"	Group means the Operator and any subsidiary, holding company or subsidiary of any holding company of the Operator or any other company or structure established by the owners of the Operator and "Operator Group Company" shall be construed accordingly;
"Part 1 Competition Test"	means the test for making and varying quality partnership schemes, making and varying ticketing schemes, and inviting and accepting tenders under section 89 or 91 of the Transport Act 1985 (subsidised services) as set out in Schedule 10, Part 1 to the Transport Act 2000 as modified;

"Part 2 Competition Test"	means the test for certain agreements, decisions and practices as set out in Schedule 10, Part 2 to the Transport Act 2000 as modified;
"Permitted Use"	means the use of data for any purpose specified in Part 3 of Schedule 4;
"Personal Data Disclosing Party"	has the meaning given to it in clause 22.3;
"Personal Data Receiving Party"	has the meaning given to it in clause 22.3;
"Previous BES Funding Arrangements"	has the meaning given to is in Recital B;
"Priorities"	has the meaning given to it in clause 6.2;
"Procurement Programme"	has the meaning given to it in clause 17.2;
"Public Sector Parties"	means Welsh Government, TFW and each Lead Authority acting for its Constituent Local Authorities and "Public Sector Party" shall be construed accordingly;
"Quality Partnership Schemes" or "QPS"	means a quality partnership scheme as specified in section 114(1) Transport Act 2000;
"Receiving Party"	means a Party which receives Confidential Information from a Disclosing Party;
"Reconciliation Payment"	has the meaning given to it in clause 9.5;
"Reference Network"	means: <ul style="list-style-type: none"> a) the initial reference network in accordance with clause 8.1; and b) the developed reference network, developed in accordance with the provisions of clauses 8.2 to 8.6 as it may be varied from time to time;
"Region"	means the geographical area for which the Lead Authority and its Constituent Local Authorities are responsible;
"Register of Variations"	means a register for each Region, specific to the Operator, detailing each service contract, the agreed variation to the specific service, which has been reviewed and signed by the relevant Constituent Local Authority, the form appended at Schedule 7;
"Regulation 1370/2007"	means Regulation (EC) No 1370/2007 of the European Parliament and of the Council of 23 October 2007 on public passenger transport services by rail and by road as amended,

including, but not limited to, by the Regulation (EC) No 1370/2007 (Public Service Obligations in Transport) (Amendment) (EU Exit) Regulations 2020;

"Request for Information"	shall have the meaning set out in the FOIA or any apparent request for information under the FOIA;
"Service Failure Points" or "SFPs"	has the meaning given to it in Part 4 of Schedule 3;
"Services"	has the meaning given to it in clause 2.1;
"Service Payment"	has the meaning given to it in clause 9.1;
"Service Specification"	means the specification to which the Operator agrees to provide Local Services as determined in accordance with clause 6, including but not limited to, compliance with the requirements of Schedule 1;
"Service Standards"	means the service standards which will apply to different classifications of routes across Wales, developed in accordance with clause 8.6;
"State Aid and Procurement Constraints"	has the meaning given to it in clause 19.2;
"Subsidised Network"	has the meaning given to it in clause 8.3;
"Term"	has the meaning given to it in clause 3.1;
"Umbrella Partnership Agreement"	means the framework voluntary partnership agreement agreed in accordance with clause 5;
"VPA"	means a voluntary partnership agreement as described in section 46 of the Local Transport Act 2008, amending section 153(2) of the Transport Act 2000;
"Wales Transport Strategy"	means the draft strategy for the future of transport in Wales, setting out Welsh Government's ambitions for the next twenty (20) years and their priorities for the next five (5) years in the form of the consultation document published here: https://gov.wales/llwybr-newydd and developed during the Term;
"Welsh Bus Open Data Agreement"	means the agreement to be entered into between (1) TfW and (2) the Operator in relation to the Operator providing certain data to TfW which will enable TfW to build a consistent data set for all services in Wales to improve services for passengers; and
"Working Days"	means any day of the week other than a Saturday, Sunday or Bank Holiday.

- 1.2 the Schedule(s) form part of this Agreement and will have the same force and effect as if set out in the body of this Agreement and any reference to this Agreement shall include the Schedule(s);
- 1.3 references to clauses or paragraphs appearing in the main body of this Agreement are, except where expressly stated to the contrary, references to clauses and paragraphs of this Agreement;
- 1.4 references to any part or paragraph appearing within a Schedule are, except where expressly stated to the contrary, references to such part or paragraph of that Schedule;
- 1.5 references to this Agreement are references to this Agreement as varied, assigned and/or novated in accordance with the provisions of this Agreement from time to time;
- 1.6 references to any other agreement or document are to such agreement or document as varied, assigned or novated from time to time; and
- 1.7 any reference to any Legislation will include any subordinate legislation made under it and will be construed as a reference to such Legislation as modified, amended, extended, consolidated, re-enacted and/or replaced and in force from time to time.

2. SCOPE OF AGREEMENT

- 2.1 This Agreement shall apply in respect of all Local Services provided by the Operator in the Region, including:
 - 2.1.1 Existing Supported Services; and
 - 2.1.2 Former Commercial Services;
 - 2.1.3 Commercial Services; and
 - 2.1.4 New Supported Services,(together the "**Services**").
- 2.2 Where and to the extent any Existing Supported Services are provided by the Operator pursuant to an Existing Supported Services Contract which is a Gross Cost Contract, clause 12 shall apply.
- 2.3 Where and to the extent any Existing Supported Services are provided by the Operator pursuant to an Existing Supported Services Contract which is a Net Cost Contract, clause 13 shall apply.
- 2.4 Where and to the extent any Local Service provided by the Operator is a Former Commercial Service the provisions of clause 15 shall apply in respect of Former Commercial Services.
- 2.5 Where and to the extent any Local Service provided by the Operator is a Commercial Service, clause 16 shall apply to the Operator in respect of the provision of those services.
- 2.6 Where and to the extent any Local Service provided by the Operator is provided pursuant to a New Supported Services Contract let by a Lead Authority or one of its Constituent Local Authorities after the date of this Agreement the provisions of clause 17 shall apply.
- 2.7 Where any provision of this Agreement is specified as being carried out by one Public Sector Party pursuant to this Agreement, the Public Sector Parties may agree that a representative of

another Public Sector shall be able to exercise such rights or may be required to carry out such function or obligation, provided that prior to such exercise, the Public Sector Parties shall jointly notify the Operator of such change of responsibility, and the party originally subject to such obligation shall notify the Operator of the basis upon which the new Public Sector Party is entitled to exercise the relevant powers. To the extent that this clause relates to the discharge of a statutory duty, the performance of such duty shall not be carried out by another Public Sector Party pursuant to this clause 2.7, save to the extent expressly agreed by such Public Sector Parties or in the event where TfW is performing such duties on behalf of the Welsh Government.

- 2.8 It is acknowledged that the Operator and Operator Group Companies may choose to change the way that they provide Local Services. Notwithstanding this, it is acknowledged by the Operator that this Agreement is entered into in respect of all Local Services provided by the Operator in the Region, and the Operator shall procure that, where there is any change in the operation of such services, that any alternative Operator Group Company providing such Local Services shall enter into an agreement on equivalent terms with the Public Sector Parties, and where and to the extent that they do not, or where any other action is taken by the Operator or any Operator Group Company to seek to provide services which are the same or similar to Local Services provided by the Operator in the Region outside the terms of this Agreement, the Operator shall indemnify the Public Sector Parties against all costs, losses, expenses and claims arising from the Local Services or services similar to the Local Services (including Commercial Services) being provided by the Operator or an Operator Group Company in a manner not subject to the provisions of this Agreement or an agreement on equivalent terms.

3. TERM

- 3.1 This Agreement shall commence on the Effective Date and shall continue until 31 July 2022 (being the date falling two (2) years after the start date of BES 1.5), unless terminated earlier in accordance with the terms of this Agreement ("**Term**").

4. WELSH GOVERNMENT REQUIREMENTS

- 4.1 As a condition of receipt of BES 2 Funding, the Operator shall comply with Welsh Government's minimum funding requirements as specified in Schedule 1.
- 4.2 Where the Operator is in material breach of any condition contained in Schedule 1 and the Operator fails to remedy such material breach (such remedy to include taking all reasonable steps to ensure that such breach is not repeated) within ten (10) Working Days of notification (or such other period of time as is reasonable given the nature of the breach and the steps required to remedy such breach), then the Operator shall pay compensation to the Lead Authority, pursuant to the process and calculated in accordance with Schedule 3.
- 4.3 The Operator shall maintain adequate insurances to cover against the risks which may be expected to arise in connection with the delivery of their obligations under this Agreement, including, but not limited to, insuring all property required to perform such obligations. The Operator shall provide the Lead Authority with proof of such insurances promptly upon request.

5. PARTNERSHIP

- 5.1 The Operator shall use reasonable endeavours to agree the terms of an Umbrella Partnership Agreement, within three (3) months from the Effective Date and in the form of the draft agreement included at Section 1 of Schedule 1 with:

- 5.1.1 the Lead Authority (on behalf of Constituent Local Authorities in the Region and other Local Authorities affected by the partnership);
 - 5.1.2 TfW;
 - 5.1.3 Welsh Government; and
 - 5.1.4 other bus operators in the Region.
- 5.2 The Lead Authority, Welsh Government and TfW shall use reasonable endeavours to agree the terms of the Umbrella Partnership Agreement with the Operator and other bus operators in the Region.
- 5.3 The Parties acknowledge that that Umbrella Partnership Agreement shall provide a framework for development of detailed partnerships in the Region including, where appropriate, VPAs and QPS, and shall include as a minimum terms which:
- 5.3.1 establish a partnership board which shall govern the partnership, set strategy and objectives of the partnership, monitor and report on the performance of the partnership and resolve disputes;
 - 5.3.2 define the parties' obligations in respect of the continued delivery of the Wales Transport Strategy which may be in the form of transport plans which set out implementation dates, or processes to agree such plans, including, but not limited to those matters specified in Schedule 2;
 - 5.3.3 define obligations with respect to the Reference Network in accordance with clause 8;
 - 5.3.4 establish key performance indicators;
 - 5.3.5 invest in provision of Local Services;
 - 5.3.6 confirm review processes for the partnership using annual reviews and/or change procedures;
 - 5.3.7 rectify a breach of the terms of the Umbrella Partnership Agreement; and
 - 5.3.8 terminate the Umbrella Partnership Agreement.

6. SERVICE SPECIFICATION

- 6.1 From the Effective Date, the Operator shall operate its Local Services as it did under the terms of the BES 1.5, unless agreed otherwise with the Lead Authority prior to the Effective Date.
- 6.2 The Operator shall consult and agree with the Lead Authority and each Constituent Local Authority in whose area a Local Service operates by the Effective Date or by no later than thirty (30) days of the Effective Date, the specification of the services (including routes, frequencies and hours of operation) that the Operator shall provide. In determining the specification of the services the Parties shall have regard to:
- 6.2.1 supporting learners' journeys to school or college on registered local bus services;
 - 6.2.2 increasing frequencies where demand exceeds capacity;

- 6.2.3 improving accessibility to jobs and services across our regions and communities;
 - 6.2.4 supporting economic recovery; and
 - 6.2.5 ensuring social inclusion,
- (together the "**Priorities**"),

provided that the services shall be affordable within the BES 2 Funding allocated to the Operator in accordance with the terms of this Agreement.

- 6.3 The agreed Service Specification will be recorded in the form appended at Schedule 6 and shall be updated with any changes, agreed from time to time and subject to being deliverable within the BES 2 Funding provided to the Operator pursuant to the terms of this Agreement.
- 6.4 The Operator shall act in good faith to discuss and agree with the Lead Authority and the relevant Constituent Local Authorities any changes in the Local Services required at regular intervals as agreed by the Parties, to ensure that the Local Services continue to meet local needs.
- 6.5 The Operator shall take all reasonable steps to respond and comply promptly with reasonable requests from the Lead Authority to amend the Local Services operated including:
 - 6.5.1 the routes used by those services;
 - 6.5.2 the hours of operation;
 - 6.5.3 the vehicles used or levels of provision; and
 - 6.5.4 the timetables of such services.
- 6.6 If, in exceptional circumstances, the Operator cannot reach agreement with the Lead Authority and any Constituent Local Authority on the Local Services to be operated in accordance with clause 6.4, then the Operator shall seek to agree the reasonable level of services to be provided with the Lead Authority who shall act reasonably to determine an appropriate service requirement in the context of the BES 2 Funding available and the requirements of the Lead Authority and the relevant Constituent Local Authority, and where such agreement is reached, these service requirements shall apply.
- 6.7 Where following discussion with the Lead Authority in accordance with clause 6.6, agreement can still not be reached with the Operator then either party may refer the matter as a Dispute, save that where the Lead Authority has a reasonable belief that the Operator has not engaged in good faith with any Constituent Local Authority covered by their operations and this forms part of the Dispute then such Dispute shall be referred as a Lead Authority Dispute in accordance with clause 25.3.

7. DATA PROVISION

- 7.1 The Operator shall provide:
 - 7.1.1 the data specific in Section 1 of Part 4 of Schedule 3 in accordance with Part 3 of Schedule 3;
 - 7.1.2 the data specified in Part 1 of Schedule 4, in accordance with Part 3 of Schedule 3; and

- 7.1.3 the data specified in Part 2 of Schedule 4, in accordance with Part 3 of Schedule 3.
- 7.2 The data provided pursuant to this Agreement (including, but not limited to that provided pursuant to clause 7.1) may be used by the Welsh Government, TfW, the Lead Authority and Constituent Local Authorities in the Region solely for the Permitted Uses specified in Part 3 (Permitted Uses) of Schedule 4. Where such data is identified as Confidential or Commercially Sensitive as specified in Part 4 of Schedule 4, the relevant Public Sector Parties shall manage such data as Confidential Information in accordance with clause 21 and clause 23 and Commercially Sensitive in accordance with clause 23.
- 7.3 Where any Public Sector Party wishes to use any data provided by the Operator pursuant to this Agreement for any use which is not a Permitted Use they shall only do so having obtained the consent of the Operator, such consent not to be unreasonably withheld.
- 7.4 Where any data is identified as being Commercially Sensitive pursuant to Part 4 of Schedule 4 then each Public Sector Party shall ensure that, even where such data is being utilised in accordance with the Permitted Use that such data is only disclosed in accordance with clauses 21 to 23, and that where the output from the use of such data is disclosed in any manner which could be accessed by any other operator or prospective operator of Local Services, that such data or outputs are aggregated or presented in such a way that no Commercially Sensitive information is published (for example, where information in respect of crowding on buses is presented through using a traffic light system).
- 7.5 The Parties acknowledge and agree that the data provided pursuant to this clause 7 shall not be used by any Party for:
- 7.5.1 the purposes of monitoring and/or reporting to the Traffic Commissioner or the DVSA in respect of the Operator's service performance in respect of reliability and timekeeping for any local services operated by that Operator; or
- 7.5.2 any purpose relating to the potential introduction of a Quality Contract Scheme pursuant to the Transport Act 2000 by any Local Authority or the introduction by any Local Authority of any similar form of franchising arrangement under subsequent legislation,
- without the Operator's prior written consent.
- 7.6 Where any Public Sector Party analyses Operator Data for a Permitted Use with the intention to use that analysis for policy or decision making processes which may materially affect the Operator, such Public Sector Party shall use reasonable endeavours to engage with the Operator prior to use, to allow the Operator to inform such analysis. The Operator acknowledges that compliance with this obligation may not always be practicable, and in particular that a Public Sector Party shall not be obliged to comply with this obligation to the extent that it would breach clause 7.4.
- 7.7 The Operator shall keep and maintain full and accurate records and accounts on everything to do with this Agreement throughout and for seven (7) years after the date of expiry or termination of this Agreement.
- 7.8 Where a Public Sector Party is required to audit any information provided by the Operator pursuant to this Agreement, including where Welsh Government has reasonable grounds to believe that any information provided is materially incorrect, then they may appoint an auditor. The Operator shall allow such appointed auditor access to their premises, upon reasonable notice, to verify all accounts and records of everything to do with this Agreement (which is

relevant to the issue identified) and provide copies for the audit upon request, subject to clause 21.

- 7.9 The Operator shall provide information to the auditor and reasonable co-operation at their request.
- 7.10 Where any auditor identifies that any information provided by the Operator to any Public Sector Party is materially false or incomplete the relevant Public Sector Party shall be entitled to assess the impact of such false or incomplete information and where this has led to an under-payment to any Public Sector Party or over-payment from any Public Sector Party of the Service Payment, such Party shall be entitled to recover the difference between the amount originally calculated and the amount calculated following correction of the information found to be false or incomplete, and such amount shall be immediately payable by the Operator to such Public Sector Party.
- 7.11 The Operator agrees to use all reasonable endeavours to enter into the Welsh Bus Open Data Agreement within three (3) months of signing this Agreement, and shall, in any case, enter into such agreement within six (6) months of signing this Agreement. In the event of a conflict between the terms of the Welsh Bus Open Data Agreement and this Agreement, the Parties agree that this Agreement shall take priority during the Term of this Agreement and upon termination or expiry of this Agreement, the Welsh Bus Open Data Agreement shall take priority.
- 7.12 The Parties acknowledge that Tfw use third party suppliers to extract/receive and process data and that clauses 21 and 22 shall apply to the use and processing of such data by such third parties.

8. REFERENCE NETWORK

- 8.1 The Parties agree that the initial Reference Network reflects the routes, frequencies and hours of operation of local bus services in Wales prior to COVID-19, specifically as at 29 February 2020 modified by:
- 8.1.1 any key seasonal variations as demonstrated in the preceding year e.g. a summer tourist timetable; and
- 8.1.2 any changes to services implemented by agreement with a Local Authority or the Lead Authority prior to the Effective Date.
- 8.2 The Parties agree that for the purposes of continued improvement in the provision of local bus services in Wales, it will be necessary to develop a revised Reference Network which sets out the target requirements for routes and services to be provided across Wales. The Reference Network shall be developed in accordance with this Agreement, including the provision of services in accordance with clauses 12 to 17 below, as well as any changes to services agreed pursuant to Schedule 1. The Parties agree that the Reference Network shall be developed in respect of each Region in line with the local and regional rankings of the Priorities and in support of a coherent Wales wide Reference Network.
- 8.3 The Parties, together with other operators in the Region, shall work together to develop a revised Reference Network by 30 June 2021. This network will supersede the initial Reference Network and reflect Regional priorities. As part of developing the revised Reference Network, historical and current passenger demand data will be used to objectively identify the elements of the Reference Network which will require long term Government support. These elements of the Reference Network will be referred to as the "**Subsidised Network**".

- 8.4 The development of the Reference Network shall include:
- 8.4.1 use of data provided by all parties with an interest in the provision of bus services within the Region, including operators, Lead Authorities, Local Authorities, TFW and Welsh Government;
 - 8.4.2 consideration of regional strategic Priorities for the provision of Local Services;
 - 8.4.3 examination of existing routes;
 - 8.4.4 exploration of options for new routes;
 - 8.4.5 the viability and affordability of the proposed routes; and
 - 8.4.6 consideration of investment or other measures that may be required to support any revised Reference Network.
- 8.5 The Lead Authority shall manage compliance with the Reference Network in accordance with the requirements set out in Schedule 1.
- 8.6 As part of the development of the Reference Network, the Operator shall use all reasonable endeavours to agree a set of Service Standards pursuant to Schedule 1 with the Lead Authority and TFW which will apply to different classifications of routes across Wales. The Operator, the Lead Authority and TFW shall use all reasonable endeavours to complete this classification by 30 June 2021.

9. PAYMENTS AND RECONCILIATION PROCESSES

- 9.1 The Lead Authority shall pay the Operator a service payment calculated in accordance with Part 2 of Schedule 3 ("**Service Payment**"), in relation to the Services provided pursuant to and in accordance with this Agreement. If the Operator disputes the amount of the Service Payment then such dispute shall be resolved in accordance with clause 25.
- 9.2 For the avoidance of doubt, the Operator shall not be entitled to recover more than once in respect of the same amount, including that the Operator shall not be entitled to recover any amount payable pursuant to the Previous BES Funding Arrangements pursuant to this Agreement.
- 9.3 In the event that the Operator is successful in obtaining any other governmental support or support from any Lead Authority or one of its Constituent Local Authorities or other such body that is offered in relation to the impact of and/or recovery from the impacts of COVID-19, this shall be taken into account in relation to the relevant Service Payment such that the Operator does not benefit from double recovery or double counting.
- 9.4 The Operator shall comply with the reconciliation process detailed in Part 3 of Schedule 3. The Parties acknowledge that Schedule 3 assesses the basis on which the Operator is paid, and includes provisions to ensure that such payments, following reconciliation, do not lead to over-compensation or illegal state aid. Notwithstanding any other remedies that the Lead Authority, TFW or Welsh Government may have pursuant to this Agreement or otherwise for provision by the Operator of false or misleading information, it shall be a material breach of this Agreement for the Operator to fail to accurately provide the information specified in Schedule 3. For the avoidance of doubt, it will be necessary to provide information in respect of all Local Services provided by the Operator, including any Commercial Services, to ensure transparency of costs and revenues and to ensure that the calculation of the Assumed Margin pursuant to Schedule 3

shall take into account the costs and revenues from all Local Services provided by an Operator (including Former Commercial Services and Commercial Services).

- 9.5 Where following any reconciliation process carried out pursuant to Part 3 of Schedule 3, the Lead Authority identifies that an overpayment or an underpayment has been made, the Lead Authority shall be entitled to require either clawback of such amount or pay such amount ("**Reconciliation Payment**"), calculated in accordance with Part 3 of Schedule 3. The Lead Authority shall provide the Operator with detailed calculations confirming the Reconciliation Payment to be returned to the Lead Authority or paid to the Operator.
- 9.6 The Parties acknowledge and agree that TfW, working with the Lead Authority, may carry out Funding Reviews on behalf of Welsh Government in accordance with the provisions of Schedule 5 and the Parties shall agree, acting reasonably, such amendments to this Agreement, as may be reasonably required to reflect the outcomes of each Funding Review.

10. EXIT FROM BES 2

- 10.1 The Parties agree and acknowledge that by no later than 1 August 2022, it is all Parties' intention that all of the Operator's Local Services which operate in Wales shall either be:

10.1.1 operated as a Commercial Service; or

10.1.2 operated pursuant to a New Supported Services Contract or the original terms and conditions of an Existing Supported Services Contract (including in each case any such contract which is let as a *de minimis* contract).

- 10.2 Where all Local Services operated by the Operator in Wales are operated in accordance with clause 10.1 then the Parties acknowledge that:

10.2.1 no further payments shall be made pursuant to this Agreement; and

10.2.2 provided that any Umbrella Partnership Agreement and any associated partnership arrangements shall not be terminated as a result of the termination of this Agreement,

any Party shall otherwise be entitled to terminate this Agreement by agreement with the other Parties (all acting reasonably).

11. TERMINATION

- 11.1 This Agreement, or a Party's participation in this Agreement, may be terminated in accordance with the provisions of this clause 11.

Defaulting Party Material Breach

- 11.2 In the event of a material or persistent breach of this Agreement by a Defaulting Party, the non-Defaulting Party may give four (4) weeks' written notice of their intention to terminate this Agreement, setting out in sufficient detail the acts or omission of the relevant Defaulting Party giving rise to such breach or breaches. If the Defaulting Party does not, to the reasonable satisfaction of the non-Defaulting Party, remedy the breach or breaches and the consequences of such breach within such notice period, the non-Defaulting Party may terminate this Agreement. Where, pursuant to Part 4 of Schedule 3 Service Failure Points have been allocated for the same trigger in three (3) consecutive months this shall be deemed to be a material breach which the Operator has been unable to remedy.

Insolvency

- 11.3 Any non-Defaulting Party may by written notice terminate its participation in this Agreement where another Party ("**Insolvent Party**"):
- 11.3.1 passes a resolution for its winding up or summons a meeting to pass any such resolution (other than for the purpose of and followed by a solvent reconstruction or amalgamation);
 - 11.3.2 has a petition for a winding-up order presented against it (other than for the purpose of and followed by a solvent reconstruction or amalgamation);
 - 11.3.3 has an application made to court, or an order made, for the appointment of an administrator or any step is taken to appoint an administrator in respect of the Insolvent Party;
 - 11.3.4 has a receiver, administrative receiver, receiver and manager or similar officer appointed by any person of all or any part of the Insolvent Party's property, assets or undertaking;
 - 11.3.5 makes a proposal for a voluntary arrangement as defined in Section 1 of the Insolvency Act 1986;
 - 11.3.6 enters into any other arrangement with its creditors or any of them;
 - 11.3.7 takes or suffers any other action in consequence of debt including, without limitation, giving notice to its creditors or any of them that it has suspended or is about to suspend payment; or
 - 11.3.8 has a proposal or threat to do any of the above acts or things made; or an event analogous to the aforesaid occurs in whatever jurisdiction.

Continuing Force Majeure

- 11.4 No Party shall be liable to any other Party for any delay in, or failure to perform its obligations under this Agreement arising (in whole or in part) from any Force Majeure Event, provided that the affected Party shall:
- 11.4.1 as soon as reasonably practicable, send to the other Parties a written notice setting out the circumstances of the event and its anticipated effect; and
 - 11.4.2 use all reasonable endeavours to minimise the effect of any such circumstances.
- 11.5 If the affected Party's ability to perform its obligations under this Agreement is materially adversely affected (in whole or in part) due to a Force Majeure Event continuing for a period of six (6) months or more, any Party may terminate the affected Party's participation in this Agreement with immediate effect by serving written notice to the other Parties, provided that no such notice shall be served until the Parties have met in good faith to discuss and seek to agree whether this Agreement should continue in modified form (agreement to such not to be unreasonably withheld).
- 11.6 Notwithstanding any other provision under this Agreement, the Parties agree that they were aware of COVID-19 and that the existence of COVID-19 in itself shall not constitute a Force Majeure event save that a Change in COVID-19 Impact Event may be deemed to be a Force

Majeure Event provided it satisfies the criteria set out in sub-paragraphs (b) to (f) (exclusive) of the definition of Force Majeure.

Termination by agreement of the Parties

- 11.7 This Agreement may be terminated in respect of all Parties or in respect of any one party at any time with immediate effect by written consent of all Parties that it be so terminated.
- 11.8 This Agreement shall be terminated in respect of any Party that disposes of its business in accordance with clause 28.2.
- 11.9 In the event that the Operator either: (i) changes the way that they provide Local Services and does not comply with clause 2.8; or (ii) disposes of its business and does not comply with clause 28.2, the Operator acknowledges and agrees that such breach shall be dealt with in accordance with clause 11.2 and the non-Defaulting Party is entitled to terminate this Agreement.

Exit from BES 2

- 11.10 This Agreement may be terminated pursuant to clause 10.2.

Funding Reviews

- 11.11 This Agreement may be terminated on notice provided by Welsh Government to the Operator, in accordance with paragraph 1.3.3 of Schedule 5 following a Funding Review.

Operator withdrawal

- 11.12 This Agreement may be terminated on no less than fifty six (56) days' notice (or such other period of notice as the Traffic Commissioner may require in respect of de-registration of Local Services at the date the notice is given) from the Operator to the other Parties, in the event that the Operator intends to withdraw from the Welsh bus market, such termination to occur on the date of withdrawal from the Welsh bus market.
- 11.13 In the event where the Operator intends to withdraw from the Welsh bus market and terminates this Agreement in accordance with clause 11.12, the Operator shall provide Welsh Government with a reasonable opportunity to purchase any assets of the business which it intends to dispose of, on fair terms.

Effect of Termination

- 11.14 The termination of this Agreement for any reason:
 - 11.14.1 shall be without prejudice to any rights or obligations which shall have accrued or become due prior to the date of termination, including, for the avoidance of doubt, any payments to be made to the operator pursuant to Part 3 of Schedule 3;
 - 11.14.2 shall not prejudice the rights or remedies which any Party may have in respect of any breach of the terms of this Agreement prior to the date of termination; and
 - 11.14.3 shall not impact upon any clawback of BES 2 Funding which is to be made (including any clawback of BES 2 Funding still to be calculated) in accordance with Schedule 3.

12. EXISTING SUPPORTED SERVICES: GROSS COST

12.1 The Parties acknowledge that the Operator operates Existing Supported Services on the date of this Agreement which are contracted in whole, or in part, pursuant to Existing Supported Services Contracts.

12.2 Where an Existing Supported Services Contract is let as a Gross Cost Contract:

12.2.1 the Operator acknowledges that the relevant Constituent Local Authority (or Welsh Government where the Existing Supported Services Contract is let pursuant to section 7 Transport (Wales) Act 2006) remains at risk for passenger revenue, and that any payments made to the Operator in respect of such Local Services pursuant to this Agreement shall relate solely to additional costs incurred by the Operator in providing services in accordance with the terms of such Gross Cost Contract, as a result of the impact of COVID-19 (and related measures) on the operation of that Existing Supported Services;

12.2.2 the Operator (and the Lead Authority on behalf of the relevant Constituent Local Authority) agree that each Existing Supported Services Contract shall be varied to:

12.2.2.1 allow such additional payments to be made by the Lead Authority on behalf of the Constituent Local Authority to the Operator in accordance with the terms of this Agreement; and

12.2.2.2 revise the services provided in agreement with the Constituent Local Authority and the Lead Authority and align payment with the revised services.

It is acknowledged that the variation in such payments shall be limited to those which are required to deal with the impact of COVID-19, and that the modifications are not substantial within the meaning of Regulation 88 (1)(f) Utilities Contracts Regulations 2016 or Regulation 72(1)(f) Public Contract Regulations 2015, as the case may be;

12.2.3 the Operator agrees that more than one amendment may be made pursuant to clause 12.2.2, during the term of this Agreement, provided that those changes shall be made solely for the purposes of reflecting required changes to local bus services to reflect the impact of COVID-19, and that such changes shall not change the economic balance of the contract in favour of the bus operator nor alter the overall nature of the Existing Supported Services Contract;

12.2.4 the Operator and the Lead Authority acknowledge that the payments made pursuant to this Agreement in respect of such Gross Cost Contracts are made pursuant to a valid variation to the Existing Supported Services Contracts between the Constituent Local Authority and the Operator. The Parties agree to execute such other documents, including to update the Register of Variations at Schedule 7, as may be required to effect such variation, and the Lead Authority undertakes to obtain any variation documents executed by the Constituent Local Authority as may be required to effect such variation; and

12.2.5 on a continuing basis, the Lead Authority may carry out a further review of each Existing Supported Services Contract to assess whether any further variation is needed or determinate whether the service remains necessary to be supported in accordance with the review process under clause 6.4.

13. EXISTING SUPPORTED SERVICES: NET COST

13.1 The Parties acknowledge that the Operator operates Existing Supported Services on the date of this Agreement which are contracted in whole, or in part, pursuant to Existing Supported Services Contracts.

13.2 Where such Existing Supported Services Contract is a Net Cost Contract:

13.2.1 the Parties acknowledge that the Operator is at risk for passenger revenue under the terms of the Net Cost Contract with the relevant Lead Authority or one of its Constituent Local Authorities (or Welsh Government where the Existing Supported Services Contract is let pursuant to section 7 Transport (Wales) Act 2006), and that any payments made to the Operator in respect of such Local Services pursuant to this Agreement shall relate solely to:

13.2.1.1 additional costs incurred by the Operator in providing services in accordance with the terms of such Net Cost Contract, as a result of the impact of COVID-19 (and related measures) on the operation of that Existing Supported Services; and

13.2.1.2 the impact on passenger revenue beyond that which was foreseeable by the Operator and/or the Lead Authority or one of its Constituent Local Authorities at the time that such Existing Supported Services Contract was let,

13.2.2 the Operator (and the Lead Authority on behalf of the relevant Constituent Local Authority) agree that each Existing Supported Services Contract shall be varied to:

13.2.2.1 allow such additional payments to be made by the Lead Authority on behalf of the Constituent Local Authority to the Operator in accordance with the terms of this Agreement; and

13.2.2.2 revise the services provided in agreement with the Constituent Local Authority and the Lead Authority.

It is acknowledged that the variation in such payments shall be limited to those which are required to deal with the impact of COVID-19, and that the modifications in respect of any changes to service provision are not substantial within the meaning of Regulation 88 (1)(f) Utilities Contracts Regulations 2016 or Regulation 72(1)(f) Public Contract Regulations 2015, as the case may be, and that the payments in respect of loss of passenger revenue are made due to the immediate and continuing risk of disruption of passenger services as a result of the loss of that passenger revenue,

13.2.3 the Operator agrees that more than one amendment may be made pursuant to clause 13.2.2.2, during the term of this Agreement, provided that those changes shall be made solely for the purposes of reflecting required changes to local bus services to reflect the impact of COVID-19, and that such changes shall not change the economic balance of the contract in favour of the operator nor alter the overall nature of the Existing Supported Services Contract;

13.2.4 the Operator agrees that, where payments made relate to the impact of COVID-19 on passenger numbers, the extent to which those payments relate to costs which would have been funded from passenger revenue, save for the effect of COVID-

19, that the Lead Authority shall be entitled to limit the payments made in respect of such costs for the period that the risk associated with passenger revenue loss is materially greater than that which was reasonably foreseeable at the date of the relevant agreement;

13.2.5 payments made by the Lead Authority to the Operator pursuant to this Agreement in respect of Existing Supported Services pursuant to a Net Cost Contract shall be only made for the period, and to the extent that, the provision of services under the relevant Net Cost Contract are affected by COVID-19;

13.2.6 the Operator and the Lead Authority acknowledge that the payments made pursuant to this Agreement in respect of such Net Cost Contracts are made pursuant to a valid variation to the Supported Services Existing Contract between the relevant Constituent Local Authority and the Operator. The Parties agree to execute such other documents, including to update the Register of Variations at Schedule 7, as may be required to effect such variation, and the Lead Authority undertakes to obtain any variation documents executed by the Constituent Local Authority as may be required to effect such variation; and

13.2.7 on a continuing basis, the Lead Authority may carry out a further review of each Existing Supported Services Contract to assess whether any further variation is needed or determinate whether the service remains necessary to be supported in accordance with the review process under clause 6.4.

14. REVERTING TO ORIGINAL CONTRACT TERMS FOR EXISTING SUPPORTED SERVICES

14.1 The Parties acknowledge that any Existing Supported Services Contract varied in accordance with clause 12 and 13, shall revert to the terms specified immediately prior to such variation (subject to any other variation to such contract agreed by the Parties to that contract) when all or some of the following criteria are achieved (in each case as agreed with the relevant Local Authority, acting reasonably):

14.1.1 the revenue in respect of that service returning to pre-COVID levels;

14.1.2 the service operating to a specification materially the same as that pre-COVID, subject to any other variation of such contract; and

14.1.3 the Operator choosing to return to the terms of the original Existing Supported Services Contract.

15. SUPPORT FOR FORMER COMMERCIAL SERVICES

15.1 The Parties acknowledge that the Operator has historically operated Commercial Services, but due to the effects of COVID-19, those Commercial Services were no longer commercially viable and support for the continuation of the services was required from Welsh Government. Such support was received through BES Funding provided pursuant to the Previous BES Funding Arrangements. The Parties further acknowledge that the Previous BES Funding Arrangements were implemented on the basis of payments being made under the following powers:

15.1.1 use of grant aid under section 154 Transport Act 2000; or

15.1.2 payments made pursuant to section 7 of the Transport (Wales) Act 2006,

("Former Commercial Services").

- 15.2 The Operator acknowledges that in the absence of Service Payments made pursuant to this Agreement the Operator would not be able to continue to operate the relevant Former Commercial Service or would not be able to operate the Former Commercial Services to the Service Standards.
- 15.3 The Lead Authority acknowledges that it would not have funded such Former Commercial Services to the Service Standards unless provided with financial support by Welsh Government.
- 15.4 The Lead Authority agrees to support the Former Commercial Services pursuant to the terms of this Agreement on the basis that the operation of the Former Commercial Service is required to meet public service obligations, with support being provided for provision of such public service obligations through the payment of Service Payments on behalf of Welsh Government in accordance with Schedule 3 (pursuant to section 7 Transport (Wales) Act 2006), provided that the Operator in operating the Former Commercial Services, shall at all times comply with the prevailing Service Specification.
- 15.5 The Parties acknowledge that the reconciliation process at Part 3 of Schedule 3 shall take into account the costs and revenues from all Local Services provided by the Operator, including Supported Services, Formerly Commercial Services and Commercial Services. For the avoidance of doubt, the assessment of whether the Operator has been over or under compensated and the calculation of any margin due shall be based on the net position on costs and revenues across all the Operator's Local Services.

16. COMMERCIAL SERVICES

- 16.1 Where the Operator registers a Commercial Service which does not comply with the applicable Service Standards, then save where the specification of such Commercial Service has been agreed in accordance with clause 16.2.2, the Operator acknowledges and agrees that Welsh Government or any Local Authority in the area in which such service is operated may determine that notwithstanding the operation of the Commercial Service, that the service in question is not being provided to the applicable Service Standard required, in accordance with section 7(4) Transport (Wales) Act 2006 or section 63(5) Transport Act 1985 and that Welsh Government or the relevant Local Authority may determine that a service that meets the applicable Service Standard may be let in accordance with clause 17 (subject to the application, where relevant, of the Part 1 Competition Test).
- 16.2 Where the Operator registers a Commercial Service which will operate:
- 16.2.1 in accordance with the applicable Service Standards; or
- 16.2.2 in accordance with a variation to the Service Standards as agreed by the Operator, Lead Authority and TfW on the grounds that, for example, the specified standard for the hours of operation or frequency of the service are not financially viable or required,

then the Parties acknowledge that such service shall be operated as a Commercial Service for the purposes of this Agreement, but shall for the avoidance of doubt, remain subject to the terms of this Agreement, the Umbrella Partnership Agreement and any future partnership agreement developed pursuant to the terms of the Umbrella Partnership Agreement.

- 16.3 The Parties acknowledge that the reconciliation process at Part 3 of Schedule 3 shall take into account the costs and revenues from all Local Services provided by the Operator, including

Supported Services, Formerly Commercial Services and Commercial Services. For the avoidance of doubt, the assessment of whether the Operator has been over or under compensated and the calculation of any margin due shall be based on the net position on costs and revenues across all the Operator's Local Services.

17. SERVICES TENDERED AFTER THE DATE OF THIS AGREEMENT

17.1 The Parties agree that the Lead Authority or one of its Constituent Local Authorities or Welsh Government may let New Supported Services Contracts including where:

17.1.1 an Existing Supported Service Contract expires or terminates;

17.1.2 the Operator chooses to cease operation of a Former Commercial Service; or

17.1.3 a new route is identified as part of the Reference Network which is not operated as a Commercial Service or any Commercial Service does not comply with clause 16.2,

in each case where the relevant Local Authority or Welsh Government determine that the provision of such service is appropriate for meeting public transport requirements in the relevant area.

17.2 The Operator acknowledges that, no later than 1 August 2021, the Lead Authority (working with its Constituent Local Authorities) shall set out a programme to tender key services that are otherwise at risk of not meeting the requirements of clause 10.1 prior to 1 August 2022 when this contract shall terminate ("**Procurement Programme**"). The Procurement Programme shall be developed in consultation with the Operator and other operators and plans to tender New Supported Service Contracts within the Procurement Programme shall be prioritised to take account of:

17.2.1 the prevailing bus market conditions including any continued impact of COVID-19 on the performance of the bus market, such as passenger levels and revenues;

17.2.2 the estimated time frame for meeting the requirements of clause 10.1; and

17.2.3 the extent to which each service is required for the purposes of operating the Reference Network and delivering its intended benefits.

The Procurement Programme shall be reviewed by the Lead Authority and its Constituent Local Authorities every month and revised as necessary in consultation with the Operator, other operators and stakeholders to take account of changes which affect the priorities detailed in clauses 17.2.1 to 17.2.3.

17.3 Where a Lead Authority, one of its Constituent Local Authorities or Welsh Government tenders a New Supported Services Contract following the date of this Agreement, the tender for such New Supported Services Contract shall specify the assumptions that are to be made by all bidders regarding payments (if any), to be made pursuant to this Agreement to the operator of services under that New Supported Services Contract, and the relevant Public Sector Party shall ensure that the same assumptions are provided to all tenderers for such Contract ("**New Supported Services Contract Tendering Assumptions**"); or

17.4 the Parties acknowledge, that where any Public Sector Party, specifies New Supported Services Contract Tendering Assumptions as part of a tender process for a New Supported Services Contract and the Operator enters into such New Supported Services Contract, the Lead

Authority shall make payments under this Agreement in respect of such New Supported Services Contract in accordance with the New Supported Services Contract Tendering Assumptions.

18. SURVIVAL

18.1 This clause 18 and the following provisions (and any clauses/Schedules referred to in them/and or necessary in order to give effect to them) shall survive termination of this Agreement:

18.1.1 clauses 1 (*Definitions and Interpretation*);

18.1.2 clause 20 (*Intellectual Property*),

18.1.3 clause 21 (*Confidentiality*),

18.1.4 clause 22 (*Data Protection*),

18.1.5 clause 23 (*Freedom of Information*),

18.1.6 clause 25 (*Dispute Resolution*);

18.1.7 clause 36 (*Governing Law and Jurisdiction*); and

18.1.8 Schedule 3 (*Compensation*) to the extent required for the purposes of any reconciliation of payments following the date of termination,

which shall continue in force after such termination.

19. FUNDING AND CONSTRAINTS

19.1 Each Party shall be responsible for funding their own obligations under this Agreement, save where the funding of any obligation is expressly specified in this Agreement, and otherwise in accordance with this clause 19. Where and to the extent any obligation of the Lead Authority pursuant to this Agreement to pay the Operator is dependent upon Welsh Government paying an equivalent amount to the Lead Authority, Welsh Government shall indemnify the Lead Authority against any claims from the Operator arising directly from any delay or failure by Welsh Government to make such payment to the Lead Authority.

19.2 It is acknowledged that funding from (or provisions of works, services or supplies which have been funded by) the Welsh Government is subject to constraints on public spending, including the application of UK and EU rules in respect of state aid and procurement ("**State Aid and Procurement Constraints**"). It is acknowledged that Welsh Government, TFW and the Lead Authority shall not be required to fund or deliver anything pursuant to this Agreement which would be in breach of such requirements.

19.3 Where any Party is unable to perform an obligation under this Agreement due to State Aid and Procurement Constraints the Parties agree to work together in good faith to determine those changes required to this Agreement whilst not breaching such requirements. It is acknowledged that this may include the Parties working together to identify exemptions which may be applicable and where necessary engaging with third parties including the CMA in order to implement the terms of this Agreement.

20. INTELLECTUAL PROPERTY RIGHTS

- 20.1 To the extent that any Intellectual Property Rights are generated pursuant to the terms of this Agreement, the Parties agree that:
- 20.1.1 such Intellectual Property Rights shall remain the absolute property of the Party which generated such rights; and
 - 20.1.2 such Party shall hereby grant to the other Party a perpetual, irrevocable, non-exclusive, fully paid up and royalty free licence (with the right to sub-licence) to use such Intellectual Property Rights for any purpose relating to this Agreement or any successor agreement.

21. CONFIDENTIALITY

General

- 21.1 The Parties agree that the provisions of this Agreement shall not be treated as Confidential Information and may be disclosed without restriction.
- 21.2 Each Receiving Party shall:
- 21.2.1 keep the Disclosing Party's Confidential Information confidential;
 - 21.2.2 use the Confidential Information (or any part thereof) only in connection with performing its obligations under the Agreement; and
 - 21.2.3 subject to clause 21.4 and 23, not disclose the Confidential Information to anyone without the prior written consent of the Disclosing Party.
- 21.3 Data provided by the Operator pursuant to clause 7 or otherwise pursuant to the terms of this Agreement shall be deemed to be Confidential Information where it is identified as such in the table at Part 4 of Schedule 4.

Exceptions

- 21.4 The consent referred to in clause 21.2.3 shall not be required for the disclosure by a Receiving Party of any Confidential Information which:
- 21.4.1 is disclosed to:
 - 21.4.1.1 the CMA; or
 - 21.4.1.2 the Department for Transport,
 - 21.4.2 at any time comes into the public domain otherwise than as a result of breach of this Agreement by the Receiving Party;
 - 21.4.3 is disclosed to the Receiving Party's officers, contractors or agents, in each case to the extent required to enable the Receiving Party to carry out its obligations under this Agreement provided that the Receiving Party makes such person aware of the Receiving Party's obligations under this Agreement and the Receiving Party requires such person to observe the same restrictions on the use of the relevant information as are contained in clause 21.2;

- 21.4.4 is disclosed to the Receiving Party's professional advisers who are bound to such Receiving Party by a duty of confidence which applies to any information disclosed;
 - 21.4.5 is disclosed to the Receiving Party's auditors (pursuant to clause 7.8) who are bound to such Receiving Party by a duty of confidence which applies to any information disclosed, to the extent that the statutory provisions under which the auditor was appointed allow for such duty of confidence to be imposed upon the auditor;
 - 21.4.6 is received from a third party who is not in breach of any relevant duty of confidence whether express or implied;
 - 21.4.7 is independently developed without access to the Confidential Information; or
 - 21.4.8 is required to be disclosed by any applicable law or regulatory requirement to which the Receiving Party is subject or pursuant to any order of the court or other competent regulatory authority or tribunal.
- 21.5 These restrictions and prohibition on use, exploitation, communication and disclosure set out in this clause 21 shall continue to apply after the expiration or termination of the Agreement in respect of any Confidential Information for such period of time as such information remains Confidential Information..

Required Disclosure

- 21.6 If the Receiving Party becomes required, in circumstances contemplated by clause 21.4.8 to disclose any Confidential Information, the Receiving Party shall (save to the extent prohibited by law) give to the Disclosing Party such notice as is practical in the circumstances of such disclosure and shall co-operate with the Disclosing Party, having due regard to the Disclosing Parties' views, and take such steps as the Disclosing Party may reasonably require in order to enable it to mitigate the effects of, or avoid the requirements for, any such disclosure.

Remedy

- 21.7 The Public Sector Parties acknowledge and agree that money damages may not be an adequate remedy for any breach or threatened breach of this clause 21 and that a breach by any Public Sector Partner of this clause 21 may result in immediate and irreparable competitive injury. The Public Sector Parties therefore agree that in addition to any other remedies that may be available, by law or otherwise, the Operator shall be entitled to seek injunctive relief against any breach or threatened breach of this clause 21 by the Public Sector Parties.

22. DATA PROTECTION

- 22.1 In this clause 22, the expressions "**Process/Processing**", "**Controller**", "**Processor**" "**Data Subject**", "**Personal Data Breach**" and "**Supervisory Authority**" shall have the same meaning as in the Data Protection Laws.
- 22.2 Each Party shall Process Personal Data under this Agreement as a separate Controller, and shall comply at all times with its respective obligations under Data Protection Laws.
- 22.3 In respect of any disclosures of Personal Data by one Party ("**Personal Data Disclosing Party**") to another Party ("**Personal Data Receiving Party**"), the Personal Data Receiving Party shall:

- 22.3.1 only Process the disclosed Personal Data where reasonably necessary for the purposes of performing its obligations, or exercising its rights, under this Agreement (including in respect of any onward disclosures to third parties);
 - 22.3.2 not transfer Personal Data outside the EEA without the prior written consent of the Personal Data Disclosing Party; and
 - 22.3.3 notify the Personal Data Disclosing Party without undue delay upon becoming aware of any Personal Data Breach involving the Personal Data.
- 22.4 Each Party shall co-operate with the other, to the extent reasonably requested, in relation to:
- 22.4.1 any requests from Data Subjects to exercise rights under the Data Protection Laws;
 - 22.4.2 any other communication from a Data Subject concerning the Processing of their Personal Data; and
 - 22.4.3 any communication from a Supervisory Authority concerning the Processing of Personal Data, or compliance with the Data Protection Laws.

23. FREEDOM OF INFORMATION

- 23.1 The Operator shall cooperate to facilitate the Public Sector Parties in complying with their respective obligations under the FOIA and the EIR, together with any guidance and/or codes of practice issued from time to time by the Information Commissioner or the Secretary of State, in the manner provided for in this clause 23, which shall apply whenever any Public Sector Party receives a Request for Information which in that Public Sector Party's reasonable opinion is likely to involve the disclosure of Confidential Information.
- 23.2 Where the relevant Public Sector Party receives a Request for Information in relation to Operator Confidential Information it shall notify the Operator in writing of the Request for Information as soon as practicable after receipt and in any event within five (5) Working Days of receiving a Request for Information and shall consult in good faith with the Operator to ascertain whether disclosure of the requested information would be likely to prejudice the commercial interests of the Operator for the purposes of section 43(2) of FOIA or regulation 12(5)(e) of EIR.
- 23.3 Where the relevant Public Sector Party receives a Request for Information relating Operator Confidential Information, the relevant Public Sector Party shall keep the Operator fully informed and the Operator shall provide all necessary assistance reasonably requested by the relevant Public Sector Party to enable the Welsh Government or TFW to respond to a Request for Information in accordance with Section 1 and Section 10 of the FOIA or regulation 5 of the EIR.
- 23.4 The relevant Public Sector Party agrees that (and shall procure that the Constituent Local Authorities agree that) Operator Data shall, for the purposes of the FOIA, constitute:
- 23.4.1 exempt information pursuant to Part 2 of the FOIA which is provided to the Welsh Government, the Lead Authority and/or TFW in confidence and that disclosure of the Operator Data would constitute a breach of confidence actionable by the Operator; and/or
 - 23.4.2 exempt information pursuant to Part 2 of the FOIA in that it constitutes either a trade secret of the Operator and/or information which if disclosed to the public

would prejudice the commercial interests of the Operator and the Welsh Government, the Lead Authority and TfW will therefore treat all Operator Data as exempt for the purposes of the FOIA.

23.5 In the event that notwithstanding the provisions of clause 23.4, any Public Sector Party is bound by the FOIA to disclose any Operator Data to the public, the relevant Public Sector Party shall nonetheless provide the Operator with a minimum of 48 hours written notice prior to the disclosure of any such data.

24. COMPETITION AND PROCUREMENT LAW

24.1 The Parties intend that this Agreement shall comply with competition law at the date of this Agreement.

24.2 The Parties acknowledge that the development of partnership arrangements pursuant to clause 5 of this Agreement will be subject to the application of competition law, and in particular the parties may need to apply the Part 2 Competition Test, and be satisfied (acting reasonably and by reference to the prevailing law at the time of such consideration) that any Umbrella Partnership Agreement meets the Part 2 Competition Test;

24.3 The Parties intend that:

24.3.1 this Agreement shall not breach the Public Contracts Regulations 2015, the Utilities Contracts Regulations 2016, the Concession Contracts Regulations 2016 or Regulation 1370/2007;

24.3.2 that payments in respect of, and the provision of, services by the Operator pursuant to the terms of this Agreement are consistent with the requirements of article 5 of Regulation 1370/2007.

24.4 Notwithstanding clause 24.1 to 24.3, if:

24.4.1 statements by, advice from, or decisions by competent authorities (including, but not limited to, the CMA) provides additional detail or guidance in relation to the applicability of competition law to this Agreement which may impact on the position of this Agreement or in respect of the negotiation of the Umbrella Partnership Agreement;

24.4.2 statements by, advice from, or decisions by competent authorities impact on the position of this Agreement under procurement law,

the Parties agree to:

24.4.3 meet in good faith and review the impact of such change or other developments on this Agreement; and

24.4.4 make any amendment necessary to ensure that this Agreement complies with applicable competition law or procurement law then in force in the light of such development, whilst taking account of the Parties' commercial intentions as expressed in this Agreement.

24.5 In the event that the Parties are unable to agree as to the extent and nature of such amendments within one (1) month, any party shall be entitled to refer the decision to the Dispute process in accordance with clause 25.

25. DISPUTE RESOLUTION

- 25.1 Where any Dispute arises between the Parties in connection with this Agreement, the Parties shall attempt to resolve the Dispute in good faith. During the period of the Dispute, the Parties shall continue to comply with their respective obligations under this Agreement.
- 25.2 Where the Parties are unable to resolve the Dispute in good faith, the dispute may be escalated to the relevant Parties' senior representatives (being a senior executive of the relevant Party with sufficient authority to bind the relevant Party in any agreement reached in respect of the Dispute) in order to try and resolve the Dispute. If the Parties' senior representatives are unable to resolve the Dispute within fifteen (15) Working Days of referral, the Dispute shall be referred to mediation in accordance with clause 25.4, save for any Lead Authority Disputes which shall be referred to resolution pursuant to clause 25.3.
- 25.3 Where a Dispute is a Lead Authority Dispute then the following shall apply:
- 25.3.1 the Lead Authority shall notify an Alternate Lead Authority (whose identity is to be agreed between the Operator and the Lead Authority or where they cannot agree the identity of the Lead Authority as determined by TfW) in writing, asking for input. Such notice shall provide background information on the issue and reasons why the Lead Authority believes the Operator has not engaged in good faith;
- 25.3.2 upon receipt of such notice, the Alternate Lead Authority shall consider the information provided in the notice and shall promptly request any additional information from the Operator that may be required to consider the dispute;
- 25.3.3 upon receipt of such additional information from the Operator, the Alternate Lead Authority shall consider all responses within fifteen (15) Working Days. The Alternate Lead Authority shall notify both the Operator and the Lead Authority of its decision; and
- 25.3.4 in the event that the Alternate Lead Authority agrees that the Operator has not engaged in good faith, then the Lead Authority may suspend or reduce BES 2 Funding paid to the Operator in respect of the disputed service or services or seek compensation in accordance with Schedule 3; or
- 25.3.5 in the event that the Alternate Lead Authority agrees that the Operator has engaged in good faith, the BES 2 Funding paid to the Operator shall continue.
- 25.4 If the Parties are unable to resolve a Dispute within two (2) months, the Parties shall attempt to settle the Dispute by mediation in accordance with the CEDR Model Mediation Procedure. Within ten (10) Working Days of service of referral to mediation, the mediator shall be nominated by CEDR. To initiate the mediation, one Party must serve notice in writing ("**ADR Notice**") to the other Party(s) requesting mediation. A copy of the ADR Notice should be sent to CEDR. Unless otherwise agreed between the Parties, the mediation shall start no later than ten (10) Working Days after the date of the ADR Notice.
- 25.5 If the Dispute is not resolved within ten (10) Working Days after service of the ADR Notice, any Party fails to participate or ceases to participate in the mediation before the expiry of that ten (10) Working Day period, or the mediation terminates before the expiry of that ten (10) Working Day period, the Dispute shall be finally resolved by the courts of England and Wales.
- 25.6 The Parties may by written agreement, agree to vary the time periods set out in this clause 25 to resolve a Dispute.

25.7 Any decision, judgement or settlement resulting from a Dispute determined in accordance with clause 25 shall be recorded in writing, signed by all the Parties involved, and shall be binding on the Parties. Where the Parties have submitted the Dispute to the Courts of England and Wales, the decision of the Courts of England and Wales shall be binding on the Parties.

26. CHANGE PROCEDURE

26.1 The Parties acknowledge and agree that from time to time during the Term, any Party may request a change to this Agreement. A Party may present its proposal for change to the other Parties who shall consider and discuss the proposal.

26.2 Where the Parties agree to amend the Agreement to reflect the proposal, they shall as soon as reasonably practicable (and in any event within twenty (20) Working Days), evaluate the proposal to determine whether it remains in accordance with the Wales Transport Strategy and associated transport plans and propose and agree the amendments required to the Agreement.

26.3 The Parties shall take all reasonable steps to implement those amendments to the Agreement as soon as reasonably practicable. The Parties acknowledge that any changes agreed pursuant to this clause, are not subject to the general amendment clause at clause 29.

27. LIMITATION OF LIABILITY

27.1 References to liability in this clause 27 include every kind of liability arising under or in connection with this Agreement including but not limited to liability in contract, tort (including negligence), misrepresentation, restitution or otherwise. No Party may benefit from the limitations and exclusions set out in this clause in respect of any liability arising from its deliberate default.

27.2 Nothing in this Agreement limits any liability which cannot legally be limited, including but not limited to liability for:

27.2.1 death or personal injury caused by negligence; or

27.2.2 fraud or fraudulent misrepresentation.

27.3 Subject to clause 27.1 and 27.2:

27.3.1 the Public Sector Parties' total liability under and in connection to this Agreement shall in no event exceed an amount equal to the total amounts payable to the Operator up to the date that this Agreement is terminated; and

27.3.2 the Operator's total liability under and in connection to this Agreement shall in no event exceed an amount equal to the total amounts payable to the Operator under the terms of this Agreement.

28. ASSIGNMENT

28.1 This Agreement is personal to the Parties and may not be assigned (whether absolutely or by way of security and whether in whole or in part), sub-contracted, transferred, mortgaged, charged, declared in trust for a third party, or otherwise disposed of in any manner whatsoever to any third party without the prior written consent of the other Parties and any such purported dealing in contravention of this clause shall be ineffective.

28.2 In the event that the Operator disposes of its business (or part of its business), the Operator shall act reasonably to:

28.2.1 ensure that the party to which its business is transferred enters into an agreement on equivalent terms to this Agreement in respect of that business (or part of the business) (including, where agreed the rights and obligations in respect of the Umbrella Partnership Agreement or any other agreement entered into to further the intent of this Agreement); and

28.2.2 terminate its participation under this Agreement in accordance with clause 11.8, to the extent that the whole of business is disposed of; and

28.2.3 amend this Agreement to reflect the remaining business where part of the business is disposed of.

29. AMENDMENT

29.1 This Agreement may only be amended, modified, varied or supplemented in writing signed by or on behalf of all of the Parties to this Agreement.

29.2 The Parties shall, as soon as reasonably practicable following the coming into force of any legislation, regulations or statutory instruments (or any amendments to existing legislation, regulations or statutory instruments) which impacts the terms of this Agreement, review and, if necessary, amend the terms of this Agreement to account for such changes.

30. WAIVER

The rights and remedies of the Parties shall not be affected by any failure to exercise or delay in exercising any right or remedy or by the giving of any indulgence by any other Party or by anything whatsoever except a specific waiver or release in writing and any such waiver or release shall not prejudice or affect any other rights or remedies of the Parties. No single or partial exercise of any right or remedy shall prevent any further or other exercise thereof or the exercise of any other right or remedy.

31. NOTICES

31.1 Any notice (including any approval, consent or other communication) in connection with this Agreement shall be given in writing and shall either be personally left at the address of the addressee or sent by pre-paid first class post or be sent by electronic mail. The address for service of a Party shall be its address as stated in clause 31.2 or any other address or electronic mail address notified to the other Parties in accordance with this clause 31.1.

31.2 The addresses for service of notices are:

The Operator

- a) Address: [ADDRESS]
- b) For the attention of: [POSITION OF CONTACT]
- c) Email address: [EMAIL ADDRESS]

Welsh Ministers

- a) Address: [ADDRESS]
- b) For the attention of: [POSITION OF CONTACT]
- c) Email address: [EMAIL ADDRESS]

Transport for Wales

- a) Address: [ADDRESS]
- b) For the attention of: [POSITION OF CONTACT]
- c) Email address: [EMAIL ADDRESS]

Lead Authority

- a) Address: [ADDRESS]
- b) For the attention of: [POSITION OF CONTACT]
- c) Email address: [EMAIL ADDRESS]

31.3 In the absence of evidence of earlier receipt, any notice shall take effect from the time that it is deemed to be received in accordance with clause 31.4.

31.4 A notice is deemed to be received:

31.4.1 in the case of a notice personally left at the address of the addressee during normal working hours, upon delivery at that address or if not during normal working hours the next Working Day; or

31.4.2 in the case of a first class posted letter (within the United Kingdom), on the third Working Day after posting; or

31.4.3 in the case of an email, in the absence of a delivery error message, at the time of sending to the relevant addressee,

and for the purpose of deemed receipt under this clause 31.4, it shall be sufficient to prove that personal delivery was made or that the envelope containing the posted notice was properly addressed or the email contained the correct email address.

32. SEVERABILITY

If any term of this Agreement is found by any court or body or authority of competent jurisdiction to be illegal, unlawful, void or unenforceable, such term will be deemed to be severed from this Agreement and this will not affect the remainder of this Agreement which will continue in full force and effect.

33. THIRD PARTY RIGHTS

33.1 Save as otherwise expressly provided for in this Agreement, a person who is not a party to this Agreement shall have no rights under the Contracts (Rights of Third Parties) Act 1999 to enforce any term of this Agreement. This does not affect any right or remedy of a third party which exists, or is available, apart from that Act.

33.2 Where a Lead Authority and/or Constituent Local Authority is stated as having a right pursuant to this Agreement the Lead Authority and/or Constituent Local Authority shall be entitled to exercise that right pursuant to the terms of this Agreement, notwithstanding that it is a third party.

33.3 The rights of the Parties to terminate, rescind or agree any variation to this Agreement are not subject to the consent of any other person.

34. ENTIRE AGREEMENT

34.1 Subject to clause 34.2, with the Previous BES Funding Arrangements, this Agreement constitutes the entire agreement between the Parties and supersedes any prior agreement or arrangement in respect of its subject matter and:

34.1.1 no Party has entered into this Agreement in reliance upon, and will have no remedy in respect of, any misrepresentation, representation or statement (whether made by any other Party or any other person and whether made to the first Party or any other person) which is not expressly set out in this Agreement; and

34.1.2 the only remedies available for any misrepresentation or breach of any representation or statement which was made prior to entry into this Agreement and which is expressly set out in this Agreement will be for breach of contract.

34.2 Nothing in this clause 34 shall be taken to affect the terms of any Existing Supported Services Contract or New Supported Services Contract between any of the parties to this Agreement, including any amendments to such contracts effected by the terms of this Agreement.

34.3 For the avoidance of doubt, nothing in this clause 34 will be interpreted or construed as limiting or excluding the liability of any person for fraud or fraudulent misrepresentation.

35. COUNTERPARTS

This Agreement may be executed in any number of counterparts, and by the Parties as separate counterparts but will not be effective until each Party has executed at least one counterpart. Each counterpart shall constitute an original of this Agreement, but all the counterparts shall together constitute one and the same Agreement.

36. GOVERNING LAW AND JURISDICTION

36.1 This Agreement and any non-contractual obligations arising out of or in connection with it shall be governed by and construed in accordance with Welsh law.

36.2 Subject to the Dispute Resolution Procedure, the courts of England and Wales have exclusive jurisdiction to determine any dispute arising out of or in connection with this Agreement including (without limitation) in relation to any non-contractual obligations.

This Agreement has been entered into on the date stated at the beginning of this Agreement.

Signed for and on behalf of **WELSH
MINISTERS** by:

)
)

Signature

Name (block capitals)

**Director/authorised
signatory**

Signed for and on behalf of **TRANSPORT
FOR WALES** by:

)
)

Signature

Name (block capitals)

**Director/authorised
signatory**

Signed for and on behalf of [**LEAD
AUTHORITY**] by:

)
)

Signature

Name (block capitals)

**Director/authorised
signatory**

Signed for and on behalf of [**OPERATOR**]
by:

)
)

Signature

Name (block capitals)

**Director/authorised
signatory**

SCHEDULE 1: WELSH GOVERNMENT REQUIREMENTS

The Parties acknowledge and agree that in consideration of the Welsh Government providing the BES 2 Funding and other payments pursuant to this Agreement, the Operator shall comply with the following obligations. Failure to comply with these obligations will constitute a material breach under the terms of this Agreement:

1. Safety of passengers and staff is paramount

1.1 In providing Local Services the Operator shall comply with the Welsh Government's "Restarting public transport: guidance for operators" (<https://gov.wales/restarting-public-transport-guidance-operators-html>) and any updated guidance provided in response to emerging requirements to respond to the public health impact of the COVID 19 pandemic.

2. Reforming Service Delivery

2.1 The Operator shall support the introduction of new and emerging institutional arrangements between the Public Sector Parties that Welsh Government believe are reasonably required to more effectively support the management of bus services in Wales in the future.

2.2 The Operator shall, in good faith, engage with TfW, Welsh Government and the Lead Authorities on behalf of their Constituent Local Authorities to reform funding and reimbursement mechanisms such as BSSG and the Concessionary Travel Scheme to improve the quality and viability of the local services available to passengers in Wales.

2.3 The Operator shall work with TfW and Welsh Government and other operators to develop a vehicle replacement strategy which will help to inform Welsh Government's plans for a sustainable public transport fleet. Subject to the availability of funding and compliance with state aid rules, Welsh Government may fund measures to bring the national fleet up to the required minimum standard.

2.4 Welsh Government is in the process of updating the requirements for the Economic Contract Plan with which all bus operators in receipt of Government funding will be required to sign up to. Once the updated guidance has been published, the Operator shall produce an Economic Contract for approval by TfW, acting reasonably and on behalf of Welsh Government, within (6) six months of publication of the guidance.

2.5 Following the issue of the updated requirements for the Economic Contract Plan, pursuant to paragraph 2.4, TfW shall set out a timetable and process for the development, review, approval and monitoring of the Operator's Economic Contract.

2.6 The Parties acknowledge that, at the time of signing this Agreement, the Operator will not have had sight of the requirements for the Economic Contract Plan. TfW and Welsh Government shall work with the Operator and representatives of the bus industry to reach agreement on affordable and sustainable options for implementing such requirements.

2.7 In advance of the development of the new requirements for the Economic Contract Plan, the Operator shall commit to complying with the principles of the current Economic Contract ([found here](#)), specifically with respect to:

2.7.1 growth potential;

2.7.2 fair work;

- 2.7.3 promotion of health, including a special emphasis on mental health, skills and learning in the workplace; and
- 2.7.4 progress in reducing carbon footprint.
- 2.8 The Operator acknowledges that Welsh Government intends that the Operator's Economic Contract and delivery against the same may form a key part of:
 - 2.8.1 the evidence for the scoring of future competitions for grant funding or other contracts which make use of Welsh Government funding; and
 - 2.8.2 the conditions for other statutory and non-statutory schemes relating to the funding of the bus industry in Wales which Welsh Government may introduce in the future.

3. **Improving the Passenger Experience**

The Operator shall use reasonable endeavours to work with the Lead Authority, the Constituent Local Authorities and TfW to increase patronage and social inclusion on bus services and the wider public transport network in Wales.

3.1 **Routes**

- 3.1.1 To the extent that reinstatement of the pre-COVID 19 network meets the Priorities and can be provided within the funding available, the Operator shall, by agreement with the Lead Authority, progressively re-instate the network of services that the Operator provided prior to the impact of COVID 19.
- 3.1.2 The Lead Authority shall work with the Operator and the Constituent Local Authorities to determine what changes may be required to the network of services provided by the Operator in response to changing passenger demand and patterns of travel and shall authorise such changes, including the use of alternative delivery modes, in line with the Reference Network. Such changes may include adjustments to the Operator's timetables and routes, where these are necessary to integrate the Operator's services, other bus services and modes of transport to provide passengers with improved journey times and a better experience of public transport.
- 3.1.3 During the term of this Agreement, and reflecting the material funding being provided by Welsh Government to support continued provision of Local Services by the Operator, the Operator shall seek permission from the Lead Authority prior to registering any new service. Such permission shall not be unreasonably withheld where the Operator demonstrates compatibility of such service with the Reference Network or justifies the change to the Reference Network based on passenger need and positive impact on value for money for the Lead Authority.

3.2 **Fares and Ticketing**

- 3.2.1 The Operator shall demonstrate that it has sought to improve value for money for passengers by confirming that it has considered options for capping and rationalising fares. No increase in fares will be allowed during the Term of this Agreement unless it is part of a proposal, approved by the Lead Authority, to improve overall value for money for passengers.

3.2.2 The Parties shall work together to develop and implement ticketing schemes for the benefit of passengers and the Operator, whether proposed on a statutory or non-statutory basis subject to compliance with competition law.

4. Negative Conditions

For the Term of this Agreement the Operator shall not:

- 4.1 act in a way which is primarily intended or expected to make cost effective delivery of the Reference Network more difficult;
- 4.2 carry out their business in a manner which can be shown to, overall, have the intent or expectation of reducing passenger benefits from the bus network in Wales; and
- 4.3 register Local Services which have the primary effect of undermining the value for money of the Subsidised Network (provided that nothing in this paragraph 4 shall prohibit the Operator from replacing an Existing Supported Service or New Supported Service with a Commercial Service which provides the same or better service across all hours of operation of the Supported Service.

5. Exit from BES 2

Where clause 10.2 applies, the Operator acknowledges that it is a condition of the payments made under this Agreement that the Operator will work with the Lead Authority, TfW and other operators to develop a set of partnership obligations which will preserve and improve the benefits to passengers embodied in the Welsh Government requirements set out in this Schedule, recognising the fact that such obligations must be compliant with competition law.

SCHEDULE 2: PARTNERSHIP THEMES

The Parties acknowledge the following matters shall be taken into consideration when agreeing the Umbrella Partnership Agreement and may either be included within the terms of that agreement or may be included as provisions to consider in the implementation of VPAs or other partnership arrangements at a local level.

The Parties shall use the draft form of VPA appended to this Schedule at Section 1 as a template when producing the Umbrella Partnership Agreement.

In developing the Umbrella Partnership Agreement, the Parties agree to build on the Welsh Government requirements as set out in Schedule 1 and to agree a shared, enforceable set of partnership obligations to govern the partnership. Examples of such obligations include the Operators working with TfW and the Lead Authority to develop and, where agreed, implement proposals to:

1. register routes and timetables that support the journey times and interchange opportunities identified in the Reference Network;
2. consolidate core routes, including determining how passengers can benefit from services on core routes irrespective of bus operator, to the extent enabled by competition law;
3. de-duplicate and harmonise route numbering;
4. identify unserved markets and routes that could serve those markets;
5. develop and implement a code of practice on employment terms and driver standards to offer a safe and high quality service to passengers;
6. facilitate the introduction of demand responsive or other approaches to service delivery, e.g. by deregistering the existing Local Services, where it is identified that routes may be more effectively served by other means;
7. align new routes within the Reference Network where appropriate whilst allowing the Operator innovation in respect of new routes and bus services;
8. improve value and/or convenience for passengers. This shall, to the extent enabled by competition law, include working with TfW and the Constituent Local Authorities on the introduction of ticketing schemes (whether statutory or voluntary) which may:
 - 8.1 introduce pay as you go capping;
 - 8.2 rationalise fares; and/or
 - 8.3 introduce day and/or weekly tickets,
9. establish multi-operator ticketing schemes;
10. provide information to support passengers, including the prompt communication of changes to bus timetables through Traveline Cymru, Lead Authority, Constituent Local Authorities and TfW; and
11. invest in bus services alongside the Welsh Government's and Constituent Local Authorities' investment in infrastructure with the aim of improving customer experience.

Section 1: FORM OF UMBRELLA PARTNERSHIP AGREEMENT

SCHEDULE 3: COMPENSATION, PAYMENT AND RECONCILIATION

Part 1: General and information provision

The Operator shall provide such information to TfW and the Lead Authority as they may reasonably require in order to calculate support payments, reconciliation payments and compensation to be paid pursuant to this Schedule 3.

Part 2: Payment

1. The Service Payment (SP) shall be calculated as follows:

$$SP = PC + AM - PR + RP - CP$$

Where:

- 1.1 Service Payment (SP): shall be calculated monthly and in accordance with the following:
 - 1.1.1 the first Service Payment under this Agreement, shall be calculated for a part month to take account of the Effective Date. Service Payments shall be paid on the same basis as BES 1.5 until the Parties agree a revised process to incorporate the provisions of this Part 1 of Schedule 3. The Parties shall use reasonable endeavours to agree the revised process by no later than sixty (60) days after the Effective Date. Once the revised process for payment has been agreed, the Parties agree that paragraphs 1.1.3 and 1.1.4 below shall be updated to reflect such agreement. Any adjustments to allow for actual costs, margin and revenue during this first period shall be taken into account as part of the reconciliation process set out in Part 3 of this Schedule;
 - 1.1.2 the Lead Authority shall on a monthly basis by no later than the []th day of each month, notify the Operator of the proposed Service Payment providing reasonable detail as to how it has been calculated in accordance with this Schedule;
 - 1.1.3 the Service Payment shall be paid by the Lead Authority within [] days of the Operator issuing an invoice following receipt of the notice in paragraph 1.1.2 in respect of a month, in respect of provision of services for that month; and
 - 1.1.4 where this Agreement terminates or expires, other than at the end of a month, the Lead Authority shall, acting reasonably, determine the date and calculation of payment to ensure that the Operator is paid for provision of Services throughout the term of this Agreement.
- 1.2 Period Costs (PC): shall be such value as the Lead Authority may calculate in accordance with paragraph 1 of Section 1, noting that Inadmissible Costs, as set out in Section 2 to this Schedule, shall not be included in the calculation of PC;
- 1.3 Assumed Margin (AM): shall be the assumed margin payable to the Operator for provision of the Services and shall be a percentage applied to these elements of the Period Costs (PC) for the relevant period i.e. direct costs, variable costs and overhead costs. The AM shall be initially set at 2% of the value of the Periodic Cost. The Parties agree that during the Term, this assumed margin set at 2% shall be subject to ongoing review by Transport for Wales and Welsh Government to ensure that it remains an appropriate percentage to pay Operators as a margin in addition to their costs in accordance with Schedule 5;

- 1.4 Periodic Revenue (PR): shall be all revenue received by the Operator in respect of the relevant period as the Lead Authority may calculate in accordance with paragraph 1 of Section 1;
- 1.5 RP: is any reconciliation payment in accordance with Part 3, and shall be a positive figure where the Reconciliation Payment is to be made to the Operator and a negative figure where a Reconciliation Payment is to be made to the Lead Authority; and
- 1.6 CP: is any compensation payment payable pursuant to Part 4.
- 2. Where:
 - 2.1 SP is a positive figure then this amount shall be paid by the Lead Authority to the Operator, provided that the value of SP shall always be capped at a maximum at the level calculated in accordance with Section 1 (which may vary each month in line with the calculation); and
 - 2.2 SP is a negative figure then this amount shall be paid to the Lead Authority by the Operator, in each case in accordance with clause 9 and this Schedule.
- 3. The Operator shall participate in an open book reconciliation process with TfW and the Lead Authority in accordance with Part 3 to allow assessment of costs to ensure that the Operator has not been overcompensated and that payments reflect the reasonable cost of providing the Services with no more than a reasonable profit earned. Where the reconciliation process determines that the Operator has been over-compensated in any month, the value of the Monthly Costs payable in following months shall be adjusted, at the discretion of the Lead Authority (acting reasonably), such that, the Monthly Service Payment made by the Lead Authority reflects the Lead Authority's expectation of the Operator's costs in future months.
- 4. The Operator acknowledges and agrees that where it fail to provide information in accordance with Section 1 of Schedule 3, this may result in a reduction in the Service Payment to:
 - 4.1 50% in the following month; and
 - 4.2 no payment in the month following the 50% reduction,
 provided that where the operator provides such information the balance of such payment shall be made as part of the next Service Payment.

Part 3: Reconciliation

- 1. The Operator shall participate in an open book reconciliation exercise with TfW and the Lead Authority to enable them to assess compliance by the Operator with the terms of this Agreement and ensure that the Operator has not been over-compensated or under-compensated for provision of services pursuant to the terms of this Agreement. The Operator acknowledges that the support provided to the Operator pursuant to the terms of this Agreement cannot lead to:
 - 1.1 over-compensation of the Operator, and where it is determined that the Operator has been over-compensated for provision of any Local Service that the Lead Authority shall be entitled, on behalf of Welsh Government, to recover the amount of any over-compensation, in accordance with this Part 3 of Schedule 3; or
 - 1.2 under-compensation of the Operator, and where it is determined that the Operator has been under-compensated for provision of any Local Service as a result of events which were outside the reasonable control of the Operator (including the impact of exceptional weather related

events and material unforeseen variations in passenger revenues), and in such circumstances the Lead Authority shall be entitled, on behalf of Welsh Government, to add the amount of any under-compensation to the next Service Payment provided in aggregate provided that the total Service Payments made to the Operator, including any such payments, shall not exceed the maximum levels calculated in accordance with Section 1.

2. The reconciliation process shall be carried out in accordance with paragraph 2 of Section 1 to this Schedule 3.
3. TfW may determine materiality thresholds for the carrying out of the reconciliation process, and determine that it would be disproportionate to carry out a reconciliation process in respect of the Operator. Such decision shall be solely at TfW's discretion, and where TfW makes any such decision, the Operator acknowledges that this shall be without prejudice to any future requirement to examine payments made to the Operator, including where this is required for the purposes of state aid, procurement or competition assessment. It is acknowledged that TfW may determine materiality thresholds by reference to level of payments made to the Operator, or such other criteria as TfW may determine are appropriate.
4. The Operator shall provide any information reasonably required by TfW or the Lead Authority on an open book basis, including, but not limited to, information specified in Part 1 to Schedule 4.
5. Information provided for this purpose may be shared with contractors that are engaged by TfW to undertake any reconciliation exercise or other analysis of the BES 2 Funding.

Part 4: Compensation

1. Where pursuant to the terms of this Agreement, the Lead Authority or Welsh Government are entitled to be paid compensation by the Operator for breach of the terms of this Agreement, the provisions of this Part 4 shall apply, including:
 - 1.1 where the Operator is in material breach of this Agreement;
 - 1.2 where the Operator fails to agree the terms of the Umbrella Partnership Agreement, in accordance with clause 5.1;
 - 1.3 where the Operator fails to comply with the Welsh Government's "Restarting public transport: guidance for operators" in accordance with paragraph 1.1 of Schedule 1;
 - 1.4 where the Operator fails to comply with the Reference Network and associated Service Standards in accordance with clause 8; and
 - 1.5 where the Operators fails to provide data in accordance with clause 7,

and the Lead Authority shall allocate service failure points ("**SFP**") in respect of each such breach on the following basis:

Trigger	Service Failure Points
Operator fails to agree the terms of the Umbrella Partnership Agreement, in accordance with clause 5.1.	1 SFP for each day following the date on which the Umbrella Partnership Agreement remains unagreed in accordance with clause 5.1.
Operator fails to comply with the Welsh Government's "Restarting public transport: guidance for operators" in accordance with paragraph 1.1 of Schedule 1.	20
Operator fails to comply with the Reference Network and associated Service Standards in accordance with clause 8.	30
Operators fails to provide data in accordance with clause 7	20
Total:	100

Compensation Payments shall be calculated on the following basis:

$$CP = AM \times \frac{SFP}{MSFP}$$

Where:

- 1.5.1 AM means the Assumed Margin for the relevant period as calculated in Part 2 above.
- 1.5.2 SFP means the total number of Service Failure Points allocated in respect of the relevant period.

- 1.5.3 MSFP means the maximum number of Service Failure Points which may be allocated in respect of the relevant period, which shall be 100.
- 1.6 Where SFP's have been allocated for the same trigger in three (3) consecutive months or more, the Lead Authority or Welsh Government shall be entitled to terminate this Agreement in accordance with clause 11.2.

Section 1: INFORMATION TO BE PROVIDED BY THE OPERATOR

Definitions

"Good and Efficient Operator" means in the context of all other relevant provisions of this Agreement a notional bus operator, having the same commercial, regulatory and operational arrangements as the Operator and being subject to the same operational circumstances (which, for the avoidance of doubt, shall recognise the extraordinary impact of COVID-19, the existence of this Agreement and the requirement for operators to act in the national interest in response to COVID-19) as other bus operators, which complies with its legal obligations, including pursuant to this Agreement and in a timely, efficient and economical manner and with the degree of skill, diligence, prudence and foresight which can be expected from a skilled and experienced bus operator so that in this context costs and revenues are optimised in combination to the greatest extent reasonably practicable;

"Forecast Template" means the Excel spreadsheet issued by TfW, as updated from time to time, to capture forecast revenue and costs for the purpose of calculating the Service Payment;

"Inadmissible Costs" means those costs which are listed in Section 2 to Schedule 3;

"Management Accounts" means the periodic management accounts which cover the relevant Quarter;

"Month" means a calendar month;

"Operator Specific Reporting Period" means a four-weekly, five weekly, monthly or similar cycle on which the Operator posts its accounts;

"Quarter" means a period of three (3) months (April to June, July to September, October to December and January to March), or such other three (3) month period as TfW may reasonably specify;

"Reconciliation Period" means the closest multiple of the Operator Specific Reporting Period to the Quarter, to be agreed with the Operator; and

"Reconciliation Template" means the Excel spreadsheet issued by TfW, as updated from time to time, to capture the actual revenue and income generated and costs incurred by the Operator for the relevant Quarter.

1. Information to be provided Monthly

1.1 In order for PC and PR to be calculated in accordance with paragraph 1 of Schedule 3, for each Month, the Operator shall complete the Forecast Template which provides high level details on the forecast revenue and costs for that Month;

1.2 TfW will provide the Forecast Template for the Operator to complete and return to TfW within fourteen (14) days of the Operator issuing an invoicing following receipt of the notice from the Lead Authority notifying the Operator in reasonable detail of the proposed Service Payment or on such other date as may be agreed with TfW.

1.3 The Operator shall be required to populate the following items in the Forecast Template in respect of all Local Services that they provide, including Commercial Services, Existing Supported Services, Former Commercial Services and New Supported Services:

1.3.1 Forecast farebox revenue: based on the current month's predicted outturn plus adjustment for seasonal factors, including, but not limited to Christmas, Easter and school holidays;

1.3.2 Forecast funding: This shall reflect all funding received by the Operator, including but not limited to BSSG, Mandatory Concessionary Fare reimbursement, Young

Persons Travel payments, CJRS, Job Retention Bonus and Job Support Scheme (as amended or replaced from time to time);

- 1.3.3 Other income: This shall reflect all other income received by the Operator arising from the provision of Local Services, including but not limited to income received from advertising, maintenance and sales; and
 - 1.3.4 Forecast Cost: These shall be broken down by headings, e.g. Staff Costs, Fuel/Maintenance Costs, Overhead Costs, Interest, Depreciation etc.
- 1.4 The Forecast Template will use the information provided in line with paragraph 1.3 to calculate the value of Assumed Margin in accordance with the principles set out in paragraph 2 of Schedule 3.

2. Information to be provided for each Reconciliation Period

- 2.1 In order for RP to be calculated in accordance with paragraph 1 of Schedule 3, at the end of each Reconciliation Period the Operator shall complete the Reconciliation Template which provides details on the actual revenue and income generated and costs incurred in the relevant Reconciliation Period.
- 2.2 TfW will provide the Reconciliation Template for the Operator to complete and return to TfW within fifteen (15) Working Days of the end of the relevant Reconciliation Period.
- 2.3 The Operator shall be required to populate the Reconciliation Template, which TfW may reasonably update from time to time, in respect of all Local Services that they provide, including Commercial Services, Existing Supported Services, Former Commercial Services and New Supported Services. Such information to be provided for each Month in the Reconciliation Period in question plus the figures for the same three (3) Months in the prior year (only required for submissions up to the date when the Operator has provided a full prior years' data to TfW, being data up to [31 March 2021] for most operators).
- 2.4 In the event where any of the Operator's Local Services operate across the Welsh border, the Operator shall assist with any further examination and analysis of the information provided in paragraph 2.3 above to ensure that the BES 2 Funding it receives, does not relate to the section of such Local Service which is outside of Wales.
- 2.5 Once the Operator has submitted the Reconciliation Template, this shall be evaluated by TfW to ascertain whether a Reconciliation Payment adjustment will be made to the next Service Payment following the completion of the reconciliation process in this Schedule 3.
- 2.6 In determining the level of Reconciliation Payment, TfW may request further information or evidence from the Operator as it reasonably requires, such as, but not limited to Management Accounts or receipts relating to certain transactions.
- 2.7 TfW shall use the Reconciliation Template and additional information to check whether any costs included in the template are Inadmissible Costs and may amend the Reconciliation Template to adjust the Reconciliation Payment accordingly where any costs are Inadmissible Costs.
- 2.8 Where Inadmissible Costs are identified and the Period Costs (as defined in Part 2 of this Schedule) are re-calculated, the reconciliation exercise shall include consequential adjustments and reconciliation of the Assumed Margin to reflect the change in Period Costs.

Section 2: INADMISSABLE COSTS

The following costs shall be Inadmissible Costs for the purposes of this Agreement:

1. The Operator agrees and acknowledges that: (i) only reasonable costs incurred and evidenced as ongoing and repeat transactions shall be taken into account; and (ii) it shall operate efficiently during the Term.
2. The Operator shall seek approval from the Lead Authority prior to incurring any material costs which are not ongoing and repeat transactions and agree the basis upon which such transactions will be considered for the purposes of this Schedule 3. Material costs may include investment in vehicles, information technology, costs of depot purchase or refurbishment or major items of plant and equipment. The Lead Authority shall take the following considerations into account when determining the eligibility for BES 2 Funding such costs:
 - 2.1 evidence from the Operator to confirm that such expenditure was in their business plans and/or is required in the current COVID affected circumstances and cannot be deferred until patronage and farebox return to pre-COVID levels;
 - 2.2 confirmation from the Operator that they have explored all other routes for grants and funding such expenditure;
 - 2.3 a forecast of the net impact of the additional expense on their claims under this Agreement; and
 - 2.4 confirmation from the Operator that they will be able to sustain any ongoing payments for this following the cessation of the BES 2 Funding.
3. For the avoidance of doubt, the reconciliation process will not take into account any capital expenditure, exceptional (non-operating) payments or dividend payments in determining whether the Operator has generated a profit before tax, or a loss at the end of each Reconciliation Period. The Lead Authority shall determine whether any capital expenditure will be reimbursed in accordance with paragraph 2 above and will be paid in addition to the Service Payment as calculated pursuant to paragraph 1.1, of Part 2 of Schedule 3.
4. Any costs that were incurred otherwise than in accordance with those expected to be incurred by a Good and Efficient Operator including but not limited to:
 - 4.1 staff, director or officer costs in excess of that set out in the Forecast Template (except where evidenced by the Operator as appropriate to the satisfaction of the Lead Authority);
 - 4.2 costs that do not reflect the contracted position under Existing Supported Services Contracts unless such change has been agreed by the Lead Authority;
 - 4.3 new contracts entered in to by the Operator which have not been procured in compliance with the Operator's usual procurement procedures; and
 - 4.4 variations to existing contracts which have not been made in accordance with the Operator's usual procurement procedures or practice.
5. Any bonuses, rewards or discretionary benefits paid to any staff, directors or officers under any schemes which have not previously been approved by the TfW (in their absolute discretion) in writing.

6. Any expenses, disbursements or equivalent costs (to which the Operator's expenses policy would apply) which are incurred other than in compliance with the Operator's expenses policy.
7. Any cost that the Operator may incur as a result of it failing to comply with any applicable laws, to the extent this gives rise to a criminal liability.
8. Any payments, costs or other liabilities owed to affiliates save in respect of such payments costs or other liabilities which have been incurred by the Operator acting as a Good and Efficient Operator.
9. Costs of developing and protecting any Intellectual Property Rights which are not owned by the Operator or are so owned, but where the costs are not ancillary to an activity included in the Forecast Template.
10. Marketing or advertising costs incurred substantially to the benefit of wider group products or group brand recognition and which are not primarily for the benefit of bus services.
11. Fines from government or regulatory bodies.
12. Any costs (including any legal costs and expenses) incurred by the Operator in pursuing any claim against or defending any claim from TfW or Welsh Government in respect of or in connection with the grant offer letter or otherwise.
13. Any costs incurred in relation to the period prior to the BES Funding Period which a Good and Efficient Operator would usually have discharged in the period prior to the BES Funding Period.
14. Any costs incurred in relation to the period prior to the expiry of the term of the BES Funding Period which a Good and Efficient Operator would usually have discharged in the period following the expiry of the BES Funding Period.
15. Interest paid or payable on any loan from any lender that was taken out after the Effective Date (and subject to not having been approved in accordance with paragraph 2 in this Section 2), noting that the cash from such loan will not be taken into account as income in the reconciliation process.
16. Except with the prior agreement of the Lead Authority or TfW (not to be unreasonably withheld), any costs, charges, penalties, compensation or similar payments that the Operator may incur as a result of the termination of any contract or other arrangement.
17. Except with the prior agreement of the Lead Authority or TfW, losses on disposals of fixed or non-current assets.
18. Maintenance costs where the maintenance activity was previously scheduled to be undertaken prior to or after the term of the BES Funding Period or where (and to the extent that) it would have been reasonable and/or prudent for the maintenance to have been carried out prior to or after the BES Funding Period.
19. Depreciation or Capital Expenditure to the extent that the capital cost of acquisition of the relevant assets was to be funded by third party.
20. Costs of complying with any audit by TfW or its agents pursuant to any grant offer letter or this Agreement.

21. Reasonable costs for external assistance to complete this proforma up to £1,500 are not Inadmissible Costs. Any amount in excess of £1,500 plus legal, accountancy and other costs and expenses incurred in connection with the preparation and implementation of this Agreement are Inadmissible Costs.
22. Legal, accountancy and other costs and expenses incurred in connection with any future arrangements between the Lead Authority or TfW and the Operator following the BES Funding Period.
23. Travel costs (including flight travel) of the Operator primarily relating to the business of their group, noting that TfW would expect the group to cover the cost of any such travel.
24. Any costs which relate to that part of a Local Service which operates outside of Wales which shall be calculated on a pro rata basis to the length of the Local Service or as otherwise more accurately evidenced by the Operator.

SCHEDULE 4: DATA REQUIREMENTS

Part 1: Financial Data Requirements

The Operator shall provide the following data in accordance with templates provided by TfW and updated from time to time, in respect of Commercial Services, Former Commercial Services and Local Services provided pursuant to Existing Supported Services Contracts and New Supported Services Contracts:

1. Operational costs and revenue from the period covered by BES (including this Agreement and BES 1.5), the Bus Hardship Fund and the 20 March Letter scheme as well as costs and revenues covering a similar period prior to the commencement of the BES, the Bus Hardship Fund and the 20 March Letter schemes. Where intra-group costs are shown, you must be able to show evidence that these are properly incurred costs of providing the services. These figures shall be disaggregated to show major cost and revenue sources, and shall include any payments received from local authorities and central Government such as:
 - 1.1 payments made under the Coronavirus Jobs Retention Scheme, Job Retention Bonus, Job Support Scheme and any replacement schemes;
 - 1.2 payments (and any reconciliation payments) made under BES including Service Payments received;
 - 1.3 payments pursuant to the terms of any Existing Supported Services Contract or New Supported Services Contract;
 - 1.4 payments under existing bus support arrangements including BSSG, Mandatory Concessionary Fare reimbursement and Young Persons travel payments and shall include any costs associated with the operation of such Local Services, including:
 - 1.4.1 direct costs, such as the costs of drivers, parts and fuel (fuel costs shall include the amounts payable or receivable on fuel related financial derivatives in respect of the relevant period, but exclude any "mark to market" gains or losses on financial derivatives);
 - 1.4.2 semi-direct costs, including but not limited to: the costs of engineering, maintenance, traffic pay, vehicle related costs and marketing;
 - 1.4.3 costs of additional holidays accrued by employees in the relevant claim period;
 - 1.4.4 overhead costs, including but not limited to: the costs of administration, pensions, fixed operating costs, insurance and claims;
 - 1.4.5 pensions expenses, including budgeted pension deficit repair costs, on the basis of the ongoing contributions payable for the relevant period, without adjustment to comply with accounting standards;
 - 1.4.6 operating lease costs on the basis of the lease rentals payable during the Term;
 - 1.4.7 depreciation and amortisation of property, plant, equipment, software and other applicable assets on a basis consistent with the Term; and
 - 1.4.8 reasonable PPE and safe operating costs.

2. Revenue sources to also include farebox revenue generated and all other income received by the Operator, including but not limited to income received from advertising and sales in relation to Local Services.
3. Commercial service kilometres covered by the operator's services per 4-week period during the period covered by BES (including this Agreement and BES 1.5), the Bus Hardship Fund and the 20 March Letter Scheme and that for a similar period prior to the commencement of the BES, the Bus Hardship Fund and the 20 March Letter Scheme.
4. Commercial services run and patronage data per 4 week period for the period covered by BES (including this Agreement and BES 1.5), the Bus Hardship Fund and the 20 March Letter Scheme and that for a similar period prior to the commencement of the BES, the Bus Hardship Fund and the 20 March Letter Scheme.
5. Evidence of the process that the Operator has undertaken with Constituent Local Authorities to agree services, including pursuant to the terms of this Agreement and that service changes have been properly communicated to the general public.
6. Evidence of the Operator's cost implications of removing staff from the furlough system early, reasonable costs to bring vehicles back into service, cost of screens around the driver's cab on buses, on bus capacity signage.
7. The same information as above for the equivalent period in the previous financial year.
8. Additional information (e.g. management accounts) to corroborate any submissions.

Part 2: Operational Data Requirements

Where the data is available to the Operator or from its Electronic Ticket Machines, the following data shall be provided by it to support the prioritisation, co-ordination and design of services and to support the provision of information to passengers. The data may be provided direct from the Operator's Electronic Ticket Machine supplier with its permission, not to be unreasonably withheld, or direct from the Operator. The data shall be provided to TfW (or its nominated agent which may be Traveline Cymru or a local authority):

Data	Format	Source	Scope
Timetable	TransXchange 2.4 to include all stop level detail and full geographic routing information	Scheduling software or entry into an online portal for conversion to TransXchange 2.4	Current timetable
Patronage Data	Report from ETMs	Direct from ETM/Operator	Historic and current to support prioritisation of routes
Passenger Counting/Capacity	SIRI VM feed as amended to include occupancy and bus capacity information or report from ETMs	Direct from ETM/Operator	Historic and current to support passenger information and prioritisation of routes
Origin and Destination Data	Report from ETMs	Direct from ETM/Operator	Historic and current to support prioritisation and design of routes
Fares	Spreadsheet Files for Adult and child fares, zone or rider tickets, m-tickets and multi operator tickets. Move to NeTEx format from January 2021	Direct from ETM/Operator	Historic and current to support passenger information and development of quality partnership schemes and ticketing schemes
Real Time Information	SIRI SM (where currently available)	Direct from ETM/Operator	Every 5-30 seconds
	SIRI VM	Direct from ETM/Operator	Every 5-30 seconds
	TransXchange 2.4 (as a minimum standard) to include Service number, journey code and crew/duty number information for each track/leg for each service Note that this will move to TransXChange 2.4 once the Department for Transport profile is finalised and adopted	Scheduling software or entry into an online portal for conversion to TransXchange 2.4	5 days advance notice where systems permit

Part 3: Permitted Use

1. Permitted Uses of the Operator Data shall be the following purposes:
 - 1.1 calculation of payments to be made in accordance with Part 2 of Schedule 3;
 - 1.2 periodic reconciliation in accordance with Part 3 of Schedule 3;
 - 1.3 calculation of any additional payments to be made in respect of provision of any additional services to be provided pursuant to clauses 12 (Existing Supported Services: Gross Cost), 13 (Existing Supported Services: Net Cost) or 15 (Supported Services Contracts for Former Commercial Services).
 - 1.4 to support the calculation and payment of BSSG, Mandatory Concessionary Fare Reimbursement or My Travel Pass reimbursement;
 - 1.5 identification of any anomalous Operator costs and for the purposes of any audit of operator data or otherwise pursuant to clauses 7.7 to 7.10 of this Agreement;
 - 1.6 the assessment the viability of routes to support return to commerciality and determine the scope of the Subsidised Network in accordance with clause 8;
 - 1.7 to allow review of the BES 2 Funding mechanism specified in this Agreement by Welsh Government and Transport for Wales, including, but not limited to, pursuant to Schedule 5;
 - 1.8 to inform the reform of funding and reimbursement mechanisms (including BSSG and Mandatory Concessionary Fares) by Welsh Government and Transport for Wales including assessing the impact (or potential impact) of such funding mechanisms (and changes to such funding mechanisms) on the operators of local services in the Welsh bus market;
 - 1.9 to support the management of contracts (including Existing Supported Service Contracts as varied in accordance with the terms of this Agreement) that are being managed under this Agreement including in respect of the delivery of local services in accordance with the Service Specification or to the Service Standards;
 - 1.10 development of the Umbrella Partnership Agreement, and any VPA, QPS or ticketing scheme made pursuant to the terms of such Umbrella Partnership Agreement;
 - 1.11 development of the Reference Network in accordance with clause 8;
 - 1.12 provide of public information about the Operator's Local Services and other Local Services operated in Wales;
 - 1.13 provision of a support service to the Traffic Commissioner, including a registration service (subject always to clause 7.5.1);
 - 1.14 inform investment decisions by Welsh Government, TfW and Local Authorities (including the Lead Authority); and
 - 1.15 inform the broader Welsh Government response to the COVID-19 outbreak.

Part 4: Public Sector Data Access and Confidentiality

Data provided	Confidential for the purposes of Clause 21	Commercially Sensitive for the purposes of Clause 23
Schedule 3 Part 2 Payment	Yes	Yes
Schedule 3 Part 3 Reconciliation	Yes	Yes
Schedule 3 Part 4 Compensation	Yes	Yes
Schedule 3 Part 4 Section 1 Information to be Provided by the Operator	Yes	Yes
Schedule 4 Part 1 Financial Data Requirements	Yes	Yes
Timetable	No	No
Patronage Data	Yes	Yes
Passenger counting/capacity	Yes	Yes
Origin and destination data	Yes	Yes
Fares	No	No
SIRI SM	No	No
SIRI VM	No	No
TXC supplementary data	Yes	Yes

SCHEDULE 5: FUNDING REVIEW

1. Funding Review

1.1 Welsh Government shall review the implementation of BES Funding on a periodic basis ("**Funding Review**"), at frequencies to be determined by Welsh Ministers at their sole discretion.

1.2 It is acknowledged that BES Funding has been provided on a discretionary basis by Welsh Government and that Welsh Government shall therefore be entitled to apply its own criteria to determine whether to continue the provision of BES 2 Funding, but such criteria may include:

1.2.1 Performance of the Bus Emergency Scheme (including this Agreement) against the available Funding in meeting the Priorities; and

1.2.2 The levels of Funding available.

1.3 The outcome of any Funding Review may include, but not be limited to, the following:

1.3.1 continuation of the BES 2 Funding on its existing terms;

1.3.2 changes to the BES 2 Funding terms, in which case the Agreement shall be varied in accordance with clause 29 to reflect the requirements of such change.

The Parties agree and acknowledge that the Operator may propose a reduced Service Standard to take account of any reduction in BES 2 Funding, save for where either:

1.3.2.1 BES 2 Funding is removed or reduced due to the removal of social distancing measures that previously impacted on transport capacity; or

1.3.2.2 Welsh Government provide an alternative grant or funding scheme in place of BES 2 Funding which is designed to provide continuity of service; or

1.3.3 ending the BES 2 Funding, in which case the Welsh Government shall use reasonable endeavours to provide the Lead Authority and the Operator with sufficient notice of such change in order to minimise the disruption to the Operator's delivery of Local Services. The minimum notice prior to ending the BES 2 Funding shall be the current period of notice to be provided to the Traffic Commissioner in respect of deregistration of Local Services except for where such decision arises as a result of UK government determining to terminate the financial settlement relating to the impact of COVID-19 on bus services or as a result of the Welsh Government budget setting round in which case the notice shall be a minimum of one (1) month.

1.4 Where BES 2 Funding is terminated pursuant to paragraph 1.3 above, no further payments shall be made pursuant to this Agreement, following such notice period, provided that nothing in this Schedule 5 shall be taken to remove the right of Welsh Government to recover monies paid to the Operator or the entitlement of the Operator to any additional payments calculated, in each case, pursuant to the reconciliation and compensation process specified in Schedule 3.

1.5 The Parties agree and acknowledge that as part of a Funding Review, Welsh Government may review the level of AM (as set out in Schedule 3) and make such adjustments as are reasonable

and necessary to ensure the continued viability of services. The review of the level of AM shall consider available Welsh Government budget, the levels of BES funding being provided to the bus industry and prevailing market conditions.

SCHEDULE 6: FORM OF SERVICE SPECIFICATION

Operator	Service Registrati on Number	Service number	Route description	Peak Vehicle Requirement (PVR)	Typical weekly days of operation	Mon-Sat First outward departure	Mon-Sat Last return departure	Number of departures per day per direction (Mon-Fri / Sat / Sun)	Weekday Peak daytime frequency in minutes

SCHEDULE 7: TEMPLATE REGISTER OF VARIATIONS

[Region and Operator Name]

No.	Contracting Authority	Contract Reference	Variation	Approver name	Signature and date of signature
1.					
2.					
3.					
4.					
5.					
6.					
7.					

BES 2 Agreements: Local Authority legal briefing

The BES 2 Agreement provides continued funding to support the bus industry during recovery from the impact of COVID-19. It reflects continued provision of funding from Welsh Government to support the bus industry, and has been drafted to support continued provision of services on a basis which provides a more structured, long-term arrangement. This note summarises the key legal issues that may affect local authorities.

1. Parties

1.1 The agreement has the following parties:

- Welsh Government – responsible for provision of funding and contracting with the operator for the provision of any additional services or standards that would not be provided in the absence of that funding.
- Operator – there is a separate agreement for each operator of local bus services in each region
- Transport for Wales – as for previous BES agreements, Transport for Wales is responsible for certain elements of the administration of the agreement.
- Lead Authority – as with BES 1.5 it is expected that a lead authority for each region will be a signatory to the agreement, managing the operator on behalf of the local authorities in their region, and coordinate some of the future activities proposed under the arrangements.

1.2 Note that it is not intended that each local authority will be a party to every agreement with every operator, but that this will be managed by the Lead Authority for the region. As with previous BES arrangements it will therefore be important that arrangements are made at regional level to agree how the contracts will be managed, including ensuring that there is sufficient local input into the exercise of Lead Authority obligations.

2. Approach to contract

2.1 The previous BES arrangements relied primarily on grant funding arrangements, including funding provided under COVID-19 specific frameworks for aid. However, the current BES 1.5 arrangements recognised that the approach taken in Wales to focus funding on necessary services meant that the arrangements may be viewed as a public service obligation contract (PSO), which provides greater flexibility for input by local authorities into the services that their local bus operators provide.

2.2 The BES 2 arrangements further reflect this, and are drafted primarily as a PSO directly awarded to each operator by Welsh Government. These are applied both to allow for the continuation of services which were formally commercial services, prior to the impact of COVID-19, and also to cover the additional costs relating to the continued provision of secured services as a result of COVID-19 (including both additional costs incurred as a result of e.g. social distancing, as well as covering the costs associated with lost revenue). The contracts are awarded by Welsh Government after careful consideration as to whether local authority powers could be relied upon – powers are available to Welsh Government because it is not possible to consistently make use of local authority powers for these temporary measures.

2.3 Local authorities already let PSOs through their section 63 powers. Consideration was given to whether section 63 powers could be used for this contract, and the decision was taken that this would not be appropriate because:

- Direct award of section 63 contracts is limited – local authorities would typically directly award service contracts through *de minimis* provisions, which have a limit of 40% of tendered service budgets. Seeking to provide funding through this route would not be possible where the *de minimis* cap was already, or would reach the *de minimis* cap, and therefore does not seem a viable way to fund services during the COVID-19 emergency. In any event, it is expected that local authorities will require these powers to award service contracts to meet specific local needs as operators exit BES 2. Whilst there are also emergency powers that can be used to direct award such contracts, they can only be used on a temporary basis and must be followed by a competition, and therefore are unsuitable for the current purposes.
- a competitive procurement of section 63 contracts is unlikely to be practicable, and does not provide the flexibility required to ensure that operators are providing the services needed during the COVID-19 crisis. Once services have been stabilised, the expectation is that local authorities would then use competitive procurement to procure continued services where they remain unviable commercially.

2.4 The contract is therefore based on use of Welsh Government powers under section 7 Transport (Wales) Act 2006, which mirrors the section 63 powers, but would only be expected to be utilised where local authorities cannot exercise their section 63 powers. This provides for a clear division between:

- Temporary BES support for services – provided by Welsh Government under section 7 powers.
- Changes in underlying procured service contracts to reflect the long-term requirement for services in absence of COVID-19 – provided by local authorities under their section 63 powers.

2.5 The approach taken is therefore to layer the PSOs under the BES2 arrangements on top of existing arrangements e.g. they act as a temporary variation to any existing section 63 contract or commercial service, in each case providing funding to allow the operator to continue to operate those services, during the impact of COVID-19, with the provisions of BES2 falling away once that service becomes commercial again, or the BES2 arrangements come to an end. The exercise of Welsh Government powers under a direct award approach is limited to a maximum of 2 years (which would include the period from the start of BES 1.5, due to the possibility of payments under BES 1.5 also relying upon these powers), but could end sooner, if the market recovers.

3. Effect on existing section 63 contracts

3.1 Rather than letting new contracts in respect of provision of services that are currently provided under section 63 contracts, the BES2 arrangements aim to leave those arrangements in place and layer the additional support required to continue providing those services on top of the existing section 63 contracts.

3.2 Under the BES2 arrangements the Lead Authority therefore acknowledges on behalf of local authorities that, to the extent required, section 63 contracts are amended to allow for any additional payments required to the operators to allow continued provision of the services and to make any service alterations agreed with the local transport authority for the period of the BES2 arrangements. These amendments will reflect agreed service changes agreed at the local and regional level as being required during the impact of COVID-19

3.3 These amendments apply whether contracts are let on a net cost or gross cost basis. In each case the BES 2 contract sets out the implications of those amendments from a procurement

perspective, and sets them within the appropriate procurement regime, setting out an approach to minimise procurement challenge risk associated with the short term amendment.

- 3.4 To the extent that the form of section 63 contract has any contractual processes that are required to be followed to allow for such amendment, the BES 2 agreements require the local transport authority to comply with such processes, so that changes can be effected.
- 3.5 Where BES2 arrangements come to an end, the variations effected also come to an end, and the section 63 contracts should continue as before for any remaining term.
4. Effect on future section 63 contracts
 - 4.1 There is a risk that the effects of COVID-19 could impact on the letting of future service contracts, including the renewal of existing section 63 contracts.
 - 4.2 To avoid this, the BES 2 arrangements make specific provision for the letting by local transport authorities of new section 63 contracts, with agreement of a set of assumptions in respect of BES2 funding that will apply to all bidders for a new contract. These assumptions will reflect the agreed level of funding to be provided to support those services whilst COVID-19 still impacts services. This will allow local transport authorities to set this as an assumption in their tender documents, so that bidders can tender on a level playing field in respect of the impact of COVID-19, removing this as a concern for bidders, and allowing for more competitive bidding, reflecting a post-COVID world.
 - 4.3 This therefore allows local authorities to continue to let section 63 contracts during the term of BES2, but will require engagement with Lead Authorities, TfW and Welsh Government to ensure that appropriate assumptions are agreed and included in tenders.
5. Partnership
 - 5.1 In recognition of the level of public sector funding being provided to support the bus industry, the BES 2 arrangements also require the operators to agree to a framework (umbrella) voluntary partnership agreement at a regional level.
 - 5.2 The BES 2 arrangements therefore include a template for such an agreement which will then need to be agreed with local transport authorities in the region. The agreement provides a framework for more localised and specific voluntary partnership agreements at local level to support improved standards of bus services and partnership working at a regional level. The agreement is structured as a voluntary partnership agreement (VPA) within the meaning set out in the Transport Act 2000, and therefore is intended to provide a competition law compliant framework for future engagement with operators.
6. Standards of service
 - 6.1 The BES 2 Agreement sets out standards of service that apply to operators who are receiving funding. Whilst it is possible for operators to move away from the BES 2 Agreement and start providing services to a lower standard (and therefore does not place an express restriction on operators choosing to move to commercial service and away from BES funding, as the market recovers, so does not act as a restraint on trade). However, it also makes clear that should operators move to operate at a standard below that agreed through the BES 2 arrangements (e.g. by offering lower frequencies or timings) then it is clearly recognised that, in turn, that means that they are offering services other than to the standard required – this aligns with the test that applies for exercise of section 63 powers, so provides express justification for a future tender of services to the appropriate standard in accordance with local government powers, if the operator continues to provide services only to a lower standard. It should be noted that this

does not provide the local transport authority with the unfettered right to let such services in parallel with the commercial services, as it would also be necessary to apply the Part 1 Competition Test under Schedule 10 Transport Act 2000 to the exercise of such powers, but it does ensure that there is a clear acknowledgment from such an operator that the registration of a lower quality service does not place an express bar on the local transport authority procuring a higher quality service on the same route.

7. Level of compensation

7.1 The powers being utilised by Welsh Government to let this contract are also subject to Regulation 1370/2007 EU (which will continue in effect in 2021 with minor amendments as UK law). This regulation deals with both the relevant procurement procedure (and allows for direct award) and also sets out the appropriate state aid framework to ensure that funding provided under agreements awarded directly in this way do not amount to state aid.

7.2 As a result, the compensation mechanism used in the contract draws on the reconciliation procedures already put in place under BES 1.5 and earlier to ensure that operators are not over-compensated. Unlike BES1.5, the agreement recognises that only covering operators costs without any margin available is unlikely to be a sustainable mechanism for public transport. The agreement therefore allows operators to earn a margin of (initially) 2% whilst operating services under BES 2. This reflects the requirement under Regulation 1370/2007 that operators are entitled to earn a reasonable profit margin in providing public service obligations. In determining that margin, the rate of return can be no greater than that which is normal for the sector, taking into account the risk, or absence of risk incurred by the operator.

7.3 The impact of COVID-19 has been to materially impact the revenue received by operators, and also to change their costs. The impact of the BES arrangements has been to de-risk that process for all operators. As the impact of BES arrangement has been to, in the short term, change that risk profile by managing the risk associated with lowered patronage, there is a risk that whatever level any margin was set this could be seen as benefitting one operator over another – operators who were previously making greater profits (or losses) as a result of taking revenue risk, for example, both benefit in different ways from the provision of BES funding, but that reflects the fact that, in many cases, the BES support has also removed the risk that they were taking, and the impact of COVID-19 may have changed their costs. Therefore, as all operators have been moved to a similar risk profile and being protected in a similar way for impacts on operating costs, it therefore seems appropriate to set a consistent margin, which is the default position taken in the BES 2 agreement. It is, however, open to the public sector parties to seek to agree a different approach to margin during the term of BES 2.

7.4 It should also be noted that when the BES 2 agreements fall away, and the operator returns to the original terms of their contracts (or to commercial operation) they will continue to take the same risks, and have the same potential for profit (or loss) as they had prior to introduction of BES.

Purpose, Structure, Budgets

1. Purpose

The purpose of the Regional Bus Team is:

- to coordinate and support the bus-related functions of the 10 local authorities of the Cardiff Capital Region (CCR)
- to manage any bus-related funding made available on a regional basis, including (but not limited to) the Bus Services Support Grant (BSSG, circa £11.5m pa), the Bus Emergency Scheme (BES, circa £30m in 20/21) and any successor schemes, with advice by the South East Wales Bus Funding Project Board
- to support the work of the CCR Transport Authority
- undertake any other bus-related work requested by the CCR City-Deal Office

The establishment of the MCC Regional Bus Team has been approved by the CCR Regional Cabinet in Dec 2020. The role of the team would evolve as the capability and capacity of the team expands, potential functions could include development of common regional standards, assessment and procurement of socially necessary services, preparation of funding bids, including peer review/value engineering, procurement and management of bus-related infrastructure and management of printed timetable information at bus stops. It is expected that following completion of certain legal requirements the team will transition from MCC to the CCR City-Deal Office.

2. Structure

The Regional Bus Team will initially consist of:

- Regional Bus Manager
- Bus Funding & Projects Officer
- Bus Funding & Projects Assistant

Appendix 1 sets out the proposed job descriptions for the initial team members.

As set out in the CCR Regional Cabinet report, other roles could be added to it. Appendix 2 sets out the indicative longer-term team structure.

3. Budgets

Since 2014/15 MCC has managed a BSSG grant of £11.1-11.6m per year. In 2020/21 BSSG will receive £11,578,981, and the same is expected for 2021/22. In 2020/21 MCC has also managed a BES grant of £20,526,367. It is expected that there will be a further BES in 2021/22. The Welsh Government draft budget suggests that around £18m will be made available initially (of which the CCR could expect around ½). The overall amount will depend on the rate of recovery of patronage once the Covid-19 epidemic is over. There is a potential

for changes to Welsh Government bus-funding mechanism to lead to the regionalisation of concessionary fares administration and potentially of other funding streams during 2021/22¹.

MCC has traditionally used around 0.5% of the BSSG to pay for grant administration (£51,808 in 2020/21). The latest BES grant letter explicitly states: “The Funding may also be used to cover costs that are incurred in the administration of this scheme or to procure other systems and services required to address the Priorities.” It is proposed that up to 1% of the grant will be used to support the regional bus team.

MCC also holds a bus funding reserve of £50,000, initially established by Sewta.

The following budgets are proposed for 2021/22:

3.1 BSSG

Income – WG Grant	£11,578,981
Spend – regional supported bus services, supported CT & associated services	£3,700,294
Spend – bus km scheme	£7,438,248
Spend – CT km scheme	£324,649
Spend - Admin	£115,790
Spend - total	£11,578,981

3.2 BES

Income – WG Grant	£9,000,000
Spend – bus & CT services	£8,910,000
Spend – Admin	£90,000
Spend - total	£9,000,000

3.3 Regional Bus Unit – corporate budget

Income – from BSSG	£115,790
Income – from BES	£90,000
Income – from CCR City-Deal	£0
Income - total	£205,790
Spend – salaries	£105,000
Spend – on-costs	£36,750
Spend – MCC finance & audit costs	£5,000
Spend – contingency	£59,040
Spend - total	£205,790

3.4 Regional Bus Unit – staff cost breakdown

Position	Salary	On-cost
Regional Bus Manager	£55,000	£19,250
Bus Funding & Projects Officer	£27,500	£9,625
Bus Funding & Projects Assistant	£22,500	£7,875

¹ In some previous years MCC has also managed various other smaller regional bus funding streams, including funding for installation of audio-visual displays in vehicles, for bus infrastructure and for the young persons’ discount scheme

Appendix 1 – initial team members job descriptions

1. Regional Bus Manager

ROLE PROFILE

ROLE TITLE: REGIONAL BUS MANAGER

POST ID: tbd

GRADE: tbd (expected salary £55k)

HOURS: 37 per week

LOCATION: Usk County Hall, which may change in the future if the service location needs to relocate. Relocation or disturbance expenses will not be paid if this happens.

RESPONSIBLE TO: Chief Officer Enterprise

WELSH LANGUAGE ASSESSMENT: Welsh Language skills are desirable for this post

PURPOSE OF POST:

Regional Bus team – who we are

MCC is the regional lead-authority for regional bus funding for the Cardiff Capital Region (CCR). The MCC Regional Bus Team coordinates and supports the bus-related functions of the 10 local authorities of the CCR, manages any bus-related funding made available on a regional basis, including (but not limited to) the Bus Services Support Grant (BBSG), the Bus Emergency Scheme (BES) and any successor schemes, with advice by the CCR Bus Funding Project Board. It supports the work of the CCR Transport Authority (CCRTA) and the CCR City-Deal Office.

The Purpose of this role:

The Regional Bus Manager is the key role within the MCC Regional Bus Team. Initially the team will comprise of 2 bus funding and admin staff but is expected to expand over time. Your role will be to lead and manage the team over this crucial phase of its development, to ensure that all grant funding is well-managed and to support the CCR City-Deal Office, the CCRTA Board and the CCR Regional Cabinet in developing and implementing the new arrangements. A key part of the role will be liaison with CCR member authorities, the Welsh Government, Transport for Wales, operators, passenger representatives and a wide range of partners and stakeholders.

EXPECTATION AND OUTCOMES OF THIS ROLE:

The Regional Bus Manager is expected to ...

- Direct the management of more than £10m of grant funding, in coordination with the Bus Funding Project Board, and in accordance with any grant conditions;
- Develop strategies and programmes for the development of the regional bus network;
- Steer the developing Regional Bus Team over the next crucial phase of its development;
- Work with many partners in a complex technical and political environment;
- Have thorough understanding of the bus industry and the relevant policy environment.

For further information see Appendix 2 of Item 9 of the CCR Regional Cabinet meeting of 9 December 2020.

POST HOLDER RESPONSIBILITIES:

The post holder will be responsible for:

- Management and direction of the Regional Bus Team and its personnel;
- Financial control of regional bus-funding and budgets;
- Provision of expert advice to the CCR/CCRTA on all bus-related matter;
- Management of the Bus Funding Project Board activities;
- Development and delivery of regional bus strategy, plans and programmes;
- Liaison with CCR member authorities, the Welsh Government, Transport for Wales, operators, passenger representatives and a wide range of partners and stakeholders;
- Representation of CCR at senior policy level, at public events and conferences.

PERSON SPECIFICATION

How will we know if you are the right person for the role? As the successful candidate you will have demonstrated:-

Experience

- | | |
|-----------|---|
| Essential | <ul style="list-style-type: none">• A track-record of developing and delivering bus-related strategies, programmes and projects;• Experience of working effectively in a multi-partner environment;• At least 12 year experience of working with local & central government and with bus operators. |
| Desirable | <ul style="list-style-type: none">• Experience of financial management and public grant administration;• Experience of liaison with senior officials in local & central government and bus operators. |

Knowledge / qualifications

- | | |
|-----------|---|
| Essential | <ul style="list-style-type: none">• Thorough understanding of bus industry, including legal framework;• Thorough understanding of strengths, weaknesses, threats and opportunities of the current bus market in the Cardiff Capital Region;• Knowledge of key partners & stakeholders, and their aims and interests;• Degree in transportation or business management, or qualified transport manager, or equivalent;• Membership of relevant professional institution;• Thorough understanding of principles and practice of project management;• Practical skill, knowledge and experience of a range of IT applications, including word and excel. |
| Desirable | <ul style="list-style-type: none">• MBA or equivalent qualification in management studies;• Ability to speak Welsh (or willingness to learn). |

Interpersonal Skills / competencies

- | | |
|-----------|---|
| Essential | <ul style="list-style-type: none">• Excellent team player within a multi-disciplinary environment, working on own initiative and under pressure;• Ability to lead the development of a team, to build lasting, positive & supportive relationships with a wide variety of people;• Effective and efficient communication skills, both written and verbal;• Accuracy and attention to detail;• Dynamic and effective with strategic vision;• Willing to engage with new ideas and looks for ways to make them work and develop. |
| Desirable | <ul style="list-style-type: none">• Proficient in discussing technical issues in non-technical language. |

2. Bus Funding & Projects Officer

ROLE PROFILE

ROLE TITLE: BUS FUNDING & PROJECTS OFFICER

POST ID: tbd

GRADE: tbd (expected F or G?)

HOURS: 37 per week

LOCATION: Usk County Hall, which may change in the future if the service location needs to relocate. Relocation or disturbance expenses will not be paid if this happens.

RESPONSIBLE TO: Regional Bus Manager

WELSH LANGUAGE ASSESSMENT: Welsh Language skills are desirable for this post

PURPOSE OF POST:

Regional Bus team – who we are

MCC is the regional lead-authority for regional bus funding for the Cardiff Capital Region (CCR). The MCC Regional Bus Team coordinates and supports the bus-related functions of the 10 local authorities of the CCR, manages any bus-related funding made available on a regional basis, including (but not limited to) the Bus Services Support Grant (BSSG), the Bus Emergency Scheme (BES) and any successor schemes, with advice by the CCR Bus Funding Project Board. It supports the work of the CCR Transport Authority and the CCR City-Deal Office.

The Purpose of this role:

The purpose of the post is to manage the administration of BSSG, BES and any other regional bus-funding that may be paid to MCC. This includes managing grant applications, offers, award letters and claims, verification, maintaining a database of all grant received and paid out and all financial transactions and associated paperwork. It further includes reporting on all activities to CCR member authorities, the Welsh Government and Transport for Wales, and to administer and monitor all terms & conditions associated with any grant, including bus quality standards, and delivery of any related projects.

Expectation and Outcomes of this Role:-

You will be expected to ensure that all tasks associated with the management of BSSG, BES and any other grant managed by the team are undertaken in a timely and efficient manner. The outcome is that grant recipients are paid accurately and quickly and MCC will be able to account for its spending to the Welsh Government and Auditors. You will be guided by the Regional Bus Manager and the CCR Bus Funding Project Board and your outcomes and outputs will be linked to the teams project plan.

The post holder will be expected to review relevant strategies and guidance, check that internal processes and procedures match the strategies and guidance, and ensure that agreed processes and procedures are followed to guarantee the correct governance of public funds. To support continuous improvement the post holder will be expected to evaluate guidance and processes and make recommendations for improvements, and implement changes once agreed. The post holder will be expected to liaise with a number of officials from CCR member authorities, Welsh Government, Transport for Wales, bus & CT operators and other partners and stakeholders.

The post holder will be expected to decide if applications and claims meet the conditions set out in the grant agreement or contract. The post holder will need to make recommendation as to actions taken when issues arise.

Post holder responsibilities are to:-

- With Regional Bus Manager, plan and manage ongoing bus-funding activities;
- Ensure grant administration is undertaken effectively and efficiently, to enable settlement of grant applications and contract obligations in line with Welsh Government arrangements;
- Liaise with CCR member authorities, Welsh Government Transport for Wales, operators and other partners and stakeholders at senior level;
- Administer grant applications and claims, including checking and assessing applications and information provided to ensure they are compliant and in-line with relevant guidance and processes;
- Administer grant and contract payment applications by providing support for the assessment of payment applications and to ensure payments are received in a timely manner;
- Provision of support and advice (email, phone and face to face) to CCR member authorities, operators and any other grant applicants / recipient;
- Lead the work of the Bus Funding & Projects Assistant;
- To manage correspondence with more than 50 operators and local authorities;
- Gather and compiling financial and operational information;
- Monitor bus quality standards and update management of any changes;
- To provide analysis and reports to the Bus Funding Project Board;
- To support the Bus Funding Project Board and the CCR City-Deal Office as required;
- Communicating the outcomes of decisions which may or may not accord with the wishes of the enquirer;
- To undertake actions for the audit process and auditor.

PERSON SPECIFICATION

How will we know if you are the right person for the role? As the successful candidate you will have demonstrated:-

Experience

- | | |
|-----------|--|
| Essential | <ul style="list-style-type: none">• Several years of experience of working effectively with local & central government and with private sector partners• Experience of financial management and grant administration• Experience of working in a public transport context• Good communication skills – both oral and written. |
| Desirable | <ul style="list-style-type: none">• Experience in an audit or compliance role which requires a high level of attention to detail.• The ability to analyse complex information and determine and outcome solution |

Knowledge / qualifications

- | | |
|-----------|---|
| Essential | <ul style="list-style-type: none">• Practical skill, knowledge and experience of a range of IT applications, including word and excel.• Experience of grant administration |
| Desirable | <ul style="list-style-type: none">• Understanding of Bus Services Support Grant / bus funding issues• Understanding of bus industry, and of strengths, weaknesses, threats and opportunities of the current bus market in the Cardiff Capital Region• Knowledge of key partners & stakeholders, and their aims and interests• Possession of a relevant professional qualification• Experience from a financial compliance background• Experience of audit processes• Ability to speak Welsh (or willingness to learn)• Membership of relevant professional institution |

Interpersonal Skills / competencies

- | | |
|-----------|---|
| Essential | <ul style="list-style-type: none">• Good team player within a multi-disciplinary environment, working on own initiative and under pressure.• Ability to building lasting, positive & supportive relationships with a wide variety of people.• Effective and efficient communication skills, both written and verbal.• Accuracy and attention to detail |
| Desirable | <ul style="list-style-type: none">• Willing to engage with new ideas and looks for ways to make them work and develop• Contributes ideas to better manage systems, processes or practices |

3. Bus Funding & Projects Assistant

ROLE PROFILE

ROLE TITLE: BUS FUNDING & PROJECTS ASSISTANT

POST ID: tbd

GRADE: tbd (expected D or E?)

HOURS: 37 per week

LOCATION: Usk County Hall, which may change in the future if the service location needs to relocate. Relocation or disturbance expenses will not be paid if this happens.

WELSH LANGUAGE ASSESSMENT: Welsh Language skills are desirable for this post

RESPONSIBLE TO: Regional Bus Manager

PURPOSE OF POST:

Regional Bus team – who we are

MCC is the regional lead-authority for regional bus funding for the Cardiff Capital Region (CCR). The MCC Regional Bus Team coordinates and supports the bus-related functions of the 10 local authorities of the CCR, manages any bus-related funding made available on a regional basis, including (but not limited to) the Bus Services Support Grant (BBSG), the Bus Emergency Scheme (BES) and any successor schemes, with advice by the CCR Bus Funding Project Board. It supports the work of the CCR Transport Authority and the CCR City-Deal Office.

The Purpose of this role:

The purpose of the post is to assist in the administration of BSSG, BES and any other regional bus-funding that may be paid to MCC, and to support the regional bus team and any related projects.

Expectation and Outcomes of this Role:-

You will be expected to undertake a wide range of administrative tasks associated with the management of BSSG, BES and any other regional bus-funding that may be paid to MCC in a timely and efficient manner. You will work to ensure grant recipients are paid accurately and quickly.

You will be guided by the Regional Bus Manager and the Bus Funding & Projects Officer. The post holder will be expected to closely follow agreed processes, procedures and guidelines to ensure the correct governance of public funds. The post holder will be expected to liaise with a number of officials from a range of different sectors.

The post holder will be expected to review applications and to advise line management whether these are in line with scheme guidelines, to answer enquiries received from CCR member authorities and other partners and stakeholders.

Post holder responsibilities are to:-

- Administer ongoing activities in liaison with the Regional Bus Manager and the Bus Funding & Projects Officer, to ensure grant management is undertaken effectively and efficiently;
- Liaise with CCR member authorities and operators;
- Communicating the guidelines to applicants as well as checking applications and providing support for the assessing applications to ensure they are compliant in line with guidance and processes;
- Provision of support (email, phone and face to face) to CCR member authorities and operators;
- To administer correspondence with CCR member authorities, operators and other partners and stakeholders;
- Gather and compiling financial and operational information;
- Monitor bus quality standards;
- Organise meetings;
- Minute board meetings;
- To provide admin support to the Regional Bus Manager and the Bus Funding Project Board as required;
- To undertake actions for the audit process and auditor.

PERSON SPECIFICATION

How will we know if you are the right person for the role? As the successful candidate you will have demonstrated:-

Experience

- | | |
|-----------|--|
| Essential | <ul style="list-style-type: none">• Experience of working effectively with local authorities and with private sector partners• Experience of preparing, supporting and minuting meetings• Experience of working in a public transport context• Good communication skills – both oral and written. |
| Desirable | <ul style="list-style-type: none">• Experience of financial management and grant administration• Experience in an audit or compliance role which requires a high level of attention to detail. |

Knowledge / qualifications

- | | |
|-----------|--|
| Essential | <ul style="list-style-type: none">• Practical skill, knowledge and experience of a range of IT applications, including word and excel.• |
| Desirable | <ul style="list-style-type: none">• Experience of grant administration• Understanding of Bus Services Support Grant / bus funding issues• Possession of a relevant professional qualification• Ability to speak Welsh (or willingness to learn) |

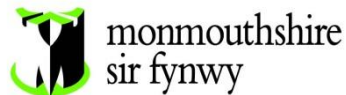
Interpersonal Skills / competencies

- | | |
|-----------|---|
| Essential | <ul style="list-style-type: none">• Good team player within a multi-disciplinary environment, working with limited supervision and under pressure.• Ability to support lasting, positive & supportive relationships with a wide variety of people.• Effective and efficient communication skills, both written and verbal.• Accuracy and attention to detail |
| Desirable | <ul style="list-style-type: none">• Contributes ideas to better manage systems, processes or practices |

DRAFT

Appendix 2 – indicative longer-term team structure:

Role	Staff - initial	Staff - interim	Staff - future	notes / responsibilities
Manager	1	1	1	Head of unit, reports to CCRTA joint bus group & board, lead contact with WG/TfW/other regions. Initially strategy/standards lead
Finance	1 officer, 1 assistant	1 officer, 1 assistant	1 lead, 1-3 finance, 1-3 mystery shoppers	Management of bus-related grants, including BSSG, BES, any successor schemes and any other bus-related funding made available on a regional basis, monitor grant conditions incl. quality standards
Strategy & Standards	0	0	1 lead, 1 assistant	Development of strategy & standards
Network planning & procurement	0	1	1 lead, 3-6 officers	Planning, procurement & management of regional section 63 services (supported bus services) using regional funding. Supporting planning, procurement & management of local supported bus services by LAs
Infrastructure planning	0	1	1 lead, 1-2 transport planners	Planning & delivery of bus infrastructure investment programme in coordination with LAs, incl. bid development, contracting consultancy support, etc
Infrastructure & information operations	0	1	1 lead, 2-3 mobile staff	Planning & management of bus stop infrastructure & information. Also bus stations if these will be managed regionally
Integrated ticketing	0	1	1 lead, 1-2 officers	With TfW, planning & delivery of integrated ticketing systems, management of concessionary fares, My Travel Pass, Network Rider and any future regional integrated tickets
Travel Planning Officer	0	0	1-2	Provide public transport travel planning assistance to large employers, hospitals, universities, colleges, etc



SUBJECT:	DRAFT REVENUE BUDGET PROPOSALS 2021/22
MEETING:	CABINET
DATE:	20th January 2021
DIVISION/WARDS AFFECTED:	All

1. PURPOSE:

- 1.1 To set out draft revenue budget proposals for financial year 2021/22.
- 1.2 To commence a period of consultation on the draft budget proposals for a four-week period to 17th February 2021.
- 1.3 To consider the 2021/22 draft budget proposals within the context of the 4 year Medium Term Financial Plan (MTFP) and the Corporate Plan.

2. RECOMMENDATIONS:

- 2.1 That Cabinet approves the release of its draft budget proposals for 2021/22 for consultation purposes.
- 2.2 That Cabinet approves that the consultation period, including the opportunity to present alternative proposals that have been assessed for Future Generations and equality implications, commences for a four-week period ending on 17th February 2021.
- 2.3 To update Cabinet on the implications arising out of the provisional settlement announcement of Welsh Government and to agree its proposed response as outlined in the letter shown in appendix 5.
- 2.4 That Cabinet recognises unavoidable pressures of some £10.070 million that need to be provided for within the 2021/22 budget.
- 2.5 That Cabinet confirms its intention to fully fund all pay related pressures insofar as they impact schools and to accommodate significant demand pressures caused in particular by increasing numbers of looked after children and pupils with additional learning needs.
- 2.6 That Cabinet proposes a Council Tax rise of 4.95% for financial year 2021/22.
- 2.7 That Cabinet recognises that whilst the draft budget proposals are presenting a balanced budget this includes a one-off contribution of £749k from the Council's limited general reserve balances (Council Fund). Efforts are to continue to mitigate as much as possible the level of reserve contribution supporting the budget proposals for 2021/22.

3. KEY ISSUES:

Overview

- 3.1 The last year has been a truly unprecedented one, on the county and its residents, and also on the Council and where its finances have been put under significant strain. The severe flooding that impacted the county in early 2020 was soon followed by the pandemic and that has remained with us since. And its impacts will continue through the current financial year and 2021/22 and beyond. As communities, businesses and the wider economy and society looks to move from the current emergency response, through mass vaccination of the population and towards recovery.
- 3.2 It is well trailed nationally that local government funding has been challenged for a number of years. Monmouthshire, in keeping with all other Councils in Wales has had to accommodate significant service pressures into its cost base to ensure that the service offer has remained relevant and appropriate for the citizens of the county.
- 3.3 For some years now the Council has successfully accommodated the ongoing and significant financial, demographic and demand-led pressures. This alongside its commitments to deliver the goals and objectives set out in its Corporate Plan. The Corporate Plan and the Council's coronavirus strategic aims outline the priorities of the Administration and these, in summary, are illustrated later in the report.
- 3.4 This budget proposals continue to support the priorities of the Administration. Specifically it seeks to recognise:
- a) All pay and pension related spending pressures in our schooling system
 - b) The increasing demand on schools and the Local Education Authority of pupils with additional learning needs
 - c) The increasing demand being placed on our children's social services in respect of looked after children and for whom the Council acts as corporate parent
 - d) The growing impact of an ageing population on adult social services
 - e) Responding to the needs of the homelessness with housing related support
 - f) Sustaining locally accessible services in the most effective and efficient way possible
- 3.5 Despite the pandemic the budget proposals see a continuation of our preparedness to challenge all services to sustain themselves rather than to see the closure of services that matter to citizens. There is an acknowledgement that when things close they never return and it is better to scale back rather than absolutely withdraw. This remains a key feature of the proposals as a whole.
- 3.6 Despite the above average provisional settlement from Welsh Government this only enables some of the pressures needing to be accommodated in the budget proposals to be offset. Furthermore, a significant question mark still arises over the pressures that will arise for pay awards.
- 3.7 Welsh Government have also confirmed that funding of COVID pressures, in the form of increased costs and income losses, will be separately announced in the coming weeks. This is positive news and provides clarity that the settlement does not contain therein any provision for such pressures which are expected to be significant as the pandemic impacts into 2021/22.

- 3.8 The Council is grateful to Welsh Government for the significant level of funding it has provided through its COVID Hardship Fund to meet additional costs and income losses and that have resulted from the pandemic. The Council calls for Welsh Government to continue its support in meeting such one-off costs and impacts through 2020/21 and 2021/22. The pandemic aside the challenges facing the authority now and into the future should not be under estimated. The latest 2020/21 in-year forecast exhibits significant pressures within and across services. A recovery plan is in place and is looking to arrest the current non-COVID over spend on services.
- 3.9 For 2021/22 and in overall terms there are some £10.07 million of new unavoidable service pressures that need to be accommodated as part of the 2021/22 budget and these are summarised in appendix 1 and detailed in appendix 2. The pressures significantly present themselves in:
- a) Adult and children's social care (£3.0m)
 - b) Children with additional learning needs (£1.5m)
 - c) Recycling and waste (£1.4m)
 - d) Passenger transport unit (£0.9m)
 - e) Homelessness support (£0.9m)
- 3.10 We have had to fundamentally review our income budgets as a consequence of the pandemic and where compensating Welsh Government funding is unlikely to be received pressures have been accommodated into the budget proposals. It is never popular to charge for services but the reality is that we need to do so. However, we have limited any increases in charges as much as possible. Likewise increasing Council Tax is never popular but with national funding not keeping pace with demands on local authorities, local taxation is by default having to shoulder a greater proportion of our overall funding.
- 3.11 This budget proposal assumes a council tax rise of 4.95% for 2021/22. For a current Band D property of £1,381 (Council only element excluding community council or Police levy), this would illustratively be an additional £68.35 a year or £1.31 a week for 2021/22.
- 3.12 The budget proposals are supported by a one-off contribution of £746k from the Council's limited general reserves (Council Fund balance) and from headroom that was created from the 2019/20 outturn position. Efforts are to continue to mitigate as much as possible the level of reserve contribution supporting the budget proposals for 2021/22. The Council Fund balance provides limited cover for unforeseen future eventualities and where mitigating budgetary recovery action is unable to manage such pressures on the Council's budget.
- 3.13 The Council is also making a continued use of Welsh Government guidance and that allows local authorities in Wales to fund one-off revenue costs associated with service reform from useable capital receipts held. This in turn will impact on useable capital receipts available to fund future capital programmes.

Purpose and Priorities

- 3.14 Monmouthshire County Council's Corporate Plan sets out the things we will be working on in the medium term. Our organisational purpose set in our Corporate Plan remains one of *building sustainable and resilient communities that can support the wellbeing of current and future generations*. We share this core purpose with our Public Service Board and it is our guiding force in working towards the seven national Well-being Goals.

- 3.15 The five organisational goals described in the Corporate Plan incorporate the council's well-being objectives but go further in reflecting the need for a deeper organisational and council business focus. Setting our goals in this plan and the actions necessary to deliver on them enables us to identify the future we want.
- 3.16 The Plan is underpinned by a clear policy framework that sets out in more detail our work to enable the delivery of the plan. The plan is supported by the 22 commitments to action we will make and the ways in which they will be measured. A mid-term refresh of the Corporate plan was approved by Council in March 2020 an update of the ambitious programme that will continue to be delivered during the course of the current Council, which runs until the local elections in May 2022.
- 3.17 The aspiration and objectives set for Monmouthshire by the PSB and Council are:

<i>Public Service Board Well-being Objectives</i>	<i>Monmouthshire County Council Goals & Well-being Objectives</i>
Provide children and young people with the best possible start in life	Giving people the best possible start in life
Respond to the challenges associated with demographic change	Lifelong well-being
Protect and enhance the resilience of our natural environment whilst mitigating and adapting to the impact of climate change	Maximising the potential of the natural and built environment
Develop opportunities for communities and businesses to be part of an economically thriving and well-connected county	Enable a thriving and well-connected county
	A future focussed Council

- 3.18 The council's strong record of delivery within a robust budget framework has enabled us to keep frontline services operating. We are clear that money should follow our core purpose of building sustainable and resilient communities and delivering the well-being objectives in the Corporate Plan.
- 3.19 At the outset of the Coronavirus pandemic Cabinet introduced a revised purpose and new strategic aims for the Council to provide clarity and ensure accountability through this period. The latest iteration was agreed in December 2020 in the [Winter Strategy](#). Delivery of the strategic aims will continue to have significant resource implications, including increased costs to maintain current service delivery and demands in setting up new or amended services. Close financial and budget monitoring continues. A specific action has been set in the strategy on setting a budget for the financial year 2021/22 capable of delivering these priorities.
- 3.20 We continue to develop our Medium Term Financial Plan to support us as far as possible to continue to deliver the aims and aspirations set out in this Corporate Plan and our purpose. While the Council's medium term financial planning has been severely disrupted by the pandemic, we continue to aim to ensure our focus is not only on short-term response, but medium-term recovery and long-term sustainability.

- 3.21 We recognise this is not without challenges and uncertainty. However, it will enable us to focus our finite resources on the areas that matter most to people and enable us to build a sustainable service offer for current residents and businesses as well as future generations.
- 3.22 Our Corporate Plan and strategic aims give us the framework to focus on the big challenges but we can never lose sight of the need to spend every pound wisely, nor the reality that the cumulative impact of many small changes can add up to a significant impact on some people within our communities and the need to ensure that there is some degree of mitigation against this for the most vulnerable.
- 3.23 Chief Officers in considering the proposals and strategy above have also been mindful of the whole authority strategic risk assessment.
- 3.24 The following table demonstrates the links at a summary level that have been made with the 5 priorities, Corporate Plan and the strategic risks:

Proposal	Link to Goals and Well Being Objectives in the Corporate Plan	Link to Whole Authority Risk assessment
<p>Schools budgets will see a cash increase and with all pay and pension increases being fully funded.</p> <p>Education and school budgets will see additional resources going into the budget for children with additional learning needs.</p>	<p>Best possible start in life Thriving and well connected County</p>	<p>Budget proposals are mindful of the risk in the register around children not achieving their full potential</p>
<p>Social care budgets will see additional resources going into the budget for Children's and adults social services to meet the pressures in these areas.</p>	<p>Lifelong well being</p>	<p>These proposals seeks to address the risks around more people becoming vulnerable and in need and the needs of children with additional learning needs not being met</p>
<p>The drive for service efficiencies savings has continued and a few focused service reviews have enabled savings to be identified e.g. Continuance of household recycling and waste collection review,</p>	<p>Further reviews have enabled frontline services to transform the way they do things whilst still delivering the goals of the Corporate plan and therefore contributing to the creation of sustainable and resilient communities.</p>	<p>Addresses risks around the ability to sustain our priorities within the current financial climate</p>

implementation of ALN review.		
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Budget Process so far

- 3.25 Cabinet received a report on the MTFP and budget process at their meeting of 21st October 2020. The report outlined the assumptions that were being used in the construction of the budget for 2020/21 and the MTFP.
- 3.26 As a reminder the following assumptions had been used initially and at that time for the 2020/21 budget:
- 2.75% pay award for non-teaching staff
 - 3.1% pay award for teaching staff
 - 0% non-pay expenditure inflation
 - 0% income inflation – price increased to be considered by service managers through the through the budget process
 - 2% staff vacancy factor for services and a 0% staff vacancy factor for schools
 - A freeze in the employer’s superannuation contribution rate (23.1%) for 2021/22 followed by 1% increases for the remainder of the MTFP period
 - 0% cash flat-line in Welsh Government settlement (AEF)
 - 4.95% increase in Council tax receipts
- 3.27 The above assumptions and modelling at that time led to a gap of £5.29 million in 2021/22 rising to a gap of £22.52 million over the medium term. Further work was then being undertaken to assess service based pressures both in the current year budget and any new pressures arising. Savings and income generation proposals were also being worked up and reviewed in order to close the gap between available resources and demand for resources.
- 3.28 The Welsh Government published its draft budget on 21st December. The overall increase in the Welsh Government draft revenue budget was £1.5bn (7.8%). Revenue spending will increase by £848m (5.0%) and spending on capital will increase by £671m (24.9%). There are no indicative revenue figures for future years as a result of the UK Government and Chancellor’s one year spending review. Whilst understandable given the current level of uncertainty with the UK economy and public finances it does not assist the Council in financial planning for the future.
- 3.29 On 22nd December the Minister for Housing and Local Government published the provisional local government finance settlement. There is an increase in the revenue settlement (Aggregate External Finance) of 3.8% for 2021/22 on a like-for-like basis and including transfers that for Monmouthshire only related to specific teacher’s pay grant transferring into the AEF. The Welsh Government has increased AEF by £172m.
- 3.30 Whilst a substantial proportion of pressures have been funded by this settlement there is a question mark over the actual pressures that will arise for pay in the context of the Chancellors Spending Review Statement on the 25 November. The Council has revised its budget assumption for pay (local government and teaching staff) down to 1%. However it recognises the budgetary risk if pay awards are subsequently confirmed in excess of this. One-off reserve cover is in place to mitigate this potential impact.

- 3.31 The Council in fact saw an increase in its AEF of 3.9%, above the all-Wales average of 3.8%. On the one hand this was welcome news as it enables some of the pressures needing to be accommodated in the budget proposals to be offset. And was significantly ahead of the original and prudent modelling assumption factored into the MTFP. However, the Council still remains rooted to the bottom of the table for funding per capita (£1,067 per capita).
- 3.32 Welsh Government have also confirmed that funding of COVID pressures, in the form of increased costs and income losses, will be separately announced in the coming weeks. This is positive news and provides clarity that the settlement does not continue therein any provision for such pressures which are expected to be significant as the pandemic impacts into 2021/22.
- 3.33 Specific grant funding still remains an evolving picture with many grant notifications still to be received. However, at an all-Wales level and based on most recent information supplied by Welsh Government, there appears to be a generally positive picture with grants at least cash flatlined at current year levels. One specific announcement is the increase from £40m to £50m in the Social Care Workforce Development grant from which the Council expects will benefit by an extra £247k and that will assist in meeting existing and relevant pressures within social services.
- 3.34 A response to Welsh Government regarding the Provisional Settlement is attached at Appendix 5.
- 3.35 A high level summary of the draft proposals and the resultant budget shortfall to be funded by a one-off contribution from the Council's general reserves (Council Fund balance) of £748k is shown below. Pressures of £10.070m and savings of £3.682m are summarised in appendix 1 and each is supported by a detailed mandate in appendix 2.

BUDGET PROGRESS TO DATE	£'000	£'000
Gross Expenditure		247,247
Full cost Pressures	1,423	
Specific service Pressures	10,070	
	11,493	11,493
Sub Total Expenditure		258,739
Gross Income		(247,247)
<u>Savings Proposals</u>		
Service efficiencies	(3,268)	
Welsh Government settlement funding implications	(3,723)	
Income generation increase	(415)	
Council tax additionality	(3,339)	
	(10,744)	(10,744)
Sub Total Income		(257,991)
Net Expenditure		748
Council Fund contribution		(748)
Net Expenditure		0

Pressures

3.36 The work on pressures has highlighted that a number of significant pressures (£10.07m) need to be taken into account in next year's budget. A summary table of pressures is provided below and further information on the individual pressures is provided in summary in Appendix 1 and in detail in appendix 2. The main pressures principally relate to areas outside of the control of the Authority, and most notably:

- Children with additional learning needs – £1.47m pressure resulting from demand for support for pupils and that includes requirements to support pupils from an earlier age and pupils that are continuing their education into post-16.
- Funding Children's Services looked after children pressures (LAC) – £1.46m that includes placement costs, legal costs and staffing pressures
- Sustaining the model of delivery within adult social care – £0.79m and that includes required uplifts to fees for external care providers (£536k) and £250k to deliver a bespoke contract to address a shortfall in commissioned care in the Usk area.
- Recycling and Waste – £1.435m of pressures resulting from increased cost of treatment and disposal, contract inflation, reduced grant funding and costs associated with new service provision. Council decisions in-year for service changes and rationalisation have led to a level of offsetting and compensating savings (see savings below).
- Passenger Transport Unit – £917k pressures resulting from catchment changes and increases, increased staffing costs resulting from an increase in-house provision required and a loss of private hire income.
- Homelessness – £874k of pressures that results from a fundamental review of the homelessness provision and aligns with Welsh Government's revised policy position. Note that early indications suggest a level of specific grant funding might be forthcoming from Welsh Government and that might mitigate some of the pressures needing to be accommodated.
- Pressures of £918k relating to the unbudgeted element of the 2020/21 pay award and staff efficiency savings that cannot be absorbed due to service demand pressures, most notably in social services (£688k).
- Income shortfalls – £777k of pressures that result from income losses that are either forecast as an indirect consequence of the pandemic and not met by Welsh Government's COVID Hardship Fund or that have been deemed not achievable in 2021/22.
- Corporate costs – £474k of pressures resulting from increases in precepts and levies from the South Wales Fire and Rescue Authority and Coroner's service, increased insurance premiums and pension strain costs.

3.37 It is noticeable that there are a limited number of pressures identified for years 2 to 4 of the MTFP against service directorates, however it is common for them to be recognised closer to the year in question and through the budget process. This needs to be borne in mind when considering the remaining gap in the MTFP. Provision of £5m is however made in the MTFP, for modelling purposes, for "unidentified pressures" in each of the remaining years of the MTFP based on the level of pressures that have historically presented themselves and been accommodated as part of the budget process. However, most recent years have seen a level of net pressures needing to be accommodated in excess of £5m, For 2021/22 this amounted to £7.811m.

Pressures by Directorate	2021/22 £000	2022/23 £000	2023/24 £000	2024/25 £000
Children & Young People	1,469	0	0	0
Social Care & Health	2,979	382	342	342
Enterprise	3,754	0	(200)	0
Monlife	353	0	0	0
Resources	756	0	0	0
Chief Executives Unit	195	(33)	0	0
Corporate Costs & Levies	520	4,725	5,100	4,900
Appropriations	44	106	0	0
Core Funding	10,070	5,180	5,242	5,242

3.38 Previously agreed savings that have been identified as not achievable have also been recognised as pressures in the model together with significant current year budget overspends that look set to continue into 2021/22 and to the extent that they can't be mitigated. As a result of the pandemic and given the in-year challenges with savings being delivered by some service areas these significant demand-led pressures have been recognised in the budget for 2021/22 to mitigate this risk.

Saving Proposals for 2021/22

3.39 After several years of taking significant resource out of the budget the means of achieving further savings becomes increasingly more challenging. This has been exacerbated by the pandemic and where officer time has had to be diverted to the emergency response and ensuring vital services are delivered. The in-year over spend, whilst being managed via a recovery plan, sees significant service pressures carried through into 21/22 and with this already challenging backdrop has made the budget challenge even more acute.

3.40 The draft proposals in total bring forward savings of £3.682m. The notable savings proposals include:

- Savings of £1.258m from the full release of the individual school budget for Mounton House special school following its closure.
- Opportunity to continue to make use of guidance from Welsh Government that allows the Authority to make flexible use of capital receipts to capitalise revenue costs relating to service reform (£1.0m).
- Recycling and waste – £685k of savings notably resulting from in-year decisions by the Council (garden waste collection, introduction of polypropylene bags and HWRC changes) and reduced tonnages to landfill
- Income generation resulting from anticipated increased income, new charges and increases in existing fees and charges (£415k) – and that includes £252k from additional recoupment income from mainstream ALN provision in our schools.
- Additional specific grant funding – an increase in the social care workforce development grant from Welsh Government from £40m to £50m in 2021/22 will provide an additional £247k grant income that will offset existing and relevant pressures in adult social care.
- Targeted accommodation and mileage savings and that look to ensure that efficiencies realised from new ways of working in response to the pandemic are embedded (£121k)

3.41 Work continues in parallel to develop ideas and proposals such that they can be brought into the budget once they are sufficiently progressed.

3.42 All proposals have been considered and tested through an initial process of independent challenge by officers and Cabinet Members. A summary of all the proposals are shown in the table below. The savings proposals are contained in summary in appendix 1 and in detail in appendix 2.

Disinvestment by Directorate	2021/22 £000	2022/23 £000	2023/24 £000	2024/25 £000
Children & Young People	(1,510)	0	0	0
Social Care & Health	(326)	(105)	0	0
Enterprise	(821)	0	50	0
Monlife	(104)	0	0	0
Resources	(165)	0	44	0
Chief Executives Units	(32)	0	0	0
Corporate Costs & Levies	(1,000)	0	1,700	0
Appropriations	275	111	(241)	0
Totals	(3,682)	6	1,553	0

Treasury Impact

3.43 The draft capital budget proposals and MTFP are being considered as a separate report on this agenda and for the purposes of establishing the revenue impact of the capital MTFP, the current summary position in the capital report has been taken.

3.44 The Treasury budgets continue to be closely monitored throughout the year, and any changes in the following will be considered at final budget stage:

- A review of the current year underspend;
- The profile of capital expenditure and potential slippage;
- A review of maturing debt over the medium term; and
- The balance between the level of fixed and variable rate debt in the Council's portfolio.

3.45 The balance of risk is an important consideration in this review as are the principles of security, liquidity and yield when considering any investment strategies.

Council Tax

3.46 The Council Tax increase in the budget has been modelled as 4.95% for 2021/22, 3.95% per annum for 2022/23 and 4.95% for the remaining two years of the MTFP as a planning assumption.

3.47 The Council tax base report was approved via Individual Cabinet Member decision on 9th December 2020 and concluded an assessment of collection rates and growth in properties. Despite the impact of the pandemic the collection rate in the current year the collection rate has been retained at 99.0%. Overall, the Council Tax base calculated for 2021/22 has risen by 0.82% compared to 2020/21. This increase takes into account the anticipated changes in dwellings and more recent forecasts have determined a further increase. The estimated total additional income, net of changes to CTRS (Council Tax Reduction Scheme), is £500,000 and these latest projections have been incorporated within the MTFP as part of the budget process.

Summary position

- 3.48 In summary, the 2021/22 budget proposed are balanced but rely on a one-off contribution from the Council's general reserves (Council Fund balance) of £749k, if all the pressure and savings proposals summarised in appendix 1 and detailed in Appendix 2 are approved. Efforts are to continue to mitigate as much as possible the level of reserve contribution supporting the budget proposals for 2021/22.

Services	Adjusted Base 2020/21 £000	Indicative Base 2021/22 £000	Indicative Base 2022/23 £000	Indicative Base 2023/24 £000	Indicative Base 2024/25 £000
Children & Young People	56,072	56,544	57,062	57,535	58,014
Social Care & Health	50,515	53,282	53,951	54,690	55,435
Enterprise	22,602	26,414	26,859	27,191	27,710
Resources	7,682	8,361	8,482	8,660	8,795
Chief Executive's Unit	4,749	4,957	5,129	5,075	5,152
Corporate Costs & Levies	22,972	22,492	27,217	34,017	38,917
Sub Total	164,592	172,051	178,698	187,168	194,023
Transfers to reserves	143	195	188	63	63
Transfers from reserves	(657)	(588)	(294)	(139)	(139)
Treasury	6,628	6,859	7,317	7,424	7,423
Appropriations Total	6,114	6,466	7,211	7,348	7,347
Total Expenditure Budget	170,706	178,517	185,909	194,516	201,371
Aggregate External Financing (AEF)	(97,760)	(101,483)	(101,483)	(101,483)	(101,483)
Council Tax (MCC)	(57,347)	(60,686)	(63,083)	(66,205)	(69,482)
Council Tax (Gwent Police)	(12,647)	(12,647)	(12,647)	(12,647)	(12,647)
Council Tax (Community Councils)	(2,952)	(2,952)	(2,952)	(2,952)	(2,952)
Contribution to/(from) Council Fund	0	(749)	0	0	0
Sub Total Financing	(170,706)	(178,517)	(180,165)	(183,287)	(186,564)
(Headroom)/Shortfall	0	0	5,744	11,228	14,806

MTFP Risks and Considerations

- 3.49 The last year has been a truly unprecedented one, on the the county and its residents, and also on the Council and where its finances have been put under significant strain. The severe flooding that impacted the county in early 2020 was soon followed by the pandemic and that has remained with us since. And its impacts will continue through the current financial year and 2021/22 and beyond. As communities, businesses and the wider economy and society looks to move from the current emergency response, through mass vaccination of the population and towards recovery.
- 3.50 The Council is grateful to Welsh Government for the continued funding provided to local authorities via its COVID Hardship Fund to offset significant COVID related expenditure and income losses. A risk still remains that Welsh Government funding will be inadequate to cover COVID related expenditure and income losses for the remainder of this financial year and through 2021/22. However, increased levels of comfort have been provided by Welsh Government recently and that look to cause the risk level to be reduced,
- 3.51 Beyond the pandemic the Council is still facing significant demand led service pressures as is demonstrated by the £10.07m of pressures being accommodated in the draft budget proposals. Clearly these pressures are based on the latest estimates and forecasts and further increases in demand can cause rise to further financial pressure on the Council.

- 3.52 The Welsh Government provisional settlement has provided some welcome reprieve and exceeded the Council's earlier MTFP modelling assumption. However, and as is the case at this stage of the budget process, clarification is still being sought on levels of specific grant funding. This will be closely monitored in the coming weeks and any known material impacts will be factored into the final budget proposals.
- 3.53 The key remaining and potentially significant financial risk relates to the pay awards for local government staff and teaching staff. The reality is that Welsh Government did not receive any additional funding through the Barnett formula to provide for public sector wide pay awards next year given the UK Government's decision to pause public sector pay rises, with the exception of the NHS and those on the lowest wages. The implications of pay awards in 2021-22 will therefore need to be accommodated within the Council's budget planning in the light of the Provisional Settlement.
- 3.54 Local government pay is nationally set by Local Government Employers (LGE) and Teachers pay in Wales is set by the IWPRB (Independent Welsh Pay Review Body). As stated earlier in the report the modelling assumption for pay is set at 1%. Any increase in pay award above this will draw further on the Council's finances and therefore this remains a key risk. The Council awaits subsequent notification on pay from awarding bodies and that is likely to extend into 2021/22 before being finalised and where pay awards are subject to consultation with trade unions.

Reserves and Capital Receipts strategy

- 3.55 Earmarked reserve usage, established for specific use and purpose, is projected over the MTFP period to decrease the balance on earmarked reserves from £5.53 million in 2020/21 to £4.91 million at the end of 2023/24. Taking into account that some of these reserves are specific, for example relating to joint arrangements, this brings the usable balance down to £3.17 million at the end of 2023/24.
- 3.56 The Council's general reserve (Council Fund balance) was increased £1.8m as a consequence of an opportunity at the end of the 2019/20 financial year to fund costs associated with service reform from capital receipts and aided by a one-off VAT recovery that offset in-year service pressures. This created £1.8m headroom in the Council Fund balance above advised de minimus levels.
- 3.57 The Council is proposing to utilise £749k of this headroom to make a one-off contribution to support the draft budget proposals. The remaining balance is being reserved and if required to cover the following and where mitigating budgetary recovery action is unable to manage such pressures on the Council's budget:
- Any deficit at revenue outturn for the 2020/21 financial year – The M7 forecast reported to Cabinet in January highlighted a £518k non-COVID forecast deficit – with a risk around any COVID related deficit not being funded by WG
 - Any budget pressure in 21/22 resulting from pay award announcements in excess of the 1% modelling assumption and as noted above
 - Any COVID related pressure caused by a shortfall in WG funding in 21/22
 - Any deficit at revenue outturn for the 2021/22 financial year
 - Any one-off contribution to support the 2022/23 budget proposals
 - To allow for future reserve cover across MTFP and beyond
- 3.58 As part of its MTFP budget strategy the Council is continuing to make use of Welsh Government guidance and that of other local authorities in Wales to fund one-off revenue

costs associated with service reform from useable capital receipts held. The Council is proposing to draw £1.7m from capital receipts as part of the budget proposals for 2021/22 and has modelled a similar level of contribution for 2022/23. Whilst the Council will have sufficient capital receipts to maintain this short-term approach it should be noted that it has two consequences. Firstly that it draws on limited useable capital receipts meaning that any significant capital expenditure needing to be funded from the Council's resources will have a direct impact on the level of borrowing needing to be considered. And secondly that this is a short term strategy and its removal as a funding source in future will have an impact on the level of budget shortfalls needing to be managed. As such the Council will need to move towards a more sustainable budget strategy over the medium and once the current unprecedented circumstances have passed.

- 3.59 It can be seen that despite the positive provisional settlement from Welsh Government and despite a continued funding of COVID related pressures the continued extent of pay and demand pressures from services place a significant financial burden on the Council and where it does not have significant recourse to rely on reserves.
- 3.60 Separate to this locally managed school budgets carried a collective net deficit balance of £435k at the beginning of the current financial year. The latest month 7 outturn statement indicates that school balances are forecast to decline further to £422k. However, all schools who are in a deficit position have agreed recovery plans and the number of schools in deficit is forecast to reduce from 17 at the beginning of this financial year to 13.
- 3.61 The previously approved Reserves strategy sought to ensure that earmarked reserves are not used to balance the budget for ongoing expenditure and that they are instead used to the best effect and impact on one off areas of spend to help the authority transform itself within the new resource levels available to it. The final budget report will contain an assessment of the adequacy of reserves.

Next Steps

- 3.62 The information contained in this report constitutes the draft budget proposals that are now made available for formal public consultation and member scrutiny, and that includes the formal requirement to consult businesses. The formal consultation period will run for a period of four weeks ending on 17th February 2021.
- 3.63 Cabinet are interested in consultation views on the draft proposals and the underlying budget strategy adopted. This is the opportunity for Members, the public and community groups to consider the budget proposals and make comments on them. Cabinet will not however, be prepared to recommend anything to Council on 11th March that has not been subject to a Future Generations Assessment and Equality Impact Assessment and therefore a deadline to receive alternative proposals has been set as 17th February 2021.
- 3.64 In the past extensive community engagement had been undertaken around the budget. However, such a large scale public engagement will not be undertaken as budget proposals that see substantive or material service developments will have undergone their own consultation process.
- 3.65 Furthermore, the pandemic and the current lockdown restrictions places an additional challenge on being able to adequately consult with residents. As a result the Council will be looking to:

- a) Launch a dedicated page on the Council's website containing the draft budget proposals, a video blog by the Cabinet Member for Resources and an online feedback form;
- b) Making use of social media linked to press releases, the website and online forms to ensure that there is optimal reach to allow residents to become aware of and respond to the draft budget proposals.

3.66 There will however be an opportunity for the community to provide consultation responses via virtual online meetings with various consultative fora outlined below and via the website and social media where details of the proposals and consultation events will be published.

School Budget forum – 21st January 2021
 My Mates group – 21st January 2021
 Unions Joint Advisory Group (JAG) – 25th January 2021
 County wide budget engagement livestream – 27th January 2021
 Head Teachers conference – 29th January 2021
 Engage to Change (young people) – 29th January 2021
 Access for All group – to be confirmed

Town and community council cluster meeting – 2nd February 2021

3.67 The scrutiny of the budget proposals are key areas of this part of the budget process. The following dates have been set for Select committees:

Children and Young People – 19th January 2021
 Economy and Development – 21st January 2021
 Adults – 26th January 2021
 Strong Communities – 28th January 2021

3.68 Final budget proposals following consultation and receipt of the final settlement will go to the Cabinet meeting on 3rd March 2021 and approval of Council Tax and final budget proposals will then take place at Full council on 11th March 2021.

4 OPTIONS APPRAISAL:

4.1 Directorates are required to consider and outline the options that have been considered for each of the budget savings proposals and pressures identified in this report. The detail is contained in the budget mandates available under appendix 2.

5 EVALUATION CRITERIA:

5.1 The means of assessing whether the final budget proposals 2021/22 have been successfully implemented is undertaken throughout the year via regular budget monitoring and periodic reports to Cabinet and then to Select committees for scrutiny.

5.2 Since the start of the pandemic the Council has been reporting on both COVID and non-COVID budget deficits, with the former being funded by Welsh Government to date through the COVID Hardship Fund. Reporting will extend into 2021/22 on the same basis as the impact of the pandemic continues to impact on the Council's finances.

5.3 Alongside the Corporate plan the Council continues to iterate and develop its Coronavirus strategy, its third iteration (Winter Strategy) approved by Cabinet in December 2020. Regular monitoring of the performance of the Council against service business plans, the Corporate Plan and the Coronavirus strategy takes place. Taken together these arrangements enable the Council to evaluate its success and progress against its longer term plans within the resources available.

6 REASONS:

6.1 To agree the draft revenue budget proposals for 2021/22 for consultation purposes.

7. RESOURCE IMPLICATIONS:

7.1 As identified in the report and appendices.

8. WELLBEING OF FUTURE GENERATIONS IMPLICATIONS (INCORPORATING EQUALITIES, SUSTAINABILITY, SAFEGUARDING and CORPORATE PARENTING):

8.1 The future generation and equality impacts of the savings proposals have been initially assessed per budget saving mandate in appendix 3. An overall future generation and equality impact evaluation of the all the proposals has also been undertaken and is contained in appendix 4. This overall evaluation is an early one, applying to budget proposals only at this pre-consultation, pre-decision stage. This analysis will continue to evolve and be updated throughout public consultation and scrutiny.

8.2 The impact on services has been kept to a minimum. The assessment shows some proposals have identified a negative impact and mitigating actions have been considered, identified or are in place. Consultation requirements have been identified and are ongoing. The assessment also identifies some of the pressures to support services have potentially a mostly positive impact on equalities and Future Generations.

8.3 The actual future generations and equality impacts from the final budget report's recommendations will also be reviewed and monitored during and after implementation.

9. CONSULTEES:

SLT
Cabinet

10. BACKGROUND PAPERS:

Appendix 1: Summary of budget savings and pressures
Appendix 2: Directorate savings and pressure proposals
Appendix 3: Future Generations Evaluations
Appendix 4: Future Generations Evaluation for the overall budget
Appendix 5: Proposed letter responding to Welsh Government's Local Government provisional settlement

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Ref	Pressure/Saving by Directorate	Pressure £000	Saving £000
CYP	Children & Young People	1,469	(1,510)
SCH	Social Care & Health	2,979	(326)
ENT	Enterprise	4,107	(925)
CEO	Chief Executives Unit	195	(32)
RES	Resources	756	(165)
CORP	Corporate Costs & Levies	520	(1,000)
APP	Appropriations	44	275
FIN	Financing	0	0
	Totals	10,070	(3,682)

Ref	Children & Young People	2021/22 Pressure £000	2021/22 Saving £000
CYP1	ALN recoupment income (Mounton House)	304	
CYP1	ALN - Independent schools	58	
CYP1	ALN - Other LA's	130	
CYP1	ALN - School action plus	495	
CYP1	Additional recoupment income - mainstream		(252)
Report to Cabinet Sep 2019	Mounton House closure impact on ISB		(1,258)
Report to Cabinet Sep 2019	Mounton House closure impact on ISB - Inclusion Centres	269	
Report to Cabinet Sep 2019	Mounton House closure impact on ISB - Placement costs	118	
CYP2	Mounton House related Cost pressure - Education Psychology	75	
CYP2	Mounton House related Cost pressure - Early years	21	
	CYP Totals	1,469	(1,510)

Ref	Social Care, Health & Safeguarding	2021/22 Pressure £000	2021/22 Saving £000
SCHACC 21.22	Additional in year 1.75% pay award	346	
SCHACC 21.22	Unachievable 2% staff efficiency saving	242	
SCHACC 21.22	CS 2% staff efficiency	100	
SCHACC 21.22	SCH Safeguarding team recruitment & training (20/21 capitalisation directive)	45	
SCHCS 21.22	Month 7 Pressure - Childrens	1,460	
SCHFEEES 21.22	Provider fees	536	
SCHUSK 21.22	Month 7 pressure - Increase in care packages (Radis Usk)	250	
SCHF&C 21.22	Fees & Charges 2021/22		(79)
Full cost briefing note	Increase in SCWD grant		(247)
	SCH Totals	2,979	(326)

Ref	Enterprise & Monlife	2021/22 Pressure £000	2021/22 Saving £000
PENT0001	FACFLEET - PTU Commissioning - Additional pupils and catchment change consequences	366	
PENT0001	FACFLEET - PTU Operations - Recurring staffing pressure, service expansion and consequence of contract handback	327	
PENT0001	FACFLEET - PTU - Private Hire income shortfall - total loss £324k, £100k related to covid.	224	

PENT0002	FACFLEET - Catering - Catering Staff Resources Supervisor (fully funded 20-21, needs funding in 21-22 onwards) & re-structure costs.	48	
PENT0002A	FACFLEET - Catering - Increase in Free School Meal Entitlement (primary only) and consequential loss of school meal income	36	
PENT0003	FACFLEET - Transport - Increased premises costs & additional staff resource to enable transport review.	73	
PENT0004	PLANHOUS - Car Parking - Business Rates increase	21	
PENT0005	PLANHOUS - Planning income pressures	200	
PENT0005	PLANHOUS - Staff Saving - 20-21 Staff Restructure Savings (£11,950) + £50k LDP senior officer saving, frozen until 23/24.		(62)
PENT0006	PLANHOUS- Homelessness - Increased costs due to change in WG policy - Staffing £195k, Security at Hostels £297k, B&B costs £345k, Room leasing £38k.	875	
PENT0007	MONLIFE - Shirehall income loss	70	
PENT0009	MONLIFE - Unachievable Vacancy Factor Frontline Services	106	
PENT0010	MONLIFE - Unbudgeted 20-21 Pay award	124	
PENT0011	MONLIFE - Contract & Energy Inflation	53	
PENT0012	NEIGHBOURHOOD - Waste - Additional budget requirement due to recurring pressures.	1,435	
PENT0012	NEIGHBOURHOOD - Waste - Service Savings		(685)
PENT0012	NEIGHBOURHOOD - Grounds Maintenance - Remove Sweeper & Staff savings		(65)
PENT0013	PLANHOUS & ENT - Project Manager resource *2, Business manager resource *1	149	
ENT0001	MONLIFE - Removal of Events Co-ordinator Post		(29)
ENT0003	MONLIFE - Introduce Car Parking Charges at Caldicot Castle		(20)
ENT0004	Increase in discretionary Fees & Charges		(64)
	ENT Totals	4,107	(925)

Ref	Chief Executive's Unit	2021/22 Pressure £000	2021/22 Saving £000
PCEO0001	LEGALLAND - Land charges - income pressure.	40	
PCEO0001	LEGALLAND - Legal - External Income Pressure	40	
PCEO0002	GOVDEMSUP - Welsh Translation - increase in costs	22	
PCEO0003	GOVDEMSUP - Contact Centre - Restructure savings pressure	60	
PCEO0003	GOVDEMSUP - Contact Centre - Additional staff to cope with booking system at HWRC	33	
CEO003	GOVDEMSUP - Members Supplies & Services		(15)
CEO003	GOVDEMSUP - Staff Vacancy Saving		(17)
	CEO Totals	195	(32)

Ref	Resources	2021/22 Pressure £000	2021/22 Saving £000
PRES0002	CORPLLORD - Estates Development Company Income Pressure	100	
PRES0002	CORPLLORD - Estates - Commercial income increase, not achieved in 20-21	200	
PRES0002	CORPLLORD - Cemeteries - Income pressure	31	
RES0002	CORPLLORD - Property Accommodation Savings.		(50)
RES0003	FUTUREMON - Mileage & Agency savings	112	
RES0003	FUTUREMON - Mileage Savings		(71)
RES0003	FUTUREMON - Staff Secondment Savings		(44)
PRES004	ICT - Increase in SRS Contribution	99	
PRES0005	PEOPLE - HR & Payroll Staff Pressure	113	
PRES0005	PEOPLE - Training income pressure	50	

PRES0005	PEOPLE - E-recruit & Onboarding Software	51	
	RES Totals	756	(165)

Ref	Corporate	2021/22 Pressure £000	2021/22 Saving £000
Full cost briefing note	Insurance premium	131	
Full cost briefing note	Fire Authority precept	162	
Full cost briefing note	Pension strain costs	151	
Full cost briefing note	Coroner levy	30	
Full cost briefing note	Crematorium distribution reduction	46	
Full cost briefing note	Capitalisation directive		(1,000)
	CORP Totals	520	(1,000)

Ref	Appropriations	2021/22 Pressure £000	2021/22 Saving £000
Full cost briefing note	Additional borrowing in respect of Future schools tranche A, DFGs, and sewer plants	44	
Full cost briefing note	Net Minimum Revenue Provision (MRP) increase based on additional activity		275
	APP Totals	44	275

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2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Additional Learning Needs	Senior Responsible Officer:	Will Mclean
Your Ref No:	CYP1	Operational Lead Officer:	Jacky Elias
Version No:	0.1	Directorate:	CYP
Date:	27-11-20	Section:	ALN

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

1. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

The budgets for Additional Learning Needs has seen a substantial pressure in demand for support for pupils. This demand includes requests to support pupils from an earlier age and pupils that are continuing their education into post 16.

The pressures are detailed below:

- £58,000 for placements in independent schools
- £130,000 for placements in other Local Authority schools
- £495,000 for supporting pupils in Monmouthshire schools.
- £304,000 Recoupment income for Mounon House
- -£252,000 Increase in Recoupment income for pupils attending our mainstream schools.

The pressure for independent school is a combination of both increase in placement costs and the number of pupil attending these settings. While the majority relates to the compulsory years there are a number of pupils that have remained in post 16 education.

Placement costs for other Local Authority schools have also increased and again this pressure relates to both pupil numbers and an increase in costs. As with the independent provision a number of these pupils are remaining in school for post 16 education.

ALN colleagues have worked with Monmouthshire schools to look at the resources available and the provision, examples of this is small group provision as opposed to one to one support where appropriate. Schools are already required to use 5% of their delegated budgets to support pupils with additional learning needs and this pressure is in addition to this

Mounon House closed on the 31st August 2020, the £304,000 relates to the loss of recoupment due to the closure, however this is offset by the increased number of pupils attending our mainstream schools from out of county and therefore the net pressure for recoupment income is £52,000.

2. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

The pupil number are discussed monthly at DMT, all increases in placement costs are circulated to relevant colleagues to review and build into future forecasts. In addition to this a clear forecasting model is being developed which will allow all known costs to be rolled forward over the term of the MTFP to allow a clear indication of costs.

3. **Budget Impact** In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Independent Schools	£1,682,873	£58,000	0	£58,000				£1,740,873
Other LA's	£1,519,137	£130,000	0	£130,000				£1,649,137
Monmouthshire Schools	£1,177,252	£495,000	0	£495,000				£1,672,252
Recoupment Income	(£982,190)	£304,000	(£252,000)	£52,000				(£930,190)

4. **External Funding:** Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

5. **Corporate Alignment:** How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

6. **Additional Impacts** What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?

None		

7. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

All applications for additional funding in our schools are subject to a panel review to discuss the costs and any alternative savings that can be made to reduce the costs burden.

Panels also consider the placements for pupils attending out of other Local Authority schools and independent schools. This is to ensure that the placements can meet the need of the pupils and to consider any costs involved.

8. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

9. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
None		

10. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
None		

11. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions

Risk costs will continue to increase.	Operational	Budget pressures in recent years	High	Challenge of budget pressures. Working with schools to maintain support in schools. Train and up skill staff to provide support. Working with schools to look to delegate greater funding for schools to control to meet need.

12. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
Pupil Numbers	This assumes that the relative pupil numbers will remain relatively static.	Jacky Elias
Placement costs	This assumes that the placement costs will remain static and the proportion of pupils attending each provision also remain static	Jacky Elias

13. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24

14. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Early Years and Education Psychology	Senior Responsible Officer:	Will Mclean
Your Ref No:	CYP2	Operational Lead Officer:	Jacky Elias / Sharon Randall-Smith
Version No:	0.1	Directorate:	CYP
Date:	08/01/21	Section:	ALN / EY

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

15. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

This proposal is to fund additional posts to support the new responsibilities in the ALN and Education Tribunal Act which comes into force in September 2021. The funding is for a new 0.5 FT teacher for early years and an Educational Psychologist.

These post will support schools in the early identification of children and pupils with additional learning needs and recommend the support required to ensure that children and pupils can meet their full potential.

In addition to this the posts will provide outreach training to enhance the provision across our settings and schools alongside providing wellbeing support to schools.

The roles will be a vital support in delivering the new responsibilities outlined in the new ALN and Education Tribunal Act.

16. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

**ALN and Education Tribunal Act
Statements and evidence from schools of increasing numbers of children with complex additional needs.
Statements and evidence from early year settings
Staffing structures.
Increase in the number of Early Years children with ALN identified in settings**

17. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Education Psychology	306,903	74,387	0	0	74,387	0	0	381,290

Early Years	193,003	20,852	0	0	20,852	0	0	213,855

18. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

19. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

20. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
None		

21. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

All staffing structures have been reviewed to asses if any existing staff can be redeployed but as the ALN And Education Tribunal Act brings significant additional responsibilities for Local Authorities there is a requirement to increase staffing to carry out these statutory duties.

22. Additional Considerations:

Question	Y/N	Comments/Impact

Will this proposal have any staffing implications?	Y	
Will this project have any legal implication for the authority?	N	

23. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
None		

24. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
DMT	Proposed plans discussed and agreed.	Autumn 2020
Consultation with existing staff	To ensure staff are clear on the proposals	On-going

25. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Risk that the staff with the right skill set cannot be recruited	Operational	The ALN act is placing additional responsibilities on all LA and therefore staff with these skills will be at a premium	Medium	Recruiting early. Competitive and attractive Job description.

26. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

27. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Process	Fulfilment of the additional responsibilities		Initial review of responsibilities	Full assessment of roles against the requirement of the act.	

28. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Various accounting budgetary adjustments	Senior Responsible Officer:	Julie Boothroyd
Your Ref No:	SCHACC21.22	Operational Lead Officer:	Tyrone Stokes
Version No:	1	Directorate:	SCH
Date:	10 th December 2020	Section:	Finance

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

29. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

- **£346,000 – shortfall in Social Care, Safeguarding and Health staffing budget of 1.75% due to the 2020/21 pay award. As part of the 2020/21 budget an allocation of 1% was given to afford any pay ward. Subsequently in year the final agreed pay award was 2.75%, hence a shortfall of 1.75% monetary value £346K.**
- **£242,000 – in ability to meet the 2% staff efficiency saving deducted from the staffing budget, which relates to those front line adult and public protection staffing service budgets such as care at home, social workers and our own respite, care home services, trading standards, commercial/public protection.**
- **£100,000 – as part of the 2020/21 budget it was agreed to fund the 2% staff efficiency within Children’s Services due to the nature of the service and the risk posed in not filling vacant posts. However the Medium Term Financial Plan calculated the efficiency on total staff salaries and has added back in the efficiency at a value of £100K.**
- **£45,000 – In 2020/21 the Authority, under the capitalisation directive, removed £45K of revenue staff costs to be funded from capital for one year only, but needs to be added back into the Safeguarding service budget for 2021/22**

30. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

- **Pay award shortfall of £346,000 – this has been calculated as part of the Authority’s formal month 7 forecast monitoring and represents those staff budget that cannot absorb the additional pay award within current budget allocations.**
- **Not achieving the 2% staff efficiency saving – again this has been calculated as part of the Authority’s formal month 7 forecast monitoring exercise and represents only those staff budgets that cannot achieve the efficiency, which would be crucial front line services throughout Adults and Public Protection.**
- **Children’s Services 2% staff efficiency saving – As part of the 2019/20 budget process, the 2% staff efficiency on Children’s staffing budgets were removed. However, the Authority budget model calculates the staff efficiency of total staff budgets including children’s. The budget implication in keeping the Children’s staffing budget excluded from the 2% efficiency is £100K.**
- **Safeguarding – As part of the Council’s capitalisation directive strategy in 2019/20 the sum of £45K was removed from the Safeguarding revenue staffing budget and capitalised, for one year only. Therefore for 2021/22 this sum has to be added back to the Safeguarding staffing budget.**

31. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
SCH	50,500	733			733			733

32. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

33. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	Y	Applicant of the staff efficiency saving

34. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Will ensure staffing budgets, especially for vital front line services, are appropriately funded	Staff within the SCH directorate	Positive

35. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

Budgets that can absorb part of the pay award and/or 2% staff efficiencies have been accounted for.

36. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	
Will this project have any legal implication for the authority?	N	

37. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

38. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Individual budget holders	Opportunity to absorb where possible	Various
Heads of Services	Opportunity to absorb where possible	Various
Chief Officer Social Care, Safeguarding and Health		9/12/20
Chief Officer Resources		9/12/20

39. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions

40. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

41. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Formal 2021/22 budget monitoring		733,000		

42. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Managing the budget pressure within Children's Services	Senior Responsible Officer:	Julie Boothroyd
Your Ref No:	SCHCS21.22	Operational Lead Officer:	Jane Rodgers/Ty Stokes
Version No:	1	Directorate:	SCH
Date:	14 th December 2020	Section:	Children's Services

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

43. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

During the current 2020/21 financial year, Children's Services has been consistently forecasting an overspend of circa £1.46M. This pressure will continue into the next financial year 2021/22 as a result of: -

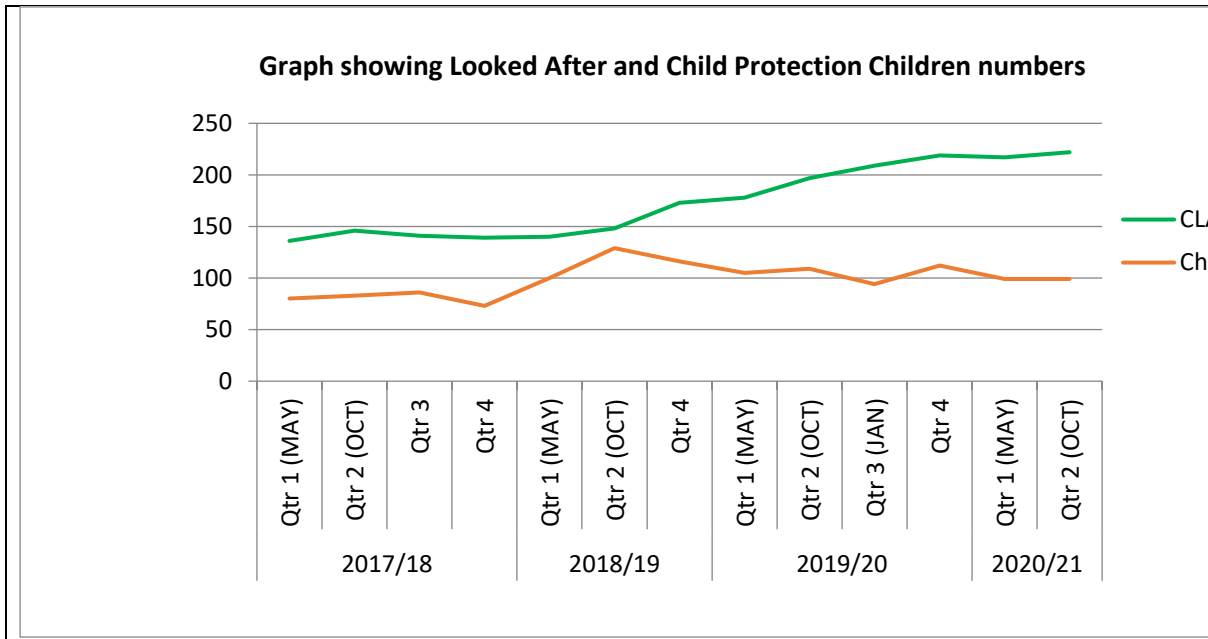
- Increase in demand with Children Looked After (CLA) rising from 197 since the beginning of the calendar year (numbers we used to set the budget for 2020/21) to at the end of November 2020 of 222, accounting for circa £900K,
- Legal costs account for £238K with activity levels remaining constant. However the savings target put forward in 2020/21 of £100K has not materialised and can be attributed to the increased demand on the system,
- Staffing budgets are overspending by the remainder due to the need for cover for absent staff, for e.g. maternity leave, and there will be an element of additional recruitment required. The staffing requirements have been met by the use of agency staff.

On a positive note, the level of spend in Children's Services has remained at a constant level throughout the year which does give some indication into a number of measures taken such as bolstering our early intervention and prevention services, wrap around support, Achieving Change Together services, MyST etc. are helping to manage and cope with the current service demands and we are seeing early signs of stability.

However, the COVID pandemic and the effects of our younger adult and children in the community may not be fully understood for some time, and this is a cautious element we must plan for.

44. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

- Current activity levels and how they have increased during the calendar year through monitoring of CLA numbers (see below graph)
- The number of legal/court cases and measuring the previous mandated target,
- Workforce planning and tracking of staffing numbers
- In year forecasting against budget and tracking of variances
- Success of services within the area used to manage demand



45. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Children's		1,460			1,460			1,460

46. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

47. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

48. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Ensure the service is adequately funded to support the needs of its CLA population	Staff and the Children that require support	Positive

49. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

<ul style="list-style-type: none"> • Continue with the development of our crucial services particularly those that i) provide earlier help and prevention (e.g. family support) ii) provide services that seek to prevent children coming into care (e.g. Achieving Change Together) iii) provide services that seek to repatriate children into community or family placements (e.g. MyST, Monmouthshire Families Together) • Continue to develop our in-house fostering and placement services - seeking to decrease the over-reliance on independent fostering agencies and residential placements • Continue to develop best practice aligned with long-term prevention and de-escalation of need and vulnerability • Continue to monitor staffing and resources to see where there is scope to increase establishment rather than rely on agency • Close working with our legal colleagues for any reduction in costs that may be possible.

50. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

51. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

52. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Individual budget holders	Opportunity to absorb where possible	Various
Heads of Services	Opportunity to absorb where possible	Various
Chief Officer Social Care, Safeguarding and Health		9/12/20
Chief Officer Resources		9/12/20

53. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
CLA increase	Operational	Trend of increased CLA numbers in previous years. However this year has seen those numbers stabilise. The uncertainty is the effects of the COVID pandemic and is there demand we are not yet aware of.	Pressure can be costed at unit CLA cost @ £44,000 per child MEDIUM RISK	ACT, BSF and full range of family support offer at all tiers as per CS plan Increase fostering Sufficiency

54. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

55. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Formal 2021/22 budget monitoring		1,460,000		

56. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	Y	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Fee uplift on Adult care providers	Senior Responsible Officer:	Julie Boothroyd
Your Ref No:	FEES21.22	Operational Lead Officer:	Ceri York/Tyrone Stokes
Version No:	1	Directorate:	SCH
Date:	15 th December 2020	Section:	Adults

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

57. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Each year we engage with the care provider market to understand their costs, margins and pressures they expect.

In previous years we have built in a pressure due to the rise in living wage following the then Chancellor in 2015 committing to a year on year increase.

The Chancellor of the Exchequer has announced an increase in the National Living Wage (NLW) to £8.91 an hour from 1st April 2021. With Consumer Price Index (CPI) at a rate of 0.5% as at September 2020 on non-pay costs we are obliged to work with providers and consider how cost pressures affect them in agreeing our fee levels.

58. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

The pressure has been calculated by using the Authority's fair fee toolkit and using the below data: -

1. The Chancellor of the Exchequer on 28th October 2020 in his one year spending review announced that the NLW would increase to £8.91 per hour from 1st April 2021.
2. ONS data on CPI as at September 2020 showed inflation to be 0.5%.
3. Current activity data and contracts

59. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
SCH		536			536			536

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60. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

61. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

62. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
<p>The outcome will allow the directorate to maintain contractual and legal obligations to meet cost pressures on its providers, maintaining a quality of provision for vulnerable people in the community. The calculation has been based on typical factors which are material year-on-year to the operation of social care provision. ie. not relating to coronavirus.</p> <p>However, the impact of the coronavirus on social care provision has been significant and many providers are surviving with the assistance of Welsh Government Hardship Funding designed to sustain the sector. This is particularly stark in relation to care home void levels. Any withdrawal of such funding during 2021/22 is likely to have a detrimental effect on the viability of the market and as such local authority funding may well be necessary to sustain provision at levels to enable care and support for the people of Monmouthshire.</p>		<p>Positive impact - Harbour good relations with providers and sustain a viable market which can meet cost pressures through increases in living wage to care staff.</p> <p>Negative impact - If we cannot meet cost increases to providers we risk a judicial review by the Courts from providers due to the Council not being in a position to accommodate cost pressures.</p> <p>The majority of Monmouthshire's care and support is secured through the independent sector, not meeting cost pressures introduces a real risk of being unable to source sufficient support to meet need.</p>

63. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

With the support of providers understand current cost pressures and set fees accordingly.

64. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	Y	

65. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

66. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)

67. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Financial sustainability of the sector due to coronavirus	Strategic	Sector under visible pressure nationally and locally	HIGH	<ul style="list-style-type: none"> Regular conversations with the sector to understand specific risk factors better. Analyse Hardship Funding data to view the levels of

				additional support being invested currently to sustain the sector.
Discontinuance of Welsh Government Hardship Funding from 1 st April 2021	Strategic	Funding only confirmed to 31 st March 2021	HIGH	<ul style="list-style-type: none"> Lobby Welsh Government for continuance of funding Work with identified providers most at risk to build contingency plans for such an eventuality,
Current void levels are significantly lower than the 95% level upon which our fee levels have been predicated on. This is due to COVID-19	Strategic	Weekly occupancy data consistently highlights this issue.	HIGH	<ul style="list-style-type: none"> Work with identified providers most at risk to build contingency plans to mitigate the impact.

68. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
Pressure Mandate is based on typical factors for increases only	The costs and impact of coronavirus are unknown at this stage and need to be the subject of separate consideration.	

69. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Formal forecast monitoring		536		

70. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Usk care contract	Senior Responsible Officer:	Julie Boothroyd
Your Ref No:	SCHUSK21.22	Operational Lead Officer:	Eve Parkinson/Tyrone Stokes
Version No:	1	Directorate:	SCH
Date:	15 th December 2020	Section:	Adults

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

71. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Within the Usk region we have a concentration of 250 weekly hours that have proved difficult to service and commission, whether that's through the private domiciliary market or use of our care at home provision.

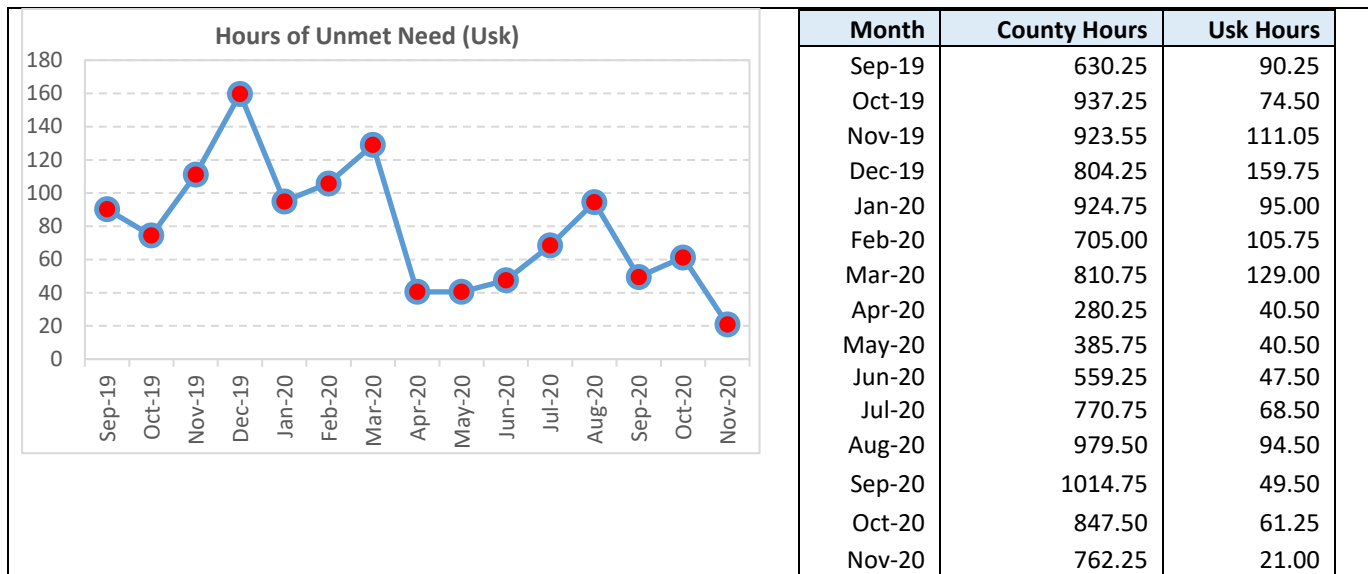
Difficulty in provision is predominantly as a result of rurality and lack of any local workforce.

Using the principles of Turning the World Upside Down (TWUD), we've embarked on a bespoke contract in partnership with the private domiciliary care provider RADIS to provide 250 weekly care hours at a cost of £19.50 per hour, equating to circa £250K, specifically for the Usk region.

This bespoke contract will have the principle aim of serving those difficult to commission care hours in Usk. The contract will also serve as a means of trialling the TWUD themes of offering person centred care as outlined in SSWBA - looking at guaranteed hours and how this can then help to support a more stable workforce that is able to offer consistent care, allow the care provider to salary those front line care workers, promoting care as an important career and improve staff recruitment and retention.

72. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

We track unmet need by area across the county at the end of each month (see below) from our brokerage function. These are the hours that cannot be commissioned.



73. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
SCH		250			250			250

74. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

75. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

76. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Provide a stable care provider in the region to service unmet care needs	Residents required care	Positive
	Care staff	Positive

77. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

<ul style="list-style-type: none"> • All attempts have been made to try and secure care provision from other providers in the market place • Other types of provision have been exhausted such as reablement • The contract price has been negotiated
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78. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

79. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

80. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Chief Officer Social Care, Safeguarding and Health		9/12/20
Chief Officer Resources		9/12/20

81. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Ensure the contract meets the needs of the clients	Operational		Low	Monitoring by front line Integrated Service Manager
Ensure the contract meets the needs of MCC as the commissioner	Operational		Low	Commissioning to review, monitor and act where necessary
A performance and evaluation framework exists to monitor the contract	Strategic		Low	

82. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

83. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Formal 2021/22 budget monitoring		250,000		

84. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	Y	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	Y	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Social Care Safeguarding and Health Fees & Charges 2021/22	Senior Responsible Officer:	Julie Boothroyd
Your Ref No:	SCHFEEES21.22	Operational Lead Officer:	Tyrone Stokes
Version No:	1	Directorate:	SCH
Date:	10 th December 2020	Section:	Finance

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

85. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

As part of the Authority's MTFP process and in setting an annual budget, we have reviewed all of our current fees & charges and if there is any scope to increase them for 2021/22. A part of the review, we have identified a number of fees and charges that have scope for increasing in 2021/22, with an additional annual income projection of £79,000. A schedule of fees and charges has been compiled as part of the exercise, illustrating the current charges, the rationale for the proposed increase, and what the new proposed charges are for 2021/22, with the additional annual income projection also detailed, split by Statutory and Non Statutory.

86. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

2021/22 Fees & Charges Schedule

87. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
SCH	50,500		79		79			79

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88. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

89. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

90. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?

91. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

92. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

93. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

94. Consultation

Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)

95. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions

96. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

97. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24

98. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

Discretionary Fees and Charges Proposals 2021-2022

The following schedule details the proposed Fees and charge levels for the Authorities chargeable discretionary services applicable to the financial year 2021/22.							
Service Area	Service being charged for	Charging Policy	Charges 2020/21 £:p	Proposed Charges for 2021/22 £:p	Percentage Increase	Proposed Budget 2021/22	Increased additional budget income identified for 2021*22 budget setting purposes
SOCIAL CARE & HEALTH DIRECTORATE							
ADULT SERVICES							
Non residential fees	Actual charge based on Financial Assessment in line with legislation within the SSWB Act 2014	Means tested assessment based on client's ability to pay in line with the Authority's Social Care Charging Policy and SSWB Act financial legislation	Means tested assessment being the lower of the cost or the person's assessed weekly charge, whichever is the lower, capped at the maximum weekly charge of £100 per week. The cost is based on an hourly rate, day care session or respite night unit of £14.29	£14.64 for an hourly rate of care, day care session or respite night, up to the lower of a client's assessed charge or the weekly maximum cap.	2.5	447,811	10,922.22
Residential/Nursing Fees which includes Part III own care home being Severn View and Budden Crescent	Actual charge based on Financial Assessment in line with legislation within the SSWB Act 2014	Actual charge based on Financial Assessment	Based on individual ability to pay as means tested in line with the SSWB Act 2014, with our own home charge set at a maximum weekly charge equivalent to our fair fee level for new residents	Based on individual ability to pay as means tested, but increase budget in line with Government proposed rise in benefits and state pension for 2021 of 2.5% (for existing residents in our own care settings will increase from its current £557.92 to £571.87 per week, new entrants will be charged the full charge equivalent to our fair fee level)	2.5	2,780,187	67,809.45
Public Health	Fee Income	As below	As below	No change from 2020/21	0	16,243	0.00
	Commercial licences	As below	As below		0	1,967	0.00

	Commercial Fee Income	As below	As below		0	25,465	0.00
	Food Safety training	Set internally based upon market rates					
	Discretionary Advisory Visits			£60			
	Veterinary Inspection Recharge	Riding Establishments Act 1970		£290			
	Riding Establishments	Law requires no more than cost recovery		£300			
	Petrol Station Permits/Licenses	Fixed by Government	As per 2019/20. These are set by legislation.				
	Registration for acupuncture, tattooing and ear piercing	Local Govt (misc Provisions) Act 1982		£50			
	Local Authority Pollution, Prevention and Control						
	Application fee	Mobile plant 1st and 2nd application	Low £637, Medium £1,020, High £1,530	No change from 2020/21	0		
		3rd to 7th application	Low £381, Medium £610, High £914				
		8th and subsequent application	Low £195, Medium £311, High £467				
		Reducing fee activities dry cleaning or standalone PVR1 or PVR11	Low £76, Medium £155, High £232				
		PVR 1 and 2 activities carried on at same service station	Low £111, Medium £222, High £333				
		Any other reduced fee activity	Low £223, Medium £359, High £542				
		any reduced fee activity	Low £762, Medium £1,145, High £1,723				
	Private water supplies (fees set by Council but within max fig defined by EC directive)	Private water supplies per risk assessment (Required every 5 years)	£225 1st risk assessment, repeat assessment £150 if on site visit required				

		Sampling (each visit)	£100 per visit plus: Analysis of sample on a direct recharge basis up to a maximum of £25 if taken under regulation 10 or 11. Analysis of sample on a direct recharge basis up to a maximum of £110 if taken during monitoring for Group A parameters. Analyse				
		Investigation (each supply)	£150				
Trading Standards.	Licences Fee Income	As below	As below			4,205 9,819	0.00 0.00
	Explosive Licences New 1 Year	Set by HSE	£111	£111	0		
	Renewal 1 Year		£55	£55	0		
	New 2 Year		£143	£143	0		
	Renewal 2 Year		£87	£87	0		
	New 3 Year		£176	£176	0		
	Renewal 3 Year		£122	£122	0		
	New 4 Year		£210	£210	0		
	Renewal 4 Year		£155	£155	0		
	New 5 Year		£242	£242	0		
	Renewal 5 Year		£188	£188	0		
	Weights & Measures	Weights & Measures Act 1963					

	Fee per TSO		£64.00	£64.00	0		
	Fee per TO		£38.00	£38.00	0		
Licensing	Licenses	As below	As below			216,942	0.00
	Hackney Licenses	Fees set by Licensing Committee but must operate within laid down EC directive limits	Hackney new £230, renewal £169. Private Hire Vehicle new £224, renewal £175. Private Hire Operator new £788, renewal £784 for 5 years.	The 2021/22 licensing fees will be set by the Licensing and Regulatory Committee on 12th January 2021			
	Lottery and Gambling	Fixed by Govt	£40 initial, £20 renewal				
	Licensing	Fixed by Govt	Various charges for services defined under the Licensing Act 2003				
	Other Licenses	Fees set by Licensing Committee but must operate within laid down EC directive limits	Various covering Street Trading, Scrap Metal dealers, Boats and Sex Establishments				
Registrars	Approved Venue - Marriage & Civil Partnership		Mon to Friday £409, Sat £449, Sun and B/Hol £509			275,694	0.00
	Old Parlour		Mon to Friday £219, Sat £269				
	License for approved venues - New		1,500				
	License for approved venues - Renewal		1,200				
	Registrars attendance @ service (Registrar - Superintendent)	Set by General Register Office	35				
ADULT SERVICES Community Meals	Community Meals & centre meals Fiat rate charges for preventative services Meals @ home, per meal Meals @ home, suppers, per meal Lunch ant day centre establishments, chg per meal Lunch at luncheon clubs, charge per meal	Day	£4.50 per meal	£4.50 per meal	0	-	0.00

Mardy Park	Catering		Pricing follows that of Community meals	Pricing follows that of Community meals	0	-	0.00
	Mardy Park room hire		Various	To increase in line with CPI as at September 2020	0.5	-	0
Severn View	Catering		Pricing follows that of Community meals	Pricing follows that of Community meals	0	-	0.00
Trading Standards.	Licences Fee Income					-	0.00 0.00
	Animal Licences Boarding Establishment						
	Dog Breeding	Animal Boarding Establishments Act 1963 Dog Breeding (Wales) Regulations 2014	£131 £131	132 132	0.5 0.5		
	Home Boarding		£63	63	0.5		
	Dangerous Wild Animals	Dangerous Wild Animals Act 1976	£167	168	0.5		
	Pet Shop	Pet Animals Act 1951	£92	92	0.5		
Registrars	Service Charge					-	0.00
	Registrations - General Income		Budget proposals involve additional £6.4k income over and above inflation				
	Approved Venue - Marriage & Civil Partnership		£380 - £490				
	Old Parlour		196				
	Celebratory Services at approved or other venues		£380 - £490				
	License for approved venues - New		1500				
	License for approved venues - Renewal		1200				

	Commemorative certificates & wallcharts Registrars attendance @ service (Registrar - Superintendent) Marriage attestation notices European Passport checking fee		5				
Sub Total SOCIAL CARE & HEALTH DIRECTORATE						3,778,333.42	78,731.67

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	PTU Pressures	Senior Responsible Officer:	Debra Hill-Howells
Your Ref No:	PENT0001	Operational Lead Officer:	Naomi Thomas / Gareth Emery
Version No:		Directorate:	Enterprise
Date:	6 th December 2020	Section:	Passenger Transport Unit

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

99. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

The PTU unit continue to experience revenue pressures due to a combination of factors.

On the commissioning side, the number of pupils transported this year is 3,027 (compared to 2,485 in 2017 & 2,945 in 2019). Year on year there has been an increase in the number of passengers set against a year on year budget reduction. The increase has largely been in mainstream pupils (2,667 in 2020 compared to 1,919 in 2017.) which reduces spare seats for concessionary and post 16, which reduces income (337 pupils in 2017 and 149 In Oct 2020).

The costs of providing the transport in the current year are circa £4,463,974 (this includes the predicted external contractor fees of £2,293,000 and PTU operations costs of £1,800,000 – the total costs for PTU operations are higher but an allowance has been made for grass routes and public bus routes).

This equates to a cost of circa £1,474 per pupil for the school year. Currently concessionary and post 16 pupils are asked to contribute an annual sum of £440 per pupil, the Council thereby subsidising each seat by £1,000. It should be noted that the PTU operations team would have previously mitigated some of their overheads through private hire income (net target of £313,892 in current year) however due to Covid restrictions this income has been lost and was already under strain in previous years due to a reduced demand for private hire services.

The PTU operations team also undertakes the grass routes service, which whilst initially conceived as a volunteer run service however, due to the lack of volunteer drivers has now become a subsidised service operated by MCC staff. Prior to the pandemic up to 13 vehicles would provide demand responsive transport throughout Monmouthshire and its neighbouring counties. For the majority of users, this is a free door-to-door service and whilst grant subsidies are available based on mileage and bus pass travel, the service is being subsidised by the service area in order to continue to provide the service.

In addition to the above, catchment changes in 2020/21 have cost significantly more than originally estimated. This is a consequence of under reporting, as original estimates did not factor in pupils already attending a new catchment school, e.g. Monmouth comprehensive, who then became entitled to statutory transport. For the next 4 years, we will be obliged to continue providing transport to both Caerleon and Monmouth, which has significantly increased costs.

Post 16 has become an increasingly high profile issue due to the numbers of pupils choosing to attend sixth form, lack of public transport at appropriate times and increased expectations from parents that school transport will continue to be accessible to pupils post 16.

The PTU operations team has been increased to respond to lack of capacity in the market place, contract hand backs and lack of suitable wheelchair accessible vehicles within the private sector. This has created a pressure on budgets, as the team has had to procure additional vehicles, service and maintain them as well as appoint additional drivers and passenger assistants. The consequence of this is that the current in year projections predict an overspend of £327,000 against the PTU Operations structure.

100. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

Identified pressures are:

Catchment pressures – This is currently estimated to be **£366,000**; however we are currently waiting for pupil information for the academic year 2021/22 which may increase these figures.

PTU Operations – Due to the need to increase staffing levels as identified above the cost of the service has increased by **£327,000**. A review of the operating model will be undertaken and a potential re-structure will subject to consultation implemented, to better respond to operational needs. This is particularly important given the loss of private hire income which has reduced the demand for drivers during the middle of the day and school holidays.

Loss of Private Hire Income – The PTU operations team has a gross income target from private hire work of £500,000. The income can be split between 2 sources 1) private hire to external customers outside of the authority 2) hire to internal schools clubs for swimming lessons and school trips etc. We have seen a massive downturn in private hire demand and therefore income. It is not anticipated that this will recover after Covid. All avenues will be pursued to mitigate the level of this pressure but currently we estimate this to be in the region of **£224,000**. The income lost from the provision of private hire to schools should return over time to previous levels of income once social distancing measures are removed and schools are in a position to recommence their trips and transport to clubs. We do not anticipate seeing any significant income from these sources in 21-22, we estimate this pressure to be **£100,000 - we are not including this in our mandate but identifying it as a potential Covid Risk next year and are hopeful that it will continue to be funded by WG.**

101. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Commissioning – Catchment Pressures	2,293	366			366			366
Operations – staffing structure	1,605	327			327			327
Private Hire Income Loss		224			224			224
Total		917			917			917

102. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
WG Covid Hardship Fund	WG – loss of private hire income	Ongoing applications
WG step up funding for duplicate school runs and grass routes	WG	Grant paid for the current financial year – next financial year to be determined.

103. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	Providing home to school transport to enable young people to access learning. Providing community demand responsive and public bus routes to provide transport for community members that do not have access to a car.
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

104. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Agreeing pressures will enable PTU to continue to provide grass routes and meet home to school statutory transport responsibilities	Monmouthshire citizens	Positive

105. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

The PTU Operations team will be subject to a restructure to align service needs and current working patterns.

Our current home to school transport provision goes beyond the existing statutory requirements, however Welsh Government are currently consulting on proposals that would align our distance criteria with new legislation. The afore mentioned consultation is also proposing that statutory transport is increased to cover ages 4 – 18. This will increase both demand and costs and we are awaiting further information as to whether Welsh Government will be providing financial support to offset the additional requirements.

106. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	If pressure is agreed
Will this project have any legal implication for the authority?	N	

107. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

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108. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)

109. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
If pressure is not agreed then the PTU operations structure will need to be reduced, which could result in MCC being unable to meet its statutory requirements for home to school transport	Strategic	PTU ops has had to increase due to market failures, lack of capacity and lack of sufficient specialist vehicles.	High	Re-structure to align operating model with service needs. Reducing overtime payments through split shift, term time only contracts where appropriate. Reducing the age of the fleet to reduce maintenance costs. Work with CYP to ensure that any future catchment reviews capture and report the transport consequences of any decisions.
Lack of public transport alternatives drive demand for Post 16 transport	Operational	Without adequate public transport alternatives, pressure is applied to MCC to provide non-statutory Post 16 transport, which places increased financial pressure on the Council as well as increased demands on an already struggling transport market.	Medium	Work with Strategic Transport unit to identify suitable public transport provision to mitigate the need for Post 16 home to school transport.
WG does not continue to provide income support for lost private hire income due to COVID	Operational	WG have not confirmed if COVID support will continue beyond the current financial year.	Medium	Restructure to align operating model with service needs. Capture any savings that other service areas are generating due to temporary cessation of service e.g. SCH day-care transport.

110. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
That statutory pupil numbers remain constant or continue to increase	Pupil data for last 3 years evidences an increased demand for statutory home to school transport.	CYP/ PTU (based on MCC policy)

That social distancing will continue to impact on private hire	Private hire is not viable whilst social distancing and restrictions are in place as it significantly impacts on the number of passengers that can use transport or restricts the ability to travel.	
That the in house operations team will be required due to market failure etc.	The number of school contracts that the in house team has been required to deliver has continued to increase and due to the impact of the pandemic on the transport industry, this is expected to continue.	

111. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget monitoring	That commissioning and operations team deliver services within the agreed budget				

112. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	Y	New software has been procured to enable services to access, interrogate data more easily, and monitor passengers.

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Corporate catering staff resource	Senior Responsible Officer:	Roger Hoggins (Interim HoS)
Your Ref No:	PENT0002	Operational Lead Officer:	Roger Hoggins/Pauline Batty
Version No:	01	Directorate:	Enterprise
Date:	08/01/2021	Section:	Catering

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

113. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

The authority has never established a corporate catering function to oversee and advise various services that provide catering facilities.

An audit report undertaken in 2018 returned an unfavourable audit opinion about the catering functions provided by various services around the county. In particular procurement and food safety were highlighted. It recommended the appointment of a lead officer for food procurement.

Inherent in food procurement is food safety (assurance of correct management of 'high risk' products is essential and the control of allergens is an increasing risk).

To address these issues a new staff structure is proposed that extends the roles of the current schools and community meals manager(s) (currently a manager and assistant manager) to offer some corporate resource that is empowered to advise and instruct the various service areas throughout the authority on the provision of catering. In addition, the new staff structure would also allow a permanent staff resource to be in place to undertake both a support role to the corporate function and provide a permanent school meals supervisor (that is presently funded fixed term using 'one off' grant funding). To achieve this a full year salary budget is required of **£32,500**.

With the roles of the current catering manager(s) being revised to introduce a corporate responsibility it is anticipated that the job evaluation will increase the salary costs. To allow for this a sum of **£15,000** is also included in this mandate in anticipation of salary increase including employers on costs.

114. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

Original report to audit committee – 24/05/2018

Follow up report to audit ctee – 26/11/202

Management response to audit committee- 07/01/2021

The new structure has been shared with social care senior managers and Enterprise DMT both of which support the principle of creating a corporate catering resource and restructuring the current team with additional responsibilities.

115. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Schools catering and community meals service		£47,500			£47,500			£47,500

116. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
One off grant	WG	Awarded (sufficient to fund 15 months of fixed term schools catering supervisor post

117. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	The risks associated with food procurement are highlighted in the audit report. Healthy and safe food provision complement to principles of the future generations act.
Will an option appraisal be required?	N	Undertaken through senior manager and DMT discussions
Will this proposal require any amendments to MCC policy?	N	

118. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
A corporate catering function to oversee food procurement/safety means the officer(s) are entitled to enter and check all aspects of catering provision in any MCC facility (incl schools)	All service areas that provide catering facilities (incl vending)	positive

119. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

The schools catering function in MCC has been reduced through budget savings over the years to such an extent that there is no flexibility within the structure to allow extra duties to be undertaken on an ongoing basis. In comparison with neighbouring authorities providing a similar function MCC is under resourced at a management and supervisory level. Senior managers have discussed the need for further staff resource (over and above this mandate) but in the context of the authority's overall revenue budget situation at this time the request for additional resource is limited to reorganising existing staff and placing a fixed term (grant funded) post on a permanent basis.

120. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	As described above
Will this project have any legal implication for the authority?	N	The proposal seeks to mitigate the risk of legal action being taken against the authority in relation to food provision.

121. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
The creation of a corporate catering function may highlight the need for training, extra equipment etc. amongst services/staff providing catering services	Existing training and equipment budgets	Possible external advice/training

122. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Staff and management teams	Approval of approach	done

123. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions

New management structure remains insufficient to cover corporate function	Operational	The proposed structure is limited to manage budget implication	Low	Request for further staff resource if necessary

124. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

125. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Monitor procurement and food safety – schedule of visits/reports	Non- compliance		Commence records	Ongoing	ongoing

126. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	Will improve monitoring of procurement
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	Y	Possibly digital records will improve monitoring

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Schools Catering – Budget Pressures	Senior Responsible Officer:	Deb Hill Howells
Your Ref No:	PENT0002A	Operational Lead Officer:	Pauline Batty
Version No:		Directorate:	Enterprise
Date:	17.12.2020	Section:	Catering

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

127. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

The Schools Catering budget will need additional funding of **£35,735** in 20-21 to offset budget pressures brought on by :-

- **Free School Meals** – We have seen an increase in free school meal entitlement in the primary sector of 176 pupils. This increase will not be reflected in the WG settlement figures so if all the pupils were to claim a meal then we would see a reduction in income of £83,600. This will be offset by: **Grocery Savings** – Covid has impacted meal number estimates for next year, current predictions estimate we will spend £47,865 less than available budget.

Risks 2021-22

- **Covid 19 meal income loss** – We have seen a material reduction in meal up take in 20-21 as a result of Covid – if this continues into 21-22 then we will have an income shortfall pressure to manage, current predictions estimate a drop-off in paid meals of 52% equating to £360k. **NOTE : This will not form part of the pressure request but is highlighted as a Covid risk.**
- **Impact of Brexit** – We are anticipating increases in grocery and shipment costs as a result of Brexit, we are estimating spend will increase by 25%. As we are estimating an overall meal income drop next year then this increase has been managed within budget, but if meal numbers pick back up over and above model then this will cause a pressure.

128. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

Increase in pupils entitled to Free school meals

Primaries	176
Secondary's	92 Budget delegated.
	268
Meal Price	£2.50
Number of days	190

Number of meals	176
Total income lost	£83,600
Grocery Savings	
Estimated meal numbers 21-22	380,130
Avg grocery cost per meal 21-22	£1.00 Already inflated by 25% to account for Brexit impact
Total Cost 21-22	£380,130.00
Current Budget	£427,995
Potential Saving against budget	-£47,865
TOTAL NET PRESSURE £35,735	

129. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Schools Catering – Budget Pressure		36			36			36
Total		36			36			36

130. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

131. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

132. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?

133. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

The current COVID restrictions have resulted in different catering provision within schools in order to meet individual school requirements. There are concerns that the long-term impact of the loss of traditional hot meals, will be a permanent downturn in the demand for school meals. Catering continue to offer healthy, balanced meals and will work with schools to promote them.

134. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	If the reduction in meal take up is long term, this could have a potential implication on staffing numbers.
Will this project have any legal implication for the authority?	N	

135. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

136. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)

137. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
The authority has statutory responsibility to provide free school meals and will therefore need to maintain a catering provision against a declining fee paying demand	Operational	As demand continues to fall, the resultant service costs per meal continue to increase per unit. This will make the service financially unviable.	High	The service is continuing to provide school meals in accordance with head teacher requirements.
The impact on food price and availability on a no deal Brexit is currently unknown	Operational	The potential consequences of a no deal impact will impact on the availability of supplies for schools and increase costs.	Medium	Catering form part of the internal Brexit planning group and are working with suppliers to ensure continuity of supplies, however we are unable to mitigate any increase in costs arising.

a. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

138. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24

139. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?		Potentially, subject to the impact of Brexit
Will this proposal impact on the authorities built assets.		Potentially, if take up for meals continues to fall the school kitchens can may become redundant, too large etc.
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Transport – Increased Premises Costs & Additional Staff Resource.	Senior Responsible Officer:	Deb Hill-Howells
Your Ref No:	PENT0003	Operational Lead Officer:	Debbie Jackson
Version No:	1	Directorate:	Enterprise
Date:	16/12/2020	Section:	Transport

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

140. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Increased Premises Costs

Increased rental costs due to the necessary relocation of the Transport workshops from Pill Farm Depot to Unit 10C Severnbridge Ind Estate. The previous Transport workshop at Old Pill farm was beyond economical repair and not fit for purpose, additionally there were major concerns over the Health & Safety and wellbeing of the fitters working in the current workshop conditions.

The workshop based in the South services and maintains vehicles from a number of sections (Refuse, grounds, social services, PTU, libraries, Leisure services, highways, community meals, countryside wardens, SWTRA, Environmental health and facilities) therefore it is crucial that there is a fleet maintenance section operating in the southern area of the County. A number of these vehicles are on Operators Licence (refuse & Grounds) and have to operate from the depot that is registered with the DVSA (Pill Farm, Caldicot.) Therefore, even if the vehicles were to be serviced elsewhere they must return to the depot at the start and finish each day to comply with the Operator's Licence which would not only incur additional fuel charges but the unnecessary amount of downtime and additional wear and tear.

The existing premises were not suitable to accommodate the newer refuse fleet due to the physical size of the vehicles (you could not get them in the building and close the workshop roller shutter door.) In addition, the existing repair ramp was unable to accommodate the size of the new refuse vehicles, it meant that the back wheels of the vehicles would not clear the ramp so it was impossible to raise the ramp and work on vehicles.

Working on the existing refuse vehicles meant that they could not close the door as the front end of the vehicles extends beyond the doors; fitters are working on vehicles in all weathers to service & maintain the fleet. A number of the highways vehicles also are too large to come into the old workshop and have to be brought to Raglan, which is not ideal as the increased fuel costs and downtime incurred.

Additional Staff Resource

2021-22 will see a change in the way that the authority runs its transport fleet, it has been identified that a new centralised model of procurement & repair will generate efficiencies. In order to undertake this service transformation we need to employ additional staff resource, it is anticipated that this will be a one year cost as any continuing cost will be found within the savings generated. Further work needs to be undertaken to ascertain what role(s) will be required but it is estimated that the full year requirement will be £50,000.

141. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary

Premises condition at workshop in Pill Farm was assessed and significant investment would be required to improve the site. In addition, as set out above, due to changes in fleet the workshop was no longer suitable. –

The premises costs are:-

	Budget	Actual	Additional budget required
Rent	£4,500	£20,500	- £16,500
Rates	£2,000	£8,500	- £6,500
	£6,500	£29,000	- £22,500

142. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Increased Premises Costs		22.5			22.5			22.5
Additional Staff Resource		50			50			50
		72.5			72.5			72.5

143. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
No		

144. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?		
Has an initial Wellbeing & Future Generation Assessment being undertaken?		
Will an option appraisal be required?		
Will this proposal require any amendments to MCC policy?		

145. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
The workshop based in the South services and maintains vehicles from a number of service areas, therefore, it is crucial that there is a fleet maintenance section operating in the southern area of the County. A number of these vehicles are on Operators Licence (refuse & Grounds) and have to operate from the depot that is registered with the DVSA (Pill Farm, Caldicot.) If the vehicles were to be serviced elsewhere they must return to the depot at the start and finish of each day to comply with the Operator's Licence which would not only incur additional fuel charges but the unnecessary amount of downtime and additional wear and tear.	Refuse, grounds, social services, PTU, libraries, Leisure services, highways, community meals, countryside wardens, SWTRA, Environmental health and facilities. Workshop staff.	Positive impact on the health, safety, and wellbeing of the workshop staff/fitters. Positive impact for the end users in the continuity of servicing & maintenance of their vehicles.

146. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

147. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	Additional post will be required to lead service transformation work.
Will this project have any legal implication for the authority?	N	

148. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

149. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)

150. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions

151. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

152. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget monitoring					

153. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Car park rates pressure	Senior Responsible Officer:	Mark Hand
Your Ref No:	PENT0004	Operational Lead Officer:	Graham Kinsella
Version No:		Directorate:	Enterprise
Date:	03.12.20	Section:	Highways

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

154. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Pressure of £21,000 to reflect the increase in business rates payable on the Council's car parks. The core objective is to seek to balance the Highways budget, which cannot otherwise absorb this cost.

155. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

Business rates are payable on the Council's car parks even those where parking is free. In 21/22 the business rates due will be £21,000 over available budget. This is due to revaluations affecting the amount payable, the base budget is not increased in line with this revaluation.

The table below outlines the increase in rates payable over the last 5 years. It has got to a level that is now not manageable within the service budget and has become a budget pressure.

Car Parking Rates Budget

	2016-17	2017-18	2018-19	2019-20	2020-21
Actual	118,929	248,302	252,682	258,582	264,798
Budget	119,000	243,931	243,950	243,950	243,950
Variance	- 71	4,371	8,732	14,632	20,848

The Highways budget is currently overspent, due primarily to significant reductions in car parking income and civil enforcement fine income as a result of the covid-19 pandemic. The car parking income budget was

reduced by £83k in 20/21 to better reflect historic achievement and address a pattern of under-recovery. The car parking review agreed as part of the 19/20 budget setting has commenced and is due to complete in May/June 2021. It is unclear at this stage if the proposed changes will result in additional income or a budget pressure. It cannot be assumed that the £21k can be met by the review outcomes.

The Civil Enforcement Team has a challenging income target for on street and car parking offences of £350,000. This target is considered to be achievable with a fully resourced team. As at November 2020, the team is fully resourced for the first time, given vacant posts and/or sickness absence until then. Income has also been affected by the floods and more recently by Coronavirus.

To help balance the income shortfall the Highways service is currently carrying a significant number of vacant, frozen posts. This is adversely affecting service delivery and is failing to meet demand, customer standards and expectations. Cabinet agreed a restructure in 2017/18 to ensure the service can deliver, and it would be counterproductive to fail to implement that structure. Consequently, the additional business rates cost needs to be agreed as a pressure.

156. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Car Parks	661 (Exp)	21		21				21

157. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
None		

158. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	No	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	No	n/a
Will an option appraisal be required?	No	
Will this proposal require any amendments to MCC policy?	No	The on-going car parking review needs to consider ways to balance costs, income targets and other objectives such as supporting high streets while promoting active travel and public transport use. This review is due to conclude in May/June 2021.

159. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is affected?	Is this impact positive or negative?
Improved Safeguarding	n/a	Neutral
Equalities	n/a	Neutral
Improved community safety	The community and the Police	Positive

160. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

The following actions or proposed actions will mitigate against budget pressures:

Current Actions

- The 19/20 car parking charge increases are in force but due to the floods and covid-19 pandemic, a full year benefit of that income has not been realised;
- Likewise, the current income target for civil parking enforcement is yet to be realised due to vacant posts/sickness absence, the floods and the covid-19 pandemic. The team is now fully resourced as of November 2020. Achieving this income target mitigates other budget pressures;
- The car parking review has commenced and the conclusions may affect income. The budget consequences of proposed recommendations will be discussed with Members prior to decisions being made by the Cabinet Member.

Proposed Actions

- Discretionary fees will be increased by 2.5% to support income
- S.50 licence fees are being reviewed and may be increased to help meet existing income targets

161. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	No	
Will this project have any legal implication for the authority?	No	

162. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
n/a		

163. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Enterprise DMT	Briefing on pressures	November 2020

164. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
n/a				

165. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
Covid-19 related business rate exemptions end by 1 st April 2021	Initial indication that the exemption will not continue	Welsh Government

166. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Budget not overspent				
Process	n/a				
Staff	n/a				
Clients	n/a				

167. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	no	
Will this proposal impact on the authority's built assets?	no	
Will this proposal present any collaboration opportunities?	no	
Will this project benefit from digital intervention?	no	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Planning income pressure	Senior Responsible Officer:	Mark Hand
Your Ref No:	PENT0005	Operational Lead Officer:	Craig O'Connor
Version No:		Directorate:	Enterprise
Date:	03.12.20	Section:	Planning

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

168. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

- Pressure of £200,000 for 21/22 and 22/23 to reflect reduced planning application fee income from major applications as the current LDP nears completion and prior to sites in the Replacement LDP coming forward.
- This is partially offset by previously agreed savings of £51k in 21/22 and 22/23 by keeping a Senior Planning Officer post vacant to match workload with income and resource, and £12k as a permanent saving achieved from staff reductions' leaving a net pressure of £137k for 21/22 and 22/23 reducing to zero thereafter.

169. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

The Development Management income target is made up of statutory application fees set by WG and discretionary fees for pre-application advice and innovative fast-track services that the Development Management team has developed.

Statutory fees are particularly weighted towards large developments. The advanced stage of the current LDP, together with Welsh Government policy changes regarding five year housing land supply, mean that few large-scale applications are now expected until the Replacement LDP is at an advanced stage. It is likely that some sites would be subject to applications for consideration alongside the LDP examination, but this still leaves a gap for 21/22 and 22/23.

One Senior Planning Policy Officer is seconded to the LDP team and her substantive post will be held vacant for two years, resulting in an in-year saving of £51k. In addition, changes have already been implemented (agreed by Enterprise DMT September 2020) to delete an Area Manager post and create an additional Senior Planning Policy post resulting in a net saving of £12k.

The net pressure is therefore £137k for 21/22 and 22/23.

170. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Development Mgt – Planning Fee decrease		200			200		(200)	0
Development Mgt – Staff Savings			(63)		(63)		51	(12)
Net Total		200	(63)		137		(149)	(12)

171. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
n/a		

172. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Yes	The Council's planning service directly contributes to the Council's core purpose of helping to build sustainable and resilient communities that support the well-being of current and future generations. The planning service contributes to a number of Corporate Business Plan 2017-2022 themes and priorities, but in particular policy priority B 'A thriving and well-connected county' objective 9: THE COUNCIL PROVIDES MORE OPPORTUNITIES FOR LOCAL LIVING, WORKING & LEISURE The planning service has a critical role to play in supporting economic and community recovery from the covid-19 pandemic, and it is essential that the service is properly resourced to deliver.
Has an initial Wellbeing & Future Generation Assessment being undertaken?	No	n/a
Will an option appraisal be required?	No	
Will this proposal require any amendments to MCC policy?	No	

173. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is affected?	Is this impact positive or negative?
Improved Safeguarding	n/a	Neutral
Equalities	n/a	Neutral
Improved community safety	n/a	Neutral

174. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

The following actions or proposed actions will mitigate against budget pressures:

Current Actions

WG introduced statutory fees by 20% during 2020 and this was budgeted for in 19/20 mandates. Discretionary fees will be introduced by 2.5% but there is no scope to secure additional income beyond that.

Although fee income has reduced, workload has not reduced significantly nor has customer demand for service delivery. The significantly lower application fee payable for minor planning applications are not proportionate to the level of associated work. Within the last 18 months, the service's staffing levels have been reduced by 1.0FTE business support officer (1 of 4), 1.0FTE senior planning officer (1 of 5) by freezing a vacant post for two years and 1.0FTE Area Manager (1 of 3). The service cannot sustain further staffing cuts and continue deliver an acceptable level of customer service.

	2015/16	2016/17	2017/18	2018/19	2019/20
Applications determined	1085	1087	1071	1101	1106
Pre-apps determined	Data not available	503	619	367	461
Income Target	£633k	£668k	£684k	£681k	£693k
Income achieved	£664k	£560k	£430k	£653k	£666k

Proposed Actions

- Discretionary fees will be increased by 2.5% to support income
- Senior Planning Officer post will continue to be held vacant for 21/22 and 22/23 to coincide with the reduced application fee income.

175. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	No	
Will this project have any legal implication for the authority?	No	

176. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
n/a		

177. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Planning Service colleagues	Briefing on staffing changes prior to September 2020 decision and budget meeting to explore ideas	September 2020
Enterprise DMT	Briefing on pressures	November 2020

178. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Unexpected surge in planning applications	Operational	Strong housing market, WG elections could trigger a new policy direction	Low	If fee income allows, fill the frozen Senior Planning Officer post.
Applications are not submitted in 23/24	Operational	LDP delayed or growth levels reduced or no developer interest	Low	Restructure accordingly.

179. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
That the replacement LDP contains a level of growth that results in new major planning applications, and that it is adopted at the end of 2023 as per the revised Delivery Agreement	The RLDP is a combination of evidence-based issues and policy choices to address them. The assumption is made based on the RLDP direction of travel at this time.	Council adopts the RLDP and sets the policy direction.
That the development industry recovers sufficiently post-Covid 19 to deliver on growth proposals	The development industry is currently relatively unaffected by the pandemic and construction continues and house prices are currently rising.	Head of Placemaking, Housing, Highways and Flooding

180. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Budget not overspent				
Process	Number of applications and pre-application advice requests received and determined; speed of decision-making				
Staff	Officer caseload; speed of decision-making; colleague feedback and wellbeing				
Clients	Speed of decision-making; number of appeals against non-determination; Customer feedback				

181. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	no	
Will this proposal impact on the authority's built assets?	no	
Will this proposal present any collaboration opportunities?	yes	Staff could be seconded from or to a neighbouring LPA if there is a short term change in workloads in Monmouthshire and surplus/demand elsewhere. This will be arranged via existing networks and relationships as currently.
Will this project benefit from digital intervention?	no	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Review of Housing Options Team Staff	Senior Responsible Officer:	Mark Hand
Your Ref No:	PENT0006	Operational Lead Officer:	Ian Bakewell
Version No:		Directorate:	Enterprise
Date:	27.11.20	Section:	Housing & Communities

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

182. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

The background to the proposal is the change in Welsh Government homeless policy and the issue of Phase 2 Planning Guidance for Homelessness & Housing Related Support.

The guidance recognises that councils are operating a service within the Covid pandemic and the guidance sets out Welsh Governments expectations of local authorities to transition from the said status of 'crisis' to a new Welsh Government vision of:

- Continue to support those in temporary accommodation and ensuring nobody sleeps or is at risk of sleeping rough
- Prepare a Transition Plan setting out provision of more sustainable accommodation. (The MCC transition plan is in draft and is due to be considered by Cabinet in 2021 following scrutiny by select committee).
- Improve quality and availability of temporary, permanent, semi-permanent and supported accommodation which should be Temporary 'Homes' – not the bare necessity; should be safe & secure and where lives can be re-built
- Welsh Government are introducing policy goals that homelessness should be brief and non-recurring and require Councils to operate a system of Rapid Re-Housing.

Due to the above changes and the type and level of homeless need that the Council is now having to respond to and support, there is a need to review the Councils resources available for homelessness. This includes staffing, accommodation and support.

Key issues includes:

- Inadequate staffing levels necessary to react quickly, work pro-actively and plan eg visiting applicants and attending accommodation; developing new initiatives etc
- The ability to appropriately accommodate and support young people appropriately eg there is no accommodation for high needs young people resulting in the need use B & B or place in shared housing with adults. This can create management issues with wider impacts on neighbours and the Police.
- The ability to appropriately accommodate and support those with multiple needs such as substance misuse, mental health etc. This can create management issues which can also impact on neighbours and the Police
- Excessive use of B & B, which is resulting in over-spending.
- An outdated Housing Support Grant programme that isn't due to be fully re-commissioned until April 2023.

183. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

2020/2021 homeless service demand:

Total Q3 Homeless Presentations – 639 (the number is slightly higher than last year but the number of these needing accommodation has increased significantly)

- Of these, young person presentations:
 - 16/17 year olds – 12 presentations
 - 18-24 year olds – 102 140 presentations
- 305 open cases (the level of open cases impacts on the ability to pro-actively prevent)

At 31.12.20 the Council had implemented an unprecedented 364 offers of accommodation to applicants (13 per week)

Numbers in temporary accommodation and needing moving on to alternative temporary accommodation or permanent – 123 households at 31.12.20, of which 100 are single people.

Includes:

- 66 applicants in B & B:
 - 56 singles
 - 7 couples
 - 3 families
- 15 families in temporary accommodation- 5 in B & B
- Young People 1-24 in temporary accommodation (not including Solas)
 - 16 in B & B; 1 PSL; 11 shared 1 x 16/17 year olds and 25 x 18-24 year olds and 1 17 year old within a couple
 - Pending – 4 (includes 1 x 16/17 year old)
 - The number of applicants with mental health needs is considerable and significant. It is considered approx 80% have mental health issues

The level of housing associations voids is extremely low at present due to Covid which is impacting on the Council's ability to move people on.

Welsh Government Phase 2 Guidance requires the Council to provide self-contained homeless accommodation and have issued accommodation standards. A key part of the available homeless accommodation doesn't meet this standard.

- The Council's current family hostel is shared x 5 units
- The Council's main provision for single people is shared housing
- Some of Solas's young person's accommodation

Homelessness - Additional budget Requirements

Additional Leasing

£

· 8 x 1 Bed units of temp accomm – low need (south)	11,683
· 6 x units of emergency family accomm (north)	9,000
· 5 x units Norman Court	12,000
· 6 x units Wittle Williams	5,000

Total additional Leasing Cost

37,683

*** This will reduce the number of people having to stay in B&B**

B&B Accommodation

* Currently housing 70 residents - if we assume 19 of the additional leased units will help reduce this requirement to 51.

Current average daily cost of B&B accommodation	£58
Total cost per night based on 51 residents	£2,958
Estimated annual outgoing (if numbers remain constant)	£1,079,670
Housing Benefit Subsidy @ 66%	-£712,582
Potential Additional Cost	£367,088
Existing Budget Provision for B&B	£22,770
Estimated Accommodation Budget Pressure	£344,318
 Security @ Hostels	
Site	Cost per week No. of Weeks Total Annual Cost
Cinderhill Street Hostel - 4 Residents	£2,856 52 £148,512
George Hotel - 11 Residents	£2,856 52 £148,512
Total Cost of Security	£5,712 £297,024
 Additional Staffing Requirement	
Post	Band Total
Snr Accom Officer	I £52,116
Snr Options Officer	I £52,116
Accommodation Duty Officer	E £33,074
Accommodation Assistant 0.5	E £15,975
Homeless Project Officer	F £36,862
Young Persons Accom Support Officer	F £36,862
MLS Negotiator 0.5	H £22,653
Prevention Officer	F £36,862
Total	£286,521
Less : Post Deletions & available Grant Funding	-£91,076
Total Staffing Budget Pressure	£195,445
 Overall Homelessness Budget Pressure	 £874,470

184. **Budget Impact** In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Housing Budget	822							
Homelessness – additional leasing		38			38			38
Homelessness – B&B Accommodation		344			344			344

Homelessness – Security @ Hostels		297			297		297
Homelessness – Additional Staffing		195			195		195
Total Pressure		874			874		874

185. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
	Covid Hardship funding has been provided in 20-21 but we do not know if this will continue in 21-22.	
£72,919 (existing funding) Already included in calculations above.	Homeless Prevention Housing Support Grant	This is annual Welsh Government funding that complements MCC GF funding and is being utilised for Housing Options Team staffing and landlord incentives

186. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Yes	Improving the Council's homeless service aligns fully with the Councils Corporate Plan and contributes to: <ul style="list-style-type: none"> Sustainable & Resilient Communities (vision) Best Possible Start in Life Priority (in respect of the additional support that is proposed for young people with a homeless need)] Thriving & Well Connected Community (in respect of the additional support that is proposed for homeless applicants particularly young people and those applicants in higher needs)
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Yes	Attached
Will an option appraisal be required?	Potentially yes	This will be determined by the service area in question
Will this proposal require any amendments to MCC policy?	Potentially yes	Eg what standard of accommodation does the Council work to

187. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Improved Safeguarding	All applicants Housing Options Team staff making placements and managing placements External agencies accommodating, supporting and managing applicants.	Positive The proposals will facilitate increased support to applicants and increased flexibility around placements
Equalities	Those with protected characteristics eg disabled, will have improved access to homeless related services	Positive
Improved community safety	The community and the Police	Positive

188. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

The following actions or proposed actions will mitigate against budget pressures:

Current Actions

- Utilising Welsh Government Covid Hardship funding eg to fund security/concierge expenditure – **if funding continues into 21-22.**
- On-going Development of Monmouthshire Lettings to encourage private landlords to work with the Council to help avoid the use of B & B
- Liaising with housing associations to provide accommodation that can be used as an alternative to B & B
- Factoring homelessness into the SHG programme to increase the available temporary and permanent accommodation for homelessness, which will mitigate against B & B
- The establishment of a Housing First project which in part seeks to eliminate the need to use the Market Hall for accommodation
- Liaising with Planning in respect of using S106 contributions towards supporting housing association leasing to mitigate against overspends

Proposed Actions

- Establishing new young person's accommodation which will reduce the need to use B & B and eliminate the need for security
- Establishing multiple needs accommodation which will reduce the need to use B & B and eliminate the need for security

189. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Yes	Posts listed in workings above.
Will this project have any legal implication for the authority?	Yes	The Council has legal homeless duties under Housing (Wales) Act 2014

190. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
Additional staffing resources are required and set out within this proposal		

191. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
SLT	Briefing on the current situation and proposed Homeless Transition Plan	22.09.20
Informal Cabinet	Briefing on the current situation and proposed Homeless Transition Plan	02.10.20
Cabinet members	Briefing on the current situation and proposed Homeless Transition Plan	On-going
Housing Support Grant Commissioning Team	Briefing on the current situation and proposed Homeless Transition Plan and developing individual initiatives	On going
Welsh Government	Briefing on the current situation and proposed Homeless Transition Plan and developing individual initiatives	On-going
Adults Select Committee	Briefing on the current situation and proposed Homeless Transition Plan	20.10.20
Children's & Young People Select Committee	Briefing on the current situation and proposed Homeless Transition Plan and developing individual initiatives	25.11.20
Melin, Pobl and Monmouthshire Housing Associations	Rapid Housing Protocol; Allocations Policy; Individual accommodation schemes; Housing Support	On-going

192. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Homelessness may increase after furlough ends and private sector housing regulations relax in April 21	Operational	Unemployment could increase resulting in possible rent arrears and	Medium	Housing & Communities are contacting local lettings agents as an early intervention rather than wait for households to contact MCC

Welsh Government have confirmed that the Council will get additional Housing Support Grant for 2021/22. Although this is positive, any projects will need to meet the eligibility criteria of HSG.	Operational	Some existing projects eg B & B Accommodation Assistants and potential new projects may not be eligible for HSG funding	Low	Implementation of Homeless Transition Plan Exploring or considering other funding sources
Welsh Government hardship funding may ends on 31 st March 21	Operational	Costs being attributed to the hardship fund may need to be absorbed by the Council after April 21	Low WG have indicated that they recognise the need for future Hardship funding and are giving this consideration for 21/22.	Implementation of Homeless Transition plan including liaising closely with HSG Commissioning
B & B's decide not continue to work with MCC accommodating homeless people	Operational	Some B & B's may wish to revert back to tourism	Medium	Developing accommodation proposals Implementing Monmouthshire Lettings

193. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
The Council will be required by WG to continue accommodating <u>all</u> homeless people	Current WG guidance On-going policy discussions about eliminating rough sleeping; eliminating youth homelessness; abolishing intentional homelessness; abolishing priority need WG expectation that no one is evicted to homelessness	Welsh Government
The Council will be required to increase temporary and permanent accommodation; improve the type and quality of the accommodation; increase the type of housing support	Current WG guidance	Welsh Government
Level of accommodation demand will continue into the short to medium. And the level of social housing vacancies will continue to be low	This is the current situation	N/A
The responsibility for the Council to provide good quality and sustainable support for	Current WG guidance MCC Corporate Plan	Welsh Government MCC

vulnerable and high need applicants will continue		
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194. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Level of overspend				
Process	No. in B & B; No. of new accommodation units/schemes; No. of new housing support schemes				
Staff	Increase in capacity				
Clients	Customer satisfaction; case studies				

195. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	Potentially Yes	
Will this proposal impact on the authority's built assets?	Yes	Conversion of properties if they are acquired
Will this proposal present any collaboration opportunities?	Yes	<p>This mandate is based on collaboration with the following internal and external agencies:</p> <ul style="list-style-type: none"> • Social Services – Children's • Housing Support Grant Commissioning • Planning • Estates • Property Services • Pobl, Melin and Monmouthshire Housing Associations • Llamau • Cyfannol • Welsh Government • Private landlords • Gwent Drug & Alcohol Advisory Service • Community Mental Health Team • ABHB
Will this project benefit from digital intervention?	Yes	To increase the level of face to face contact with Housing Options Officers when clients make homeless applications. There is agreement in principal to establish an arrangement with each of the individual Hubs.

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Monmouth Museum move into part of Shirehall	Senior Responsible Officer:	Ian Saunders
Your Ref No:	PENT0007	Operational Lead Officer:	Marie Bartlett
Version No:		Directorate:	MonLife
Date:	30 th November 2020	Section:	All

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

196. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Single Member Decision 25/11/20 – to move Monmouth Museum from the Market Hall to the Shirehall. This would hand the property back to Landlord Services (for redevelopment / disposal). This will help create a new heritage/museum offer at Shire Hall that better tells the Monmouth story, including the current Monmouth Museum and the Shire Hall heritage offer in an integrated, engaging and sustainable way.

197. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

The cost of the service is likely to increase by some 70k. This is due to the income budgets for Shirehall which rely upon the hire of rooms / wedding income etc. not being achievable once the museum service is in situ.

198. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
MonLife	104	70			70			70

199. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
None but grant funding would be sought to achieve next phase		

200. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	As part of ICMD
Will an option appraisal be required?	N	Decision has been taken to move museum into Shirehall, option appraisal being undertaken now to decide best fit
Will this proposal require any amendments to MCC policy?	N	

201. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Vacant building	Landlord Services	Positive

202. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

None – a better offer at Shirehall should attract more visitors and increase retail sales

203. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

204. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
Feasibility Study	Service Budget 20/21	

205. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)

N/a	N/a	

206. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions

207. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
Move will go ahead	ICMD Report	ICMD 25/11/20

208. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Customer	Increased Numbers				
Budget	Reduce Deficit by 5k year on year			-5	-5

209. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	Y	
Will this proposal impact on the authorities built assets?	Y	Releases Market Hall
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	Y	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Impact of Vacancy Factor on Front Line Services	Senior Responsible Officer:	Ian Saunders
Your Ref No:	PENT0009	Operational Lead Officer:	Marie Bartlett
Version No:		Directorate:	MonLife
Date:	30 th November 2020	Section:	All

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

210. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

The 2020/21 budget includes a vacancy factor saving of 2% which equates to £142k for Monlife services. This is not achievable to be absorbed within the budget given the need to adequately staff front line services. Leisure Centres have strict staffing ratios, Attractions and Museums cannot open (often on single manned sites anyway) so can assume that we will not be able to make these savings through vacancies. It is estimated that Monlife can only achieve around 25% of vacancy factor savings (and that is if we have enough staff turnover in our back office services) so there is a £106k pressure resulting from this vacancy factor.

211. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

As identified in point 1, pressure is a result of the MTFP assuming that all services can meet the vacancy factor target whilst still maintaining front line services which require set staffing ratios who need to be replaced immediately should they leave or are sick.

212. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
MonLife		106			106			106

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213. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
No		

214. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	n/a	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	n/a	
Will an option appraisal be required?	n/a	
Will this proposal require any amendments to MCC policy?	n/a	

215. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Continues the current staffing structure	Not known at this stage	Negative

216. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

No mitigation – in order to deliver this saving, we would need to remove posts which has direct impact on service provision, so either reduce service provision / restrict opening hours.

217. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	Yes we would have to delete / hold post open
Will this project have any legal implication for the authority?	N	

218. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

219. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
	N/a	

220. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Risk	Operational	MTFP	High	Will have to remove posts

221. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
n/a		

222. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
n/a					

223. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Unbudgeted Pay award from 2020/21 and impact on 2021/22	Senior Responsible Officer:	Ian Saunders
Your Ref No:	PENT0010	Operational Lead Officer:	Marie Bartlett
Version No:		Directorate:	MonLife
Date:	30 th November 2020	Section:	All

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

224. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

The budget for 20/21 included a pay award of 1%, the actual pay award was 2.75%, therefore the cost of the Monlife existing staffing structure is unfunded in 21/22 by some £124k which cannot be absorbed within the services.

225. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

As identified in point 1, pressure is a result of the MTFP not allowing the budget to increase to include the full year impact of the pay award from 2020/21. Pressure already identified as part of the existing budget monitoring process in 2020/21.

226. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
MonLife		124			124			124

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227. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
No		

228. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	n/a	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	n/a	
Will an option appraisal be required?	n/a	
Will this proposal require any amendments to MCC policy?	n/a	

229. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Continues the current staffing structure	Not known at this stage	Negative

230. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

No mitigation – in order to deliver this saving, we would need to remove posts which has direct impact on service provision

231. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	Yes if not allowed, would have to delete posts
Will this project have any legal implication for the authority?	N	

232. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

233. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
	N/a	

234. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Risk	Operational	MTFP	High	Will have to remove posts

235. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
n/a		

236. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
n/a					

237. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Inflation	Senior Responsible Officer:	Ian Saunders
Your Ref No:	PENT0011	Operational Lead Officer:	Marie Bartlett
Version No:		Directorate:	MonLife
Date:	30 th November 2020	Section:	All

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

238. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

The MTFP for 2021/22 assumes no inflation, we are aware of likely increases in energy (3%). Our Sites are high users of energy and costs are likely to increase by £18k. Contracts and licences for our sites are also expected to increase by a similar percentage, at a cost of £35k.

239. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

As identified in point 1, pressure is a result of the assumption in the MTFP that costs will not increase annually.

240. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
MonLife		53			53			53

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241. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
None		

242. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	n/a	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	n/a	
Will an option appraisal be required?	n/a	
Will this proposal require any amendments to MCC policy?	n/a	

243. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?

244. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

No mitigation yet –energy efficiency measurers could be implemented by Landlord Services but would require some capital investment. We constantly negotiate with suppliers and always look at alternative providers.

245. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

246. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

247. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
	N/a	

248. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
n/a				

249. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
n/a		

250. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
n/a					

251. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Neighbourhood Services	Senior Responsible Officer:	Carl Touhig
Your Ref No:	PENT0012	Operational Lead Officer:	Laura Carter – Recycling and Waste Nigel Leaworthy – Grounds and Cleansing Steve Lane – County Highways Operations Gareth Sage – SWTRA and Street Lighting
Version No:	1	Directorate:	Enterprise
Date:	14/12/2020	Section:	Neighbourhood Services

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

252. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Recycling and waste have seen substantial rises in costs of treatment and disposal during 2019, 2020 and with uncertainty over Brexit and Covid the market remains volatile and could continue into 2021 and 2022. Based on worst case scenario modelling and “as is” service delivery model there is a +£1.3m pressure.

In previous years, recurring pressures have been managed through capital injections of grant funding and through service reform and the capitalisation directive as new schemes were implemented. A legacy of using grant funding to purchase vehicles and lack of investment in capital items has created additional pressures on the prudential and capital borrowing budget. An element of the grant funding has again been used to manage these pressures and is likely to cause a similar issue in 5-7 years.

The pressures are a mixture of

1. Unachievable MTFP savings and income targets carried forward (£235k)
2. Increased agency costs, pay award, absence management (£75K)
3. No uplift in contract indexation costs (£150k)
4. Reductions in grant funding, Sustainable Waste Management Grant, Tidy Towns (£150k)
5. Investment in new vehicles and infrastructure previously grant funded with no prudential borrowing (£100k)
6. Volatility of recycling market, recycling higher cost items to achieve targets, BREXIT, Covid etc (£600k)
7. New service provision implementation costs (£125k) – these will be covered by capitalisation directive.

Full Council decisions taken in 2020 for changes to services including rationalisation of HWRC provision, full cost recovery for garden waste collections, full roll out of polypropylene bags and the introduction of compulsory recycling will help reduce some of the pressures on the waste budget.

1. Reduced subsidy for garden waste collections (£330k)
2. Reduced cost of HWRC management provision of (£115k) (£1.3m vs budget £1.415)
3. Reduced residual waste tonnages sent for disposal of (£110k) based on 20/21 and planned interventions of compulsory recycling, changes on HWRCs, downturn in economy.
4. Improved quality of recycle through implementation of polypropylene bags (£100k)
5. Contractor change uplift Prosiect Gwyrdd (£30k),

The pay award in 2020/21 of 2.75% created an increased budget pressure of £73k which cannot be absorbed within the service areas and the net pressures for 2021/22 assume that this will be met and are included within this mandate.

These proposals include a number of assumptions which are very difficult to predict and model with absolute accuracy. Waste management involves a number of complex and interrelated elements and each aspect has an impact upon the budget. Ongoing monitoring and modelling will be required throughout 2021/22.

Grounds Maintenance and Cleansing have struggled to meet income targets in 20/21 due to the impact of the Covid restrictions across Wales. Approximately 20% of income in grounds maintenance is derived from external works for developers across South East Wales, the restrictions on movements through Covid have highlighted the risks associated with continuing with this service model. A decision will be taken within 2021/22 on the delivery of services out of county in light of Covid and the climate change emergency agenda. This work was well underway prior to Covid and as such a post was identified for redundancy within the restructure for March 2021 (this is included within this mandate). Work is ongoing to deliver additional services in-county that reduce income pressures, ash die-back costs could be reduced by keeping more work in-house and securing additional schools grounds maintenance contracts are being targeted for 21/22. Failure to attract additional in-county income could result in a pressure of £240k in 2021/22, existing vacancies have been filled with temporary staff and we will be investing in apprenticeships to manage this risk going forward.

The restructure in 20/21 resulted in cleansing moving over to grounds maintenance as greater synergies of service delivery were likely to result in additional savings. Savings in cleansing have been identified with reduction of a compact mechanical sweeper due in 21/22 (this saving is included in this mandate). Grant funding is being sought to replace an additional sweeper with an all-electric model to reduce costs further which should derive further efficiencies within the financial year.

County Highways Operations have managed to remain within budget in 20/21 but are predicting potential pressures for 21/22 where capital works are delayed or increases in disposal costs for materials increase. Capital works have been delayed in 20/21 placing additional pressures on the revenue budget and reducing efficiency. Prioritising design for grant funding schemes relating flooding and Covid have reduced capacity for delivering the usual capital works. A forward programme of works for 2021/2022 will be identified to ensure a larger proportion of capital projects are delivered in-house moving forward. This could be achieved by passporting capital funding directly through to operations for scheduling works if design priorities remain an issue in 2021/22.

Retendering the disposal contract that supports a partnership approach to improve the quality of the materials recycling streams, reduce costs and maximise the circular economy funding opportunity should ensure the potential increased costs for disposal are managed effectively.

SWTRA highways and street lighting have managed to remain in budget. Trunk road maintenance is delivered by MCC on behalf of SWTRA and full cost recovery has been achieved in 20/21 despite Covid restrictions. Efficiency and technical improvements that reduce maintenance cycles are passed back to WG through this arrangement.

Street lighting have seen savings in 20/21 due to reduction in energy prices relating to the Salix loan that were identified as a pressure, this pressure can be deferred for 2021.

253. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

A “zero base budget” has been completed for recycling and waste.

The existing budget for grounds and cleansing will be reduced by £65,000 to reflect reduction of a mechanical sweeper and savings from redundant post.

The county highways operations budget will remain as is with no additional pressures being sought this year.

The pressures relating specifically to Covid in 2021/22 will be identified over and above the base budget build with the expectation that these will continue to be met through the hardship fund.

254. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Waste and recycling	6,578	1,435	(685)		750			750
Grounds and Cleansing			(65)		(65)			(65)
Total	6,578	1,435	(750)		685			685

255. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
Recycling and waste	Circular Economy Funding	Applications approved for additional funding that will support increased re-use and repair. Unlikely to achieve additional savings for budget but will have positive impact on climate change and support wider community and economy moving forward
Grounds and cleansing – alternative fuel sweeper	Alternative fuel vehicle funding	Applications submitted for replacement of diesel sweeper for electric sweeper, this could result in £25k annual saving in 2022/23 if successful

256. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	All service change proposals have been agreed through Cabinet or Full Council and have been taken through the Strong Communities Select
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	WFGA assessments were included with Cabinet and Council reports
Will an option appraisal be required?	N	As above
Will this proposal require any amendments to MCC policy?	N	As above

257. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?

258. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

Improving the quality of recyclate collected at the kerbside and HWRCs will help reduce processing costs. Implementation of compulsory recycling at the kerbside will reduce waste disposal costs but unless there are improvements in the recycling market the costs will be incurred through reprocessor costs.

259. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	Redundancy in grounds maintenance
Will this project have any legal implication for the authority?	N	

260. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

261. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Cabinet, Strong Communities Select	Proposals for changes were taken through the full Council	September 2020

262. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Waste does not decrease	strategic	Historic waste figures are 1000 tonnes higher than during Covid but there is no guarantee that this will continue	medium	Recycling interventions and booking system at HWRC to reduce
Reduced cost through tender and recycling sales	strategic	Market volatility	high	Improving quality of recyclate at kerbside and Cabinet decisions on rationalisation of HWRC provision

263. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

264. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget monitoring.					

265. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	Y	Tender issued
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	Y	Tender issued
Will this project benefit from digital intervention?	Y	HWRC booking system

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Project Management Resource	Senior Responsible Officer:	Mark Hand
Your Ref No:	PENT0013	Operational Lead Officer:	Roger Hoggins
Version No:	01	Directorate:	Enterprise
Date:	11 th December 2020	Section:	Placemaking

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

266. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

The Council is currently managing and delivering a range of significant infrastructure and placemaking projects funded via a range of funding pots including:

- Transforming Towns;
- Local transport fund (LTF and LTNF) grants;
- OLEV and ULEV grants;
- Green Infrastructure (GI) grants;
- Active Travel;
- Town centre and other 'master' plans – Caldicot, Usk, Monmouth;
- Wider plans – Wye Valley Villages.

Linked to the above are a range of transport schemes that currently have minimal project resource attached:

- Transport studies/projects – Chepstow Transport Study; South East Wales Transport; Magor Walkway station; M48 opportunities –WG Weltag study (high beech roundabout plus M48 junction at Hayesgate, MCC M48 extra junction study (capita), Weltag study M48 junction to STJ. Wales Transport Strategy

And a range of additional funding opportunities that are currently being underutilised:

- UCPEF – Urban Centre Property Enhancement fund;
- UCLG – Urban Centre Living Grant;
- Town centre loans (residential/commercial) – (70:30 etc.);
- Home improvement loans (homeowners), Landlord Loans, home owners' equity release loans.

In addition to the opportunities above, Welsh Government often release short term capital funding such as the Economic Stimulus Fund, 'Shovel Ready Sites' for which applications need to be turned around quickly to avoid further funding opportunities being lost.

In order to maximise the funding opportunities for the Council and thereafter deliver the various projects, Enterprise must establish and adequately resource a project management team. To do so the team requires two proficient Project Managers and a Directorate Business Manager who can identify funding opportunities, successfully bid for funds, monitor risks and issues across the service areas, identify business opportunities, monitor and respond to correspondence across the county and coordinate the project management of the initiatives to bring them to a successful conclusion. Without this additional resource we not only run the risk of not identifying and maximising additional funds but also returning money to WG due to significant underspends for which there would also be a reputational risk to the Council

267. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

The authority's capital budgets are only sufficient to maintain existing assets (buildings, highways etc.) and deliver essential infrastructure so to deliver improvements LA's increasingly rely upon government grants to deliver these projects.

At present grant funding is available through a number of sources including LTF, LTNF, ULEV, AT, Reopening Towns (TRI as was), circular economy. Successful bids require business case and FGEA submissions along with cost profiles, programme plans etc. Thereafter grant monitoring requires significant project management which includes the submission of quarterly reports to the awarding body and monitoring of outcomes post-completion along with overseeing the delivery of the individual projects and schemes.

Temporary grants awards are often available at short notice which require rapid responses and schemes ready to deliver (current examples are COVID related funding)

Having secured funding the project team must then co-ordinate internal teams and external bodies to deliver projects and grants are normally only awarded on an annual basis so continuity on larger scheme must also be well managed with the awarding body.

268. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Placemaking and Enterprise		149,000			149,000			149,000

269. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
Every funding application submitted will include 10% project management fees. It is therefore intended that these fees will be used to build the resource in the team as they become more successful and develop a core capacity within the Directorate to improve our delivery against key objectives.	WG funding streams UK Government Funding Streams (where applicable)	In application

270. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	Goal A: Thriving and well connected community: (8) The Council delivers better infrastructure, connectivity & opportunity; (9) The Council provides more opportunities for local living, working and leisure

		Goal C: Maximising the potential of the built and natural environment: (14) The Council enhances local heritage and development of arts and cultural services
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

271. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Social Care and Health	Care	Positive: Potential to access additional funds for other services areas e.g Well Being Centre in Caldicot
MonLife	Active Travel and Green Infrastructure	Positive: potential to complement and enhance AT and GI projects and ensure successful project delivery within service areas.

272. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

Every funding application submitted will include 10% project management fees where the grant application allows. It is therefore intended that these fees will be used to build the resource in the team as they become more successful.

This mandate will allow the Authority to establish a core project management team which will provide continuity and attract suitably qualified officers. The current reliance upon consultancy support will continue but in a reduced capacity therefore the Authority will benefit from an established team that is supplemented by temporary and consultancy resource rather than being reliant on consultant as it is at present.

273. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	2 x Project Management Posts 1 x Business Manager Post
Will this project have any legal implication for the authority?	N	

274. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
N/a		

275. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
SLT and Informal Cabinet	Overview of future Economic Development Opportunities presented	20 th October

276. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Missed funding opportunities	Both	Budgetary	High	Employ and monitor Project Managers
Projects being undelivered or exceeding budget	Operational	Budgetary and reputational	High	Employ and monitor Project Managers

277. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
10% project management fees can be claimed/ included within grants	Most grant funding opportunities allow for monies to support the delivery of projects through project management fees.	

278. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Number of successful funding applications and successful delivery				

279. Additional considerations:

Question	Y/N	Comments/Impact

Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	Y	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Removal of Events Co-ordinator Post	Senior Responsible Officer:	Ian Saunders
Your Ref No:	ENT0001	Operational Lead Officer:	Tracey Thomas
Version No:		Directorate:	MonLife
Date:	30 th November 2020	Section:	All

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

280. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Removal of Events Co-ordinator Post – post was established to support the commercial aspect of MonLife through the establishment of an ADM and the attractions restructure. The post is currently vacant and is to be removed. The important function of event management will be (as it is currently) designated to management and site leads who will work closely with the various teams & stakeholders in ensuring events are coordinated.

281. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

Service cost 50k less income target (through more commercialisation) of 21k. Net saving 29k. Post is currently vacant.

282. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
MonLife - Attractions	29		(29)		(29)			(29)

283. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

284. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	Delivering sustainable services
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

285. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
The service will look to ensure the attractions continue to be developed for events and the central marketing team are continuing to develop product – the site teams continue to be trained to ensure events are delivered. Several important pieces of work such as the heritage strategy and marketing plan are also key so the marketing team will need to ensure key messages are communicated. From an audit perspective, much training has been completed on pricing and procedures across attractions so this is now even more important with the loss of this role.	The team and management delivering attractions and leisure events – this post was coordinating and being a contact point for events and weddings. The site team continue to develop this area with the loss of this post.	It is negative that the resource is not available in so much as a designated person however this role has become very much part of the individual site teams responsibilities so positive that more people are involved and trained to a higher level.

286. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

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287. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	Post is VACANT
Will this project have any legal implication for the authority?	N	

288. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

289. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
N/A		

290. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
N/A				

291. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
N/A		

292. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
N/A					

293. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	

Will this proposal present any collaboration opportunities?	N	
Will- this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Introduction of Car Parking Charges at Caldicot Castle	Senior Responsible Officer:	Ian Saunders
Your Ref No:	ENT0003	Operational Lead Officer:	Tracey Thomas
Version No:		Directorate:	MonLife
Date:	30 th November 2020	Section:	All

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

294. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

To introduce a charge for car parking at Caldicot Castle Country Park (hours to be agreed). The charge will be £3.00 per visit with a season ticket available of £40.00 for regular users. Caldicot Castle admission remains free however to introduce a charge for car parking in line with other cultural and museum attractions across Wales and UK. This reflects the ongoing need to ensure Caldicot Country park remains a sustainable model and maintenance/upkeep throughout the park is continued at the current level. It could encourage local people to walk or cycle to the park in line with active travel and decarbonisation targets. The investment and projects currently underway via Active Travel at the country park to connect the castle with urban areas should also assist.

295. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

MonLife currently charge for parking at its other attraction, the Old Station at £2 per visit with a season ticket (£30 annually) available for regular users. Other similar local attractions, Tredegar House (£1 for 2 hours; £2.00 for 5 hours), Chepstow Castle (MCC car park charges) etc. require people to pay for car parking. The introduction of the charges would enable us to maintain the car park and drives to the park and help to reduce the budget subsidy required to run the park.

296. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
MonLife - Attractions	105		20		20			20

297. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc.)

298. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	It continues to ensure the service is contributing to the climate challenge by encouraging more people to visit the park on foot.
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	See separate attachment
Will an option appraisal be required?	Y	
Will this proposal require any amendments to MCC policy?	N	

299. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
See Attached EQIA		

300. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

The service continues to explore options for ensuring the castle reduces it's expenditure and increases income during these difficult times. Various staffing structures have been implemented and costs have been reduced however the park and castle budget continues to increase maintenance costs due to rises in equipment and general costs of services.

301. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	Staff will need to comply with financial procedures re collection of income
Will this project have any legal implication for the authority?	N	

302. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
Redesign of Car Park	Highways / External Consultants (service budget)	

303. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Ward Member / Caldicot Town Council	Verbal/on-line consultation with local town councillors to ensure opinions are shared and representative views are listened too.	January 2021
Local Residents / Other Users	Opportunity for local residents to share views via QR code link or via social media channel to be posted	January 2021

304. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Charge levied at car park to visitors	Operational	Visitors not had to pay in previously so will be a new system to manage and get used to.	Medium	Local people will continue to walk/cycle to the park. Season ticket available for regular users. Consultation with local residents. Signposting around car park and park to remind visitors to pay and display.

305. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

306. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Number of car park tickets purchased over season	0	20k	22k	25k

307. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	Y	Car Parking machines, car park design and lining
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	Y	Possibly

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Discretionary Fee Increase for CEO/MonLife/Resources/Enterprise	Senior Responsible Officer:	Peter Davies/Francis O'brien/Matt Gatehouse
Your Ref No:	ENT0004	Operational Lead Officer:	As above
Version No:	1	Directorate:	ENT/RES/CEO/MONLIFE
Date:	18/12/2020	Section:	N/A

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

308. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Increased income generation as a result of a increases in discretionary fees for Resources, CEO, Enterprise & MonLife
This will result in the following proposed budget savings per area:
Resources - £167
CEO - £0
Enterprise - £9,060
MonLife - £54,442
TOTAL £63,669

309. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

See attached fees & charges report.

310. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
RES			(167)		(167)			(167)
ENT			(9,060)		(9,060)			(9,060)

CEO			(0)		(0)		(0)
MONLIFE			(54,442)		(54,442)		(54,442)

311. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
N/A		

312. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Yes	The increase in charges enables us to sustain the quality of discretionary services
Has an initial Wellbeing & Future Generation Assessment being undertaken?		
Will an option appraisal be required?		
Will this proposal require any amendments to MCC policy?		

313. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
N/A		

314. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

315. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	

Will this project have any legal implication for the authority?	N	
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316. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
N/A		

317. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
N/A		

318. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions

319. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

320. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24

321. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

Discretionary Fees and Charges Proposals 2021-2022

The following schedule details the proposed Fees and charge levels for the Authorities chargeable discretionary services applicable to the financial year 2021/22.

Service Area	Service being charged for	Charging Policy	Charges 2020/21 £:p	Proposed Charges for 2021/22 £:p	Percentage Increase	Proposed Budget 2021/22	Increased additional budget income identified for 2021*22 budget setting purposes
RESOURCES DIRECTORATE							
Markets	Markets-Caldicot	Per stall				327,505	
	Markets - Monmouth	Per stall					
	Markets-Abergavenny	Per stall or Sq ft of space					
	Tuesday Market inside per table		£15.76	£15.76	0		0
	Tuesday Market Outside per foot of floor space		£2.40	£2.40	0		0
	Wednesday Market per table		£9.45	£9.45	0		0
	Friday Market per table		£10.51	£10.51	0		0
	Saturday Market inside per table		£15.76	£15.76	0		0
	Saturday Market Outside - Small		£11.56	£11.56	0		0
	Saturday Market Outside - Large		£23.11	£23.11	0		0
Sunday Market per table		£10.51	£10.51	0		0	
Cemeteries	Cemeteries Service Charge	Discretionary				197,482	
	INTERMENT IN EARTHEN GRAVE: PERSONS 17 YEARS OF AGE OR UNDER: Stillborn and non viable fetuses (New ERB) New single depth grave in children's section (New ERB)		No Charge /No Charge	No Charge /No Charge			0 0
	New Single Depth (New ERB)		No Charge /No Charge No Charge /No Charge	No Charge /No Charge No Charge /No Charge			0

New Double Depth (New ERB)	No Charge /No Charge	No Charge /No Charge		0
New Treble Depth (New ERB)	No Charge /No Charge	No Charge /No Charge		0
PERSONS 18 YEARS OF AGE AND OVER:				0
New Single Depth (New ERB)	1650/3300	1667/3333	increase by 1%	0
New Double Depth (New ERB)	1934/3868	1953/3907	increase by 1%	0
New Treble Depth (New ERB)	3144/6289	3175/6352	increase by 1%	0
Re-opened grave to single depth - (New ERB)	1130/1790	1141/1808	increase by 1%	0
Re-opened grave to single depth (Transfer ERB)	1047/1047	1057/1057	increase by 1%	0
Re-opened grave to double depth - (New ERB)	1471/2131	1486/2152	increase by 1%	0
Re-opened grave to double depth - (Transfer ERB)	1319/1319	1332/1332	increase by 1%	0
Cremated remains in Garden of Remembrance	715/1430	722/1444	increase by 1%	0
Re-opened cremated remains - (New ERB)	715/1166	722/1178	increase by 1%	0
Re-opened cremated remains (Transfer ERB)	660/660	667/667	increase by 1%	0
Cremated Remains in new full grave	1205/2409	1217/2433	increase by 1%	0
BRICKED GRAVE:				0
Single Depth	2070/4139	2091/4180	increase by 1%	0
Double Depth	2820/5640	2848/5696	increase by 1%	0
Treble Depth	3564/7128	3600/7199	increase by 1%	0
RESERVATION OF GRAVE SPACE				0

Normal	297/741	300/748	increase by 1%	0
Cremated Remains	188/470	190/475	increase by 1%	0
RIGHT TO ERECT MEMORIALS				0
Normal Grave Space				0
All memorials for Children's Interments	No Charge	No Charge		0
Headstones	220/440	242/484	increase by 10%	0
Memorial Vases or Tablets	138/275	152/303	increase by 10%	0
Re-Erection of Memorial following safety testing failure	No Charge	No Charge		0
Replacement of existing memorial	88/176	97/194	increase by 10%	0
Cremation Plots				0
Memorial Vases or Tablets	138/275	152/303	increase by 10%	0
ADDITIONAL INSCRIPTIONS ON MEMORIALS	88/88	97/97	increase by 10%	0
Re- gilding of existing Inscriptions on all memorials	88/88	97/97	increase by 10%	0 0
EXCLUSIVE RIGHT OF BURIAL FOR FULL GRAVE PLOT				0
Initial Issue	660/1320	667/1333	increase by 1%	0
Each subsequent transfer	578/578	584/584	increase by 1%	0
EXCLUSIVE RIGHT OF BURIAL FOR CR PLOT				0
Initial Issue	451/902	455/911	increase by 1%	0
Each subsequent transfer	396/396	400/400	increase by 1%	0

	Form of Assignment		36/36	40/40	increase by 10%		0 0
Allotments	Allotment plots	Annual Increase	£28.30 Per Plot	£28.30 Per Plot	0	2,419	0 0
Central Finance	External Fees	Staff Time Recovery	4,318	4,377	2.50%	4,377	107
Audit	External Fees	Staff Time Recovery	Various	2,250	2.50%	2,250	60
People & HR	Training	External Training (Raglan Training Centre)	Various	Various	0	50,000	0
People & HR	Payroll	Charges for late CHAPS payments	various	Various	0	10,000	0
Sub-Total Resources						594,033	167
ENTERPRISE DIRECTORATE							
Traffic & Road Safety	Road Closures		£2,000.00	£2,050.00	2.50%	157,178	3,834
	Access Markings & Events Signings		Various	Various	2.50%	9,322	227
Streetworks	Scaffolding Licence		£80.00	£82.00	2.50%	9,372	229
	Skip Licence		£80.00	£82.00	2.50%	9,567	233
	Section 50 Licence		£750.00	£769.00	2.50%	26,303	642
	FPN & RASWA Fees		Various	Various	0	59,953	0
Highways Development	Street Name & Numbering		50.00 - Name Change	51.00 - Name Change		36,381	
			£130 - New Address per property	£133 - New Address per property	2.50%		887
			£Varies - Multiple Plot/Property	£Varies - Multiple Plot/Properties	2.50%		2,931
			Various £130.00 Con 29 Various Charges	Various £133.00 Con 29 Various Charges	2.50%		77
	Highways Inspection Fees/278 fees/external/capital Dropped Kerbs Land Search Income		£40.00 - Highway extents plan	£41.00 - Highway extents plan		120,172	
						3,150	

Floods & SUDS	Ordinary Watercourse Inspection Fee		£50.00	£50.00	0	34,507	0
	SABs Pre-Application Advice	Level 1 - Pre-App written advice (Rate by hectare area)	£180.00-£540.00	£180.00-£540.00	0		0
		Level 2 - Pre-App written advice + 1 meeting	£240.00-£660.00	£240.00-£660.00	0		0
		Pre-App Site Meeting (per Hr)	£50.00	50	0		0
	SABs Application	Pre-App Additional Advice (Per Hr)	£50.00	50	0		0
		Set By Statute (rate by hectare area)	£420.00-£1,750.00	£420.00-£1,750.00	0		0
Car Parking	Charges	Pay and Display Income	£1.50 - 2 hr. stay, £1.90 - 3 hr. stay, £2.40 - 4 hr. stay, £4.80 all day. £3.60 daily charge Tuesday only at Byefield Lane. £2.40 - Daily charge for Rogiet Playing Fields. £1.50 daily tariff charge - Drill Hall, Cinderhill, Rowing Club and The Station 5 day Tariff - £18.00 6 day Tariff - £21.50 Over stay - £6.00 Sunday tariff first 2 hours free then £1 for the remainder of the day	£1.50 - 2 hr. stay, £1.90 - 3 hr. stay, £2.40 - 4 hr. stay, £4.80 all day. £3.60 daily charge Tuesday only at Byefield Lane. £2.40 - Daily charge for Rogiet Playing Fields. £1.50 daily tariff charge - Drill Hall, Cinderhill, Rowing Club and The Station 5 day Tariff - £18.00 6 day Tariff - £21.50 Over stay - £6.00 Sunday tariff first 2 hours free then £1 for the remainder of the day	0	1,305,200	0
		Contravention Fees	£25/£50 - Low Contravention Fee £35/£70 - High Contravention Fee	£25/£50 - Low Contravention Fee £35/£70 - High Contravention Fee	0	351,600	0
		Residential Street Permits	£60.00	£60	0	2,850	0
		Residential Off Street Permits	£60.00	£60	0	7,150	0
		Season Ticket Off Street - Car Park Specific. (Drill Hall, Cinderhill, Rowing Club and The Station)	£137.50	£137.50	0	91,700	0
		Season Tickets Off Street - Long Stay	£430 pa. £220 6 months or £110 3 months	£430 pa. £220 6 months or £110 3 months	0		0
		Season Tickets Off Street - Short Stay	£540 pa. £275 6 months or £138 3 months	£540 pa. £275 6 months or £138 3 months	0		0
		Rents letting of car parks	£1,500 per visit depending on what it will be used for.	£1,500 per visit depending on what it will be used for.	0	3,450	0
		Recovery Fees	Various	Various	0	2,050	0
		Wayleaves & Easements	Various	Various	0	1,050	0
Catering	School Meals	Meal Price	£2.50	£2.50	0	978,000	0
Waste	Sale of Garden Bags to residents	Garden waste bags to residents	£18 per bag	£28 / bin		500,000	0

waste	Sale of bags to Trade	Green trade bags for residual waste	£2.65	£2.70	2% rounded	22,000	0
waste	Sale of bags to Trade	Trade sacks Red and Purple recycling	£17 for roll of 26 bags	£17.50	2.5% rounded	12,000	0
waste	Sale of Trade Bins SCHOOLS	Charge for collection and disposal	£11.95, £15.00, £18.00 and £23.70 for coll & disp chg,	£12.25, £15.40, £18.50 and £24.30 for coll and disposal	2.5% rounded	105,000	0
waste	Sale of Trade Bins EXTERNAL	Charge for collection and disposal	£11.95, £15.00, £18.00 and £23.70 for coll & disp chg,	£12.25, £15.40, £18.50 and £24.30 for coll and disposal	2.5% rounded	315,000	0
waste	Trade Notes	One off annual chg	£30.00	£31	2.5% rounded	12,000	0
waste	Sale of glass boxes to Trade	£26 per box per year to be collection per fortnight for 44L box	£26.00	£27	3.5% rounded	0	0
waste	Sale of glass wheelie bins to Trade	Charge per bin for collection and disposal for 140L £5 and 240L £8.00 collected fortnightly	Charge per bin for collection and disposal for 140L £5 and 240L £8 collected fortnightly	Charge per bin for collection and disposal for 140L £5.25 and 240L £8.50 collected fortnightly	5% for £5 to £5.25 and 6% for £8 to £8.50 both rounded	0	0
waste	Sale of trade cardboard tape	£7.50 per roll	£7.50	£7.75	3% rounded	0	0
Transport	Private MOTs	Fixed nationally	£54.85 for a Car MOT - Price Fixed centrally. Prices increase depending on size of vehicle	£54.85 for a Car MOT - Price Fixed centrally. Prices increase depending on size of vehicle	0	8000	0
Planning & Housing	Building Control Fees	Varies depending on type and size of work	Varies depending on type and size of work - Contact Building Control	Varies depending on type and size of work - Contact Building Control	0	413,150	0
	Development Control	Pre planning advice non statutory			2.50%	60,500	0
		FAST TRACK PLANNING APPLICATIONS R1 COMPLETION/PRE-PURCHASE CERTIFICATES R1 Section 106 Admin Fee Planning Searches Planning Applications - amending applications	Varies depending on type and size of work - Contact Planning Department	Varies depending on type and size of work - Contact Planning Department	0 0 2.50% 0 0	3,050 2,050 20,000 2,100 2,000	0 0 0 0 0
Housing	Housing Careline Alarms non business		£4.50 per week per client	£4.50 per week per client	0	178,500	0
	Careline Installation Charges	Weekly equipment rental	£45 per installation est. of 200	£45 per installation est. of	0	9,000	0
	Disabled Facility Grant Admin Fee	Charge for equipment installation	£950 per grant	£950 per grant	0	84,500	0
		Charge to client for arranging and administering home adaptation work.					
Sub-Total ENTERPRISE						4,957,805	9,060
CHIEF EXECUTIVES							
Community Education			Various	Various	0	89,500	0

Libraries	Talking Books				0	3,766	0
	Video/DVS				0	7,550	0
	Sales Commission				0	17,600	0
	Discards				0	910	0
	Overdue Charges				0	10,500	0
		22p per day, max charge £15.00	22p per day, max charge £15.00		0		0
		For concessionary groups, 12p per day, max charge £7.50	For concessionary groups, 12p per day, max charge £7.50		0	12,900	0
	Internet Usage				0		
	Photocopying	£1.04 per half hour for non members	£1.04 per half hour for non members		0	3,170	0
	Reservation Fees (Inter Library Loans)	From 21p to 36p per sheet	From 21p to 36p per sheet		0	570	0
Promotional Sales Commission				0	3,646	0	
Hire of Facilities	£4.30 per reservation	£4.30 per reservation		0	2,000	0	
Sub-Total CEO					152,112	0	
MONLIFE							
Leisure Sites	Sporting Equipment	Range from £1.45 - £30.00	£1.60-£24.30		2.5	21,884	534
	Swimming Badges	depending on item purchased	£2.95-£3.80		2.5	7,739	189
	Children's Clothing Resale	Range from £3.20 - £9.10	£10.50-£11.60		2.5	2,204	54
	Cafeteria		£0.65 - £10.70		2.5	263,066 27,316	6,416
	Vending	Range from 40p - £9.50	£0.30-£1.40		2.5	534,896	666
	Swimming Lessons	Range from 35p - £4.00	£5.35 per session		2.5	14,401	13,046
		Range from £0 - £262.25					
	Swimming Lesson 1-2-1		£17.75-22.20 per session		2.5	156,364	351
		1:1 Lessons £15.99 - £20.40				281,677	3,814
	Sport classes with Instruction	Range from 0p - £105.00	£3.90 per session-		2.5	35,106 52,531	6,870
	Swimming Pool Usage - No Instruction	Range from £0 - £63.05	£153.75 per block		2.5		856
	Casual Bookings	Range from £6.00 - £45.80	£0-£85.95		2.5	102,398 72,980	
		Under 1s Free - Toddlers	£6.25-£54.95			129,919	1,281
	Play Centre Admissions	£3.10 - Children £4.35			2.5	17,886	
	Block Bookings Non Sports Hall	Range from £4.30 - £47.25	£0-£4.55		2.5	21,269	2,497
	Outside Facility Hire (no block bookings)	Range from £4.30 - £47.25	£4.90-£54.95		2.5	69,393 1,333	1,780
	Sports Hall Hire (no block bookings)	Range from £6.00 - £45.80	£4.90-£60.85		2.5	52,531 256	3,169
	Hire of Sporting Facilities	Range from £4.60 - £53.30	£6.70-£54.95		2.5	16,800	436
	Hire of Swimming Pool	Range from £4.60 - £53.30	£4.90-£60.85		2.5		519
	Lettings (Room Only)	Range from £4.60 - £53.30	£4.05-£85.95		2.5		1,693
	Advertising	Range from £14.50 - £26.00	£18.95-£32.50		2.5		32
	Beauty Treatments	Range from £41.85 - £118.80	£5.95-£339.20		2.5		1,281
	Personal Instruction	Range from £3.10-£47.00	£3.20-£47.30		2.5		6
	Sauna	Range from 0p - £52.50	£0-£210.15		2.5		410
		Range from £1.10 - £18.70	£2.55-£20.40		2.5		

Leisure Fitness	Advance (Sale of Equipment)	Range from £2.10 - £14.20	£2.30-£8.20	2.5	14,401	351
	Personal Instruction	Range from 0p - £52.50	£0-£210.15	2.5	9,174	224
	Fitness Suite membership	Range from 0p - £357.05	£0-£335.00	0	1,220,230	0
	Exercise Classes	Range from 0p - £51.50	£0-£4.80	2.5	104,140	2,540
	Casual Bookings	Range from £6.00 - £45.80	£6.25-£54.95	2.5	24,908	607
	Advertising	Range from £41.85 - £118.80	£5.95-£339.20	2.5	256	6
	Fit4Life	Range from 0p - £51.50	£0-£16.40/month	0	183,100	0
	Toning Membership	Range from £8.95-£25.25	£8.95-26.25	2.5	74,928	1,828
Leisure General	Sports Classes with Instruction	Range from 0p - £105.10	Range from 0p - £107.72	2.5	15,580.00	380
	Raglan CRC Lettings	Range from £14.15 - £25.40	Range from £14.50 - £26		3,500.00	
Shirehall	Hire of Facilities	Range from £71.75-£4100	Range from £73.54£4203	2.5	41,800.00	0
	Lettings (Room Only)	Range from £71.75-£4100	Range from £73.54£4203		23,000.00	
	Sale of goods & equipment	x2.5% for every good resold	x2.5% for every good resold		6,450.00	
	Catering	Range from £3.85-£12.30	Range from £3.95-£12.60		14,200.00	
	Admission Charges Market Rents	Range from £1.25-£51.25 SLA with Monmouth TC	Range from £1.28£52.53 SLA with Monmouth TC		6,200.00 4,100.00	
Countryside	Rights of Way Orders	Recovery of Actual Costs	Recovery of Actual Costs	0	13,100.00	0
	Recharges External Bodies	Recovery of Actual Costs	Recovery of Actual Costs	0	103,515.00	0
Old Station	Old station Tintern Car Parking	£2.00; £17.40 (season).	£2.00; £17.40 (season).	0	25,932.50	0
	Old station Tintern Camping	£4.30	£4.40	2.5	1,800.00	0
	Old station Signal Box Hire	£65-£95	£66-£97	2.5	2,950.00	0
	Old station Tintern Sales Old station Tintern Catering	Variable event charges and shop sales Per rental agreement	Variable event charges and shop sales Per rental agreement	2.5 0	22,960.00 7,650.00	560 0
Caldicot Castle	Professional Fees	Range from £7.70-£1,540	Range from £7.90-£1,579	2.5	45,000.00 44,500.00	0
	Bar Sales	Range from 51p - £56	Range from 52p - £57		27,950.00	
	Facility Fees	Range from £7.70-£1,540	Range from £7.90-£1,579		9,100.00	
	General Events	Range from £7.70-£1,540	Range from £7.90£1,579		1,000.00	
Educational Events	£3.75 per child or £205 for a workshop	£3.85 per child or £210 for a workshop				
Chepstow TIC	Sale of goods & equipment	Range from 10p-£203	Range from 10p-£208	2.5	32,902.50	803 0
Museums	Sales VAT	Range from 10p-£203	Range from 10p-£208	2.5	14,708.75	359
	Sales Non Vat	Range from 10p-£203	Range from 10p-£208	2.5	6,303.75	154
	Refreshments	Range from £1-£1.54	Range from £1-£1.57	2.5	1,588.75	39
	Hire of Facilities	Range from £0-£1280	Range from £0-£1312	2.5	973.75	24
	Exhibitions Commission	25% plus VAT	25% plus VAT	2.5	51.25	1
	Educational Events	Range from £102.50-£205 per school	Range from £105-£210 per school	2.5	20,500.00	0
	Photocopying			2.5	46.13	1
Learning	Educational Events	Various	Various	2.5	27,265.00	665

Outdoor Education	Lettings Souvenirs	Residential outdoor education visits	Avg Per pupil: Primary £230 Secondary £242 Various	Avg Per pupil: Primary £236 Secondary £248 Various	2.5 2.5	717,500.00 2,050.00	0 0
Sub-Total MonLife						4,757,262	54,442.30
Total Fees and Charges Proposed Increase 2021-22						10,461,212	63,669.39

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Legal and Land Charges	Senior Responsible Officer:	Matt Phillips
Your Ref No:	PCEO0001	Operational Lead Officer:	Matt Phillips
Version No:	1	Directorate:	CEX
Date:	9 Dec 20	Section:	Legal and Land Charges

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

322. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Two key pressures are being submitted:

1. A reduction in the Land Charges income target of £40,000
2. A removal of the Commercial Law income line that is specifically tied to the investment activity of the Council (£40,000).

323. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

1. Land Charges income target was set a number of years ago following an unusually good year and has not hit the target since. The overall overspend last year was £32,721 and with the housing market closed down for the wave one Covid lockdown this FY, and no guarantee of WG payment for that lost income, there is little chance of an improved outturn this year. The Covid hangover that will extend into next year and post-Brexit impact is unknown, but any dent in consumer confidence impacts the housing market and so this is being factored in to this negative outlook for next year too.
2. There has been a Commercial Law income target for about 5 years now and it has been increased as the team and capacity has grown. Last year, a discrete income line was added on top of the existing income line to reflect the ambition of the investment committee within the asset management strategy. The recent impact of Covid and subsequent Investment Committee decision to pare back ambition means that the income targets for Estates, and the consequential for legal, will not be achievable. This pressure is therefore to remove that bespoke line.

324. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	

Legal – Commercial Law Income Shortfall	857	40			40			40
Land Charges – Search Income Pressure	(24)	40			40			40
TOTAL	833	80			80			80

325. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
Application to WG for income shortfall in 20-21		

326. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	Y	Investment Committee and subsequent Council report refers.

327. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?

328. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

Additional advertising has taken place to seek to increase land charges income but the market is highly competitive and not nearly as constrained as MCC is (we have to provide the service, and most charges are set by statute).

329. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

330. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
N/A		

331. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
N/A		

332. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
N/A				

333. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
CV and Brexit impact	Both events are known, though the impact is difficult to assess	

334. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Land Charges	Income total				

335. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	Land charges continues to work with Land Registry across UK to increase the digital architecture.

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Welsh Language Translation	Senior Responsible Officer:	Matthew Gatehouse
Your Ref No:	PCEO0002	Operational Lead Officer:	Alan Burkitt
Version No:	0.1	Directorate:	CEO
Date:	14 December 2020	Section:	Policy and Governance

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

336. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

To recognise increasing costs associated with Welsh Language Translation

To ensure that the budget for Welsh language translation budget reflects the true costs of delivering the service. This will ensure that the Council is able to meet its legal requirements under the Welsh Language Standards.

337. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

We have experienced year on year increases in the volume of material requiring translation. In the coming years there are key policy areas which will result in a growth in material requiring translation including the Local Development Plan and Well-being Plan. While unit costs have been maintained at a low level the growth in volume is leading to cost increases that cannot be managed and it is recognised that the budget should be uplifted to reflect this position.

Welsh Translation Costs - last 3 years

	2018	2019	2020
Actual	70,318	80,391	82,000 (fcast)
Budget	62,703	53,961	60,053
Overspend	7,615	26,430	21,947

338. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

					Target year	
--	--	--	--	--	-------------	--

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	Total Budget Change Proposed £'000
Welsh Language	111	22			22			

339. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
There are no available external funding routes.		

340. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	N	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	Options appraisals have previously been undertaken including outsourcing the service and recruiting in-house translators. However the current arrangements have been found to be the most cost effective way to deliver the service.
Will this proposal require any amendments to MCC policy?	N	

341. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?

342. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

Generating income to offset by co-ordinating translation for other organisation is undertaken on an ad-hoc basis.

An options appraisals has been undertaken and confirmed that the current arrangements are the most cost effective method of delivering the service and meeting our statutory obligations. Annual meetings are held with the Welsh Language Commissioner to ensure that our practice remains in line with the requirements of the standards.

343. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

344. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
n/a		

345. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
No Consultation Required		

346. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Potential risk that we do not meet our legal requirements under the Welsh	operational	Mystery shopper exercise conducted annually by the office of the Welsh language commissioner was	low	Continue to work with departments to ensure compliance with the standards

Language Standards		generally positive but highlighted a number of areas requiring improvement		
Potential Risk that we do not make material available in Welsh, lessening the ability of people to use the language in everyday life	operational	As above	low	Continue to work with departments to ensure compliance with the standards Conduct our own mystery shopper exercises Proactive translation and conducting audits of material such as signage

347. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

348. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Overspend/underspend		Balanced budget		
Customer	Milestone: Positive feedback from Welsh Language Commissioner		milestone		
Process	Number of webpages identified where the Welsh translation was missing or lacked content compared to the English page		<10		

349. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	Y	This has been possible from investment in digital technology which has resulted in more efficient administrative arrangements.

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Contact Centre	Senior Responsible Officer:	Matthew Gatehouse
Your Ref No:	PCEO0003	Operational Lead Officer:	Amanda Southall
Version No:	0.1	Directorate:	CEO
Date:	14 December 2020	Section:	Policy and Governance

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

350. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

**To reverse a previously identified saving of £60,000 which has provide undeliverable
To secure funding of an additional FTE member of staff to meet increased demand for telephony**

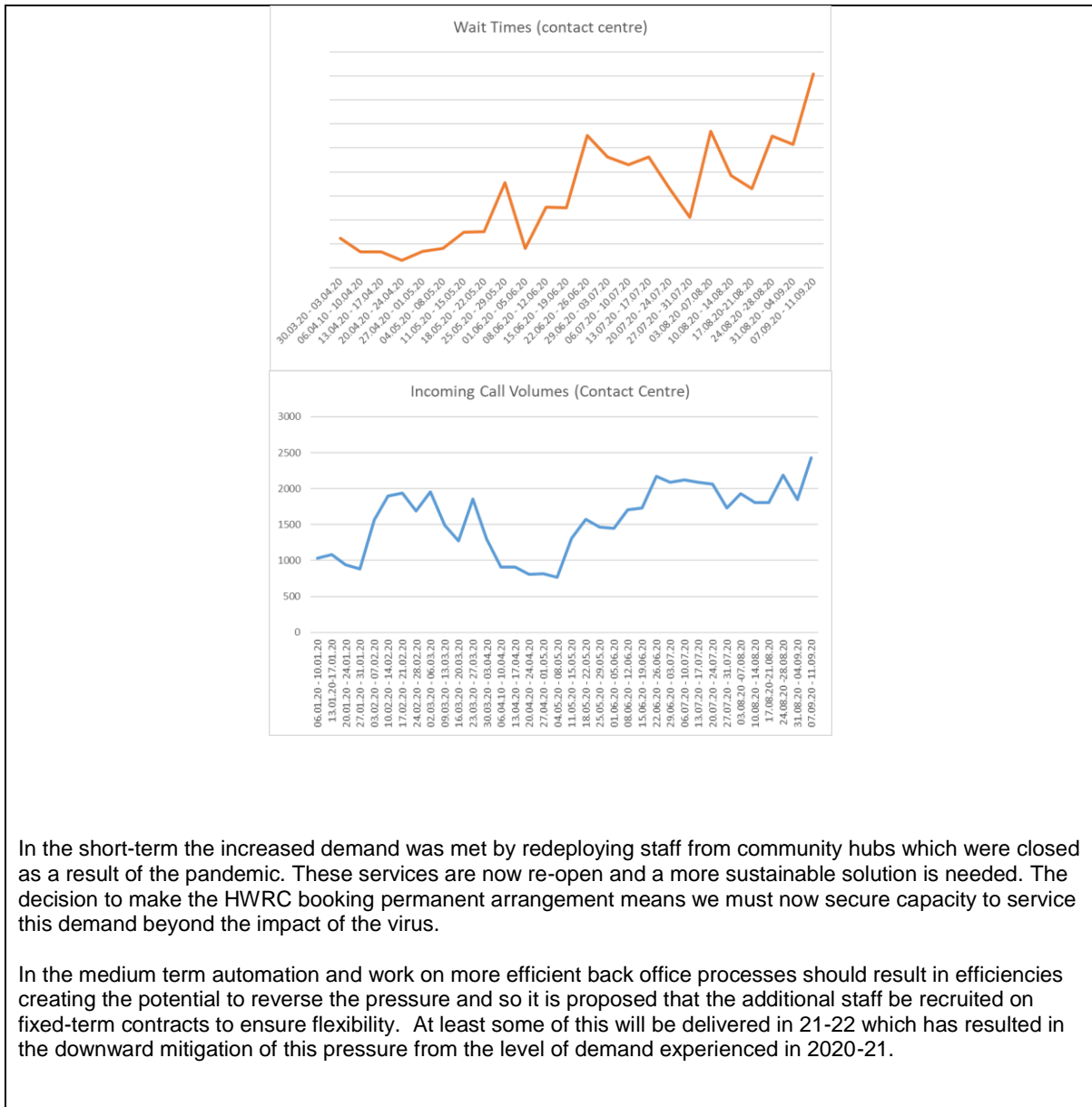
Immediately prior to the pandemic a re-structure proposal was developed for the contact centre. This was to capitalise on opportunities for self-service created by our app and chatbot. While self-service has increased, COVID-19 has led to significant pressure on telephony and this, combined with local staffing issues, has meant it has not been possible to deliver the saving. The demand increase from customers has also created additional pressures in the service and created a need to bolster staffing to maintain service levels and halt an increase in wait times. These have been compounded by service transformation in other areas leading to increased call volumes.

351. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

COVID-19 has led to significant increases in the volume of phone calls. These have doubled from c.1,000 a week to 2,000 a week.

The introduction of a booking system for Household Waste Recycling Centres has also been an influencing factor. On a service-level this has been a success. A digital form was introduced quickly and 80% of people self-serve. However the remaining 20% has resulted in an additional 500+ calls per week into the contact centre from this service alone.

This has led to longer queue times and increasing levels of frustration, including calls from people who have struggled with the self-service form and then been held in a long queue to book over the phone.



352. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Contact Centre	412	60			60			60
Contact Centre	As above	33			33			33
Total	412	93			93			93

353. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
COVID Pressure – Increased volume in telephone calls is driven by service adjustments made as a result of COVID-19	Welsh Government	Not appropriate for 21-22 onwards

354. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	Yes – Future Focused Council. A) Council enables and provides good sustainable local services whilst delivering excellent customer experience across all channels and B) Exploring and embed new ways of working – Artificial Intelligence, automation and collaborative technology
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	No significant impacts have been identified. Moves towards self-service will not be made by sacrificing telephone access which tends to be used by a higher proportion of older people and those who are digitally excluded for socio-economic reasons or those of rurality.
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

355. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Any pressure in one area presents an opportunity cost from the alternative uses for that funding	Unknown -	negative

356. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

Work undertaken by Waste Service to improve the usability of the HWRC booking form should increase the level of self service above current levels of 80% - However, for both reasons of customer preference, socio-economic factors and levels of digital exclusion there will always be a need to provide a telephony service.

Work is underway to streamline back office processes increasing automation of administrative tasks freeing up staff capacity for front-line customer support using a process called robotic process automation

Continued development of our app and chatbot will make self-service appealing to more customers, reducing pressure on telephone calls.

These factors have resulted in the actual pressure sought being managed down from £125,400 to £92,700 and will create the potential for savings in future years. However it is too early to quantify these with work on automation underway.

357. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	
Will this project have any legal implication for the authority?	N	

358. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
Work with the Digital Programme Office and external contractors to progress automation and streamlining of back office processes	Digital Programme Office	

359. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Cabinet Member	Informal briefing	26/11/20

360. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Potential risk that back office / process improvements will not impact on demand levels	operational	Technology being used is still in its infancy	medium	Engagement of staff at an early stage
Potential risk that future increased in COVID cases will add further pressures into the service	operational	Return to normality is dependent on successful roll-out of a vaccine	Medium	Roll-out of vaccine Ability to re-deploy staff from hubs to contact centre if front-line services are required to close during any future hard lockdown

361. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
Retention of HWRC booking system	Cabinet decision to continue the booking scheme	Cabinet
Ability of automation to reduce demand for telephony	Track report of selected partner to deliver robotic process automation for other partners thereby mitigating down the upward pressure on call volumes	n/a

362. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Customer	Average Queue Time (Mins)		<2:00	<1:15	
Customer	Missed Calls (%)		<17	<10	
Process	Total Calls (#)		<75,000	<65,000	

363. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	Y	Support for Robotic Processes Automation is already in place and has been procured via SRS
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	Y	This is factored in and is reflected in the comments in the above sections

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Business Support Costs	Senior Responsible Officer:	Matthew Gatehouse
Your Ref No:	CEO003	Operational Lead Officer:	Matthew Gatehouse
Version No:	0.1	Directorate:	CEO
Date:	14 December 2020	Section:	Policy and Governance

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

364. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

**To reduce the business support staffing provided by senior management team
To reduce the non-staff budget allocated for member support following several successive years of underspends**

To delete the post of Chief Executive's Personal Assistant. This has been made possible as more of the business support functions provided to senior managers have become self-service reducing the need for dedicated administrative support.

To reduce the budget for members' supplies and services – Councillors have been making increased use of technology to hold meetings, reducing travel costs and other expenses year-on-year. As a result it is possible to reduce the non-staff budget that funds by a corresponding amount enabling it to be re-invested in service delivery.

365. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

The evidence for changes to business support are based on feedback from senior leadership team who have identified a reduced need for the type of support delivered as the pandemic has accelerated self-service and the use digital technologies to arrange and co-ordinate activity

The evidence for reducing the budget for members' costs has been identified as a result of year-on-year underspends as councillors have reduced travelling costs and other expenses such as printing and consumables. The Local Government and Elections Bill will consolidate moves to remote attendance further reducing revenue costs. This will result in the need for further investment in technology. These will be capital rather than revenue costs. The future costs of renewing technology in the council chamber have already been incorporated into the Capital programme and the refresh of members Surface Pro devices will also be capitalised when these need to be upgraded.

Members Supplies & Services - Spend for last 3 years

	2018	2019	2020
Actual	12,449	25,751	16,099 (fcast)
Budget	30,414	29,313	45,618
Underspend	- 17,965	- 3,562	- 29,519

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366. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Business Support	70		(17)		(17)			
Members Costs	1,030		(15)		(15)			
Total			(32)		(32)			

367. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
Digital Democracy Fund	Welsh Government	Fund will be opened in 2021

368. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	Aligns with commitment to open up democracy (#20 of 22) - Develop remote access and attendance at meetings to maximize participation And Explore and embed new ways of working including collaborative technology (#21 of 22)
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	As above
Will this proposal require any amendments to MCC policy?	N	

369. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Increased pressure to support digital meetings	Local Democracy Team	There is a negative impact on workloads within the team as it takes more capacity to support an

		online, live streamed meeting that a physical one

370. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

n/a for budget savings

371. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	The member of staff has been consulted and this is being taken forward as a voluntary redundancy
Will this project have any legal implication for the authority?	N	

372. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

373. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Chief Executive's PA	Informal Consultation	1/12/20

374. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score	Mitigating Actions

			assessing the probability & impact	
Risk that gains made in agile working cannot be sustained post-pandemic	operational	Behaviour change has partly been driven and accelerated by necessity and may not be sustained once the imperative to work remotely dissipates	Low	Continue to ensure effective digital arrangements which are seen as a viable alternative to physical meetings.

375. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker

376. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Overspend/underspend		Balance budget		
Process	Percentage of meetings which are delivered as hybrid/remote once we move beyond these being a necessity.		>10%		

377. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	Technology is already in place to optimise more efficient ways of working.
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	Y	Continual improvement in digital processes and technology will embed practice and help sustain remote and agile working practice which continue to minimise the costs of administrative arrangements

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Landlord Services Pressures	Senior Responsible Officer:	Debra Hill-Howells
Your Ref No:	PRES0002	Operational Lead Officer:	Debra Hill-Howells
Version No:		Directorate:	Resources
Date:	3 rd December 2020	Section:	Estates

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

378. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

When the 20/21 budgets were being established additional revenue income targets were allocated to the Estates team aligned to the commercial strategy and the Councils investment ambitions. As a result of the pandemic these additional income ambitions have not been realised and it is unlikely that they will be in the short to medium term. As a result it is proposed that these additional income streams are not capable of resolution and that they are instead acknowledged as pressures.

379. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

Identified pressures are:

Development Company Income Target - £100k. As a result of the pandemic the LDP process has been delayed, which means that we will not know the outcome of submitted candidate sites until December 2022. A key requirement of establishing a Development Company is an established pipeline of sites, this means that the Development Company is unlikely to be established in the next 12 months so this target is unachievable.

Additional Commercial Income - £200k. In the light of the pandemic, Investment Committee have taken the decision not to progress with any further investment activity unless grant funded or meets a wider policy aim. The additional income stream will therefore not be possible in the short term and it is requested that this is acknowledged as a pressure.

Cemeteries Income Pressure - £31k. The cemetery service has been unable to meet the total income target for a number of years due to changing burial habits. It is requested that £31k be removed from the income target.

380. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year			Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	

Commercial Income	809,355	200,000			200,000			200,000
Development Company Income	100,000	100,000			100,000			100,000
Cemeteries	140,862	31,000			31,000			31,000

381. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

382. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	Commercial income & Development Company required as part of the Future Focussed Council. The current income targets are unrealistic in the current pandemic.
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

383. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Loss of potential revenue for front line service areas	All service areas	Negative

384. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

Council decisions have been taken that prevent any further investment activity and the delay in the LDP has temporarily delayed the implementation of the proposed Development Company. It is therefore not possible to mitigate these income targets.

The cemetery service is not created to generate income targets, but instead provide a welcoming and supportive environment for those families dealing with bereavement. Changing burial habits and lack of capacity are preventing this income target being realised.

385. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

386. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

387. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Investment Committee	Decision on investment activity	September 2020
Cabinet	Decision on Development Company	December 2020

388. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions

389. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
Current pandemic will continue to impact on property and commercial markets.	Falling capital values, failure of commercial tenants or CVA's.	Investment Committee

390. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24

391. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Accommodation Review & disposal of surplus assets to realise capital receipts and revenue savings.	Senior Responsible Officer:	Deb Hill-Howells
Your Ref No:	RES0002	Operational Lead Officer:	Nick Keyse
Version No:		Directorate:	Resources
Date:	24.11.20	Section:	Estates

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

392. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

A review of the Councils assets has been undertaken to determine which could be rationalised in order to generate a capital receipt and reduce revenue expenditure. We have also had regard to the current market conditions as we would not wish to recommend a 'fire sale' of assets where capital values are depreciated due to the current pandemic. It is also acknowledged that the relinquishment of operational assets needs to be driven by service areas as they redefine service models and adapt to changing needs and demands.

The delay in the progression of the LDP will have an impact on the longer term supply chain, hence the review to date has not considered assets that have been submitted as candidate sites through the LDP process.

The core objectives of this proposal are to :

- Realise capital values
- Reduce spend on accommodation overhead

The assets considered for disposal are attached in Appendix 1

393. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

Without testing the market to determine capital values, at this stage the anticipated capital values are based on assumptions and may vary at the point that the assets are disposed, particularly given the current volatility of the market. In some instances we will need to work with services to agree vacation dates, therefore timescales are uncertain.

Revenue savings for operational accommodation are not being considered to avoid double counting as it is assumed that these will be released by the service areas. No revenue savings are being factored against released County Farms holdings to offset the loss of rental income.

Given the changing nature of the office environment, it has been determined that there is capacity to make savings against the operational budgets of central accommodation and Usk accommodation as detailed below.

394. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	

Usk Accommodation (P105)	320		25		25			25
Central accommodation	272		25		25			25

395. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

396. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	Aligns with future focussed council and the ambition to reduce revenue expenditure
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	It is assumed operational assets will be subject to separate mandates.
Will this proposal require any amendments to MCC policy?	N	

397. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Reducing central and usk accommodation budgets may impact on users, should building occupation return to pre covid working practices as this will increase running costs (assumed annual uplift in utility charges) and wear and tear on the buildings	All building users	Potentially negative, but this will be offset by the changing spaces work designed to capitalise on existing working practices.

398. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

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399. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

400. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
The changing spaces project is commissioning a space planner to work on the proposed changes for County Hall	Existing revenue budgets will fund external capacity / expertise	

401. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
None (central and usk accommodation)		
Operational accommodation	Services are leading initial consultation with staff and service users and will be covered under separate mandates	
County Farms	Consultation was undertaken with tenants at the point the asset management plan was written and the holdings were defined as core or non-core.	
County Farms & Sextons cottage	Will be subject to a separate Cabinet report	Jan 2021

402. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
That the reduced budgets result in us being able to meet on-going running costs or repair the building in accordance with legislation.	Operational	Reducing the budget at the current point is uncertain as the way of working is going through a period of rapid evolution.	Low	We will continue to review based on evolving legislation and work practices and will ensure that staff are engaged in the changing spaces programme.

403. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
That operational savings can continue to be made through changed working practices	The implementation of Teams software has resulted in staff and members being able to work and connect remotely. It is anticipated that remote working will continue post covid enabling a change in the way that we work and how buildings are used.	SLT

404. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
That budget impact is neutral	Budget on balance at end of financial year				
Buildings are operated in a safe and compliant way	The number of accidents or near misses that arise.				

405. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	Y	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	Y	Improvements to the existing desk booking system so that desks can be booked by half days not full days.

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	FutureMon – Budget Pressures/Mileage Savings/Staff Secondment Savings	Senior Responsible Officer:	Debra Hill-Howells
Your Ref No:	RES0003	Operational Lead Officer:	Deb Jackson
Version No:		Directorate:	Enterprise/Resources
Date:	26.11.20	Section:	Fleet/FutureMon

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

406. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

Pressures

FutureMon £112k

The base budget was stripped in 19-20 to reflect cross-cutting savings made to Agency and Mileage budgets across MCC. These were to be distributed to services once the individual savings were identified but this never happened leaving a budget pressure within FutureMon that needs to be funded.

Savings

Departmental Mileage Savings - £71k

Mileage expenses in 19/20 amounted to £759,379 which not only is a significant financial consideration, but also has an environmental impact as the grey fleet is predominantly traditional petrol and diesel vehicles. The current pandemic has had an impact on some Service areas as they have embraced digital working and instead of travelling to sites for meetings, have instead been able to work remotely. In some areas the savings have been significant, CEO are anticipating a 90% reduction, Resources 84% and Monlife 82%. Front line services as you would expect have seen less dramatic reductions, Enterprise 40%, CYP 29% and SCH 7%. In order to capture current savings and change current behaviour this mandate proposes the following:

- Mileage savings are proposed to capture the workplace changes that will reduce unnecessary travel in the longer term e.g. travelling to different venues to attend meetings.
- A review is undertaken of high mileage users to determine if a leased fleet vehicle should be provided and located at an appropriate council base.
- A move to a pool fleet where all officers will be required in the first instance to use a pool vehicle and will only be able to claim mileage if a pool vehicle is not available. This will require a new policy to be drafted, consulted upon and if agreed managers to enforce it. It will also require the implementation of a simple booking system, vehicles to be located in accessible locations and effective management and cleaning of the vehicles. The vehicles should be at a minimum hybrid and where infrastructure allows, electric to support our climate change agenda.

Proposals 1 and 2 can be achieved in 21/22, but it is likely that proposal 3 will take longer to implement given the need to introduce a new policy and procure software and vehicles.

FutureMon Staff Secondment Savings - £44k

A member of staff has been seconded to WG – the secondment could last until 2023/24 so it is proposed that we offer up the annual saving until the employee returns to our service.

407. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

FutureMon Budget Pressure – N/A

Departmental Mileage Savings

Mileage Analysis Apr-Sept - Forecast							
Direct	Department	Apr-Sept 2019-20	Apr-Sept 2020-21	20-21 Forecast			Budget 21
				Total 2019-20	Straight Extrapolation of 20-21 YTD	Variance To 19-20 Actual	
CEO Total		16,665	1,707	33,827	3,415	- 30,412	34,412
CYP Total		21,571	5,106	43,618	10,211	- 33,406	14,410
ENT Total		50,083	28,143	101,083	56,285	- 44,798	93,084
MCCSCH Total		17,593	867	33,821	1,733	- 32,087	26,050
MONLIFE Total		11,021	2,210	24,762	4,420	- 20,342	24,245
RES Total		10,854	2,386	22,257	4,772	- 17,485	29,088
SCH Total		253,536	159,262	500,012	318,525	- 181,488	340,844
Grand Total		381,325	199,681	759,379	399,361	- 360,017	562,132

The above illustrates the actual spend against budget in 19/20 and the projections for 21/22. As a result of these projections, it is proposed that the following savings are implemented:

Direct	Budget 20-21	% Saving Against Budget	Suggested Savings
CEO Total	34,412	45%	15,485
CYP Total	14,410	10%	1,441
ENT Total	93,084	16%	14,893
MCCSCH Total	26,050	0%	-
MONLIFE Total	24,245	10%	2,424
RES Total	29,088	39%	11,344
SCH Total	340,844	7.5%	25,563
Grand Total	562,132		71,152

The above proposals will account for proposal 1 and 2, however it is accepted that there may be additional savings that will accrue through the introduction of pool vehicles for high mileage colleagues.

FutureMon Staff Saving – N/A

408. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
FutureMon Budget Pressure	(71)	112			112			112
Departmental Mileage	562		(71)		(71)			(71)
FutureMon – Staff Saving			(44)		(44)		44	0
Total		112	(115)		(3)		44	41

409. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
N/A		

410. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	Y	For proposal 3
Will this proposal require any amendments to MCC policy?	Y	Will need to implement a new mileage / travel policy

411. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Reduced mileage budgets	All service managers	Positive on budgets and environment – negative to colleagues who may have to switch to pool vehicles and therefore travel to a base to collect them

412. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

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413. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	Mileage - Indirectly, no staff will be lost, but the proposal may cause inconvenience to staff and will require a policy change regarding the use of grey fleet.
Will this project have any legal implication for the authority?	N	

414. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
Mileage - Option 2 and 3 will require additional fleet vehicles and software. The costs of these are yet to be determined.	Externally procured, costs to be procured from savings.	

415. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
Staff and unions	Mileage - For proposal 3, there will be a requirement to implement a new policy that prioritises the use of pool vehicles over the use of grey fleet. In addition a review will be undertaken of high mileage claimants and the potential to switch these to pool vehicles.	

416. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Mileage savings cannot be captured post covid as staff resume former working practices.	Operational	Existing shortfall in mileage claims is a result of the requirement for staff to work remotely, where possible. When staff are allowed to return to the office this may result in increased journeys.	Medium	Managers will need to support and encourage colleagues to continue to use digital solutions when attending meetings etc to avoid unnecessary travel. Managers will need to work with high mileage colleagues to consolidate or reduce travel and where possible switch to hybrid/electric pool vehicles.
Colleagues will be resistant to the use of pool vehicles	Operational	During the current pandemic there will be concerns amongst officers using pool vehicles. There are cleaning regimes in place and these will need to be effectively managed in each location. In addition pool vehicles will be less convenient to colleagues who will need to travel to a base to collect them.	Medium	All pool car users to be provided with training on how to use fogging system and effectively clean vehicles. Fleet colleagues to work with managers to identify locations for pool vehicles to make them more accessible for colleagues to use.

417. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
That business travel will continue to be reduced post covid as digital and remote working are embedded in MCC operating practices	There has been a significant reduction in mileage in the current year in all directives bar SCH. Whilst it is accepted that not all services have been operating at pre covid levels, most services are functioning and undertaking normal business duties. The implementation of digital technology has reduced the need to travel on business duties and it is anticipated that this will continue (to a lesser extent) post covid.	SLT

418. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Budget	Budget reductions are met		71	71	71
Process	The use of the grey fleet is reduced (no of business miles)		tbc		

419. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	Y	Additional pool vehicles to be used by colleagues for business travel.
Will this proposal impact on the authorities built assets?	Y	EV charging points will need to be available at sites to facilitate the transition to an electric fleet
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	N	

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Increase in SRS Budget Contribution	Senior Responsible Officer:	Sian Hayward
Your Ref No:	PRES004	Operational Lead Officer:	Sian Hayward
Version No:	1	Directorate:	RES
Date:	16/12/2020	Section:	ICT

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

420. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

- 1) The new SRS budget requirements for 21-22 have been released and approved by the Finance & Governance Board. This proposal is a request to increase the authority's IT budget by £106k in line with the 21/22 requirement.
- 2) Additional budget to pay for cybercrime software that has been identified as being essential to continuing system security. £40k

421. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

SRS Budget Contribution

The below working highlights that our budget contribution to SRS next year will be £98,485k higher than available budget.

MCC Budget		Anticipated MCC Budget As Per MTFP Model
20-21		21-22
1,656,294	Employee Related	1,701,842
476,688	Other	476,688
2,132,982	Total MCC Budget	2,178,530
	Total Required SRS Contribution 21-22	2,237,015
	Additional Funding Req'd 21-22	58,485
	Main Reasons for Increase :-	
	Contracts (incl Office 365)	41,957
	Rack Rental Charge	10,341
	CCTV Charges	11,417
	Offset by Reduction in PSBA lines	- 4,568

	59,147
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The main reason for an increase in costs is that licencing in Microsoft Enterprise Agreement is being renewed with enhanced security for mobility, and an increase in the number of employees becoming digitally enabled.

Cybercrime Software

For several years the Information Security Leadership Board (which is held between our SRS partner SIROS, the SRS and independent security advice service) has discussed the need for a SIEM system to detect any security incidents and events attacking our infrastructure. Early notification of these 'events' is critical to detect any ransomware and other cyber attacks before they become widespread and we are unable to easily mitigate against them. Without a SIEM, attacks are allowed to grow into catastrophic incidents. The importance of a SIEM solution is magnified by the growing sophistication of attacks and the use of cloud services which only increase the number of vulnerabilities in a network infrastructure. During a normal working day there are many thousands of emails, transactions and online processes being run that can be infiltrated by hackers to steal information and money. Now that we are increasing our presence in cloud based solutions a SIEM is critical to ensure we capture and contain any events. A SIEM can also enable us to predict events to implement preventative solutions before a problem arises.

The ISLB have commissioned the SRS to tender for a SIEM solution that can be implemented and shared with the SRS partners to decrease the cost impact for each one. The current cost estimate for a good SIEM system is £40,000 per partner, though until the tender exercise is completed we will be unable to estimate the cost with certainty as the market varies in the complexity of SIEM solutions.

422. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
ICT - SRS	2,133	59	0		59			59
ICT – SIEM Cybercrime Software		40			40			40
Total	2,133	99	0		99			99

423. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)
NONE		

424. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact
Does this proposal align with the MCC Corporate Plan ?	Y	This proposal will assist with all of the principles in the Corporate Plan by ensuring our schools and learners have safe and adequate connectivity, that our communities can take advantage of the opportunities that internet connectivity brings, can help us reduce our environmental

		<p>impact by reducing travel, and prepare our communities for the future in a digital world.</p> <p>In addition the procurement of a SIEM system is aligned to the Corporate Risk register mitigation of cyber crime.</p>
Has an initial Wellbeing & Future Generation Assessment being undertaken?	Y	All major projects undertaking in the digital arena are supported by business cases and reported to Cabinet where Future Generation Assessments are taken. This increase in costs is for the whole of the ICT infrastructure support of the council, without which we would be unable to take advantage of digital projects that reduce our carbon footprint, increase accessibility for council services and protect our vulnerable communities from lack of digital inclusion.
Will an option appraisal be required?	N	This is part of normal budget setting processes, and all options are negotiated as part of that. This isn't an isolated initiative where different options need to be appraised in isolation.
Will this proposal require any amendments to MCC policy?	N	

425. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Enhanced licencing for extra mobility and cyber security		

426. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

The pressure arises mainly from the need to procure additional Microsoft Enterprise Agreement licences for an increase in the number of employees now adopting digital working methods. In addition to the increase in numbers of licences they are enhanced to include greater security for our very mobile workforce. Wherever possible new technology will be adopted to increase automation and reduce costs, though this will benefit Service Departments in MCC as opposed to the SRS budget.

427. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	N	
Will this project have any legal implication for the authority?	N	

428. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)

None		

429. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
SRS Finance and Governance Board	The F&G Board scrutinises the SRS budget and agrees it Collectively between the Partners (Torfaen, Blaenau Gwent, Gwent Police and Newport)	

430. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/ Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Risk of cyber crime resulting in loss of data, business continuity or money.	Corporate risk register entries referring to : Investment in Digital infrastructure and connectivity	The risk of cyber crime is increasing, particularly since the onset of Covid and the increasing remote working agenda online services. SIEM is a system that identifies any unusual activity across our communications networks and systems. Manual monitoring of this activity is impossible with the many thousands of daily transactions across our networks. Though we have excellent firewalls and cyber security already built into our systems with the SRS (especially in line with the police being a partner and requiring higher security) there is always a threat that cyber criminals will permeate the network in some way. Early identification of such events via an automated system is therefore	Medium	Procurement of a SIEM event management system to automatically monitor any attempts to infiltrate the network and infrastructure and take early evasive action.

		critical in order that any infiltrations are stopped in their tracks before they do too much damage.		

431. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
Increase in ICT licence numbers	The increase in the cost and volume of licences for the Enterprise agreement is based on a modelling of the increase in demand through digital design of systems and processes. This digital design will impact on licence numbers and this is not known with certainty for the year ahead at this point. The actual licence costs are stable but the numbers are not.	Sian Hayward
The cost of renewed Enterprise licencing agreement. The Enterprise Agreement was renewed in January, and the new agreement reflects a completely different way of licencing our workforce, with built in mobility and security features.	The assumption in this case is that more/less/different licences will be necessary for advancements such as integrated telephony and comms that require a different sort of licence at additional cost. The licence costs for integrated comms will not be known until a quote is received and the licences procured.	Sian Hayward
The procurement of a SIEM system	An invitation to tender has been issued for a SIEM system. An estimate is very difficult as suppliers have indicated very different costs for the provision of this service. The current estimate is very much an estimate only though has been estimated at the higher end of a system	

432. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
The SRS technology budget is fully monitored for the effect of changes through – SRS finance and governance board	F&G board attended by MCC S151 officer and partner S151 officers. Detailed discussions of future projects and service delivery are submitted to the F&G Board through the SRS Business and Collaboration Board. This structure enables the S151 officer to understand the impact on budgets and savings at a detailed level.				
Quarterly Finance and budget monitoring meetings					
Monthly delivery group meetings	MCC finance managers and the Head of Digital meet to assess the effect of savings				

Information Security Leadership Board	<p>proposals or investments upon the SRS budget.</p> <p>The delivery Group is where performance reports are monitored for SRS cyber security, project delivery, efficiency savings, infrastructure investments, helpdesk performance and staffing changes.</p> <p>Primarily this board is to discuss information security and management. It is attended by SIRO's as well as MCC Head of Digital to identify security threats for information. It receives performance reports and advice from the partner external security service as well as the SRS response to any security threats. This group can also refer suggested improvements to service to the Business and Collaboration Board.</p>				

433. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	Y	The procurement of a SIEM event management system is critical to cyber security. The SRS has issued an invitation to tender for a SIEM system, and the cost will be shared by all SRS Partner organisations.
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	Yes collaboration with SRS partners to reduce costs
Will this project benefit from digital intervention?	N	It is in itself a digital intervention.

2021/22 Initial Saving and Pressure Proposal Form

The Senior Responsible Officer (SRO) for the proposal should complete forms

Proposal Title	Payroll/system development	Senior Responsible Officer:	Tracey Harry
Your Ref No:	PRES0005	Operational Lead Officer:	Katherine Cameron
Version No:		Directorate:	Resources
Date:	December 2020	Section:	People Services

Note: The Senior Responsible Officer is expected to be a Chief Officer or Head of Service in most circumstances. The operational lead officer is the lead officer responsible for bringing the proposal together and who would ultimately be held accountable for operational delivery.

434. Proposal Scope and Description Please include a brief description of the proposal being explored and the core objectives.

To provide a sustainable and resilient Payroll and system team that is sufficient to ensure the sustainability, resilience and development of the payroll system.

To realign the corporate training budget to reflect the inability to generate income from operational training provided to the commercial sector

435. Supporting Data and Evidence: Please confirm supporting evidence for the identified saving and/or pressure. Or to discount any saving being available. Append any further information as necessary.

System & Software pressures

Zellis (our payroll/HR software supplier) completed a site review for MCC in January 2016, which was repeated again in February 2020, with the same items being listed as outstanding for review/configuration and implementation. A lack of resource within the Systems & Data Team had prevented the original 2016 site review being implemented.

A project plan has been put together from; the Zellis site review, the day to day requirements for reports and returns and the corporate HR visioning exercise completed in 2019. Detailed below is the work that the payroll, transactional hr, Systems & Data Team have completed, ongoing projects and potential new products/implementations. Reducing the FTE to 1.5 will inevitably impact the ability to carry out the scheduled work and respond to queries/requests raised internally by colleagues.

The Authority signed a new contract (June 2020) with Zellis to move to a Cloud environment on the Microsoft Azure Platform. In doing, so a business meeting was held between MCC CEO and Chief Technical Officer of Zellis, where we identified MCC as aspiring to be a lead public service authority digitally.

The following outlines the ongoing and proposed development work required to address the issues outlined in the site reviews and the developments required from the corporate visioning exercise which was fully endorsed by the Senior leadership team.

Project work – Completed during November/December

Expenses module

- Test system configured and tested
- Training notes created, planned roll out last week of November (post release 25).

Upgrade 25 required prior to the Cloud move

- Review technical documents and release notes, ensure relevant personnel have been sent a copy of the documentation
- Liaise with SRS as technical roadmap shows IE and Firefox are no longer compatible, ensure rollout of Edge Chromium ahead of live upgrade
- Update test plan and liaise with teams to ensure resources are available for testing
- Review security and training for the teams
- 10 days testing of all modules
- Update recording for MyView
- Identify and raise any issues.

Project work – Ongoing

Cloud move

- Liaise with Zellis and SRS to schedule upgrade
- Technical requirements communicated to SRS and deal with any queries raised
- Review test plans and training required for the teams
- Schedule resource for user acceptance testing and co-ordinate when tasks complete
- Maintain issue log.

Reports transfer to RRS /Power BI

- Review existing reports and identify MCCs requirements
- Build reports and produce a catalogue
- Schedule reports to run.

System Implementation – post Cloud move

- Apply MCC branding to MyView
- Single sign on
- Integration to MS outlook
- Roll out mobile app
- Implement HR Dashboards.

Restructure - hierarchy

- Identify structure changes required
- Liaise with HR to approve changes
- Test and ensure reports are correct prior to 'go live'.

Eforms software - new install of software (supported version)

- Liaise with SRS regarding new internal/external server, new install of software
- Transfer existing eforms to new server, review and test
- Ensure application form is compliant with accessibility changes (due September 2020).

Document storage – transfer of documents from Image Now to hold in Sharepoint

- Define retention and security policies
- Replicate Image Now workflow in Sharepoint/develop as document storage solution
- Transfer 300,000 documents.

Review Processing

- Starters, leavers, contracts changes

- Review manual processes in line with policies and automate
- Review existing team processing.

Payroll – leave averaging

- Define new rules for casual staff so leave is accrued on hours worked
- Update existing rules for all other staff (some anomalies require more detailed configuration)
- Configure pay elements and test
- Identify staff not using MyView and contact staff/managers to ensure their leave balances are correct.

Housekeeping

- Recruitment – applicant and vacancy archive
- GDPR staff deletion
- Run exception reports and audit
- Payslip history (from 2003 – 2012).

Security

- Review and create new user profiles.

MyView rebranding (post 25 and cloud move) – Welsh Language

- Apply Welsh language key, update system and emails with translation
- Update emails/learning materials/recordings for colleagues.

Configure and implement the training module

- Data cleanse
- Configure workflow/emails/evaluation for MyView
- Investigate a solution for external candidates and digital badges
- Train teams/staff.

Payroll

- Payrates for sickness
- Assumed Pensionable pay
- Alabaster/KIT days
- Implement salary sacrifice functionality
- Pension Auto-enrolment (automate the process)
- Teachers' Pension – Monthly Contributions Reconciliation (MCR).

Modules – not yet purchased

E-Recruit

- Configure and implement e-recruit system
- integrate to Resourcelink

Zellis are working with a third party Talentlink, they have given indicative pricing of £30-45,000 for implementation and annual fees of **£43,000**. The implementation costs will be capitalised but we require additional budget to cover annual the fees.

The benefit of this system will be to improve the experience for the applicant. Managers will be able to view applicant details as they are received and make informed decisions through the process ie shortlisting online, respond to number of vacancies – is there a need to close a vacancy early or look to advertise for a longer period. The Recruitment team will not have to manually key applications, for years 19/20 this was approximately 249 applicants a month and reducing to 198 per month for the current financial year to date. The team will therefore be able to complete other legislative work which has not been possible due to lack of capacity.

Onboarding

- Review Microsoft & Zellis Onboarding package
- integrate to Resourcelink

Zellis have their own solution and have quoted **£8,188** per annum, plus 2 days for implementation £1,790.

Total Pressure required in 21-22 £51,188.

The key benefit will be for new starters to start their journey on a digital platform engaging from point of job offer and acceptance, this will continue throughout the life cycle with us. This is a standalone solution and does not require us to purchase Web Recruitment. New starters for 19/20 were 389 and for 20/21 so far 147.

Additional Staffing Budget

In order to deliver the above the following resources increases and permanent adjustments to the payroll and system/data team have been identified;

The Systems & Data Team Lead, is currently band I. However, due to the level of increased responsibility in terms of manpower and project management/implementations, this should be brought in line with the other team leads within the section to a band J and therefore the role description needs to re- evaluated under the council's JE scheme.

In the current structure the position of Payroll Team Lead is filled on a 0.81% FTE (30 hrs). Over the past three years capacity to be involved in development has been reactive and restrictive due to workload and resource capacity. Therefore to reduce the pressure on the role and improve resilience it is recommended that the budget for this post is increased to 1 FTE. This would allow the post holder to have greater capacity to be more involved in the future system developments for payroll going forward.

Due consideration should be given to the permanent future requirements of the Systems & Data team in light of the expectations above. If we aspire to be a lead public service authority digitally, then a future-proofed resource, needs to be established. Consideration of the following proposal:

Make the existing temporary contracts permanent. The temporary structure of FTE 3 (once pre-approved parental leave has finished) is currently working well, there is a high level of systems knowledge and a focus to make efficiencies for People Services and colleagues.

Technical assistance may be required in the future as systems are further developed for which additional costs may be incurred.

In the event that a decision is made to cease all current temporary resources and return to a FTE of 1.5 then the business impacts can be identified as follows:

- Significant reduction on the number of hours that the systemsanddata@monmouthshire.gov.uk email account will be monitored.
- Expectation of staff contacting the systems team will need to be managed
- Day to day operational requirements and priorities would mean that strategic projects would be significantly slower to be achieved.
- During normal team absences such as A/L etc. then service will have no presence, which will affect operational delivery of payroll / recruitment etc.
- Recognition that the service will always be one of a reactive nature and limited ability to undertake proactive work.

The proposal for increased manpower sees the pressure increase needed as **£113,453** which includes oncosts. Budget build on posts as highest increment.

Corporate Training – Income Pressure

Corporate Training has struggled to meet its income budget in the last 3 years – although the training centre in Raglan is a valuable resource in training our internal operatives we have seen a decline in external take-up of courses. This has an impact on income generation. The unit will always look to mitigate this pressure but with the additional impact of Covid further affecting course income we feel that a £50k pressure will be required in 20-21.

Corporate Training Outturn - Last 3 Years

	2017	2018	2019
Actual	173,119	113,010	158,406
Budget	142,452	99,171	108,257
Overspend	30,667	13,839	50,148

436. Budget Impact In this section please include the savings and pressures identified and the overall budget impact resulting from this proposal. This must cover each year implicated.

Service area	Current Budget £'000	Proposed Cash Pressure £'000	Proposed Cash Saving £'000	Target year				Total Budget Change Proposed £'000
				20/21 £'000	21/22 £'000	22/23 £'000	23/24 £'000	
Payroll/system team		113			113			113
E recruitment and onboarding module		51			51			51
Training income reduction		50			50			50

437. External Funding: Has this proposal considered the opportunities for external funding? If yes, what funding avenues have been identified?

Funding Identified	Source	Current status (i.e. confirmed, in application, etc)

438. Corporate Alignment: How does this proposal contribute and align with the current Corporate Plan objectives and have the relevant evaluations been considered and completed? Please consider any implications this proposal may have on our current policies.

Question	Y/N	Comments/Impact

Does this proposal align with the MCC Corporate Plan ?	Y	
Has an initial Wellbeing & Future Generation Assessment being undertaken?	N	
Will an option appraisal be required?	N	
Will this proposal require any amendments to MCC policy?	N	

439. Additional Impacts What are the expected impacts of implementing this proposal? Please include the potential impact on other service areas

Description	Who is effected?	Is this impact positive or negative?
Recruitment	Recruiting managers/hr transactional team	Positive improved efficiency of recruitment process/ improved professionalism and reputation of council as an employer
Onboarding	New recruits/managers	Improve the applicants experience and contact with the managers.
Implementing system change as per site review/cloud move	HR, Payroll, Training, all staff	Streamlined processes to increase capacity and visibility of information for staff ie training records.

440. Mitigation (for budget pressures only) – What mitigation has been identified to reduce the budget pressure proposed? What further steps could be taken to mitigate the pressure further and what are the consequences of this action?

This reflects budget growth to enable the payroll/HR service to be more resilient/efficient and effective to deliver necessary system functionality and required developments outlined in the corporate visioning exercise.

The reduction in external income within corporate training reflects the inability to generate income through the provision of operational training to external organisations as a consequence of the loss of qualified training status and the impact of COVID 19. In the short term it is not considered possible to generate income and unless the budget is adjusted it will result in the service overspending.

441. Additional Considerations:

Question	Y/N	Comments/Impact
Will this proposal have any staffing implications?	Y	See above
Will this project have any legal implication for the authority?	N	

442. Up-front Investment Requirement

Describe any additional skills, resource and capability needed in order to carry out the proposal successfully. For example, new/additional expertise that will require additional investment etc.

Any additional capability required	Where will this come from	Any other resource/ business need (non-financial)
Technical expertise	Undetermined at this stage (potential to look at skills internally or SRS).	

443. Consultation Describe any initial consultation that has been or needs to be undertaken in order to inform this proposal and any further consultation that will be required throughout proposal delivery

Consultee	Description	Date (delivered/planned)
SLT	Corporate visioning consultation	2019
SLT	Cloud Contract	2020/2021
Zellis	Site Review	2016
Zellis	Site Review	Jan 2020

444. Key Risks and Issues

Are there any potential barriers and risks that will need to be managed in delivering the outcomes expected from investing in or recognising the pressure identified, including any negative impacts identified in section 6 that need to be accounted for. Also, set out the steps that will be taken to mitigate these risks.

Barrier or Risk	Strategic/Operational	Reason why identified (evidence)	Risk Level (High, Medium or Low) Based on a score assessing the probability & impact	Mitigating Actions
Erecruit: Third party product suggested (Cornerstone) by our existing provider Zellis.	Operational	New partnership between suppliers.	Medium	Zellis are our Trusted provider.
Erecruit Specification	Strategic	Software design reviewed against Vision document.	High	This will be a requirement to produce a detailed specification of what our needs are.
Erecruit Implementation	Operational	New partnership with suppliers.	Medium	Agree process and project plan.
Erecruit Integration between systems.	Operational	Identify connectors	Low	This will be a requirement to produce a detailed specification of what our needs are.
Onboarding: Cultural change for managers		Each section is likely to have different Onboarding requirements.	Medium	This will be a requirement to produce a detailed specification of what our needs are.

445. Assumptions

Describe any key assumptions made that underpin the justification for the option.

Assumption	Reason why assumption is being made (evidence)	Decision Maker
Erecruit/Onboarding: Efficiency/ease	Removes need for manual data entry and systems are updated in real time	
User Experience	New recruits and staff will be able to view and manage their information easily online.	
Resourcing	Systems being developed to reduce manual tasks, reducing errors where data is manually keyed.	

446. Measuring and monitoring performance

How do you intend to measure the impact of this proposal? This will include budget measures and further possible measures that cover process, staff and customers. Targets need to be set over the duration of the proposal where appropriate.

Focus - Budget/Process/Staff/Customer	Indicator	Target 2020/21	Target 2021/22	Target 2022/23	Target 2023/24
Roadmap	Detailed project delivery plan with detailed timescales outlining key tasks, timescales and sequencing	TBC	TBC		
Service Plan	As above				
Process	Impact on resource				
Staff/Customer	Satisfaction survey				

447. Additional considerations:

Question	Y/N	Comments/Impact
Will this proposal require procurement of goods, services or works?	N	
Will this proposal impact on the authorities built assets?	N	
Will this proposal present any collaboration opportunities?	N	
Will this project benefit from digital intervention?	Y	

REVENUE BUDGET 2021/22

Full Cost budget adjustment explanations

Prepared by: Jonathan Davies – Acting Assistant Head of Finance

In addition to specific service pressure and savings mandates, the budget has the potential to also move year on year due to corporate changes. The following briefing note provides details of those revisions.

PRESSURES

Full cost briefing note	Fire Authority precept	162
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The Council has received notice from the South Wales Fire & Rescue Authority of their draft precept for next year. This exhibits an average increase in contributions required of 3.54% pending (at that time) Welsh Government provisional settlement.

Full cost briefing note	Insurance premium	131
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The Insurance premium budget is already under pressure in the current year by £40k. The insurance contract is reviewed annually (every October) to take account of activity changes and premiums have seen increases in Property (£74k increase), Motor (£15k increase) and Liability (£14k) insurance, with minor reductions across other premium areas. For property this is primarily due to the worsening claims experience following the flooding claim at Monmouth leisure centre and the increased value of properties on cover. For Motor it is an increase in the number of vehicles on cover and worsening claims history.

Full cost briefing note	Pension strain costs	151
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Additional pension strain costs relating to redundancies that have been approved to date. Pension strain costs relate to staff who retire before their normal pension age and where the employer is required to top up the pension fund to cover the shortfall in contributions. The exact value of these costs are hard to quantify given the uncertainty over the timing, value and individual pension implications of redundancies, however the above pressure is the minimum that would be incurred based on current known data.

Full cost briefing note	Coroner levy	30
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Staffing pressure relating to the requirement to meet minimum national guidelines has resulted in an increased draft levy.

Full cost briefing note	Crematorium distribution reduction	46
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The estimated dividend distribution is likely to reduce based on the forecast Crematorium budget for 2021/22 and given a challenging operating environment with alternative sites becoming available in Gwent.

Full cost briefing note	MRP in relation to the Additional borrowing in respect of Future schools tranche A, DFGs, and sewer plants	44
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The revenue budget will always require review of corporate financing provisions to ensure they remain accurate. Sale of assets, revisions to capital financing requirement, and changes in activity of the capital programme can all affect the quantum of minimum revenue provision (MRP), and indeed when it falls due as it is usual practice to start making MRP payment in the year after capital assets become operational. The combined adjustments above are also reflective of the Capital MTFP priorities and their related funding assumptions being considered by members during the budget process.

SAVINGS

Full cost briefing note	Capitalisation directive	(1,000)
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A schedule of expenditure of £1m has been identified as eligible expenditure to be funded from capital receipts under the flexible use of capital receipts directive. The identified expenditure meets the definition of being service transformational, driving a digital approach or working collaboratively to reduce overall costs. It is important to note that funding from capital receipts, much like that from reserve is a one-off source of funding which cannot be used again.

Full cost briefing note	Increase in SCWD grant	(247)
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The provisional Welsh Government funding settlement included an overall increase in the Social Care Workforce Development grant across Wales of £10m. The proposed budget saving of £247k represents Monmouthshire's likely share of this increase.

Full cost briefing note	Net Minimum Revenue Provision (MRP) increase based on additional activity	275
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The revenue budget will always require review of corporate financing provisions to ensure they remain accurate. Sale of assets, revisions to capital financing requirement, and changes in activity of the capital programme can all affect the quantum of minimum revenue provision (MRP), and indeed when it falls due as it is usual practice to start making MRP payment in the year after capital assets become operational. The combined adjustments above are also reflective of the Capital MTFP priorities and their related funding assumptions being considered by members during the budget process.



<p>Name of the Officer Nikki Wellington</p> <p>Phone no: 01633 644549 E-mail: nicolawellington@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>To increase educational psychology budget by £74,387 and the early years budget by £20,852 to support additional posts to fulfil the requirements of the new ALN bill.</p>
<p>Name of Service CYP Finance</p>	<p>Date Future Generations Evaluation 8th January 2021</p>

NB. Key strategies and documents that may help you identify your contribution to the wellbeing goals and sustainable development principles include: Single Integrated Plan, Continuance Agreement, Improvement Plan, Local Development Plan, People Strategy, Asset Management Plan, Green Infrastructure SPG, Welsh Language Standards, etc


1. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.




Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>The posts will ensure that all pupils with additional learning needs are identified as early as possible and additional support is provided to ensure they can meet their full potential. This</p>	


Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
	will include Early Years ALN support and training for schools and settings and support for wellbeing within our schools.	
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	It is envisaged that pupils should not have to travel long distances to access education which will lead to a reduction in transport costs and the impact on the environment. The posts will be able to support local settings and schools to meet their needs.	
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	Children and pupils will be able to access placements that can meet their needs, this will support their development effectively in the best environment for them. If this is in their local setting or school they will be able to stay in their local community.	
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Where appropriate pupils will be able to access provision at their local setting or school should their needs be met there.	
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing		
A Wales of vibrant culture and thriving Welsh language	Monmouthshire has two Welsh Medium Primary schools and one Cylch Meithryn if the needs of the child or pupil can be met in that setting or	

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	school environment pupils will be able to attend. All local settings and schools promote the use of the Welsh Language and Welsh Culture.	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	The placement will be suitable to meet the needs of the child or pupil enabling them to fulfil their potential.	

2. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Balancing short term need with long term and planning for the future</p>	<p>The new ALN act places considerable additional responsibilities on all local authorities to support children up to the age of 25. This includes early intervention to support that child through the whole of their education.</p> <p>The act ensures the pupil can be fully supported in the best setting or school to meet their needs enabling them to meet their full potential.</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>There are many partners that work together to support pupils with Additional Learning Needs, Education Psychologist and Health for example. By maintaining children and pupils in their local environment these professionals will be able to provide advice and support and gain a good understanding of the needs of the pupil and their families.</p>	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>All settings and schools are aware of the process to seek additional support for pupils where required. The work closely with the Local Authority to ensure that the pupil has the best placement to meet their needs.</p>	<p>Where the needs of a child or pupil cannot be met from a local setting or school several partners including the setting, school and parents work together to agree on the best placement for that child or pupil. The budget pressure has been provided to meet these placement costs.</p>
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>The early intervention should ensure that needs are met at an early age and allow the child or pupil to be supported for them to meet their potential.</p> <p>Should there be a requirement for that child or pupil to access specialist provision the budget has been afforded to allow this.</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p data-bbox="237 587 376 619">Integration</p> <p data-bbox="203 647 539 746">Considering impact on all wellbeing goals together and on other bodies</p>	<p data-bbox="589 344 1312 480">The wellbeing of learners is at the centre of this, where their needs are met this will impact on the wellbeing of the families peers, local communities and other partners that provide support.</p>	

- 3. Are your proposals going to affect any people or groups of people with protected characteristics?** Please explain the impact, the evidence you have used and any action you are taking below. For more detailed information on the protected characteristics, the Equality Act 2010 and the Welsh Language Standards that apply to Monmouthshire Council please follow this link: <http://hub/corporatedocs/Equalities/Forms/AllItems.aspx> or contact Alan Burkitt on 01633 644010 or alanburkitt@monmouthshire.gov.uk

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	<i>Early intervention to support pupils with additional learning needs will have a positive impact on the development and potential of that child.</i>		
Disability	<i>Early intervention and support will allow pupils to meet their full potential. Schools will support advice and training to allow them to support a range of disabilities.</i>		
Gender reassignment			
Marriage or civil partnership			
Pregnancy or maternity			
Race			
Religion or Belief			
Sex			
Sexual Orientation			

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Welsh Language	<i>The additional support provided to settings and schools for resources to help children and pupils with additional learning needs should allow where appropriate pupils to be educated in Monmouthshire. This will provide a wide range of Welsh Language opportunities and the provision of two Welsh Medium Primary Schools and the Cylch Meithryn which can be accessed if the needs can be met.</i>		<i>Where the pupil needs to be placed outside a Local Authority school or setting the funding may allow for a pupil to be educated in another Welsh Authority if the needs of that pupil can be met.</i>

4. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance <http://hub/corporatedocs/Democratic%20Services/Safeguarding%20Guidance.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	<i>All safeguarding policies will be followed by settings and schools.</i>		
Corporate Parenting			

5. What evidence and data has informed the development of your proposal?

<p>ALN act.</p> <p>Statements and evidence from schools.</p> <p>Statements and evidence from Early Years settings</p> <p>Staffing structures.</p> <p>Increased level of children in Early Years setting identified with ALN</p>
Empty space for additional information

6. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

The main positive benefit is that pupils should be able to have their needs met in a local Monmouthshire school, where this is not possible the proposal is to increase the budgets for other provisions to reflect the current forecast.

7. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress
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Review the impact of these roles and the fulfilment of the ALN act	The Act becomes law in September 2021 the review will be in September 2022	Jacky Elias and Sharon Randall-Smith.	

8. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on:	June 2021 and continuing via the 2021-22 monitoring process.
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9. VERSION CONTROL: The Future Generations Evaluation should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1.0	Initial draft	8 th January 2021	



<p>Name of the Officer Tyrone Stokes</p> <p>Phone no: 01633 644589 E-mail: tyronestokes@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>List of accounting budgetary adjustments as below: -</p> <ul style="list-style-type: none"> • £346,000 – shortfall in Social Care, Safeguarding and Health staffing budget of 1.75% due to the 2020/21 pay award. As part of the 2020/21 budget an allocation of 1% was given to afford any pay ward. Subsequently in year the final agreed pay award was 2.75%, hence a shortfall of 1.75% monetary value £346K. • £242,000 – in ability to meet the 2% staff efficiency saving deducted from the staffing budget, which relates to those front line adult and public protection staffing service budgets such as care at home, social workers and our own respite, care home services, trading standards, commercial/public protection. • £100,000 – as part of the 2020/21 budget it was agreed to fund the 2% staff efficiency within Children’s Services due to the nature of the service and the risk posed in not filling vacant posts. However the Medium Term Financial Plan calculated the efficiency on total staff salaries and has added back in the efficiency at a value of £100K. • £45,000 – In 2020/21 the Authority, under the capitalisation directive, removed £45K of revenue staff costs to be funded from capital for one year only, but needs to be added back into the Safeguarding service budget for 2021/22
<p>Name of Service Finance</p>	<p>Date Future Generations Evaluation form completed</p> <p>10th December 2020</p>




NB. Key strategies and documents that may help you identify your contribution to the wellbeing goals and sustainable development principles include: Single Integrated Plan, Continuance Agreement, Improvement Plan, Local Development Plan, People Strategy, Asset Management Plan, Green Infrastructure SPG, Welsh Language Standards, etc



10. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs	Ensure Social Care staffing budgets are adequately resourced, especially front line services	Will remove the need to try and maintain front line vacancies to meet efficiency targets, and fully fund the pay award.
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	N/A	
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	N/A	
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	N/A	

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Importance of front line social care staffing is recognized by a fully funded staffing establishment budget	Ensure staff are not adversely affected by having to either maintain vacancies or not have sufficient financial resources to meet staffing commitments.
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	N/A	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	N/A	

11. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	N/A	
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	N/A	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	N/A	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>That the staffing budgets are adequately financially resourced</p>	<p>Will remove the pressure of front line services having to maintain vacancies and added to what is already fragile and over stretched services.</p>
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>Ensure staff are not adversely affected by budget/targets imposed</p>	

12. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below. For more detailed information on the protected characteristics, the Equality Act 2010 and the Welsh Language Standards that apply to Monmouthshire Council please follow this link: <http://hub/corporatedocs/Equalities/Forms/AllItems.aspx> or contact Alan Burkitt on 01633 644010 or alanburkitt@monmouthshire.gov.uk

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	N/A	N/A	
Disability	N/A	N/A	
Gender reassignment	N/A	N/A	
Marriage or civil partnership	N/A	N/A	
Pregnancy or maternity	N/A	N/A	
Race	N/A	N/A	
Religion or Belief	N/A	N/A	
Sex	The care sector is predominantly staffed by female employees who may be adversely affected.	N/A	Having adequate staffing budgets will help address.
Sexual Orientation	N/A	N/A	
Welsh Language	N/A	N/A	

13. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance <http://hub/corporatedocs/Democratic%20Services/Safeguarding%20Guidance.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	Removing the staff efficiency saving target will allow managers to recruit staff, avoid prolonged staff vacancies	N/A	
Corporate Parenting	N/A		

14. What evidence and data has informed the development of your proposal?

Current forecasting and costing

15. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

Will ensure staffing budgets, especially for vital front line services, are appropriately funded

16. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress
Monitor staffing budgets as part of the formal in year budget monitoring exercise	In line with forecast timetable for 2021/22	Chief Officer Social Care, Safeguarding & Health	

17. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

As per forecast timetable for 2021/22	SCH DMT
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18. VERSION CONTROL: The Future Generations Evaluation should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1	DMT	9 th December 2020	

Future Generations Evaluation (includes Equalities and Sustainability Impact Assessments)

<p>Name of the Officer completing the evaluation Jane Rodgers/Ty Stokes</p> <p>Phone no: E-mail:janerodgers@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>Pressure with the Children’s budget due to increased demand, with an increase in CLA population in 2020/21 with resultant knock on cost increases for staffing and legal costs.</p>
<p>Name of Service</p> <p>Children’s Services</p>	<p>Date Future Generations Evaluation form completed</p> <p>14th December 2020</p>




NB. Key strategies and documents that may help you identify your contribution to the wellbeing goals and sustainable development principles include: Single Integrated Plan, Continuance Agreement, Improvement Plan, Local Development Plan, People Strategy, Asset Management Plan, Green Infrastructure SPG, Welsh Language Standards, etc



19. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs	Ensure there is adequate budgetary provision to meet the needs of the children population within Monmouthshire.	N/A
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	N/A	N/A
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	Ensure we can support the needs of the children that require Local Authority provision to best meet not only their needs, but give them to best possible start and chance in their future.	Establish services and practices that underpin delivery and a balanced approach to meet the child and service needs, and meet the core principles of the Authority.
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Try to maintain children to remain within their communities, family and where ever possible.	Recruitment and marketing to grow our in house foster care provision, and support so we can increase our offer to those carers.
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Helps to better develop communities and support services users to remain in their communities for longer	N/A
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and	Offer all the support requires to children to thrive in all areas, especially sport, art and recreational activities	Work with all groups and our internal partners especially Leisure colleagues to have a positive impact on children we support.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
protected. People are encouraged to do sport, art and recreation		
A more equal Wales People can fulfil their potential no matter what their background or circumstances	Focus on supporting all children to achieve what matters to them and access services to achieve their personal goals and outcomes	N/A

20. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	Offering a support package to remain within their Community where appropriate. If services are not available locally, to try and reduce the need to move out of the Community or retain links.	N/A
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	With care providers, Health, third sector and voluntary organisations, as well as internal partners to meet the needs of children.	N/A
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	Help to secure services being received.	N/A

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Putting resources into preventing problems occurring or getting worse</p>	To promote health and well-being, independence and a sense of purpose and achievement.	N/A
 <p>Considering impact on all wellbeing goals together and on other bodies</p>	A more cohesive approach to delivering care with the child at the centre.	N/A

21. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below. For more detailed information on the protected characteristics, the Equality Act 2010 and the Welsh Language Standards that apply to Monmouthshire Council please follow this link: <http://hub/corporatedocs/Equalities/Forms/AllItems.aspx> or contact Alan Burkitt on 01633 644010 or alanburkitt@monmouthshire.gov.uk

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	N/A	N/A	N/A
Disability	Help to maintain services to meet their personal outcomes	Without further investment the disabled Children's budget will remain in an overspend situation	Review of care provision, ensuring the best services at the right price

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Gender reassignment	Ensure service provision meets the needs of children under gender reassignment	N/A	N/A
Marriage or civil partnership	N/A	N/A	N/A
Pregnancy or maternity	N/A	N/A	N/A
Race	N/A	N/A	N/A
Religion or Belief	N/A	N/A	N/A
Sex	N/A	N/A	N/A
Sexual Orientation	N/A	N/A	N/A
Welsh Language	N/A	N/A	N/A

22. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance <http://hub/corporatedocs/Democratic%20Services/Safeguarding%20Guidance.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	At the forefront when working with our child population		
Corporate Parenting	Ensure we can carry out our duties under Corporate Parenting effectively		

23. What evidence and data has informed the development of your proposal?

<ul style="list-style-type: none"> • Demands and the reasons during the current 2020/21 financial year • Activity data for 2020/21 and prior
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24. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

<p><i>This section should give the key issues arising from the evaluation which will be included in the Committee report template.</i></p>
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25. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress

26. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on:	
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27. VERSION CONTROL: The Future Generations Evaluation should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1	DMT	16/12/20	

Future Generations Evaluation (includes Equalities and Sustainability Impact Assessments)

<p>Name of the Officer completing the evaluation Ceri York/Tyrone Stokes</p> <p>Phone no: 01633644933 E-mail: ceriyork@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal Pressure Mandate for care provider fee uplifts in 2021/22</p>
<p>Name of Service Adult Social Care</p>	<p>Date Future Generations Evaluation form completed 15th December 2020</p>

NB. Key strategies and documents that may help you identify your contribution to the wellbeing goals and sustainable development principles include: Single Integrated Plan, Continuance Agreement, Improvement Plan, Local Development Plan, People Strategy, Asset Management Plan, Green Infrastructure SPG, Welsh Language Standards, etc



28. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.




Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales	Offer financial support to care providers allowing them to operate on a viable financial footing. It	Working closely with care providers

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
Efficient use of resources, skilled, educated people, generates wealth, provides jobs	will help to retain valued providers to remain within the sector, and hopefully encourage new operators into the market.	
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	N/A	N/A
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	Ensure financial viability for providers, which will free them up to deliver their services to those with assessed care needs.	N/A
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Will bring greater financial security and sustainability, allowing local social care to be attractive, viable and safe. People will receive services from local businesses	N/A
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Recognise cost pressures on the care sector market which is under considerable pressure due to Coronavirus	N/A
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	N/A	N/A

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A more equal Wales People can fulfil their potential no matter what their background or circumstances	N/A	N/A

29. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Balancing short term need with long term and planning for the future</p>	<p>The aging population of the UK is set to grow even more over the next 5 -25 years. Increasing numbers of people will need social care support to enable them to lead fulfilled and meaningful lives.</p> <p>Having a sustainable social care provider market is a necessity in both the short, medium and long term.</p>	<p>Ensure operators have a fair contractual rate for services being procured.</p>
 <p>Working together with other partners to deliver objectives</p>	<p>Social care providers are key partners of the Council in delivering care and support to some of the most vulnerable people within the county.</p>	N/A

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	N/A	N/A
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	A range of social care provision enables people's independence to be sustained and prevent greater reliance on more intensive social care support.	N/A
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>	This proposal will help protect to support the provision of social care. Without this support there will be a negative impact upon our Health partners with delayed transfers of care.	N/A

30. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below. For more detailed information on the protected characteristics, the Equality Act 2010 and the Welsh Language Standards that apply to Monmouthshire Council please follow this link: <http://hub/corporatedocs/Equalities/Forms/AllItems.aspx> or contact Alan Burkitt on 01633 644010 or alanburkitt@monmouthshire.gov.uk

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	The majority of people receiving social care support are 65 plus.	None	
Disability	Social care is provided to people who generally due to either old age or ill health have a range of disabilities. These proposals will positively support people with disability to receive the care they require	None	
Gender reassignment	N/A	None	
Marriage or civil partnership	N/A	None	
Pregnancy or maternity	N/A	None	
Race	N/A		
Religion or Belief	N/A		
Sex	Most of the workforce is females and therefore up0lifts to fees will benefit people working for the social care organisations which we commission.	None	
Sexual Orientation	N/A		

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Welsh Language	N/A		

31. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance <http://hub/corporatedocs/Democratic%20Services/Safeguarding%20Guidance.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	None		
Corporate Parenting	None		

32. What evidence and data has informed the development of your proposal?

Previous provider engagement
Understanding of what cost pressures are on the care sector market
Announced NLW as at 1st April 2021
CPI as at September 2020

33. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

This section should give the key issues arising from the evaluation which will be included in the Committee report template.

- Harbour good relations with providers and enable the delivery of a sustainable model of care
- Vulnerable people in Monmouthshire will continue to receive good quality and sustainable care and support.
- Prevention of more providers reducing their level of provision within Monmouthshire.

34. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress
N/A			

35. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on:	31 st March 2022
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36. VERSION CONTROL: The Future Generations Evaluation should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1	<i>e.g. budget mandate, DMT, SLT, Scrutiny, Cabinetetc</i>		<i>This will demonstrate how we have considered and built in sustainable development throughout the evolution of a proposal.</i>



<p>Name of the Officer Eve Parkinson/Tyrone Stokes</p> <p>Phone no: 07854673356</p> <p>E-mail: eveparkinson@monmouthsire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>Contract to specifically address the 250 weekly hours of unmet care needs in the Usk region</p>
<p>Name of Service</p> <p>Adults Usk care contract</p>	<p>Date Future Generations Evaluation form completed</p> <p>15th December 2020</p>



NB. Key strategies and documents that may help you identify your contribution to the wellbeing goals and sustainable development principles include: Single Integrated Plan, Continuance Agreement, Improvement Plan, Local Development Plan, People Strategy, Asset Management Plan, Green Infrastructure SPG, Welsh Language Standards, etc



37. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.


Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs	Having a specified care contract for a set sum will promote a more stable front line care workforce, helping recruitment and retention	Monitor the effectiveness and efficiency of the contract to ensure all requirements are being fulfilled
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)		
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	Having a stable workforce will ensure carers are recruited and retained, so providing consistent care which will help forge relationships with the cared for resident	Promoting better terms and conditions to encourage people to join the care service as a viable career
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Meeting client care needs helps to maintain them in their community, person centred approach is about enabling people and their families to achieve outcomes – their community is an integral element to this.	
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Can provide much needed job opportunities within the region	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and		

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
protected. People are encouraged to do sport, art and recreation		
A more equal Wales People can fulfil their potential no matter what their background or circumstances	Having a contract gives financial stability, which in term, will allow care providers to offer salaried contracts of employment, moving away from any zero hour contracts	

38. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>Person centred approach leads to inclusion and reduces the potential for further dependency, loneliness and isolation.</p> <p>Promotes both health and well-being</p>	
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>Working in partnership with a care provider to meet the common objectives – to allow residents to remain in their community and keeping them safe and well.</p> <p>Delivering the objectives of TWUD – shifting culture from doing to – to doing with.</p>	<p>Ensure care hours are available to meet their needs</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>		
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>Financial resources in the way of a contract sum are paid</p>	<p>Gives financial certainty to allow for planning</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p data-bbox="237 587 376 619">Integration</p> <p data-bbox="203 647 539 746">Considering impact on all wellbeing goals together and on other bodies</p>	<p data-bbox="589 344 1301 400">Impacts on individual, but also partner agencies e.g primary care</p>	

39. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below. For more detailed information on the protected characteristics, the Equality Act 2010 and the Welsh Language Standards that apply to Monmouthshire Council please follow this link: <http://hub/corporatedocs/Equalities/Forms/AllItems.aspx> or contact Alan Burkitt on 01633 644010 or alanburkitt@monmouthshire.gov.uk

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	Ensure the care needs of our older population are catered for – cared for and carer (family)		Monitor of the contract to make sure it keeps delivering on its obligations

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Disability	Improves the health and well-being of people who are disabled – enabling them to be an active part of family / community		
Gender reassignment			
Marriage or civil partnership			
Pregnancy or maternity			
Race			
Religion or Belief			
Sex			
Sexual Orientation			
Welsh Language			

40. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance <http://hub/corporatedocs/Democratic%20Services/Safeguarding%20Guidance.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding			
Corporate Parenting			

41. What evidence and data has informed the development of your proposal?

Tracking of unmet need by area and data from our brokerage function as to those hours than cannot be commissioned.

42. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

POSITIVE AIMS

- Promote collaboration with the private care sector
- Will help to meet the care needs of residents, supporting them to stay healthy and well
- Help to service a difficult region of the county
- Can help to promote the care industry as a viable career
- Gives financial stability

43. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress
Set up a performance and evaluation framework	Immediately	<ul style="list-style-type: none"> • Meeting the identified care needs – Monmouth Integrated Service Manager • Meeting the contract requirements of the Commissioner (MCC) - Commissioning 	

44. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

Quarterly performance and evaluation review meeting	Brief provided to Head of Service
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45. VERSION CONTROL: The Future Generations Evaluation should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration



<p>Name of the Officer Tyrone Stokes</p> <p>Phone no: 01633 644589 E-mail: tyronestokes@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>As part of the Authority's MTFP process and in setting an annual budget, we have reviewed all of our current fees & charges and if there is any scope to increase this for 2021/22.</p>
<p>Name of Service</p> <p>Finance</p>	<p>Date Future Generations Evaluation form completed</p> <p>10th December 2020</p>



NB. Key strategies and documents that may help you identify your contribution to the wellbeing goals and sustainable development principles include: Single Integrated Plan, Continuance Agreement, Improvement Plan, Local Development Plan, People Strategy, Asset Management Plan, Green Infrastructure SPG, Welsh Language Standards, etc



46. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.


Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs	Allows for the fees and charges we levy to be uplifted to reflect current prices, or for means tested services, to only pay for what they can afford, in line with benefits and pensions predicted uplift	Ensure the SSWB Act charging legislation is adhered too, so service users are means tested to determine their ability to pay.
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	N/A	N/A
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	N/A	N/A
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	N/A	N/A
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Adhere to the charging legislation of the Act will mean a fairer and consistent charging for services across Wales	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and	N/A	

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
protected. People are encouraged to do sport, art and recreation		
A more equal Wales People can fulfil their potential no matter what their background or circumstances	N/A	

47. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>When reviewing what fees & charges to uplift we have considered this in decided which ones to increase or not</p>	
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	N/A	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>N/A</p>	
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>N/A</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>	N/A	

48. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below. For more detailed information on the protected characteristics, the Equality Act 2010 and the Welsh Language Standards that apply to Monmouthshire Council please follow this link: <http://hub/corporatedocs/Equalities/Forms/AllItems.aspx> or contact Alan Burkitt on 01633 644010 or alanburkitt@monmouthshire.gov.uk

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	N/A	N/A	
Disability	N/A	N/A	

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Gender reassignment	N/A	N/A	
Marriage or civil partnership	N/A	N/A	
Pregnancy or maternity	N/A	N/A	
Race	N/A	N/A	
Religion or Belief	N/A	N/A	
Sex	N/A	N/A	
Sexual Orientation	N/A	N/A	
Welsh Language	N/A	N/A	

49. Council has agreed the need to consider the impact its decisions has on important responsibilities of Corporate Parenting and safeguarding. Are your proposals going to affect either of these responsibilities? For more information please see the guidance <http://hub/corporatedocs/Democratic%20Services/Safeguarding%20Guidance.docx> and for more on Monmouthshire's Corporate Parenting Strategy see <http://hub/corporatedocs/SitePages/Corporate%20Parenting%20Strategy.aspx>

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	N/A	N/A	
Corporate Parenting	N/A		

50. What evidence and data has informed the development of your proposal?

Proposed increases by Department of Works and Pensions on benefits and State Retirement Pension uplifts and Consumer Prices Index as at September 2019.

51. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

- **Positive impact will be ensuring we at least keep in line with inflation for non means tested charges where applicable**
- **Negative impact – for those charges that are means tested some people who have the ability to pay more will do. As the ability to pay is means tested a service user will not pay more than they can afford.**

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52. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible	Progress
Inform service users affected for means tested fees and charges	Following consultation and agreement through the budget setting process	SCH Finance Manager	On target
Non means tested fees & charges	Following consultation and agreement through the budget setting process	Individual budget managers	On target

53. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on: 16 th June 2021	SCH DMT
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54. VERSION CONTROL: The Future Generations Evaluation should be used at the earliest stages of decision making, and then honed and refined throughout the decision making process. It is important to keep a record of this process so that we can demonstrate how we have considered and built in sustainable development wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1	<i>Head of Service</i>	5 th November 2020	



<p>Name of the Officer Carl Touhig Phone no: 01633875845 E-mail: carltouhig@monmouthshire.gov</p>	<p>Please give a brief description of the aims of the proposal</p> <p>Reduction of mini sweeper from South of County. Currently there are four mini-sweepers across the county that service our main towns and villages. This would see the reduction of one of those sweepers from south of the county and associated reduction in staffing numbers. The post in the south of the county is currently vacant and this would result in the other sweeper being used to optimum levels during winter, spring and summer and hiring in an additional sweeper during leaf fall.</p> <p>A restructure of neighbourhood services in 2019/2020 provided a greater focus on cleansing and this was bolstered in the south of the County with the introduction of a Chepstow Town Team which is funded by Chepstow Town Council.</p> <p>We have not seen a corresponding decrease in Local Environmental Audit Management Systems (LEAMS) results with only one sweeper working to optimum levels during the summer but recognize this may also be a result of less footfall and traffic due to pandemic.</p>
<p>Name of Service area</p> <p>Neighbourhood Services</p>	<p>Date 09/01/21</p>

55. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	N/a	Litter impacts all age groups and can create a sense that an area is unsafe.	The impact of using only one sweeper to optimal levels has not seen a decrease in the LEAMS results in the south of the county.
Disability	N/A		
Gender reassignment	N/A		
Marriage or civil partnership	N/A		
Pregnancy or maternity	N/A		
Race	N/A		
Religion or Belief	N/A		
Sex	N/A		
Sexual Orientation	N/A		
Welsh Language	N/A		




Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Poverty	Litter does have an adverse impact on all society but can be particularly problematic in areas of low income as it can affect inward investment.	Increases in litter can impact on peoples well-being and sense of community, it can also impact negatively on biodiversity.	The LEAMS data does not show any increases in litter accumulations.



56. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs	Litter can negatively impact opportunities for inward investments but there has been no decrease in LEAMS scores since optimizing use of one of the two mechanical sweepers servicing the south of the County.	The restructure allowed a greater focus on litter removal and education and in 2020 we have increased educational messaging. We will continue to monitor the situation through LEAMS and will continue to educate residents and visitors about litter.
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	Litter can impact on biodiversity and large accumulations can impact on water courses and drainage.	As above – the public have become more appreciative of their local environment during the pandemic and we will continue to link high quality local environment and litter reduction campaigns.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	N/A	
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Litter can impact on peoples well-being and the perception of crime and fear of crime is negatively affected in areas with high prevalence of litter accumulations	As above
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Wales is leading the way on recycling, it is anticipated that the introduction of Deposit Return Schemes will further reduce litter.	As above
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	N/A	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	Litter can impact negatively on poorer communities but the increased focus on litter and litter campaigns there has been no decrease in LEAMS scores during 2020	As above

57. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>Over the summer we saw no decrease in the LEAMS results whilst optimizing one vehicle, long term we hope to see a reduction in litter with a strong anti-litter campaign being supported by a new appreciation of the local environment.</p>	<p>Hiring a vehicle during leaf fall will help ensure drains and watercourses do not become blocked with detritus. Ideally we would monitor this for a full year prior to removing the sweeper but this will not allow a full year saving.</p>
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>Working closely with Keep Wales Tidy to reduce litter and improve the local environment. Supporting Litter groups and Litter Champions across the county.</p>	<p>The deposit return scheme is likely to reduce litter further. Closures of drive through food and drinks outlets during the first lockdown saw a significant reduction in litter, working closely with these outlets to improve litter messaging is key.</p>
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>The reduction of one sweeper and optimization of single sweeper in South of the county did not result in any negative impact on LEAMS scores during the summer of 2020.</p>	<p>Work closely with litter champions to monitor known grotspots.</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>This is a reduction of resources based on evidence gathered over the summer of 2020. In removing the sweeper and member of staff for budget savings it is not possible to resource further.</p>	<p>N/A</p>
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>Litter can have a negative impact on well-being, biodiversity and economic growth. The results of the trial during the summer have shown no negative impact.</p>	<p>N/A</p>

58. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Social Justice, Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Social Justice	N/A		
Safeguarding	N/A		
Corporate Parenting	N/A		

59. What evidence and data has informed the development of your proposal?

During the summer of 2020 with lower staff availability due to Covid 19 and following a restructure of cleansing to give a greater focus on proactive cleansing, a trial that optimized the use of one mechanical sweeper in south of county was implemented. This trial saw no reduction in LEAMS scores, cleanliness ratings remained static and there was no increase in complaints regarding litter. It is difficult to evidence if this is the result of a focused pro=active cleansing regime, increased litter campaigning, a new public appreciation of the local environment, reduced footfall or a combination of all. Ideally the trial would be extended into spring and summer 2021 but this would not allow a full year saving to be achieved. We will continue to monitor the situation through the winter 2020.

60. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

.A budget saving is the only positive impact. An increase in litter as we leave lockdowns could impact negatively and result in budget pressures in 2021/22 and beyond. The additional vehicle has been used extensively during the autumn and early winter to support removal of detritus and debris caused by Storm Bella, reducing this capacity may result in additional hire costs in future years.

61. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible
Continue to monitor LEAMS, vehicle usage and complaints	Winter 2020	Carl Touhig

62. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1	First draft of budget savings proposals	January 2021	



<p>Name of the Officer completing the evaluation Tracey Thomas</p> <p>Phone no: 07818 016924 E-mail: traceythomas@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>To delete the post of Weddings, Conference and Activities Coordinator from the heritage attractions group of services within MonLife.</p>
<p>Name of Service area</p> <p>MonLife</p>	<p>Date</p> <p>24/09/2020</p>

63. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	Neutral	Neutral	Neutral
Disability	Neutral	Neutral	Neutral
Gender reassignment	Neutral	Neutral	Neutral




Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Marriage or civil partnership	Neutral	Neutral	Neutral
Pregnancy or maternity	Neutral	Neutral	Neutral
Race	Neutral	Neutral	Neutral
Religion or Belief	Neutral	Neutral	Neutral
Sex	Neutral	Neutral	Neutral
Sexual Orientation	Neutral	Neutral	Neutral
Welsh Language	Neutral	Neutral	Neutral
Poverty	Neutral	Neutral	Neutral



64. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>The market for events and weddings has become diluted with more provisions across Monmouthshire competing for the same audience. This has meant a decline in our bookings across the attractions in particular in the wedding arena.</p> <p>Whilst bookings for events and weddings will still be taken, this can be done site specifically and make efficient use of existing resources and roles which can deal with enquires and bookings that are bespoke to their venues making service more efficient for customers</p>	<p>Attractions will continue to offer facilities for weddings and events and ensure excellent customer service and positive outcomes for the hirer and visitors who attend. Training for staff and utilising the current skills set of team members</p>
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>	<p>Neutral</p>	<p>Neutral</p>
<p>A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood</p>	<p>Neutral</p>	<p>Neutral</p>
<p>A Wales of cohesive communities Communities are attractive, viable, safe and well connected</p>	<p>Neutral - the attractions sites will continue to offer excellent, safe provisions to hire for events and weddings.</p>	<p>Clear communication and marketing of provisions will ensure continued offer of suitable venues for events and wedding hire.</p>
<p>A globally responsible Wales</p>	<p>Neutral</p>	<p>Neutral</p>

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
Taking account of impact on global well-being when considering local social, economic and environmental wellbeing		
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	Neutral	Neutral
A more equal Wales People can fulfil their potential no matter what their background or circumstances	Existing staff members have the skills and knowledge to deliver an excellent service to customers thus fulfilling their potential	Creating opportunities for staff members to take responsibility for events, weddings and activities that will be bespoke to their venue

65. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term future</p> <p>Balancing short term need with long term and planning for the future</p>	<p>A re-purposing of the heritage attractions sites have established clear priorities, and will be a part of the bigger review for cultural services in MonLife with shared aims and long term intentions. Individual sites can offer a bespoke service to enquiries leading to greater customer satisfaction.</p>	
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>Where expertise is required for events, weddings and activities we will discuss with our partners who have expertise in the field we require.</p>	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>We have consulted with those staff effected by the deletion of this post</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Prevention preventing problems occurring or getting worse</p> <p>Putting resources into</p>	<p>This is a preventative approach and recognises the invaluable role of our existing team members, whilst supporting more opportunities for income generation through other avenues. We are taking a proactive approach with our heritage attractions team and enabling them to create new and tailored opportunities for our visitors.</p>	
 <p>Integration Considering impact on all wellbeing goals together and on other bodies</p>	<p>The heritage attractions are embedded within MonLife and are working closely with museums on a Heritage Strategy which will</p> <p>Enabling staff to have the autonomy and freedom to create new business and deal directly with customers will allow staff to develop their skills and knowledge and thus feeling valued and Increase the wellbeing of staff on sites.</p>	

66. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Social Justice, Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Social Justice	Neutral	Neutral	Neutral
Safeguarding	We will ensure safeguarding is at the forefront of all events and activities planned plans with the relevant documentation, systems and procedures and levels of training in place for all staff.	Neutral	Neutral
Corporate Parenting	Neutral	Neutral	Neutral

67. What evidence and data has informed the development of your proposal?

The current climate is changing and many events, weddings and activities are being sought in different venues; limited numbers allowed due to current covid restrictions; heritage attractions are weather dependent and have no large undercover areas which reduces custom and the length of season for outside events; The repurposing of heritage attractions and how future events, weddings and activities are engaged, will see the current team members being able to deal directly with customers.

68. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

The deletion of the post will not impact on events, weddings and activity bookings as current staff can deal with all enquiries and have the skills required to support customers and ensure their experience is of a high standard.

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69. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible

70. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1	Proposal to budget savings		



Future Generations Evaluation (includes Equalities and Sustainability Impact Assessments)

<p>Name of the Officer completing the evaluation Tracey Thomas</p> <p>Phone no: 07818 016924 E-mail: traceythomas@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>To introduce car parking charges at Caldicot Countrypark to support ongoing maintenance and improvements to the site.</p>
<p>Name of Service area</p> <p>MonLife</p>	<p>Date</p> <p>05/10/2020</p>

71. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	Neutral	Neutral	Neutral
Disability	Dedicated disabled parking bays as part of the car parking marking	n/a	Disabled bays will be accessible for easy entrance into the countypark and castle
Gender reassignment	Neutral	Neutral	Neutral


Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Marriage or civil partnership	Neutral	Neutral	Neutral
Pregnancy or maternity	Neutral	Neutral	Neutral
Race	Neutral	Neutral	Neutral
Religion or Belief	Neutral	Neutral	Neutral
Sex	Neutral	Neutral	Neutral
Sexual Orientation	Neutral	Neutral	Neutral
Welsh Language	Neutral	Neutral	Neutral
Poverty		Small minority may not be able to afford the charge	Seasonal pass for regular users will be available for low cost purchase




72. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!


Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs	Introduction of car parking charges will initially enable the clear marking of spaces and accessible charging point for electric cars. The long term income generated will enable more resources and improvements to be made to the country park for visitors and locals.	
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)	Electric car charging station will be more accessible;	
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	In order not to deter regular users a discounted season ticket will be available for those community members who regularly use the country park. Parking will only be charge during opening hours of 10am -5pm.	Alongside this proposal the proposed active travel improvements to Church Road and through the country park will encourage walking and cycling and reduced car usage
A Wales of cohesive communities Communities are attractive, viable, safe and well connected		
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing		
A Wales of vibrant culture and thriving Welsh language		

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation		
A more equal Wales People can fulfil their potential no matter what their background or circumstances		

73. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term future</p> <p>Balancing short term need with long term and planning for the</p>	<p>Introduction of car parking charges will initially enable the clear marking of spaces and accessible charging point for electric cars. The long term income generated will enable more resources and improvements to be made to the country park for visitors and locals.</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Collaboration Working together with other partners to deliver objectives</p>		
 <p>Involvement Involving those with an interest and seeking their views</p>	<p>Initial consultation has taken place with staff and verbal questioning of visitors. A more in depth consultation will need to take place.</p>	
 <p>Prevention preventing problems occurring or getting worse</p>	<p>Long term the site needs investment and the income generated from the car parking charges will go towards achieving improved facilities for customers and local residents</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>		

74. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Social Justice, Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Social Justice	Neutral	Neutral	Neutral
Safeguarding	Neutral	Neutral	Neutral

Corporate Parenting	Neutral	Neutral	Neutral
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75. What evidence and data has informed the development of your proposal?

The Countrypark is a regular visitor attraction for 12 months of the year and on average receives 40,000 cars over this period. Most attraction sites across Wales charge for car parking. The attraction / site is usually free or a nominal charge levied for entrance. The site is in need of long term investment and having a charge on car parking will enable an income to be available to assist in the up keep and improve facilities for visitors. Our sister site at Old Station has an established parking charge for visitors and contributes a regular income to support the upkeep of the site.

76. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

An opportunity to create a steady income stream that will contribute to the upkeep and improvements of the countrypark.
To ensure all local community members are able to purchase season tickets at reduced rates or park free before 10am or after 5pm.

77. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible
Consultation with those impacted by introducing charges	November/December 2020	Tracey Thomas

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78. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1	Proposal to budget savings		



Future Generations Evaluation (Includes Equalities and Sustainability Impact Assessments)

<p>Name of the Officer completing the evaluation</p> <p>Jonathan Davies Dave Loder</p> <p>Phone no: 01633 644114 E-mail: jonathandavies2@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>As part of the Authority's MTFP process and in setting an annual budget, we have reviewed all of our current fees & charges and if there is any scope to increase this for 2021/22.</p> <p>Full details of all proposals can be found under Saving mandate ENT0004 Fees and Charges (inc associated spreadsheet)</p>
<p>Name of Service area</p> <p>Enterprise, Monlife</p>	<p>Date</p> <p>12th January 2021</p>

79. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	Maintaining a service that provides access to outdoor educational visits	Raising the cost of cemetery fees may have a disproportionate impact on those above the age of 18 who will incur the additional costs.	<p>If a family cannot afford to pay for a burial they may be entitled to assistance in the form of a S46 burial. A local authority has a responsibility to organise a S46 funeral where</p> <ol style="list-style-type: none"> 1. no funeral arrangements have been made 2. no relatives of the deceased can be found, or 3. the relatives of the deceased cannot or will not arrange a funeral <p>The Local Authority however will be entitled to recover the costs of the funeral from the deceased estate</p>
Disability	<p>Both the Careline Alarms and installation charges are remaining fixed for 2021/22 and are not being increased in line with inflation.</p> <p>The Disabled Facility Grant administration fee remains fixed for 2021/22.</p>	N/A	Ensuring that the Careline service continues to be offered to those who require it.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Gender reassignment			
Marriage or civil partnership			
Pregnancy or maternity			
Race			
Religion or Belief			
Sex			
Sexual Orientation			
Welsh Language			All signage and material arising from budget proposals will be compliant with the Welsh Language measure 2011


Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Poverty	<p>Although Poverty isn't a protected characteristic, it is important to assess and understand the impact of our proposals on those in poverty, especially if there is a cumulative impact from a number of proposals. This is in line with our Social Justice policy.</p> <p>Freezing school meal charges will have a more significant impact on those on lower incomes.</p>	Increases in cemetery fees will have a disproportionate impact on those on lower incomes.	The Local Authority will undertake a S46 funeral where the family is unable or unwilling to organise the funeral, but the costs can be recoverable from the deceased estate.




80. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!


Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>Allows for the fees and charges we levy to be uplifted to reflect current price of goods, services and works.</p>	<p>The full range of increased fees and charges incorporated within this proposal will be subject to full engagement and consultation with the community and elected members of the authority prior to being considered for inclusion in the 21/22 budget.</p>
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>		
<p>A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood</p>	<p>Uplift in fees and charges allows resources to be allocated to priority areas across the authority such as social care and education.</p> <p>Freezing school meals charges enables us to provide a service that focuses on providing nutritional meals to young people that supports their physical wellbeing and health.</p>	<p>The full range of increased fees and charges incorporated within this proposal will be subject to full engagement and consultation with the community and elected members of the authority prior to being considered for inclusion in the 21/22 budget.</p>
<p>A Wales of cohesive communities Communities are attractive, viable, safe and well connected</p>		
<p>A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing</p>	<p>Adhere to the charging legislation of the Act will mean a fairer and consistent charging for services across Wales.</p>	<p>As above</p>

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation		
A more equal Wales People can fulfil their potential no matter what their background or circumstances		

81. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>Increases in fees and charges have been considered in the context of whole life cost analysis over the long-term in order to ensure sustainable and cost effective service delivery now and in the future.</p>	<p>Mitigating arrangements are in place to minimize the impact of increased fees of charges on people on low incomes.</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>Fee increases are considered in conjunction with opportunities to deliver services more efficiently in collaboration with existing and new partners.</p>	<p>Consultation and engagement with communities and elected members of proposed increases as part of MCC 21/22 budget setting process.</p>
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>These proposals will form part of the budget exercise and will be subject to a wider public consultation exercise. This will include sessions with existing groups such as the Access for All forum that represents people with disabilities.</p>	<p>Ensure that proposals and the accompanying Future Generations evaluations are used during, and updated as a result of, consultation and engagement.</p>
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>Proposed fee increases enable priority services across the authority to receive additional financial support for pre-emptive services to be delivered that help reduce demand for costly provision in the future.</p>	<p>Consultation and engagement with communities and elected members of proposed increases as part of MCC 21/22 budget setting process.</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>The proposal will generate additional revenue and ultimately support the economy of Monmouthshire.</p>	<p>Consultation and engagement with communities and elected members of proposed increases as part of MCC 21/22 budget setting process.</p>

82. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Social Justice, Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Social Justice	<p>Social justice is about reducing inequalities in society by working towards more equal distribution of wealth and opportunities so everyone can achieve their full potential. Increasing charges enables the Authority to maintain services that are accessible to all.</p>	<p>There is a risk that any budget proposals that increase costs will have a disproportionate impact on people on low incomes and therefore will widen inequality.</p>	<p>The council is committed to aligning evidence based policy, programmes of work and resources with the aim of supporting people and communities to fulfil their potential and live the lives they want to live. Mitigation is in place to reduce the financial burden on people who can least afford it.</p>

Safeguarding	There are no specific positive impacts identified at this stage	There are no specific negative impacts identified at this stage	Safeguarding is at the heart of everything the council does. All staff are trained to a level that is appropriate to their role.
Corporate Parenting	There are no specific positive impacts identified at this stage	There are no specific positive impacts identified at this stage	

83. What evidence and data has informed the development of your proposal?

Review of competitors charges
Review of practices within other public sector organisations
Current spend and income data
Feedback from Select Committees, SLT and Cabinet

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84. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

. These will be added following the budget consultation.

85. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible
The assessment will continue to be updated as individual budget proposals are developed and shaped by consultation.	As part of budget consultation	

86. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1.0	Cabinet	20/01/2021	



<p>Name of the Officer completing the evaluation Debra Hill-Howells</p> <p>Phone no: 01633644281 E-mail: debrahill-howells@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>To make revenue savings on the management of County Hall and Innovation House</p>
<p>Name of Service area</p> <p>Landlord Services</p>	<p>Date 8th January 2021</p>

87. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	None	None	
Disability	None	None	
Gender reassignment	None	None	




Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Marriage or civil partnership	None	None	
Pregnancy or maternity	None	None	
Race	None	None	
Religion or Belief	None	None	
Sex	None	None	
Sexual Orientation	None	None	
Welsh Language	None	None	
Poverty	None	None	



88. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>The proposal seeks to recover efficiency savings arising from reduced utility costs of occupying these buildings. These savings have arisen as a result of the adoption of Teams and digital working to respond to the pandemic and it is anticipated that this new way of working will continue beyond the pandemic.</p>	
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>	<p>Digital working will reduce our carbon footprint as colleagues are able to work remotely, in addition reduced occupation results in reduced demand for utilities within our accommodation (electricity, gas, water, telephony etc)</p>	
<p>A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood</p>	<p>Being able to work remotely removes the need for daily commutes and therefore supports colleagues in achieving a more healthy work life balance</p>	<p>Not all colleagues are able to easily separate their working and home life and are working increased hours as a result of the shift to digital working. HR and manager guidance has been put in place to support colleagues in addressing this. Chairs, laptops and screens have been</p>

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
		made available to all staff requiring them to assist with remote working.
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	If colleagues are able to work remotely they have the ability to spend more time in their local communities	
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Reducing the consumption of energy and utilities. Electricity supply is currently 99% green.	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	N/A	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	N/A	

89. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>Reducing utilities consumption will have a short term financial gain and a longer term resources gain. Reducing carbon footprint will also have a positive impact.</p>	
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>This is an inward facing mandate so no collaboration has been undertaken.</p>	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>This mandate is concerned with reducing utilities consumption through changing the way we work. Staff engagement has been undertaken through a questionnaire and communication is maintained through the Digital Cwth, Managers Q & A's and the SupportAll.</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>Resources have already been expended on providing colleagues with the tools to be able to work remotely and this support will be on-going.</p>	
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>Reducing occupancy and in turn occupancy costs through digital working will have a largely positive impact on resources and the well-being goals.</p>	<p>Some colleagues will be unable to work remotely, hence office accommodation will continue to be available as will support for mental health issues etc.</p>

90. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Social Justice, Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Social Justice	Enables colleagues to have better work life balance as daily commutes can be avoided, also increasing productivity. Colleagues are able to participate more in their local communities.	Remote working does have the potential to increase loneliness and create mental health issues. Digital working is not available for front line staff which can cause inequities.	A package of support is available.
Safeguarding	No impact	.No impact	
Corporate Parenting	No impact	No impact	

91. What evidence and data has informed the development of your proposal?

Changing Spaces project – including feedback from staff questionnaire
 Research into current market practices and predictions for future ways of working
 Actual occupation costs 20/21

92. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

.The proposal seeks to recover occupation savings arising out of the changes to the way that we work, which are predicted to continue post pandemic. The changes to the way that we work can have both a positive and negative impact on colleagues and this will need to be managed by Managers. There are positive implications for the environment by encouraging colleagues to work remotely.

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93. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible
The Changing Spaces project is ongoing and is wider than accommodation as it also considers HR, culture and IT. This project reports into SLT.	On-going	Changing spaces project group

94. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration



Future Generations Evaluation (includes Equalities and Sustainability Impact Assessments)

<p>Name of the Officer completing the evaluation Debra Hill-Howells</p> <p>Phone no: 01633644281 E-mail: debrahill-howells@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>Budget Mandate – recover revenue savings through mileage expenses for business travel.</p>
<p>Name of Service area</p> <p>Fleet</p>	<p>Date 8th January 2021</p>

95. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	None	None	
Disability	None	None	
Gender reassignment	None	None	




Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Marriage or civil partnership	None	None	
Pregnancy or maternity	None	None	
Race	None	None	
Religion or Belief	None	None	
Sex	None	None	
Sexual Orientation	None	None	
Welsh Language	None	None	
Poverty	None	None	



96. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>The proposal seeks to recover efficiency savings arising from the reduction in business travel due to the increased use of digital working, this will include in particular travelling between sites to attend meetings. This will reduce our carbon footprint and increase productivity due to the loss of travelling times.</p>	<p>Where business journeys remain essential, hybrid and electric pool vehicles will be provided to reduce carbon emissions and costs.</p>
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>	<p>Reduced business mileage will result in reduced carbon emissions. The provision of an electric and hybrid fleet will be also reduce emissions from essential journeys.</p>	<p>Currently there is insufficient EV charging infrastructure which is being addressed through separate projects.</p>
<p>A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood</p>	<p>Reducing the need to travel to attend meetings enables colleagues to be more productive and capitalize on the opportunities on remote working to enjoy a better work life balance.</p>	
<p>A Wales of cohesive communities Communities are attractive, viable, safe and well connected</p>	<p>If colleagues are able to work remotely they have the ability to spend more time in their local communities</p>	

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	Reducing our vehicle emissions and carbon footprint will have a wider global impact and support our climate emergency agenda	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	N/A	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	N/A	

97. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>Reducing the need for business travel is achievable through the digital working solutions that have been put in place during the pandemic. Reducing journeys will reduce carbon emissions, decrease our reliance on our grey fleet and fossil fuels. Colleagues will need to be supported through this transition which forms part of the Changing Spaces project</p>	<p>Increased EV charging infrastructure and where required additional hybrid and EV pool fleet in appropriate locations.</p>
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>EV charging infrastructure forms one of the workstreams on the Climate Change working group that is made up of representatives from community groups and NGO's</p>	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>Where possible fleet colleagues will work with service leads to ensure that the appropriate pool vehicles are made available in the correct locations. Views on remote working were sought through a staff survey and the response was largely positive.</p>	<p>Ensure that all colleagues have the right tools to work remotely and for those front line services effective route planning is undertaken and EV/hybrid vehicles are made available.</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>Resources have already been expended on providing colleagues with the tools to be able to work remotely and this support will be on-going.</p>	<p>EV charging infrastructure needs to be implemented</p>
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>Reducing business journeys through digital working will have a largely positive impact on carbon reduction and the well-being goals.</p>	<p>Some colleagues will be unable to work remotely, hence appropriate pool vehicles will be made available.</p>

98. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Social Justice, Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Social Justice	No impact	Colleagues who have previously used their own vehicles will need to travel to a location to collect a pool vehicle, which they may find less convenient.	Work with service leads to ensure vehicles will be located where possible at convenient locations for colleagues.
Safeguarding	No impact	.No impact	
Corporate Parenting	No impact	No impact	

99. What evidence and data has informed the development of your proposal?

Changing Spaces project – including feedback from staff questionnaire
 Research into current market practices and predictions for future ways of working
 Actual mileage claims in 20/21

100. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

.The proposal seeks to recover revenue savings arising out of reducing business mileage travel through increased use of digital technology. It is recognized that the roll out of electric vehicles is constrained by the existing charging infrastructure which may act as a short term barrier to our ambitions. We are proposing to

work with the Welsh Government energy service and CCCR to adopt common approaches in solving this problem. In the interim we will continue to use hybrid vehicles where the infrastructure is not in place or there are a lack of suitable electric vehicles due to concerns over range etc.

101. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible
The Climate Change working group has a strand on ev charging and bids are being made to support this work	On-going	

102. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration

Appendix 4 – Cumulative WFGE Impact Assessment

Evaluating the Potential Impact of the 2021/22 Budget Proposals

Introduction

Monmouthshire receives the lowest funding per head of population of any local authority in Wales. This means that a higher proportion of the income we need to generate to provide services needs to come from council tax and charges for services. In 2020/21 our budgeted gross expenditure is the lowest per head of population of any Council in Wales at £2,039¹. The Council has worked hard to make sure this money goes where it matters.

Over the last 4 years we have adopted savings proposals totalling £22.0 million and have needed to find additional money to meet demands and pressures on services for example services for children who are looked after. After several years of delivering significant savings from the budget, the means of achieving further reductions becomes increasingly more challenging.

Over the past year, the Council has faced significant and unprecedented challenges, notably the flood response and recovery in February 2020, and the COVID-19 pandemic and lockdown restrictions implemented since March 2020, with uncertainty continuing. We are continually working to understand the financial circumstances and challenges resulting from the pandemic.

The draft Welsh Government budget shows that the Council is due to receive a 3.9% increase in its core funding in 2021/22, marginally above of the 3.8% average for Wales. This goes some way to giving some additional flexibility to respond to the pressure on Council finances and the choices it makes when setting the budget for next year.

The authority has always sought to preserve local service delivery in the face of budget pressures. We know how important many of the things we do are to the people who live in our communities and have worked hard to maintain the things that matter by reducing the amount we spend on things like buildings and energy costs.

We recognise that when we increase charges and put up Council Tax it can have a detrimental impact on those who can least afford it, this does not just mean those who are unemployed, many people experience in-work poverty while others are impacted upon by disability or other protected characteristics that affect their opportunities. Also, through the past year there is evidence the coronavirus and lockdown measures could have a disproportionately negative impact on the well-being of some sections of our communities.

Whenever we introduce changes to policy or increase charges, we evaluate the impact of these upon different groups. Our commitment to social justice means that we also look at the potential impact on those in poverty. This approach continues to be developed in line with new socio-economic duty, due to commence in Wales on 31st March 2021, with aim of the assessing the impact on those experiencing socio-economic disadvantage.

Where a budget proposal could alter a service, or the way it is delivered in 2021/22 an Equalities and Future Generations Evaluation assessment of its potential impact has been completed. This assesses its potential impact on the national well-being goals and the ways of working enshrined in the Well-being of Future Generations Act and also the

people and groups who possess the protected characteristics specified as part of our duty under the Equality Act 2010.

This document summarises the headline message from these assessments. The table below shows a summary of these main impacts while an overview of the messages from these is included as appendix 1. The summary does not highlight every single issue, but reveals some of the key impacts of budget proposals and provide scope for continual learning and improvement as proposals are developed.

The document has also drawn on an initial analysis of the cumulative financial impact of the budget proposals on households with different income levels and groups with protected characteristics as defined by the Equality Act 2010.

This evaluation is an early one, applying to budget proposals only at this pre-consultation, pre-decision stage. Open and robust scrutiny and challenge is essential as the proposals continue to be shaped in line with the priorities in our corporate plan and the issues that matter most to our communities. This analysis will continue to evolve and be updated throughout public consultation in January and February 2021 and will be built upon following public engagement and scrutiny.

	Age	Disability	Gender Re-assignment	Marriage or civil partnership	Pregnancy and Maternity	Race	Religion or Belief	Sex	Sexual Orientation	Welsh Language	Socio-Economic	Safeguarding	Sustainable Development	National Well-being goals
Social Care and Health fees and charges increases (SCH001)	Amber	Amber									Green			Green
Cultural and Leisure service fees and charges increases (CEO004)											Red			Amber
Streetworks fees and charges increases (CEO004)														Amber
Introduce car parking charges at Caldicot Castle (ENT003)											Amber			Amber
Increased funding for pupils with additional needs (CYP)	Green	Green												Green
Increased funding for children's social care (SCH)	Green	Green										Green		Green
Investment in care packages in the Usk area (SCH)	Green	Green												Green
Investment in Homelessness services(PENT0012)											Green			Green
Mileage savings (RES003)													Green	Green
Council Tax Increase											Red			

Key

- Red – negative impact on this category that is difficult to overcome with mitigating actions
- Amber – some potential negative impact which is lower risk or can be managed with mitigation
- Green – impact is largely positive
- White – no impact has been identified at this stage

Our Corporate Plan objectives and strategic aims

Our purpose set in our Corporate Plan remains one of *building sustainable and resilient communities that can support the wellbeing of current and future generations*. We share this core purpose with our Public Service Board and it is our guiding force in working towards the seven national Well-being Goals.

The five organisational goals described in the Corporate Plan incorporate the council's well-being objectives but go further in reflecting the need for a deeper organisational and council business focus. Setting our goals in this plan and the actions necessary to deliver on them enables us to identify the future we want.

The goals are:

- Giving people the best possible start in life
- Enable thriving and well-connected county
- Maximising the potential of the natural and built environment
- Lifelong well-being
- A future focused council

The council's strong record of delivery within a balanced budget has enabled us keep frontline services operating. We are clear that money should follow our core purpose of building sustainable and resilient communities and delivering the well-being objectives in the Corporate Plan.

At the outset of the Coronavirus pandemic Cabinet introduced a revised purpose and new strategic aims for the Council to provide clarity and ensure accountability through this period. The latest iteration was agreed in December 2020 in the Winter Strategy². Delivery of the strategic aims will continue to have significant resource implications, including increased costs to maintain current service delivery and demands in setting up new or amended services. Close financial and budget monitoring continues. A specific action has been set in the strategy on setting a budget for the financial year 2021/22 capable of delivering these priorities.

We continue to develop our Medium Term Financial Plan to support us as far as possible to continue to deliver the aims and aspirations set out in this Corporate Plan and our purpose. While the Council's medium term financial planning has been severely disrupted by the pandemic, we continue to aim to ensure our focus is not only on short-term response, but medium-term recovery and long term sustainability

We recognise this is not without challenges and uncertainty however it will enable us to focus our finite resources on the areas that matter most to people and enable us to build a sustainable service offer for current residents and businesses as well as future generations.

The budget proposals are a broad mix of small adjustments designed to optimise efficiency and larger longer-term proposals. Our Corporate Plan and strategic aims give us the framework to focus on the big challenges but we can never lose sight of the need to spend every pound wisely, nor the reality that the cumulative impact of many small changes can add up to a significant impact on some people within our communities and the need to ensure that there is some degree of mitigation against this for the most vulnerable.

The Legal Context

The Equality Act 2010 came into operation on the 6th April 2011. It replaced 116 previous different pieces of law relating to equality, and put them all together into one piece of legislation. The Act strengthens the law in important ways, and in some respects extends current equality law to help tackle discrimination and inequality.

The Council, as a public body in Wales, has a requirement under the Act to meet both general and specific duties.

The general duties are that in exercising its functions the Council must have due regard to:

- eliminate unlawful discrimination, harassment and victimisation and any other conduct that is prohibited by the Act;
- advance equality of opportunity between people who share a relevant protected characteristic and those who do not;
- foster good relations between people who share a protected characteristic and those who do not;

The Act explains that having due regard for advancing equality involves:

- Removing or minimising disadvantages suffered by people due to their protected characteristics.
- Taking steps to meet the needs of people from protected groups where these are different from other people.
- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

The Protected characteristics are: Age; Sex; Gender re-assignment; Pregnancy and maternity; Sexual orientation; Race; Religion or belief; Marriage and civil partnership.

The Well-being of Future Generations Act creates a legal framework for better decision-making by public bodies in Wales by ensuring that we take account of the long-term, help to prevent problems occurring or getting worse, take an integrated and collaborative approach, and considers and involves people of all ages. This supports existing commitments such as the Welsh language, equalities and the UN Convention on the Rights of the Child.

Together, the seven well-being goals and five ways of working provided by the Act are designed to support and deliver a public service that meets the needs of the present without compromising the ability of future generations to meet their own needs.

Socio-economic impact of the budget

Almost any change to a council service has some socio-economic impact. This is because of the nature of our responsibilities and the extent to which some groups, communities and vulnerable people rely on public services. Our aim is to properly understand this impact so that we can identify appropriate mitigations wherever possible and minimise the impact on people in greatest need.

We provide and help fund a wide-range of services in communities to ensure support for communities. These include:

- Council Tax reduction scheme
- The single person Council Tax discount
- Financial support for Monmouthshire Citizen's Advice Bureau
- Community Connectors to help people to maintain their independence and prevent people becoming dependent on statutory health and social care

Community Hubs that provide advice and also host community learning opportunities including the skills at work programme which aims to upskill those in lower paid jobs to increase their career prospects.

The new socio-economic duty comes into effect on 31st March 2021 placing a duty on councils to consider the need to reduce the inequalities that result from socio-economic disadvantage. The approach taken in this assessment has been developed in line with the duty, to evaluate the potential impact of the 2021-22 budget proposals on those experiencing socio-economic disadvantage and consider how this might help reduce inequalities. We recognise this approach will need to continue to be developed as we further embedded the duty in our processes and practice.

Approach / Methodology

As part of our impact evaluation we have looked to establish the financial impact of proposals on different people within our communities. This paper has been prepared alongside the budget proposals for 2021-22 to assess the cumulative financial impact of the budget. It also brings together the most significant issues identified by the Equality and Future Generations Evaluations completed for each of the proposals to understand whether any groups will experience a detrimental position as a result of the cumulative impact of separate proposals.

When any change is looked at in isolation it may not seem significant but the cumulative impact of multiple changes can sometimes mount up placing pressures on some groups in society

Monmouthshire has adopted the Joseph Rowntree Foundation definition to define poverty 'When a person's resources (mainly their material resources) are not sufficient to meet their minimum needs (including social participation).' and to supplement this with statistical measures of household income and material deprivation. At present, one of the ways of assessing poverty in the UK is the proportion of households where the income is below 60% of the median income.

This assessment identifies areas where there is a risk that changes resulting from individual budget proposals may have a significantly greater impact on particular groups when looked at together with other proposals.

This enables the local authority to identify where we may need to mitigate against negative impacts on certain groups of people. Mitigating actions could include re-shaping services to target them more efficiently and to reduce the potential of disproportionate impacts on groups with protected characteristics as defined by the Equality Act 2010 of those in poverty.

This is a dynamic process, and this assessment will continue to be reviewed as individual budget proposals are developed and any further mitigating actions will need to be considered.

The table shown as appendix one provides a simple overview where proposals have been identified as having a positive or negative impact on those with protected characteristics, those in poverty, safeguarding and the ways of working and national well-being goals

The Impact and Mitigation

Disability

The definition of disability is when a person has a physical or mental impairment which has a long term adverse effect on that person's ability to carry out day to day activities.

There are increases in fees for social care services, both residential and non-residential. There is a cap on fees for domiciliary care. These services will be received by proportionately more people with disabilities although there are means testing and caps on charges that limit the impact on those on the lowest incomes.

Age

Older people – People in later life may be more likely to use some council services as they are more likely to acquire a disability and so may be more vulnerable than the general population to changes in those services. This impact will be worsened for those on low incomes. Below is a summary of the main proposals that may impact on some older people.

Charges for domiciliary care have increased from £14.29 to £14.64 per hour. These are capped at £100 per week in Wales. However, as these services are means tested only those who are assessed as being able to afford this will pay.

There have also been increases in fees for local authority run residential care from £557.92 to £571.82. This will impact on proportionately more older people but these are means tested and so the impact on those on the lowest incomes will be mitigated.

The contract to specifically address the unmet care needs in the Usk region will ensure the care needs of our older population are catered for.

Children and Young People – Around 14% of children in Monmouthshire live in poverty and this figure rises to 29% in the least well-off wards³. Continued economic and social pressures on families are likely to put increased pressure on some families.

Proposals to manage budget pressure within Children's Services will help ensure the service is adequately funded to support the needs of its looked after Children.

Increased funding for pupils with additional needs will help meet pressures in demand for support for pupils.

Other protected characteristics

There is very limited reference to some of the protected characteristics within the individual assessments that have been developed alongside the budget proposals, in particular:

Marriage and civil partnership and pregnancy and maternity are essentially work place regulations. Sex (gender), race, gender reassignment, sexual orientation, religion and belief also have limited references attributed to them and this may be for a two reasons:

- because these groups are not affected by the proposals or
- because we have gaps in our information due to people perceiving that the characteristic is of a personal and sensitive nature and are therefore unwilling to respond.

We welcome any views on the impacts of our proposals on these protected groups as part of our consultation on the budget and will continue to look at national information and relevant studies to improve our knowledge and understanding of how changes can adversely impact on these groups.

The authority's approach to car parking charges is currently being reviewed.

Socio-economic Impact

Any increase in fees and charges for services will have a higher impact on households on the lowest incomes. 9,076 households in Monmouthshire live on below 60% of the GB median income and 10% of people live in households in material deprivation.

We will continue to work to use local data to gain a better understanding of poverty locally to inform future versions of this analysis and use this understanding to identify any mitigations that can be applied to lessen the impact.

The proposed council tax increase of 4.95% will result in an additional monthly cost of £6.82 on a Band D property.⁴ This will impact on all groups, while this modelling has been based on a Band D property those with higher incomes typically live in larger properties and therefore will pay higher council tax. However it is acknowledged that some people may have a large house and low income. This can often be true of older people. Mitigations such as the Council Tax reduction scheme are in place.

All residents will also be impacted upon by inflation which will result in higher prices, the rate of inflation is presently 0.6%⁵. The extent to which higher prices are off-set by wage rises will vary by household and is not included within this assessment, nor is any impact on prices or incomes that could arise following the UK's exit from the European Union. As part of the Council's continued planning consideration will need to be given to the economic impact of the coronavirus pandemic in Monmouthshire on businesses, jobs and wage levels.

Mitigation

Charges for social services are linked to peoples' ability to pay and service users will be required to undergo a means tested assessment of their financial ability to meet a reasonable charge calculated for these services.

The Council Tax reduction scheme offers some mitigation, council tax is means tested and those in receipt of universal credit, pension credits, job-seekers allowance and other benefits are able to apply for a reduction. Single person households are eligible for a 25% reduction on council tax.

There will be a range of additional mitigations that are not fully modelled here, further detail will be contained in individual Equality and Future Generation evaluations completed on proposals.

The Cumulative Financial Impact

The impact below has been modelled on some of the planned increases in fees and charges.

A household with an income of £16,000 per year, with two children would see their costs rise by £104.12 per year or £2.00 per week, if they paid for an increase in children swimming lessons, a garden waste bin and paid Band D council tax with no discounts. This would equate to 0.65% of their income. It is unlikely that someone in this financial position would be paying for social care.

A household with an income of £29,000 per year and two children paying the increases above and if they were paying the increased domiciliary care charge would be paying an additional £195.12 per year, or £3.75 per week. This would equate to 0.67% of their income.

A household with an income of £40,000 per year would pay the same increases, assuming they lived in a Band D property. This would equate to 0.49% of their income. A household with an income of £56,000 would experience increased charges equating to 0.35% of their income on the same assumptions. However, as incomes rise it would be expected that many household will be living in more expensive properties and would be paying higher rates of council tax.



Equality and Future Generations Evaluation

<p>Name of the Officer: Matthew Gatehouse</p> <p>Phone no: 01633 644397 E-mail: matthewgatehouse@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal: To deliver a balanced budget while continuing to make progress against the council's well-being objectives and delivering the long-held purpose of building sustainable and resilient communities</p>
<p>Name of Service area: Chief Executive's</p>	<p>Date: 10 January 2021</p>

1. Are your proposals going to affect any people or groups of people with protected characteristics? Please explain the impact, the evidence you have used and any action you are taking below.

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	Local Authorities provide many universal services such as highways and waste collections which bring multiple benefits to all age groups. However many of our services are delivered to proportionately higher numbers of younger and older people.	There will be an increase in charges of 2.5% for both residential and non-residential social care which will have a disproportionate impact on older people.	Ensure the Social Services and Well-being Act charging legislation is adhered to, so service users are means tested to determine their ability to pay. There are no increased charges for community meals Provide earlier help and prevention (e.g. family support); provide services

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
	<p>Practice change in adult social services which are person-centred with a focus on well-being reducing dependency and empowering individuals and families to achieve their own outcomes which is a positive outcome.</p> <p>Deployment of early intervention and preventative services for children who are looked after can reduce the likelihood of placements breaking down and lead to better and more stable long-term outcomes.</p> <p>Early intervention and support for pupils with Additional Learning Needs will allow pupils to meet their full potential.</p> <p>Increasing budgets for the contact centre will allow increased phone capacity, this channel tends to be used by a higher proportion of older people when compared to self-service via the chatbot or app.</p>		<p>that seek to prevent children coming into care (e.g. Achieving Change Together) and provide services that seek to repatriate children into community or family placements (e.g. MyST, Monmouthshire Families Together)</p>

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Disability	<p>Continuation of practice change in social care are likely to have a particular impact on people who have disabilities.</p> <p>Schools will offer advice and training to allow them to support a range of disabilities.</p>	<p>Any changes to social care arrangements are likely to have a particular impact on people who have disabilities; this includes increased charges as described above.</p> <p>There will be an increase in fees and charges for both residential and non-residential social care which will have a disproportionate increase on people with disabilities</p>	For social care charging increases, we will ensure that service users are means tested to determine their ability to pay.
Gender reassignment	At this stage none of the proposals have identified a particular impact, either positive or negative, on people who have undergone or are considering gender reassignment.	None of the budget proposals have been identified as having either a positive or negative impact at this stage.	No mitigating actions are necessary
Marriage or civil partnership	Same-sex couples who register as civil partners have the same rights as married couples in employment and must be provided with the same benefits available to married couples, such as survivor pensions, flexible working, maternity/paternity pay and healthcare insurance. At this point of the analysis there are no proposals which have been assessed as having either a positive or negative impact on this group	None of the budget proposals have been identified as having either a positive or negative impact at this stage.	No mitigating actions are necessary

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Pregnancy or maternity	In the provision of services, goods and facilities, recreational or training facilities, a woman is protected from discrimination during the period of her pregnancy and the period of 26 weeks beginning with the day on which she gives birth. None of the budget proposals have been identified as having either a positive or negative impact at this stage.	None of the budget proposals have been identified as having either a positive or negative impact at this stage.	No mitigating actions necessary
Race	There are no proposals identified that will have a specific positive outcome that will differ by race.	Proposals to increase back office efficiency may have an element of artificial intelligence or AI. Research has shown that AI has the potential to reinforce existing biases. This is because computer algorithms are unequipped to consciously counteract learned biases in the same way that humans do.	Work closely with developers to understand any applications where this could potentially occur and remedy immediately.
Religion or Belief	There are no impacts, either positive or negative that have been identified.	There are no impacts, either positive or negative that have been identified.	No mitigating actions necessary
Sex	The council has already carried out a full pay evaluation exercise.	None identified	No mitigating actions necessary
Sexual Orientation	None of the budget proposals have been identified as having either a positive or negative impact at this stage.	None of the budget proposals have been identified as having either a positive or negative impact at this stage.	No mitigating actions necessary

2. The Socio-economic Duty and Social Justice

The Socio-economic Duty requires public bodies to have due regard to the need to reduce inequalities of outcome which result from socio-economic disadvantage when taking key decisions. This duty aligns with our commitment as an authority to Social Justice.

	Describe any positive impacts your proposal has in respect of people suffering socio economic disadvantage	Describe any negative impacts your proposal has in respect of people suffering socio economic disadvantage.	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Socio-economic Duty and Social Justice	<p>Social justice is about reducing inequalities in society by working towards more equal distribution of wealth and opportunities so everyone can achieve their full potential.</p> <p>It is important to assess and understand the impact of our proposals on those in poverty, especially if there is a cumulative impact from a number of proposals. This is in line with our Social Justice policy.</p> <p>Additional funding to cover an increase in the free school meal entitlement in primary schools.</p> <p>Significant additional investment is being made in homeless services.</p>	<p>An increase in council tax will have a financial impact on all households. Those on lower incomes as any bills will form a higher proportion of their household expenditure will feel the impact more acutely.</p> <p>There is a risk that any budget proposals that increase discretionary charges, such as a 2.5% increase for sports hall hire or swimming classes, will have a disproportionate impact on people on low incomes and therefore will widen inequality.</p>	<p>There are a range of mitigations in place. These include a council tax reduction scheme.</p> <p>Free school meals are available for those on incomes below a certain level.</p> <p>The council is committed to aligning evidence-based policy, programmes of work and resources with the aim of supporting people and communities to fulfil their potential. During the past year we appointed a Tackling Poverty and Inequality Manager to focus on these issues. When introducing or increasing service charges mitigation will be introduced to reduce the financial burden on people who can least afford it.</p>

3. Policy making and the Welsh language.

How does your proposal impact on the following aspects of the Council's Welsh Language Standards:	Describe the positive impacts of this proposal	Describe the negative impacts of this proposal	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts
Policy Making Effects on the use of the Welsh language, Promoting Welsh language Treating the Welsh language no less favourably	Increase in the budget for Welsh translation will ensure we can continue to comply with the Welsh Language Standards.	None identified	All signage and material arising from budget proposals will be compliant with the Welsh Language Measure 2011
Operational Recruitment & Training of workforce	We will ensure that new vacancies are assessed and where possible advertised as 'Welsh essential' to increase people opportunities to engage with the council through the medium of Welsh.	None identified	Active promotion of vacancies in Welsh language publications and websites as well as targeted promotion via LinkedIn
Service delivery Use of Welsh language in service delivery Promoting use of the language	Increased resources for the contact centre will increase our ability to recruit Welsh speakers to ensure increased ability for service users to use the language in their dealings with the council.	None identified	



4. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!



Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>Examples of proposals that impact positively on this goal include the disposal of capital assets which will generate a financial return and where provide opportunities for business to utilize those assets to create employment. However, there is an opportunity cost since these assets will not be available to the authority in future.</p> <p>Increases of 2.5% for streetworks licenses, trade waste and non-statutory pre-application planning fees will result in higher costs for some businesses.</p> <p>Additional funding will ensure that all pupils with additional learning needs are identified as early as possible and additional support is provided to ensure they can meet their full potential.</p>	
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>	<p>The council has declared a climate emergency. The authority has not yet modelled the financial consequences of its commitment to reduce its carbon emissions.</p>	<p>Proposals to reduce staff mileage, and increase the use of electric and hybrid vehicles will reduce carbon emissions.</p>


Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood	Place-based working is expected to have a positive impact on physical and mental well-being.	Examples of proposals within the budget include practice change in Adult Social Services which focus on prevention and person-centred well-being.
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Place-based approaches proposed as part of practice change proposals in adult social care will contribute to healthy inclusive communities.	Some communities may be opposed to commercial development or regeneration schemes In such cases we will involve people with proposals subject to planning and local consultation.
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	We continue our efforts to reduce pollution and greenhouse gases while increasing recycling. These will have a small but important positive impact on CO2 emissions and waste which will contribute to global environmental efforts.	Wales has an enviable record in sustainable waste management and we will continue to progress this in our approaches to waste management and carbon reduction.
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	Introduction of car parking charges at Caldicot Castle could make the visiting the attraction less affordable for some groups.	Admission to Caldicot Castle will remain free and enhancements will be made to promote and encourage active travel to the destination We will ensure that new vacancies are assessed and where possible advertised as 'Welsh essential' to increase people opportunities to engage with the council through the medium of Welsh.
A more equal Wales People can fulfil their potential no matter what their background or circumstances	The council has already carried out a full pay evaluation exercise. Increased charges for some services enable the council to provide other services such as transport which benefit people on low incomes and which has positive environmental impacts.	The council will uplift salaries for apprentices and those employed through the kickstarter scheme above to meet the national living wage. Many of the council services that are sustained through charging provide a valuable safety net and contribute to more equal outcomes.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?

5. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>Increases in fees and charges have been considered in the context of whole life cost analysis over the long-term in order to ensure sustainable and cost effective service delivery now and in the future.</p> <p>Additional funding for pupils with additional learning needs includes early intervention to support that child through the whole of their education</p>	<p>Mitigating arrangements are in place to minimise the impact of increased fees or charges on people on low incomes</p>
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>The budget includes a range of collaborative proposals. This includes working with health, the voluntary sector and private companies.</p>	<p>No specific further actions are proposed at this stage</p>

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Involvement views</p> <p>Involving those with an interest and seeking their views</p>	<p>These proposals formed part of the budget exercise and will be subject to a public consultation exercise. This will include sessions with existing groups including those that represents people with disabilities.</p>	<p>Ensuring that proposals and the accompanying Future Generations evaluations have been updated as a result of, consultation and engagement.</p>
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>Practice change in adult social services which person centred with a focus on well-being reducing dependency and empowering individuals and families to achieve their own outcomes. Additional investment in children's social care should increase placement stability.</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p data-bbox="237 600 376 632">Integration</p> <p data-bbox="203 659 566 767">Considering impact on all wellbeing goals together and on other bodies</p>	<p data-bbox="589 355 1312 539">The council works across many areas and many of these proposals can have positive and potentially negative impacts on another. It is important that as individual proposals are developed we seek to balance competing impacts.</p>	<p data-bbox="1335 355 2022 555">The council's Corporate Plan contains a table which highlighting the objectives impacts on each of the seven national well-being goals. Any detailed proposals brought forward following the consultation will need to assess the impact of that proposal on the well-being goals.</p>

6. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	Safeguarding is about ensuring that everything is in place to promote the well-being of children and vulnerable adults, preventing them from being harmed and protecting those who are at risk of abuse and neglect. Specific Proposals include the strengthening of the councils legal service since lawyers sits at the heart of all child protection work around the Court system.	There are no specific negative impacts identified at this stage	Safeguarding is at the heart of everything the council does. All staff are trained to a level that is appropriate to their role.
Corporate Parenting	Further investment is being made into children's social services including those working with looked-after children and young people whose needs are such that they require significant support to keep them safe, maintain secure relationships and stable placements and improve their life chances.	There are no specific negative impacts identified at this stage	

7. What evidence and data has informed the development of your proposal?

The proposals are based upon a wide range of data and evidence and this will be contained within the evaluations of each of the individual proposals. Future monitoring will be done in accordance with the evaluation arrangements recently developed by the council's democratic services committee. This will allow members to assess whether any changes resulting from the implementation of the recommendation have had a positive or negative effect.

Data sources include for example:

- Quantitative data such as user numbers, measuring whether changes have had a positive or negative impact on the number of people using the service, in some cases, such as preventative services less users will be a positive
- Qualitative data that gives people views of the service which includes analysis of complaints
- Data derived from national sources such as stats Wales and the National Survey for Wales which allow us to measure whole population
- Proposed increases by Department of Works and Pensions on benefits and State Retirement Pension uplifts and Consumer Prices Index

8. SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

This assessment will be updated following the budget consultation.

9. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible
Existing actions have been highlighted within the individual assessments.		

10. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration
1.0	Cabinet	20/1/21	Not yet considered

References

¹ Stats Wales, Budgeted Revenue expenditure by authority and service, <https://statswales.gov.wales/Catalogue/Local-Government/Finance/Revenue/Budgets/budgetedrevenueexpenditure-by-authority-service>

² Monmouthshire County Council, strategic aims <https://www.monmouthshire.gov.uk/our-coronavirus-strategy/>

³ Figures quoted are before housing costs. Equivalent rounded after housing cost figures are 22% and 43% http://www.endchildpoverty.org.uk/wp-content/uploads/2018/01/Wales_LA-and-ward-data.xlsx

⁴ Average Band D in 2020-21 = £1653.22 <https://www.monmouthshire.gov.uk/app/uploads/2020/03/Bandings-Template-2020-21.pdf>

⁵ Consumer Price Index, ONS, November 2020 <https://www.ons.gov.uk/economy/inflationandpriceindices>

Appendix 5 – Proposed Response to Welsh Government on the Provisional Settlement

Simon Edwards
Local Government Funding Policy Branch,
Welsh Government,
Cathays Park,
Cardiff.
CF10 3NQ

Your Ref/Eich Cyf:
Our Ref/Ein Cyf:
Date/Dyddiad:
File Ref:
The Person dealing with
this matter is/ Y
Person sy'n delio gyda'r
mater yma yw:
Tel/Ffôn:
Fax/Ffacs:
e-mail address/ cyfeiriad
e-bost

Dear Mr Edwards,

Re: Local Government Provisional Settlement 2021/22

Thank you for the opportunity to comment on the Provisional Settlement announced on 22nd December 2020.

Cabinet released its draft budget proposals out for public consultation and scrutiny on 20th January 2021 for a four-week period. At the meeting Cabinet endorsed this response to the provisional settlement and that provides the views of members.

Given the current pandemic and the restrictions that remain in place the Council will be looking to engage with key stakeholders and the public through its website, social media and via virtual budget consultation events.

In terms of the settlement itself it was welcome news to find that the Council has received confirmation from Welsh Government that it will receive a 3.9% increase in its core funding next year, ahead of the 3.8% average for Wales and where councils across Wales had settlements ranging from increases of between 2.0% and 5.6%.

It was pleasing to note that the role of local government in this extraordinary year has been recognised by Welsh Government. The Council's services continue to be under continued and increasing pressure, even beyond the cost increases and income shortfalls resulting from the pandemic. The above average increase will at the very least give the Council some additional flexibility to respond to the unprecedented strain on the Council's finances and the choices it makes when setting the budget for next year.

One notable aspect of concern in the settlement announcement is the position being taken by Welsh Government with regards to pay awards. A significant question mark still arises over the pressures that will arise for pay awards and in the context of the Chancellors Spending Review Statement on the 25 November. This leaves the Council in a difficult position and at the behest of the pay awarding bodies for teachers and local government staff and that could result in further pressures falling on the Council to fund. Given the current financial challenges this is not acceptable and we

call for Welsh Government to make available further in-year funding if the pay awards are ahead of expectations set by the Chancellor.

Alongside the settlement announcement and the COVID funding that the Council has successfully claimed this year already it is vital that further COVID related costs and income losses are funded by Welsh Government. Both for the remainder of this financial and through 2021/22. Without such funding the Council will again be left in a position of having to take hard and difficult decisions and regardless of the good news offered by the provisional settlement.

Whilst it is understandable given the global and national economic uncertainty at this time, and that UK Government has only allowed Welsh Government to provide a one-year funding outlook, this will continue to make medium-term financial planning difficult.

We hope that this above average increase is not short lived and given that the Council has historically and to date been the worst funded Council in Wales. In fact, the Council remains firmly rooted to the bottom of the table for the amount of funding per head of population it receives from Welsh Government.

As a rural authority Monmouthshire is confronted by particular challenges in offering services like social care, waste collection, transport and highways across a wide area. Indeed, the council has recognised these difficulties by prioritising the maintenance of locally accessible services to combat rural isolation. Monmouthshire calls on the Welsh Government to base funding on a fairer system, acknowledging the problems rural counties face when providing services. There are also a range of preventative services that will not survive unless the Welsh Government has a long hard look at the way it allocates money across the totality of public services.

Turning to specific grant funding support we ask that Welsh Government provide early notification of grant awards to assist budget planning for next year. Furthermore, and given the extraordinary challenges brought about by the pandemic, the Council asks Welsh Government to give consideration to allow local authorities the flexibility to carry forward unspent grant allocations. Councils across Wales have had to focus on the emergency response to the pandemic and ensuring that vital services are maintained. The natural consequence of this is that capacity and resources are stretched which impacts on delivery of Welsh Government and the Council's policy objectives that are funded from specific grants.

Monmouthshire also supports and encourages the transfer of specific grants into the settlement and is disappointed that more progress has not been made in this regard. If there are opportunities to put more grants into the final settlement this would be welcomed providing it continues to be distributed on the same basis as the original grant to prevent large changes at a very late stage in the process.

On capital account there is concern that local authorities have not benefitted from the significant investment in capital and infrastructure announced by UK Government as part of the spending review. It is also a concern that many capital grant funding streams are provided through specific grant funding streams rather than increases in General Capital Funding. We urge Welsh Government to give consideration to a fairer

capital settlement for local authorities in Wales and to afford local authorities with the flexibility that would be given through increases in General Capital Funding rather than specific grants. The need to invest in priority areas such as 21st Century Schools, climate emergency, homelessness provision, waste management and infrastructure remains high, with WG support remaining a critical success factor.

Despite the welcome news that came with the provisional settlement the future funding prognosis remains of real concern and given that the expectations and demands on local council services are continuing to grow. Councils will face difficult decisions in managing budget pressures next year if they are not adequately funded for COVID related costs and income losses.

It is important that the WG recognises the need for difficult decisions, is supportive of local authorities facing difficult times and does not promote undeliverable policy expectations.

As Wales as a nation comes out of the pandemic and thoughts turn to recovery this is a time for us all to work together to minimise the consequences of the downturn in public finances on the most vulnerable in society and to send clear and consistent expectations to the public we exist to serve.

Yours sincerely,

Councillor Philip Murphy – Cabinet Member

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SUBJECT: DRAFT CAPITAL BUDGET PROPOSALS 2021/22 TO 2024/25

MEETING: Cabinet

DATE: 20th January 2021

DIVISION/WARDS AFFECTED: Countywide

1. PURPOSE:

- 1.1 To set out draft capital budget proposals for financial year 2021/22 and the indicative capital budgets for the three years 2022/23 to 2024/25.
- 1.2 To commence a period of consultation on the draft budget proposals for a four-week period to 17th February 2021.

2. RECOMMENDATIONS:

- 2.1 That Cabinet approves the release of its draft capital budget proposals for 2021/22 for consultation purposes.
- 2.2 That Cabinet considers whether draft budget proposals are reasonable and appropriate in light of the capital pressures identified in Appendix 1.
- 2.3 That Cabinet reaffirms the principle that new capital schemes can only be added to the capital programme if the business case demonstrates that either:
 - they are self-financing
 - the scheme is deemed a higher priority, utilising the priority matrix in the Capital Strategy, than current schemes in the capital programme and displaces them
 - they do not compromise the core principles of affordability, sustainability or prudence
- 2.4 That Cabinet notes the capital receipt receipts forecast in appendix 6 (exempt), and the prudence not to anticipate further significant additional receipts over this next 4-year MTFP window, until the uncertainties identified in paragraph 3.8 have been resolved.
- 2.5 That Cabinet specifically approves the use of £1.7m of capital receipts, using Welsh Government guidance on the flexible use of capital receipts to fund revenue costs associated with service reform, to support the draft revenue budget proposals for 2021/22.
- 2.5 That Cabinet considers and re-affirms its agreement to the prudential indicators supplied in Appendix 7 and its interpretation in paragraph 3.14 of this report.
- 2.6 That Cabinet issues its draft capital budget proposals for 2020/21 and indicative capital budgets for 2022/23 to 2024/25 for consultation purposes as set out in Appendix 3.

3. KEY ISSUES:

Capital MTFP Preparation Considerations

- 3.1 The four-year capital programme is reviewed annually and updated to take account of any new information that is relevant.
- 3.2 The Council's Band A 21st Century Schools capital programme is coming to a successful conclusion with finalization work taking place with defects and retention sums with the main contractor for the two comprehensive school sites in Monmouth and Caldicot. Officers are now developing the business case in relation to Band B and proposals for a new 3-19 school in Abergavenny. The current project timeline suggests that the SOC/OBC will be submitted to Welsh Government in April 2021 with the FBC being submitted in May 2022. The project completion date is December 2024. The Council will not be required to make a firm commitment to the project until Welsh Government approves the FBC and the necessary funding award is secured.
- 3.3 A new requirement was placed upon Councils during 2018-19 to prepare a more explicit capital strategy that better reconciles resourcing with affordability. This now guides the Council's capital budget deliberations going forward. Notwithstanding this there will still remain a considerable number of pressures that sit outside of the core capital programme, as indicated in Appendix 1, and this has significant risk associated with it. Cabinet have previously acknowledged and accepted this risk.
- 3.4 In summary the following capital pressures and issues have been identified:
- Long list of back log pressures – infrastructure, property, DDA work, Public rights of way, as outlined in Appendix 1. None of these pressures are included in the current capital MTFP, but this carries with it varying degrees of risk. These pressures have undergone recent review and the Capital and Asset Management Working Group will continue its work to assess risks and determine whether there needs to be any further capital budget provision afforded to mitigate any significant risks requiring more immediate action over the MTFP period.
 - In addition to this there are various schemes and investment considerations (e.g. tranche C Future schools, climate emergency response, any enhanced DFG spending, depot and household waste recycling centre enhancement etc.) that could also have a capital consequence, but in advance of quantifying those or having Member consideration of these items, they are also excluded from current capital MTFP. Indicative MonLife investment considerations are separately shown in appendix 2.
 - Capital investment required to deliver revenue savings – this is principally in the area of office accommodation, property investment, digital design, and service areas where revenue savings can be released from alternative delivery models that are capital intensive. The level of investment is currently being assessed however, in accordance with the principle already set above, if the schemes are not going to displace anything already in the programme then the cost of any additional borrowing will need to be netted off the saving to be made.
 - The IT reserve is finite so funding for any major new IT investment is limited. Any additional IT schemes will need to either be able to pay for themselves or displace other schemes in the programme.
 - Officers are continuing work to determine the potential budgetary implications in responding to its health and safety responsibility around ash tree die back disease. This

is an issue that impacts all Welsh local authorities and it is as yet unclear as to the level of Welsh Government support that will be made available. This is currently a potential and likely financial risk though the budgetary impact on the Council and whether this will fall as a revenue or capital pressure is as yet unclear.

- A change in Welsh Government homeless policy and the issue of Phase 2 Planning Guidance for Homelessness & Housing Related Support, combined with the requirement during the pandemic for all homeless people to be taken off the streets and to be appropriately housed, results in potential future capital pressures and considerations. Again clarity is awaited on the level of Welsh Government support to be provided beyond that made available from the COVID Hardship Fund. This will be considered in due course and separately by Cabinet.
- As a result of the consultation undertaken by the Public Works Loan Board (PWLB) important changes were recently announced and where the PWLB lowered its rates by 100 basis points for all new standard loans. Further conditions are imposed on local authorities wishing to access loans, such as a requirement to submit high level descriptions of capital spending plans over the medium term. Authorities will be required to confirm that there is no intention to purchase commercial investment assets primarily for the purpose of yield within medium term budgets regardless of whether those transactions would have notionally been financed from sources other than the PWLB. Given the Council's commercial and asset investment strategy the implications of this will be discussed with the Treasury advisers and will be taken into account as the treasury strategy and capital budget setting proposals are finalised for 2021/22.

Capital budget strategy

3.5 The last capital budget strategy was approved by Council in September 2019. In preparing the draft capital budget proposals for 2021/22 and the subsequent three years of the capital MTFP regard has been given to underlying principles of the strategy and that remain fit for purpose. An updated capital strategy for 2021/22 will be considered by Council alongside the treasury strategy at its meeting on 11th March 2021.

3.6 The strategy going forward has the following key components:

- The core MTFP capital programme needs to be financially sustainable without leading to borrowing levels that are unaffordable, unsustainable and imprudent.
- Welsh Government have traditionally confirmed capital grant funding awards late in the budget process or subsequently in-year. This can undermine a more planned approach to capital expenditure. However, the Council has a successful track record of bidding for capital grant schemes and alongside investment in project officer support as part of the draft revenue budget proposals consideration is being given to a match-funding budget to enable the Council to have the budget readily in place to enable schemes to progress quickly and where grant terms and conditions can sometimes put in place unreasonable timescales for delivery.
- The provisional settlement announced on 22nd December 2020 maintains effectively a standstill funding position in respect of core general capital grant and supported borrowing for 2021/22. This is assumed to continue at current levels through the latter 3 years of the capital MTFP. However, the current levels of general capital grant include an additional level of capital grant maintained from 2020/21. Any reduction or removal of this additional sum in future years would have consequences on both capital and revenue budgets.

- Whilst the Band B 21st Century Schools business case is being developed and subject to Welsh Government and Council approval, subsequent approval has been anticipated to involve an indicative £43m spend in the current capital MTFP. This introduces a small degree of interest costs to the related revenue MTFP, presuming to use Welsh Government funding before the Council's own prudential borrowing element. The minimum revenue provision, the Authority's means of provisioning for the principal repayment of borrowing for capital purposes, is also minimized within this next MTFP window as the costs of repayment tend to start when the asset becomes operational, 3 years hence.
- No inflation increases will be applied to any of the capital programme with highways and infrastructure maintenance budget set at the same level as last year.
- The County farms maintenance and property maintenance programme remains a core aspect of the annual capital programme and whilst the overall amount remains the same from year to year, the incidence of work is prioritized based on the revised asset management plan which should be supported by condition survey consideration.
- The capital investment directed to Disabled Facilities Grants (DFGs) was increased last year and throughout the continuing capital MTFP to £900,000. This, together with a £250,000 per annum commitment to Access for All budgets has been maintained.
- The commitment and contribution towards the Cardiff Capital Regional City Deal across the capital MTFP has been updated to reflect the latest and revised profile received.
- The budget to enhance or prepare assets for sale reflects confirmation from corporate landlord services and is effectively funded by enhanced capital receipts values.

Available capital resources

- 3.7 A capital strategy establishes a heightened responsibility to demonstrate that the core programme remains affordable and that existing assets are adequately maintained.
- 3.8 In light of the current pressures on the Authority's medium-term revenue budget, and the principles on which any prudential borrowing must be taken of affordability, prudence and sustainability, the use of further prudential borrowing has been carefully assessed and refreshed in Appendix 7.
- 3.9 The level of capital receipts anticipated over the next 4-year window has again not been increased significantly from those communicated during the previous year's budget process. The pragmatic reason for this is a threefold consideration that,
- The effect of Welsh Government's land categorization exercise and the implications of this being worked through.
 - The consequences of the proposed Replacement Local Development Plan and the subsequent Strategic (Regional) Development Plan on Authority owned land.
 - Members aspiration for the Council to have a role in housing development and centred around delivering affordable housing in the County. Commonly the effect of that would be a need to subsidise such delivery through a reduced land price. Cabinet received a [report](#) in December 2020 that updated members on the Councils ambition to disrupt the local housing market through the construction of low cost homes by the Council.
- 3.10 The Council is intent to use the benefit of Welsh Government guidance that allows the Council to make flexible use of capital receipts to afford certain costs around service reform that would

traditionally be regarded as revenue expenditure. As was the case for 2019-20 and the current financial year this has beneficially affected the revenue outturn position. For the current financial year and as part of the in-year budget recovery plan the Council has extended its planned use of receipts for this purpose by £675k from £1.416m to £2.091m.

3.11 Additional to this, 2020-21 will see a further proposed use of capital receipts for this purpose of £1.7m and in supporting the draft revenue budget proposals. This represents costs associated with service reform as shown in the table below (£1m provision has been made in the revenue budget proposals) and £700k in respect of provision for one-off redundancy and termination payments associated with restructuring and service reform. Similar indicative use has also been modelled for 2022-23. As stated in the report this is not a sustainable means by which to support the revenue budget but is necessary at this time.

Nature of Expenditure	£'000
[ENT] - Passenger Transport - Sharing Senior Management with Newport CC	38
[ENT] - Waste - Service Transformation costs	125
[ENT] - Transport - additional post within Fleet to help with service transformation	50
[RES] - Audit - Sharing Audit manager with Newport CC	36
[RES] - Digital Programme office	309
[RES] - Innovation Team - Service Transformation/Systems Thinking	68
[RES] - Payroll - System development posts	113
[CEO] - Performance Mgt Team	100
[SCH] - GWICES section 33 lead commissioner costs	28
[SCH] - Residential section 33 lead commissioner costs	10
[SCH] - Frailty section 33 lead commissioner costs	5
[SCH] - Regional Safeguarding Board payment	36
[SCH] - 4 C's partner contribution to RCT CBC	21
[SCH] - Joint Deprivation of Libersty Safeguarding (DOLS) team	100
Total	1,039

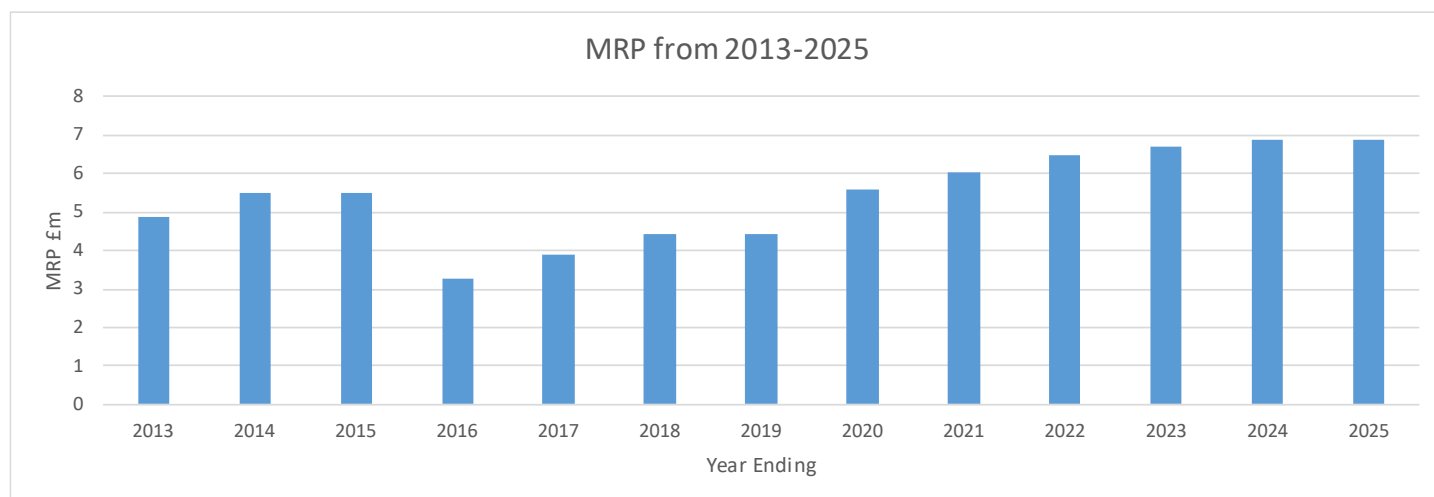
3.12 The table below illustrates the balance on the useable capital receipts reserve over the period 2021/22 to 2024/25 taking into account current capital receipts forecasts provided by Landlord Services and revised balances drawn to finance the existing programme.

GENERAL RECEIPTS	2020/21	2021/22	2022/23	2023/24	2024/25
	£000	£000	£000	£000	£000
Balance as at 1st April	3,040	6,150	8,856	7,877	7,397
Less: capital receipts used for financing	(2,688)	(684)	(684)	(684)	(684)
Less: capital receipts used to support capitalisation directive	(2,091)	(1,700)	(1,700)	0	0
	(1,738)	3,766	6,472	7,193	6,713
Capital receipts Forecast	7,788	4,988	1,300	100	100
Deferred capital receipts - General	4	4	4	4	4
- ACM	96	98	100	100	100
Forecast Balance as at 31st March	6,150	8,856	7,877	7,397	6,918

- 3.13 The core capital programme does not generally include specific grant funded schemes as a consequence of such funding announcements and grant awards not being confirmed in time to feature in the forthcoming capital budget proposals. These are added to the capital programme during the year. Cabinet will receive in March alongside the final capital budget proposals confirmation of specific grant funded capital schemes. The final proposals will also contain an update on any early indications of additional capital funding from Welsh Government or any other funding bodies.
- 3.14 The prudential indicators appropriate to 2021/22 and highlighted in Appendix 7 to this report demonstrate:
- That for 2021/22 the Council continues to be successful in using external resourcing and grants as its primary source of affording the capital programme (68%), with borrowing accounting for 21% and Authority funding (predominantly capital receipts) making up 10% funding. Years 2 to 4 of the programme show a greater proportion of funding coming from borrowing and Authority.
 - In terms of the mix of capital receipts usage versus borrowing, longer life assets (such as school building re-provision) are more suitable being funded from borrowing over their respective asset life rather than using capital receipts. Capital receipts are more suitable in affording short life capital assets expenditure, as this avoids proportionately higher Minimum Revenue Provision (MRP) costs affecting the revenue budget. This would introduce a trend of increasing capital receipts available to members to address short term priorities.
 - However capital receipts have also increasingly been used in recent years to legitimately supplement the revenue budget, by way of use Welsh Government guidance relating to flexible use of capital receipts associated for costs of service reform.
 - The continued use of capital receipts in this fashion, whilst necessary at the moment shouldn't be viewed as a long term way of supporting the Council's revenue budget and given their one-off nature meaning that capital receipts are neither available to address capital priorities or address the longer term capital pressures highlighted by service managers.
 - Estimated gross debt levels compared against the capital financing requirement indicates around 22% headroom and that is reflective of "internal" borrowing where the Council is utilising its cash balances from reserves and working capital to avoid the need for additional external borrowing on a day to day basis. This is currently seen as the most cost effective treasury policy as it avoids entering into longer term borrowing at rates which are markedly higher than corresponding investment rates and would therefore mean incurring a significant "cost of carry" of any unspent and uncommitted borrowing sums.
 - This approach requires careful monitoring and review as in a rising interest rate environment the Authority would look to lock into some longer term borrowing to secure a greater level of budget certainty over the medium term.
 - The operational boundary for external debt acts a management tool for monitoring gross debt levels during the financial year and does not represent an absolute limit for gross borrowing unlike the Authorised limit which does act as the absolute limit for borrowing without further Council approval.
 - The Council's annual borrowing costs are subsumed within the revenue budget, and members annually assess pressures, savings and priorities through their consideration of budget proposals. The most significant such cost is the minimum revenue provision, which

is a proxy for principal repayments on borrowing secured. The following graph indicates a slightly rising trend in such costs for the next 4 years.

The affordability of borrowing is considered by Members in setting an affordable and balanced annual budget. The prudential indicator showing the proportion of financing costs compared to the net revenue budget ensure that consideration is given to the impact of borrowing on the overall budget.



4. OPTIONS APPRAISAL:

- 4.1 The Capital and Asset Management Working Group have met to consider the core capital programme, the capital pressures and capital investment considerations leading to these draft proposals and the MTFP capital programme contained in this report and outlined in appendices 1, 2 and 3.

5. EVALUATION CRITERIA:

- 5.1 The means of assessing whether the final capital budget proposals 2021/22 have been successfully implemented is undertaken throughout the year via regular budget monitoring and periodic reports to Cabinet and then to Select committees for scrutiny.
- 5.2 The draft budget proposals will be subject to equal consideration as part of the consultation process that runs for a four-week period running until the 17th February 2021. Further information on the consultation process is provided as part of the draft revenue budget proposals being separately considered on this agenda.
- 5.3 Final budget proposals following consultation and receipt of the final settlement will go to the Cabinet meeting on 3rd March 2021 and approval of Council Tax and final budget proposals will then take place at Full council on 11th March 2021.

6. REASONS:

- 5.1 To provide an opportunity for consultation on the draft capital budget proposals.

7. RESOURCE IMPLICATIONS:

- 7.1 Resource implications are noted throughout the report both in terms of how the core programme is financially sustainable, the key issues that require further quantification and also the risks associated with not addressing the pressures outlined in Appendix 1.

7.2 Investment considerations for MonLife over the MTFP period are outlined in appendix 2 and would require separate member consideration.

8. WELLBEING OF FUTURE GENERATIONS IMPLICATIONS (INCORPORATING EQUALITIES, SUSTAINABILITY, SAFEGUARDING and CORPORATE PARENTING):

8.1 Capital budgets which impact on individuals with protected characteristics, most notably disabled facilities grant and access for all budgets, are being maintained at their core levels.

8.2 The future generation and equality impact implications where maintenance budgets are allocated to individual schemes is a responsibility of operational management and where individual assessments are undertaken.

8.3 The actual impacts from this report's recommendations will be reviewed on an ongoing basis by the Capital and Asset Management Working Group.

9. CONSULTEES:

Senior Leadership Team
All Cabinet Members

10. APPENDICES:

Appendix 1 – Capital MTFP pressures
Appendix 2 – MonLife Investment Considerations
Appendix 3 – Capital budget summary programme 2020/21 to 2023/24
Appendix 4 – Forecast capital receipts 2020/21 to 2023/24
Appendix 5 – Capital receipts risk factors
Appendix 6 (exempt) – Forecast receipts
Appendix 7 – Prudential Indicators
Appendix 8 - Future Generations Evaluation

11. BACKGROUND PAPERS:

List of planned capital receipts: Exempt by virtue of s100 (D) of the Local Government Act 1972

12. AUTHOR:

Peter Davies – Chief Officer for Resources (S151 Officer)

13. CONTACT DETAILS:

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Appendix 1 – Capital MTFP pressures

Capital Pressures	Forecast Pressure	Date Updated	Responsible Officer
<p>Mitchel Troy, Monmouth Community Amenity site, Household Waste Recycling Centre upgrade - indicative costs provided in 2019 were £1.5-2m with development of the council depot below the current site. This would require relocation of the grounds maintenance and waste collection function to Raglan or Llanfoist depots. Funding is also being sought through WG grants. The introduction of booking system and subsequent reduction of usage of the site is being monitored.</p>	2,000,000	Dec-20	Roger Hoggins, Carl Touhig
<p>Five Lanes access road purchase To secure long term viability of the waste site and reduce annual £10k easement payment.</p>	Unknown at this stage	Dec 20	Carl Touhig
<p>Property Maintenance requirements for both schools & non-schools as valued by condition surveys carried out some years ago. The existing £2m annual budget mainly targets urgent maintenance e.g. health & safety, maintaining buildings wind & watertight, etc., and is insufficient to address the maintenance backlog. A lack of funding means maintenance costs will rise; that our ability to sell buildings at maximum market rates will be affected ; Our ability to deliver effective services will be affected and a Loss of revenue and poor public image.</p>	22,000,000	Dec-20	Deb Hill Howells
<p>Disabled adaptation works to public buildings required under disability discrimination legislation.</p>	5,000,000	Dec-20	Deb Hill Howells
<p>School Traffic Management Improvements - based on works carried out on similar buildings.</p>	450,000	Dec-20	Deb Hill Howells
<p>School fencing improvements</p>	450,000	Dec-20	Deb Hill Howells
<p>Modification works to school kitchens to comply with Environmental Health Standards. Without additional funding school kitchens may have to be closed and additional costs for transporting meals in incurred, possibly causing disruption to the education process.</p>	150,000	Dec-20	Deb Hill Howells
<p>Bringing County highways to the level of a safe road network. This backlog calculation figure has been provided by Welsh Government. The reduction and shortfall in revenue budgets over recent years for maintaining our highways and associated infrastructure has resulted in a concerning backlog and the need for a major injection of funding to address the situation. In order to halt the deterioration of MCC roads and footways, a minimum annual investment of £2.5M for each year over the next 3 years will be required. This is in addition to any specific grant funding from Welsh Government, which if awarded will be for the purpose of</p>	80,000,000	Jan-21	Mark Hand/ Paul Keeble

Capital Pressures	Forecast Pressure	Date Updated	Responsible Officer
reducing the backlog and improving the overall condition of the highway network.			
Transportation/safety strategy –Air Quality Management, 20 m.p.h legislation and DDA (car parks)	1,200,000	Jan-21	Mark Hand/ Paul Keeble
Investing in infrastructure projects needed to arrest road closures due to whole or partial bank slips. Reflective of works such as the slips on the A466 at Wyndcliffe and Livox as well as retaining wall stabilisations on A4136 Staunton Road and A466 Treehouse Redbrook.	5,900,000	Jan-21	Mark Hand/ Paul Keeble
Wyebridge Chepstow , remedial maintenance	450,000	Jan-21	Mark Hand/ Paul Keeble
A466 Wyebridge Monmouth , remedial maintenance	1,200,000	Jan-21	Mark Hand/ Paul Keeble
Redbrook Road Rail structure remedial maintenance	550,000	Jan-21	Mark Hand/ Paul Keeble
Tintern Wire Works Bridge remedial maintenance	1,500,000	Jan-21	Mark Hand/ Paul Keeble
A4077 Gilwern Viaduct substandard structure	2,000,000	Jan-21	Mark Hand/ Paul Keeble
Reprovision or repair of Chain Bridge - Cost prediction is indicative at present. Without remedial work, the structure will continue to deteriorate. The current 40T maximum limit will have to be further reduced restricting access to the Lancayo area especially for heavy vehicles. Options evaluated from repairing sufficiently to maintain 40t limit, to converting to footbridge and reprovisioning	1,275,000	Jan-21	Mark Hand/ Paul Keeble
Public Rights of Way (total for 5 years £4.2m) work needed to bring network up to statutorily required and safe standard. Based on an updated assessment completed to inform the Rights of Way Improvement Plan. Includes signage backlog, drainage and surfacing, stiles and gates and known bridge replacement need. This should be taken as a provisional figure as surveys and assessments of bridges and structures are on-going. It excludes larger (over 6m) structures requiring bespoke solution and specific rights of way structural issues, such as the Whitebrook byways slippage (estimated in region of 75-100K) and works required on both the Wye Valley and Usk Valley Walks, and any flood damage whose costs cannot be recovered from Welsh Government grant. [MonLife]	4,117,000	Dec-20	Matthew Lewis
Countryside access sites – to maintain countryside visitor and heritage sites to a safe standard includes stonework on scheduled ancient monuments, cycleway / path works, river protection works, and repairs to car parks. Excludes Clydach Ironworks SAM restoration costs currently being assessed and any pressures as a result of ash dieback disease. [MonLife]	467,000	Dec-20	Matthew Lewis

Capital Pressures	Forecast Pressure	Date Updated	Responsible Officer
Leisure sites - Astro pitch / outside pitches at shared leisure / school sites have suffered from a lack of maintenance and carpets will need to be replaced. Not purely an external customer issue, the pitches are heavily used by the Schools to deliver the school curriculum. 250k per school site. [MonLife]	1,000,000	Dec-20	Ian Saunders
Total Pressures	132,709,000		

Appendix 2 – MonLife Investment Considerations

Investment Considerations	Forecast Pressure	Date Updated	Responsible Officer
Gilwern Site –new rope course 70k/ other commercial developments 100k / improve accommodation 250k	420,000	Dec-20	Ian Saunders
Monmouth Museum Move – lighting upgrade / security measures/ storage requirements – 100k initially but looking for further grant funding (heritage lottery / MALD etc.)	100,000	Dec-20	Ian Saunders
Caldicot Leisure Centre Redevelopment (Feasibility and cost certainty completed)	8,000,000	Dec-20	Ian Saunders
Chepstow Feasibility Study –New equipment / café area redesigned	500,000	Dec-20	Ian Saunders
Abergavenny Leisure Centre Redevelopment	10,000,000	Dec-20	Ian Saunders
Velopark at Llanfoist – we have secured 400k from section 106 but the whole cost will be about 1.2 million	800,000	Dec-20	Ian Saunders
Total Investment Considerations	19,820,000		

Appendix 3 – Capital budget summary programme 2021/22 to 2024/25

	Indicative Budget 2021/22	Indicative Budget 2022/23	Indicative Budget 2023/24	Indicative Budget 2024/25
Property Maintenance	1,653,357	1,653,357	1,653,357	1,653,357
Property Maintenance Fees 2020-21	236,194	236,194	236,194	236,194
Upgrade School Kitchens	39,725	39,725	39,725	39,725
Asset Management Schemes	1,929,276	1,929,276	1,929,276	1,929,276
ESR: Access for all	50,000	50,000	50,000	50,000
King Henry VIII - Future Schools Tranche B	14,333,333	13,631,287	0	0
School Development Schemes	14,383,333	13,681,287	50,000	50,000
Infrastructure maintenance	0	0	0	0
Footway Reconstruction	190,453	190,453	190,453	190,453
Street Lighting Defect Column Programme	171,408	171,408	171,408	171,408
Reconstruction of bridges & retaining walls	449,041	449,041	449,041	449,041
Safety fence upgrades	76,181	76,181	76,181	76,181
Signing upgrades & disabled facilities	38,091	38,091	38,091	38,091
Flood Allievation Schemes	11,427	11,427	11,427	11,427
Structural Repairs - PROW	38,091	38,091	38,091	38,091
Carriageway resurfacing	1,136,540	1,136,540	1,136,540	1,136,540
Road safety & trafficman programme	129,508	129,508	129,508	129,508
Highways OPS: Minor improvements	812,000	812,000	812,000	812,000
Infrastructure & Transport Schemes	3,052,740	3,052,740	3,052,740	3,052,740
Capital Region City Deal	184,700	330,400	602,900	730,200
Regeneration Schemes	184,700	330,400	602,900	730,200
County Farms Maintenance	300,773	300,773	300,773	300,773
County Farms Schemes	300,773	300,773	300,773	300,773
Disabled Facilities Grant	900,000	900,000	900,000	900,000
Access For All	250,000	250,000	250,000	250,000
Inclusion Schemes	1,150,000	1,150,000	1,150,000	1,150,000
ICT Schemes	0	0	0	0
Leasing - To be allocated	1,500,000	1,500,000	1,500,000	1,500,000
Vehicles Leasing	1,500,000	1,500,000	1,500,000	1,500,000
Capitalisation Directive	1,700,000	1,700,000	0	0
Capitalisation Directive	1,700,000	1,700,000	0	0
County Farms Fixed Asset Disposal Costs	50,000	50,000	50,000	50,000
Area Management	20,000	20,000	20,000	20,000
Other Schemes	70,000	70,000	70,000	70,000
TOTAL EXPENDITURE	24,270,823	23,714,477	8,655,690	8,782,990
Supported Borrowing	(2,431,000)	(2,431,000)	(2,431,000)	(2,431,000)
Unsupported Prudential Borrowing Specific	(1,357,697)	(13,961,687)	(602,900)	(730,200)
Unsupported Prudential Borrowing General	(1,000,000)	(1,000,000)	(1,000,000)	(1,000,000)
Unsupported (Prudential) Borrowing	(2,357,697)	(14,961,687)	(1,602,900)	(1,730,200)
General Capital Grant	(2,438,000)	(2,438,000)	(2,438,000)	(2,438,000)
Grants & Contributions Schools Band B	(13,160,336)	0	0	0
Grants & Contributions	(13,160,336)	0	0	0
Capital Receipts (MCC) Highways OPS: Minor improvements	(333,790)	(333,790)	(333,790)	(333,790)
Capital Receipts (MCC) Fixed Asset disposal costs	(50,000)	(50,000)	(50,000)	(50,000)
Capital Receipts (MCC) Disabled Facilities Grants (Private)	(300,000)	(300,000)	(300,000)	(300,000)
Capital Receipts (MCC) Capitalisation Directive	(1,700,000)	(1,700,000)	0	0
Capital Receipts	(2,383,790)	(2,383,790)	(683,790)	(683,790)
Vehicle Leasing	(1,500,000)	(1,500,000)	(1,500,000)	(1,500,000)
Vehicle Lease Financing	(1,500,000)	(1,500,000)	(1,500,000)	(1,500,000)
TOTAL FUNDING	(24,270,823)	(23,714,477)	(8,655,690)	(8,782,990)
(SURPLUS) / DEFICIT	(0)	(0)	(0)	(0)

Appendix 4 – Forecast capital receipts 2021/22 to 2024/25

Forecast Useable Capital Receipts					
Amounts in excess of £10,000 are categorised as capital receipts. The balance of receipts is required to be credited to the Useable Capital Receipts Reserve, and can then only be used for new capital investment or set aside to reduce the Council's borrowing requirement.					
The forecast movement on the reserve based on forecast capital receipts and the budgeted application of capital receipts to support the financing of the Authority's capital programme is summarised below:					
GENERAL RECEIPTS	2020/21	2021/22	2022/23	2023/24	2024/25
	£000	£000	£000	£000	£000
Balance as at 1st April	3,040	6,150	8,856	7,877	7,397
Less: capital receipts used for financing	(2,688)	(684)	(684)	(684)	(684)
Less: capital receipts used to support capitalisation directive	(2,091)	(1,700)	(1,700)	0	0
	(1,738)	3,766	6,472	7,193	6,713
Capital receipts Forecast	7,788	4,988	1,300	100	100
Deferred capital receipts - General	4	4	4	4	4
- ACM	96	98	100	100	100
Less: capital receipts set aside:	0	0	0	0	0
Forecast Balance as at 31st March	6,150	8,856	7,877	7,397	6,918
LOW COST HOME OWNERSHIP AND HOMEFINDER RECEIPTS	2020/21	2021/22	2022/23	2023/24	2024/25
	£000	£000	£000	£000	£000
Balance as at 1st April	142	182	182	182	182
LCHO receipts forecast	40	0	0	0	0
Less: capital receipts used for financing	0	0	0	0	0
	182	182	182	182	182
Capital receipts Received / Forecast	-	-	-	-	-
Balance as at 31st March	182	182	182	182	182

Appendix 5 Capital Receipts Summary and Risk Factors					
The analysis below provides a summary of the receipts and the respective risk factors:					
Capital Receipts Risk Factor	2020/21	2021/22	2022/23	2023/24	2024/25
	£	£	£	£	£
Education Receipts					
Low / completed	0	0	0	0	0
Medium	100,000	0	0	0	0
High	0	0	0	0	0
Total Education Receipts	100,000	0	0	0	0
County Farm Receipts					
Low / completed	282,000	0	0	0	0
Medium	0	0	0	0	0
High	0	200,000	0	0	0
Total County Farm Receipts	282,000	200,000	0	0	0
General Receipts					
Low / completed	135,926	1,100,289	100,289	100,289	100,289
Medium	0	200,000	0	0	0
High	0	0	0	0	0
Total General Receipts	135,926	1,300,289	100,289	100,289	100,289
Strategic Accommodation Review					
Low / completed	2,080,000	0	0	0	0
Medium	0	0	700,000	0	0
High	0	0	0	0	0
Total Strategic Accommodation Receipts	2,080,000	0	700,000	0	0
Dependent on Outcome of LDP					
Low / completed	0	0	0	0	0
Medium	5,190,490	3,487,500	500,000	0	0
High	0	0	0	0	0
Total LDP Receipts	5,190,490	3,487,500	500,000	0	0
TOTALS					
Low / completed	2,497,926	1,100,289	100,289	100,289	100,289
Medium	5,290,490	3,687,500	1,200,000	0	0
High	0	200,000	0	0	0
Total Capital Receipts Forecasted / Received	7,788,416	4,987,789	1,300,289	100,289	100,289
Risk Factor key:					
High - External factors affecting the potential sale that are out of Authority control					
Medium - Possible risk elements attached but within Authority ability to control					
Low - No major complications are foreseen for the transaction					

Exempt Appendix 6 – Forecast receipts

Detail Supplied Separately – see exempt certificate

**SCHEDULE 12A LOCAL GOVERNMENT ACT 1972
EXEMPTION FROM DISCLOSURE OF DOCUMENTS**

Meeting and Date of Meeting: Cabinet 20th January 2021

Report: Draft Capital budget proposals 2021/22 – Appendix 6 Capital receipts forecast

Author: Peter Davies, Chief Officer - Resources

I have considered grounds for exemption of information contained in the background paper for the report referred to above and make the following recommendation to the Proper Officer:-

Exemptions applying to the report:

Appendix 6 – detailed indication of the value of future individual capital receipts.

Non-disclosure reason – information relating to the financial or business affairs of any particular person (including the Authority holding that information).

Factors in favour of disclosure:

Openness & transparency in matters concerned with the public.

Prejudice which would result if the information were disclosed:

In communicating **Appendix 6** intact, the Council would be undermining its negotiating position with regard to future capital receipts by communicating the likely value it would accept in the sale of particular assets.

My view on the public interest test is as follows:

Factors in favour of disclosure are outweighed by those against.

Recommended decision on exemption from disclosure:

Maintain exemption from publication in relation to report

Signed: 

Name: Peter Davies
Post: Chief Officer - Resources
Date: 12th January 2021

I accept the recommendation made above

Signed: 

Name: Paul Matthews

Post: Chief Executive Officer
Date: 12th January 2021

By virtue of paragraph(s) 12 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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Appendix 7 - Draft prudential indicators

Capital Expenditure £m	2020/21 Budget	2021/22 Budget	2022/23 Budget	2023/24 Budget	2024/25 Budget
Capital Fund Services	61.2	22.8	22.2	7.2	7.3
TOTAL	61.2	22.8	22.2	7.2	7.3

Capital Financing £m	2020/21 Budget	2021/22 Budget	2022/23 Budget	2023/24 Budget	2024/25 Budget
External Sources (Grants & S106 Contributions)	25.9	15.6	2.4	2.4	2.4
Own Resources (Capital receipt and reserves)	5.1	2.4	2.4	0.7	0.7
Borrowing & other Debt	30.2	4.8	17.4	4.0	4.2
Total	61.2	22.8	22.2	7.2	7.3

Gross Debt Forecast compared to CFR £m	2020/21 Budget	2021/22 Estimate	2022/23 Estimate	2023/24 Estimate	2024/25 Estimate
Debt (Inc. PFI, leases, right of use assets)	173.8	166.7	177.4	160.1	155.5
Capital Financing Requirement (Total)	189.4	212.1	222.8	220.0	217.2

<u>Authorised & Operational Borrowing Limits</u>	2020/21 Budget	2021/22 Estimate	2022/23 Estimate	2023/24 Estimate	2024/25 Estimate
Authorised limit - borrowing	230.0	244.7	256.3	253.4	250.7
Operational boundary - PFI, leases & right of use assets	5.4	4.4	4.4	4.4	4.4
Authorised Limit - total external debt	235.4	249.1	260.7	257.8	255.1
Operational Boundary - borrowing	210.8	214.5	226.1	223.2	220.5
Operational Boundary - PFI, leases & right of use assets	3.9	2.9	2.9	2.9	2.9
Operational Boundary - total external debt	214.7	217.4	229.0	226.1	223.4

Proportion of Financing Costs to net revenue stream	2020/21 Budget	2021/22 Estimate	2022/23 Estimate	2023/24 Estimate	2024/25 Estimate
Interest £m	4.0	4.1	4.2	4.1	4.1
MRP £m	6.1	6.5	6.7	6.9	6.9
Total Financing costs £m	10.1	10.6	10.9	11.0	11.0
Net Revenue Stream (£m)	155.1	162.9	164.6	167.7	171.0
Proportion of net revenue stream %	6.51%	6.51%	6.62%	6.56%	6.43%

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<p>Name of the Officer completing the evaluation Jonathan S Davies</p> <p>Phone no: 01633644114 E-mail: jonathandavies2@monmouthshire.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>Present capital budget proposals for consultation</p>
<p>Name of Service area</p> <p>Whole Authority</p>	<p>Date 11th January 2021</p>

1. **Are your proposals going to affect any people or groups of people with protected characteristics?** Please explain the impact, the evidence you have used and any action you are taking below.

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Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	Schools reprovision is likely to provide an Abergavenny area benefit for 3-19 year olds	None	
Disability	DDA and DFG budgets have been maintained	None	
Gender reassignment	None	None	

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Marriage or civil partnership	None	None	
Pregnancy or maternity	None	None	
Race	None	None	
Religion or Belief	None	None	
Sex	None	None	
Sexual Orientation	None	None	
Welsh Language	None	None	
Poverty	None	None	




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2. **Does your proposal deliver any of the well-being goals below?** Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal. There's no need to put something in every box if it is not relevant!

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs	Investment in the wider Cardiff Capital Region City deal looks to bring about significant economic growth in the region through investment, upskilling, and improved physical and digital connectivity.	
A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)		
A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood		
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	Investment in Future schools provides a key community facility to help promote this goal.	
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing		
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation		

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A more equal Wales People can fulfil their potential no matter what their background or circumstances	The core budgets for DDA work and DFGs budget provision has been maintained at core levels.	

3. How has your proposal embedded and prioritised the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Long Term</p> <p>Balancing short term need with long term and planning for the future</p>	<p>Building Future schools will benefit children and communities for future generations</p>	<p>The capital MTFP provides members with prudential indicators to assist their understanding of the medium to longer term consequences</p>
 <p>Collaboration</p> <p>Working together with other partners to deliver objectives</p>	<p>The funding aspects of capital programme are drawn from a variety of partners e.g. Welsh Government, Health Board, Private developers section106 resourcing etc.</p>	
 <p>Involvement</p> <p>Involving those with an interest and seeking their views</p>	<p>The aim of the report is to present proposals for consultation with key stakeholders</p>	

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Prevention</p> <p>Putting resources into preventing problems occurring or getting worse</p>	<p>Investment in property and infrastructure assets maintains their condition and prevents future issues or non compliance with legislation</p>	
 <p>Integration</p> <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>Investment in Future Schools will positively impact on the teaching and learning environment</p>	

4. Council has agreed the need to consider the impact its decisions has on the following important responsibilities: Social Justice, Corporate Parenting and Safeguarding. Are your proposals going to affect any of these responsibilities?

	Describe any positive impacts your proposal has	Describe any negative impacts your proposal has	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
<p>Social Justice</p>	<p>The core budgets for DDA work and DFGs budget provision has been maintained at core levels.</p>	<p><i>Social justice is about reducing inequalities in society by working towards more equal distribution of wealth and opportunities so everyone can achieve their full potential. Our Social Justice Strategy focuses on children, economic inclusion and reducing loneliness and isolation.</i></p>	

Safeguarding	Safeguarding is taken into account in the design of the new schools		
Corporate Parenting	-		

5. What evidence and data has informed the development of your proposal?

Previously determined policy in respect of the priority of investing in future schools. There have been no major changes to the proposals presented here.

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SUMMARY: As a result of completing this form, what are the main positive and negative impacts of your proposal, how have they informed/changed the development of the proposal so far and what will you be doing in future?

.This section should summarise the key issues arising from the evaluation. This summary must be included in the Committee report template

Capital budgets which impact on individuals, such as DFGs and DDA works are being maintained at core levels
The investment in future schools is expected to have a benefit for children and communities for future generations

7. ACTIONS: As a result of completing this form are there any further actions you will be undertaking? Please detail them below, if applicable.

What are you going to do	When are you going to do it?	Who is responsible
Review the budget consultation results in order to provide a final report for member agreement	March 2021	Jonathan S Davies

8. VERSION CONTROL: The Equality and Future Generations Evaluation should be used at the earliest stage, such as informally within your service, and then further developed throughout the decision making process. It is important to keep a record of this process to demonstrate how you have considered and built in equality and future generations considerations wherever possible.

Version No.	Decision making stage	Date considered	Brief description of any amendments made following consideration

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