

# Pecyn Dogfennau



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**DYDD MAWRTH, 29 MEHEFIN 2021**

**AT: HOLL AELODAU'R BWRDD GWEITHREDOL**

YR WYF DRWY HYN YN EICH GALW I FYNYCHU RHITH-GYFARFOD O'R **BWRDD GWEITHREDOL AM 10.00 YB, DYDD LLUN, 5ED GORFFENAF, 2021** ER MWYN CYFLAWNI'R MATERION A AMLINELLIR AR YR AGENDA SYDD YNGHLWM

*Wendy Walters*

**PRIF WEITHREDWR**

|                              |                        |
|------------------------------|------------------------|
| Swyddog Democrataidd:        | Martin S. Davies       |
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Wendy Walters Prif Weithredwr, *Chief Executive*,  
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# Y BWRDD GWEITHREDOL AELODAETH - 10 AELOD

| Cynghorydd                               | Portffolio                                                                                                                                                                                                                                                                                                                                                                     |
|------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Cynghorydd Emlyn Dole</b>             | <b>Arweinydd</b><br>Arweinyddiaeth a Strategaeth Gorfforaethol; Cadeirydd y Bwrdd Gweithredol; Cynrychioli'r Cyngor ar CLILC; Datblygu Economaidd; Yn cynrychioli'r Cyngor ar Ranbarth Dinas Bae Abertawe; Cydweithio; Marchnata a'r Cyfryngau; Penodi Aelodau o'r Bwrdd Gweithredol; Penderfynu ar bortffolios ABG; Cyswllt â'r Prif Weithredwr; Bwrdd Gwasanaethau Cyhoeddus |
| <b>Cynghorydd Mair Stephens</b>          | <b>Dirprwy Arweinydd</b><br>Rheolwr Busnes y Cyngor; Adnoddau Dynol; Rheoli Perfformiad; Archwilio Cymru; Hyfforddiant; T.G.Ch; T.I.C. Cynllunio strategol                                                                                                                                                                                                                     |
| <b>Cynghorydd Ann Davies</b>             | <b>Cymunedau a Materion Gwledig</b><br>Materion Gwledig ac Ymgysylltu â'r Gymuned; Diogelwch Cymunedol; Yr Heddlu; Deddf Gwrthderfysgaeth a Diogelwch 2015; Trechu Tlodi; Llesiant Cenedlaethau'r Dyfodol; Cyswllt y Trydydd Sector; Cydraddoldeb, Strategaeth Newid yn yr Hinsawdd.                                                                                           |
| <b>Cynghorydd Glynog Davies</b>          | <b>Addysg a Phlant</b><br>Ysgolion; Gwasanaethau Plant; Anghenion Addysgol Arbennig; Diogelu; Cartrefi Seibiant; Gwasanaeth Gwella Ysgolion Integredig Rhanbarthol; Dysgu Oedolion yn y Gymuned; Gwasanaethau Ieuencid; Gwasanaethau Arlwy Ysgolion, Aelod Arweiniol dros Blant a Phobl Ifanc; Llysgennad Ieuencid                                                             |
| <b>Cynghorydd Hazel Evans</b>            | <b>Amgylchedd</b><br>Sbwriel; Clanhau Strydoedd; Gwasanaethau Priffyrdd aThrafnidiaeth; Cynnal a Chadw Tiroedd; Gwasanaethau Adeiladu; Gofalu; Clanhau Adeiladau; Cynlluniau Argyfwng; Llifogydd, Hawliau Tramwy Cyhoeddus.                                                                                                                                                    |
| <b>Cynghorydd Linda Evans</b>            | <b>Tai</b><br>Tai - Cyhoeddus; Tai - Preifat; Heneiddio'n dda                                                                                                                                                                                                                                                                                                                  |
| <b>Cynghorydd Peter Hughes Griffiths</b> | <b>Diwylliant, Chwaraeon a Thwristiaeth</b><br>Llysgennad Cynghorau Tref a Chymuned; Datblygu'r Iaith Gymraeg; Theatrau; Chwaraeon; Canolfannau Hamdden; Amgueddfeydd; Llyfrgelloedd; Parciau Gwledig; Twristiaeth.                                                                                                                                                            |
| <b>Cynghorydd Philip Hughes</b>          | <b>Diogelu'r Cyhoedd</b><br>Safonau Masnach; Iechyd yr Amgylchedd. Gorfodaeth Amgylcheddol; Gorfodaeth Cynllunio; Gwastraff Didrwydded; Gwasanaethau Parcio; Bio amrywiaeth                                                                                                                                                                                                    |
| <b>Cynghorydd David Jenkins</b>          | <b>Adnoddau</b><br>Cyllid a'r Gyllideb; Effeithlonrwydd Corfforaethol; Rheoli Eiddo / Asedau; Caffael; Budd-daliadau Tai; Refeniw; Gwasanaethau Statudol (Crwneriaid, Cofrestryddion, Etholiadol, Arglwydd Rhaglaw); Hyrwyddwr y Lluoedd Arfog; Canolfannau Cyswllt a Chanolfannau Gwasanaethau Cwsmeriaid                                                                     |
| <b>Cynghorydd Jane Tremlett</b>          | <b>Gofal Cymdeithasol ac Iechyd</b><br>Gwasanaethau Cymdeithasol i Oedolion; Gofal Preswyl; Gofal Cartref; Anableddau Dysgu; Iechyd Meddwl; Cyswllt / Cydweithio / Integreiddio â'r GIG; Gwasanaethau Arlwy Cartefi Gofal, Pencampwr Gofalwyr; Llysgennad Anabledd; Pencampwr Gofal Dementia                                                                                   |

# AGENDA

1. YMDDIHEURIADAU AM ABSENOLDEB
2. DATGANIADAU O FUDDIANNAU PERSONOL
3. LLOFNODI FEL COFNOD CYWIR COFNODION CYFARFOD Y BWRDD GWEITHREDOL A GYNHALWYD AR Y 21AIN MEHEFIN 2021. 5 - 12
4. CWESTIYNAU Â RHYBUDD GAN YR AELODAU
5. CWESTIYNAU A RHYBYDD GAN Y CYHOEDD
6. Y PWYLLGOR CRAFFU - DIOGELU'R CYHOEDD A'R AMGYLCHEDD ADRODDIAD TERFYNOL Y GRWP GORCHWYL A GORFFEN GWASANAETHAU SAFONAU MASNACH - CYNLLUN DIOGELU RHAG CAMFANTEISIO ARIANNOL. 13 - 144
7. LLOFNODWR Y SIARTER CREU LLEOEDD. 145 - 154
8. RHAGLEN SGILIAU A THALENTAU, BARGEN DDINESIG BAE ABERTAW. 155 - 270
9. UNRHYW FATER ARALL Y GALL Y CADEIRYDD OHERWYDD AMGYLCHIADAU ARBENNIG BENDERFYNU EI YSTYRIED YN FATER BRYD YN UNOL AG ADRAN 100B(4)(B) O DDEDDF LLYWODRAETH LEOL, 1972.

Mae'r dudalen hon yn wag yn fwriadol

## BWRDD GWEITHREDOL

21 MEHEFIN 2021

**YN BRESENNOL:** Y Cynghorydd E. Dole (Cadeirydd)

**Y Cynghorwyr:**

C.A. Davies, G. Davies, H.A.L. Evans, L.D. Evans, P.M. Hughes, P. Hughes-Griffiths, D.M. Jenkins, L.M. Stephens a J. Tremlett

**Hefyd yn bresennol:**

Y Cynghorwyr: D.M. Cundy

**Yr oedd y swyddogion canlynol yn gwasanaethu yn y cyfarfod:**

W. Walters, Prif Weithredwr;  
J. Morgan, Cyfarwyddwr y Gwasanaethau Cymunedau;  
C. Moore, Cyfarwyddwr Gwasanaethau Corfforaethol;  
R. Mullen, Cyfarwyddwr yr Amgylchedd;  
P.R. Thomas, Prif Weithredwr Cynorthwyol (Rheoli Pobl a Pherfformiad);  
N. Daniel, Pennaeth TGCh a Pholisi Corfforaethol;  
J. Jones, Rheolwr Eiddo a Phrosiectau Mawr;  
L.R. Jones, Pennaeth Gweinyddiaeth a'r Gyfraith;  
H. Pugh, Pennaeth Dros Dro Archwilio, Riag a Chaffael;  
A. Thomas, Pennaeth y Gwasanaethau Addysg a Chynhwysiant;  
D. Hockenhull, Rheolwr y Cyfryngau a Marchnata;  
M. Evans Thomas, Prif Swyddog Gwasanaethau Democrataidd;  
L. Jenkins, Swyddog Cefnogi Bwrdd Gweithredol;  
C. Jones, Pen-Swyddog Caffael;  
R. Lloyd, Swyddog Gwasanaethau Democrataidd;  
S. Rees, Cyfieithydd Ar Y Pryd;  
J. Owen, Swyddog Gwasanaethau Democrataidd.

**Rhith-Gyfarfod: 10:00yb - 11:00yb**

**1. YMDDIHEURIADAU AM ABSENOLDEB**

Ni chafwyd ymddiheuriadau am absenoldeb.

**2. DATGANIADAU O FUDDIANNAU PERSONOL**

Ni ddatganwyd unrhyw fuddiannau personol.

| Y Cyngorydd | Rhif y Cofnod                                            | Y Math o Fuddiant                                   |
|-------------|----------------------------------------------------------|-----------------------------------------------------|
| E. Dole     | 8 - Cynllun Adfer a Chyflawni Economaidd Sir Gaerfyrddin | Mae gan aelodau'r teulu fusnesau yn Sir Gaerfyrddin |
| E. Dole     | 9 - Cyllid Grant Adfywio ar gyfer y Dyfodol              | Mae gan aelodau'r teulu fusnesau yn Sir Gaerfyrddin |

### **3. LLOFNODI FEL COFNOD CYWIR COFNODION CYFARFOD Y BWRDD GWEITHREDOL A GYNHALIUYD AR Y**

#### **3.1. 24<sup>AIN</sup> O FAI 2021**

**PENDERFYNWYD YN UNFRYDOL** Iofnodi cofnodion cyfarfod y Bwrdd Gweithredol a gynhaliwyd ar 24 Mai, 2021, i nodi eu bod yn gywir.

#### **3.2. 1<sup>AF</sup> O FEHEFIN 2021**

**PENDERFYNWYD YN UNFRYDOL** Iofnodi cofnodion cyfarfod y Bwrdd Gweithredol a gynhaliwyd ar 1 Mehefin 2021 gan eu bod yn gywir.

### **4. CWESTIYNAU Â RHYBUDD GAN YR AELODAU**

Dywedodd y Cadeirydd nad oedd dim cwestiynau â rhybudd wedi cael eu cyflwyno gan yr Aelodau.

### **5. CWESTIYNAU Â RHYBYDD GAN Y CYHOEDD**

Dywedodd y Cadeirydd nad oedd dim cwestiynau wedi dod i law gan y cyhoedd.

### **6. POLISI TELEDU CYLCH CYFYNG Y CYNGOR**

Rhoddodd y Bwrdd Gweithredol ystyriaeth i adroddiad a oedd yn gofyn am i'r Bwrdd gymeradwyo'r polisi corfforaethol newydd yn ymwneud â systemau teledu cylch cyfyng sy'n eiddo i'r cyngor.

Roedd yr adroddiad yn dangos bod gan y Cyngor ar hyn o bryd fwy na 90 o systemau teledu cylch cyfyng a thros 600 o gamerâu yn ei safle, ynghyd â 79 cerbyd gyda thua 250 o gamerâu ac oddeutu 25 o gamerâu gwisg. Mae adrannau'r Cyngor yn defnyddio dyfeisiau camera gwylidwriaeth ar gyfer amrywiaeth o ddibenion gan gynnwys camerâu yn ei safle a'i feysydd parcio yn ogystal ag ar y briffordd, offer camerâu fideo a wisgir ar y corff, dronau a system adnabod rhifau cofrestru cerbydau yn awtomatig.

Amlinellodd yr adroddiad fod gan y Cyngor ddyletswydd, o dan Ddeddf Diogelu Rhyddidau 2012, i roi sylw priodol i Gôd Ymarfer Camerâu Gwylidwriaeth a gyhoeddwyd gan y Swyddfa Gartref yn 2013 a oedd yn ymwneud â chamerâu teledu cylch cyfyng mewn mannau cyhoeddus. Roedd yr adroddiad yn manylu ar 12 egwyddor arweiniol y Côt a fyddai'n sicrhau bod rhesymau clir dros bob camera, bod y camerâu yn cael eu defnyddio mewn modd cymesur a thryloyw, bod systemau yn cael eu cynnal yn effeithiol ac y gallent ddarparu delweddau o ansawdd da

Nododd y bwrdd fod y Comisiynydd Camerâu Gwylidwriaeth yn ei gwneud yn ofynnol i Awdurdodau Lleol ddynodi Uwch-swyddog Cyfrifol i ddarparu ymagwedd gorfforaethol at ei gyfrifoldebau o dan Ddeddf Diogelu Rhyddidau 2012. Roedd y rôl hon yn cael ei chyflawni gan Bennaeth TGCh a Pholisi Corfforaethol.

Yn ogystal â gweithredu polisi'r Cyngor ar gyfer teledu cylch cyfyng, roedd yr adroddiad yn cynnwys gwybodaeth am feysydd gwaith yn y dyfodol. Nodwyd bod cais ar gyfer adnodd pwrpasol 12 mis i arwain ar gyflawniad y gwaith hwn, mewn cydweithrediad â swyddogion arweiniol yr adrannau, i'r Grŵp Llywio Rheoli Risg yn llwyddiannus a byddai'r swydd bellach yn cael ei hysbysebu.

Roedd y Bwrdd yn fodlon ar nodi bod y Polisi wedi cael ei ddatblygu i sicrhau bod yr holl wasanaethau perthnasol yn cydymffurfio â'r Côd Ymarfer er mwyn sicrhau dull cyson o ran casglu, storio, defnyddio a gwaredu data sydd wedi'i gofnodi ar y system teledu cylch cyfyng.

#### **PENDERFYNWYD YN UNFRYDOL:**

- 6.1. Bod y polisi corfforaethol newydd mewn perthynas â systemau teledu cylch cyfyng sy'n eiddo i'r Cyngor yn cael ei gymeradwyo;**
- 6.2. Bod Penaethiaid Gwasanaeth yn adolygu swyddogion arweiniol yr adrannau i helpu i weithredu'r polisi;**
- 6.3. Argymell i ysgolion y dylent fabwysiadu egwyddorion y polisi hwn.**

### **7. HYRWYDDO CAFFAEL BLAENGAR**

Bu'r Bwrdd Gweithredol yn ystyried adroddiad a oedd yn rhoi gwybodaeth fanwl am hyrwyddo caffael blaengar ac yn cynnwys argymhellion mewn perthynas â hyn.

Yn wreiddiol, cynlluniwyd cyfleoedd caffael blaengar o dan brosiect caffael bwyd sector cyhoeddus Sir Gaerfyrddin, a ariannwyd drwy gronfa Her yr Economi Sylfaenol Llywodraeth Cymru. Er ei fod yn dal i gael ei gefnogi drwy'r gwaith hwn, roedd sefyllfa COVID-19 wedi rhoi mwy o ffocws ac ysgogiad a chafwyd cyfle i ehangu cwmpas gwreiddiol y prosiect o fwyd yn unig i gwmpasu holl wariant caffael y Cyngor. Roedd gan y gwaith hwn gysylltiad agos iawn â chynllun adfer economaidd y Cyngor ac mae caffael blaengar yn un o themâu allweddol y cynllun hwnnw.

Roedd yr adroddiad a'r argymhellion yn benodol i'r Cyngor hwn ac roedd holl feysydd gwariant caffael y Cyngor wedi'u hystyried. Roedd swyddogion wedi gweithio'n agos gyda'r Ganolfan Strategaethau Economaidd Lleol a oedd wedi cyflawni'r gwaith gan ganolbwyntio ar y meysydd canlynol:

- Adolygiad Strategol;
- Adolygiad o'r dystiolaeth gan gynnwys dadansoddiad o'r economi leol; dadansoddiad o wariant; dadansoddiad o fylchau;
- Ymgysylltu â rhanddeiliaid;
- Adolygu a datblygu pecynnau cymorth sy'n bodoli eisoes;
- Cynllun Gweithredu Hyrwyddo Caffael Blaengar.

Nododd y Bwrdd y 9 argymhelliad allweddol o'r adroddiad CLES a oedd yn cynnwys camau a awgrymwyd i wneud cynnydd yn erbyn yr argymhellion.

Roedd yr adroddiad yn awgrymu sefydlu gweithgor gyda chynrychiolaeth o dimau caffael, datblygu economaidd a pholisi corfforaethol y Cyngor, gyda chyfraniad a chymorth gan wasanaethau perthnasol eraill y Cyngor ac aelodau perthnasol o'r Bwrdd Gweithredol i ddatblygu'r gwaith hwn ymhellach.

Byddai hyn yn ategu ac yn gweithio ochr yn ochr â rhwydwaith caffael a datblygu economaidd newydd o ran y Bwrdd Gwasanaethau Cyhoeddus a gynigwyd fel rhan o brosiect caffael bwyd y sector cyhoeddus.

Yn ogystal, byddai unrhyw newidiadau i bolisi a rheoliadau cyfredol y Cyngor o ganlyniad i'r gwaith pellach hwn yn cael eu cyflwyno yn ôl i'r Bwrdd Gweithredol a fydd yn gwneud y penderfyniad terfynol.

#### **PENDERFYNWYD YN UNFRYDOL:**

**7.1 Cymeradwyo'r 9 argymhelliad allweddol yn yr adroddiad i'w datblygu ymhellach a byddai unrhyw newidiadau i bolisi a rheoliadau cyfredol o ganlyniad i'r gwaith pellach hwn yn cael eu cyflwyno yn ôl i'r Bwrdd Gweithredol a fydd yn gwneud y penderfyniad terfynol.**

**7.2. Cefnogi ymagwedd Sir Gaerfyrddin yn gyntaf gyffredinol at wariant y Cyngor o dan £25K lle bynnag y bo modd.**

**7.3. Cytuno i sefydlu gweithgor swyddogion y Cyngor gyda chynrychiolaeth o wasanaethau caffael, datblygu economaidd a pholisi corfforaethol a gwasanaethau eraill y Cyngor ac aelodau perthnasol y Bwrdd Gweithredol fel y bo'n briodol. Bydd hyn yn ategu ac yn gweithio ochr yn ochr â rhwydwaith caffael a datblygu economaidd newydd o ran y Bwrdd Gwasanaethau Cyhoeddus a gynigir fel rhan o brosiect caffael bwyd y sector cyhoeddus.**

### **8. CYNLLUN ADFER A CHYFLAWNI ECONOMAIDD SIR GAERFYRDDIN**

Bu'r Bwrdd Gweithredol yn ystyried adroddiad a oedd yn rhoi gwybodaeth berthnasol am y Cynllun Adfer a Chyflawni Economaidd sydd ynghlwm wrth yr adroddiad. Roedd y cynllun yn nodi rhyw 30 o gamau gweithredu i gefnogi adferiad economi Sir Gaerfyrddin yn sgil effeithiau cymdeithasol ac economaidd y pandemig COVID-19 a Brexit.

Roedd yr adroddiad yn amlygu bod y wybodaeth a gasglwyd yn dangos bod yr Awdurdod a'r economi leol yn wynebu cyfnod eithriadol o anodd yn ystod y 24 mis nesaf gan fod effeithiau argyfwng Covid-19 yn rhoi pwysau ar swyddi a galw.

Diben y cynllun oedd nodi'r blaenoriaethau tymor byr a'r camau cyntaf ar gyfer y ddwy flynedd nesaf, sy'n diogelu swyddi a busnesau yn Sir Gaerfyrddin.

Nododd y Bwrdd ei fod yn hanfodol bod ymateb y Cyngor yn cyd-fynd ag anghenion busnesau a chymunedau ledled Sir Gaerfyrddin, gan fanteisio ar gyfleoedd i gyflymu newid er mwyn galluogi llwyddiant yn economi'r dyfodol.

Daeth adolygiad annibynnol o'r Cynllun Adfer Economaidd Drafft a'r 11 thema a ddatblygwyd pan oedd ton gyntaf y pandemig ar ei gwaethaf i'r casgliad bod y Cyngor ar y trywydd iawn ond bod angen i ni ganolbwyntio ar ein blaenoriaethau, herio'r ffyrdd presennol o weithio i fanteisio i'r eithaf ar gyfleoedd i fusnesau a'i gwneud mor syml â phosibl i gefnogi adferiad a thwf yn yr economi.



Gan gyfeirio at dudalen 24 yr adroddiad a'r paragraff 'Twf sy'n deg, yn gyfartal ac yn cefnogi'r Gymraeg a diwylliant Cymru', cynigwyd ac eiliwyd y cynnig i newid y geiriad i ddarllen; "At hynny, er mwyn cydnabod y ddynmeg newidiol sy'n ymwneud â lle mae pobl yn dewis byw a gweithio, byddwn yn annog busnesau **ledled y sir** i werthfawrogi a defnyddio'r Gymraeg".

Rhoddwyd cydnabyddiaeth i reolaeth ariannol ddarbodus y Cyngor gan alluogi'r Cyngor i roi cymorth i'r economi yn ystod caledi.

#### **PENDERFYNWYD YN UNFRYDOL:**

**8.1 dderbyn y wybodaeth ddiweddaraf am yr effaith y mae Covid-19 yn ei chael ar economi, busnesau a chymunedau Sir Gaerfyrddin;**

**8.2 cymeradwyo'r cynllun adfer a chyflawni economaidd arfaethedig yn amodol ar gynnwys y newid a nodwyd uchod i dudalen 24 yr adroddiad;**

**8.3 rhoi'r wybodaeth ddiweddaraf bob chwarter am berfformiad yn erbyn camau gweithredu'r cynllun cyflawni i'r Bwrdd Gweithredol.**

#### **9. CYLLID GRANT ADFYWIO AR GYFER Y DYFODOL.**

Rhoddodd y Bwrdd Gweithredol ystyriaeth i adroddiad a oedd yn rhoi gwybodaeth am gyllid sydd ar gael a allai helpu i gyflwyno Cynllun Adfer Economaidd Cyngor Sir Caerfyrddin a cheisiwyd cadarnhad gan y Bwrdd Gweithredol o'r fethodoleg arfaethedig ar gyfer cyflawni'r gwaith a oedd wedi'i nodi yn yr adroddiad.

Nododd y Bwrdd fod y Rhaglen Trawsnewid Trefi newydd wedi'i haddasu i roi ffocws ehangach ar ganol trefi gan alluogi cyllid i gwmpasu amrywiaeth o brosiectau a restrir yn yr adroddiad.

Roedd y Rhaglen Trawsnewid Trefi newydd yn cynnig mwy o hyblygrwydd o ran ei chwmpas ac felly argymhellwyd felly bod y cyllid newydd yn cwmpasu'r trefi canlynol; Llanelli, Rhydaman, Caerfyrddin, Porth Tywyn, Cydweli, Cwmaman, Cross Hands, Hendy-gwyn ar Daf, Talacharn, Sanclêr, Castellnewydd Emlyn, Llanybydder, Llandeilo a Llanymddyfri.

Argymhellwyd cynnwys Chwarter Bach yn y rhestr o drefi. Eiliwyd y cynnig hwn.

Darparodd yr adroddiad wybodaeth fanwl am y fethodoleg arfaethedig ar gyfer rhyddhau cyllid adfywio.

## **PENDERFYNWYD YN UNFRYDOL:**

**9.1 cefnogi'r fethodoleg arfaethedig ar gyfer gweinyddu'r cyllid grant adfywio ar gyfer y dyfodol sy'n cynnwys:**

- **Cronfa Datblygu Eiddo Masnachol ar gyfer Trawsnewid - Sir Gaerfyrddin**
- **Cronfa Mentrau Gwledig Sir Gaerfyrddin**
- **Cronfa Cychwyn Busnes**
- **Cronfa Tyfu Busnes**
- **Cronfa Ynni Adnewyddadwy Busnes**
- **Cronfa Cymorth Sgiliau Busnes**
- **Cyllid 10 Tref**
- **Rhaglen Trawsnewid Trefi Llywodraeth Cymru (yn flaenorol Rhaglen Targedu Buddsoddiad mewn Adfywio yn flaenorol (TRI))**

**9.2 bod Chwarter Bach yn cael ei gynnwys yn y Rhaglen Trawsnewid Trefi newydd.**

## **10. ADRODDIAD CYNNYDD YNGHYLCH SEFYDLU CYD-BWYLLGOR CORFFORAETHOL DE-ORLLEWIN CYMRU**

Rhoddodd y Bwrdd Gweithredol ystyriaeth i adroddiad a oedd yn rhoi trosolwg o'r gofyniad i sefydlu Cyd-bwyllgorau Corfforaethol. Roedd yr adroddiad yn ceisio awdurdod dirprwyedig i swyddogion gychwyn trafodaethau gyda'r awdurdodau y cyfeirir atynt yn yr adroddiad hwn er mwyn datblygu protocolau addas ar gyfer trefniadau'r Cyd-bwyllgor Corfforaethol yn Ne-orllewin Cymru.

Roedd yr adroddiad yn dangos bod Llywodraeth Cymru wedi gosod gofyniad i Gyd-bwyllgorau Corfforaethol gael eu sefydlu, a bod Rheoliadau'n cael eu gwneud gan Weinidogion Llywodraeth Cymru ar 17 Mawrth 2021 i sefydlu Cyd-bwyllgor Corfforaethol De-orllewin Cymru. Cafodd y swyddogaethau canlynol eu rhagnodi gan Weinidogion Llywodraeth Cymru fel rhai a oedd o fewn maes gorchwyl y Cyd-bwyllgor Corfforaethol:

1. Swyddogaeth llesiant economaidd;
2. Datblygu polisiau trafndiaeth a pharatoi cynlluniau trafndiaeth rhanbarthol;
3. Paratoi cynlluniau datblygu strategol.

Byddai llywodraethu yn elfen allweddol o Gyd-bwyllgorau Corfforaethol ac mae'n rhaid ystyried nifer o ffactorau gan Gyd-bwyllgorau Corfforaethol.

## **PENDERFYNWYD YN UNFRYDOL:**

**10.1 nodi'r gwaith sy'n cael ei wneud a'r camau nesaf sydd angen eu cymryd mewn perthynas â'r trefniadau llywodraethu ar gyfer Cyd-bwyllgor Corfforaethol De-orllewin Cymru;**

**10.2 dirprwyo awdurdod i'r Prif Weithredwr, mewn ymgynghoriad â'r Arweinydd, i gytuno ar gais am fenthyciad ar gyfer cyllid grant sy'n cael ei wneud i Lywodraeth Cymru er mwyn sefydlu Cyd-bwyllgor Corfforaethol De-orllewin Cymru a derbyn unrhyw gynnig grant allai gael ei wneud gan Lywodraeth Cymru (boed yn cael ei wneud i'r Cyngor hwn neu i Gyngor arall sy'n cymryd rhan yng Nghyd-bwyllgor Corfforaethol De-orllewin Cymru);**

**10.3** dirprwyo awdurdod i'r Prif Weithredwr gychwyn trafod gyda'r Awdurdodau hynny a fydd wedi'u cynnwys yng Nghyd-bwyllgor Corfforaethol De-orllewin Cymru i ddatblygu cynigion ar gyfer sefydlu Cyd-bwyllgor Corfforaethol De-orllewin Cymru;

**10.4** cyflwyno adroddiad pellach yn nodi'r diweddaraf o ran cynnydd.

## **11. UNRHYW FATER ARALL**

Dywedodd y Cadeirydd nad oedd unrhyw eitemau eraill o fater brys.

---

**CADEIRYDD**

---

**DYDDIAD**

Mae'r dudalen hon yn wag yn fwriadol

## Y BWRDD GWEITHREDOL

5 GORFFENAF 2021

**Y Pwyllgor Craffu – Diogelu'r Cyhoedd a'r Amgylchedd  
Adroddiad Terfynol y Grŵp Gorchwyl a Gorffen**

**GWASANAETHAU SAFONAU MASNACH –  
CYNLLUN DIOGELU RHAG CAMFANTEISIO ARIANNOL**

**Yr argymhellion / penderfyniadau allweddol sydd eu hangen:**

Ystyried yr adroddiad a chwe argymhelliad gan y Grŵp Tasg a Gorffen fel y manylir yn yr adroddiad.

**Y rhesymau:**

- Yn ei gyfarfod ar 10 Mehefin 2019, cytunodd y Pwyllgor Craffu – Diogelu'r Cyhoedd a'r Amgylchedd i sefydlu grŵp gorchwyl a gorffen i adolygu Cynllun Diogelu rhag Camfanteisio Ariannol (FESS) y Gwasanaethau Safonau Masnach.
- Lluniodd y Grŵp yr argymhellion sydd yn yr adroddiad ar ôl ystyried yr ystod o dystiolaeth oedd dan sylw mewn cyfres o gyfarfodydd rhwng mis Gorffennaf 2019 a mis Ebrill 2021 (bu bwlch yn ystod cyfnod yr adolygiad yn 2020 oherwydd y pandemig Covid-19) ac a gymeradwywyd gan y Pwyllgor llawn yn ei gyfarfod a gynhaliwyd ar 19 Ebrill 2021 (mae cofnod 5 yn cyfeirio).

Angen ymgynghori â'r pwyllgor craffu perthnasol: Adroddiad y Pwyllgor Craffu Mae'r adroddiad hwn yn cael ei gyflwyno gan Bwyllgor Craffu yr Amgylchedd a Diogelu'r Cyhoedd.

Angen i'r Bwrdd Gweithredol wneud Penderfyniad  
Angen i'r Cyngor wneud penderfyniad

Oes (5/7/2021)  
Nac Oes

**Yr Aelod o'r Bwrdd Gweithredol sy'n dal y Portffolio:** Y Cyngorydd Philip Hughes (Diogelu'r Cyhoedd)

|                                                                                                                                 |                                                                                                                                  |                                                                                                                                                   |
|---------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Cadeirydd y Grŵp Gorchwyl a Gorffen:</b><br/>Y Cyngorydd John James</p> <p><b>Awdur yr Adroddiad:</b><br/>Janine Owen</p> | <p><b>Swydd:</b><br/>Cadeirydd y Pwyllgor Craffu - Diogelu'r Cyhoedd a'r Amgylchedd</p> <p>Swyddog Gwasanaethau Democrataidd</p> | <p><b>Rhifau ffôn: / Cyfeiriadau E-bost:</b></p> <p>01267 224028<br/>JohnJames@sirgar.gov.uk</p> <p>01267 224030<br/>JanineOwen@sirgar.gov.uk</p> |
|---------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|

# EXECUTIVE SUMMARY

## EXECUTIVE BOARD

5<sup>TH</sup> JULY 2021

### **Environmental & Public Protection Scrutiny Committee Task & Finish Group Final Report**

#### **Trading Standards Services – Financial Exploitation Safeguarding Scheme (FESS)**

##### **1.0 Review Background**

The Environmental and Public Protection Scrutiny Committee has a key role to play in monitoring services, development of key policies and strategies, as well as identifying areas for improvement or development.

At its meeting on 10th June 2019, the Environmental & Public Protection Scrutiny Committee agreed to establish a task and finish group to review the Trading Standards Services – Financial Exploitation Safeguarding Scheme (FESS)

##### **2.0 The Scope and main aims of the review**

The Group agreed that the main aims for the review would be to:

- To explore whether the portfolio of crime prevention, victim support and education activities consolidated within the FESS initiative provided an effective strategy to help combat fraud victimisation and promoted corporate health and wellbeing objectives in the wake of the Social Services and Wellbeing Wales Act 2014 and the Wellbeing of Future Generations Act 2015.

The Group agreed that the main aims of the review would include:

- Assess the current training provision, integration of services, information sharing and strategy responses of key stakeholders and to explore opportunities for improvement.
- Explore whether current service provision is sufficiently robust, consistent, coordinated, non-duplicitous, provides measurable outcomes and presents value for money.
- Review current prevention strategies and the levels of support provided to fraud victims.
- Research new ways to raise the profile of the service and to attain recognition of the specialist body of skills, knowledge and support that Trading Standards provide to residents of Carmarthenshire.
- Formulate recommendations for consideration by the Executive Board.

### 3.0 Corporate / community objectives and well- being objectives

The Group agreed that the FESS initiatives coincided with the Council's Vision:

*'Life is for living, let's start, live and age well in a healthy, safe and prosperous environment'*

And that the review, in line with the work of FESS would contribute to achieving the following corporate / community objectives and well- being objectives and outcomes contributed to the following Carmarthenshire's Well-being Objectives from the County Council's Corporate Strategy 2018-23 (<https://www.carmarthenshire.gov.wales/media/1214849/corporate-strategy-2018-23.pdf>):

| Start Well/Live                                                                                                                                          | Age Well                                                                                                                                  | In a Healthy Safe and Prosperous Environment                                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| <b>Wellbeing Objective 1</b><br>Help to give every child the best start in life and improve their early life                                             | <b>Wellbeing Objective 9</b><br>Support good connections with friends, family and safer communities                                       | <b>Wellbeing Objective 15</b><br>Building a Better Council and Making Better Use of Resources |
| <b>Wellbeing Objective 5</b><br>Tackle poverty by doing all we can to prevent it, help people into work and improve the lives of those living in poverty | <b>Wellbeing Objective 10</b><br>Support the growing numbers of older people to maintaining dignity and independence in their later years |                                                                                               |
|                                                                                                                                                          | <b>Wellbeing Objective 11</b><br>A Council wide approach to support Ageing Well in Carmarthenshire                                        |                                                                                               |

### 4.0 Approach

A total of 10 meetings were held between September 2019 and April 2021, during which the Group considered evidence and information from a wide variety of sources. The sessions were designed to provide the Group with the relevant information, context and background to the topic. Between April 2020 and January 2021, the review took a period of hiatus due to the Covid-19 Pandemic.

The Task and Finish Group's membership was as follows:

- Cllr. John James (Chair)
- Cllr. Karen Davies
- Cllr. Joseph Davies
- Cllr. Penny Edwards
- Cllr. Jeanette Gilasbey
- Cllr. Dai Thomas

The Democratic Services Unit based in the Chief Executive's Department, provided research and general support to the Group.

The following officers provided specialist advice and support during the Group's review:

- Roger Edmunds - Consumer and Business Affairs Manager
- Huw Lloyd – Lead Trading Standards Officer (Fair Trading)
- Heidi Neil – Senior Consumer Protection Officer
- Quita Davies – Trading Standards Officer
- Andrew Passenger – Trading Standards Officer
- Annwen Davies – Trading Standards Officer
- Rhys Williams – Graduate Trainee Financial Safeguarding Officer
- Janine Owen – Democratic Services Officer

## 5.0 Recommendations

The Group recommends that:

1. That Trading Standards continues with its FESS initiative which supports the Council's well-being objectives and in leading the local authority response to financial exploitation, prevention, detection, education and enforcement.
2. That training packages in relation to financial exploitation and the FESS initiative are created and formally incorporated into the learning and development plan of all relevant authority employees and Councillors and that FESS be presented by way of an annual Members Seminar.
3. Further links should be created between Trading Standards and the Marketing and Communications teams regarding the FESS initiative to ensure greater prominence is given to fraud prevention via the Council Web Site and social media platforms and explore alternative ways of reaching the digitally excluded.
4. That the County Council gives the issue of financial exploitation greater prominence within the organisation by:
  - a. Securing its inclusion in corporate strategy and policy documents in relation to fraud and financial abuse.
  - b. Creating a Performance Measure to capture the scale and scope of fraud reported to the County by its consumers and businesses.
5. That the County Council seeks to safeguard, increase and consider developing budget streams so that the FESS initiative can continue to be sustainable and protect consumers and businesses in Carmarthenshire from financial exploitation/harm.
6. That the former Advice and Support in Carmarthenshire (ASC Network) of key public, private and 3<sup>rd</sup> sector stakeholders for example Social Services, Dyfed Powys Police, Citizens Advice Bureau and other Private and 3<sup>rd</sup> Sector partners is resurrected and sufficiently resourced to promote financial safeguarding practice, advice and support.

**DETAILED REPORT ATTACHED?**

**YES**



# IMPLICATIONS

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

Signed: Linda Rees-Jones Head of Administration & Law

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

## 1. Policy, Crime & Disorder and Equalities

Key strategic policies have been considered throughout the review and this review contributes towards achieving the Carmarthenshire County Council Well-being objectives as follows:

### Start Well

- Objective 1 - Help to give every child the best start in life and improve their early life
- Objective 5 - Tackle poverty by doing all we can to prevent it, help people into work and improve the lives of those living in poverty

### Age Well

- Objective 9 - Support good connections with friends, family and safer communities
- Wellbeing Objective 10 - Support the growing numbers of older people to maintaining dignity and independence in their later years
- Wellbeing Objective 11 - A Council wide approach to support Ageing Well in Carmarthenshire

### In a Healthy, Safe and Prosperous Environment

- Wellbeing Objective 15 – Building a Better Council and Making Better use of Resources

## 2.Finance

There are no additional costs in relation to recommendations 1,2,3,4 and 6 as these would be managed by way of the current CCC staffing resources and progress monitored through an action plan. However, there is an associated cost implication in relation to:

Recommendation 5 – the Task and Finish Group are recommending that the County Council seeks to safeguard, increase and consider developing future budget streams in order to ensure that the FESS initiative can continue to be sustainable and protect consumers and businesses in Carmarthenshire from financial exploitation/harm.

To achieve this the Task and Finish group would advocate additional resources to support the FESS initiative.

Additional finance (from Council Fund, HRA, Intermediate Care Fund and Proceeds of Crime) has already been identified to start new initiatives over the next 12 months.

These includes:

- Over £100,000 dedicated to new Truecall service to support targeted residents;
- £15,000 dedicated to developing FESS/Money Wise website;
- £15,000 on promotional/marketing activities to increase awareness

## CONSULTATIONS

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

Signed: Linda Rees-Jones Head of Administration & Law

### 1. Scrutiny Committee

This is a report produced by the Environmental & Public Protection Scrutiny Committee.

### 2 Local Member(s) – N/A

### 3. Community / Town Council – N/A

### 4. Relevant Partners – N/A

**5. Staff Side Representatives and other Organisations** – Officers from the Communities Directorate have contributed to and supported the work of the Task & Finish Group.

|                                                |                                                                                 |
|------------------------------------------------|---------------------------------------------------------------------------------|
| <b>EXECUTIVE BOARD PORTFOLIO HOLDER AWARE?</b> | YES<br>Councillor Phillip Hughes – Executive Board Member for Public Protection |
|------------------------------------------------|---------------------------------------------------------------------------------|

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

#### THESE ARE DETAILED BELOW:

| Title of Document                                                                            | File Ref No. / Locations that the papers are available for public inspection                                                                                                                                                                                           |
|----------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Task & Finish Group Planning and Scoping Document – E&PP Scrutiny Committee (10th June 2019) | <b>Draft Planning and Scoping Document / Minutes:</b><br><a href="https://democracy.carmarthenshire.gov.wales/ieListDocuments.aspx?CId=134&amp;MId=2936&amp;Ver=4">https://democracy.carmarthenshire.gov.wales/ieListDocuments.aspx?CId=134&amp;MId=2936&amp;Ver=4</a> |
| County Council's Corporate Strategy 2018-2023                                                | <a href="https://www.carmarthenshire.gov.wales/media/1214849/corporate-strategy-2018-23.pdf">https://www.carmarthenshire.gov.wales/media/1214849/corporate-strategy-2018-23.pdf</a>                                                                                    |
| References cited in page 37 of the Task and Finish Report on the review of                   | See page 37 of the Task and Finish Report on the review of Trading Standards – Financial Exploitation and Safeguarding Scheme                                                                                                                                          |



Mae'r dudalen hon yn wag yn fwriadol



# **A Review of Carmarthenshire County Council's Financial Exploitation and Safeguarding Scheme**

**FESS**



**A report from the Task and Finish Group –  
Environmental and Protection Scrutiny Committee**

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## **CHAIR'S FOREWORD**

It gives me great pleasure to present this final report of the Task and Finish Group review on the Financial Exploitation and Safeguarding Scheme (FESS).



When the suggestion of undertaking a review of the Trading Standards Services' Financial Exploitation Safeguarding Scheme was raised at the Environmental and Public Protection Scrutiny Committee forward work programme development session in February 2019, it was embraced by all members of the Committee who subsequently commissioned a Task and Finish review in June 2019.

During this review, it became clear that any person, at any age can fall victim of financial exploitation and it is alarming and unsettling to know that fraud is on the increase. It was most disconcerting to learn that vulnerable people were being targeted, making them more likely to become a victim of fraud.

FESS, created and developed by Carmarthenshire Trading Standards, is an invaluable initiative which works to detect and prevent financial exploitation of vulnerable persons.

There is no doubt that reviewing the scheme and learning about the initiatives involved has been insightful. Each member of the group has come away with a profound knowledge of the different types of fraud, the safeguarding approach, the victim support, and the challenges that the team face.

I applaud Carmarthenshire Trading Standards for creating the Scheme and the initiatives as well as managing the workload with such limited resources.

The review took a little longer to complete than planned due to a necessary period of hiatus during the Covid-19 pandemic. However, during the pandemic, it was clear that the operation of the Scheme was instrumental in managing the unprecedented increase of fraud cases, which in itself speaks volumes about the necessity of supporting and investing in the promotion of the scheme for future years.

I would like to thank all those who took the time to meet with the Group, without whom it would have been difficult for the group to acquire the necessary insight of the scheme and its initiatives both from an operational and outcome perspective.

Finally, I would like to extend my sincere thanks to the officers from Trading Standards Services within the Communities Directorate for their hard work, advice and support, the Democratic Services Department, as well as to the members of the Task and Finish Group for their contribution to the review.

**Councillor John James**

**Chair of the Task and Finish Group and**

**Chair of the Environmental and Public Protection and Scrutiny Committee**



## Members of the Task and Finish Group

|                                                                                     |                                                                                     |                                                                                       |
|-------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|
|    |    |    |
| <p><b>Cllr. John James (Chair)</b><br/>Burry Port<br/>Labour</p>                    | <p><b>Cllr. Karen Davies</b><br/>Saron<br/>Plaid Cymru</p>                          | <p><b>Cllr. Joseph Davies</b><br/>Manordeilo and Salem<br/>Independent</p>            |
|  |  |  |
| <p><b>Cllr. Penny Edwards</b><br/>Hengoed<br/>Labour</p>                            | <p><b>Cllr. Jeanette Gilasbey</b><br/>Kidwelly<br/>Plaid Cymru</p>                  | <p><b>Cllr. Dai Thomas</b><br/>Pen-y-Groes<br/>Plaid Cymru</p>                        |

### **Acknowledgements:**

Members of the Task and Finish Group would like to extend their sincere thanks to all those who took part in the Review:

#### **Internal expert advisors from the Trading Standards Department, Carmarthenshire County Council:**

- Roger Edmunds - Consumer and Business Affairs Manager
- Huw Lloyd – Lead Trading Standards Officer (Fair Trading)
- Heidi Neil – Senior Consumer Protection Officer
- Quita Davies – Trading Standards Officer
- Andrew Passenger – Trading Standards Officer
- Annwen Davies – Trading Standards Officer
- Rhys Williams – Graduate Trainee Financial Safeguarding Officer

Executive Board Member for Public Protection – Councillor Phillip Hughes

#### **Dyfed Powys Police representatives:**

Mr Dafydd Llewellyn, Police and Crime Commissioner  
Superintendent Chief Inspector Steve Cockwell, Head of Crime  
Mr Paul Callard, Manager - Economic Crime

#### **Partner Organisations:**

Mark Warren, Manager Carmarthenshire Care and Repair  
Robert Evans, CCC Home Improvement Agency Manager  
PCSO Rhian James, Dyfed-Powys Police  
Sarah Jones, Manager TSB Bank, Carmarthen  
Suzanne Gainard – Director - Carmarthenshire Citizens Advice Bureau

#### **Scrutiny Review Support:**

Janine Owen – Democratic Services Officer

## SUMMARY OF THE REVIEW

At its informal Forward Work Programme Development Session held on the 22<sup>nd</sup> February, 2019 the Environmental and Public Protection Scrutiny Committee agreed in principal to undertake a review into the Carmarthenshire County Council Trading Standards fraud prevention initiative – The Financial Exploitation Safeguarding Scheme (FESS).

Recognising that prevention is better than cure and that fraud presents an increasingly significant local and national issue of particular concern to elderly and vulnerable residents living in Carmarthenshire at its meeting held on 10<sup>th</sup> June, 2019 the Committee approved the decision to review FESS and commissioned a Task and Finish Group (TFG) to undertake the review.

As FESS is a long-established fraud prevention initiative operated by the council, the TFG were keen to review whether the current operational service provision in running FESS was sufficiently robust, consistent, coordinated, provided measurable outcomes and presented value for money.

### Scope and Aims:

The scope and aims of the review to explore whether the portfolio of crime prevention, victim support and education activities consolidated within the FESS initiative provide an effective local authority strategy to help combat fraud victimisation and promote corporate health and wellbeing objectives in the wake of the Social Services and Wellbeing Wales Act 2014 and the Wellbeing of Future Generations Act 2015.

The Group undertook the review to:

1. Assess the current training provision, integration of services, information sharing and strategy responses of key stakeholders and explore opportunities for improvement.
2. Explore whether current service provision is sufficiently robust, consistent, coordinated, non-duplicative, provides measurable outcomes and presents value for money.
3. Review current prevention strategies and the levels of support provided to fraud victims.
4. Research new ways to raise the profile of the service and to attain recognition of the specialist body of skills, knowledge and support that Trading Standards provide to residents of Carmarthenshire.
5. Formulate recommendations for consideration by the Executive Board.

Given the unprecedented circumstances society has found itself due to the COVID 19 pandemic which struck whilst this review was being undertaken, we have further included a short review of how the FESS has responded to fraud issues posed by the pandemic.

## 1.0. CONTEXT AND BACKGROUND

It is beyond the scope of the review to provide a full context for fraud as it is a crime that manifests itself in many different ways and is understood differently by the wide variety of agencies responsible for enforcing fraud legislation and supporting/ protecting victims.

The review seeks to look specifically at the financial safeguarding work undertaken by Trading Standards Officers under the FESS initiative in Carmarthenshire in relation to preventing and supporting victims of doorstep crime, telephone, mass mail and email fraud.

The primary focus of FESS is to protect and support vulnerable adults, either identified as victims of financial exploitation or 'at risk' of becoming victims due to a lack of care and support as defined by the Social Services and Wellbeing (Wales) Act 2014. However, access to the scheme and specialist support is available to all members of the public as part of the Trading Standards wider statutory fraud, consumer protection and enforcement remit.

It is important to consider the language used to describe fraud. For the purposes of the review: *"Scams are fraud and fraud is financial exploitation /abuse."* Such semantic distinction may further help identify any barriers in relation to fraud enforcement, victim support and safeguarding.

### 1.1 FRAUD NATION WIDE

Fraud is recognised by the Home Office as a significant national threat with links to serious organised crime.<sup>1</sup> The National Fraud Indicator (2011) estimated that national losses to fraud are in the region of £38 billion, however this figure includes corporate and non-consumer type fraud.<sup>2</sup> The Crime Survey for England and Wales shows that there were an estimated 3.8 million incidents of fraud in the year ending March 2019, with evidence of a rising trend that is also seen in other data sources making fraud the most common form of crime in England and Wales.<sup>3</sup>

To bring fraud into the context of this review and within the local realm of local authority Trading Standards Services, the Office of Fair Trading (2006) estimated that every year 3.2 million UK residents lose £3.6 billion to scams<sup>4</sup> and the National Trading Standards Scams Team estimate this figure to be now closer to £10 billion.<sup>5</sup>

As well as causing significant financial harm, the group recognised that fraud also impacts on health and wellbeing. 'Research has found that 45 per cent of fraud victims felt that the financial loss they experienced had an impact on their emotional wellbeing and 37 per cent reported a significant psychological or emotional impact.'<sup>6</sup>

<sup>1</sup> [Serious and Organised Crime: Home Office research priorities April 2018 to March 2021 \(publishing.service.gov.uk\)](https://www.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/544441/serious-and-organised-crime-research-priorities-2018-2021.pdf)

<sup>2</sup> Annual Fraud indicator [http://www.homeoffice.gov.uk/publications/agencies-public-bodies/nfa/annual-fraud-indicator/](https://www.homeoffice.gov.uk/publications/agencies-public-bodies/nfa/annual-fraud-indicator/)

<sup>3</sup> Nature of Fraud and Computer Misuse in England and Wales year ending March 2019 [Nature of fraud and computer misuse in England and Wales - Office for National Statistics \(ons.gov.uk\)](https://www.ons.gov.uk/peoplepopulationandcommunity/crimeandjustice/bulletins/natureoffraudandcomputermisuseinenglandandwales/2019-03-01)

<sup>4</sup> Office of Fair Trading (2006) Research on impact of mass marketed scams - A summary of research into the impact of scams on UK consumers OFT883 – Retrieved from: <http://www.icfs.org.uk/~icfs.org.uk/images/pdfs/60.pdf>

<sup>5</sup> National Trading Standards Scams Team (2016) Retrieved from: [http://www.dementiaaction.org.uk/assets/0001/9328/Safeguarding\\_PWD\\_from\\_Scams\\_-\\_Louise\\_Baxter.ppt&rct=j&frm=1&q=&esrc=s&sa=U&ved=0ahUKewiTy8vL0dHLahVLXBoKHSEIDZ0QFgg8MAc&usq=AFQjCNFwCFYbCXXzI0ph1\\_Pc7\\_eMSQHZIA](http://www.dementiaaction.org.uk/assets/0001/9328/Safeguarding_PWD_from_Scams_-_Louise_Baxter.ppt&rct=j&frm=1&q=&esrc=s&sa=U&ved=0ahUKewiTy8vL0dHLahVLXBoKHSEIDZ0QFgg8MAc&usq=AFQjCNFwCFYbCXXzI0ph1_Pc7_eMSQHZIA)

<sup>6</sup> MORE THAN JUST A NUMBER: IMPROVING THE POLICE RESPONSE TO VICTIMS OF FRAUD DECEMBER 2018 – THE Police Foundation

Overall responsibility for fraud enforcement and policy in general lies with the Police and UK Government, however the health and social care model of fraud prevention advocated by the FESS initiative means that fraud (where identified with financial abuse/exploitation) may be looked at through another lens and that policy in this area could also be viewed as a devolved matter.

## 1.2 FRAUD IN CARMARTHESHIRE

Unfortunately, the way complaints data in relation to fraud is received by the authority and the difference in language used to relate to fraud by the various stakeholders means that it is difficult to obtain a true picture of the scale of fraud locally.

- **That no local authority fraud measure exists was of great concern to the group.**

Trading Standards typically receive complaints data from Citizens Advice Consumer Services and/or local reports from colleagues or partner organisations, however these may initially manifest themselves as a 3<sup>rd</sup> party referral or notification of a scam, a request for service where a person for example is receiving lots of nuisance or 'scam' calls or where an unknowing victim is identified via site visit or identified as unwitting victim of a fraudulent/ rogue trader and where fraud may commonly be misidentified as a civil matter.

Where Trading Standards receive referrals relating to financial exploitation directly or from partners these are recorded as FESS Referrals on the Trading Standards Information System APP. It should be noted that all FESS referrals recorded here relate to high-risk individuals assessed/identified as previous victims and/or as vulnerable 'at risk' individuals.

**Fig 1. Carmarthenshire Trading Standards – FESS Referrals Carmarthenshire - 2019/20:**

| Date range                      | High Risk FESS Referrals |
|---------------------------------|--------------------------|
| January to December 2019        | 60                       |
| January 2020 to date (03.03.20) | 70                       |
| <b>Totals</b>                   |                          |

Source: Carmarthenshire County Council – CIVICA APP – FESS

The total amount of fraud complaints made to the authority is likely to far exceed the figures provided in Fig 1. due to the way FESS referrals change and develop through ongoing intervention/ support. For example, an officer supporting someone locally complaining about receiving nuisance calls uncovered engagement with a known prize draw and vitamin supplement fraud that had been going on for 9 years resulting overall loss of £46K. That the consumer did not identify this with fraud and did not wish to complain highlights the problem and difficulty in providing a more conclusive picture of the scale of fraud reported to the authority other than that provided in Fig 1.

**Fig 2. Dyfed Powys Police - Operation Signature's Referrals 2019/20:**

| Date range                      | Number of cases | High      | Medium     | Low        | Unknown/NA |
|---------------------------------|-----------------|-----------|------------|------------|------------|
| January to December 2019        | 439             | 47        | 106        | 283        | 3          |
| January 2020 to date (03.03.20) | 94              | 8         | 15         | 69         | 2          |
| <b>Totals</b>                   | <b>533</b>      | <b>55</b> | <b>121</b> | <b>352</b> | <b>5</b>   |

Source: Dyfed Powys Police – Operation Signature

Both FESS and Operation Signature figures provided the group with some insight and cause for concern when looked at in relation to research conducted by the Office of Fair Trading (2006) where it was suggested 'the majority of scams go unreported and that fewer than five per cent of people report them to the authorities.'<sup>7</sup>

If we were to conservatively make an estimate of unreported fraud on the figures reported to Trading Standards in 2019 of 60 high risk cases using the Office of Fair Trading (2006) estimate of a 5% reporting rate, this would equate to an estimate of 1140 unreported cases based on the Trading Standards figures alone and not factoring in the cases reported by Dyfed Powys Police.

Further to this, Age UK estimate that 53 per cent of people aged 65+ believe they have been targeted by fraudsters.<sup>8</sup> In Carmarthenshire based on population data generated on 1st January 2019<sup>9</sup> this would equate to some 23,766 people aged 65+ being targeted by fraudsters:

- Carmarthenshire Population as of 1<sup>st</sup> January 2019 = 187,568
- Carmarthenshire population aged 65> as of 1<sup>st</sup> January = 44,843
- 53% of 44,843 = 23,766

The Office of Fair Trading (2006) further found that 'up to 20 per cent of the UK population could be particularly vulnerable to scams, with previous victims consistently more likely to show interest in responding again'<sup>10</sup>

Whilst such estimates do not come anywhere near informing a comprehensive or detailed assessment of the scale of fraud within the County, when coupled with the reported figures from Dyfed Powys Police, national statistics, academic literature and Officers subjective experiences, it is reasonable to intuit the scale of fraud both locally and nationally to be significant and where a large number of older persons may also be targeted.

<sup>7</sup> Office of Fair Trading (2006) Research on impact of mass marketed scams - A summary of research into the impact of scams on UK consumers OFT883 – Retrieved from: <http://www.icfs.org.uk/~icfs.org.uk/images/pdfs/60.pdf>

<sup>8</sup> Age UK. (2015). Only the tip of the iceberg: Fraud against older people. Evidence review. Retrieved from <http://www.ageuk.org.uk/documents/en-gb/for-professionals/consumer-issues/age%20uk%20only%20the%20tip%20of%20the%20iceberg%20april%02015.pdf?dtrk=true>

<sup>9</sup> [Demographic statistics Municipality of CARMARTHENSHIRE, population density, population, average age, families,\(urbistat.com\)](http://www.urbistat.com)

<sup>10</sup> Office of Fair Trading. (2009). *The psychology of scams: Provoking and committing errors of judgment.* (OFT1070). Retrieved from [http://webarchive.nationalarchives.gov.uk/20140402142426/http://www.oft.gov.uk/shared\\_oftr/reports/consumer-protection/oft1070.pdf](http://webarchive.nationalarchives.gov.uk/20140402142426/http://www.oft.gov.uk/shared_oftr/reports/consumer-protection/oft1070.pdf)

The Alzheimer's Society estimate the number of people in UK with dementia predicted to rise from 850,000 to 1.1 million by 2025<sup>11</sup> and studies have shown that certain types of fraud, for example telephone fraud, can be positively correlated with older age<sup>12</sup> and approximately 1 in 20 adults can be expected to experience some form of financial exploitation past the age of 60 with cognitive impairment, commonly associated with older age increase the likelihood of victimisation.<sup>13</sup> To put this into a Welsh context, in 2008, 18 per cent of the population of Wales were over 65, by 2033 this is expected to rise to almost 26 per cent.<sup>14</sup>

- **With reported national average losses per victim amounting to £2952<sup>15</sup> the group recognises the threat posed by fraud to be of very serious concern.**

### 1.3 FINANCIAL EXPLOITATION SAFEGUARDING SCHEME (FESS)

The Financial Exploitation Safeguarding Scheme (FESS) was created by Carmarthenshire Trading Standards in December 2014 and aimed to establish a multi-disciplinary safeguarding network of key professionals and stakeholders concerned with preventing fraud against vulnerable people by carers, family members, doorstep criminals, telephone, mail and email fraud.

By linking existing trading standards fraud prevention and financial safeguarding activities to the policy requirements of the Social Services and Wellbeing (Wales) Act 2014, the initiative sought to promote the comprehensive body of fraud prevention and support work undertaken by CTS through a local professional's network to deliver more joined up support for victims of 'financial exploitation.'

FESS consolidated nine established Carmarthenshire Trading Standards financial safeguarding projects and changed the language used to depict 'fraud' to provide a vehicle to more easily promote their fraud prevention and support portfolio among health and social care partners based on the underlying 'safeguarding' theme rather than promoting nine separate scam or fraud prevention projects.

<sup>11</sup> Alzheimer's Society (2015) 'Dementia 2015: Aiming higher to transform lives.' Alzheimer's Society, London

<sup>12</sup> Correlates of Susceptibility to Scams in Older Adults Without Dementia (2013) – James.B.D, Boyle P.A, Bennet D.A  
<https://doi.org/10.1080/08946566.2013.821809>

<sup>13</sup> Cognitive, social and neural determinants of diminished decision making and financial exploitation risk in aging and dementia: a review and new model (2016) – Spreng N.R Karlawish J, Marson D.C – Journal of Elder Abuse & Neglect, 28:4-5, 320-344.

<sup>14</sup> National Assembly For Wales. (2011). *Key issues for the fourth assembly*. Cardiff: National Assembly for Wales.

<sup>15</sup> National Trading Standards Scams Team (2016) Retrieved from:  
[http://www.dementiaaction.org.uk/assets/0001/9328/Safeguarding\\_PWD\\_from\\_Scams\\_-\\_Louise\\_Baxter.ppt&rct=j&frm=1&q=&esrc=s&sa=U&ved=0ahUKewiTy8vL0dHLahVLXBoKHSEiDZ0QFgg8MAc&usq=AFQjCNFwCFYbCXXzl0ph1\\_Pc7\\_eMSQHZIA](http://www.dementiaaction.org.uk/assets/0001/9328/Safeguarding_PWD_from_Scams_-_Louise_Baxter.ppt&rct=j&frm=1&q=&esrc=s&sa=U&ved=0ahUKewiTy8vL0dHLahVLXBoKHSEiDZ0QFgg8MAc&usq=AFQjCNFwCFYbCXXzl0ph1_Pc7_eMSQHZIA)

#### **1.4. FESS INITIATIVES**

##### **1) trueCall© Nuisance Call Blockers - Project Start 2013 – Present**

127 free trueCall© nuisance call blocker devices have been installed in the homes of vulnerable people to prevent telephone fraud victimisation and/or as a palliative measure to give families respite at difficult times since 2013. The device works by intercepting all in-bound telephone calls, other than those from a pre-registered list of trusted telephone numbers. In addition, and in response to Covid-19 pandemic, Carmarthenshire Trading Standards have developed a system to monitor devices and generate alerts to officers when a service user is suspected of being exposed to fraudulent telephone calls. The section has recently received funding specifically for 500 additional trueCall© devices, which will be installed in residents' homes as part of a project to evaluate the efficacy of the monitoring programme over the next 12 months.

##### **2) Debt and Mental Health Interventions - Project Start 2014 – Present**

Trading Standards intervention where creditors do not take a consumer's mental health issues into account in debt situations. Using the Royal College of Psychiatrists/Money Advice Liaison Group Debt and Mental Health Evidence Form, Trading Standards have legal powers to intervene, support social care professionals and protect vulnerable persons from stress, anxiety and pressures of debt.

##### **3) Vulnerable Consumer Advice Interventions/ Expert Advocacy – Project Start 2000 – Present**

Expert advice and advocacy to vulnerable consumers, social care, advice and support for professionals to help vulnerable consumers access the criminal/civil justice system and identify potential policy issues.

##### **4) No Cold Calling Zones – Project Start 2006 - Present**

Trading Standards implement zones that prohibit cold calling in areas with high proportions of elderly or vulnerable persons. To date Trading Standards have implemented 56 zones in streets or housing complexes and one No Cold Calling Village (Cilycwm). All the zones have led to a reduction in incidents of doorstep crime / distraction burglary in those areas, thereby protecting vulnerable persons and enabling them to feel confident and safe in their homes. No Cold Calling Stickers can be obtained through request made via the Carmarthenshire County Council Contact Centre and are typically given out as part of an information pack at local events and when visiting service users in their homes.



Fig 3. No Cold calling Door Sticker/ Signage:



### No Cold Calling Farms

Having identified a potential link between cold callers arriving at farms offering goods and services and subsequent thefts on farms, Trading Standards (working alongside Dyfed Powys Police Rural Crime Team) have extended the No Cold Calling Zone project to establish No Cold Calling Farms. Farmers who have been subject to cold calls and/or victims of burglaries have been encouraged to place a 'No Cold Caller' sign on their farm entrance. To date, 18 No Cold Calling Farms have been established and a further 80 farms are on a waiting list. Trading Standards have received £1050 from the Police and Crime Commissioner to help pay for signage.

Fig 4. No Cold Calling Farms Signage:



5) **Buy with Confidence Scheme – Registered Traders Scheme -  
Project Start 2006 – Present**

In response to concerns about 'rogue traders' which are often highlighted in the media. The scheme is a continuation of the Carmarthenshire Trading Standards Local Registered Traders Scheme providing consumers with a list of local businesses which have given their commitment to trading fairly. Every business listed has undergone a series of detailed checks by Trading Standards before being approved as a member of the scheme. There are currently 26 businesses registered with a further 32 currently going through the stringent application process.

[www.buywithconfidence.gov.uk](http://www.buywithconfidence.gov.uk)

*Out of the 9 FESS interventions, 'Buy with Confidence' is currently the only chargeable initiative.*

**Fig 5. Buy With Confidence Scheme Logo**



6) **Consumer Financial Education/Awareness Money Wise –  
Project Start 2009– Present**

We provide community-based education and resources including a digital online teaching package (Money Wise) to develop financial skills, raise consumer awareness and computer literacy to facilitate financial and social independence. Over 100 Key Stage 2 classes across 80 schools in the county have registered for Money Wise. (See Appendix A)

[Moneywise: Carmarthenshire County Council Trading Standards](#)

7) **Banking Private and Third Sector Safeguarding Protocols – 2014 – Present**

Safeguarding agreements that help identify vulnerable people in the community such as in Banks, shops, advice and community organisations as part of an early intervention and prevention strategy the perspective that financial abuse may be symptomatic of other underlying health or social issues. For a partner to become a scheme member, an agreement in the form of a set protocol is signed. The Scheme member is presented the signed and framed protocol to place on public display. The protocol currently has 20 organisations signed up including 11 banks.

### 8) Don't Get Caught Scam Awareness Campaign – 2014 – Present

Scams awareness campaign conducted as pop-up shops in local Banks and Community Events – Designed around prize draw mock-up to attract and engage with persons who like the idea of winning prizes (A common hook used in certain types of mass marketing scams).  
(See Appendix B)

### 9) NTS Scams Hub – Intelligence Led Visits – 2014-present

National intelligence received from the NTS Scams Team is provided to the team a monthly basis. The information relates to residents who have been identified as engaging with known fraudsters where the NTS have seized information during their enforcement activities – We currently agree to only visit 12 persons per month due to resource issues.

## 1.5 LEGISLATION AND POLICIES

FESS has been recognised corporately as fulfilling a vital statutory support function for the purposes of compliance with the Social Services and Wellbeing (Wales) Act 2014 and the Wellbeing of Future Generations Act 2015. Promoting strategies of social and economic wellbeing, reducing poverty and preventing abuse and neglect and has been included within the following authority strategy/policy documents:

### Carmarthenshire County Council Corporate Policy Documents:

- Integrated Community Strategy 2011 – 16
- Corporate Strategy 2015 - 20
- Corporate Improvement Plan for 2015 - 16
- Ageing Well Plan (Incorporating Strategy for Older People) 2015 – 18
- Local Authority Revised Gambling Policy 2016

In addition to local Policy, FESS works within national safeguarding policy framework in relation the All Wales Safeguarding Procedures and officers have powers to investigate case of financial exploitation under the Consumer Protection from Unfair Trading Regulations 2008 and Fraud Act 2006.

### Policy Context - Social Services and Wellbeing (Wales) Act 2014

FESS promotes the health, wellbeing and independence of service users by working towards a joined-up approach to financial exploitation and contributing to a package of interventions that go beyond the offering of any one given department by:

- Providing new ways of working with other health/social care departments and private sector organisations to ensure that persons 'at risk' of financial abuse access and receive the necessary support where they do not necessarily meet the requirements for full social work interventions and support.

- Extending safeguarding principles into the private sector and increasing awareness of safeguarding policy and providing clear referral pathways for vulnerable people.
- Developing proactive detection strategies, mapping the demographics of vulnerable 'at risk' individuals to proactively facilitate targeted awareness campaigns and early intervention.
- Providing a valuable intelligence gateway and hub for the detection of criminality and information sharing that may provide valuable evidence of vulnerability/ safeguarding risk, apprehension and prosecution of offenders.

FESS brings with it private and 3<sup>rd</sup> sector involvement from high street banks and local advice and support services and is currently the subject of formal research with Cardiff University and has 36 local authority research partners across the UK who have signed up to promote their own local FESS initiatives.

## Wellbeing of Future Generations Act 2015 and Carmarthenshire County Council Corporate Wellbeing Objectives

The task and Finish Group agreed that FESS coincided with the Council's Vision:

***'Life is for living, let's start, live and age well in a healthy, safe and prosperous environment'***

In addition, the work of FESS contributed to the following Carmarthenshire's Well-being Objectives from the County Council's Corporate Strategy 2018-23

(<https://www.carmarthenshire.gov.wales/media/1214849/corporate-strategy-2018-23.pdf>):

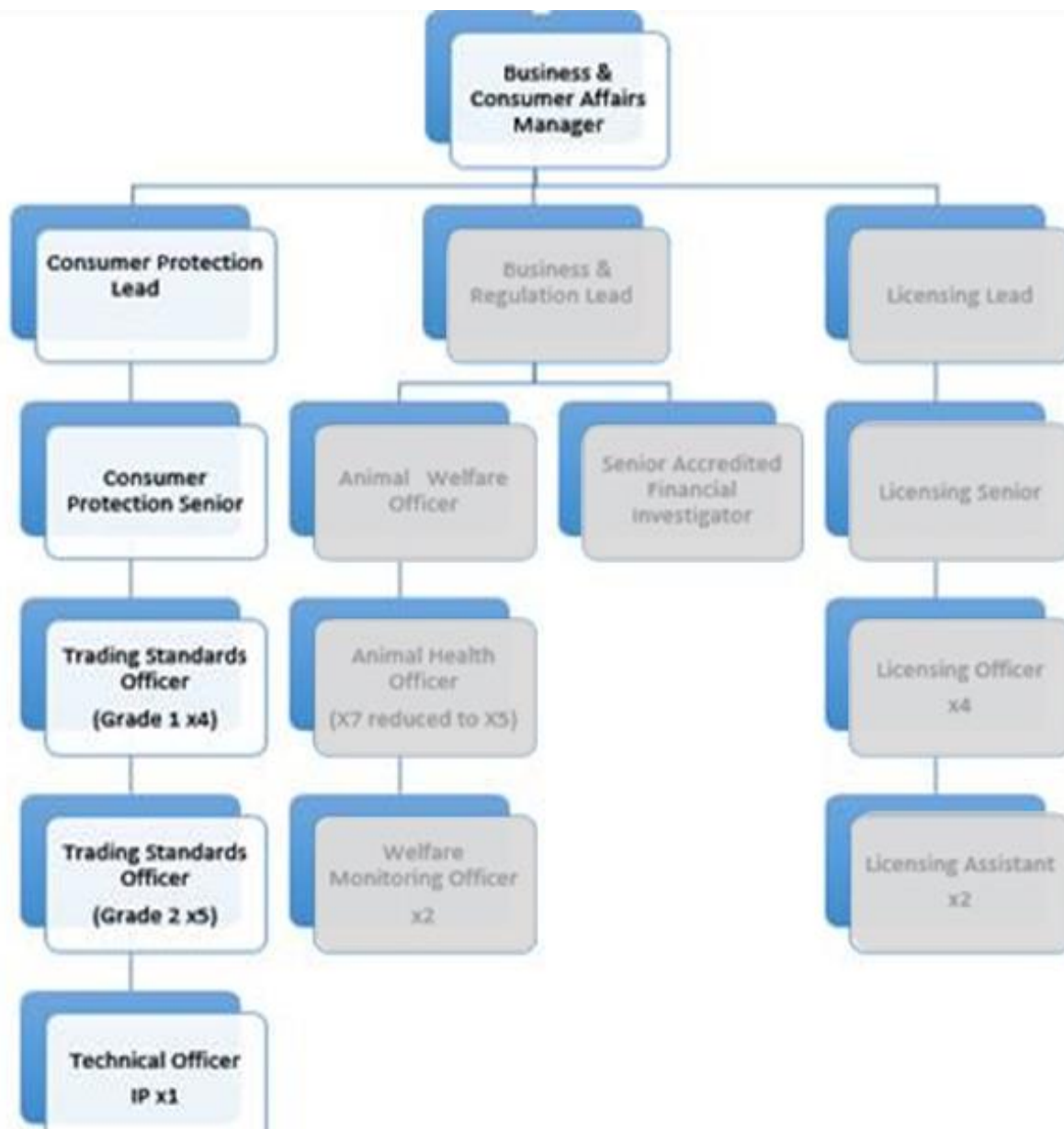


| Start Well/Live                                                                                                                                                                                                                                                                                                                                                                                                                               | Age Well                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Other                                                                                                                                                                                                                              |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Wellbeing Objective 1</b><br/>Help to give every child the best start in life and improve their early life</p> <ul style="list-style-type: none"> <li>• Moneywise</li> <li>• Don't Get Caught Scams Education</li> <li>• Consumer Advice Interventions/ Advocacy/ Education</li> </ul>                                                                                                                                                  | <p><b>Wellbeing Objective 9</b><br/>Support good connections with friends, family and safer communities</p> <ul style="list-style-type: none"> <li>• No Cold Calling Zones</li> <li>• trueCall</li> <li>• Don't Get Caught Scams Education</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <p><b>Wellbeing Objective 15</b><br/>Building a Better Council and Making Better Use of Resources</p> <ul style="list-style-type: none"> <li>• FESS</li> <li>• Private and 3<sup>rd</sup> Sector Safeguarding Protocols</li> </ul> |
| <p><b>Wellbeing Objective 5</b><br/>Tackle poverty by doing all we can to prevent it, help people into work and improve the lives of those living in poverty</p> <ul style="list-style-type: none"> <li>• Moneywise</li> <li>• Debt and Mental Health Interventions</li> <li>• trueCall</li> <li>• No Cold Calling Zones</li> <li>• Consumer Advice Interventions/ Advocacy/ Education</li> <li>• Don't Get Caught Scams Education</li> </ul> | <p><b>Wellbeing Objective 10</b><br/>Support the growing numbers of older people to maintaining dignity and independence in their later years</p> <ul style="list-style-type: none"> <li>• No Cold Calling Zones</li> <li>• trueCall</li> <li>• Don't Get Caught Scams Education</li> <li>• Consumer Advice Interventions/ Advocacy/ Education</li> </ul> <p><b>Wellbeing Objective 11</b><br/>A Council wide approach to support Ageing Well in Carmarthenshire</p> <ul style="list-style-type: none"> <li>• FESS</li> <li>• Private and 3<sup>rd</sup> Sector Safeguarding Protocols</li> <li>• Don't Get Caught Scams Education</li> <li>• Consumer Advice Interventions/ Advocacy/ Education</li> </ul> |                                                                                                                                                                                                                                    |

## 1.6 TRADING STANDARDS SERVICES

Carmarthenshire Trading Standards Services sits within the Department of Communities – Homes and Safer Communities – Business and Consumer Affairs division.

The team has an annual budget of £758,657 per annum which provides for the following departmental structure:



Trading Standards Officers are responsible for enforcing around 40 Acts of parliament and over 1,000 associated regulations, which impact on all aspects of daily life, from the safety of children's toys, to the honesty of property descriptions when buying a home. The Trading Standards department, have a statutory obligation to undertake work in relation to:

- Legal Metrology - (Weights and Measures)
- Petroleum/Explosives licensing
- Product Safety
- Intellectual Property
- Fair Trading Enforcement
- Fraud
- Underage Sales
- Advice and Guidance

### 1.7. FESS RESOURCES

The Trading Standards department does not have a dedicated FESS officer and the work currently accounts for approximately 1.5 Full Time Equivalent – This is worked out as a spread over 6 full time staff who in addition to their daily job carry out the work of FESS, equating to approximately a quarter of their time.

The cost attributed to FESS alone between December 2014 to November 2019 is as follows:

|                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Departmental Core Budget:</b></p> <p><b>£350,000 over 5 years<br/>= £70K PA</b></p> | <p><b>Additional Non - Core Funding:</b></p> <ul style="list-style-type: none"> <li>• <b>£39,400</b> trueCall©:<br/><br/>Asset Confiscation - Proceeds of Crime Act (POCA)<br/>Grant Funding Social Services Intermediate Care Fund (ICF)</li> <li>• <b>£10,000</b> Money Wise Website:<br/><br/>Asset Confiscation - Proceeds of Crime Act (POCA)</li> <li>• <b>£5000</b> FESS Website:<br/><br/>Asset Confiscation - Proceeds of Crime Act (POCA)</li> <li>• <b>£15,000</b> Marketing Materials x<br/>5 years (£3,000 pa)<br/><br/>Asset Confiscation - Proceeds of Crime Act (POCA)</li> </ul> |
|-------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

During the same period (December 2014 - November 2019), FESS realised the following consumer benefit/savings:

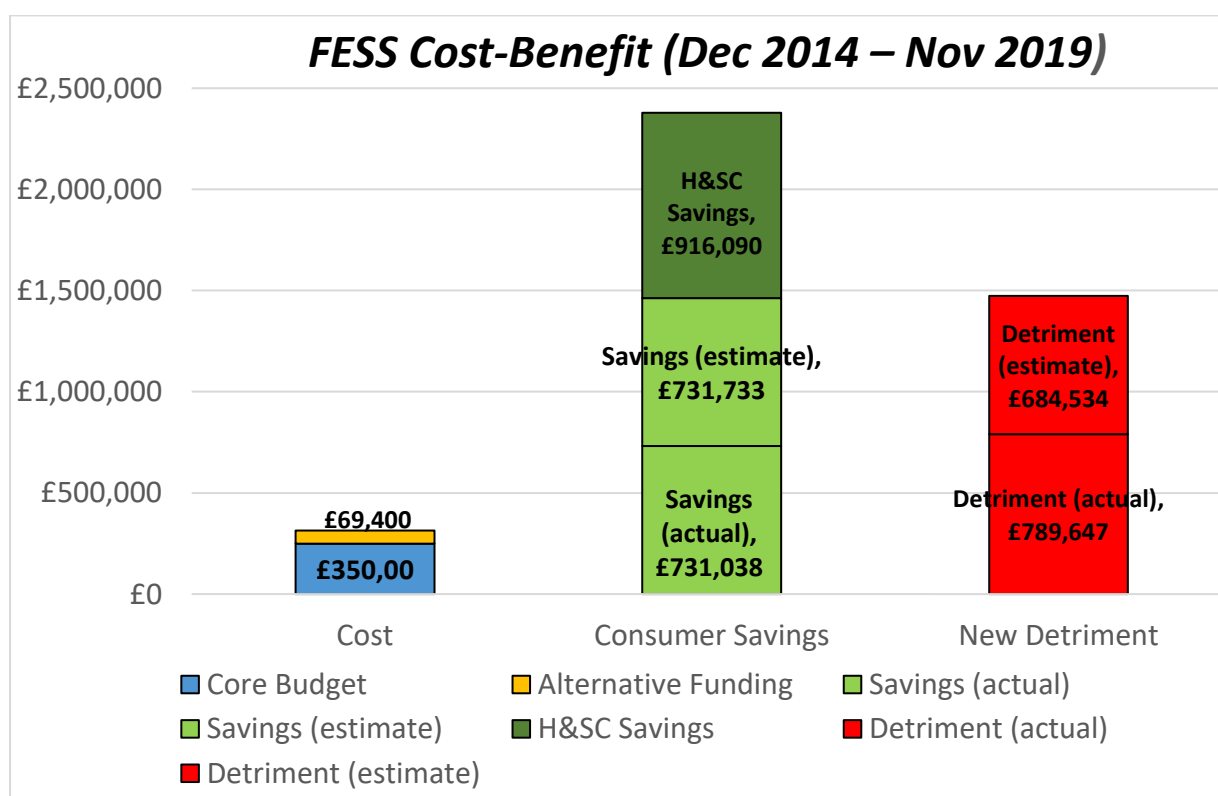
|                                                                                                                                                                                                                                   |                                                                                                                                                                                                        |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Prevention:</b> <ul style="list-style-type: none"> <li>• <b>£578,455</b> FESS Safeguarding referrals</li> <li>• <b>£456,928</b> NTS Scams Hub (estimate)</li> <li>• <b>£274,805</b> trueCall© (estimate: 105 units)</li> </ul> | <b>*Consumer losses not previously identified:</b> <ul style="list-style-type: none"> <li>• <b>£789,647</b> FESS Safeguarding referrals</li> <li>• <b>£684,534</b> NTS Scams Hub (estimate)</li> </ul> |
| <b>Redress:</b> <ul style="list-style-type: none"> <li>• <b>£129,583</b> Consumer refunds</li> <li>• <b>£23,000</b> Debt written off (DMHEF)</li> </ul>                                                                           |                                                                                                                                                                                                        |
| <b>Total = £1,462,771</b>                                                                                                                                                                                                         | <b>Total = £1,474,181</b>                                                                                                                                                                              |

\*Consumer losses not previously identified – During case investigations, it is often revealed that persons referred have previously been a victim and lost money that nobody knew about. These are financial losses that would have gone unrecorded had it not been for FESS Intervention.

**The Estimated health and social care savings identified as a result of the trueCall© system amounts to estimated total saving of £916,090 for a project cost of £16,275 – a payback of 56 times the cost.**

For a full break down of trueCall© Cost Saving Benefit Analysis please see Appendix C

The graph below summarises the cost benefits of FESS:





FESS is managed using multi-disciplinary officers and with the limited resources available, it has been essential to seek resources elsewhere.

Resources are not considered to be purely financial and FESS creates reciprocal joint working relationships between social care services, public protection and the private sector to extend the support offered to victims to reduce the financial and human resource burden on the respective teams in order that service users obtain specialist resource of respective teams where otherwise such support might have been precluded.

All partner agencies therefore provide intelligence that can assist Trading Standards with combating offences associated with financial exploitation, as well as providing advice, guidance and further support to those victims and potential victims affected.

Examples:

- Engaging with a Bank for the Bank to help support a victim and monitor a victims account. This may be reciprocated with the installation of trueCall© devices for vulnerable Bank customers to help prevent fraud victimisation and to prevent future losses to the bank where the bank has had to refund the victim under regulation.
- Identifying victims where financial exploitation has caused financial problem debts/ benefits etc. Referrals are made to The Citizens Advice Bureau – in exchange Citizens Advice have direct priority line communication with Trading Standards Officers and receive specialist training.
- Intervening where victims have Debt and Mental Health issues uses specialist regulatory powers of Trading Standards Officers. This may assist Social Workers and service users struggling with debt collection practices that may exacerbate vulnerability. Social Workers may provide specialist advice and support in relation mental health issues and/or wider client social support services/needs.

## 1.8 PROCEEDS OF CRIME

Trading Standards in Carmarthenshire take the lead in the authority in relation to asset confiscation under the Proceeds of Crime Act 2002 and have a dedicated Financial Investigation Unit comprising of 4 Officers who undertake asset confiscation not only for Carmarthenshire County Council Enforcement Teams but are also commissioned to undertake asset confiscation for other Local Authorities across the UK.

Assets/Money confiscated can be used to fund initiatives that aim to reduce the crime types from which the assets were generated by criminals.

Asset confiscation has been used to fund the following FESS initiatives in Carmarthenshire:

- **£39,400** trueCall©
- **£10,000** Moneywise
- **£5000** FESS Website:
- **£15,000** Marketing Materials x  
5 years (£3,000 pa)

Asset confiscation has also contributed to initiatives to home Syrian Refugees in Carmarthenshire and also helped to fund Foodbanks in the county.

## 1.9 MEMBERSHIP OF FESS NETWORK AND ITS PROTOCOL

Local Authority Members of the scheme who agree to promote a scheme locally receive a comprehensive and regularly updated promotional resource pack, periodic research updates and access to a member directory enabling further stakeholder engagement and the location of fellow scheme members with whom to liaise in the support of victims via the website: <https://fess.carmarthenshire.gov.uk> currently, there are 36 local authority members across the UK.

For a partner to become a scheme member, an agreement in the form of a set protocol is signed. The Scheme member is presented the signed and framed protocol to place on public display. The protocol currently has 20 organisations signed up including 11 banks.

Scheme members who follow the protocol forms a process of due diligence which helps to minimise the number of complaints and increasing membership of the initiative is something the team would like to build on based on resource and pandemic.

## 1.10 FRAUD INTELLIGENCE

Trading Standards obtain fraud intelligence from a variety of source including but not limited to:

- Direct referral/ complaints from public
- Local Authority Hwbs/ Delta Wellbeing IAA
- Citizens Advice Consumer Services
- Local FESS Scheme Members – Private/ 3<sup>rd</sup> Sector
- Local Police
- Local Health and Social Care Services
- Proactive Online Monitoring – Facebook Marketplace/ ebay etc.

Trading Standards have strong links with Citizens Advice Bureau both locally via a reciprocal Service Level Agreement with all three Citizens Advice Offices in the county enabling quick access to a wide variety of important of face-to-face advice and advocacy services and robust intelligence sharing protocols.

Nationally, Citizens Advice Consumer Services provide a national contact centre for consumer advice enquiries and Trading Standards receive details of all enquiries as notifications of civil consumer law advice provided and criminal referrals where criminal consumer protection law has been breached. Carmarthenshire Trading Standards have a Service Level Agreement with Citizens Advice Consumer Services to respond to all referrals within 5 days, also arrangements are in place to transfer vulnerable and criminal matters that require urgent and immediate attention. Citizens Advice Consumer Services further refer suspected to fraud complaints to the Police reporting centre Action Fraud and are a well-respected and reliable partner for Trading Standards Services across the UK.

National Fraud Intelligence for the Police is received locally and sits mainly with the Police National Reporting Centre (Action Fraud) run by the City of London Police. As part of FESS's ongoing research, a survey was undertaken with 27 participating local authorities the findings indicating poor engagement with/ from relevant stakeholders nationally.

Trading Standards across the UK report that details in relation to fraud intelligence are not routinely forthcoming from Action Fraud or local Police and that local relationships with the police fluctuate across the UK. See Appendix D - Financial Exploitation Safeguarding Scheme (FESS) - Pilot Study - Trading Standards Integration 1.

### **1.11 PROMOTION AND AWARENESS RAISING**

The FESS scheme aims to create closer working relationships between Trading Standards Services and local organisations to help identify and protect vulnerable persons who may be the victims of scams or other forms of financial abuse.

Currently, the promotion of FESS is very ad hoc, mainly due to limited resources. However, as there wasn't a co-ordinated approach or promoting structure in place, the Trading Standards department heavily relied upon word of mouth, talks/training and building relationships with partners to promote FESS for example Local Advice and Support Events i.e. 50+ forum, Pop Up Shops in Local Banks/ Building Societies, Shopping Centres etc, attending team meetings with social work teams for example the Community Team for Learning Disabilities, Adult Protection and Mental Health.

The initiative has also been promoted nationally and has received the following awards and recognition:

- Shortlisted – Poster Presentation - Association of Directors of Social Services Conference 2015
- Winner - Best Local Authority Exhibit - Chartered Trading Standards Institute Conference 2015
- Presentation - Older Persons Commissioner 2015
- Conference Presentation/ Workshop – Action on Elder Abuse – Cardiff City Hall 2016
- Presentation – Chief Executive - Care Inspectorate for Wales 2016
- Winner – Money Wise (Trading Standards and Environmental Health), The Municipal Journal Awards 2016
- Highly Commended (Innovation in Partnership) The Municipal Journal Awards 2016
- Shortlisted (Delivering Better Outcomes) The Municipal Journal Awards 2016

- Winner - Best Local Authority Exhibit (Chartered Trading Standards Institute - Conference 2016)
- Winner – Poster Presentation - The Welsh Public Health Conference 2016
- Invited to the Senedd, Cardiff Bay to speak with Assembly Ministers as part of Trading Standards Wales Position Statement 2017
- Winner – Chartered Trading Standards Institute – Hero Award – Outstanding Team – COVID - 19 Response 2020
- Inclusion - Financial Abuse Best Practice Exemplars – FESS and Delta Wellbeing – Older Persons Commissioner Research 2021.

## 1.12 COMMUNICATION

A plethora of organisations are available, including services within the Council that can provide advice and support to individuals and households in need throughout the County. A vast range of voluntary organisations such as Citizens Advice Bureau, Age Concern Cymru, and Shelter Cymru and other members of Advice and Support Carmarthenshire (ASC).

Advice and Support Carmarthenshire was originally created by Trading Standards and Citizens Advice Bureau in 2002 and re-launched in 2008 to provide a network/ forum enabling private sector/voluntary organisations to work collaboratively, share information and support people in an effective manner through referrals mechanisms.

- **The group noted that the Advice and Support in Carmarthenshire forum and directory had sadly since become redundant and that this was a great lost to the community.**

## 2.0 METHODOLOGY

Through a series of meetings, Task and Finish Group Members gathered information on the FESS initiative and undertook a comprehensive review covering areas including financial exploitation and the various projects that make up FESS.

The methodology applied incorporated various techniques which included a mixture of qualitative and quantitative methods, drawing upon data received from the Carmarthenshire County Council Trading Standards department and face to face discussions with partners and Dyfed Powys Police representatives.

Initially, it was planned that that the review would be completed in 8 meetings between September 2019 and April 2020. Unfortunately, in March 2020, further meetings were suspended with the production of the report being delayed due to the unprecedented impact of Covid-19 and resuming in February 2021.

### 3.0 KEY FINDINGS

In order to set the scene, Group Member received a comprehensive and interactive presentation detailing the history of FESS, which is outlined on pages 11-16 within this report.



#### 3.1. DISCUSSIONS WITH PARTNER ORGANISATIONS

Trading Standards department deal with many organisations in relation to the individual FESS initiatives.

In order to enable Group Members to glean information in relation to the current awareness level of our partners with regard to the FESS initiative, integration of services and the effectiveness of the current information sharing processes, operational staff members from each partner organisation were invited to a meeting.

Each Member of the Group held a one-to-one discussion with a Partner, which provided a comfortable setting to get the most out of the session.

The discussions highlighted that whilst some stakeholders had good grasp of the FESS initiative there were some that would benefit from further information and interaction with the Trading Standards team.

### 3.2 TRUECALL© NUSIANCE CALL BLOCKER: PRESENTATION AND DEMONSTRATION

Group Members were provided with a practical demonstration of how the trueCall© system operated within households and a comprehensive and informative presentation was delivered by Mr Steve Smith, Director of trueCall© which included detailed costs and benefits of the project.

It was estimated that the project had already prevented 77 scams and made savings of £274,805. Over a 5-year life of the units they would have blocked 217,615 nuisance calls (of which 43,775 would have been scam phone calls), prevented 258 scams, saved vulnerable households £408,902 and led to a reduction of £435,188 in NHS and health and social care costs  
[See Appendix C for a cost analysis.]

- **In light of the information received, group members could see significant value in the units and were encouraged by the figures and future financial savings that could be generated by further investment in the project.**



### 3.3 CASE STUDIES

Trading Standards Officers provided the Task and Finish Group with four consumer case studies, to provide an insight into some of the issues officers regularly come up against.

Officers explained the background of each case study and highlighted the identified issues and how the Trading Standards was able to assist the consumer with their issues within the standard Trading Standards Consumer Protection/ Enforcement remit and how Officers assisted consumers by undertaking social support work outside of their core remit using contacts and other known services developed through the FESS initiative.

In depth discussions took place between the Group Members and Officers in relation to the facts and investigation of the following cases:

### Case Study 1: – Plumbing complaint (CACS)

|                  | Issues identified                                                                                                                                                                                                                                                                                                                                                                                                                                    | What TS Did                                                                                                                                                                                                                                                                                                                                                                                                                               |
|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| TS Remit         | <ul style="list-style-type: none"> <li>Referred as a <b>vulnerable</b> consumer requiring <b>immediate assistance</b>.</li> <li>Allegation that T mis-sold LPG gas installation.</li> <li>Potential breaches of criminal legislation (The Consumer Protection from Unfair Trading Regulations 2008).</li> </ul>                                                                                                                                      | <ul style="list-style-type: none"> <li>Investigated potential breaches of consumer protection legislation but none found.</li> <li>Negotiated a civil resolution to the consumer's complaint.</li> </ul>                                                                                                                                                                                                                                  |
| Outside TS Remit | <ul style="list-style-type: none"> <li>C could not afford to buy more fuel due to <b>financial issues</b>.</li> <li>C's property required insulating / state of disrepair.</li> <li>Evidence of <b>drug use</b> and <b>anti-social behaviour</b> at the C's property - Concern for C's <b>welfare</b>.</li> <li>Gas cooker condemned and C could not afford to top-up her electricity.</li> <li>C suffered from several health conditions</li> </ul> | <ul style="list-style-type: none"> <li>Referred C to Housing Options.</li> <li>Contacted the Police regarding the potential criminal behaviour.</li> <li>Supplied C with basic groceries and topped-up her electricity card.</li> <li>Referred C to the Citizens Advice Bureau (CAB) for debt advice and access to emergency funds.</li> <li>Referred C to NEST and Care &amp; Repair.</li> <li>Referred C to Social Services.</li> </ul> |

### Case Study 2: – Identity theft (Adult Safeguarding Team)

|                  | Issues identified                                                                                                                                                                                                                                                                                                                                                              | What TS Did                                                                                                                                                                                                                                                                                                                                      |
|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| TS Remit         | <ul style="list-style-type: none"> <li>Referred as a <b>vulnerable</b> consumer / victim of alleged fraud</li> <li><b>Potential harassment</b> from debtors.</li> <li>Potential selling of counterfeit products (remit but no jurisdiction).</li> </ul>                                                                                                                        | <ul style="list-style-type: none"> <li>Obtained Action Fraud Reference number and contacted a number of creditors on C's behalf</li> <li>Investigated potential harassment from debtors but none found. (Consumer Credit Act 1974).</li> </ul>                                                                                                   |
| Outside TS Remit | <ul style="list-style-type: none"> <li>Various <b>medical issues</b> dealt with by district nurse.</li> <li>The investigation of certain Frauds – identity theft (Police).</li> <li>C required financial/<b>debt</b> advice (could seek advice from CAB).</li> <li>Fraudulent companies needed investigating (Companies House – but lack of administrative powers).</li> </ul> | <ul style="list-style-type: none"> <li>Supported the C in contacting creditors to report the fraud.</li> <li>A TS Financial Investigator investigated fraudulent companies and passed their findings to the Police.</li> <li>TS sought the relevant forms from Companies House and supported the C in completing and returning these.</li> </ul> |

## Case Study 3: – Contracted but potentially lacked capacity (Family member)

|                  | Issues identified                                                                                                                                                                                                                                                                       | What TS Did                                                                                                                                                                                                                                                                                               |
|------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| TS Remit         | <ul style="list-style-type: none"> <li>Referred as a <b>vulnerable</b> consumer.</li> <li>Chronic <b>financial exploitation/abuse</b> victim.</li> <li>Potential breaches of consumer protection legislation (The Consumer Protection from Unfair Trading Regulations 2008).</li> </ul> | <ul style="list-style-type: none"> <li>✓ Investigated potential breaches of consumer protection legislation but none found.</li> <li>✓ Contacted the T's home authority due to the large volume of complaints received regarding them.</li> </ul>                                                         |
| Outside TS Remit | <ul style="list-style-type: none"> <li>Potentially <b>lacked capacity</b>.</li> <li>Various <b>health issues</b> including memory loss.</li> <li>The complaint was impacting on the C's health and <b>wellbeing</b>.</li> </ul>                                                         | <ul style="list-style-type: none"> <li>✓ Conducted a welfare visit accompanied by the police.</li> <li>✓ Arranged for the C to seek legal advice.</li> <li>✓ Arranged for a Debt &amp; Mental Health Evidence Form to be completed.</li> <li>✓ Supported the C during negotiations with the T.</li> </ul> |

## Case Study 4: – Substandard work (CACS)

|                  | Issues identified                                                                                                                                                                                                                                                                                                                                                                                                                            | What TS Did                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| TS Remit         | <ul style="list-style-type: none"> <li>Referred as a <b>vulnerable</b> consumer (warm transfer)</li> <li><b>Repeat victim</b>.</li> <li>Potential breaches of consumer protection legislation (The Consumer Protection from Unfair Trading Regulations 2008).</li> </ul>                                                                                                                                                                     | <ul style="list-style-type: none"> <li>Investigated potential breaches of consumer protection legislation which resulted in the successful prosecution of the T.</li> <li>Instructed a chartered surveyor to assess the quality of the work conducted.</li> </ul>                                                                                                                                                                                         |
| Outside TS Remit | <ul style="list-style-type: none"> <li>The C was living amongst boxes of furniture which posed a <b>safety risk</b>.</li> <li><b>Disabled and in need of care</b> (sister initially provided this but was later unable to).</li> <li>The C had various <b>health issues</b> including being <b>distressed</b> and <b>anxious</b>.</li> <li>The C expressed <b>suicidal</b> thoughts on numerous occasions &amp; attempted suicide</li> </ul> | <ul style="list-style-type: none"> <li>✓ Moved boxes to ensure a clear escape route.</li> <li>✓ Contacted the C's Community Psychiatric Nurse, Social Services &amp; Safeguarding on various occasions due to concerns about the C's welfare.</li> <li>✓ Instructed Care &amp; Repair on the C's behalf.</li> <li>✓ Sign-posted to housing options</li> <li>✓ Arranged for refuse collection from doorstep (as outside Social Services' remit)</li> </ul> |

The case studies presented proved very informative and prompted much discussion among the review panel and provided much insight and context to the work and motivation of Trading Standards Officers working on the FESS initiative.

- **The group were heartened by the care and concern provided by officers to victims (in one instance Officers had actually used their own money to top up a vulnerable persons electricity meter) and the group were generally impressed by the level of care and willingness to go the extra mile evidenced by the case studies.**

The exercise provided a catalyst for members of the review panel to attend live site visits with Officers.



### 3.4 MEETING WITH REPRESENTATIVES FROM DYFED-POWYS POLICE

In order to obtain wider view of the provision of fraud enforcement, prevention and support arrangements in the Carmarthenshire, it was important that the group obtain information on the matter from from the perspective of Dyfed Powys Police.

The Group invited Mr Dafydd Llywelyn, Police and Crime Commissioner, Chief Superintendent Steve Cockwell and Head of Crime Paul Callard, Manager – Economic Crime Team to its meeting on 5<sup>th</sup> March 2020 to discuss the subject of fraud.

The following Trading Standards Officers were also present:

Huw Lloyd (Lead Officer Fair Trading)  
Heidi Neil (Senior Consumer Protection Officer).

In order to get the most from the meeting, the Group, prior to the meeting, provided the attendees with a brief on FESS and a series of questions.

During the discussions, the police representatives raised the following actions which would benefit the function and purpose of FESS going forward as well as improve communication between services:

- A planned monthly open-dialogue between LA's Trading Standards Departments within the DPP area and the Police– via conference call.
- Police Engagement Officers and the Enablement Police Teams (4 areas) to make themselves known to Local Councillors.
- Enable Trading Standards department to provide training to Police Officers.

The notes of the meeting are located at Appendix E.



### 3.5 DATA SHARING: WHAT ARE THE ISSUES?

It was acknowledged that whilst sharing information with other organisations is fundamental to good practice in safeguarding adults as long it is the right information, at the right time, with the right people, it was also highlighted as a challenging and difficult area of practice.

The areas of the police force and Local Authority Trading Standards are often not coterminal and may have different IT systems, thus making the sharing of information a complex practice.

However, the law does not prevent the sharing of sensitive, personal information between organisations where the public interest served outweighs the public interest served by protecting confidentiality – for example, where a serious crime may be prevented. The difficulties seem to stem with the Data Controllers of the organisation.

### 3.6 WHAT WAS IDENTIFIED?

It is fair to say that there is a significant amount of work being undertaken by both the Police and Trading Standards to identify fraud, train others, reduce fraud, prevent fraud from happening and support victims of fraud. However, whilst the approaches and initiatives assembled are similar in some instances, they are operated independently.

During the meeting, both the Police representatives and Trading Standards recognised that in order to provide a more consistent and coordinated response to financial exploitation there should be an enhanced engagement with both Operation Signature and FESS in future.

In order to improve links between the Police and Trading Standards Departments, the Economic Crime Manager offered to facilitate a monthly conferencing call consisting of Dyfed Powys Police and all Local Authority Trading Standards within the DPP area.

- **The group were disappointed to note that at the time of publication/writing that conference call arrangements had not been forthcoming.**

In relation to the Action Fraud line, it was reported to Group Members that there had been issues with the Action Fraud line, whereby it was difficult for a victim to get through on the line and there was a delay in the service. Dyfed-Powys police having recognised this were keen to provide a more 'local' service for the people within the police area and were currently in discussions to create an improved service.

The meeting generated much discussion and debate and provided respective organisations with much insight into the work of the other – the meeting provided a valuable insight into the wider UK Government strategy response to fraud enforcement, prevention and support.

The Group was provided statistics for the Dyfed Powys region and indicated that much fraud data and referrals comes from the City of London Police contact Centre (Action Fraud) with whom they appreciate there had been some issues. (See Fig 2).

### 3.7 SITE VISITS

On the 25<sup>th</sup> November, 2019 two members of the group accompanied a Trading Standards Officer on a site visit to the home of a vulnerable consumer.

The consumer in question had engaged with a local contractor to replace her roof. However, as a result of poor workmanship the property had been left in squalor and the work was not compliant with Building Regulations. Furthermore, due to the state of the property the consumer was residing on site in a caravan with very little facilities.

The Councillors were briefed on the ongoing criminal investigation by Trading Standards and informed on the involvement of other organisations/partners that Trading Standards had engaged with to support the victim - Citizens Advice Bureau, Housing, Building Control, Nest etc.

During the visit the Councillors were able to gain an insight into the work and support mechanisms provided by Trading Standards and were also able to speak to the consumer and gain an insight into the impact the matter was having on them.

The group member was shocked by the state of the property, the conditions within which the vulnerable person was living in and how low and distressed the victim was because of the issues.

- **The group member was moved to tears stating: “I was lost for words when visiting the victim at her property, I felt so sorry for all the victims was going through with regards the works not being done at the property. I held back my tears which was hard throughout the visit. I showed compassion to the victim by giving them a hug and I thanked the victim for allowing us to visit her property. She was on my mind for the rest of the day and night.”**

#### 3.7.1 MONEY WISE

Money Wise is a web-based bi-lingual financial education programme, developed by Trading Standards in 2009. The lessons cover themes such as qualifications and employment, payslips and income tax, budgeting, consumer credit and consumer rights.

On 3<sup>rd</sup> December 2019, members of the group attended a training session for 10 primary school teachers delivered by Trading Standards officers. The training included a guide for teachers on navigating the website, an overview of the activities for pupils, how those activities meet the Key Stage 2 curriculum, and suggestions for extension and differentiated activities.

The session and the resources were very well received by the teachers in attendance, who commented on how comprehensive the teacher guide is and how visual and engaging the resources. [Moneywise: Carmarthenshire County Council Trading Standards](#)

- **The group member was genuinely impressed by the Moneywise program and the enthusiasm with which teachers and students alike had embraced it.**

### 3.7.2 BUY WITH CONFIDENCE LAUNCH

Carmarthenshire Trading Standards signed up as a Local Authority partners to the national trader approval scheme, Buy with Confidence (BWC) in 2018. Prior to that, the section had run a local Registered Traders Scheme.

The BWC website lists local businesses that have been vetted by Trading Standards and approved. Businesses are only included once they've completed a series of stringent checks, including a visit by a qualified Trading Standards professional, and those working in and around people's homes will also be criminal record checked. The businesses are regularly monitored by Trading Standards to help ensure consumers continue to receive a quality service.

On 19<sup>th</sup> February 2020, the Trading Standards hosted the official launch of the scheme in Carmarthenshire. The event provided members with an opportunity to meet Buy With Confidence scheme members and stakeholders and partner organisations both internal and external to Carmarthenshire County Council.

- **The group considered the initiative to be an invaluable tool in the fight against rogue traders and were impressed by the enthusiasm of scheme members who were very positive about the relationship with Trading Standards and how the initiative helps drive up standards.**

Buy with Confidence initiative has continued to attract new members during the Pandemic. Trading Standards Officers in Carmarthenshire have been tasked with enforcement of the Health Protection (Coronavirus Restrictions) Regulation 2020 and the initiative has helped provide direct Covid -19 compliance advice to scheme members as well as providing a directory of trusted traders to undertake Covid-Safe Essential Services.

<https://www.buywithconfidence.gov.uk/>



### 3.8. COVID -19 AND FESS:

Sadly, the pandemic has provided opportunities for criminals to exploit persons who may be more exposed to fraudulent approaches due to lockdown/shielding and isolation from support networks.

The Office of National Statistics report that the (COVID-19) pandemic is likely to have had differential effects on trends in fraud offences as a result of lockdown restrictions. For example, data from Action Fraud showed a 27% increase in "online shopping and auctions" fraud in the latest year (to 77,670 offences), which could be accounted for by the increase in online shopping. The data also showed a 17% decrease in "other advance fee" fraud (to 26,080 offences), which could be attributed to a reduction in holiday fraud figures as fewer holidays were booked. However, it is too early to say whether this is evidence of a change to longer-term patterns.<sup>16</sup>

[COVID-19 related scams - news and resources | Action Fraud](#)

[COVID-19: Fraud | Europol \(europa.eu\)](#)

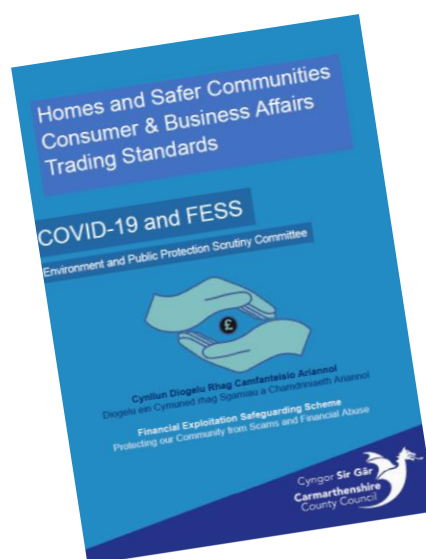
[Scams hit highest number on record in 2020 - but more than half of people who fall victim don't report them | UK News | Sky News](#)

[Fraud epidemic 'is now national security threat' - BBC News](#)

The FESS initiative quickly adapted to working at a distance and focusing on welfare calls, direct mail shots and providing enhanced support to our most vulnerable residents and as part of the review the group were provided with a comprehensive report/ presentation into the work the team undertook in response to the pandemic.

- **The group felt that the information contained within the FESS and COVID-19 report was so informative that it be presented to all members of the Environmental and Public Protection Scrutiny Committee and was added to the agenda for 3<sup>rd</sup> March 2021.**

The report on FESS and Covid-19 is located at Appendix F



<sup>16</sup> Crime in England and Wales Year Ending September 2020 - [Crime in England and Wales - Office for National Statistics \(ons.gov.uk\)](#)

## **4.0 CONCLUSIONS**

After all the evidence was collated the following conclusions were drawn:

The FESS initiative created by Carmarthenshire Trading Standards provides an invaluable service which protects the communities from scams and financial abuse, generates significant consumer savings and wider social and economic cost saving benefits for health and social care.

The initiative has received many awards since its implementation and been promoted with high level policy stakeholders and this provides testament to the value of the initiative within and to the authority.

FESS fulfils key requirements of the Social Services and Wellbeing (Wales) Act 2014 and contributes to the Councils vision and overall well-being objectives in compliance with Wellbeing of Future Generations Act 2015.

The current level of resources was a concern in terms of staff and the reliance on income derived from asset confiscation under the Proceeds of Crime Act 2002

There was clear evidence that the trueCall© project safeguards the elderly and vulnerable persons from becoming a victim of fraud and also provides wider social and economic cost saving benefits to health and social care services and that further investment into the trueCall© project (extending it to all elderly and vulnerable throughout Carmarthenshire) would be outweighed by the benefits.

Financial exploitation is a very significant issue particularly in the wake of the Pandemic and that it was key for agencies to tackle the issue by working together.

Since the scheme's introduction, the initiative has formed some good collaborative working practices between agencies in Carmarthenshire, however it was noted that this could be improved upon given more resources.

Given the resources available FESS provides a robust support structure which was corroborated through case studies and site visits to victims of fraud.

Since the scheme's introduction, the initiative has delivered a series of training sessions for community groups throughout the County, raising awareness of financial exploitation could easily be strengthened by utilising alternative Council sources.

Group Members were explicit in their opinion that all Members of Carmarthenshire County Council should take positive steps to be Champions of FESS by actively promoting the scheme.

Overall, it was acknowledged that there are barriers hindering implementation both internally and externally, however, it was apparent to the group that it was essential to be able to share safeguarding information due to the potential risks of not sharing it:

Whilst currently the usual practice is to 'refer' identified victims, this is a reactive measure rather than preventative and it all Group Members appreciated that the proactive approach FESS takes in identifying and supporting victims of financial abuse and are very much of the mind that prevention is better than cure.

The meeting held with the representatives from Dyfed Powys Police was found to be both interesting and informative. Through discussion it was revealed that the comparisons between the work that the Police undertake and the FESS initiatives were similar albeit the types of fraud investigated by the respective agencies could be more clearly defined.

It was recognised that there was a breakdown in communication links between the Police and Trading Standards that could in some instances cause duplication in methods and workload.

The collapse of the Advice and Support Carmarthenshire (ASC) network was deemed as unfortunate and through discussions between Group members and Trading Standards staff, it was established that a reinvestment into the network could prove to aid an exchange of information and assist to promote services.

It is fair to say that the Carmarthenshire Trading Standards have pioneered many significant projects over the years, many of which pre-empt policy and legislative developments by some 15 years and in some instances, the initiatives have gone on to contribute to the creation and development of new services and policy locally and nationally.

In addition to their core statutory duties, Trading Standards provide an invaluable authority service, which like a golden thread, touches upon all aspects of our lives and authority services. The team have proven themselves adaptable, versatile, creative and willing to innovate and encourage a culture of research and development to improve services and make things work better.

The group were unanimous in the view that the FESS initiative is sufficiently robust, consistent, coordinated, provides measurable outcomes and presents value for money and would deliver even greater social and economic cost saving benefits to the community through further investment and development.

## 5.0 RECOMMENDATIONS

Task and finish group have undertaken extensive research on the current Financial Exploitation and Safeguarding Scheme devised by Carmarthenshire County Council's Trading Standards department and as a result propose that the Executive Board approve the following six recommendations:

|                                                                                                                                                                                                                                       |                                              |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|
| <b>Recommendation One</b>                                                                                                                                                                                                             |                                              |
| That Trading Standards continues with its FESS initiative which supports the Council's well-being objectives and in leading the local authority response to financial exploitation, prevention, detection, education and enforcement. |                                              |
| <b>Associated Cost Implications</b>                                                                                                                                                                                                   | <b>Implementation Long/Medium/Short Term</b> |
| No Additional Costs                                                                                                                                                                                                                   | Short Term                                   |

|                                                                                                                                                                                                                                                                                       |                                              |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|
| <b>Recommendation Two</b>                                                                                                                                                                                                                                                             |                                              |
| That training packages in relation to financial exploitation and the FESS initiative are created and formally incorporated into the learning and development plan of all relevant authority employees and Councillors and that FESS be presented by way of an annual Members Seminar. |                                              |
| <b>Associated cost implications</b>                                                                                                                                                                                                                                                   | <b>Implementation Long/Medium/Short Term</b> |
| CCC Staff Resource                                                                                                                                                                                                                                                                    | Short Term                                   |

|                                                                                                                                                                                                                                                                                                                   |                                              |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|
| <b>Recommendation Three</b>                                                                                                                                                                                                                                                                                       |                                              |
| Further links should be created between Trading Standards and the Marketing and Communications teams regarding the FESS initiative to ensure greater prominence is given to fraud prevention via the Council Web Site and social media platforms and explore alternative ways of reaching the digitally excluded. |                                              |
| <b>Associated cost implications</b>                                                                                                                                                                                                                                                                               | <b>Implementation Long/Medium/Short Term</b> |
| CCC Staff Resource                                                                                                                                                                                                                                                                                                | Short Term                                   |

|                                                                                                                                                                                                                                                                                                                                                                                                                              |                                              |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|
| <b>Recommendation Four</b>                                                                                                                                                                                                                                                                                                                                                                                                   |                                              |
| That the County Council gives the issue of financial exploitation greater prominence within the organisation by: <ol style="list-style-type: none"> <li>a. Securing its inclusion in corporate strategy and policy documents in relation to fraud and financial abuse.</li> <li>b. Creating a Performance Measure to capture the scale and scope of fraud reported to the County by its consumers and businesses.</li> </ol> |                                              |
| <b>Associated cost implications</b>                                                                                                                                                                                                                                                                                                                                                                                          | <b>Implementation Long/Medium/Short Term</b> |
| CCC Staff Resource                                                                                                                                                                                                                                                                                                                                                                                                           | Short/Medium Term                            |



**Recommendation Five**

That the County Council seeks to safeguard, increase and consider developing budget streams so that the FESS initiative can continue to be sustainable and protect consumers and businesses in Carmarthenshire from financial exploitation/harm.

**Associated cost implications**

Additional Staff Resource

**Implementation Long/Medium/Short Term**

Medium Term

**Recommendation Six**

That the former Advice and Support in Carmarthenshire (ASC Network) of key public, private and 3<sup>rd</sup> sector stakeholders for example Social Services, Dyfed Powys Police, Citizens Advice Bureau and other Private and 3<sup>rd</sup> Sector partners is resurrected and sufficiently resourced to promote financial safeguarding practice, advice and support.

**Associated cost implications**

CCC staff resource

**Implementation Long/Medium/Short Term**

Medium Term

In order to monitor the progress of the recommendations, an action plan will be devised and managed through the in house developed Performance Information Monitoring System. A progress report will be monitored by the Environmental and Protection Scrutiny Committee.

The outcomes of the recommendations will also be reported to the Executive Board and Council within the Corporate Strategy Performance Monitoring Report.

## 6.0 APPENDICES

- Appendix A Moneywise
- Appendix B Don't Get Caught Scam Awareness Campaign
- Appendix C trueCall© Cost Saving Benefit Analysis
- Appendix D Financial Exploitation Safeguarding Scheme (FESS) - Pilot Study -Trading Standards Integration 1
- Appendix E Notes of the Task and Finish Group meeting with Dyfed Powys Police Representatives 5<sup>th</sup> March 2020
- Appendix F Report on FESS and Covid-19

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Serious and Organised Crime: Home Office research priorities April 2018 to March 2021  
(publishing.service.gov.uk)

Mae'r dudalen hon yn wag yn fwriadol

## Money Wise Online

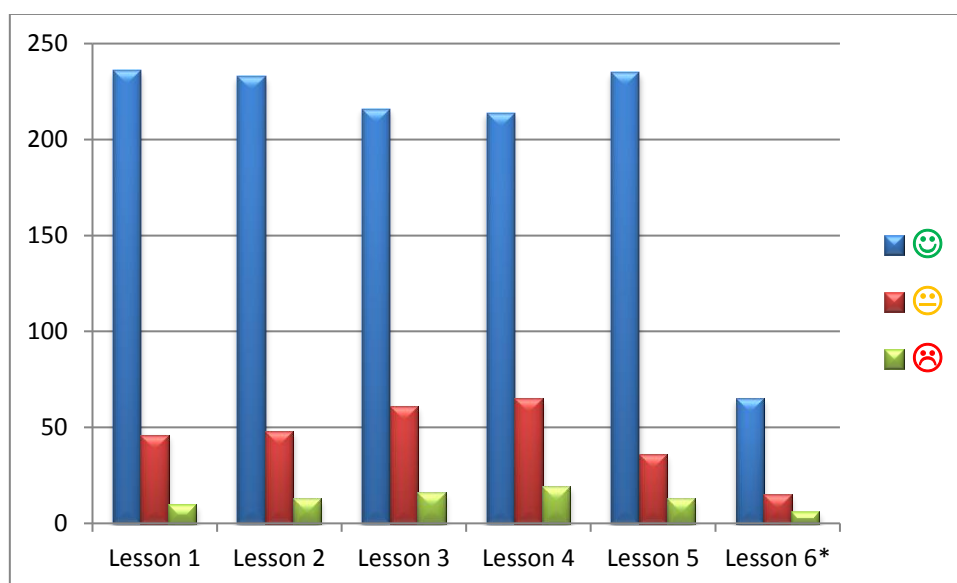
### What is Money Wise

Money Wise is a financial education initiative aimed at increasing the financial capability of the residents of Carmarthenshire. It was developed by Carmarthenshire Trading Standards Service following a review of poverty in the Local Authority by the Social Justice Scrutiny Committee in 2008-9. With responsibility for enforcing the Consumer Credit Act in Carmarthenshire, Trading Standards works closely with the Wales Illegal Money Lending Unit, and too regularly see consumers in financial difficulty.

### Key Stage 2 - background

Since 2009, TS officers have been delivering Money Wise lessons to year 6 pupils using specifically designed work books that take a sequential look at the concept of money, and consistently received extremely positive feedback from both students and teachers.

Student Feedback by lesson – 2009-2014 (Paper-based)



\*Programme was reduced from six to five lessons in 2011

## Teacher feedback – 2009-2014 (Paper-based)

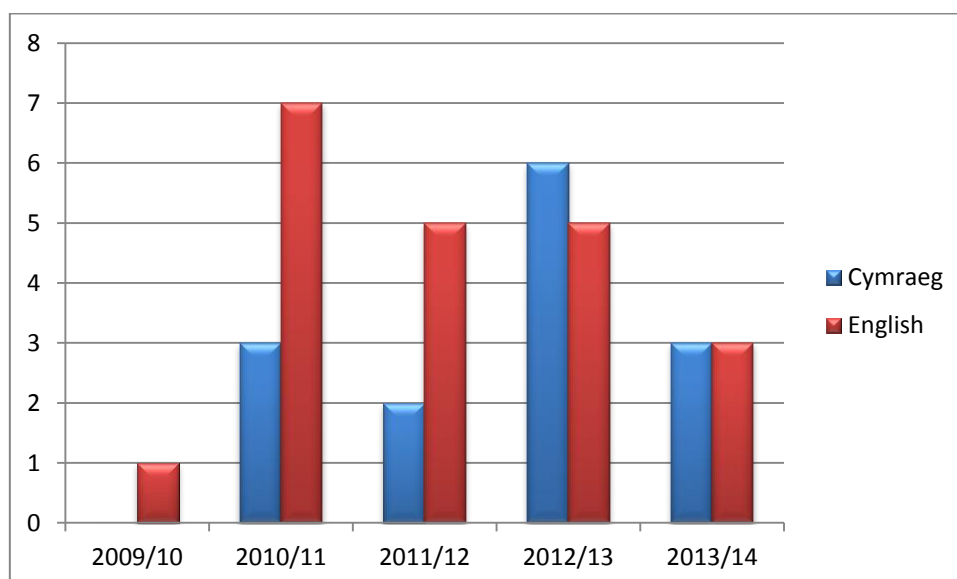
*“The pupils have gained so much during the week. The skills they have learned have been and will be vital for their future needs”* (Lakefield School)

*“I was surprised at the pupil responses ... and how mature the children were in understanding such ‘grown-up’ scenarios”* (Richmond Park School)

*“[The pupils] found the activities and areas for discussion very interesting – harnessed a real sense of understanding of real life”* (St Mary’s Catholic School)

As a result of limitations on capacity within the Trading Standards team we struggled to meet the high level of demand for the programme, with the maximum number of schools reached in an academic year being 11.

## Number of schools delivered to 2009-2014 (Paper-based)

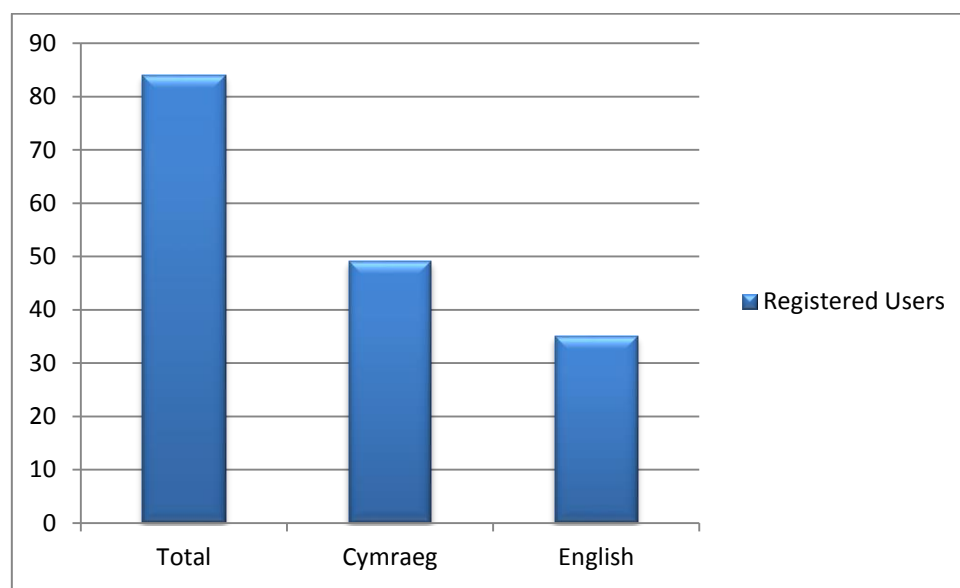


Fortunately, we have been able to use funds confiscated via the Proceeds of Crime Act to develop the work books into a web-based resource.

## Key Stage 2 - online

Money Wise Online ([moneywise.carmarthenshire.gov.uk](http://moneywise.carmarthenshire.gov.uk)) covers all the same themes as the paper-based version – employment and education, wages, payslips, income tax, budgeting, needs and wants borrowing money and consumer rights – and now enables each primary school in Carmarthenshire to deliver the programme in-house through a variety of interactive resources. Following training sessions held in December 2014 and January 2015 we now have 84 registered users across 69 primary schools in the county.

## Number of Registered Users 2015



To date we have had extremely positive informal feedback from the teachers that attended the training and have since been using the resources in the class room. The website has a function for both student and teachers to submit formal feedback, which we anticipate receiving by the end of the financial year.

### Marketing the website

Money Wise was always intended to be developed to target other demographic groups in the county. One school, in a particularly deprived area of Carmarthenshire, has already started inviting parents in to school to use the website with their children so that the whole family/community can benefit and we would love to be able to build on this. Again the anecdotal feedback from this school is very positive and we're expecting formal feedback from the parents imminently.

To date we have funded Money Wise through POCA funding but by marketing the Key Stage 2 website to schools and authorities outside of Carmarthenshire we hope that Money Wise will become self-sustaining. As such we can not only ensure the longevity of the Key Stage 2 website but the Money Wise project has a whole.

Mae'r dudalen hon yn wag yn fwriadol



**ENILLYDD**  
yn ddi-os!

**Guaranteed  
WINNER!**



Bob blwyddyn mae 3.2 miliwn o ddefnyddwyr yn y Deyrnas Unedig yn colli mwy na £3.5 biliwn oherwydd sgamiau, rafflau mawr ffug, twyll yn ymwneud â buddsoddi, a negeseuon e-bost sy'n gwe-rwydo pobl.

**Paid Cael dy ddal!**



Every year 3.2 million UK Consumers lose over £3.5 billion to scams, bogus prize draws, investment fraud and phishing emails.

**Don't get caught!**



**Paid cael dy ddal!**  
**Don't get caught!**

Safonau Masnach | Trading Standards



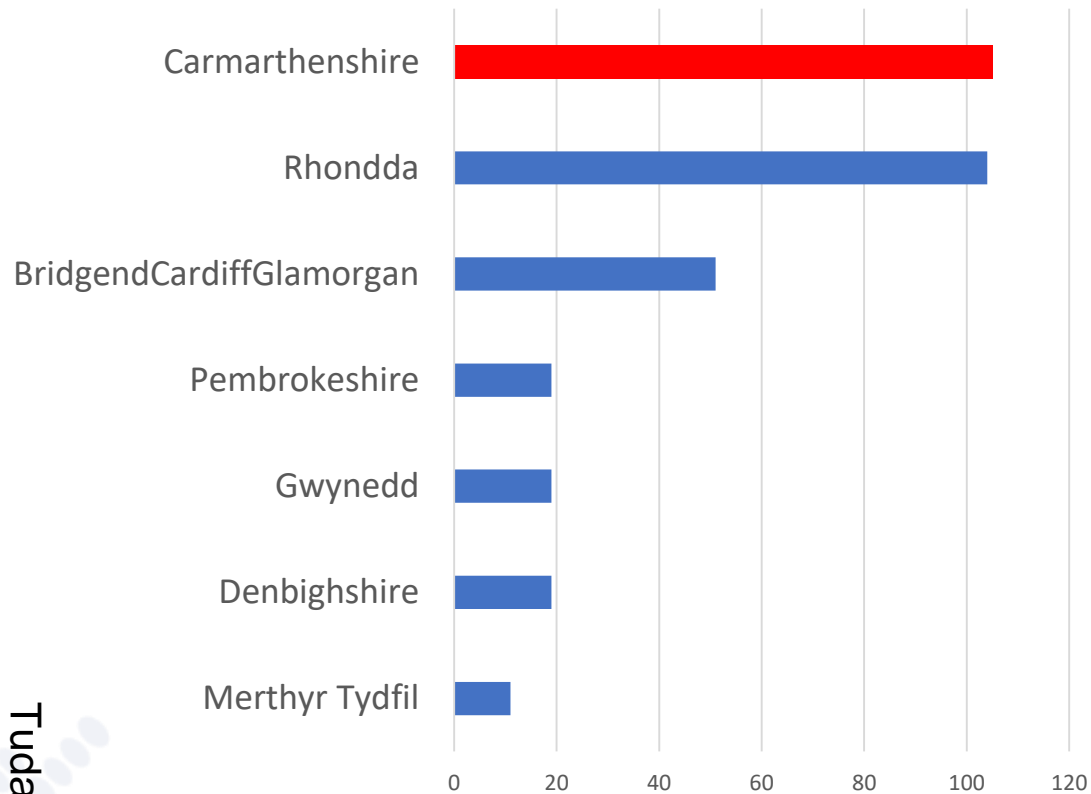
Mae'r dudalen hon yn wag yn fwiadod

# Protecting vulnerable residents in Carmarthenshire from scam phone calls

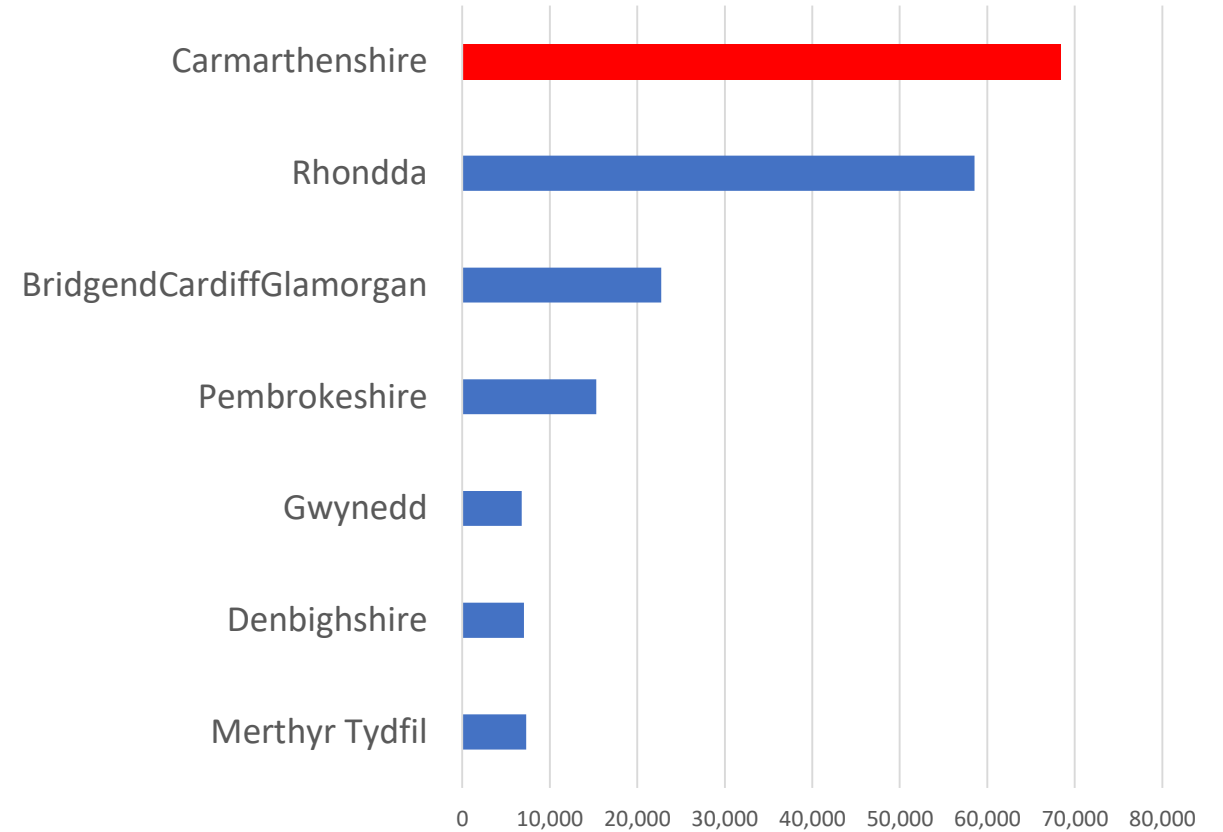


# trueCall units installed across Wales

## trueCall units installed



## Nuisance calls blocked



# Protecting Vulnerable Adults From Scam Phone Calls

Since 2013 Carmarthenshire Trading Standards have installed 106 call blockers to protect older and vulnerable people. So far 69,853 nuisance calls have been blocked, and an estimated 79 scams have been prevented.



x2

Residents were receiving 36 nuisance calls per month - twice the national average



43%

of all calls received were nuisance calls



99%

of nuisance calls were blocked by trueCall call blocking technology

£918,617 savings

Costs

Benefits

1:56

## Cost-Benefit analysis

It is estimated that the project has already prevented 79 scams, and made savings of £280,756. Over the 5 year life of these units they will have blocked 218,215 nuisance calls (of which 43,896 will have been scam phone calls), prevented 259 scams, saved vulnerable households £482,229 and led to a reduction of £436,388 in NHS and health & social care costs. This will be a total saving of £918,617 for a project cost of £16,430 – a payback of 56 times the cost.

## Comments from those protected by the trueCall call blockers



This made a huge difference and enable my mother to continue to live in her own home for longer



My mother no longer gets anxious and agitated. I cannot impress on you the positive impact this has made.



Thanks for making my phone my friend again!



---

# How do we calculate the costs and the benefits?



## Cost/Benefit analysis

---

We need to calculate the cost of the project and the benefits of the project, then see whether the benefits are greater than the costs

- Costs are easy to calculate
- Benefits are more difficult ....

The Benefits are the savings made because of the project – ie the costs that would have been incurred if the project hadn't happened

# What are the costs?

---



The cost of each trueCall unit is £155, including 5 years warranty, and 5 years use of the Internet Control Panel



# How do we calculate the benefits?

---

Number of nuisance calls received ?

X X

Proportion of nuisance calls that are scams ?

X X

Proportion of scam calls blocked by trueCall ?

X X

Likelihood of falling for a scam phone call ?

X X

Average amount lost to the scam ?

## Number of nuisance calls received

---

- The trueCall units supplied by Carmarthenshire Trading Standards are receiving an average of 36 nuisance calls per month
- Ofcom say the average across the UK is 18 per month, so this is twice as many nuisance calls as the average household receives
- 70,203 nuisance calls were received by these residents since 2013
- Over the five year life of these units – at the current rate – 229,700 nuisance and scam calls will have been received

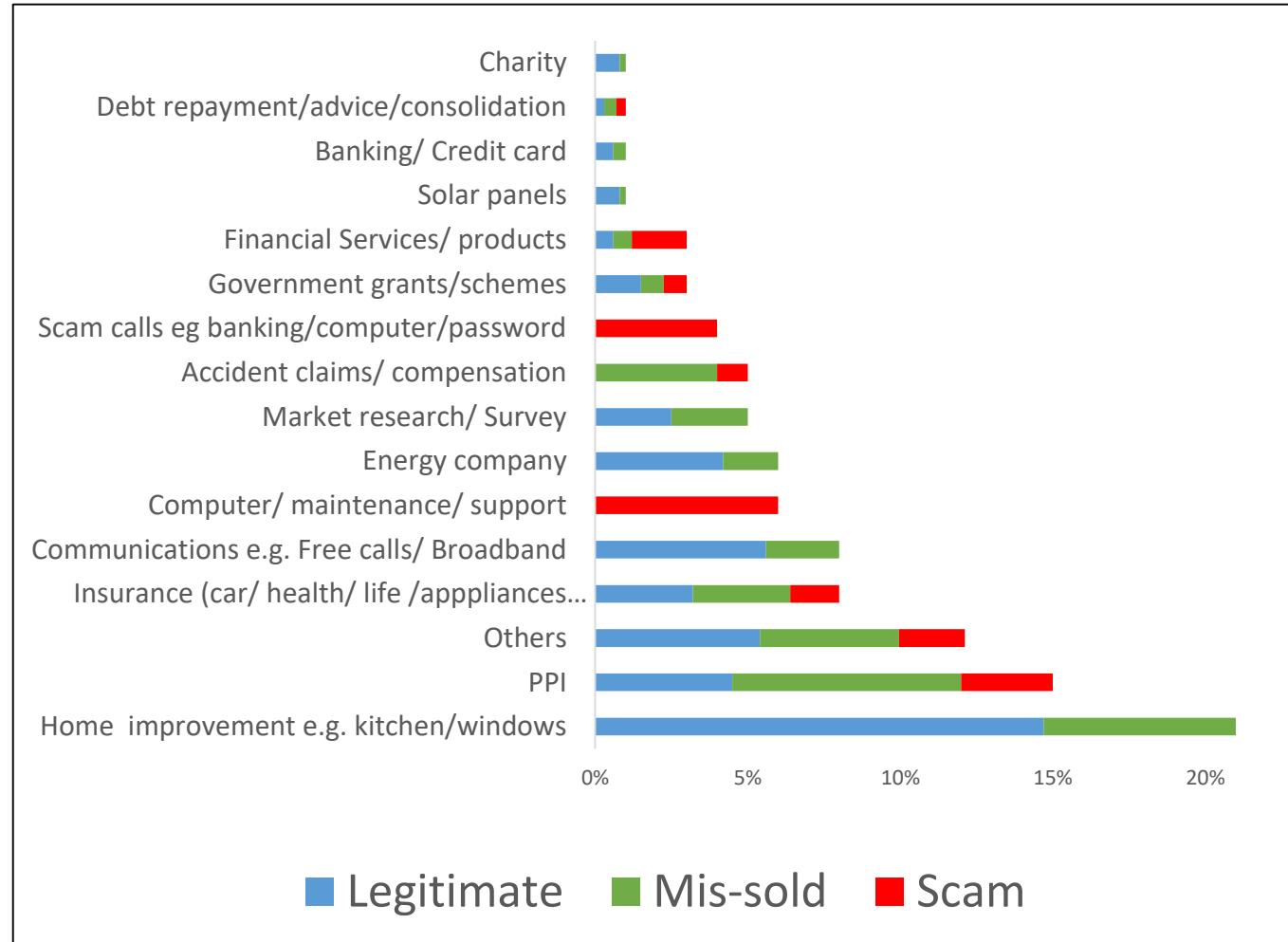
# How do we calculate the benefits?

|                                              |   |                |
|----------------------------------------------|---|----------------|
| Number of nuisance calls received            |   | <b>229,700</b> |
|                                              | X | X              |
| Proportion of nuisance calls that are scams  |   | ?              |
|                                              | X | X              |
| Proportion of scam calls blocked by trueCall |   | ?              |
|                                              | X | X              |
| Likelihood of falling for a scam phone call  |   | ?              |
|                                              | X | X              |
| Average amount lost to the scam              |   | ?              |

# How many nuisance calls are scam calls?

- Analysis of Ofcom data suggests that across all call types **21%** of nuisance calls are likely to be scams
- A Scottish Government report estimates that **30%** of calls received by the most vulnerable are scam calls
- A BT news release suggests that a minimum of **20%** of nuisance calls are scams
- In the USA the Federal Communications Commission estimates that **47%** of nuisance calls are illegal

We use **21%** as our estimate



# How do we calculate the benefits?

|                                              |            |
|----------------------------------------------|------------|
| Number of nuisance calls received            | 229,700    |
| X                                            | X          |
| Proportion of nuisance calls that are scams  | <b>21%</b> |
| X                                            | X          |
| Proportion of scam calls blocked by trueCall | ?          |
| X                                            | X          |
| Likelihood of falling for a scam phone call  | ?          |
| X                                            | X          |
| Average amount lost to the scam              | ?          |

## Data from various independent sources tested

While the trueCall has been shown to block 95%+ of nuisance calls, we know that scam calls are more difficult to block, so three studies were carried out:

The National Fraud Intelligence Bureau provided a list of 100 scam calling numbers - these had made 311 calls to trueCall customers. Of these 311 calls the caller had only spoken to the trueCall user on 27 occasions – ie trueCall prevented **91%** of scam calls getting through.

**National Fraud  
Intelligence Bureau**



Lincolnshire Police published a list of 29 phone numbers that were making scam calls – these had made 460 calls to trueCall users. Of these 460 calls the caller had only spoken to the trueCall user on 4 occasions – ie trueCall prevented **99%** of scam calls getting through.



**Lincolnshire  
Police**

Sussex Police identified 2 calling numbers that appeared to be carrying out the Microsoft scam. These two numbers made 76 calls to trueCall customers across the country, but trueCall stopped them all getting through – ie **100%** of them were blocked.



**Sussex Police**

We use the lower figure of **91%** as our estimate

# How do we calculate the benefits?

|                                              |            |
|----------------------------------------------|------------|
| Number of nuisance calls received            | 229,700    |
| X                                            | X          |
| Proportion of nuisance calls that are scams  | 21%        |
| X                                            | X          |
| Proportion of scam calls blocked by trueCall | <b>91%</b> |
| X                                            | X          |
| Likelihood of falling for a scam phone call  | ?          |
| X                                            | X          |
| Average amount lost to the scam              | ?          |

# Likelihood of falling for a scam phone call

- Some types of scam are more effective than others – at the top end of the range Microsoft have reported that **17%** of Microsoft scam calls resulted in a loss of money
- Citizens Advice said that of those targeted by fraudsters, just over 1 in 8 (**14%**) said they had fallen for the most recent attempt to scam them, and 38% lost money – ie 5% of people surveyed fell for the most recent attempt to scam them, and lost money.
- The report 'Effectiveness of actions to reduce harm from nuisance calls in Scotland' commissioned by the Scottish Government (March 2018) estimates that the proportion of scam calls leading to a loss is **4.5%** for the most vulnerable reducing to **0.4%** for everyone else.

For our model we take the Ofcom figures and assume that 1 in 100 Microsoft scam/computer/password phone calls result in a loss of money (we have scaled down the Microsoft figures considerably), and 1 in 500 of all other scam phone calls result in a loss of money

Multiplying this out, we calculate that just 0.59% of scam calls are effective – ie only one in 169 scam phone calls to a vulnerable person leads to a financial loss

This seems to be a reasonable estimate, particularly since those who have been given a trueCall unit already been identified as being particularly at risk from scams

**We use 0.59% as our estimate**



# How do we calculate the benefits?

|                                              |              |
|----------------------------------------------|--------------|
| Number of nuisance calls received            | 229,700      |
| X                                            | X            |
| Proportion of nuisance calls that are scams  | 21%          |
| X                                            | X            |
| Proportion of scam calls blocked by trueCall | 91%          |
| X                                            | X            |
| Likelihood of falling for a scam phone call  | <b>0.59%</b> |
| X                                            | X            |
| Average amount lost to the scam              | ?            |

# What are the costs of a successful scam?

---

- The money lost to the scam by the victim
- Social care costs
- Health service costs
- Police time
- Carers time
- etc, etc

# Money lost to a scam

---

- The National Trading Standards Scams Team estimates that the average loss to a scam is **£1,862**
- The National Audit Office estimates the average financial loss per victim of a mass marketing fraud, aged between 75 and 79 years to be **£4,500**
- In 2017 Citizens Advice handled 3.6m scam cases that had a total detriment of £10.9bn – an average loss of **£3,000**
- The average loss to a scam reported to Sussex Police is **£20,000**
- The Financial Conduct Authority says that most pension scams start with a cold call, and the average loss is **£91,000**

Tudalen 83 We use the lowest figure of **£1,862** for the average loss

## Health & social care costs

---

It is accepted that being the victim of a crime often causes physical and mental health problems – research in the UK and USA says:

- 40% of scam victims report a change to their quality of life as a result of the crime
- Scam victims are over twice as likely to have died or moved into full time care within 2 years of their loss
- 29% of scam victims suffered a major depressive episode in the 20 months following the fraud (with some experiencing suicidal thoughts) compared with only 2% of non-victims
- In addition, 45% suffered a generalised anxiety disorder, compared with 15% of non-victims

## Social care costs

---

The Personal Social Services Research Unit identifies 5 levels of social care need, and the costs of providing this care.

|                     | Very low | Low     | Medium  | High    | Very high |
|---------------------|----------|---------|---------|---------|-----------|
| Social care cost PA | £4,264   | £10,764 | £17,004 | £44,044 | £51,376   |

We assume that 27% of older vulnerable people who are scammed move up one level of social care for one year. This equates to an additional social care cost of between £6,240 and £27,040 – we use with the lowest level in our calculations

**We calculate the average health and social care cost to be £1,685**

# How do we calculate the benefits?

|                                              |                                 |
|----------------------------------------------|---------------------------------|
| Number of nuisance calls received            | 229,700                         |
| X                                            | X                               |
| Proportion of nuisance calls that are scams  | 21%                             |
| X                                            | X                               |
| Proportion of scam calls blocked by trueCall | 91%                             |
| X                                            | X                               |
| Likelihood of falling for a scam phone call  | 0.59%                           |
| X                                            | X                               |
| Average amount lost to the scam              | <b>£1,862 + £1,685 = £3,547</b> |

## Costs we haven't included

---

There are a range of other costs we haven't included in our figures –if these were included the benefits would be significantly higher:

- Physical and emotional harm to the victim
- Reduction in Police time recording and investigating scams
- Health service costs
- Allowing people to remain living in their own homes for longer (saving the cost of residential care)
- Cost for carers to resolve issues caused by nuisance calls
- People who lose their money to scams will rely on public services more

# Physical and emotional harm to the victim

---

The Home Office uses the concept of a 'QALY' to evaluate physical and emotional injuries resulting from being a victim of a crime.

This approach finds the negative percentage impact on a person's quality of life from different injuries. For example, if a person breaks their rib they are judged to suffer approximately a 15% reduction in their quality of life whilst they are recovering

Using the Home Office methodology we estimate that the average physical and emotional harm to a scam victim is **£2,146**.

It is no surprise that this is a higher than the amount actually lost.



## Reduction in Police time recording and investigating the scam

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The Home Office report estimates that the police cost associated with recording and investigating a fraud is £60

The police tell us that the real cost is much higher



## Other savings for the public purse – Health service

---

- Addressing the mental health issues caused when someone is scammed – depression, anxiety, etc
- Addressing the physical health issues caused when someone is scammed
- Reduction in risk of trips and falls and distraction accidents (because the phone rings much less often)

## Other savings for the public purse - other

---

- Allowing people to remain living in their own homes for longer (saving the cost of residential care)
- Cost for carers to resolve issues caused by nuisance calls
- People who lose their money to scams will rely on public services more - Citizens Advice say that nearly 9% of scam victims went into debt as a result, 13% reported that they lost some or all of their savings, and 7% did not have enough to pay for essentials such as heating or food.

## Scam calls - how much saved in Carmarthenshire?

---

Since 2013 Carmarthenshire Trading Standards have installed 106 trueCall units that have received 70,203 nuisance calls

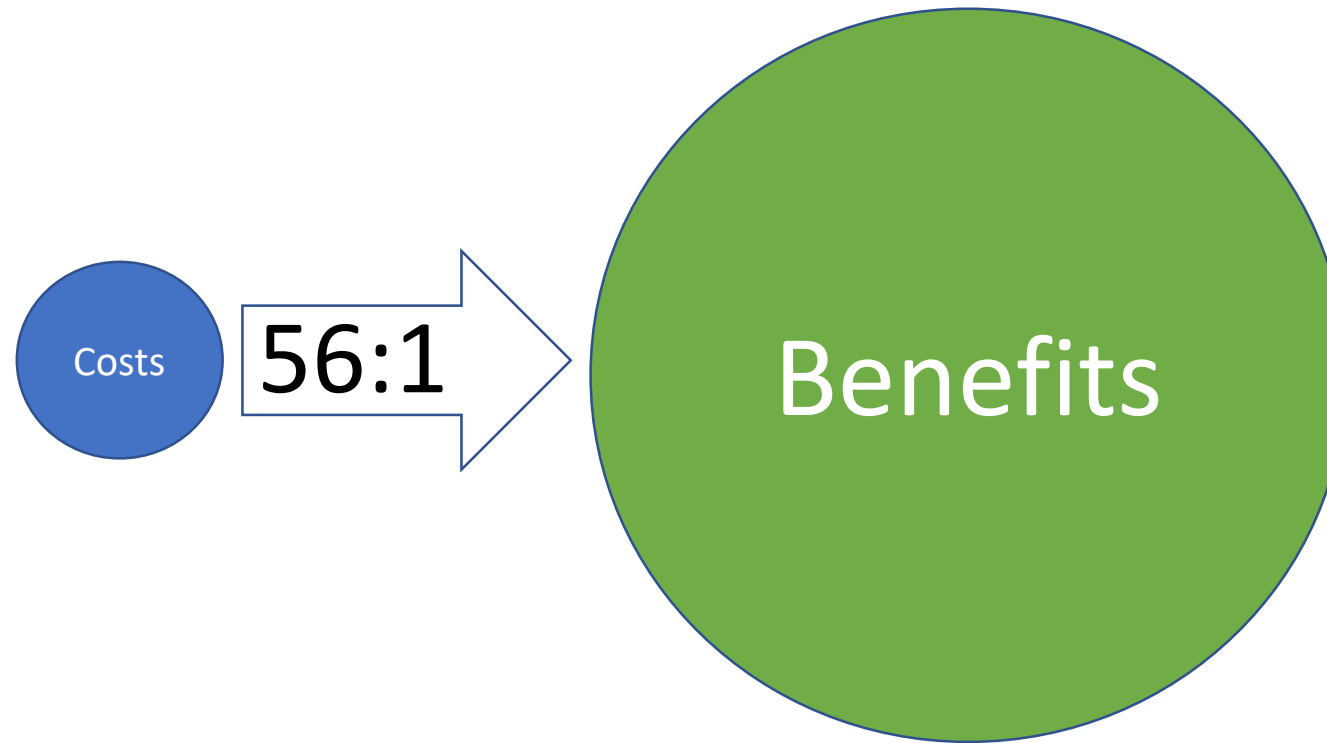
Base on this we can estimate that over their five year life the trueCall units will have:

- Blocked 229,700 nuisance phone calls of which 43,896 would have been scam calls
- Prevented 259 scams being successful
- Saved vulnerable Carmarthenshire households £482,229
- Led to a £436,388 reduction in social care and other costs for the public purse

**Total estimated savings of £918,617**

# Assuming that each unit stays in use for 5 years

The estimated total savings of £918,617 will be 56 times the cost of the project



## How we calculate the stats

We have to estimate each of these figures, but because detailed data isn't available some of these estimates will be more accurate than others.

When we estimate we cross check data from multiple sources, and in each case we choose conservative estimates. This means that the benefits are most likely to be higher than the figures we give.

| Metric                                      | Accuracy of estimate |
|---------------------------------------------|----------------------|
| Number of nuisance calls received           | Very high            |
| Proportion of nuisance calls that are scams | High                 |
| Proportion of scam calls blocked            | High                 |
| Likelihood of falling for a scam phone call | Medium/low           |
| Average amount lost to the scam             | Medium               |

# Calculations

We calculate the cost benefit statistics using call statistics from the units that have been installed, and estimates of nuisance call levels, etc. The calculations are below:

## Call statistics

|                                       |        |
|---------------------------------------|--------|
| trueCall units installed              | 106    |
|                                       | 70,203 |
| Nuisance/scam calls received          | 69,853 |
| Nuisance/scam calls blocked           | 43%    |
| % of incoming calls that are nuisance | 36     |
| Nuisance calls received per month     | 59,124 |
| Number of unit/days of protection     | 25%    |

## Estimates

|                            |        |
|----------------------------|--------|
| Scam proportion            | 21%    |
| % scams blocked            | 91%    |
| Scam success rate          | 0.59%  |
| trueCall unit cost         | £155   |
| Amount lost by scam victim | £1,862 |
| Social cost of a scam      | £1,685 |

## Calculations

70,203 nuisance calls have been received by the 106 trueCall units that have been installed  
If 21% of all nuisance calls are scam calls, then 14,743 scam calls were received  
If trueCall blocks 91% of scam calls, then 13,416 scam calls were blocked  
If 0.59% of scam phone calls (one in 169) are successful, then 79 scams were prevented  
If the average loss to a scam victim is £1,862 then the victim savings are £147,383  
If the average loss to the public purse for a scam is £1,685 then social care savings are £133,373  
Total savings are therefore £280,756

Each trueCall unit costs £155, so total equipment cost is £16,430  
The investment of £16,430 has returned savings of £280,756 - a return of 17:1

The 106 trueCall units have had in total 59,124 days use

Over 5 years:

- these units will have 193,450 days use
- these units will receive 229,700 nuisance calls
- these units will block 43,896 scam calls
- these units will prevent 259 scams
- savings for the public will be £482,229
- savings for in social care will be £436,388
- total savings will be £918,617
- the investment of £16,430 will return savings of £918,617 - a return of 56:1

## More information

---

For more information about these calculations  
please contact Steve Smith of trueCall Ltd

[SteveSmith@trueCall.co.uk](mailto:SteveSmith@trueCall.co.uk)

0208 408 8900 / 07768 637141



# Financial Exploitation Safeguarding Scheme (FESS) - Pilot Study - Trading Standards Integration 1



Cynllun Diogelu Rhag Camfanteisio Ariannol  
Financial Exploitation Safeguarding Scheme



Safonau Masnach  
Trading Standards

<https://fess.carmarthenshire.gov.uk>

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**Cynllun Diogelu Rhag Camfanteisio Ariannol**  
 Financial Exploitation Safeguarding Scheme

For further information, please contact: Andrew Passenger  
 Email: [AJPassenger@carmarthenshire.gov.uk](mailto:AJPassenger@carmarthenshire.gov.uk)  
 Tel: 01267 242442



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## Executive Summary:

Data contained in this report is gleaned from 28 local authority Trading Standards teams across the UK who responded to the pilot research questionnaire (TS Integration 1).

Respondents were frontline Trading Standards professionals engaged in financial safeguarding work; that is, pertaining to the prevention, detection and enforcement of legislation surrounding doorstep crime, mass mail, telephone and computer fraud, as well as associated victim support activities. The questionnaire was designed to provide an understanding of how different services/authorities operate, and to explore how local integration of services works, or could be expected to work, for the purposes of addressing financial abuse.

The term financial abuse is used interchangeably with scams/fraud on the basis that victims identified are supported from a safeguarding perspective in line with established definitions of vulnerability i.e.

- Have needs for care and support (regardless of whether the authority is meeting any of those needs)
- are, or is at risk of, abuse or neglect and
- as a result of those needs is unable to protect themselves against the abuse or neglect, or the risk of it.

*(Drawn from definitions provided within s42 (1) Care Act 2014, s126 (1) Social Services and Well-being (Wales) Act 2014 and s3 (1) Adult Support and Protection (Scotland) Act 2007).*

The questionnaire further serves to test participant attrition, operational functionality of the FESS web portal <https://fess.carmarthenshire.gov.uk> and integration with the 3rd party data analytics software Snap Webhost.<sup>1</sup>

Contributions are anonymised in keeping with the project terms and conditions.<sup>2</sup>

(We are pleased to confirm 100% participation in the pilot and full technical integration with Snap Webhost data analytics).

## Analysis:

The majority of findings presented in the summary report are based on questions that used 5 point Likert Scales<sup>3</sup> (a statistical technique for measuring attitudes).

An Average Index Score (AIS) or 'weighted average' was used to distil the strength of opinion into a number, for example:

*10 People are asked if they: strongly agree, agree, neither agree/ disagree, disagree or strongly disagree that Wales will win the 6 nations?*

### Results:

3 strongly agree (each response is worth 2, so = **6**)

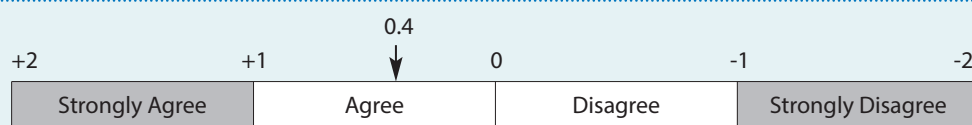
3 agree (each response is worth 1, so = **3**)

1 neither agree/disagree (each response is worth 0, so = **0**)

1 disagrees (each response worth -1, so = **-1**)

2 Strongly disagree (each response worth -2, so = **-4**)

The AIS is calculated by taking the sum of the numbers highlighted in bold above i.e.  $6 + 3 + 0 - 1 - 4 = 4$  and then dividing by the number of responses:  $4 \div 10 = 0.4$  (depicted below).



1. [www.snapsurveys.com](http://www.snapsurveys.com) - Snap Webhost is certified by Bureau Veritas as being compliant with ISO 27001, the internationally recognised gold standard for information security systems: <https://www.snapsurveys.com/survey-software/security-accessibility-and-professional-outline/>

2. <https://fess.carmarthenshire.gov.uk/en/about/terms-and-conditions>

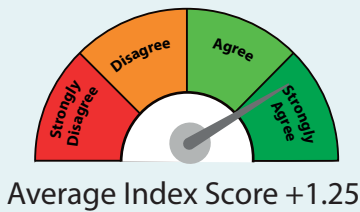
3. Likert, Rensis (1932). "A Technique for the Measurement of Attitudes". Archives of Psychology. 140: 1–55.

## 1.0. Safeguarding Training:

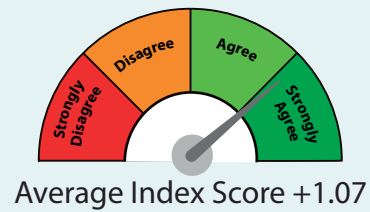
Questions were asked surrounding the confidence levels of respondents who engage with vulnerable people and the adult safeguarding training they had received.

It was positive to note that respondents felt confident identifying vulnerability and in dealing with vulnerable people:

**fig 1. I feel confident identifying vulnerability:**

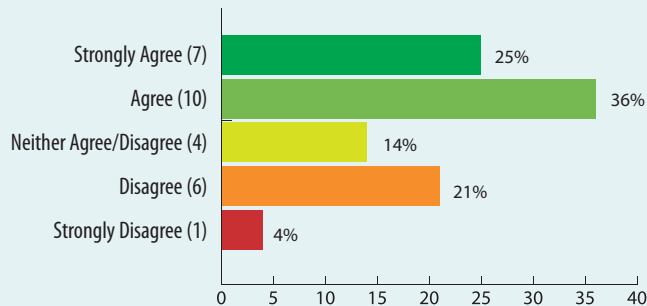
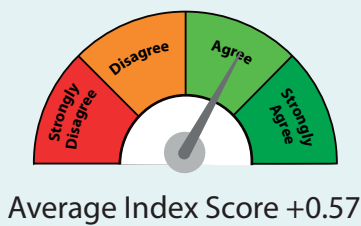


**fig 2. I feel confident dealing with vulnerable people:**



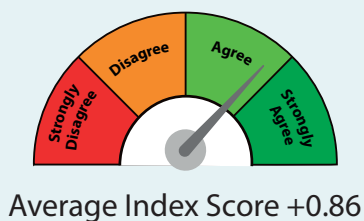
Whilst the majority of respondents agreed that they had received adult safeguarding training, the graph in **fig 3.** suggests a significant proportion of officers who had not.

**fig 3. I have received adult safeguarding training:**

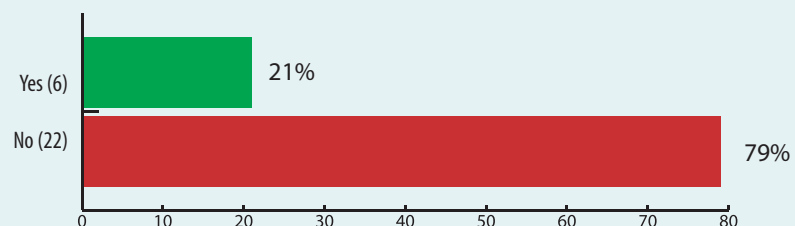


It is interesting to note the majority of respondents knew the procedure for initiating a protection of vulnerable adults (POVA) referral within their authority (see **fig 4.**), yet only 21% of officers had actually received any formal training on how to make such a referral.

**fig 4. I know the procedure within my authority for initiating a protection of vulnerable adults (POVA) referral:**



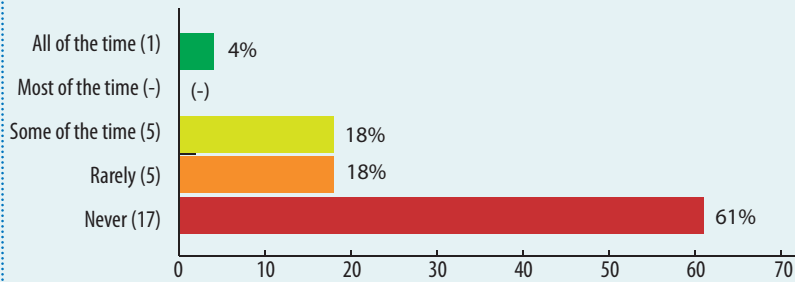
**fig 5. I have received formal training on how to initiate a POVA referral:**



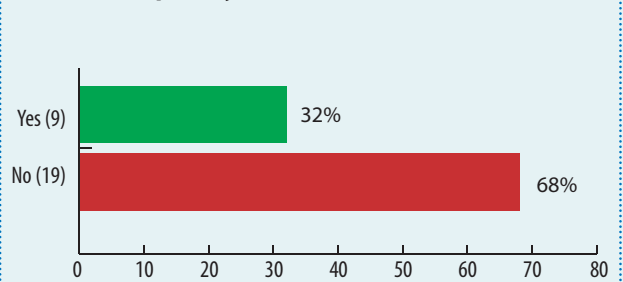
These seemingly conflicting responses suggest respondents may have had cause to engage with POVA procedures, or were inclined to obtain an awareness of POVA procedures regardless of whether or not they had received training. This suggests respondents have found it necessary to independently seek out the means for providing higher level support.

Whilst respondents appear to recognise and act on perceived vulnerability, it is interesting to note this in light of the 68% percent of respondents who had not received any training on the Mental Capacity Act 2005 and the 61% of respondents who had never undertaken a mental capacity assessment of a scam/fraud victim.

**fig 6. I undertake mental capacity assessments of scams/fraud victims:**

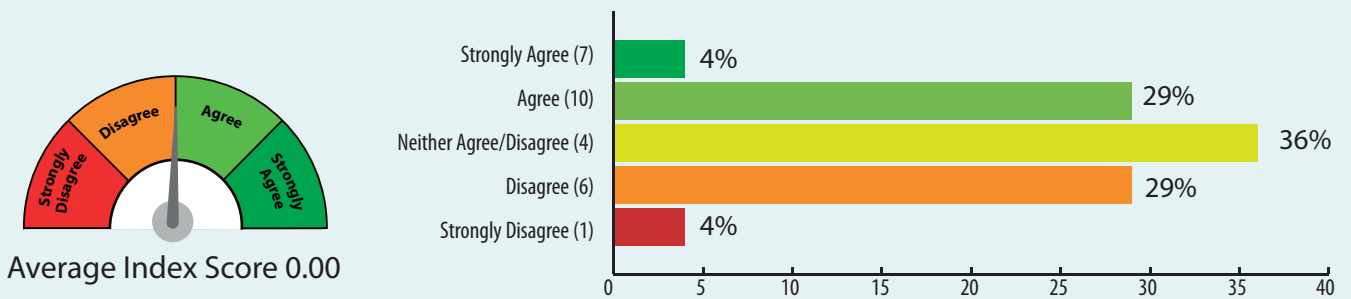


**fig 7. I have received training on the Mental capacity Act 2005:**

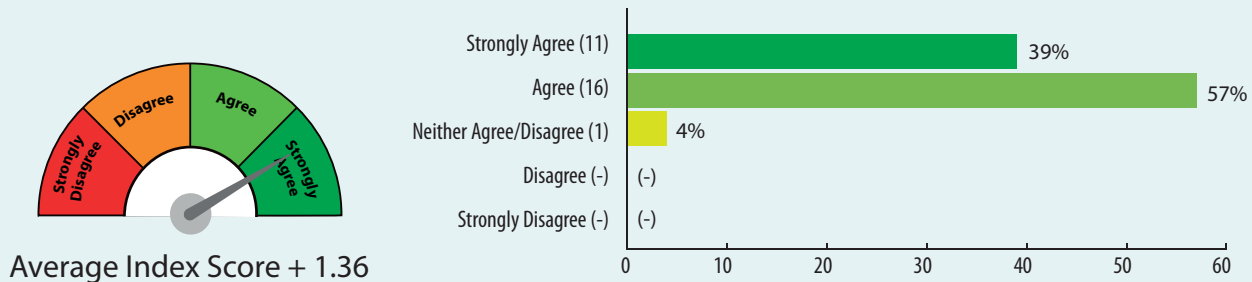


Read in conjunction with **fig 3.** and **fig 5.** this might suggest that the training officers receive in relation to adult safeguarding is inconsistent and requires further exploration.

**fig 8. The training I have received to undertake financial safeguarding work is adequate:**



**fig 9. Training on adult safeguarding should be a priority for Trading Standards:**



(18%) the percentage of Welsh Trading Standards teams who had received training on the Social Services and Wellbeing (Wales) Act 2014.)

(33%) the percentage of English Trading Standards teams who had received formal training on the Care Act 2014).

## 2.0. Relationship with Social Services:

Questions were asked surrounding engagement with social services, support received and access to information:

Whilst it was positive to observe that 64% of respondents undertook joint visits with social services, overall responses indicated a lack of support and poor engagement.

fig 10. I am generally happy with the level of support received from social services:



Average Index Score - 0.11

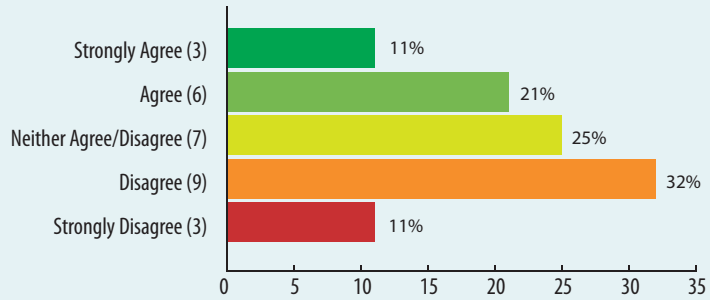
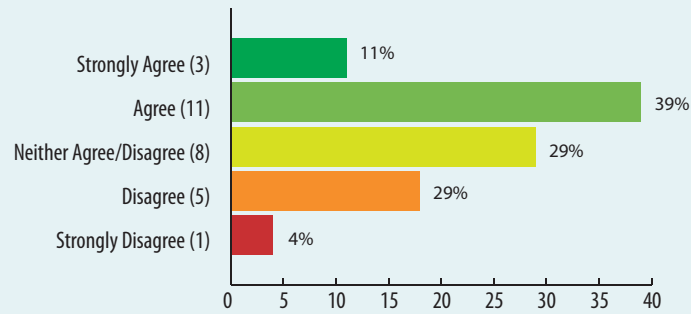


fig 11. I have to push social services to gain support for dealing with victims of scams/fraud:



Average Index Score +0.36



## 2.1. Information Sharing with Social Services:

Further questions were asked surrounding information sharing arrangements with social services:

It is interesting to note that only 14% of authorities had a formal information sharing agreement, with overall responses indicating poor information sharing arrangements.

fig 12. I regularly cross reference scams/fraud victims with social services information system/care records:



Average Index Score 0.00

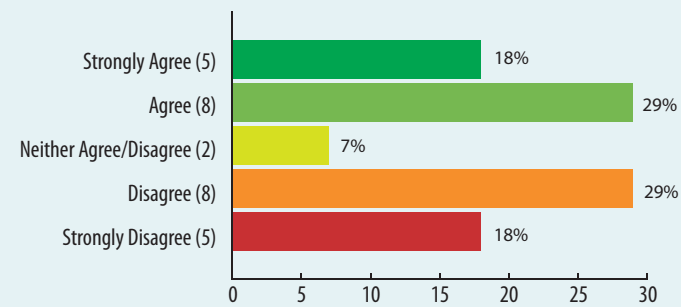
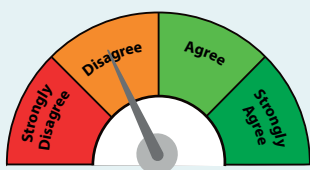


fig 13. It is easy to access information about scam/fraud victims from social services:



Average Index Score -0.50

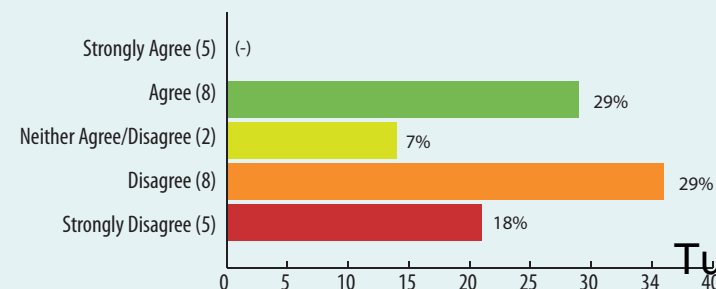
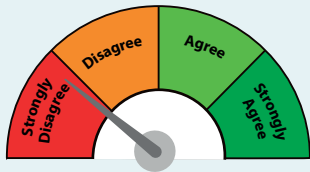


fig 14. I am able to freely access data held by social services for victims of scams /fraud:



Average Index Score -1.07

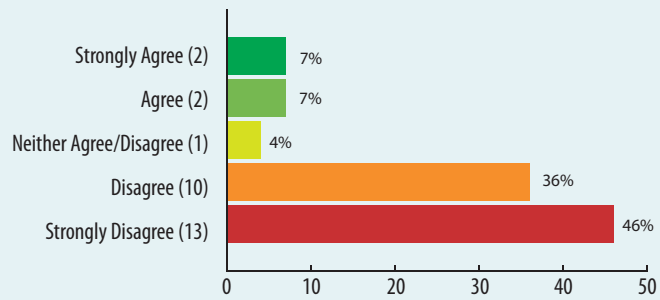
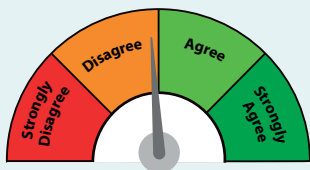
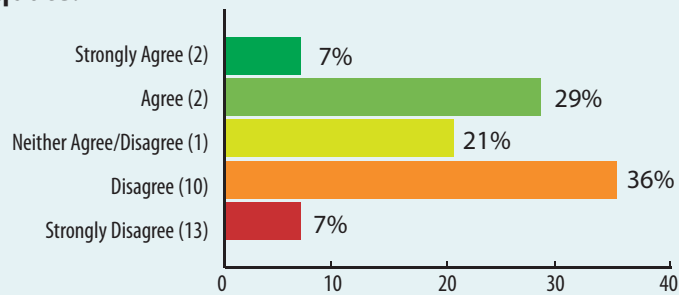


fig 15. My team's relationship with social services for the purposes of dealing with issues surrounding financial abuse is adequate:



Average Index Score -0.07

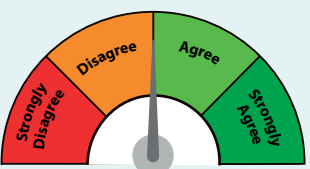


### 3.0. Local Representation:

Questions were asked surrounding Trading Standards profile and representation on adult safeguarding, public services boards, community safety partnerships and engagement with policy consultation.

It is positive to note that **78%** of respondents were encouraged to promote their service offering to elected members, however only **18%** of authorities engaged in local policy consultation with the overall picture presented being one of poor local profile, representation and policy engagement.

fig 16. The profile of Trading Standards in my authority is such that Trading Standards are recognised responders and consulted on issues of financial abuse by social services and other authority teams:



Average Index Score 0.00

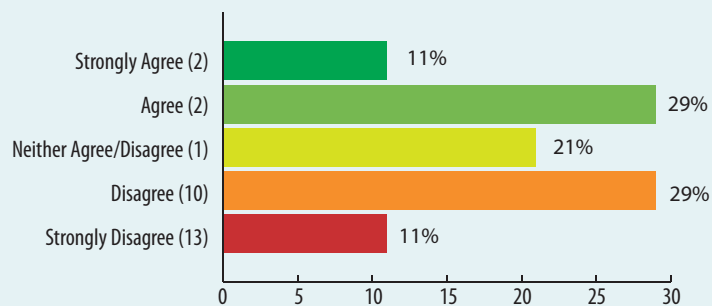
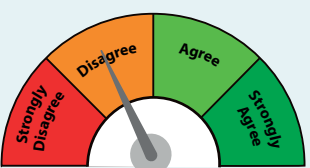
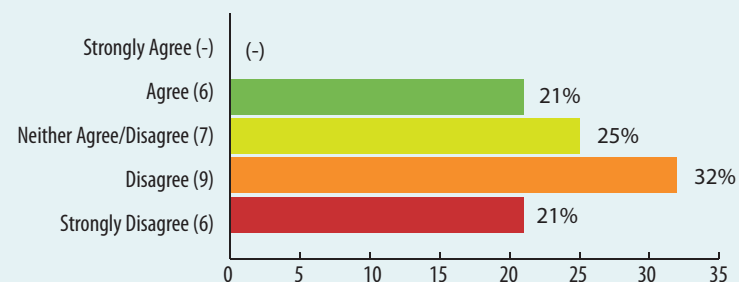


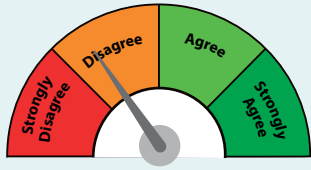
fig 17. My team are adequately represented on Adult Safeguarding Boards (ASB's):



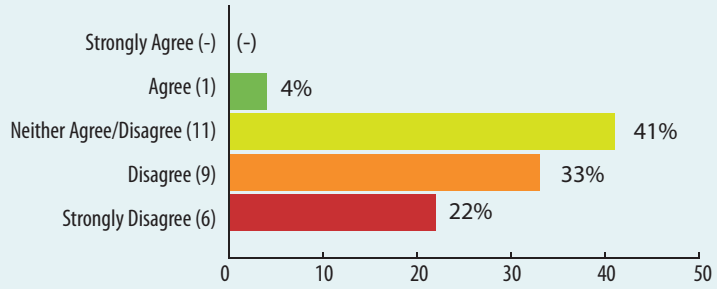
Average Index Score - 0.54



**fig 18. My team are adequately represented on Public Service Boards (PSB's):**



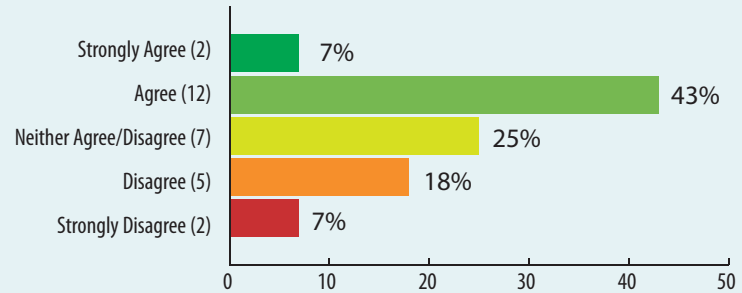
Average Index Score - 0.74



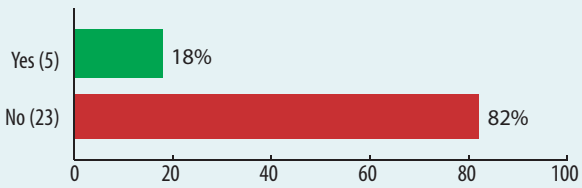
**fig 19. My team are adequately represented within local Community Safety Partnerships (CSP's):**



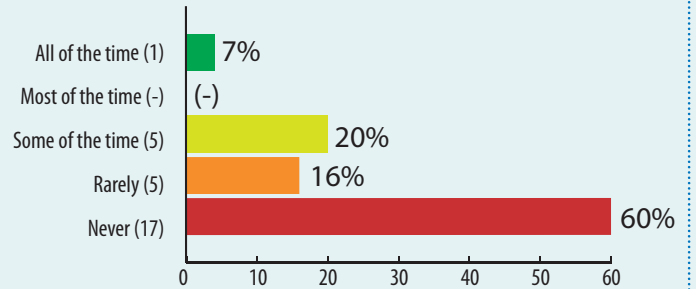
Average Index Score +0.25



**fig 20. My team engage in local authority 'local' policy consultation, for example a Citizens Panel, 50+ forum:**



**fig 21. My team are asked to submit questions to be used in local policy consultation:**

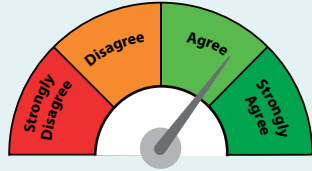




## 4.0. Relationship with Police:

Questions were asked surrounding engagement with local Police, support received and access to information. Whilst it was positive to observe that **82%** of teams undertook joint visits with the Police and overall respondents agreed they had good working relationships, it was interesting to note that feedback and specialist officer support received were poor.

fig 22. My team has a good working relationship with the Police:



Average Index Score + 0.79

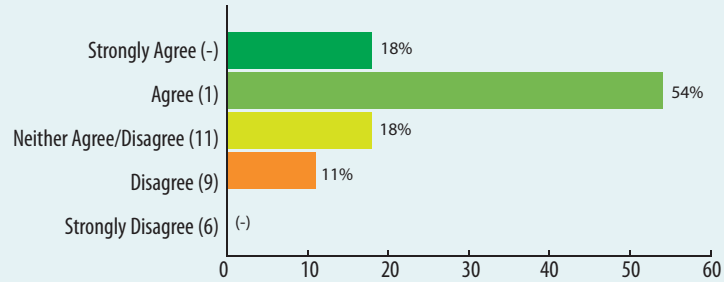
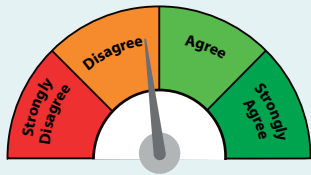


fig 23. I receive adequate feedback on referrals made to the Police:



Average Index Score -0.11

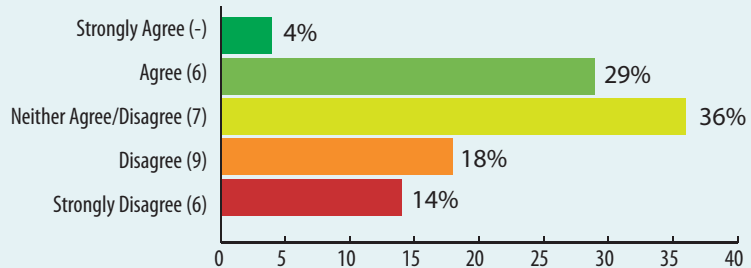
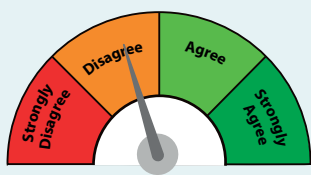
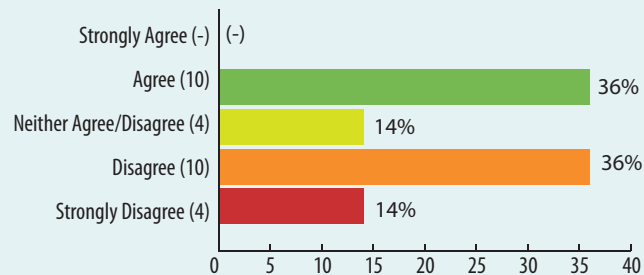


fig 24. I am able to speak with a specialist Police Officer to discuss cases of financial abuse:



Average Index Score -0.29



Of further note was the seeming disparity between authorities in accessing Police National Computer (PNC) information, Intelligence Reports and Suspicious Activity Reports (SARS):

fig 25. When investigating cases of financial abuse, I obtain Police National Computer checks (PNC's) from the Police:

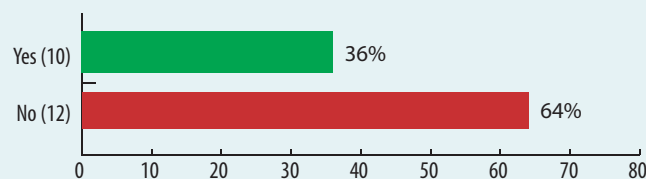


fig 26. The average lead time for obtaining a PNC from the Police is:

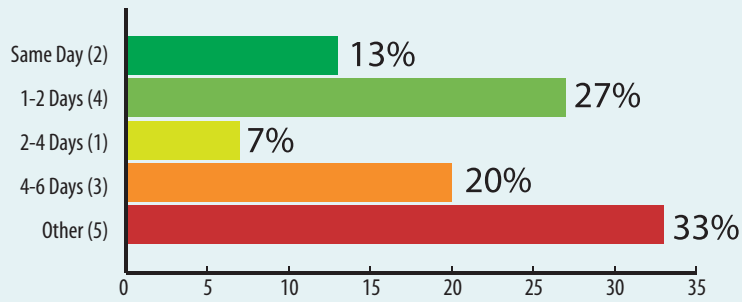
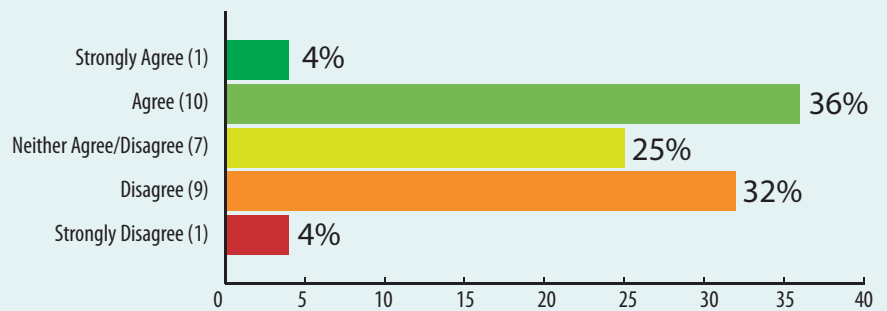
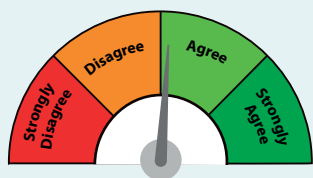


fig 27. Keywords respondents used to describe the frequency intelligence received from Police:



Of further note, when reflecting on the positive working relationships with the Police indicated by fig 22, it was interesting to note a reduction in the AIS when respondents were questioned on adequacy of the relationship specifically in relation to issues surrounding financial abuse.

fig 28. My team's relationship with the Police for the purposes of dealing with issues surrounding financial abuse is adequate:

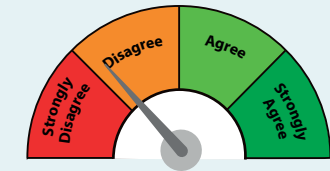


## 4.1. Relationship with Action Fraud:

Questions were asked surrounding engagement with Action Fraud, feedback provided and support received.

The overwhelming majority of respondents felt that feedback, engagement and support received from Action Fraud was inadequate.

fig 29. I receive adequate feedback on referrals made to Action Fraud:



Average Index Score -0.86

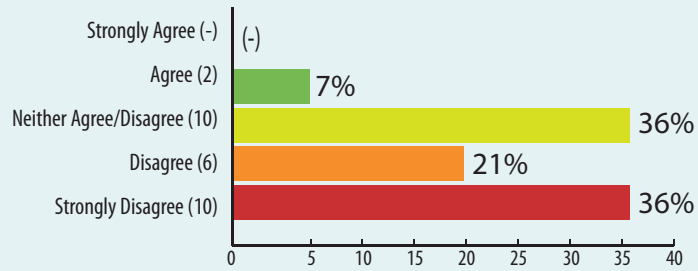
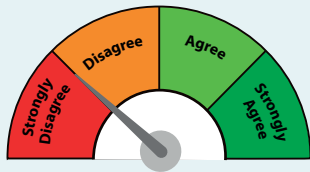


fig 30. I am able to speak to a case officer at Action Fraud to track the progress/action on a referral:



Average Index Score -1.00

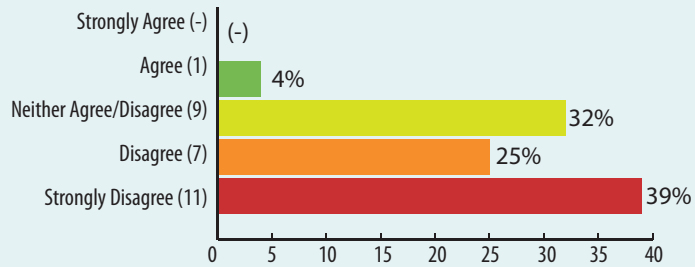
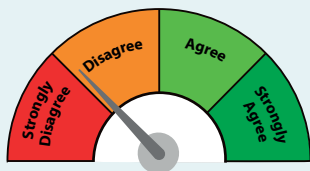
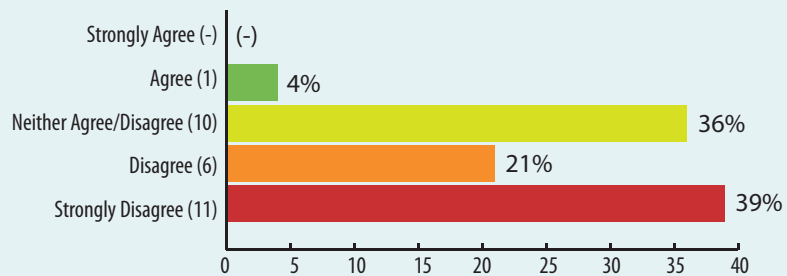


fig 31. Advice and support provided by Action Fraud for the purposes of dealing with issues surrounding financial abuse is adequate:



Average Index Score -0.96



## Conclusion:

Findings from the pilot study suggest that the majority of frontline Trading Standards professionals felt confident identifying and dealing with vulnerable fraud victims and were proactive and independent in seeking out further support for victims. The vast majority of respondents felt that adult safeguarding training should be a priority for Trading Standards Services.

A mixed picture was identified in relation to adult safeguarding training, local representation, integration and joint working practices across participating authorities.

The pilot identified inconsistent training, poor local profile, poor representation, poor policy engagement and in the majority of cases, poor engagement with Social Services, the Police and Action Fraud.

Whilst only a small representative sample was studied, the findings warrant further investigation and suggest a lack of uniform training provision, local integration and adequate information-sharing practices at a national level.

This suggests that improvements may be necessary in many authority areas to ensure that vulnerable financial abuse victims receive adequate levels of support, and that agencies concerned fulfil their duty to safeguard vulnerable people and engage with wider relevant partners under social care legislation.

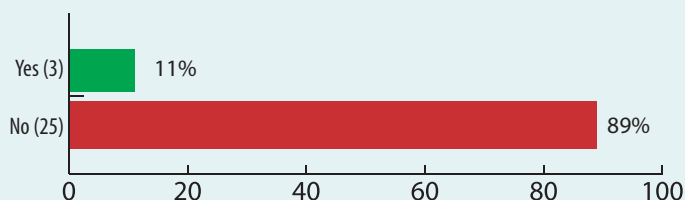
## Moving forward:

The FESS study intends to address the issues identified in this report and to raise the profile of Trading Standards work in the field by formally evidencing the issues and promoting the high level of specialist work undertaken by dedicated Trading Standards professionals on a daily basis.

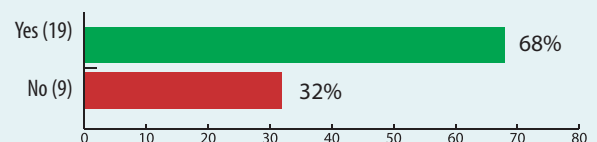
We believe that Trading Standards financial safeguarding interventions fulfil a vital statutory support function for the purposes of compliance with the Social Services and Wellbeing (Wales) Act 2014, Care Act 2014 and the Public Bodies (Joint Working) (Scotland) Act 2014 to prevent fraud victimisation and to safeguard and support vulnerable victims of financial abuse.

Trading Standards should be recognised nationally as a specialist 'go to' agency for both Social Services and the Police in relation to scams/ fraud. This may already be acknowledged when we reflect on findings of the pilot which identify that **89%** of respondents had not received any training from social services in relation to financial abuse, yet **68%** of respondents had delivered training to social services in relation to scams/fraud.

**fig 32. My team have received training from social services in dealing with cases of financial abuse:**

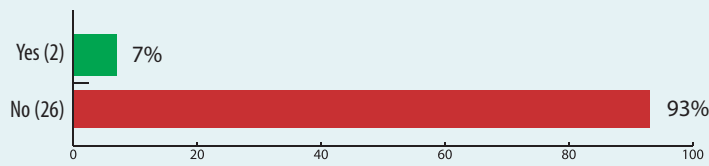


**fig 33. My team have delivered training to Social Services in relation to scams/fraud:**

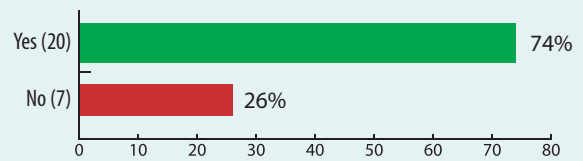


A similar pattern is found with the Police, whereby **93%** of respondents had not received any training from the Police in relation to financial abuse yet **74%** of respondents had delivered training to the Police in relation to scams/fraud.

**fig 34. My team have received training from the Police in dealing with cases of financial abuse:**



**fig 35. My team have delivered training to the Police in relation to the work undertaken by Trading Standards in relation to scams/fraud:**



It is to these ends that the project seeks to raise the profile of the service and to attain recognition of the specialist body of skills, knowledge and support that Trading Standards bring to a local authority health and social care portfolio and to the wider community.

The FESS study seeks to examine both operational issues and to identify statistical relationships between fraud victimisation and the International Classification of Diseases' (ICD10)<sup>4</sup> definition of depressive episode and generalised anxiety disorder.

In identifying and exploring such relationships we believe it may be easier to promote trading standards activities among relevant partners where victims are identified as: either targeted or susceptible to fraud victimisation through underlying health conditions; or where fraud victimisation causes the onset of, or exacerbates, pre-existing conditions.

We may then be in a position to begin developing exciting and innovative prevention and support strategies to help combat the problem and support victims.

## Notes

## Notes



**Cynllun Diogelu Rhag Camfanteisio Ariannol**  
Financial Exploitation Safeguarding Scheme



**Safonau Masnach**  
**Trading Standards**

<https://fess.carmarthenshire.gov.uk>



# Environmental & Public Protection Scrutiny Committee Task and Finish Group

*To review the Financial Exploitation Safeguarding  
Scheme - FESS*

Thursday, 5<sup>th</sup> March 2020 [meeting 6]  
10:00am

Democratic Services Committee Room, County Hall, Carmarthen

## MEETING NOTES

Meeting with:

Mr Dafydd Llywelyn, Police and Crime Commissioner,  
Chief Superintendent Steve Cockwell, Head of Crime  
Paul Callard, Manager – Economic Crime Team

| Name                                               |
|----------------------------------------------------|
| Cllr. Karen Davies                                 |
| Cllr. Penny Edwards                                |
| Cllr. Jeanette Gilasbey                            |
| Cllr. John James                                   |
| Cllr. Dai Thomas                                   |
| Cllr. Phillip Hughes – EBM for Public Protection   |
| <b>Officers</b>                                    |
|                                                    |
| Roger Edmunds, Consumer & Business Affairs Manager |
| Heidi Neil, Senior Consumer Protection Officer     |
| Janine Owen, Democratic Services Officer           |



The Task and Finish Group held an informal discussion with the police representatives present and asked the following questions:-

**1. Please tell us about the level of priority given to financial exploitation by DPP.**

Police and Crime Plan

Priority 1: Keeping our communities safe - Consider opportunities to reduce the fear of crime and ASB, particularly amongst the vulnerable and to provide information to the public on how to prevent themselves from becoming a victim;

Priority 2: Safeguarding the vulnerable –

- Identify those who are at risk of victimisation or repeat victimisation, and those who are at risk of offending, through better information sharing between agencies
- Increase awareness of fraud and cyber-crime amongst the younger generation and older people, including how to protect themselves from becoming a victim

Priority 3: Protecting our communities from serious threats

- Support investment in the Dyfed-Powys Police Digital Communications and Cyber-Crime Department;
- Raise awareness of cyber-crime through the provision of specialist training to officers and staff and the promotion of community cyber-crime champions;
- Work with partners to educate people on how to protect themselves from cyber-crime and where to go if they become a victim, with a particular focus on the most vulnerable

Priority 4: Connecting with communities

- Enhance our capabilities for tackling more complex crimes by developing specialist skills and knowledge through links with businesses, academia and by exploring apprenticeship opportunities;

Strategic assessment and Control strategy

CYBER DEPENDENT - Offences that can only be committed using a computer, computer network or other form of information communication technology. These acts include the spread of viruses or other malware, hacking and distributed denial of service (DDoS) attacks. Have a significant economic impact on victims and pose a risk to the infrastructure of businesses.

CROSS Cutting themes – Vulnerability / Digitally enabled crime

Key findings:

- 25% of populations 65 or over. Forecast to increase to 33% by 2039
- 151 fraud incidents reported monthly. 42% of victims over 60
- 49% rise in cyber related crime

**2. Please tell us the level of resource committed to combatting financial exploitation in DPP**

PCSOs

L1 – Frontline staff

L2 – CID detectives (Accredited investigators and public protection)

L3 – Financial and Economic Crime Team

L4 – Regional assets within Regional Organised Crime Unit (ROCU)

**3. Please tell us how are DPP officers trained to deal with financial exploitation?**

PCSO – all PCSOs have undergone familiarisation training

Cyber Liaison PCSOs – a number of PCSOs have undergone enhanced cyber and fraud training

Uniform Policing – Trained to national occupational standards as defined by College of Policing. Additional local training in respect of vulnerability

BCU Detective – Trained to PIP 2 accreditation for investigation of serious and complex crime

ECT Investigator - Specialist Fraud Investigation Programme, which is hosted by the CoLP. They are also accredited by the NCA Proceeds of Crime Centre as Financial Investigators. The ECT Supervisor is an accredited Specialist Fraud Investigator and Financial Investigator and has also attended the Managing a Fraud Investigation and Election Fraud courses.

Cyber investigators – Specialist National Pursue, Protect and Prevent Programme, together with NCA Financial Investigator accreditation

**4. Do you feel the DPP response to financial exploitation is commensurate with the scale of the problem?**

Dyfed-Powys has necessary capabilities to deal with a wide range of financial exploitations that encompasses investigation and safeguarding elements.

No force is in a position to deal with scale of problem in terms of volume and global nature of how this crime is committed. Focus must be on Protect and prevent, as there will only be limited capacity to deal with investigations.

Key partners include

- National Crime Agency
- UK, Welsh and Local Government
- Banks and Financial institutions
- UK Finance and Take 5 campaign
- Social media platform
- Action Fraud / NFIB
- Charities and NGOs
- Individuals and businesses

**5. Please tell us about any aftercare, victim support or measures that DPP provide to victims of financial abuse to ensure they do not become repeat victims.**

Goleudy - Goleudy offers emotional, practical and personal support to all victims of crime, including victims of fraud. Goleudy supports victims via a range of services including face to face, over the phone or home visits and can put together bespoke plans to ensure a victim gets the support that is most appropriate to their individual needs.

High and Medium risk Operation Signature victims are referred into Goleudy and 3<sup>rd</sup> sector agencies by the FSO for enhanced support. The FSO also conducts victim visits to break the link between the offender(s) and victim. Goleudy reviews the weekly NFIB victim list on Qlikview to ensure completeness in their identification of and contact with fraud victims

NFIB Victim list - On a weekly basis NFIB provides DPP with a list of the victims who have reported fraud within the DPP Force area during the preceding seven days. The list contains each victim's details, the fraud type, a snapshot of the circumstances surrounding the offence and the amount of money lost. The NFIB victim list is reviewed by the FSO to identify additional vulnerability, which is fed in to Op Signature. NPTs also access the list and prioritise visits.

Operation Signature is a standardized initiative introduced to identify and support vulnerable victims of fraud. It provides preventative and supportive measures intended to protect victims and safeguard them from further targeting. An important strand of Operation Signature is its wider messaging and prevention advice, working with statutory and voluntary agencies to influence change.

The aim of Operation Signature is to work together to ensure that:

- Police deliver an excellent quality of service to vulnerable victims of fraud;
- Vulnerability is identified at the earliest opportunity and those requiring additional support are referred to suitable partner agencies;
- Available investigative opportunities are pursued in line with the Fraud Investigation Model and Force/National policies and procedures;
- Preventative measures are identified and implemented, with an emphasis on maximizing protection for the victim and reducing the risk of repeat victimisation.

Victims of fraud are assessed for vulnerability when making a Call for Service or reporting to AF by telephone or online.

All victims who are assessed as being vulnerable receive a face to face visit from either a Police Officer or PCSO. During that visit an initial questionnaire is completed which assesses a victim's vulnerability as High, Medium or Low Risk.

Depending upon the outcome of the questionnaire, differing levels of support are provided according to the specific needs and requirements of the victim. The Operation Signature process map is set out at Appendix 3.

Victims identified as being vulnerable by NFIB are referred into Operation Signature upon notification to DPP through the Vault.

The NFIB victim list is reviewed as a matter of course and cross referenced with Operation Signature to ensure completeness in the identification of vulnerable victims.

In October 2019 a Customer Satisfaction Survey was conducted with a dip sample of Op Signature victims. The survey received 93% positive feedback, with comments including:

- *“Reassurance from yourselves. It was reassurance that I shouldn’t beat myself up about it and that it could happen to anyone.”*
- *“The fact that I spoke to you and the phone calls have stopped”*
- *“Police from the call taker to the officer who visited me were very good”*
- *“Being told that I didn’t have to pay and that when the person rang again I told them that I had been in touch with the police and they told me that I should not pay it and they put the phone down”*
- *“I felt that they cared about how I felt and that it upset me”*
- *“The visit by the PCSO was a great help and reassuring. I did not feel judged and felt I was being taken seriously”*

The Fraud Safeguarding Officer (FSO)

The FSO oversees the management of Operation Signature and is responsible for:

- Working with vulnerable victims to break the link between them and the criminals who target them;
- Maintaining contact with key stakeholders;
- Delivering protect training to Police Officers and other Agencies;
- Raising awareness of fraud and the significant impact it has upon communities;
- Researching the multi-agency PROTECT database to assess victim’s vulnerability and history.

Fraud crimes with an immediate threat to vulnerable victims will always be referred to the ECT Fraud Safeguarding Officer without delay.

The Banking Protocol is a national scheme between the Police and financial sector organisations (banks, building societies and the Post Office). The aim is to identify customers who are in the process of being defrauded and implementing safeguarding procedures to prevent victimisation and loss of funds.

The Banking Protocol is an effective initiative and the minimum police response to such an incident, which is a ‘crime in action’ call for service, must be a recorded crime and a criminal investigation and referral in to the Operation Signature process completed.

**Banking Protocol figures**

| <b>Date range</b>               | <b>Number of cases</b> | <b>Banks in Carmarthenshire</b> | <b>As a %</b> | <b>Amount Prevented from loss</b> |
|---------------------------------|------------------------|---------------------------------|---------------|-----------------------------------|
| January to December 2019        | 74                     | 13                              | 17.57         | 2,610,915.70                      |
| January 2020 to date (03.03.20) | 15                     | 2                               | 13.33         | 99,673.00                         |
| <b>Totals</b>                   | <b>89</b>              | <b>15</b>                       | <b>16.85</b>  | <b>2,710,588.70</b>               |

**6. How do you make it known to the public that you discharge your functions under Operation Signature?**

**Operation Signature  
figures 2019 / 2020**

| <b>Date range</b>               | <b>Number of cases</b> | <b>High</b> | <b>Medium</b> | <b>Low</b> | <b>Unknown/NA</b> |
|---------------------------------|------------------------|-------------|---------------|------------|-------------------|
| January to December 2019        | 439                    | 47          | 106           | 283        | 3                 |
| January 2020 to date (03.03.20) | 94                     | 8           | 15            | 69         | 2                 |
| <b>Totals</b>                   | <b>533</b>             | <b>55</b>   | <b>121</b>    | <b>352</b> | <b>5</b>          |

The Force website contains a page dedicated to how to report Fraud. Corporate Communications maintain a Facebook and Twitter presence which promotes fraud safeguarding. The ECT has a Twitter account, which also raises fraud awareness and is linked to fraud prevention sites such as Take 5, Get Safe Online, AF and the CoLP. The Force website is being updated and enhanced with SOH.

Operation Signature has been widely publicised in the press and is a regular feature on our social media.

We will be participating in the forthcoming Take 5 week launch, which is aimed at raising awareness of key messages

We continue to provide regular events raising awareness of Op Signature across the force area.

**7. Are you confident that you are engaging with all relevant partners and individuals?**

The ECT sits on the Wales Against Scams Partnership, which is a partnership of organisations that are 'committed to the fight against scams and fraud'.

Representatives from the ECT attend a quarterly Fraud Safeguarding meeting with representatives from Gwent, South Wales Police and Trading Standards' 'Vulnerability lead for Wales'.

The ECT will continue to engage with the National Trading Standards Scams team, as well as the four local authority Trading Standards teams. Community engagement, particularly with third sector organisations, such as Age Cymru, Alzheimer's Society and the Older People's Commissioner for Wales

We are delivering a series of training events to staff at Pembrokeshire and Newtown College, a Foster Carer organisation, Action Hearing Loss and Young Farmers.

We are engaged with the Region on the Matrix Challenge, which is aimed at school children.

We are collaborating with Business Wales in delivering sessions to businesses at venues across the Force area.

We attend both the RWS and Pembs Show  
We have arranged training events in April for Carms CC Executive Committee, Councillors, Audit and various other departments in respect of fraud, bribery and cybercrime.

We have agreed an MOU with Carms CC in respect of their reporting internal fraud to us, which awaits sign off.

**8. How do you feel the police's response to financial exploitation could compliment that of Trading Standards and vice versa?**

Currently Liaising with National Trading Standards and the ROCU to see whether a data exchange can be facilitated with access for the 3 forces and local TS

Carmarthenshire tasking and intelligence meetings

Shared understanding of persons causing issues within locality

Coordination of joint campaigns

TS attendance at the Fraud Safeguarding Group

**9. How might a more consistent and coordinated response to financial exploitation be implemented in Carmarthenshire**

Project Otello

Enhanced engagement with both Op Sig (inc. the BP) and FESS

**Actions arising through discussion.**

During the visit the police representatives raised the following actions which would benefit the function and purpose of FESS going forward, which will be included within the findings of the report:-

- A planned monthly open-dialogue between LA's Trading Standards Departments within the DPP area and the Police– via conference call. – Head of Crime/Paul Callard
- Police Engagement Officers and the Enablement Police Teams (4 areas) to make themselves known to Local Councillors. – PCC to raise matter with Chief Inspector
- Enable Trading Standards department to provide training to Police Officers – Paul Callard to facilitate.





# Homes and Safer Communities Consumer & Business Affairs Trading Standards

## COVID-19 and FESS

Environment and Public Protection Scrutiny Committee



**Cynllun Diogelu Rhag Camfanteisio Ariannol**  
Diogelu ein Cymuned rhag Sgamiau a Chamdriniaeth Ariannol

**Financial Exploitation Safeguarding Scheme**  
Protecting our Community from Scams and Financial Abuse

Cyngor Sir Gâr  
**Carmarthenshire**  
County Council



Tudalen 121

# Introduction

This document was presented to the Task & Finish Group (T&FG) on 15 February 2021 as part of their Task & Finish review of Trading Standards' Financial Exploitation Safeguarding Scheme (FESS).

The T&FG felt that this work should be shared with the committee due to its importance at this time.

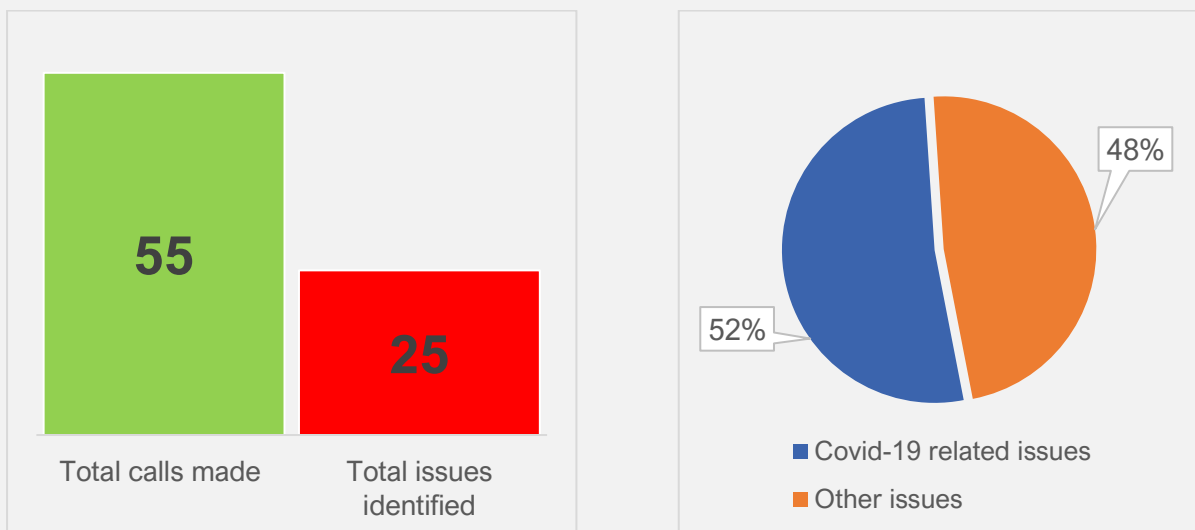
This document provides a summary of the work conducted by Trading Standards officers during the COVID-19 (C-19) period specifically concerning issues surrounding financial exploitation.

# trueCall© welfare calls



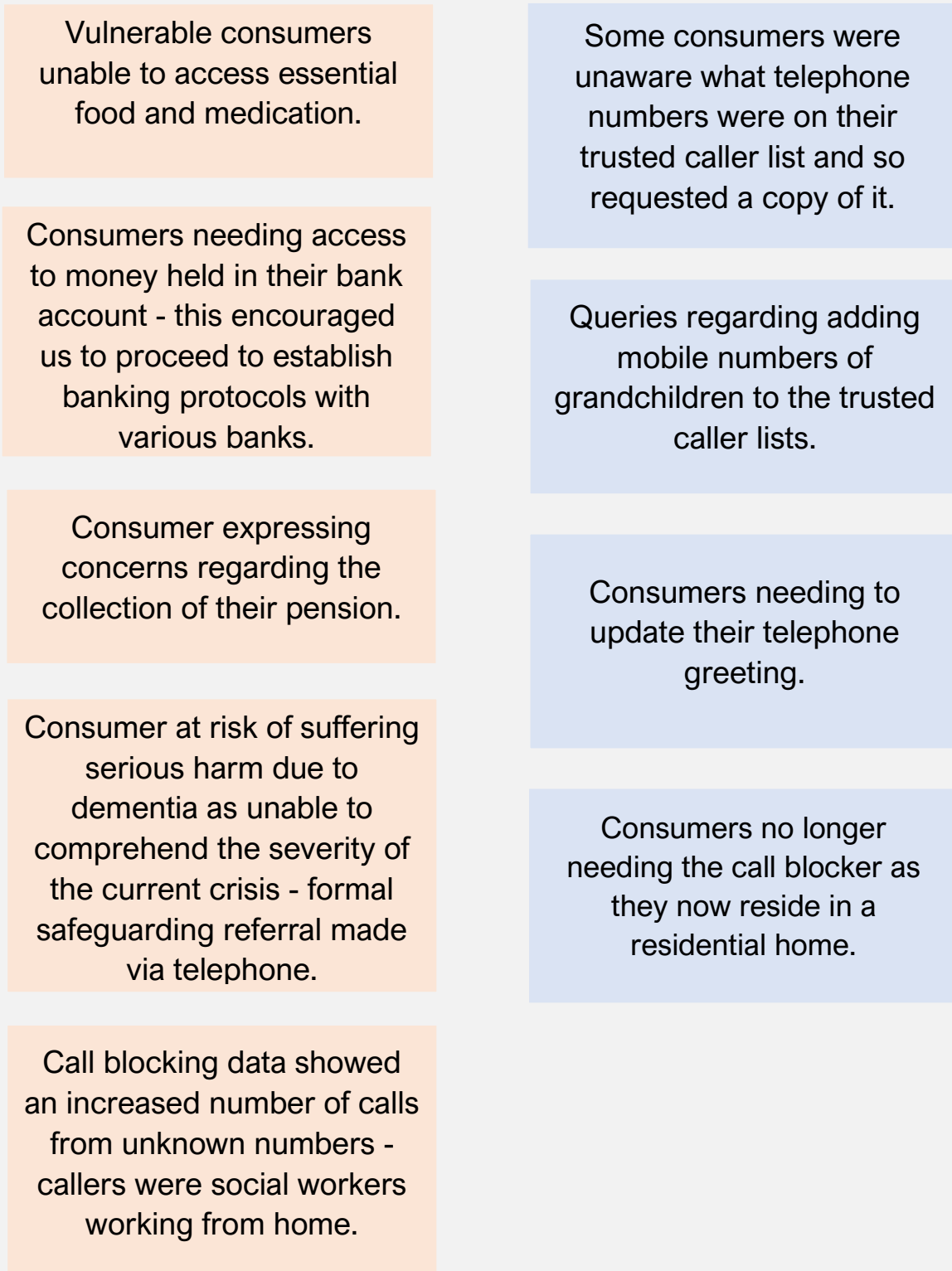
In response to the C-19 pandemic, we conducted targeted communications with vulnerable consumers in the form of welfare telephone calls. Carmarthenshire consumers who have trueCall©<sup>1</sup> call blocking devices installed were contacted as they had been identified as particularly vulnerable and were therefore likely to need support. The initiative highlighted where additional support was needed, provided us with an opportunity to review the performance of the call blocking devices and helped combat loneliness.

**Fig. 1. Graphics trueCall welfare calls March – April 2020**



<sup>1</sup> A trueCall nuisance call blocker is a small electronic device that intercepts all calls coming into a resident's home via a standard landline telephone. The device compares the incoming numbers against a pre-programmed trusted caller list enabling only trusted callers to contact as normal. Where a caller's number is withheld or not on your trusted caller list, the device plays a pre-recorded message and requires the caller to press a button to get through.

**Fig. 2. Welfare calls summary of issues identified**



**Fig. 3. Issues identified: Case studies**

|                                                                                                                                                                                                                                                                  | COVID-19 RELATED ISSUES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | OTHER ISSUES IDENTIFIED                                                                                                                                                                                                                                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>23 March - 29 March</b></p> <ul style="list-style-type: none"> <li>● <i>Data from 23 call blockers analysed.</i></li> <li>● <i>23 welfare calls made.</i></li> <li>● <i>11 issues highlighted.</i></li> <li>● <i>7 COVID-19 related issues.</i></li> </ul> | <p>It was identified that a 93-year-old consumer in self-isolation, who normally relies on a family member for support, was unable to access essential food and medication as the relevant family member was at the time in self-isolation.</p> <p>One 81-year-old consumer, who had no family and was living alone, expressed concerns regarding the sustainability of their arrangement for accessing essential goods and services should their neighbours become unwell. The consumer also needed to access money held in their bank account. Having contacted the consumer's bank to arrange for money to be withdrawn by a third party, we proceeded to withdraw and deliver the money to the consumer. This encouraged us to proceed to establish banking protocols with various other banks.<sup>2</sup></p> <p>Another 93-year-old consumer suffering from very poor health expressed concerns regarding the collection of their pension, normally collected by their 90-year-old relative. The consumer was also concerned about accessing essential goods including specific foods due to a health condition if the neighbour who was helping them at the time became unwell.</p> <p>One vulnerable consumer, living in a very isolated area needed access to medication. Conscious of placing an unnecessary burden on their family member who is a key worker, the consumer asked us for support. This was resolved by use of our Banking, Private and Third Sector Safeguarding Protocols.</p> <p>An elderly, vulnerable couple in self-isolation required support as they were facing difficulty in organising for the collection and delivery of their monthly prescriptions.</p> <p>During one call, it was identified that a consumer was at risk of suffering serious harm due to dementia. Following a discussion with the consumer's relative, who was unable to</p> | <p>Some consumers were unaware what telephone numbers were on their trusted caller list and so requested a copy of it.</p> <p>Queries regarding adding mobile numbers of grandchildren to the trusted caller lists.</p> <p>Telephone numbers provided to be designated as trusted callers.</p> |

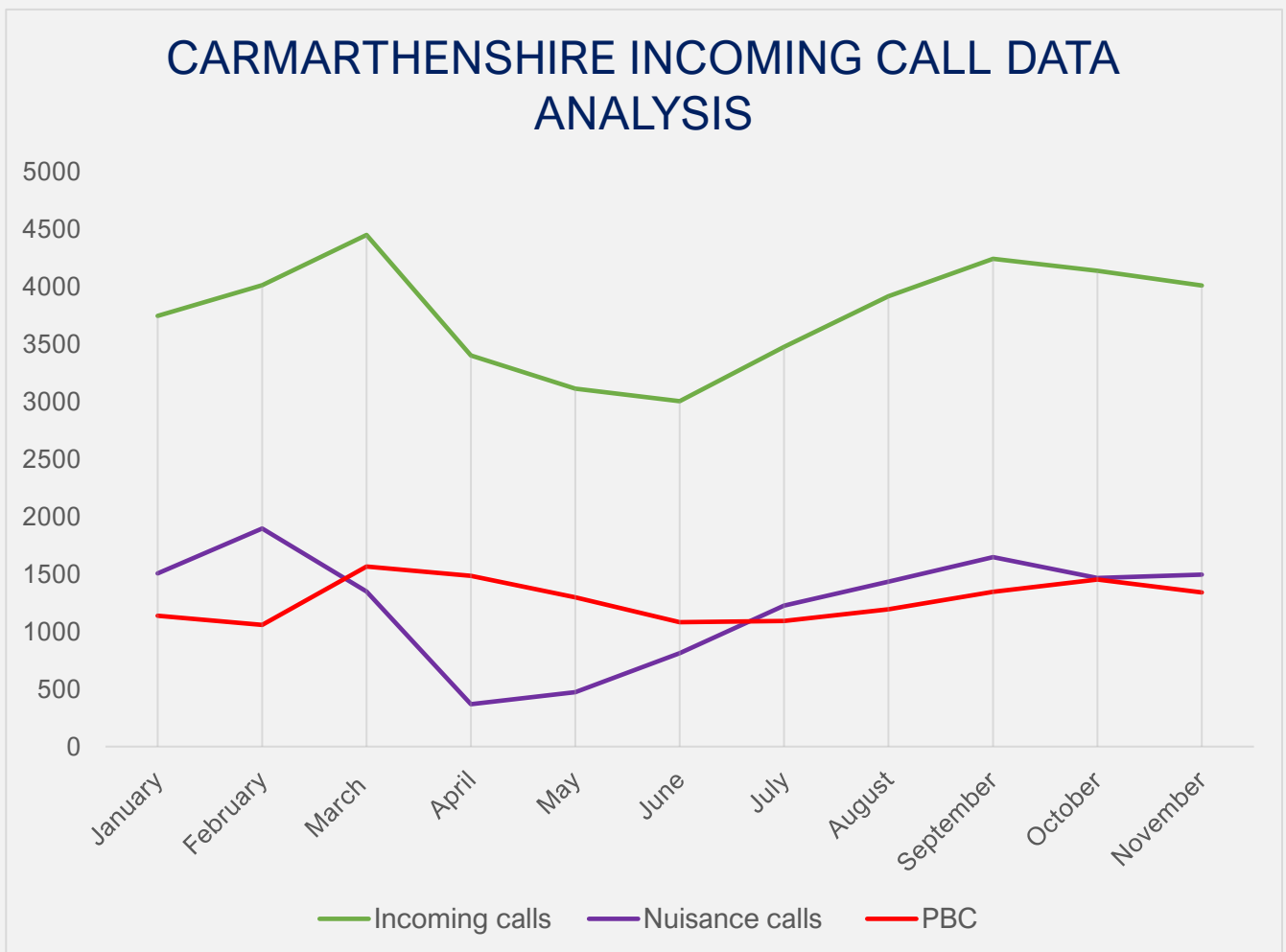
<sup>2</sup> **Banking, Private and Third Sector Safeguarding Protocols:** Safeguarding agreements with High Street Banks, Post Offices and Supermarkets that help support vulnerable persons in the community. During the Pandemic, we have established relationships to coordinate support for both professionals and self-isolating persons (where no other support exists) to undertake a third-party cash withdrawal and prescription collection & delivery service.

|                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                                                                                 | <p>provide support due to other care obligations, it was apparent that the consumer was unable to comprehend the severity of the current crisis. It was reported that the consumer put themselves in danger by continuing to leave their home contrary to government guidance. The officer conducting the call had immediate concerns in relation to this and formal safeguarding referral was made via telephone.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <p><b>30 March – 5 April</b></p> <ul style="list-style-type: none"> <li>● <i>Data from 21 call blockers analysed.</i></li> <li>● <i>21 welfare calls made.</i></li> <li>● <i>10 issues highlighted.</i></li> <li>● <i>5 COVID-19 related issues.</i></li> </ul> | <p>During a call to an 84-year-old consumer in self-isolation, it was identified that although they had managed to stockpile food, this supply would run low in the next few weeks and therefore assistance would be required to access essential goods.</p> <p>It was revealed that an 86-year-old consumer with no close relatives was continuing to collect their own groceries once a week using public transport. Although they had a cough since the beginning of the year, they were otherwise in good health and declined CCC support.</p> <p>It was discovered that one consumer in self-isolation was suffering from severe mental health issues as well as a respiratory condition. It was found that they required support as they had been unable to access essential goods and were living off yoghurts and diet drinks due to an eating disorder.</p> <p>One consumer seemed confused when their cleaner, who normally gets food on their behalf, had failed to do so. It was unclear whether they were self-isolating themselves and so the consumer required support.</p> | <p>Consumers needing to update their telephone greeting.</p> <p>Some consumers were unaware what telephone numbers were on their trusted caller list and so requested a copy of it.</p> <p>Queries regarding adding mobile numbers of grandchildren to the trusted caller lists.</p> <p>Telephone numbers provided to be designated as trusted callers.</p>                                                                                                               |
| <p><b>6 April – 12 April</b></p> <ul style="list-style-type: none"> <li>● <i>Data from 11 call blockers analysed.</i></li> <li>● <i>11 welfare calls made.</i></li> <li>● <i>4 issues highlighted.</i></li> <li>● <i>1 COVID-19 related issue.</i></li> </ul>   | <p>Analysis of call blocking data indicated that a consumer was receiving an increased number of calls from unknown numbers. Following communication with the relevant consumer’s support worker, we were advised that the unknown numbers were social workers working from home due to COVID-19. We liaised with the support worker to ensure the consumer received advice concerning nuisance calls as the consumer was physically and cognitively disabled.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <p>Consumers no longer needing the call blocker as they now reside in a residential home.</p> <p>Queries regarding adding mobile numbers of grandchildren to the trusted caller lists.</p> <p>In one instance it was discovered that the consumer no longer needed the call blocker as they had gone into care. However, the consumer’s partner remained at home and would benefit from keeping the call blocker installed. Our records were updated to reflect this.</p> |

# Using data from our fleet of nuisance call blockers

Prior to making each welfare call, we undertook an analysis of the data received from each call blocking device to establish its performance level. We used our findings to inform our conversation with the consumer and attempted to query any anomalies arising from the data to ensure optimum device performance.

**Fig. 4. Graph trueCall© nuisance call rates March – November 2020**



The graph above shows the number of incoming calls and nuisance calls received by our trueCall© clients between January and November 2020. It also shows the number of calls received from individuals not on the trusted caller list (PBC) during this period.

# No Cold Calling Zone Flyer: C-19 Support, Rogue Trading, Fraud and Scams



Residents living in our No Cold Calling Zones (NCCZs) were targeted as part of a multiagency response to the reported increase in rogue trading, fraud, and scams during the emergency period. These consumers had been identified as particularly vulnerable and were therefore likely to need support. **1800** informative flyers were used to transmit essential information to residents and were delivered to our zones in conjunction with Dyfed Powys Police (DPP). We hoped that this would facilitate a channel of communication to the most vulnerable who are often neglected by the focus on digital communications. We also hoped that a Trading Standards and Police presence within our zones would reassure residents and provide an opportunity to engage with them at a distance.

Fig. 5. C-19 NCCZ support flyer



# COVID-19 NO COLD CALLING ZONE SUPPORT: Rogue Trading, Fraud and Scams

## Dear Resident

We would like to take this opportunity to check that all is well within your No Cold Calling Zone. Unfortunately, there have been increasing reports of rogue trading, fraud and scams during the pandemic and we would encourage you to report any suspicious activity to Trading Standards. If you would like to receive further updates, please contact Trading Standards using the details below.

## SUPPORT AVAILABLE IN CARMARTHENSHERE:

Ardal Gwahardd  
Galw Diwahoddiad  
No Cold Calling Area



trueCall<sup>TM</sup>  
STOPS NUISANCE CALLS



**Are you aware that your zone offers you extra protection against unwanted callers?**

Please make sure you're displaying your No Cold Calling Sticker.

We would like to know if doorstep traders are operating in your area. Please report any suspicious activity—**you are our eyes and ears!**

**Are you receiving nuisance telephone calls or concerned that you or others could be scammed?**

Don't engage or give personal details to people you don't know over the phone.

Trading Standards can offer advice and assistance on call blocking and provide free call blockers to eligible residents.

**Do you need any emergency repairs or essential home maintenance?**

Please don't buy goods or services 'at the door'.

For a list of reputable traders approved by Trading Standards please go to [buywithconfidence.gov.uk](http://buywithconfidence.gov.uk) or telephone Trading Standards below.

**Are you struggling with money, debt, employment or housing issues?**

Citizens Advice can help.

Carmarthen **01267 234488**

Ammanford **01269 592267**

Llanelli **01554 759626**

Claiming Universal Credit :

**07740945348**

**07957668187**

Money/Debt: **01267 231275**

Benefits: **01267 231742**

Energy: **07565 562 282**

**IF YOU ARE SELF ISOLATING AND ARE STRUGGLING TO ACCESS ESSENTIAL GOODS AND SERVICES E.G. FOOD, MEDICINE OR MONEY, OR HAVE CONCERNS FOR A NEIGHBOUR, PLEASE CONTACT US BELOW.**

**Carmarthenshire Trading Standards: 01267 234567 [Tradingstandards@carmarthenshire.gov.uk](mailto:Tradingstandards@carmarthenshire.gov.uk)**

**Please quote 'No Cold Calling Zone' when you contact us**

**Tudalen 129**

**Please report rogue trading activity to Trading Standards or the Police on 101. In emergency call 999.**

## CYMORTH I BARTHOU DIM GALW HEB WAHODDIAD YN YSTOD COVID-19:

### Masnachu Twyllodrus, Twyll a Sgamiau

#### Annwyl Breswlydd

Hoffem gymryd y cyfle hwn i sicrhau bod popeth yn iawn yn eich Ardal Gwahardd Galw Diwahoddiad. Yn anffodus, bu cynnydd mewn adroddiadau am fasnachu twyllodrus, twyll a sgamiau yn ystod y pandemig, a byddem yn eich annog i roi gwybod am unrhyw weithgaredd amheus i Safonau Masnach. Os hoffech dderbyn diweddariadau pellach, cysylltwch â Safonau Masnach gan ddefnyddio'r manylion isod

## CYMORTH SYDD AR GAEL YN SIR GAERFYRDDIN:

Ardal Gwahardd  
Galw Diwahoddiad  
No Cold Calling Area



trueCall<sup>TM</sup>  
STOPS NUISANCE CALLS



Ydych chi'n ymwybodol bod eich parth yn cynnig gwar-chodaeth ychwanegol i chi yn erbyn galwyr digroeso?

Gwnewch yn siŵr eich bod yn arddangos eich sticer Dim Galw Heb Wahoddiad.

Hoffem wybod a yw masnachwyr ar garreg y drws yn gweithredu yn eich ardal chi. Rhowch wybod am unrhyw weithgaredd amheus - **chi yw ein llygaid a'n clustiau!**

Ydych chi'n derbyn galwadau ffôn niwsans neu'n pryderu y gallech chi neu eraill gael eich sgamio?

Peidiwch â sgwrsio â phobl nad ydych yn eu hadnabod dros y ffôn, na rhoi manylion personol iddynt.

Gall Safonau Masnach gynnig cyngor a chymorth ar atal galwadau a darparu teclynnau am ddim i atal galwadau i breswylwyr cymwys.

A oes arnoch angen unrhyw atgyweiriadau brys neu waith cynnal a chadw hanfodol yn y cartref?

Peidiwch â phrynu nwyddau neu wasanaethau wrth y drws.

I weld rhestr o fasnachwyr dibynadwy a gymeradwywyd gan Safonau Masnach, ewch i **buywithconfidence.gov.uk** neu ffoniwch Safonau Masnach gan ddefnyddio'r manylion isod.

Ydych chi'n cael trafferth ag arian, dyled, cyflogaeth neu faterion tai?

Gall y ganolfan Cyngor ar Bopeth helpu.  
Caerfyrddin **01267 234488**  
Rhydaman **01269 592267**  
Llanelli **01554 759626**

Hawlio Credyd Cynhwysol:  
**07740945348**  
**07957668187**  
Arian/Dyled: **01267 231275**  
Budd-daliadau: **01267 231742**  
Ynni: **07565 562 282**

**OS YDYCH CHI'N HUNANYNYSU AC YN CAEL TRAFFERTH CAEL GAFAEL AR NWDYDDAU A GWASANAETHAU HANFODOL E.E. BWYD, MEDDYGINIAETH NEU ARIAN, NEU OS OES GENNYCH BRYDERON AM GYMYDOG, CYSYLLTWCH Â NI GAN DDEFNYDDIO'R MANYLION ISOD.**

Safonau Masnach Sir Gaerfyrddin: **01267 234567** [safonau.masnach@sirgar.gov.uk](mailto:safonau.masnach@sirgar.gov.uk)

Dywedwch 'No Cold Calling' os ydych yn cysylltu â ni

Rhowch wybod am weithgaredd masnachu twyllodrus i Safonau Masnach neu'r Ffôn 101. Mewn argyfwng, ffoniwch 999.

# Digital referral infographic

We created an infographic which was uploaded to the corporate intranet containing details of the interventions that Trading Standards can offer.

It contained links allowing frontline professionals/staff to refer clients instantly to us. A dedicated mailbox has been set up to receive referrals so that priority can be given to these referrals.

The infographic also contained a section dedicated to advertising the support available from Carmarthenshire Citizens Advice Bureau and the Citizens Advice Consumer Helpline and contained the relevant contact details so that referrals could be easily made to these organisations.

**Fig. 6. Digital infographic**



# CYMORTH

## SAFONAU MASNACH



A yw eich cleient yn cael galwadau ffôn niwsans neu sgamiau dros y ffôn?

ATAL  
GALWADAU

AILGYFEIRIO  
POST

A yw eich cleient yn derbyn post sgâm megis loteriau ffug, sgamiau buddsoddi, addewidion twyll am wella afiechydon neu gynlluniau pyramid?



A yw eich cleient yn cael trafferth delio â materion defnyddwyr oherwydd ei fod yn agored i niwed?

CYNGORI  
I  
DDEFNYDDWYR  
AGORED I NIWED

PRYNU Â  
HYDER

A yw eich cleient yn cael anhawster dod o hyd i fasnachwr dibynadwy?  
Gallwch weld y rhestr Prynu â Hyder [yma](#).



A yw eich cleient yn berson agored i niwed ac a oes angen cymorth arnoi gael mynediad i'r banc, swyddfa'r post neu ddarparwyr gwasanaethau eraill?

PROTOCOLAU'R  
SECTOR PREIFAT

CYNGOR  
ARIANNOL

A oes angen cyngor ar ddyled neu fudd-daliadau lles ar eich cleient?  
Cysylltwch ag arbenigwr CAB [yma](#).

cyngor ar  
bopeth

citizens  
advice

Sir Gar  
Carmarthenshire

## CYSYLLTWCH Â NI I WNEUD ATGYFEIRIAD

01554 742249  
[CymorthSM@sirgar.gov.uk](mailto:CymorthSM@sirgar.gov.uk)



Mae Gwasanaethau Defnyddwyr Cyngor ar Bopeth yn darparu cyngor cyffredinol i ddefnyddwyr -cysylltwch â hwy [yma](#).



# TRADING STANDARDS SUPPORT



Is your client receiving  
nuisance or scam  
telephone calls?

CALL BLOCKING

POSTAL  
REDIRECTION

Is your client receiving  
scam mail such as fake  
lotteries, bogus health  
cures, investment scams  
or pyramid schemes?



Is your client struggling  
to deal with a consumer  
issue due to their  
vulnerabilities?

VULNERABLE  
CONSUMER ADVICE

BUY WITH  
CONFIDENCE

Is your client struggling  
to find a reputable  
trader?  
Access the BWC list  
[here](#).



Is your client a vulnerable  
person and do they need  
support accessing their  
bank, post office or other  
service providers?

PRIVATE SECTOR  
PROTOCOLS

MONEY ADVICE

Is your client in need of  
Debt or Welfare Benefits  
advice?  
Contact a CAB specialist  
[here](#).

cyngor ar  
bopeth

citizens  
advice

Sir Gar  
Carmarthenshire

## CONTACT US TO MAKE A REFERRAL

01554 742249

[TSSupport@carmarthenshire.gov.uk](mailto:TSSupport@carmarthenshire.gov.uk)



General consumer advice  
is provided by CACS  
[contact here](#).

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# Business scam infographic

To safeguard Carmarthenshire businesses against scams, we created an infographic containing examples of common business scams and essential information on how businesses can protect themselves in the form of links to advice and guidance. We utilised various mailing lists, including an Economic Development mailing list and our Buy With Confidence members mailing list, to share the infographic with 1500 businesses.

**Fig. 7. Business advice infographic**

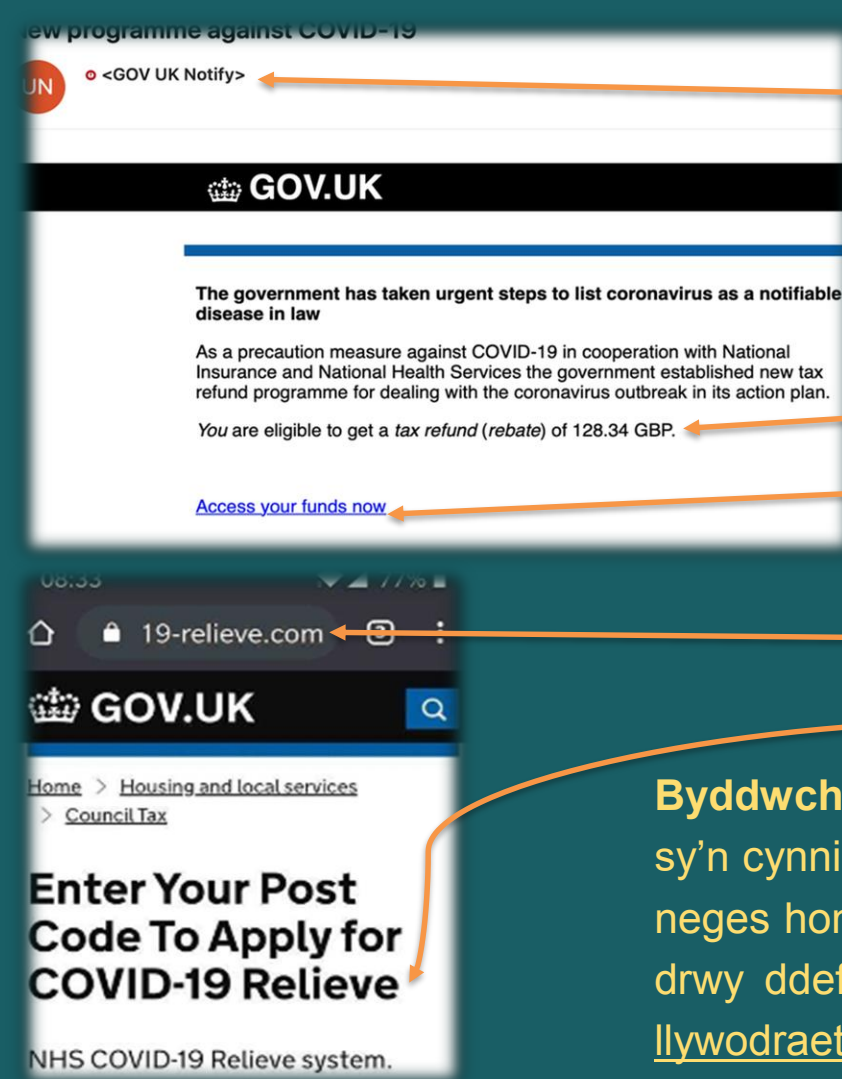
# RHYBUDD I FUSNESAU AM SGAMIAU



Safonau Masnach  
Trading Standards

## SGAMIAU O RAN AD-DALIADAU'R LLYWODRAETH

Mae'n bosibl bydd troseddwr yn cysylltu â chi dros y ffôn, ar e-bost, neges destun neu drwy'r post yn gofyn am wybodaeth ariannol am eich busnes.



- Cyfeiriad e-bost nad yw'n gyferiaid e-bost y Llywodraeth
- Ymddangos yn swyddogol
- Heb ei bersonoli
- Addewid am arian
- Creu ymdeimlad ei fod yn fater brys
- Dim llofnod
- Nid yw'n wefan .gov
- Gramadeg gwael

**Byddwch yn wylidwrus** o negeseuon annisgwyl brys sy'n cynnig cymorth ariannol. Ceisiwch feddwl o ble mae'r neges hon wedi dod. Gwiriwch fod y wybodaeth yn ddilys drwy ddefnyddio cysylltiadau a gwefannau swyddogol y llywodraeth. Cliciwch yma i gael rhagor o wybodaeth.

## Sgamiau am anfonebau

Yn 2019, dywedodd UK Finance fod busnesau wedi colli

# £82m

oherwydd sgamiau am anfonebau

- ❑ Rydych yn cael cais annisgwyl i newid manylion banc cyflenwr cyfredol.
- ❑ Rydych yn derbyn mwy o anfonebau na'r arfer neu sawl anfoneb am gynnyrch neu wasanaeth.
- ❑ Gallech hefyd dderbyn anfoneb ffug.

**Meddylwch.** A oes gennych chi gyfrif gyda'r busnes hwn? Allai hwn fod yn dwyll? Cysylltwch â'r busnes gan ddefnyddio rhif ffôn neu e-bost yr ydych wedi'i ddefnyddio o'r blaen i sicrhau bod hwn yn gais dilys. Cliciwch yma i gael rhagor o wybodaeth.

### Y DECHRAU

Gall troseddwr dreulio misoedd yn ymchwilio i fusnes er mwyn esgus bod yn Brif Weithredwr neu'n uwch- swyddog yn y busnes.

### GWE-RWYDO

Anfonir ffug-negeseuon ar e-bost i weithwyr yn y sefydliad.

### YR YMATEB

Mae'r gweithiwr awdurdodedig yn cael y neges ac yn ymateb ar unwaith oherwydd yr ymdeimlad o frys heb wirio'r ffynhonnell.

### Y NIWED

Mae'r sgam wedi llwyddo a bellach mae'r troseddwr wedi derbyn taliad neu mae ganddo fynediad at wybodaeth bwysig am y busnes.

### Y CANLYNIAD

Yn dilyn sgam llwyddiannus, gall y canlyniadau fod yn niweidiol iawn: colled ariannol, gweithdrefnau disgyblu, posibilrwydd o golli enw da, ymchwiliadau hirfaith

## Sgamiau o ran Prif Swyddogion

Mae hon yn sgam soffistigedig sy'n chwarae ar awdurdod cyfarwyddwyr busnesau ac uwch-reolwyr. Y gost gyfartalog i Brif Weithredwyr o ganlyniad i sgam tebyg yw

# £35k

Dilynwch y gweithdrefnau mewnol a **gwiriwch y cais yn bersonol** os yn bosibl, neu dros y ffôn— cofiwch ddefnyddio rhif dilys yn hytrach na'r rhif ar y cais. Cliciwch yma i gael rhagor o wybodaeth.

## Sgamiau am gymorth technoleg

Wrth i ragor o bobl weithio o bell ac wrth i systemau TG fod o dan bwysau, gallai troseddwr esgus bod yn fusnes adnabyddus a chynnig atgyweirio dyfeisiau.

- **Byddwch yn amheus** o alwyr digroeso sy'n honni eu bod yn ffonio o ganolfan fusnes neu'ch adran TG ac sy'n cynnig unrhyw fath o gymorth technegol.
- Ni fydd busnes go iawn yn cysylltu â chi heb rybudd a gofyn am wybodaeth ariannol, cyfrineiriau na manylion mewngofnodi.
- Peidiwch byth â rhoi caniatâd i rywun gael mynediad o bell i'ch cyfrifiadur na gosod meddalwedd arno yn dilyn galwad digroeso. Cliciwch yma i gael rhagor o wybodaeth.

### STOPIO

Os byddwch yn derbyn cais i wneud taliad brys, newid manylion banc cyflenwr neu ddarparu gwybodaeth ariannol, arhoswch am eiliad a meddylwch.

### HERIO

Allai hwn fod yn ffug? Yn y lle cyntaf dylech wirio'r holl fanylion o ran y taliadau a'r cyflenwr gyda'r busnes ar rif ffôn cydnabyddedig neu wyneb yn wyneb

### DIOGELU

Cysylltwch â'ch banc busnes ar unwaith os ydych o'r farn eich bod wedi cael eich twyllo a rhowch wybod i [Safonau Masnach](https://www.gov.uk/government/organisations/trading-standards) ar 01267 234567 Cliciwch yma i gofrestru a chael gwybodaeth am y Tîm Sgamiau Safonau Masnach Cenedlaethol - Busnesau yn erbyn Sgamiau



If you receive a request to make an urgent payment, change supplier bank details or provide financial information, take a moment to **stop and think**.



TO STOP FRAUD



UK FINANCE

takefive-stopfraud.org.uk

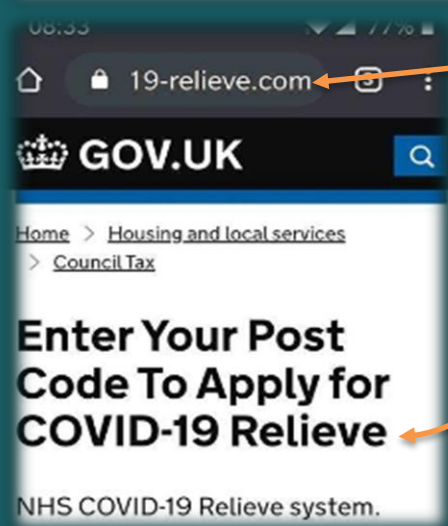
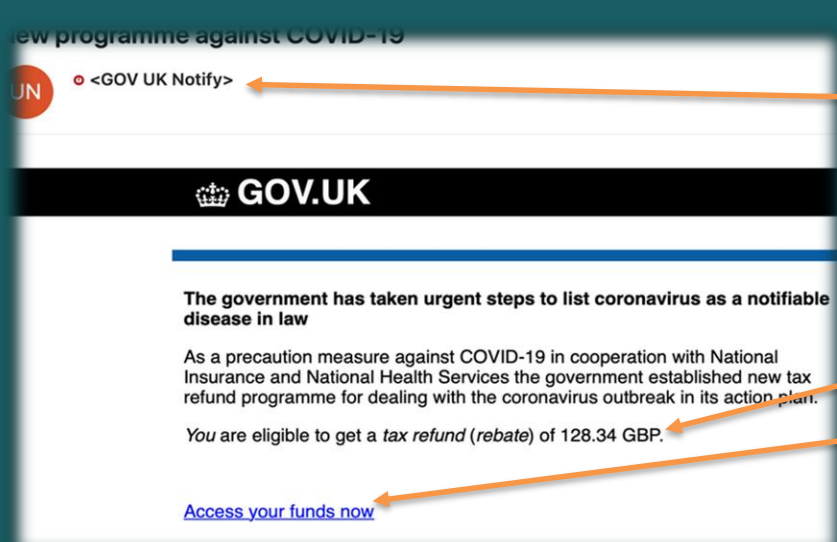
# BUSINESS SCAM WARNING



Safonau Masnach  
Trading Standards

## GOVERNMENT REFUND SCAMS

You may be contacted by phone, email, text message or post by criminals seeking your business financial information



- Non government email address
- Designed to look official
- Not personalised
- Promise of reward
- Creating a sense of urgency
- No sign off
- Not .gov website
- Poor grammar

**Be cautious** of unexpected urgent communications offering financial assistance. Think about where this message has come from. Check that the information is genuine by using [official government websites](#) and contacts. [Click here to find out more.](#)

## Invoice/mandate scams

In 2019, UK Finance reported that businesses had lost over

# £82m

to invoice/mandate fraud.

- ❑ You receive a request out of the blue to change the bank details of an existing supplier.
- ❑ You receive more frequent than usual or duplicate invoices for a product or service.
- ❑ You could also be contacted and supplied a false invoice that is under your authority limit.

**Think about it.** Do you have an account with this business? Could this be fraudulent? Contact the business using a phone number or an email that you have used before to ensure that it is a genuine request. [Click here to find out more.](#)

### THE START

Criminals can spend months researching a business in order to impersonate a CEO or senior figure within the business.

### THE PHISH

Spoofed emails are sent to employees in the organisation

### THE RESPONSE

Employee with authority receives the communication and acts on the sense of emergency without questioning the source

### THE DAMAGE

The scam has been successful and the criminal now has received a payment or has access to important business information

### THE RESULT

Following a successful scam, the results can be damaging: Financial loss, Disciplinary procedures, Potential loss of reputation, Time consuming investigations

## CEO scams

This is a sophisticated scam that plays on the authority of business directors and senior managers. The average loss to a CEO scam is

# £35k

Follow internal procedures and **check the request** in person if possible, or by phone – make sure to use a verified number rather than the one in the request. [Click here to find out more.](#)

## Tech support scams

With more people working remotely and IT systems under pressure, criminals may impersonate a well known business and offer to repair devices.

- **Be suspicious** of cold callers claiming to be from a major business or your businesses IT department offering any form of technical support
- A genuine business would never contact you out of the blue and ask for financial information, passwords or login details
- Never install any software, or grant remote access to your computer as the result of a cold call. [Click here to find out more.](#)

### STOP

If you receive a request to make an urgent payment, change supplier bank details or provide financial information, take a moment to **stop and think**

### CHALLENGE

Could it be fake?  
Verify all payments and supplier details directly with the business on a known phone number or in person first

### PROTECT

Contact your business bank immediately if you think you've been scammed and report it to [Trading Standards](#) on 01267 234567  
[Click here to sign up & learn more from the National Trading Standards Businesses Against Scams team](#)



If you receive a request to make an urgent payment, change supplier bank details or provide financial information, take a moment to **stop and think.**





# Buy With Confidence (BWC)



[buywithconfidence.gov.uk](http://buywithconfidence.gov.uk)



[buywithconfidence.gov.uk](http://buywithconfidence.gov.uk)

We continued to operate our BWC scheme throughout the pandemic, we used a virtual audit process to assess new members and suspended fees for approved traders already on the scheme.

We provide advice to traders on trading in people's homes during the pandemic to ensure compliance with government restrictions. The BWC scheme provides a valuable list of tradespersons legitimately able to undertake emergency repairs and essential works during this period.



We have developed an innovative trueCall© device monitoring tool and dashboard that correlates call activity data with user risk profiles to generate an alert when a service user is exposed to a high number of telephone fraud approaches and/or exhibits behaviours that put them at increased risk of telephone fraud victimisation.

The purpose of the alert system is to initiate a welfare call and/or visit from local officers and to protect service users from fraud victimisation. The nature of trueCall© means that many interventions can be performed remotely. Such protection and remote oversight has proven invaluable during the pandemic.

**Fig. 8. Seraphimbeta© alerts page**



IMPORT DATA

HELP

[LINK TO MASTER SPREADSHEET](#)

| Alert   |             |                    |                   |                |         |              |                   |         |                 |                   |
|---------|-------------|--------------------|-------------------|----------------|---------|--------------|-------------------|---------|-----------------|-------------------|
| LEVEL 6 | LEVEL 5     | LEVEL 4            | LEVEL 3           | LEVEL 2        | LEVEL 1 | NO PBC CALLS | NO SYNC HIGH RISK | NO SYNC | ID NOT REPORTED | INPUT RISK RATING |
| Unit ID | Client Name | Client Risk Rating | Alert             | Calls Received | % I     | % U          | % W               | PBC     |                 |                   |
|         |             | H                  | LEVEL 6           | 70             | 15%     | 8%           | 8%                | 46      |                 |                   |
|         |             | H                  | LEVEL 6           | 141            | 38%     | 8%           | 0%                | 71      |                 |                   |
|         |             | H                  | LEVEL 6           | 87             | 10%     | 0%           | 0%                | 39      |                 |                   |
|         |             | H                  | LEVEL 6           | 103            | 0%      | 30%          | 0%                | 57      |                 |                   |
|         |             | H                  | LEVEL 6           | 103            | 0%      | 30%          | 0%                | 57      |                 |                   |
|         |             | H                  | LEVEL 6           | 125            | 0%      | 0%           | 3%                | 56      |                 |                   |
|         |             | H                  | LEVEL 5           | 55             | 2%      | 0%           | 4%                | 6       |                 |                   |
|         |             | H                  | LEVEL 5           | 74             | 4%      | 0%           | 14%               | 17      |                 |                   |
|         |             | H                  | LEVEL 5           | 70             | 4%      | 0%           | 2%                | 23      |                 |                   |
|         |             | H                  | LEVEL 5           | 46             | 35%     | 0%           | 6%                | 20      |                 |                   |
|         |             | H                  | LEVEL 5           | 75             | 11%     | 7%           | 0%                | 3       |                 |                   |
|         |             | M                  | LEVEL 5           | 83             | 20%     | 0%           | 0%                | 52      |                 |                   |
|         |             | M                  | LEVEL 5           | 262            | 4%      | 7%           | 1%                | 74      |                 |                   |
|         |             | M                  | LEVEL 5           | 141            | 0%      | 0%           | 3%                | 32      |                 |                   |
|         |             | H                  | LEVEL 5           | 84             | 14%     | 7%           | 7%                | 16      |                 |                   |
|         |             | H                  | LEVEL 5           | 94             | 22%     | 0%           | 4%                | 4       |                 |                   |
|         |             | M                  | LEVEL 4           | 74             | 3%      | 3%           | 0%                | 25      |                 |                   |
|         |             | M                  | LEVEL 4           | 25             | 0%      | 8%           | 0%                | 1       |                 |                   |
|         |             | M                  | LEVEL 4           | 40             | 50%     | 0%           | 0%                | 3       |                 |                   |
|         |             | M                  | LEVEL 4           | 81             | 2%      | 0%           | 2%                | 4       |                 |                   |
|         |             | M                  | LEVEL 4           | 17             | 0%      | 0%           | 100%              | 11      |                 |                   |
|         |             | M                  | LEVEL 4           | 45             | 0%      | 14%          | 14%               | 14      |                 |                   |
|         |             | L                  | LEVEL 4           | 61             | 38%     | 0%           | 0%                | 35      |                 |                   |
|         |             | H                  | LEVEL 4           | 81             | 0%      | 0%           | 0%                | 29      |                 |                   |
|         |             | H                  | LEVEL 3           | 54             | 0%      | 0%           | 0%                | 19      |                 |                   |
|         |             | H                  | LEVEL 3           | 61             | 0%      | 0%           | 0%                | 10      |                 |                   |
|         |             | L                  | LEVEL 3           | 22             | 47%     | 7%           | 0%                | 5       |                 |                   |
|         |             | L                  | LEVEL 3           | 47             | 8%      | 0%           | 15%               | 12      |                 |                   |
|         |             | M                  | LEVEL 3           | 52             | 0%      | 0%           | 0%                | 31      |                 |                   |
|         |             | M                  | LEVEL 3           | 75             | 0%      | 0%           | 0%                | 33      |                 |                   |
|         |             | M                  | LEVEL 3           | 91             | 0%      | 0%           | 0%                | 59      |                 |                   |
|         |             | M                  | LEVEL 2           | 33             | 0%      | 0%           | 0%                | 1       |                 |                   |
|         |             | M                  | LEVEL 2           | 32             | 0%      | 0%           | 0%                | 25      |                 |                   |
|         |             | M                  | LEVEL 2           | 18             | 0%      | 0%           | 0%                | 13      |                 |                   |
|         |             | L                  | LEVEL 2           | 96             | 0%      | 0%           | 0%                | 59      |                 |                   |
|         |             | L                  | LEVEL 1           | 48             | 0%      | 0%           | 0%                | 15      |                 |                   |
|         |             | L                  | LEVEL 1           | 103            | 0%      | 0%           | 0%                | 1       |                 |                   |
|         |             | M                  | NO PBC CALLS      | 5              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | H                  | NO PBC CALLS      | 111            | 7%      | 0%           | 1%                | 0       |                 |                   |
|         |             | H                  | NO PBC CALLS      | 89             | 0%      | 4%           | 0%                | 0       |                 |                   |
|         |             | H                  | NO SYNC HIGH RISK | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | H                  | NO SYNC HIGH RISK | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | H                  | NO SYNC HIGH RISK | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | H                  | NO SYNC HIGH RISK | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | L                  | NO SYNC           | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | L                  | NO SYNC           | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | L                  | NO SYNC           | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | M                  | NO SYNC           | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | H                  | ID NOT REPORTED   | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             | M                  | ID NOT REPORTED   | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |
|         |             |                    | INPUT RISK RATING | 0              | 0%      | 0%           | 0%                | 0       |                 |                   |

The following is an example individual device report which is generated by Seraphim**beta**© and provides a breakdown of device performance against the county average telephone fraud threat.

**Fig. 9. Seraphimbeta© individual device report**

# Seraphimbeta<sup>©</sup>

True Call Nuisance Call Blocker - Integrated Victim Risk Analysis

Device performance report

2 - 23 September 2020

1018



Last month  
you  
received  
**91** calls

59 of these calls were from people who proceeded with the call after hearing the Trading Standards message

22 of these calls were from unknown callers who did not proceed with the call after hearing the Trading Standards message

10 of these calls were nuisance calls that were blocked by trueCall before reaching you

Based on last month's call data, your exposure to scams score is...

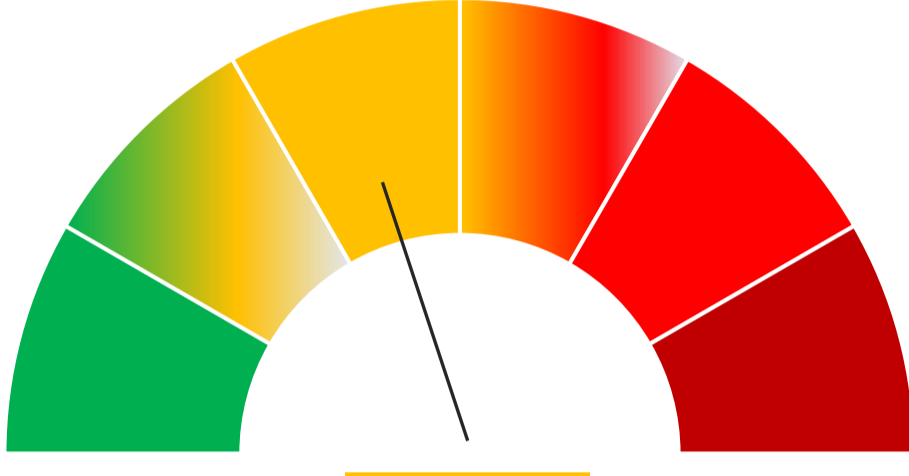
# 3

This means that you experienced a moderate level of exposure to scam calls.

## Your score explained

You are at moderate risk of exposure to scam calls

You received an above average amount of calls from persons not on your trusted caller list in comparison with other trueCall users in Carmarthenshire

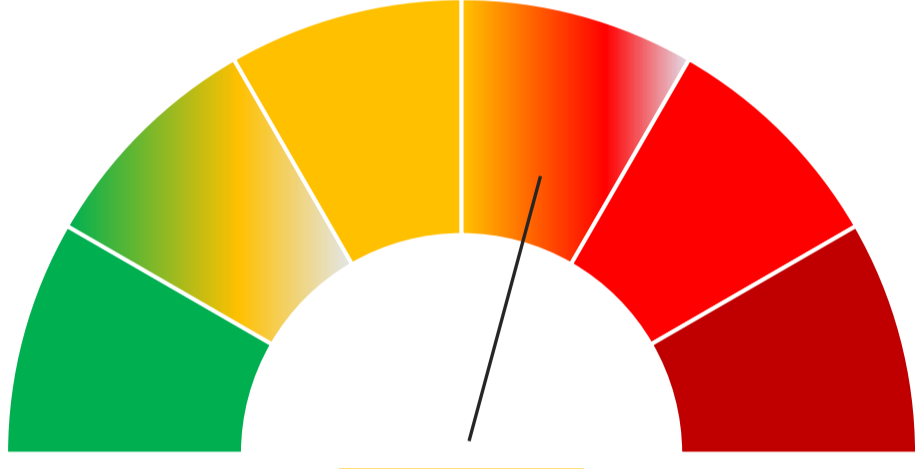


LEVEL 3

## How do I compare with other trueCall users in Carmarthenshire?

The average exposure to scams score in Carmarthenshire is 4

You score below average, but steps could be taken to improve your score...



LEVEL 4



## How to improve your score...

To reduce your exposure to potential scams, please contact the trueCall admin team to update your trusted caller list.

Tel: 01554 742249 Email: [Tradingstandards@carmarthenshire.gov.uk](mailto:Tradingstandards@carmarthenshire.gov.uk)



Safonau Masnach  
Trading Standards

# Personal Protective Equipment (PPE)

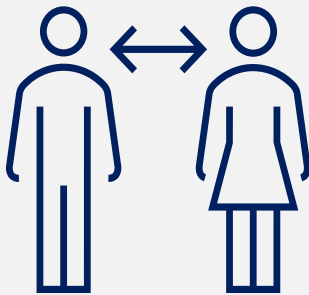


Unscrupulous criminals have been exploiting fears about C-19 to prey on members of the public, particularly older and vulnerable people who are isolated from family and friends. They also used the unprecedented global demand for PPE to their advantage with many bogus online offers leading to a high risk that businesses and organisations were not purchasing useable clinical quality PPE.

We received many requests for assistance with PPE where the authority was concerned with the purchase of adequate and compliant PPE for staff as well as requests for advice from businesses selling/purchasing PPE. We have received **85** enquiries in relation to these issues since 23 March 2020.

Much of these enquiries were dealt with by one of our officers who is also the lead Trading Standards Safety officer for Wales. In this capacity, she also advised other authorities on PPE matters ensuring that significant losses were avoided.

# Consumer & Business Affairs: Business Compliance Team



FESS forms only a small part of the work of the team and to give this some context, Consumer & Business Affairs have been tasked with delivering a significant C-19 response including business compliance and consumer and trader advice and guidance.

Our teams adapted rapidly to provide an effective C-19 response, but to ensure a consistent and efficient approach to the delivery of advice, guidance and enforcement, a single Business Compliance Team was formed in October 2020 comprising officers from within Consumer & Business Affairs and officers redeployed from other CCC departments.

In addition to their work relating to FESS, officers have focused heavily on C-19 work which includes:

- Conducting over **4000** visits to business premises.
- Responding to enquiries received from traders and consumers (including over **1000** received since the formation of the Business Compliance Team in October 2020).
- The issuing of **59** notices including:



|                               |    |
|-------------------------------|----|
| Prohibition notices           | 1  |
| Closure notices               | 24 |
| Improvement notices           | 30 |
| Fixed Penalty notices (£1000) | 4* |

\*1 rescinded (All figures 23 March 2020 to 17 February 2021)

After receiving Welsh Government funding, we have recently recruited 6 dedicated C-19 officers, and are in the process of recruiting a further officer (all on fixed term 6-month contracts).

Mae'r dudalen hon yn wag yn fwriadol



**Bwrdd Gweithredol  
5 Gorffennaf 2021**

**LLOFNODWR Y SIARTER CREU LLEOEDD**

**Y Pwrpas:**

I geisio cael cymeradwyaeth i Gyngor Sir Caerfyrddin fod yn llofnodwr i Siarter Creu Lleoedd Cymru.

**Yr argymhellion / penderfyniadau allweddol sydd eu hangen:**

Mae Siarter Creu Lleoedd Cymru yn cael ei chymeradwyo gyda Chyngor Sir Caerfyrddin yn dod yn llofnodwr.

**Y Rhesymau:**

Er mwyn adlewyrchu darpariaethau polisi cynllunio cenedlaethol a darpariaethau'r Cynllun Datblygu Lleol Diwygiedig wrth iddo ddatblygu.

Angen ymgynghori â'r Pwyllgor Craffu perthnasol - Amherthnasol

Pwyllgor Cynllunio – 24/6/21 dim sylwadau

Angen i'r Bwrdd Gweithredol wneud penderfyniad OES

Angen i'r Cyngor wneud penderfyniad OES

YR AELOD O'R BWRDD GWEITHREDOL SY'N GYFRIFOL AM Y PORTFFOLIO:- Y Cynghorydd Mair Stephens [Dirprwy Arweinydd]

**Y Gyfarwyddiaeth**

Yr Amgylchedd

Swyddi:

Rhifau ffôn: 01267 246270

**Enw Pennaeth y****Gwasanaeth:**

Noelwyn Daniel

Pennaeth Cynllunio

Cyfeiriadau E-bost:

[NDaniel@sirgar.gov.uk](mailto:NDaniel@sirgar.gov.uk)

**Awdur yr Adroddiad:**

Ian Llewelyn

Rheolwr Blaen-gynllunio

01267 228816

[IRLlewelyn@sirgar.gov.uk](mailto:IRLlewelyn@sirgar.gov.uk)

Mae'r dudalen hon yn wag yn fwriadol

**EXECUTIVE SUMMARY**  
**EXECUTIVE BOARD**  
**5<sup>TH</sup> JULY 2021**

**SIGNATORY TO THE PLACEMAKING CHARTER**

**1. BRIEF SUMMARY OF PURPOSE OF REPORT.**

The report seeks endorsement for the Council to become a signatory of the Placemaking Charter Wales. In so doing the report outlines the context and purpose of Placemaking, its role and status in national and local planning policy as well as the content of the Charter.

Planning Policy Wales along with the redrafting of the National Development Framework / Future Wales 2040 emphasises placemaking on a strategic level with the objectives of becoming better connected, reducing travel and boosting local services to enhance identity, character, sense of community and collective ownership through the planning system. This is reinforced through the Council's emerging Revised LDP. Wellbeing is central to the placemaking process and gives importance to the need to work together to build better places. This is achieved by applying a holistic approach to the planning process: one that considers the context, function and relationships between a development site and its wider surroundings.

**2. Introduction**

Planning Policy Wales (PPW) along with Future Wales 2040 emphasises the importance of placemaking on a strategic level with the objectives of becoming better connected, reducing travel and boosting local services to enhance identity, character, sense of community and collective ownership through the planning system.

Wellbeing is central to the placemaking process and gives importance to the need to work together to build better places. This is achieved by applying a holistic approach to the planning process: one that considers the context, function and relationships between a development site and its wider surroundings.

PPW sets out the Welsh Government approach to achieving well-being and sustainable development via placemaking. It emphasises the legacy of development for people and the environment.

*"Good placemaking is...essential to the delivery of sustainable development and achieving improvements in the well-being of communities". (PPW Ed.11, Paragraph 2.10)*

Building Better Places - Placemaking and the Covid-19 recovery: Welsh Government (July 2020) identifies Placemaking as its central theme.

Future Wales 2040 through its policies and guidance emphasises the role of Placemaking as being at the heart of the Planning system. Policy 2 of Future Wales identifies its role in shaping urban growth and regeneration by positively contributing towards building sustainable places that support active and healthy lives, with urban neighbourhoods that are compact and

walkable, organised around mixed-use centres and public transport and integrated with green infrastructure.

The principles of Placemaking and the pledges set out through the Placemaking Charter below closely align to our Well-being Objectives as follows:

1. Help to give every child the best start in life and improve their early life experiences
2. Help children live healthy lifestyles
3. Support and improve progress and achievement for all learners
4. Ensure all young people are in Education, Employment or Training (EET) and are following productive learning and career pathways
5. Tackle poverty by doing all we can to prevent it, help people into work and improve the lives of those living in poverty
6. Create more jobs and growth throughout the County
7. Increase the availability of rented and affordable homes
8. Help people live healthy lives (tackling risky behaviour and obesity)
9. Support good connections with friends, family and safer communities
10. Support the growing numbers of older people to maintain dignity and independence in their later years
11. A Council wide approach to support Ageing Well in Carmarthenshire
12. Look after the environment now and for the future
13. Improve the highway and transport infrastructure and connectivity
14. Promote Welsh Language and Culture
15. Building a Better Council and Making Better Use of Resources.

The preparation of the Revised LDP has seen Placemaking and components such as design quality, sustainability, Net Zero Carbon Agenda and Green and Blue Infrastructure embedded into planning policy. In this respect, it is interwoven within the emerging Plan and is a guiding principle which will be supported through a range of planning guidance documents to assist in interpreting what's required and its implementation, as well as a Manual for communities in the preparation of their own Place Plans.

Alongside the emerging LDP, Carmarthenshire already has a strong delivery focused outlook centred on a one team or collective approach. The Council through its regeneration priorities and the ten towns strategy has continued to adopt a progressive approach to developing responsive and place-led proposals. Indeed, the emerging post Covid Recovery Plan provides a mechanism for ensuring our response reflects people's well-being and a principle through which to plan the future shape of communities. The principles of Placemaking reflects not only the five ways of working set out within the Well-being and Future Generations Act and the principles for sustainable development but also the need to plan and collaborate in creating places, particularly post Covid. This is reflected in the Recovery Plan which states:

“How we help deliver the recovery and growth of the economy is as important as what we deliver –and consideration of the Wellbeing of Future Generations Act has reinforced the need

to work differently to recover and improve the sustainable economic well-being of Carmarthenshire. The Act puts in place the five ways of working to ensure that public bodies take account of the long-term, work to prevent problems occurring or getting worse, take an integrated and collaborative approach, and consider and involve people.”

### **3. What is Placemaking?**

Placemaking is the proactive and collaborative approach in the creation and management of places. This process relates to more than the planning services function of the Council, and in fact relates to multiple service areas across local government that contribute to the shaping of the built and natural environment and creation and management of places. Placemaking is a key process to deliver the duties of the Well Being of Future Generations Act, and its multi-disciplinary approach aligns well with the delivery of the Council's corporate priorities which require the multifunctional approach in their delivery, but also as we plan for recovery post Covid.

It represents an integrated approach to the planning and design of development and spaces, focused on positive outcomes. It draws upon an area's potential to create high quality development and public spaces that promote people's prosperity, health, happiness, and well-being in the widest sense.

Placemaking is an approach that considers the context, function and relationships between a development and its wider surroundings. The principle is just as relevant for smaller scale development, as the themes involved seek to ensure all new development contributes positively as far as possible to the creation of place.

Placemaking should not be about adding additional cost to a development, but rather it should be about integrated and collaborative thinking from the earliest possible stage. Placemaking adds social, economic, environmental, and cultural value to development proposals resulting in benefits which go beyond a physical development boundary and embed wider resilience into decisions.

### **4. The Placemaking Charter Wales**

The Charter has been developed by the Design Commission for Wales and the Welsh Government in collaboration with the Placemaking Wales Partnership, which is made up of stakeholders representing a wide range of interests and organisations working within the built and natural environment. The Charter reflects the collective and individual commitment of these organisations to support the development of high-quality places across Wales for the benefit of its communities.

Launched in September 2020 by Julie James, Minister for Housing and Local Government it has been signed by a range of organisations and bodies including Local Authorities, Home Builders Federation, Natural Resources Wales, National Park Authorities, Chartered Institute of Highways and Transportation, Institute of Highway Engineers, Housing associations, Future

Generations Commissioner for Wales, Royal Society of Architects Wales, Welsh Government, Welsh Local Government Association and national/regional house builders.

The Charter includes the following six principles:

- **People and Community:** The local community are involved in the development of proposals. The needs, aspirations, health, and well-being of all people are considered at the outset. Proposals are shaped to help to meet these needs as well as create, integrate, protect and/or enhance a sense of community and promote equality.
- **Location:** Places grow and develop in a way that uses land efficiently, supports and enhances existing places and is well connected. The location of housing, employment and leisure and other facilities are planned to help reduce the need to travel.
- **Identity:** The positive, distinctive qualities of existing places are valued and respected. The unique features and opportunities of a location including heritage, culture, language, built and natural physical attributes are identified and responded to.
- **Movement:** Walking, cycling and public transport are prioritised to provide a choice of transport modes and avoid dependence on private vehicles. Well designed and safe active travel routes connect to the wider active travel network and public transport stations and stops are positively integrated.
- **Mix of Uses:** Places have a range of purposes which provide opportunities for community development, local business growth and access to jobs, services and facilities via walking, cycling or public transport. Development density and a mix of uses and tenures helps to support a diverse community and vibrant public realm.
- **Public Realm:** Streets and public spaces are well defined, welcoming, safe, and inclusive, with a distinct identity. They are designed to be robust and adaptable, with landscape, green infrastructure and sustainable drainage well integrated. They are well connected to existing places and promote opportunities for social interaction and a range of activities for all people.

In signing the Placemaking Charter an organisation agrees to support placemaking in all relevant areas in working and promote the six placemaking principles in the planning, design and management of new and existing places. Once the organisation has agreed and signed the Charter, the name of the organisation will be added to the list of signatories on the Placemaking Wales partnership website and will be sent the Charter logo to use. A copy of the Charter can be found in Appendix A.

**DETAILED REPORT ATTACHED?**

**NO [APPENDIX ATTACHED]**

## IMPLICATIONS

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

**Signed: N. Daniel**

**Head of Planning**

| <b>Policy, Crime &amp; Disorder and Equalities</b> | <b>Legal</b> | <b>Finance</b> | <b>ICT</b> | <b>Risk Management Issues</b> | <b>Staffing Implications</b> | <b>Physical Assets</b> |
|----------------------------------------------------|--------------|----------------|------------|-------------------------------|------------------------------|------------------------|
| YES                                                | YES          | NONE           | NONE       | NONE                          | NONE                         | NONE                   |

### **1. Policy, Crime & Disorder and Equalities**

The principles of Placemaking as expressed within the Charter reflects the objective of Planning policies, proposals and decisions to seek to promote sustainable development and support the well-being of people and communities. Placemaking links to the delivery of the seven well-being goals and by using the five Ways of Working, as required by the Well-being of Future Generations Act, including seeking to maximise the social, economic, environmental and cultural benefits, while considering potential impacts in line with the Act's Sustainable Development Principle. This is embedded in the provisions of national planning policy and the emerging Revised LDP and is reflective of the requirements emanating from the Wellbeing and Future Generations Act 2015 and the Carmarthenshire Well-being Plan: The Carmarthenshire We Want – 2018 - 2023. Through Placemaking principles and land use planning policies, the approach will seek to promote the principles of sustainability and sustainable development by facilitating the creation of communities and local economies which are more sustainable, cohesive and provide access to local services and facilities and reducing the need to travel.

### **2. Legal**

Placemaking as a requirement is already embedded into the national planning policy through Planning Policy Wales and Future Wales (National Development Framework) as well as the emerging Revised LDP. Planning Policy Wales along with Future Wales emphasises placemaking on a strategic level with the objectives of becoming better connected, reducing travel and boosting local services to enhance identity, character, sense of community and collective ownership through the planning system in line with the objectives of the Well-being of Future Generations (Wales) Act 2015.

### **3. Finance**

The Authority is already implementing the principles as a consequence of the policies and provisions of Planning Policy Wales and ultimately through the Revised Local Development Plan. No additional direct costs are envisaged.

## CONSULTATIONS

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                               |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| <p><b>I confirm that the appropriate consultations have taken in place and the outcomes are as detailed below</b></p> <p><b>Signed: N. Daniel</b> <span style="float: right;"><b>Head of Planning</b></span></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                               |
| <p><b>1. Scrutiny Committee</b><br/>Not applicable. Future reports to be provided to Community and Regeneration Scrutiny to consider the application of the charter.</p> <p><b>2. Local Member(s)</b><br/>Not applicable. Internal and external partners will be engaged as part of the implementation of policy and the principles of the Charter.</p> <p><b>3. Community / Town Council</b><br/>Not applicable. Internal and external partners will be engaged as part of the implementation of policy and the principles of the Charter.</p> <p><b>4. Relevant Partners</b><br/>Not applicable. Internal and external partners will be engaged as part of the implementation of policy and the principles of the Charter.</p> <p><b>5. Staff Side Representatives and other Organisations</b><br/>Not applicable. Internal and external partners will be engaged as part of the implementation of policy and the principles of the Charter.</p> |                               |
| EXECUTIVE BOARD PORTFOLIO HOLDER(S) AWARE/CONSULTED YES                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Include any observations here |

|                                                                                                                                                                                               |              |                                                                                                                                                                                                                                                                                 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Section 100D Local Government Act, 1972 – Access to Information</b></p> <p><b>List of Background Papers used in the preparation of this report:</b></p> <p>THESE ARE DETAILED BELOW</p> |              |                                                                                                                                                                                                                                                                                 |
| Title of Document                                                                                                                                                                             | File Ref No. | Locations that the papers are available for public inspection                                                                                                                                                                                                                   |
| Planning Policy Wales (Edition 11)                                                                                                                                                            |              | <a href="https://gov.wales/sites/default/files/publications/2021-02/planning-policy-wales-edition-11_0.pdf">https://gov.wales/sites/default/files/publications/2021-02/planning-policy-wales-edition-11_0.pdf</a>                                                               |
| Future Wales: the national plan 2040                                                                                                                                                          |              | <a href="https://gov.wales/sites/default/files/publications/2021-02/future-wales-the-national-plan-2040.pdf">https://gov.wales/sites/default/files/publications/2021-02/future-wales-the-national-plan-2040.pdf</a>                                                             |
| Revised Deposit LDP                                                                                                                                                                           |              | <a href="https://www.carmarthenshire.gov.wales/home/council-services/planning/local-development-plan-2018-2033/deposit-plan/#.YH1j-o5KiUI">https://www.carmarthenshire.gov.wales/home/council-services/planning/local-development-plan-2018-2033/deposit-plan/#.YH1j-o5KiUI</a> |
| Placemaking Charter Website                                                                                                                                                                   |              | <a href="https://dcfw.org/placemaking/placemaking-charter/">https://dcfw.org/placemaking/placemaking-charter/</a>                                                                                                                                                               |
| Placemaking and Design SPG                                                                                                                                                                    |              | <a href="https://www.carmarthenshire.gov.wales/media/1213904/adopted-placemaking-design-spg-report.pdf">https://www.carmarthenshire.gov.wales/media/1213904/adopted-placemaking-design-spg-report.pdf</a>                                                                       |



## Appendix A – Placemaking Charter Wales



### Creu Lleoedd Cymru Placemaking Wales

Llofnodydd y Siarter Charter Signatory

Placemaking Wales is an initiative to support the implementation of placemaking in Wales. The project is being led by the Placemaking Wales Partnership – a multi-disciplinary group representing professions and organisations involved in shaping the built and natural environment in Wales.

A Placemaking Wales Charter has been developed to reflect the collective and individual commitment of these organisations to support the development of high-quality places across Wales for the benefit of their communities ([dcfw.org/placemaking/placemaking-charter/](https://dcfw.org/placemaking/placemaking-charter/)). The Charter includes six placemaking principles that those who sign-up agree to promote as part of their support for placemaking.

#### People and community

The local community are involved in the development of proposals. The needs, aspirations, health and well-being of all people are considered at the outset. Proposals are shaped to help to meet these needs as well as create, integrate, protect and/or enhance a sense of community and promote equality.

#### Location

Places grow and develop in a way that uses land efficiently, supports and enhances existing places and is well connected. The location of housing, employment and leisure and other facilities are planned to help reduce the need to travel.

#### Movement

Walking, cycling and public transport are prioritised to provide a choice of transport modes and avoid dependence on private vehicles. Well designed and safe active travel routes connect to the wider active travel and public transport network and public transport stations and stops are positively integrated.

#### Mix of uses

Places have a range of purposes which provide opportunities for community development, local business growth and access jobs, services and facilities via walking, cycling or public transport. Development density and a mix of uses and tenures helps to support a diverse community and vibrant public realm.

#### Public realm

Streets and public spaces are well defined, welcoming, safe and inclusive with a distinct identity. They are designed to be robust and adaptable with landscape, green infrastructure and sustainable drainage well integrated. They are well connected to existing places and promote opportunities for social interaction and a range of activities for all people.

#### Identity

The positive, distinctive qualities of existing places are valued and respected. The unique features and opportunities of a location including heritage, culture, language, built and natural physical attributes are identified and responded to.

A Placemaking Guide has also been published with further guidance on the principles of placemaking and how they can be applied in practice ([dcfw.org/placemaking/resources/](https://dcfw.org/placemaking/resources/)).

Mae'r dudalen hon yn wag yn fwriadol

**Bwrdd Gweithredol**  
**05.07.21**

**RHAGLEN SGILIAU A THALENTAU, BARGEN DDINESIG BAE ABERTAWE**

**Yr argymhellion / penderfyniadau allweddol sydd eu hangen:**

1. Cymeradwyo'r Achos Busnes arfaethedig ar gyfer y Rhaglen Sgiliau a Thalentau a'i gyflwyno'n ffurfiol i'r Swyddfa Rheoli Portffolio yn unol â Chynllun Gweithredu'r Fargen Ddinesig er mwyn cymeradwyo cyllid y Fargen Ddinesig.
2. Rhoi awdurdod dirprwyedig i'r Pennaeth Adfywio ar y cyd â'r Aelod o'r Bwrdd Gweithredol i wneud unrhyw fân newidiadau i'r achos busnes yn ôl yr angen er mwyn cael cymeradwyaeth ar lefel llywodraeth leol, rhanbarthol a chenedlaethol.

**Y Rhesymau:**

Mae'r Rhaglen Sgiliau a Thalentau yn buddsoddi yn natblygiad unigolion medrus i ddiwallu anghenion yr 8 prosiect sy'n ffurfio'r Fargen Ddinesig. Nod y rhaglen yw datblygu cyfleoedd i unigolion ar draws y rhanbarth i wella eu sgiliau er mwyn bodloni'r gofynion "sgiliau newydd" a nodwyd drwy'r 8 prosiect a datblygu llwybrau gyrfa disgyblion mewn ysgolion, addysg bellach ac addysg uwch er mwyn manteisio ar y cyfleoedd gwaith a grëwyd yn y rhanbarth drwy'r Fargen Ddinesig a buddsoddiadau eraill. Mae tystiolaeth glir bod angen am raglen sgiliau i leihau nifer y bobl ar draws y rhanbarth sydd â chymwysterau lefel is neu sydd heb gymwysterau, a bod angen datblygu cyfleoedd i bawb drwy weithio mewn partneriaeth â rhanddeiliaid i gynig hyfforddiant sgiliau mewn meysydd allweddol. Nod y Rhaglen Sgiliau a Thalent yw cynig hyfforddiant mewn sgiliau amrywiol i bawb drwy raglenni dwyieithog a thrwy ddefnyddio gwahanol ddulliau cyflawni.

Bydd y rhaglen hefyd yn nodi anghenion o ran sgiliau yn y byd ar ôl Covid yr amlygir arnynt yn yr asesiad anghenion o ran sgiliau a fydd yn cael ei gynnal yng ngham datblygu cychwynol y rhaglen.

Cyngor Sir Caerfyrddin yw'r Awdurdod arweiniol dynodedig ar gyfer y Rhaglen Sgiliau a Thalentau ac sy'n gyfrifol am ei gyflawni ar draws y rhanbarth. Mae'n ofynnol yn ôl elfennau llywodraethu'r Fargen Ddinesig i'r Achos Busnes hwn gael ei awdurdodi gan bob un o'r 4 Awdurdod Lleol rhanbarthol.

Angen ymgynghori â'r Pwyllgor Craffu perthnasol                      AMHERTHNASOL

Angen i'r Bwrdd Gweithredol wneud penderfyniad                      OES

Angen i'r Cyngor wneud penderfyniad                                      OES

YR AELOD O'R BWRDD GWEITHREDOL SY'N GYFRIFOL AM Y PORTFFOLIO:-      Y  
Cynghorydd Emlyn Dole, Arweinydd a'r Aelod o'r Bwrdd Gweithredol dros Ddatblygu  
Economaid.

|                                        |                                  |                                             |
|----------------------------------------|----------------------------------|---------------------------------------------|
| Y Gyfarwyddiaeth: Prif Weithredwr      | Swyddi:                          |                                             |
| Enw Pennaeth y Gwasanaeth: Jason Jones | Pennaeth y Gwasanaeth            | jajones@sirgar.gov.uk                       |
| Awdur yr Adroddiad: Jane Lewis         | Rheolwr Partneriaeth Rhanbarthol | Ffôn: 07789 371211<br>jelewis@sirgar.gov.uk |

**EXECUTIVE SUMMARY**  
**EXECUTIVE BOARD**  
**5<sup>TH</sup> JULY 2021**

**Skills and Talent Programme, Swansea Bay City Deal**

**1. BRIEF SUMMARY OF PURPOSE OF REPORT**

The Swansea Bay City Deal is a £1.3bn investment in nine major projects across the Swansea Bay City Region which is made up of Carmarthenshire, Neath Port Talbot, Pembrokeshire and Swansea. The City Deal is being funded, subject to the approval of project business cases, by the UK Government, the Welsh Government, the public sector and the private sector.

A business plan for the Skills and Talent Programme has been prepared and is enclosed as Appendix 1 for member's consideration with a summary included in the body of this main report.

The City Deal funding will fund a programme team that will develop a Skills Barometer for the region, the Barometer will identify the skills gaps that exist in the region and identify the new skills required to meet the existing and future needs of the 8 City Deal projects across the five key themes of Construction, Digital, Energy, Health and Wellbeing and Smart Manufacturing.

The programme delivery will be across four phases:

- ✓ Phase1 - mapping of the City Deal skills gaps and analysis of the training needs for the City Deal projects and the wider regional benefits. The needs analysis will consider the business needs; gender and equality imbalances and the needs and availability of the existing and future workforce through re-training and increasing awareness of opportunities.
- ✓ Phase 2 - identify the skills gaps across the five key themes and work with stakeholders to develop pilot projects to deliver the skills training and upskilling identified. The Skills and Talent programme will not duplicate existing provision but will work with all training providers across the region to ensure that the courses delivered through the pilot projects will meet the future skills needs for the region and will provide a lasting legacy of skilled individuals across the Swansea Bay region.
- ✓ Phase 3 - will work with schools across the region to highlight opportunities that will be generated through the City Deal projects and develop clear pathways to help young people make the right choices in schools. The aim will be to increase the number of pupils following STEM subjects in Further and Higher Education.
- ✓ Phase 4 – identify opportunities to create Centres of Excellence in the region that will be the legacy of the programme and establish the region as being the best place to learn specific sector skills.

The overarching aim of the programme is to strengthen collaboration and increase investment that will significantly boost the quality and quantity of trained and skilled individuals through the intervention of the programme. The aim is to:

- ✓ To directly deliver at least 2,200 additional skills and support the development of around 14,000 individuals with higher level (between 2-8) skills within 10 years.
- ✓ To create at least 3000 new apprenticeship opportunities, to include level 3 to Degree apprenticeships.
- ✓ To create at least 2 Centres of Excellence within specific sectors to develop the region as being “the best” area for skills development.
- ✓ To create a clear career pathway from school education through further and higher education in the key areas of digital; construction, energy; smart manufacturing and life-science and wellbeing, achieved through engagement and development work with schools increasing the number of pupils following STEM subjects in FE and HE.
- ✓ To deliver 20 new/updated course frameworks to ensure they meet the industry training needs for the future.

The Skills and Talent programme is required because the region suffers from a series of overarching economic issues including low GVA, lack of well-paid job opportunities, skills shortages, high levels of economic inactivity and outward youth migration. The region is characterised by a higher proportion of individuals with no qualifications when compared with national averages. A high number of individuals in the region are currently in low skilled, low paid and unstable employment and subsequently a lower-than-average level of individuals are in higher paid, meaningful employment. The programme will help address the skills gaps by working with the City Deal projects and regional stakeholders to develop and deliver the skills needs for the future in the region.

|                                  |            |
|----------------------------------|------------|
| <b>DETAILED REPORT ATTACHED?</b> | <b>YES</b> |
|----------------------------------|------------|

## IMPLICATIONS

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

**Signed: Jason Jones**

**Head of Regeneration**

|                                         |             |            |            |                        |                       |                 |
|-----------------------------------------|-------------|------------|------------|------------------------|-----------------------|-----------------|
| Policy, Crime & Disorder and Equalities | Legal       | Finance    | ICT        | Risk Management Issues | Staffing Implications | Physical Assets |
| <b>NONE</b>                             | <b>NONE</b> | <b>YES</b> | <b>YES</b> | <b>YES</b>             | <b>YES</b>            | <b>NONE</b>     |

### 3. Finance

The funding has been identified from the Swansea Bay City Deal programme. The total cost of the programme is £30 million; £10million City Deal Funding; £16m public sector match funding and £4m private sector match funding.

The exact level of borrowing and the structure and terms of the borrowing are yet to be confirmed, although it will be calculated based on the amount required per relevant Local Authority and will be in line with the individual LA's internal requirements. This is being determined by the four Section 151 Officers of the four regional LAs. All borrowing will be agreed based on the principles of the Prudential Code and Treasury Management Policy and Strategy for each Local Authority.

### 4. ICT

There will be a requirement for IT equipment and support for the programme team.

### 5. Risk Management Issues

All risks associated with undertaking the proposed actions and the risks associated with failing to undertake the proposed action have been identified and mitigated where possible within the Business Case and supporting Risk register. This has been done in line with City Deal governance and risk management procedures and will continue to be managed throughout the lifetime of the Programme.

### 6. Staffing Implications

The Business Case includes the recruitment of a small team of officers to deliver the Project and all associated workstreams. This team will be hosted by Carmarthenshire on behalf of the region and funded entirely by the City Deal budget for this project.

All recommendations in relation to staffing matters comply with statutory employment legislation and the Authority's employment policies.

## CONSULTATIONS

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

Signed: Jason Jones Head of Regeneration

1. Scrutiny Committee n/a

2. Local Member(s) n/a

3. Community / Town Council n/a

4. Relevant Partners All Relevant regional partners and stakeholders have been and continue to be consulted with in relation to this Programme. The Regional Learning and Skills Partnership Board will be the programme Board with representation from all City Deal partners being sort for the Board and the Skills Solution Group (the group that will develop and review projects for skills solutions).

5. Staff Side Representatives and other Organisations n/a

EXECUTIVE BOARD PORTFOLIO HOLDER(S)  
AWARE/CONSULTED

YES

Supportive of the programme.

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

List of Background Papers used in the preparation of this report: **THERE ARE NONE**

# Swansea Bay City Deal

## *Skills and Talent Programme*

### Business Case

“Create Ambition and Raise Aspiration”

Version 8

Updated May 2021



Regional Learning and Skills Partnership  
Partneriaeth Dysgu a Sgiliau Rhanbarthol

**De-Orllewin Cymru**  
**South West Wales**

## Executive Summary

### 1 Vision

**To create new and sustainable opportunities that will generate prosperity for individuals and businesses in the Swansea Bay City Deal region. This will be achieved through the development of a pathway of skills for all and the pilot delivery of demand driven high level skills and upskilling opportunities across the five key sectors.**

### 2 Programme Introduction

The Skills and Talent programme is a unique programme within the suite of 9 City Deal projects that will deliver a skills training solution offering the best value sustainable skills infrastructure to develop the future workforce for the region. The development of a comprehensive and forward-thinking skills programme that will deliver the right skills and competency across all the key themes of the City Deal programme is vital to the overall success of the City Deal Portfolio.

The programme will align the available skills provision and identified skills gaps with the needs of Industry across the region as well as the 8 innovative projects that make up the City Deal supporting the growth of GVA, productivity and business investment in the region. The delivery of an innovative skills training programme will be through initial scoping and publication of a skills barometer followed by the development of pilot projects to offer training solutions that will over the lifetime of the programme and beyond deliver a skilled workforce that will meet the requirements of the projects and the wider economy of the Swansea Bay region.

The Regional Learning and Skills Partnership (RLSP), a partnership of Industry Employers and public sector training and education providers will be the lead body for the Skills and Talent programme. The partnership was established in 2010 to identify skills and training needs of the region and has a long-standing experience of working with industry and training providers and reporting to Welsh Government the regional training needs.

#### Proposal Description

The development and delivery of an up-to-date training and skills programme through formal education; traineeships, apprenticeships and higher-level apprenticeships is critical to improving opportunities for lower skilled workers to upskill for labour market and to seek higher level outcomes. The programme will enable the support of employees already in the workplace to upskill/reskill to be developed to achieve the overall ambition and success of the Swansea Bay City Deal will be based on the ability of businesses in the region to compete with other areas in Wales and the UK. To ensure that we achieve this success it is essential to have a highly skilled and productive workforce to enable the region to be connected and competitive. Through the funding support of the City Deal programme the RLSP will create a trained and talented workforce for the future within the Swansea Bay City Region working with stakeholders, employers and training providers. The Skills and Talent programme will provide a private led business skills solution delivered through an integrated regional approach to delivering skills focusing on specific sector skills required in order to meet the demand of the Swansea Bay City Region City Deal and the five themes of 'Digital, Construction, Health and Wellbeing, Energy and Smart Manufacturing all fused together to bring about Economic Acceleration in the region. The programme will help open up new jobs to increase the number of people moving into work (including those who have been out of work over a long period of time) and reduce the number of people becoming NEET's.





The Skills and Talent programme will:

- ✓ To directly deliver at least 2,200 additional skills and support the development of around 14,000 individuals with higher level (between 2-8) skills within 10 years.
- ✓ To create at least 3000 new apprenticeship opportunities, to include level 3 to Degree apprenticeships.
- ✓ To create at least 2 Centres of Excellence within specific sectors to develop the region as being “the best” area for skills development.
- ✓ To create a clear career pathway from school education through further and higher education in the key areas of digital; construction, energy; smart manufacturing and life-science and wellbeing, achieved through engagement and development work with schools increasing the number of pupils following the STEM subjects in FE and HE..
- ✓ To deliver 20 new/updated course frameworks to ensure they meet the industry training needs for the future.

The skills and talent project will work with the eight projects that make up the City Deal as well as understanding the wider skills requirements across the region.

|                                      |                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|--------------------------------------|-------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Economic Acceleration</b>         | <b>Swansea City &amp; Waterfront Digital District</b> | To boost Swansea city centre’s economic well-being at the heart of the City Region’s economy, while retaining local tech, digital and entrepreneurial talent.                                                                                                                                                                                                                                                                                                             |
|                                      | <b>Yr Egin</b>                                        | To support and further develop the region’s creative industry sector and Welsh language culture. The two-phased programme will be located at the University of Wales Trinity Saint David campus in Carmarthen.                                                                                                                                                                                                                                                            |
|                                      | <b>Digital infrastructure</b>                         | To significantly improve digital connectivity throughout the City Region for the benefit of businesses and residents, also helping to attract inward investment.                                                                                                                                                                                                                                                                                                          |
| <b>Life Science &amp; Well-being</b> | <b>Life Science, Wellbeing &amp; Sport Campuses</b>   | To develop digital health and platform technologies and clinical innovation to help prevent ill health, develop better treatment and improve patient care. Advanced research and development facilities will be created, building on the success of the Institute of Life Sciences at Swansea University and expanding on regional expertise in sport and exercise science. This project will be located at Morriston Hospital and Swansea University’s Singleton Campus. |
|                                      | <b>Pentre Awel</b>                                    | This development will include life sciences research and assisted living units on one site in Llanelli, alongside state-of-the-art leisure, well-being and business incubation facilities. The development will include a well-being skills centre and a clinical delivery centre. This project will benefit from and further develop regional expertise in life sciences, while providing training and high-value job opportunities for local people.                    |
| <b>Energy and</b>                    | <b>Homes as Power Stations</b>                        | A co-ordinated project across the City Region, Homes as Power Stations will see energy-saving technologies introduced to thousands of homes as part of a smart, low carbon new-build and retrofit programme.                                                                                                                                                                                                                                                              |

|  |                                                      |                                                                                                                                                                                                                                                                                                              |
|--|------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | <b>Pembroke Dock Marine</b>                          | This project will place Pembrokeshire at the heart of UK and global zero carbon, marine and offshore energy innovation, building on the expertise of a marine energy cluster in Pembroke Dock. Facilities will be provided for marine energy innovators to build, test and commercialise their technologies. |
|  | <b>Supporting Innovation &amp; Low Carbon Growth</b> | This project will help further decarbonise the Neath Port Talbot economy, while safeguarding the regional steel industry and providing high-quality space for the innovation, ICT and research and development sectors.                                                                                      |

### Key areas of Influence

The programme will seek to influence the following areas;

- **Advanced skills:** Leading innovation across the City Deal projects. The advanced skills offer will support the new and emerging technologies contained within the constituent proposal bids.
- **Under/Postgraduate Expansion:** Providing increased productivity through greater graduate skills application across the Four Internet themes.
- **Further/Higher Education:** Delivering skills for new roles within the theme sectors, through Foundation Degree programmes, Apprenticeships and Higher Apprenticeships to include Degree Apprenticeships. Delivering innovation will include new blended learning approaches.
- **Continuing Professional Development:** Ensuring the region’s skills across the themes remains at the forefront of professional practice. This is to include ensuring that older workers currently operating within the economy have the skills they desire and require to progress and diversify.
- **Apprenticeships:** Support the integration of Apprenticeship opportunities throughout the Skills and Talented Future Generations project.
- **Skills facilities development:** Creation of sector-specific facilities to support the development of new emerging skills/roles and the creation of a step-change in capacity across the region.
- **Schools engagement** to influence curriculum development and delivery to ensure the adequate supply of young people with the right skill sets.
- **Increased engagement** with current channels and programmes delivering careers advice to enthuse young people and influence career decisions at the right time and in the right way to retain the talent of young people in the region and reduce the impact of “brain drain” on the region.
- **Engagement** with people of all ages who are not currently in Education, Employment or Training (NEETS) ensuring that there are opportunities for all.

The Skills and Talent Programme will be a cross cutting theme across all other 8 projects, the programme has already established a connection with all project leads and has strong and developing links through to the private sector via sector specific cluster groups. Existing consultation mechanisms will therefore identify the skills required and the relevant providers to deliver those skills solutions.

The skills developed through the Skills and Talent programme will not only help fill the new roles directly created through the City Deal Themes, but also support a broader uplift in productivity (GVA) across the sectors and wider regional economy. Given the varying lead times of each project a timescale of between five and fifteen years is proposed in the first instance to achieve the aims which will be monitored through the incremental measurement of GVA. The RLSP has a tried and tested methodology for identifying skills needs which will be built on and honed to identify the skills solutions for each of the projects within the proposal.

Individual Project Skills needs will be identified and quantified through the following process;

- Existing Regional Skills Identified through a desk-based review of relevant labour market information,
- City Deal Project Skills identified through continued engagement with the individual projects,
- Skills Gap Analysis undertaken and Skills Barometer published,
- Skills Requirement solutions identified, and projects developed
- Career Pathways developed with schools and colleges
- Centres of Excellence identified as a legacy for the programme

## **Synergies**

The unique nature of the projects is a key driver of the City Deal and this allows for each to work independently with the success of one not completely dependent on the success of another. In the simplest sense, whilst no project is directly reliant on another, there are instances whereby projects will achieve more, quicker and easier if other projects are working to their peak also, these instances are referred to as interdependencies.

Undeniably, underpinning each of the projects is skills and talent requirements and the success of all projects will be determined through having a skilled workforce both now and for the future.

A further key determinant of success is the preparedness and capability of future generations to capitalise on the opportunities presented by the proposal. The Initiative recognises that it is essential that younger generations are well-informed, it is therefore the intention of the programme to foster the themes of entrepreneurship and digital innovation through closer engagement with schools and the further and higher education institutions.

The further and higher education institutions operating within the region already have an exemplary offer of provision within these areas. Aligning their offer more closely to the specific needs of the City Deal and identifying where there are opportunities for multi-disciplinary teaching will create skilled individuals with the transferable skills needed to work across the City Deal.

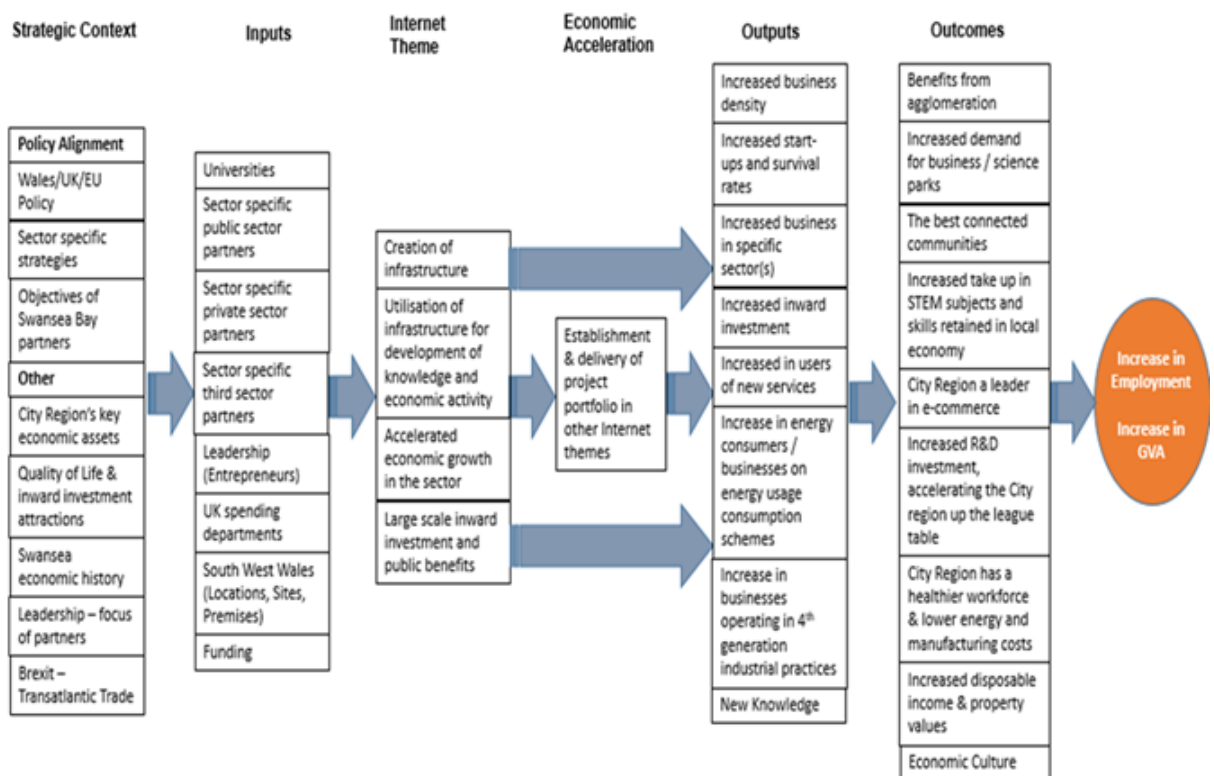
## **3 Overview of Strategic Case**

The Skills and Talent programme will align with the 4 key strands of the City Deal i.e Economic Acceleration; Energy; Life Science and Well-being and Smart Manufacturing. The programme will develop a sustainable pipeline of individuals to support the growth of the themes and support the future competitiveness of the region and maximise the potential of City Region partner organisations through the existing RLSP structure.

The programme aligns with the requirements and aims of the following National, Regional and local strategies.

- UK Industrial Strategy,
- Welsh Government Prosperity for All: the national strategy,
- Wellbeing of Future Generations (Wales) Act,

- International Strategy for Wales
- 21<sup>st</sup> Century Higher Education Strategy for Wales
- Education in Wales Strategy – our National Mission
- Youth Engagement and Progression Framework Strategy
- Tackling Poverty Plan
- Swansea Bay City Region Economic Regeneration Strategy
- Framework for Regional Investment in Wales.
- Regional Employment and Skills Plan
- Rural Vision for Wales – Thriving Communities for the future



## Case for Change

The Swansea Bay City Deal region suffers from a series of overarching economic issues including low GVA, lack of well-paid job opportunities, skills shortage, high levels of economic inactivity and outward youth migration. The region is characterised by a higher proportion of individuals with no qualifications when compared with national averages. A high number of individuals in the region are currently in low skilled, low paid and unstable employment and subsequently a lower-than-average level of individuals are in higher paid, meaningful employment. The programme will help address the skills gaps by working with the City Deal projects and regional stakeholders to develop and deliver the skills needs for the future in the region.

## Objectives & Benefits

The overarching objective of the Skills and Talent programme is to strengthen collaboration and increase investment that will significantly boost the quality and quantity of trained and skilled individuals through the intervention of the programme. The aim is to:

- ✓ To directly deliver at least 2,200 additional skills and support the development of around 14,000 individuals with higher level (between 2-8) skills within 10 years.
- ✓ To create at least 3000 new apprenticeship opportunities, to include level 3 to Degree apprenticeships.
- ✓ To create at least 2 Centres of Excellence within specific sectors to develop the region as being “the best” area for skills development.
- ✓ To create a clear career pathway from school education through further and higher education in the key areas of digital; construction, energy; smart manufacturing and life-science and wellbeing, achieved through engagement and development work with schools increasing the number of pupils following the STEM subjects in FE and HE.
- ✓ To deliver 20 new/updated course frameworks to ensure they meet the industry training needs for the future.

These investment objectives are SMART (specific, measurable, achievable, realistic and time bound) and will be delivered with a £30 million investment from:

**City Deal**  
**£10m**

**Public Sector**  
**£16m**

**Private Sector**  
**£4m**

### Existing Arrangements and Business Need

The Strategic Case outlines the existing arrangements for skills training provision and identifies the business need that the Programme will respond to. This is summarised in the table below:

| Theme                       | Existing Arrangements                                                                       | Investment objective                                                                           | Business Needs                                                                                                                                                                                                         |
|-----------------------------|---------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Economic Performance</b> | Fewer people with higher level qualifications.                                              | 14000 individuals with increased level of skills (2,000 direct and 12,000 indirect)            | To increase the number of people with higher level qualifications to support the SDCB projects                                                                                                                         |
|                             | The region has the highest number of people in Wales with low or no qualifications          | Create at least 3000 new apprenticeship opportunities to include level 3 to degree             | Develop a programme of opportunities to upskill the existing workforce. Attain 100% completion of the apprenticeship programme and provide the employability support to individuals to move into full time employment. |
|                             | High number of individuals in low paid employment                                           | Create opportunities to support people into work.                                              | Increase opportunities through the improvement of skills levels to increase the number of people in higher paid jobs                                                                                                   |
|                             | The jobs in the region have a strong reliance on the foundational economy or public sector. | Create clear pathways within schools focusing on the key themes within the City Deal portfolio | Developing the career pathways throughout the school years to showcase the opportunities will highlight the new opportunities.                                                                                         |
|                             |                                                                                             | Increased uptake of school pupils progressing into STEM subjects at FE/HE                      |                                                                                                                                                                                                                        |
|                             | High number of economically inactive people                                                 | Upskill and support people into employment by creating opportunities                           | Working with employability programmes to develop the opportunities to upskill and                                                                                                                                      |

|  |                                                                                                                                                            |                                                                                                                                                             |                                                                                                                                                                       |
|--|------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  |                                                                                                                                                            | through project community benefits programme.                                                                                                               | gain qualifications into meaningful jobs.                                                                                                                             |
|  | Course frameworks do not meet future skills needs and lecturers/teachers are not fully aware of the new ways of working within industry.                   | Invest in course frameworks to ensure they meet the needs of the projects and employers in the region and provide upskilling/CPD for teachers and lecturers | Work required to understand the gaps and work with stakeholders and employers to bridge the gap and develop new qualifications. Identify what upskilling is required. |
|  |                                                                                                                                                            | Delivery of 20 new/updated course frameworks to meet industry training needs.                                                                               |                                                                                                                                                                       |
|  | The area is not known for the delivery of any specific specialist skills                                                                                   | Establish at least two Centres of Excellence based on prioritised sectors.                                                                                  | Centres of Excellence in skills required for the City Deal projects that are new and emerging.                                                                        |
|  | Ageing Population<br>The ageing population is an issue for the region if they do not work or will not upskill to work within the new and emerging sectors. | Deliver pilot programmes of new courses to upskill existing workforce.                                                                                      | Map out opportunities for key employees to upskill through a faster than normal process to enable businesses to have the necessary skills immediately                 |

## Potential Scope

The mapping of the City Deal skills gaps and analysis of the training requirements will consider the business needs; gender and equality imbalances of people taking up the courses; and the needs and availability of the existing and future workforce through re-training and increasing awareness of opportunities. The aim of the Skills and Talent programme is to work within 5-year time line periods which would account for the changing skills demands and enable the necessary skills to be developed as quickly as possible to meet the project needs. There will be a requirement to upskill the existing workforce in many areas including upskilling the teachers/lecturers who deliver the training, and this work will be a priority within the first 3 years of the programme. At the same time the necessary frameworks for FE/HE and apprenticeships in the relevant areas will be developed and pilot projects will be implemented to deliver the training.

Work will progress with primary and secondary schools in the region to highlight opportunities available through the City Deal projects and develop clear pathways to help young people make the right choices in schools.

The table below highlights some of the potential key skills requirements already identified for each of the project business cases in the City Deal portfolio, this document is continually being added to as skills are identified.

| Sector       | Skills                                                                                                                                              |
|--------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|
| Digital      | Basic IT skills<br>Cyber<br>Artificial Intelligence<br>Digital Forensics<br>Machine Learning<br>Robotics<br>Cloud technology<br>Creative Industries |
| Construction | SMART Housing<br>Solar, heat pumps, Smart controls, mechanical and electrical systems                                                               |

|                      |                                                                                                                                                                   |
|----------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                      | Electrical Vehicles<br>Retrofit                                                                                                                                   |
| Energy               | Engineering – specialised for offshore wind, tidal energy, marine energy                                                                                          |
| Health and Wellbeing | Digital technology in health care<br>Digital assimilation<br>Connectivity with community support workers<br>Digital consultation from hospitals and GP surgeries. |
| Smart manufacturing  | New ways of manufacturing utilising robotics and new Digital technologies.                                                                                        |

### Key Benefits, Risks, Dependencies, Constraints

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Benefits</b></p> <ul style="list-style-type: none"> <li>• Increased number of higher skilled individuals for jobs created through City Deal projects</li> <li>• Opportunities for all to achieve a qualification and skills</li> <li>• Increased number of apprenticeships / higher apprenticeships offered through the construction phase of the projects</li> <li>• Centres that specialise in the development skills within a particular sector(s).</li> <li>• Inspiring the next generation to take the correct path in their career</li> <li>• Developing the pathway for children from primary school through to secondary school through the introduction of new vocational training opportunities</li> <li>• Retention of skilled individuals to work within the City Deal projects.</li> <li>• Developing new and updating existing frameworks to meet the needs of the projects and employers across the region.</li> </ul> | <p><b>Risks</b></p> <ul style="list-style-type: none"> <li>• City Deal funding not secured –programme will not be implemented.</li> <li>• Programme timescale slippage</li> <li>• Lack of resources /Insufficient capacity to manage the programme and to deliver the stated activities and results</li> <li>• Organisational and financial risks associated with taking on this project</li> <li>• The programme does not secure sufficient partner/stakeholder buy in.</li> <li>• Failure to increase the number of skilled individuals.</li> <li>• Lead times in the development of a new skills offer in the region.</li> <li>• Failure to engage with training providers to deliver the necessary skills development</li> </ul> |
| <p><b>Constraints</b></p> <ul style="list-style-type: none"> <li>• UK and Welsh Government Policy in relation to training and education.</li> <li>• Capacity within the FE and HE sector to implement the changes within their delivery mechanism.</li> <li>• Funding constraints from the public and private sector</li> <li>• Ensuring that the capacity is present to meet the aims and objectives of the Programme.</li> <li>• Covid-19 restrictions on the delivery of training and education.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                              | <p><b>Dependencies</b></p> <ul style="list-style-type: none"> <li>• Close alignment of the Programme with the delivery of the City Deal projects</li> <li>• Continual review of skills needs for the Region and work with partners and employers to understand changing demands</li> <li>• Continuation funding from Welsh Government for new frameworks</li> <li>• Funding contributions from public and private sector</li> <li>• Training providers delivering the necessary skills provision</li> </ul>                                                                                                                                                                                                                          |

## 4 Overview of Economic Case

The Economic case has been undertaken in accordance with the with the HM Treasury's Green Book guidelines. The section sets out the options and analysis of those options, the identification of the long and short list and the appraisal of the short list through economic assessment.

## Critical Success Factors

The Critical Success factors of the Skills and Talent Programme were determined to be:

| Critical Success Factors         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Strategic Fit                    | <ul style="list-style-type: none"> <li>• Strategically aligned to the Swansea Bay City Deal</li> <li>• Strategically aligned to the Welsh Government Education and Skills strategy and Wellbeing and Future Generations Act.</li> <li>• Delivers the future skills requirements for the region and the skills needs of the 8 projects that make up the City Deal.</li> <li>• Increasing the number of people with higher level qualifications</li> <li>• Retraining people in the region to give the opportunities to all.</li> <li>• Developing resilient learners with a life-long attitude to learning.</li> </ul> |
| Value for Money                  | <ul style="list-style-type: none"> <li>• Reduce the duplication that could occur if all 8 City Deal projects managed their own skills programme by bringing together the skills requirements across the region.</li> <li>• The programme offers Value for money and avoids duplication</li> <li>• Achieve a viable cost benefit ratio compared to other options.</li> </ul>                                                                                                                                                                                                                                           |
| Supplier capacity and capability | <ul style="list-style-type: none"> <li>• Training providers from across the region are keen to work together to achieve the aims of the programme.</li> <li>• Reduce costs by delivering skills in a way that meet the needs of all employers.</li> </ul>                                                                                                                                                                                                                                                                                                                                                             |
| Affordability                    | <ul style="list-style-type: none"> <li>• Demonstrate the affordability of the Programme within the defined funding arrangements from the City Deal, Public and Private Sector.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Achievability                    | <ul style="list-style-type: none"> <li>• Delivery of option is achievable within the timescale, available funding and capacity.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

## Long List and Short List

The following long list of options were identified for the scope of the programme and agreed by the Senior Project Team,

1. Do Nothing – City Deal skills needs supported only by existing programmes/providers
2. Do Minimum – create a dedicated Skills Programme team to enhance employers and schools engagement with City Deal Projects at an estimated cost of £1M
3. City Deal Skills Fund – create Skills Fund from City Deal resources available to City Deal projects only at an estimated cost of £8M
4. Supported City Deal Skills Fund - create a dedicated Skills Programme team to enhance employers and school's engagement and manage awards from the City Deal Skills Fund to City Deal Projects only at an estimated cost of £10M
5. Targeted Skills Delivery – create RLSP project team and leverage public/private funding to address all City Deal Projects' skills gaps at an estimated cost of £30M
6. City Deal Ambitious - deliver a full suite of skills training to meet regional needs of all four themes of the City Deal at an estimated cost of £153M
7. Do Maximum – deliver a full suite of skills training to redress the entire regional skills gap at an estimated cost of £518M



## **Short List Options Appraisal**

Following a series of appraisals and management discussions, the following short list of options emerged,

### **Option 1 – Do Nothing**

To continue to deliver training through existing methods, with no additional funding. The FE, HE and training providers would offer the existing frameworks with no update or development of new opportunities. The RLSP would continue to gather data and do a minimal amount of work with schools.

### **Option 2 – Supported City Deal Skills Fund**

A Skills Programme team would be recruited to enhance the employer and project engagement to identify the skills gaps and work with schools to share the opportunities that would be created through the City Deal projects. Centres of Excellence would also be supported for each of the Key Themes. The eight Projects of the City Deal would deliver their own training solutions independently, bidding into the City Deal Skills Fund as required.

### **Option 3 – Targeted Skills Delivery**

The RLSP would explore the skills needs of all 8 projects and identify the gaps. A dedicated Skills Programme team would be appointed who would work with the City Deal Project leads, the wider employers and the training leads to develop an action plan to deliver the appropriate solutions to the skills gaps identified and using City Deal Programme funds to leverage public and private sector match funding/contributions in kind. The solutions would be delivered as Skills Programme projects which would be developed by the Skills Programme team with key partners. The Programme team would also work with schools and all education and training providers to co-ordinate the future opportunities from the City Deal projects and created a supported pathway with schools to higher skills training. Centres of Excellence would also be supported for each of the Key Themes.

### **Option 4 – City Deal Ambitious**

This option would allow for the delivery of a full suite of skills training to meet the needs of all industry sectors within the four themes of the City Deal – Energy, Digital, Smart Manufacturing and Life Science. The RLSP would explore the skills needs of all these sectors and identify the gaps. An enhanced dedicated Skills Programme team would be appointed who would work with public bodies, wider employers and the training leads to develop an action plan to deliver the appropriate solutions to the skills gaps identified and using City Deal Programme funds to leverage public and private sector match funding. The Skills Programme team would work intensively with all schools, colleges and universities to raise the awareness of and develop new skills programmes to address the sector gaps.

#### **Key Findings**

The economic appraisals are as follows,

**Net Present Cost and Benefits Findings (All Public Sector Costs but excludes private sector costs/investment)**

|                                                   | Undiscounted Value<br>(£) | Net Present Value<br>(£) |
|---------------------------------------------------|---------------------------|--------------------------|
| <b>Option 1 – Do Nothing</b>                      |                           |                          |
| Additional Income Generated                       | -                         | -                        |
| Less City Deal funding                            | -                         | -                        |
| Less Other Public Sector Funding                  | -                         | -                        |
| Total                                             | -                         | -                        |
| <b>Option 2 – Supported City Deal Skills Fund</b> |                           |                          |
| Additional Income Generated                       | £16,537,040               | £11,932,301              |
| Less City Deal Funding                            | £10,000,000               | £9,812,949               |
| Less Other Public Sector Funding                  | -                         | -                        |
| Total                                             | <b>£5,537,040</b>         | <b>£2,119,352</b>        |
| <b>Option 3 – Targeted Skills Delivery</b>        |                           |                          |
| Additional Income Generated                       | £49,603,320               | £35,788,186              |
| Less City Deal funding                            | £10,000,000               | £9,812,949               |
| Less Other Public Sector Funding                  | £16,000,000               | £15,700,965              |
| Total                                             | <b>£23,603,320</b>        | <b>£10,274,272</b>       |
| <b>Option 4 – City Deal Ambitious</b>             |                           |                          |
| Additional Income Generated                       | £292,948,032              | £211,535,059             |
| Less City Deal funding                            | £57,552,000               | £56,482,633              |
| Less Other Public Sector Funding                  | £92,083,200               | £90,372,214              |
| Total                                             | <b>£143,312,832</b>       | <b>£64,680,212</b>       |

*Net Present Cost/Benefit Findings*

**Preferred Option**

The results of the investment appraisal are summarised in the Table below,

| Evaluation Results  | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|---------------------|----------------------|-------------------------------------------|------------------------------------|-------------------------------|
| Economic appraisals | 4                    | 3                                         | 2                                  | 1                             |

|                           |          |          |          |          |
|---------------------------|----------|----------|----------|----------|
| <b>Benefits appraisal</b> | 4        | 3        | 2        | 1        |
| <b>Risk appraisal</b>     | 4        | 2        | 1        | 3        |
| <b>Overall Ranking</b>    | <b>4</b> | <b>3</b> | <b>1</b> | <b>2</b> |

*Short-list Options Evaluation Results*

On the basis of this analysis, the preferred option is Option 3 – Targeted Skills Delivery.

Whilst Option 4 – City Deal Ambitious scored 1<sup>st</sup> in the Economic and Benefits Appraisals, this is purely a reflection of the much higher costs and scale of the skills delivery projected. The level of funding for a Programme of this scale not currently available and there would be very significant delivery risks due to the enormous increase in regional capacity and capability that would be required. Option 3 can be delivered within identified costs at a low-risk exposure and can deliver the prime objective of ensuring sufficient new and additional skills can be provided to meet the needs of the other City Deal Projects. This has therefore been selected as the Preferred Option going forward.

### Summary Table of Economic Appraisals

The results of the economic appraisals above are summarised in the Table below.

| Summary of Economic Appraisal                                                           | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|-----------------------------------------------------------------------------------------|----------------------|-------------------------------------------|------------------------------------|-------------------------------|
| Net Present Value (after allowing for private sector investment)                        | -                    | £2,119,352                                | £6,348,476                         | £60,754,534                   |
| Public Sector Cost                                                                      | -                    | £9,812,949                                | £25,516,897                        | £146,854,847                  |
| Appropriate BCR                                                                         | -                    | 1.216                                     | 1.403                              | 1.440                         |
| Significant un-monetizable costs/benefits                                               | -                    | N/A                                       | N/A                                | N/A                           |
| Significant unquantifiable factors                                                      | -                    | N/A                                       | N/A                                | N/A                           |
| Risk costs (increased education delivery costs) - residual optimism bias (undiscounted) | -                    | £1,000,000                                | £3,000,000                         | £15,363,520                   |
| Switching Values (preferred option only)                                                |                      |                                           | -13.33%                            |                               |

## 5.1 Overview of Commercial Case

This programme does not contain a high value capital-cost based construction project, instead it will deliver several lower cost revenue interventions at project level to achieve the programme investment objectives and outcomes.

The Skills and Talent programme will manage this through delivery of a programme fund disseminated to pilot projects following approval by the Programme Board. It is anticipated that pilot projects will be led and procured by a third-party stakeholder organisation.

The Skills and Talent programme is led by Carmarthenshire County Council on behalf of the four regional Local Authorities, two universities and two health boards that make up the Swansea Bay City Deal primary stakeholders. Carmarthenshire County Council must ensure that procurements fully comply with:

- Welsh National Rules on the Eligibility of Expenditure – public contracts regulations 2015
- Welsh Procurement Policy Statement 2019
- State Aid Rules
- Procurement Legislation
- Community Benefits Principles
- Any other Carmarthenshire County Council, UK and Welsh Assembly Government rules and regulations which apply to procurement
- Procurements will also align to the procurement principles of the City Deal

### Service Requirements and Outputs

The initial skills gaps analysis will be undertaken by the programme team and the Skills Solution Group to understand what new/updated skills and apprenticeship frameworks are required to inform development of the pilot projects which will be delivered in conjunction with stakeholders. An action plan will be developed outlining the gaps and proposals and recommendations. The assistance of consultants / specialist advisers to help with the research may be required and if so, will be procured.

## 6 Overview of Financial Case

The Skills and Talent programme is a revenue funding amounting to a total of £30 million over 5 years, £10 million City Deal; £16 Million public sector and £4 million private sector funding.

| <b>Expenditure</b>          | <b>Year 1<br/>2020/21<br/>(£m)</b> | <b>Year 2<br/>2021/22<br/>(£m)</b> | <b>Year 3<br/>2022/23<br/>(£m)</b> | <b>Year 4<br/>2023/24<br/>(£m)</b> | <b>Year 5<br/>2024/25<br/>(£m)</b> | <b>Year 6<br/>2025/26<br/>(£m)</b> | <b>Total<br/>(£m)</b> |
|-----------------------------|------------------------------------|------------------------------------|------------------------------------|------------------------------------|------------------------------------|------------------------------------|-----------------------|
| Capital                     | £ -                                | £ -                                | £ -                                | £ -                                | £ -                                | £ -                                | £ -                   |
| Revenue                     | £ 24,800                           | £ 2,920,000                        | £ 5,000,000                        | £ 7,500,000                        | £ 7,500,000                        | £ 7,055,200                        | £ 30,000,000          |
| <b>Total</b>                | <b>£ 24,800</b>                    | <b>£ 2,920,000</b>                 | <b>£ 5,000,000</b>                 | <b>£ 7,500,000</b>                 | <b>£ 7,500,000</b>                 | <b>£ 7,055,200</b>                 | <b>£ 30,000,000</b>   |
| <b>Funding</b>              |                                    |                                    |                                    |                                    |                                    |                                    |                       |
| Swansea Bay City Deal Grant | £ 24,800                           | £ 1,170,000                        | £ 1,500,000                        | £ 2,500,000                        | £ 2,500,000                        | £ 2,305,200                        | £ 10,000,000          |
| Public Sector               | £ -                                | £ 1,250,000                        | £ 3,000,000                        | £ 4,000,000                        | £ 4,000,000                        | £ 3,750,000                        | £ 16,000,000          |
| Private Sector              | £ -                                | £ 500,000                          | £ 500,000                          | £ 1,000,000                        | £ 1,000,000                        | £ 1,000,000                        | £ 4,000,000           |
| <b>Total</b>                | <b>£ 24,800</b>                    | <b>£ 2,920,000</b>                 | <b>£ 5,000,000</b>                 | <b>£ 7,500,000</b>                 | <b>£ 7,500,000</b>                 | <b>£ 7,055,200</b>                 | <b>£ 30,000,000</b>   |

The funding of this Programme will be operated through Carmarthenshire County Council as the accountable financial body and managed on a day-to-day basis through the Regional Learning and Skills Partnership Board.

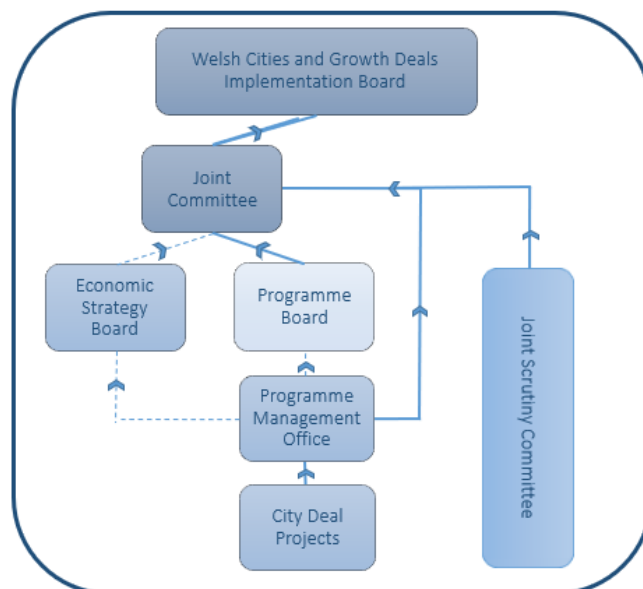
This Programme is a desk-based research project to identify the skills gaps and work with the project leads; training providers and Welsh Government to provide the most appropriate training in the region to support the development of talented individuals to take up the roles.

Following the initial research there will be a requirement to develop specific projects that will include courses to meet the Industry needs; update course content where required and re-accredit those courses. The projects will also include pilot initiatives to upskill the workforce in specific areas, the work with schools will also be supported through this Programme to provide more detailed information about the opportunities that will be developed through the City Deal and the courses available to them within the region

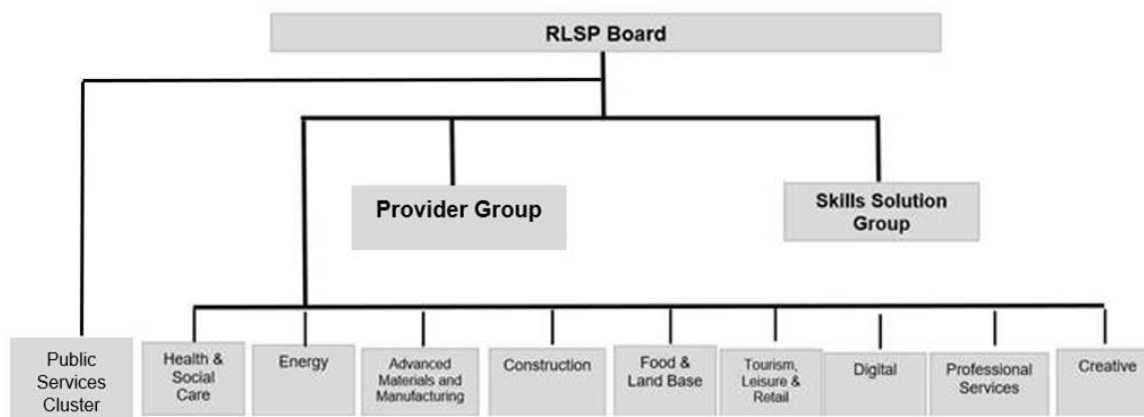
## 7 Overview of Management Case

The management case demonstrates the achievability of the scheme and how the programme will be operated and managed by the Regional Learning and Skills Partnership (RLSP) offering value for money by identifying the skills needs of all 8 projects and delivering through projects developed with key stakeholders across the region without causing duplication.

The Skills and Talent programme will meet strict governance portfolio hierarchy as detailed in the table below;



The Regional Learning and Skills Partnership Board for South West Wales has been in existence since 2010, and since 2015 has been led by the private sector and incorporating representatives of further and higher education, training providers and education together with key stakeholders in employability and training in the region. The partnership is transformational bringing business leaders, education and regeneration partners together to help provide a better future for learners and potential learners and people wishing to re-train across the region. The RLSP Board provides an oversight and 'on the ground' leadership in relation to the skills requirements and demands of industry. The Board is supported by nine Industry cluster groups and the members of each cluster group provide valuable insight into the needs of the industry. The RLSP will lead the Skills and Talent programme within the work of the existing partnership board to become the programme board.



The RLSP will ensure the programme is managed effectively, to approved timescales and in line with the governance structure of partner organisations. The RLSP has overall responsibility for decisions pertaining to the strategic direction, the approval of projects and where appropriate, the operational delivery of the scheme.

The RLSP Board will provide leadership and drive forward the vision of the Skills and Talent programme as set out in the Business Case. The remit of the Board will be delivered under the regional governance framework as set out within the City Deal portfolio business case. The Board will have responsibilities which will include but not exclusive to:

- Securing funding and approval for the programme
- Updating the business case when required in accordance with the requirements and expectations of the Welsh and UK Governments and submitting this via the agreed governance requirements of the SBCD.
- Project level approval of all major plans and seeking approval through the agreed governance arrangements.
- Provide resource required to enable the programme delivery
- Approval of all deviations from agreed tolerances in line with agreed change management arrangements.
- Arbitration on any conflicts that cannot be resolved at Project level and escalation through the appropriate channels as required.
- Reviewing and reporting the programme benefits (outcomes and impacts) and whether they are still achievable.
- Management of major risks and issues at programme level and coordination and escalation of risks and issues that are likely to have an impact on other areas of the Portfolio.
- Initial approval and sign off of key project documentation and coordination of approval of key documentation from wider stakeholders as required.
- Approving and funding key changes
- Guaranteeing equity and catering for the needs of all partners and stakeholders.
- Ensuring longevity of initiatives and programmes created as a result of the Skills and Talent programme.

### Programme Team

The day-to-day operation of the programme will be delivered by the programme management team who will have responsibility for the delivery of the programme working to and alongside the Regional Learning and Skills Partnership Board.

### **Monitoring and Evaluation.**

The City Deal portfolio finances will be monitored through the Programme Board and Joint Committee, with the Economic Strategy Board also making recommendations on possible additional funding opportunities or alternative portfolio expenditure. Regular reports will also be presented by the Accountable Body to the regional Local Authority Directors of Finance and Regional Section 151 Officer working group. This working group will, in collaboration with the Welsh Government and the SBCD PMO, agree the financial monitoring process which will be:

- In line with overall reporting processes for the City Deal
- Based on best practice principles and guidance on Programme monitoring contained within the Green Book

### **Programme evaluation**

A review of the programme will be conducted at the end of the programme to evaluate its' effectiveness.

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## 1. OVERVIEW OF THE SKILLS AND TALENT PROGRAMME

### 1.1 Introduction

The Swansea Bay City Deal (SBCD) Skills and Talent Programme (2021- 2033) will deliver an integrated regional approach to delivering skills to meet the demand of the Swansea Bay City Deal projects alongside with the wider skills needs of the region. The Programme Business Case details how the funding from the City Deal, regional collaboration and prioritisation will enhance and develop the regional skills needed to meet future demands of industry and to remain nationally competitive, and in doing so, will attract and grow sustainable regional investment from local, national and international companies. Skills development will support the overarching aims for of the SBCD Portfolio, which is growth in Gross Value Added, jobs and private investment.

The Skills and Talent programme is integral part of the SBCD portfolio, which consists of eight further headline projects and programmes. Given that people are an organisations greatest asset, skills and talent development will provide businesses and people with employment opportunities to better themselves, their companies and the region's economic prosperity.

***The success of the SBCD and its associated projects and programmes is dependent on the Skills and Talent programme.***

The Business case is aligned to the HM Treasury Green Book and Better Business Case guidance to appraise the Skills and Talent programme. The business case was also developed in consultation with the SBCD project leads, industry leaders; Higher and Further Education (HE and FE) institutions, training providers and head teachers of primary and secondary schools across the region.

### 1.2 The need for intervention

The Swansea Bay City Region suffers from a series of overarching economic issues, including low GVA, lack of well-paid job opportunities, skills shortages, high level of economic inactivity and outward youth migration. The region also has a higher proportion of individuals with no qualifications as well as lower than average number of individuals possessing higher qualifications. The RLSP has been working with training providers and employers across the region on the development and implementation of the annual Employment and Skills plan since 2017, such plans have influenced the Welsh Government funding into FE and Apprenticeship training to meet the needs of the priority economic sectors and the employers in the region. The RLSP was also instrumental in the preparation of the skills needs assessment undertaken for the proposed Tidal Lagoon project in Swansea in 2016. During 2020/2021 the RLSP has been working with employers to understand the impact of Covid-19 on the specific industry sectors and identify new skills requirements that have arisen as a result of the pandemic, all of this information has been collated into bi-monthly reports to Welsh Government and has resulted in the development of new courses through the Personal Learning Accounts and through the Apprenticeship programme.

### 1.3 Aims of the Skills and Talent Programme

The Skills and Talent programme aims to work with regional stakeholders to address many of the challenges and issues facing young people, adults already employed and businesses to upskill and retain talent in the region. Specifically, the programme aims to deliver the following

investment objectives and benefits over the next 10 years, based on sectors including digital, energy, smart manufacturing, construction and life-sciences and wellbeing:

- ✓ To directly deliver at least 2,200 additional skills and support the development of around 14,000 individuals with higher level (between 2-8) skills within 10 years.
- ✓ To create at least 3000 new apprenticeship opportunities, to include level 3 to Degree apprenticeships.
- ✓ To create at least 2 Centres of Excellence within specific sectors to develop the region as being “the best” area for skills development.
- ✓ To create a clear career pathway from school education through further and higher education in the key areas of digital; construction, energy; smart manufacturing and life-science and wellbeing, achieved through engagement and development work with schools increasing the number of pupils following the STEM subjects in FE and HE..
- ✓ To deliver 20 new/updated course frameworks to ensure they meet the industry training needs for the future.

The wider benefits and impact of the programme includes:

- ✓ A skilled workforce with requisite skills to support the region over coming decades, in terms of supply chain development, growth of SMEs and attraction of large companies
- ✓ A co-ordinated and efficient regional approach with service integration that meets the needs of employers without duplication
- ✓ Support for people to get good jobs by creating opportunities through project community benefits programme
- ✓ Flexible and responsive to evolving and targeted need of the region and labour markets by bringing learning and skills together with regeneration opportunities in the region
- ✓ A business productivity programme to develop a suite of solutions to generate higher level skills which meet the demands of employers and will support improvements in productivity
- ✓ Raised awareness and upskilling of teachers and lecturers with new skills opportunities
- ✓ Increase the availability of informative, up to date information to help in strategic planning; ensuring the most appropriate learning opportunities and progression routes are available for learners in the region, which will benefit the learner by providing pathways through their lifelong learning pathway from schools, colleges, universities and upskilling whilst in work

#### 1.4 Strategic alignment

The programme’s investment objectives and wider impacts are a dependency to the success of the SBCD portfolio and is strategically aligned to the needs of the region, Welsh Government and UK Government policy and strategy for skills development.

The Skills and Employability section of the Prosperity for All - the National Strategy states *“the better people’s skills are, the better their chances of getting fair, secure and rewarding employment, and the stronger the skills base is in Wales, the more chance we have of attracting new businesses and growing existing ones to improve prosperity”*<sup>1</sup>

and in the previous Taking Wales Forward strategy the Welsh Government said *“Better schools and better skills have never been so important for our young people and the future of the economy. Through better education and providing skills for life we can help to break the cycle of disadvantage and inequality over the longer term. Our commitment is to*

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<sup>1</sup> <https://gov.wales/sites/default/files/publications/2019-03/employability-plan-2.pdf>

*offer the skills and experiences people need to thrive and prosper in our times. Getting people into employment and sustaining jobs is not just about increasing skills. We will improve workforce health, including mental ill health, through ensuring that health services support people throughout their working life.”<sup>2</sup>*

To achieve the aligned investment objectives, a change to existing training delivery is needed regionally. The Skills and Talent programme team and RLSP board will work closely with WG and UKG and regional stakeholders to better integrate schools with the regional economy drivers and embrace the educational pathways to Colleges and Universities in the region. All of which is underpinned by understanding and meeting the needs of current and future businesses and regional priorities and investment.

## **1.5 Programme Delivery**

A dedicated programme team will be recruited Q2/3 2021 reporting to the Regional Learning and Skills Partnership (RLSP) Board incorporating the Skills and Talent Programme Board. The RLSP Board, chaired by a business leader supported by the programme Senior Responsible Owner (SRO) are responsible for the successful delivery and oversight of the governance and reporting arrangements for the programme.

Extensive engagement with key stakeholders will form part of the governance arrangements and in the lifecycle of the programme development and delivery. Stakeholders include government bodies, training providers and employers from across the region.

Digital innovation (to include Creative Industries), energy, construction, smart manufacturing and life science and wellbeing are the five key areas that the skills project will focus on in relation to skills development.

Programme delivery will focus on five key phases that are interlinked to strengthen opportunities for training; upskills and for life-long learning:

### **1.5.1 Phase 1 - Identification of the skills gaps**

From the outset, the programme will develop and publish a Regional Skills Barometer, providing all stakeholders with a better understanding to make informed decisions by presenting a complete landscape of the regional labour market demands and existing training opportunities. The Barometer will feed into a shared platform of employment opportunities linked to the development of a skilled workforce and the creation of upskilling programmes for the existing workforce to support the ambitions and delivery of the SBCD portfolio.

This will complement on-going mapping exercises of current course delivery through regional colleges, universities and training providers, where the data has been matched to skills requirements already identified by the SBCD projects and programmes. Further work is needed across the SBCD portfolio as businesses cases are developed and projects transition into delivery to understand the new training/skills opportunities and existing skills gaps in the region, which will shape and prioritise training provider offerings at University/College frameworks or via an apprenticeship route.

The skills identification process will be repeated periodically during the programme lifecycle. The initial scoping will identify skills requirements for the next 5-10 years. A further review will

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<sup>2</sup> <https://gov.wales/sites/default/files/publications/2017-08/taking-wales-forward.pdf>

be undertaken thereafter to identify new skills that will be developed as new projects and business investment is generated in the area.

The focus for the first 5 years of the programme will be on the following sectors where key skills gaps have already been identified and there is an urgent need to upskill people already in the workforce to fill the gaps but to also prepare the next generation with the information to enable them to be aware of the opportunities if they choose to study in these areas:

- Digital – Cyber; Cloud, Digital forensics, Machine Learning knowledge; Creative Industries – recent report by the Learning and Work Institute states “the UK is heading towards a “catastrophic” digital skills shortage. The Covid-19 pandemic has increased the number of jobs in IT or requiring IT skills and evidence gathered by the RLSP<sup>3</sup> shows that the trend is increasing and there are insufficient numbers of skilled people applying to take up the positions in the region.
- Construction – New roles in the Industry will need to be created and the Construction Wales Innovation Centre (CWIC) estimated that the equivalent of 350,000 new roles will be created by 2028 and these will need to be found through a mix of new jobs, upskilling existing and in innovation within the industry itself.<sup>4</sup> Examples include Solar, Heat pumps, Smart controls, Electrical Vehicles; retrofit of homes; new construction methods; mechanical and electrical systems management including heat pumps etc.
- Energy – The expected growth in jobs (direct and Indirect) to deliver a net zero economy in Wales by 2030 is anticipated to exceed 150,000 with further growth expected by 2050. The range of jobs will be wide and will include manufacturing and installation of wind turbines, solar PV, nuclear reactors, low- emission vehicles; specialist engineering roles within the offshore wind, tidal energy; marine energy sector; specialist maintenance roles etc.
- Health and Wellbeing – technology in health care- digital assimilation; connectivity with community support workers; digital consultations.
- Smart Manufacturing - new ways of manufacturing using digital technology.
- Creative Industries – the development of new technologies in the digital arena will enhance the opportunities within the Arts and Creative world of work. Yr Egin and the Waterfront project will offer key opportunities for work within the Creative sector. Over and above the digital requirements a number of new courses have already been developed to meet some of the needs identified to date.

The work that has already been undertaken has identified the cross-sector demand for digital training particularly the introduction of the use of technology in delivering services.

### **1.5.2 Phase 2 -Development of new Frameworks and training programmes**

There is evidence of need in terms of new national occupational standards or updated frameworks to meet the needs of the projects, the Programme Team will work with the Skills Solution group to understand the requirements and commission the development of the updating of frameworks for pilot delivery in the region. The work will include:

- Employer engagement.
- Alignment of skills needs now and in the future.
- Identification of needs to train the trainers.

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<sup>3</sup> An Analysis of the Impact of COVID-19 on South West and Mid Wales (November 2020) – Regional Learning and Skills Partnership

<sup>4</sup> <https://www.uwtsd.ac.uk/news/press-releases/press-2020/delivering-skills--training-in-wales-for-net-zero-.html>

- Review of frameworks after five years to determine additional requirements in line with changing technology.

### **1.5.3 Phase 3- Pilot Projects**

During the initial five years of the programme pilot projects will be developed to deliver the skills requirements. The projects will be developed with a range of stakeholders and partners across the region including the HE, FE institutions, the training providers and schools. However, there will also be opportunities for the private sector business to submit projects that they could match fund with the programme funding.

The pilot projects will include opportunities to upskill individuals in specific trades as well as upskilling lecturers/teachers in new technology required across all of the themes. The pilot projects will develop the legacy of the programme as new training/qualifications are integrated into mainstream delivery across the region.

The pilot projects will also identify opportunities to enhance the apprenticeship offer from level 3 to degree level 6. There has already been strong links made with Cyfle the shared apprenticeship scheme for the construction industry who already operate a mentoring support programme for apprentices to get in to work after the training period. The Skills and Talent programme would aim to develop similar models across the other key sectors.

It is anticipated that all successful pilot projects will become stand-alone programmes and adopted by other schools, colleges as good practice projects to deliver new skills and training in specific areas. All frameworks developed or updated through the Skills and Talent programme will adopted into mainstream delivery and funded through the annual allocation by Welsh Government, delivered through FE, HE and the Apprenticeship scheme. There is evidence of the demand for such a programme through the existing Regional Employment and Skills Plans and through engagement with employers in the region and the project leads of the City Deal projects.

### **1.4.4 Phase 4 - Development of Career Pathways**

The work of schools is paramount to the success of this programme and the SBCD portfolio to generate the talent of the future and will run in parallel with Phase 3. The main aim of this phase is to inspire the next generation onto the right path by highlighting the opportunities for their careers in the region as well as the pathways to get to the jobs. There are many opportunities to work with schools, to influence the curriculum by investing in specific projects to support schools to develop the potential of their students in areas where there will be highly paid jobs. The Skills and Talent programme will support the schools with funding to develop specific initiatives that will enhance the opportunities for young people in their chosen career paths. The career pathway will also develop new opportunities to upskill teachers on the use of new technology and on new opportunities in the world of work.

The aim will be to generate an increased number of students following STEM subjects in FE and HE, these areas will include:

- Science & Mathematics
- Engineering and Manufacturing Technologies
- Information and Communication Technologies.
-



### **1.5.5 Phase 5 -Creation of Centres of Excellence**

The programme aims to develop Centres of Excellence in key sectors that support the City Deal projects. The Centres will exist within existing colleges or universities and will offer and become known as the best Centre to gain the skills in one or all five of the outlined above. The Skills and Talent programme will support the development of such centres working with private sector employers, the City Deal projects and the training providers. The Centres of Excellence will not duplicate what is already on offer but will compliment work that is already being developed or become an additional resource within the region to support the sector.



## 2 THE STRATEGIC CASE

### 2.1 Vision

**To create new and sustainable opportunities that will generate prosperity for individuals and businesses in the Swansea Bay City Deal region. This will be achieved through the development of a pathway of skills for all and the pilot delivery of demand driven high level skills and upskilling opportunities across the four key sectors.**

### 2.2 Background

The Swansea Bay City Region (SBCR) spans across four local authority areas with a combined population of approximately 698,000 people. The City Region published an economic regeneration strategy in 2013 with a common vision to enhance the long-term prospects of the region's economy, businesses and communities. The strategy will co-ordinate collective action and identify routes and initiatives to respond to the structural challenges that are holding back the SBCR economy.

The SBCD is part of the SBCR strategy and portfolio. It is a partnership of eight regional organisations made up of local authorities, universities and health boards that aims to accelerate economic and social advancement through regional infrastructure and investment funds.

The Skills and Talent Programme is one of the nine Projects and Programmes within the Swansea Bay City Deal (SBCD). The City Deal was signed by Prime Minister Theresa May and First Minister Carwyn Jones on the 20<sup>th</sup> March 2017, securing £1.3billion of public and private sector funding over a 15-year Programme for economic growth and regeneration for the region.

The Programme will across the projects and programmes of the SBCD Portfolio which have been developed under the Key Themes of Economic Acceleration, Energy, Life Science and Wellbeing and Smart Manufacturing:

#### Economic Acceleration

- Regional Digital Infrastructure
- Swansea City and Waterfront Digital District
- Creative Digital Cluster – Yr Egin.

#### Energy

- Homes as Power Stations
- Pembroke Dock Marine

#### Life Science and Wellbeing

- Life Science & Well-being Campuses
- Pentre Awel (Life Science and Well-being village)

#### Smart Manufacturing

- Innovation and Low Carbon Growth

Appendix A shows how all the projects interact and the themes all play an important role in the economy of the region, Appendix B contains more detailed information on how these

themes are currently impacting the economy of the region and how the Skills and Talent programme will specifically address the skills requirements for each theme.

## 2.3 Organisational overview

The Regional Learning and Skills Partnership (RLSP) for South West Wales is the organisation making the case for investment working with the 8 projects that make up the City Deal and any other future projects that may arise from the overall City Deal programme. The RLSP Board is a long established multi sector partnership focusing on skills investment and the economic regeneration of the area through the development of a skilled workforce. The RLSP has a long-standing reputation of regional collaborative working with key partners in the region and working with Welsh Government to influence policy on the delivery of skills training in the region and with DCMS on specific skills projects. The work of the partnership includes;

- Promoting and championing a strategic overview of skills provision to ensure that it meets regional needs and maximises economic opportunities.
- Analyse and comment on national and labour market intelligence to identify and inform skills and curriculum provision bridging the gap between education and regeneration to create a strong vibrant economy underpinned by innovation growth and a capable workforce.
- Review and evaluate skills provision in partnership with the employers and stakeholders in the region.
- Encourage innovation and greater utilisation of higher-level skills through supporting organisations to develop higher value products and services.
- Preparing annual reports for Welsh Government on the Skills needs of the region.
- Preparing specialist sector reports for specific projects.

This role is recognised by the Welsh Government through the commissioning of a Regional Delivery Plan for Employment and Skills and the regional Demand and Supply Assessments which have been instrumental in developing a strategic approach to skills. The Welsh Government through its Prosperity for All strategy says “the better people’s skills, the better their chances of getting fair, secure and rewarding employment, and the stronger the skills base is in Wales, the more chance we have of attracting new businesses and growing existing ones to improve prosperity.” This is the key driver for the work of the Regional Skills Partnerships across Wales working with stakeholders and businesses across the region.

The representation on the Board includes stakeholders from Further Education, Higher Education, Training Providers; Government Departments including Department of Work and Pensions, Careers Service and the Education and Skills Department of Welsh Government; Education Departments of Local Authorities; Third Sector and Local Authority Economic Regeneration. The private sector representation includes the chairs of the respective 9 priority sectors; the private sector chair; Federation of Small Business, Haven Waterway Enterprise Zone and the TUC. Appendix C details the representation on the Board and Appendix D the representation on the 9 Industry Sector Cluster groups and the Skills Provider group.

## 2.4 Policy & Strategy Alignment

The Swansea Bay City Region is a critically important driver for the Welsh and UK economy. It is a region with strong urban centres a diverse rural landscape and a significant coastline that has created an economic profile with numerous opportunities and challenges. With a resident population of 704,897<sup>5</sup> supporting some 311,000 jobs<sup>6</sup> and containing around 27,000 businesses<sup>7</sup>, the Swansea Bay City Region is a major driver of the Welsh economy. However, overall productivity (GVA) growth in the region has been consistently below that of the UK and Wales over the past two decades and remedying this position is the primary priority of the City Deal.

The primary aim of the Swansea Bay City Deal is to stimulate economic growth within the region through attracting investment and generating high-value job opportunities. Through the City Deal the Swansea Bay Region will embrace a once in a generation opportunity to further consolidate its' role in technological innovation, realisation and commercialisation making a substantial contribution to the UK Government's Industrial Strategy and harness the opportunities set out by the Welsh Government's Prosperity for All – the national strategy. The Skills and Talent programme strongly aligns to UK, Welsh and Regional policies, strategies and targets and these alignments are summarised in Table 1 below.

| Strategy            | Core Principles                                                                                                                                                     | Fit                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>UK</b>           |                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| Industrial Strategy | The Industrial Strategy for the UK - Building a Britain Fit for the Future outlines the longer-term approach to improving living standards and economic prosperity. | <p>A strategy for securing significant economic gains underpins the entire City Deal proposal and the 9 individual projects will support this commercial potential, will increase the Gross Value Added (GVA) within the region and support the development of key skills and employment across the region.</p> <p>The Skills and Talent Programme will develop a sustainable pipeline of individuals to support growth of the four themes and support the future competitiveness of the region. It will nurture indigenous talent through initial education and ongoing career development, while also attracting globally-competitive skills to the region through the private sector investment which ensues from the proposal as a collective. The programme will seek to utilise and maximise the potential of city region partner organisations through the existing RLSP structure and will look to develop and support strategic skills interventions around the key themes of ICT infrastructure and digital skills, Health, Energy and Smart Manufacturing.</p> <p><a href="http://www.gov.uk">The UK's Industrial Strategy - GOV.UK (www.gov.uk)</a></p> |

<sup>5</sup> <https://statswales.gov.wales/Catalogue/Population-and-Migration/Population/Estimates/Local-Authority/populationestimates-by-localauthority-year>

<sup>6</sup> <https://statswales.gov.wales/Catalogue/Business-Economy-and-Labour-Market/People-and-Work/Employment/Jobs/Whole-Workforce/workplaceemployment-by-welshlocalareas-year>

<sup>7</sup> Inter Departmental Business Register (IDBR) 2018

|                                              |                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|----------------------------------------------|---------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Wales</b>                                 |                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| Welsh Government Prosperity for All Strategy | The Economic Strategy for Wales | The Skills and Talent programme supports the key objectives of the Welsh Government's Prosperity for All strategy specifically the Ambitious and Learning theme by creating opportunities for all to achieve skills at all levels and from all ages enabling individuals to achieve a better chance of getting a rewarding job and the ability for the region to attract inward investment to the area because of a strong skills base.<br><a href="#">Securing Wales' Future Summary (gov.wales)</a>                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Wellbeing and Future Generations Act         | A Prosperous Wales              | <ul style="list-style-type: none"> <li>• The Skills and Talent programme seeks to support to City Deal in maximising the economic and social benefits of the digital economy within the Swansea Bay City Region.</li> <li>• The programme will enhance the employability of individuals within the region providing digital economy skills across all levels from school engagement, Further Education and Higher Education.</li> <li>• It will directly support an innovative and skilled Wales through developing new skills activity to support the development of the City Deal projects. It will allow for activity to become mainstream enhancing the current skills provision and allowing a greater number of talented individuals to enter the Welsh digital economy.</li> <li>• The programme will support the development of local supply chains and new and innovative business activity through supporting skills development within the digital economy.</li> </ul> |
|                                              | A Resilient Wales               | <ul style="list-style-type: none"> <li>• The programme will support the economy of the regional and Wales through the global transition that will arise from technological changes such as automation and artificial intelligence by ensuring residents are equipped with the skills required.</li> <li>• It will also support the development of new low carbon technologies including supporting the internet of energy theme and the 'Homes as Power Stations' and 'Pembroke Dock Marine' projects and improving Wales' energy security and reducing the impact on the environment.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                 |
|                                              | A Healthier Wales               | <ul style="list-style-type: none"> <li>• Skills and Talent will support individuals to participate within the digital economy and access sustainable employment which benefits mental and physical well-being.</li> <li>• There will be direct support for the life science and well-being theme which includes Pentre Awel the 'Life Science and Well-being Village' as well as the 'Life Science Campuses' projects.</li> <li>• Increased connectivity and the skills to utilise digital technologies will help to address issues related to isolation, loneliness and well-being.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                   |
|                                              | A more Equal Wales              | <ul style="list-style-type: none"> <li>• Skills and Talent will support the City Deal in its ambitions to drive through economic transformation within the region and reduce the deficit in GVA performance compared to other parts of the UK.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |

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|--------------------------------------------------------------|---------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                              |                                 | <ul style="list-style-type: none"> <li>• Through the learning opportunities developed there will be greater opportunities for individuals to participate in the digital labour market and increase the equality of opportunity.</li> <li>• The programme will support a reduction in poverty through providing individuals with the opportunity to access well paid sustainable employment locally.</li> </ul>                                                                                                                     |
|                                                              | A Vibrant and Cultural Wales    | <ul style="list-style-type: none"> <li>• Skills and Talent will support skills activity bilingually where possible and support the progression of bilingual learners into the digital economy.</li> <li>• There will be significant skills support for the 'Yr Egin' development and the Waterfront District which will allow for the development of digital cultural activity and supporting the development of the creative industries.</li> </ul>                                                                               |
|                                                              | A globally Responsible Wales    | <ul style="list-style-type: none"> <li>• The skills developed via the programme will support the development of a low carbon economy within the region and improving sustainability, through supporting projects under the themes- Energy and Smart Manufacturing.</li> <li>• It will also promote global wellbeing through supporting the Wellbeing and Life-science Theme and supporting the skills required for citizens to live healthier lives in a connected environment.</li> </ul>                                         |
|                                                              | A Wales of Cohesive Communities | <ul style="list-style-type: none"> <li>• Through the Economic Acceleration and the development of skills within the digital economy ecosystem there will be growth opportunities for both local indigenous companies and local supply chains.</li> <li>• Improved digital infrastructure and skills to utilise technologies will improve the resilience and cohesion of communities, particularly within rural areas</li> </ul>                                                                                                    |
| Wellbeing and Future Generations Act - The 5 ways of working | Long Term                       | The Skills and Talent programme will support the long-term economic transformation of the region through developing and delivering skills activity that directly supports the City Deal. This activity will ensure that residents of the Swansea Bay City Region will have the opportunity to benefit from the investment and the prosperity. The programme will engage with young people to provide digital skills and inspire the next generation into careers within the digital economy.                                       |
|                                                              | Prevention                      | The programme will support individuals, through developing appropriate and relevant skills into long term sustainable employment aligned to the City Deal improving the overall economic competitiveness of the region. This reduces the risks associated with long term unemployment, poverty and improving individual well-being through the application of digital skills and new technologies. The project will support individuals at risk of economic displacement through providing the opportunities to access new skills. |
|                                                              | Collaboration                   | The RLSP and its partners has a strong record of collaboration, the intervention will build upon this experience through developing all activity within a collaborative framework with clear governance. The engagement with all of the City Deal projects will ensure that the                                                                                                                                                                                                                                                    |

|                                                              |                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
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|                                                              |                                                                                                                                                                                                                      | activity will be developed collaboratively and will ensure that the most appropriate activity is developed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|                                                              | Integration                                                                                                                                                                                                          | The Skills and Talent programme will integrate with all of the City Deal projects supporting the employment outcomes of each. There is also significant integration with the members of the four public services boards including local authorities and education providers of Swansea Bay supporting employability outcomes, economic development and sustainability. It also aligns significantly with Welsh Government's Prosperity for All strategy and Working Wales employability plan.                                                                                                                                                                                                   |
|                                                              | Involvement                                                                                                                                                                                                          | The RLSP has a strong level of engagement with organisations from the public, private and third sectors and will continue this engagement throughout. The RLSP will ensure effective communication to enable collaboration with all partners and stakeholders to utilise the expertise that are available regionally. In addition, there will be increased engagement with both relevant industry and learners to ensure the intervention is meeting the needs of citizens. The intervention's governance will ensure that all stakeholders are appropriately represented.<br><a href="#">Well-being of Future Generations (Wales) Act 2015 – The Future Generations Commissioner for Wales</a> |
| International Strategy for Wales                             | The strategy aims to raise the profile Internationally of Wales as a place that is full of creativity, innovation and manufacturing. Higher Education plays an important role with the connections across the World. | The aim of the Skills and Talent programme is to develop the opportunities for all to achieve higher qualifications and opportunities to work in groundbreaking technology through the City Deal projects and other investment opportunities that will be generated in the region. The International opportunities through the Erasmus programme and the development of opportunities for companies and students from overseas to invest, study and work in the region.<br><a href="https://gov.wales/sites/default/files/publications/2020-10/international-strategy-for-wales-v1.pdf">https://gov.wales/sites/default/files/publications/2020-10/international-strategy-for-wales-v1.pdf</a>  |
| 21 <sup>st</sup> Century Higher Education Strategy for Wales | The strategy aims to transform the lives and livelihoods across Wales through the combined efforts of a Higher Education establishments in Wales                                                                     | The vision of the Skills and Talent programme is to increase the number of individuals with the high- level qualifications in the region through full time or part time study or through degree apprenticeships. The programme team will work with the Universities in the region to develop opportunities linked with the individual projects to meet the programme vision.<br><a href="https://dera.ioe.ac.uk/521/">https://dera.ioe.ac.uk/521/</a>                                                                                                                                                                                                                                           |
| Education in Wales Strategy- Our National Mission            | The strategy covers post 16 education and skills via further and higher education, adult and community learning and apprenticeship and aims to deliver. The aspiration of the                                        | The Skills and Talent programme aims to increase the number of people in the region attaining a qualification and to generate opportunities for all to attain higher qualifications to meet the needs of the City deal projects.<br><a href="https://gov.wales/education-and-skills-planning-and-strategy">https://gov.wales/education-and-skills-planning-and-strategy</a>                                                                                                                                                                                                                                                                                                                     |



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|                                                                           | strategy is to have aspirational young people with opportunities across all levels of education achieve the highest levels of qualifications                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| Youth Engagement Framework the Youth Engagement and Progression Framework | The framework sets out the Welsh Government approach to supporting young people who are at risk of becoming NEET. The Framework has 6 key elements: Identifying young people most at risk of disengagement; Better brokerage and co-ordination of support                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | The Skills and Talent programme will work with all people in society with the aspiration of raising the skills levels for all across the region. There are a high percentage of individuals who fall within the NEET category and the Skills and Talent programme will work with all employability projects, stakeholders and educational establishments to ensure that the opportunities that will be generated through the whole City Deal portfolio.<br><a href="https://gov.wales/sites/default/files/publications/2018-02/implementation-plan-youth-engagement-and-progression-framework.pdf">https://gov.wales/sites/default/files/publications/2018-02/implementation-plan-youth-engagement-and-progression-framework.pdf</a> |
| Tackling Poverty Plan 2021- 2035                                          | The key objectives of the Tackling Poverty actions are:<br><ul style="list-style-type: none"> <li>• to prevent poverty, especially through investment in giving children the best possible start in life. From conception through to early adulthood, our aim will be to reduce inequality at the earliest possible stage and break the link between socio-economic disadvantage, educational under achievement and the impaired life chances that flow from these;</li> <li>• recognising that the best route out of poverty is through employment, we will continue to help people to improve their skills and enhance the relevance of their qualifications. We will also remove other barriers to employment – from practical barriers such as the accessibility of transport and buildings to less tangible barriers such as poverty of aspiration - helping people to move on to and up the employment ladder;</li> <li>• at the same time, we will increase action to mitigate the impact of poverty here and now. We recognise that for</li> </ul> | The Skills and Talent programme will:<br>Identify and develop opportunities through working with schools and colleges to identify the career pathways suitable for all;<br>Work with partners in the Employability programmes to identify the skills gaps and develop programmes to support training for all.<br>Create opportunities for everyone to work and gain the necessary experience in the world of work to enhance their opportunities for better paid work.<br><br><a href="https://gov.wales/tackling-fuel-poverty-2021-2035-html">https://gov.wales/tackling-fuel-poverty-2021-2035-html</a>                                                                                                                            |

|                                                                  |                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
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|                                                                  | more and more people, even being in work will not guarantee that they can escape poverty. We can act to improve the quality of life of these communities, families and individuals.                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Manufacturing Future for Wales- Framework for Action             | The Framework will look at how the Welsh Government, Industry, Academia and Trade Unions can work together to secure the future of manufacturing in Wales.                                                                 | Skills within the manufacturing sector have already been identified as being at risk and with the advent of Industry 4.0 there is a need to ensure that Engineering and Manufacturing are highlighted as key career opportunities in the region. The Skills and Talent programme will work with Industry Wales and academia to develop the clear pathway from school through to higher education and apprenticeship. Alongside the development of individuals there will also be a need to upskill the teachers and lecturers in the new ways of working.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| Regional                                                         |                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Swansea Bay City Region Economic Regeneration strategy 2013-2030 | The Strategy has 5 key aims:<br>1 Business Growth and Retention.<br>2 Skilled and Ambitious people<br>3 Maximize job creation.<br>4 Knowledge Economy and Innovation.<br>5 Distinct places and competitive infrastructure. | The strategy identifies the major deficits that exist across the region regarding the low number of people with higher level qualifications or no qualifications at all. These issues need to be addressed in order to drive performance competitiveness and salary levels. The Skills and Talent programme will be instrumental in the success of all 5 key aims of the strategy and will deliver on the key skills requirements to meet the needs of the employers in the region. The programme will lead on the upskilling of individuals to meet the changing demands; develop clear career pathways for children in school to identify the opportunities available and skills required and finally to develop a more ambitious workforce with the right skills for the future.<br><a href="https://www.swansea.gov.uk/media/7514/Swansea-Bay-City-Region-Economic-Regeneration-Strategy/pdf/Swansea_Bay_City_Region_Economic_Regeneration_Strategy.pdf">https://www.swansea.gov.uk/media/7514/Swansea-Bay-City-Region-Economic-Regeneration-Strategy/pdf/Swansea_Bay_City_Region_Economic_Regeneration_Strategy.pdf</a> |
| Framework for Regional Investment in Wales                       | The Regional Framework brings together the regional Economic requirements both long term and short term post Covid-19 within one strategy sitting under the Chief Regional Officer                                         | The Skills and Talent programme will work with the Chief Regional Officer to identify the skills requirements and support the development of key skills in specific locations across the region.<br><br>The Skills and Talent programme will align to the objectives set out in the recently launched framework for regional investment in Wales post Brexit. These objectives include: <ul style="list-style-type: none"> <li>• Support the workforce to become skilled and trained to achieve progression including skills from transition to Industry 4.0 and 5.0 technology.</li> <li>• Opportunities for people to develop their skills and acquire new skills.</li> <li>• Increase the number of upskilled individuals in the workplace to achieve the skills of the future.</li> <li>• Tackle digital exclusion and increase engagement with the digital and technological skills.</li> <li>• Increase opportunities through apprenticeship and traineeships.</li> </ul>                                                                                                                                              |

|                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|--------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Regional Employment and Skills Plan 2019 - 2022              | The plan informs and support the Welsh Government's strategic approach to the delivery of employment and skills provision in conjunction with the other two Regional Skills Partnerships in Wales.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | The Skills and Talent programme will utilise the work undertaken by the RLSP team including data being generated on the impact of Covid-19 pandemic for future skills needs.<br><br><a href="http://online.flipbuilder.com/itet/fdew/mobile/index.html">http://online.flipbuilder.com/itet/fdew/mobile/index.html</a>                                                                                                                                                                                                         |
| Rural Vision for Wales – Thriving Communities for the future | One key recommendation is to develop a targeted rural youth programme to invest, upskill and retain bright and talented young people in rural communities:<br>i) Establish STEMM (Science, Technology, Engineering, Maths and Money) Centres of Excellence by investing in high quality facilities within rural Further Education Institutions to provide training for young people, as well as opportunities for adult in-work upskilling and retraining opportunities, targeted at the following sectors -<br>o Food Science<br>o Digital and Electronics<br>o 21st Century Agriculture<br>o Healthcare and Medical Sciences<br>o Low Carbon Infrastructure<br>o Creative Industries<br>o Circular Economy<br>o Advanced Manufacturing<br>o Bioeconomy | Many of the key areas highlighted with the Rural Vision report link to the key areas identified within the Skills and Talent programme and will be developed therein. The objectives of the Rural Vision also highlights some of the key challenges identified within the Programme Business case.<br><br><a href="https://rural-urban.eu/publications/rural-vision-wales-thriving-communities-future-evidence-report">https://rural-urban.eu/publications/rural-vision-wales-thriving-communities-future-evidence-report</a> |

**Table 1 –Alignment to UK and Government and Regional Policies**

## 2.5 Case for Change

The HM Treasury Green Book indicates that the rationale for Government intervention is founded 'either in market failure or where there are clear government distribution objectives that need to be met.' Market failure refers to where the market has not and cannot itself be expected to deliver an efficient outcome; the intervention that is proposed within this programme will seek to redress this.

The Swansea Bay City Deal region suffers from a series of overarching economic issues including low GVA, lack of well-paid job opportunities, skills shortage, high levels of economic inactivity and outward youth migration. The region is characterised by a higher proportion of individuals with no qualifications when compared with national averages, Table 2 below outlines the 2019 data on Highest Qualifications based on a regional/Wales average, the average earnings, the current employed and unemployment data and the gender pay gap. A high number of individuals in the region are currently in low skilled, low paid and unstable employment and subsequently a lower than average level of individuals are in higher paid, meaningful employment.

There is also further area of concern for the region's workforce - the ageing population, with 36% of the region's total population of 704,897<sup>8</sup>. being over the age of 55.<sup>9</sup> Retirement risk is high in the region with around 276,000 individuals expected to retire soon, (this is above the average for an area of similar size, which sits at 241,000.<sup>10</sup> The potential loss of skilled individuals at such a scale is a challenge for the region but one that the City Deal and the opportunities it presents through the Skills and Talent programme can mitigate.

With the rising opportunities currently on offer within the region and the potential development of high paid jobs through the City Deal there is a real concern that there will be limited number of people with the correct qualifications and experience to take up the roles. Furthermore, the impact of Covid-19 on the Employment landscape will require upskilling of individuals from existing skills base into new industries as a matter of urgency.

|                                               |                                                                   | Carms   | Pembs   | Swansea | Neath and Port Talbot | Wales     |
|-----------------------------------------------|-------------------------------------------------------------------|---------|---------|---------|-----------------------|-----------|
| <b>Total Employment</b>                       | <b>Workplace Employment (Whole Workforce)<sup>11</sup></b>        | 79,600  | 58,000  | 124,200 | 49,600                | 1,452,100 |
| <b>Employment in High skilled occupations</b> | <b>% of workers in SOC digits 1-3 (2020)<sup>12</sup></b>         | 39.6%   | 36.7%   | 45.2%   | 33.4%                 | 44.2      |
| <b>Unemployment</b>                           | <b>Unemployment rate % (June 2020)</b>                            | 4.2     | 2.7     | 5.4     | 4.0                   | 3.7       |
| <b>Earnings</b>                               | <b>Median FT weekly earnings £ (2020)<sup>13</sup></b>            | £568.60 | £492.90 | £531.90 | £566.40               | £537.80   |
| <b>Male Earnings</b>                          | <b>Weekly median gross pay male full time (2020)<sup>14</sup></b> | £550.40 | £510.20 | £521.10 | £604.30               | £556.70   |

<sup>8</sup> <https://statswales.gov.wales/Catalogue/Population-and-Migration/Population/Estimates/Local-Authority/populationestimates-by-localauthority-year>

<sup>9</sup> RLSP analysis of EMSI data

<sup>10</sup> RLSP analysis of EMSI data

<sup>11</sup> <https://statswales.gov.wales/Catalogue/Business-Economy-and-Labour-Market/People-and-Work/Employment/Jobs/Whole-Workforce/workplaceemployment-by-welshlocalareas-industry>

<sup>12</sup> <https://statswales.gov.wales/Catalogue/Business-Economy-and-Labour-Market/People-and-Work/Employment/Persons-Employed/peopleinemployment-by-area-occupation>

<sup>13</sup> <https://statswales.gov.wales/Catalogue/Business-Economy-and-Labour-Market/People-and-Work/Earnings/medianweeklyearnings-by-welshlocalareas-year>

<sup>14</sup> <https://statswales.gov.wales/Catalogue/Business-Economy-and-Labour-Market/People-and-Work/Earnings/medianweeklyearnings-by-welshlocalareas-year>

|                                |                                                                     |         |         |         |         |         |
|--------------------------------|---------------------------------------------------------------------|---------|---------|---------|---------|---------|
| <b>Female Earnings</b>         | <b>Weekly median gross pay female full time (2020)<sup>15</sup></b> | £592.80 | £477.10 | £534.80 | £492.20 | £515.40 |
| <b>Economic participation</b>  | <b>Economic activity rate % aged 16-64 (Sept 2020)<sup>16</sup></b> | 72.7    | 76.7    | 74.0    | 72.5    | 76.2    |
|                                |                                                                     |         |         |         |         |         |
| <b>Low skills<sup>17</sup></b> | <b>% with no qualifications aged 16-64 (2019)</b>                   | 7.4     | 8.8     | 7.7     | 10.8    | 8.2     |
|                                | <b>% qualified to below level 2 (2019)</b>                          | 11.5    | 12.6    | 11.6    | 14.5    | 12.7    |
|                                | <b>% qualified to NQF level 2 (2019)</b>                            | 20.0    | 22.1    | 17.4    | 24.8    | 19.7    |
|                                | <b>% qualified to NQF level 3 (2019)</b>                            | 19.6    | 20.0    | 23.3    | 19.7    | 20.6    |
|                                | <b>% qualified to NQF level 4-6 (2019)</b>                          | 30.2    | 26.9    | 26.7    | 23.6    | 27.6    |
|                                | <b>% qualified to NQF level 7-8 (2019)</b>                          | 11.2    | 9.7     | 13.3    | 6.5     | 11.2    |

**Table 2 – Employment and Skills Levels within the Swansea Bay region.<sup>18</sup>**

The Skills and Talent programme has a key role to play here in providing individuals with the right training opportunities to not only improve their skills and qualification levels but also their access to better and more meaningful employment opportunities. People with higher level qualifications and skills are more likely to be in sustained employment, with larger earning and wage gains, particularly for those individuals from disadvantaged areas. Apprenticeships tend to increase the probability of participants being in employment with higher level apprenticeships appearing to generate substantially larger labour market benefits.

The region needs a motivated skilled and functioning workforce that deliver on the overall aims of the Swansea Bay City Deal over the next 15 years and the Skills and Talent programme will be instrumental in piloting the skills solutions for the 8 projects and in turn will support regional education providers to deliver the skills solutions required. Evidence highlighted in the 2019 Employment and Skills Plan<sup>19</sup> indicates that skills will broadly be required in (but not limited to) the areas of ICT and digital, health and manufacturing, energy and new construction and engineering, aligning closely to the four themes of the City Deal programme. A recent report by the Learning and Work Institute<sup>20</sup> states that the number of young people taking IT subjects at GCSE has dropped 40% since 2015 whilst demand for Artificial Intelligence, cloud and robotic skills are soaring. The report further states that there are four main reasons why the digital skills shortage is climbing across the country and these include lack of clearly defined job roles; lack of understanding of potential career paths; lack of relatable role models and the appeal of the roles.

Evidence has also been gathered from the project leads during 2020 on specific key skills relating to Digital- Cyber security; Cloud, Artificial Intelligence (machine Learning Knowledge) and Data

<sup>15</sup> <https://statswales.gov.wales/Catalogue/Business-Economy-and-Labour-Market/People-and-Work/Earnings/medianweeklyearnings-by-welshlocalareas-year>

<sup>16</sup> <https://statswales.gov.wales/Catalogue/Business-Economy-and-Labour-Market/People-and-Work/Economic-Inactivity/economicinactivityratesexcludingstudents-by-welshlocalarea-year>

<sup>17</sup> <https://statswales.gov.wales/Catalogue/Education-and-Skills/Post-16-Education-and-Training/Data-For-Regions-of-Wales/highestqualificationlevelofworkingageadults-by-region-localauthority>

<sup>18</sup> <https://statswales.gov.wales/Catalogue/Education-and-Skills/Post-16-Education-and-Training/Lifelong-Learning/Qualification-Levels/highestqualificationlevelsofworkingageadults-by-regionsofwales-qualification>

<sup>19</sup> <http://online.flipbuilder.com/itet/fdew/mobile/index.html>

<sup>20</sup> <https://learningandwork.org.uk/wp-content/uploads/2021/03/Disconnected-Report.pdf>

Science and from Green Energy where there is a direct link to Digital which include, Solar, Heat pumps, Smart controls and Electric vehicles There will be opportunities for the transferability of skills between projects and therefore across the region, creating a thriving talent base.

Undeniably, underpinning each of the projects is skills and talent; a theme that runs strongly throughout and will determine the over-all success of the City Deal and its constituent projects. With this, the ability of the Skills and Talent programme to determine the skills needs of the 8 projects is a key determinant of the City Deals success. The right people with the right skills, available in the region at the right time is the most important consideration and challenge for the City Deal. Without a strong, capable and flexible workforce the projects would struggle to meet the outcomes they propose and therefore have the transformational effect that they aim to have. The programme aims to address the skills gaps at all levels by working in partnership with key providers/partners and employability programmes in the region.

## 2.6 Investment Objectives & Benefits

The overarching objective of the Skills and Talent programme is to strengthen collaboration and increase investment that will significantly boost the quality and quantity of trained and skilled individuals through the intervention of the programme. The aim is to:

- ✓ create a lasting legacy of a higher skilled workforce across the region.
- ✓ encourage meaningful participation by stakeholders in designing and delivering skills training and development.
- ✓ increase opportunities for individuals to improve their skills and get higher paid jobs.
- ✓ be central to maximising the value of the City Deal Investment by delivering the workforce programme.
- ✓ upskilling individuals for new roles utilising key skills that they may already have that could be beneficial to new roles created through the projects or other opportunities in the region.

The Investment objectives have been identified by the RLSP and partners based on evidence gathered through stakeholder engagement; engagement with City Deal project leads and National Government statistics. The objectives for the programme are identified below as being time limited for the purpose of monitoring however, the interventions made by the Skills and Talent programme will have an impact over a longer term with the development of new frameworks fit for the future: The programme aims to deliver the following investment objectives and benefits over the next 10 years, based on sectors including digital, energy, smart manufacturing, construction and life-sciences and wellbeing

- ✓ To directly deliver at least 2,200 additional skills and support the development of around 14,000 individuals with higher level (between 2-8) skills within 10 years.
- ✓ To create at least 3000 new apprenticeship opportunities, to include level 3 to Degree apprenticeships.
- ✓ To create at least 2 Centres of Excellence within specific sectors to develop the region as being “the best” area for skills development.
- ✓ To create a clear career pathway from school education through further and higher education in the key areas of digital; construction, energy; smart manufacturing and life-science and wellbeing, achieved through engagement and development work with schools increasing the number of pupils following the STEM subjects in FE and HE..
- ✓ To deliver 20 new/updated course frameworks to ensure they meet the industry training needs for the future.

These investment objectives are SMART (specific, measurable, achievable, realistic and time bound) and will be delivered with a £30 million investment from:

| City Deal | Public Sector | Private Sector |
|-----------|---------------|----------------|
| £10m      | £16m          | £4m            |

The programme will aim to nurture indigenous talent through initial education and on-going professional development, supporting the attraction of globally competitive skills to the region through the significant inward investment fostered by the individual projects and the wider economic regeneration proposals. An example would be the Pentre Awel project, the skills requirements for this project will be diverse but there will be an opportunity to bring specialist leaders in research to the project who will work with students from the universities to develop new ways of working and treatments offered within the Life science sector.

To support this work the RLSP has undertaken a consultation with regional employers; training providers and City Deal project leads over the last 18 months to understand the skills requirements for the region and identify the skills gaps and where additional resources need to be made available in order to support the vision of the City Deal to grow the economy in the region. The consultation has been undertaken via on-line questionnaires; face to face meetings within the Industry sector cluster groups on a bi-monthly basis; through workshops and annual events and RLSP Board meetings.

## 2.7 Existing Arrangements

The delivery of skills training across all ages in the SBCD region are delivered by the Education Departments of the Local Authorities; four Further Education Colleges and two Universities together with a range of private sector training companies who deliver bespoke and/or apprenticeship training. The RLSP works with all partners and employers to understand the gaps in existing provision against Industry needs and identification of future learning based on future needs.

The RLSP prepares an annual Employment and Skills plan and evidence to support the recommendations contained therein to improve skills delivery in the region is gathered through engagement with Industry leads across the 9 main sectors (Advanced Materials and Manufacturing; Energy; Food and Land Management; Financial and Professional services; Tourism Retail and Leisure; Construction; Creative Industries, ICT and Public Services). There has been evidence of some change within the apprenticeship and further education sector as a result of recommendations made but the change in school curriculum and higher education is not as quick to react. Influencing change must be a partnership of all skills and training bodies to create the pathway of skills and opportunities for all.

The current delivery model delivers the needs of the Government in the development of opportunities for individuals to follow the education route through school and on to Further or higher education or apprenticeship, but these pathways do not always reflect the needs of employers. The [Employment and Skills Plans](#) for the region since 2017 have all reported the concerns from employers regarding outdated course content; the need for an increased number of people trained within the engineering and digital sectors and to improve career pathway advice and information to reflect what is happening in industry today. The report makes clear recommendations to the Welsh Government on what needs to change in the current landscape in order to meet the needs of Industry as well as identifying key future skills needs. An example of this was a skills needs assessment undertaken for the proposed Tidal Lagoon in Swansea that identified key skills needed in the region in order to meet the demand that would be created by the project.<sup>21</sup> The delivery within the FE and HE sector is driven by student demand to take up courses that do not always lead to a paid role in their chosen subject and not industry requirements that would lead to full-time, well-paid jobs. The Skills and Talent programme offers an opportunity to change the information given to allow individuals to make informed decisions of a clear career pathway through the education. There is a need to develop a clear destination pathway for each individual from education through into the world of work and beyond.

## 2.8 Business Need

This section identifies the problems, issues and difficulties that the area faces from economic; low productivity; low wage levels and skills gaps, all of which will impact on the success of the City Deal projects and other investment in the region. Table 3 below and the supporting evidence in this

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<sup>21</sup> <https://www.carmarthenshire.gov.wales/media/1225118/sna.pdf>

section highlights the key issues the region faces, whilst the programme will address some there are already programmes in place outside of the City Deal portfolio that are working on reducing the impacts on the regional economy, the importance for the Skills and Talent programme will be the strong working arrangements and partnership with these programmes to resolve the difficulties across the next 15 – 20 years.

Work has already been undertaken with all of the project leads to identify skills gaps that they are aware of and this has been undertaken through a number of ways including face to face meetings; workshops; through the Provider group leads identified to work with the project leads on specific skills and through on-line surveys. Consultants appointed to support the development of the Economic Impact have also worked with the project leads to identify the skills requirements against the jobs being created. From all of the evidence gathered to date there is clear knowledge that there is a demand for new skills to be developed as a matter of urgency to support the delivery of the City Deal project.

In gathering the evidence, a connection has also been made with the skills programmes of other City Deals across the UK to understand what has worked well where programmes have already begun and there are some examples of good practice that can be shared and possibly utilised in the region. The Belfast City Deal skills programme has identified similar issues to those evidenced within the Swansea Bay area specifically around the high number of people with low qualifications and the shortage of people with digital skills that are so important to the projects included in the Belfast City Deal. The discussions with other City Deals will continue as a system of good practice to share knowledge.

| Theme                       | Existing Arrangements                                                                       | Investment objective                                                                                               | Business Needs                                                                                                                                                                                                         |
|-----------------------------|---------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Economic Performance</b> | Fewer people with higher level qualifications.                                              | 14000 individuals with increased level of skills (2,000 direct and 12,000 indirect)                                | To increase the number of people with higher level qualifications to support the SDCB projects                                                                                                                         |
|                             | The region has the highest number of people in Wales with low or no qualifications          | Create at least 3000 new apprenticeship opportunities to include level 3 to degree                                 | Develop a programme of opportunities to upskill the existing workforce. Attain 100% completion of the apprenticeship programme and provide the employability support to individuals to move into full time employment. |
|                             | High number of individuals in low paid employment                                           | Create opportunities to support people into work.                                                                  | Increase opportunities through the improvement of skills levels to increase the number of people in higher paid jobs                                                                                                   |
|                             | The jobs in the region have a strong reliance on the foundational economy or public sector. | Create clear pathways within schools focusing on the key themes within the City Deal portfolio                     | Developing the career pathways throughout the school years to showcase the opportunities will highlight the new opportunities.                                                                                         |
|                             |                                                                                             | Increased uptake of school pupils progressing into STEM subjects at FE/HE                                          |                                                                                                                                                                                                                        |
|                             | High number of economically inactive people                                                 | Upskill and support people into employment by creating opportunities through project community benefits programme. | Working with employability programmes to develop the opportunities to upskill and gain qualifications into meaningful jobs.                                                                                            |



|                                                                                                                                                            |                                                                                                                                          |                                                                                                                                                             |                                                                                                                                                                       |
|------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                            | Course frameworks do not meet future skills needs and lecturers/teachers are not fully aware of the new ways of working within industry. | Invest in course frameworks to ensure they meet the needs of the projects and employers in the region and provide upskilling/CPD for teachers and lecturers | Work required to understand the gaps and work with stakeholders and employers to bridge the gap and develop new qualifications. Identify what upskilling is required. |
|                                                                                                                                                            |                                                                                                                                          | Delivery of 20 new/updated course frameworks to meet industry training needs.                                                                               |                                                                                                                                                                       |
|                                                                                                                                                            | The area is not known for the delivery of any specific specialist skills                                                                 | Establish at least two Centres of Excellence based on prioritised sectors.                                                                                  | Centres of Excellence in skills required for the City Deal projects that are new and emerging.                                                                        |
| Ageing Population<br>The ageing population is an issue for the region if they do not work or will not upskill to work within the new and emerging sectors. | Deliver pilot programmes of new courses to upskill existing workforce.                                                                   | Map out opportunities for key employees to upskill through a faster than normal process to enable businesses to have the necessary skills immediately       |                                                                                                                                                                       |

**Table 3 Synopsis of Business Needs.**

The skills landscape across the region is wide and far reaching but can be complex to stakeholders not directly involved in the delivery in the schools, colleges, universities and apprenticeship programmes. Alongside the known providers there are a number of programmes to support the unemployed and the economically inactive that deliver training to get people into or back to work alongside the third sector and private businesses who deliver training to their staff. The RLSP brings the organisations together however there is a need to develop the clear pathway to develop the skills pathway for the future across the region and to address the following issues as a regional programme to deliver change:

### 2.8.1 Course Frameworks not fit for the Future

A complete analysis of the skills delivered across the region and publication of a Skills Barometer for the region will be an essential requirement for the programme. The work that the RLSP has already undertaken with employers identifies a number of key issues with course frameworks that need to be re-written and accredited in order to meet the requirements of employers now and in the future. This work is fundamental to the success of the skills and talent programme to ensure that we have the right skills, as identified by employers, being taught at all levels across all training providers. The Covid-19 pandemic has highlighted a number of key skills particularly within the digital sector that need to be developed as a matter of urgency to meet the changing working practices by employers across the region. The new skills will require new qualifications to be developed and up-skilling of teachers and lecturers across the whole education system will be imperative.

### 2.8.2 Workforce Development

The workforce in the region is dominated by a high reliance on the public sector, some 30% of the workforce (92,200) are employed in this sector.<sup>22</sup> A high proportion of individuals are employed in what is termed as the foundational economy. The aspirational projects contained within the City Deal rely on these specific areas of employment (Construction, Information & Communication and Professional; Scientific and Technical activities) that only currently amount to 20% of the

<sup>22</sup> <https://statswales.gov.wales/Catalogue/Business-Economy-and-Labour-Market/People-and-Work/Employment/Persons-Employed/publicprivatesectoremployment-by-welshlocalauthority-status>

workforce.<sup>23</sup> The aim of the City Deal will be to increase the proportion of people working within these sectors creating a more balanced workforce demography which is less reliant on the foundational economy and service sectors. These sectors are high value in terms of GVA therefore any increase in these sectors will serve to act as a catalyst for the increase in GVA and productivity that the region requires.

### 2.8.3 Covid-19 impact in the region

The Covid-19 pandemic has had a dramatic effect on the labour market in recent months, the effects of which are likely to be felt for a long period of time. A high proportion of workers have been furloughed across the region with the most recent statistics<sup>24</sup> highlighted in table 4 below:

| County and district / unitary authority | Employments furloughed | Take-up rate |
|-----------------------------------------|------------------------|--------------|
| Carmarthenshire                         | 10,700                 | 14%          |
| Neath Port Talbot                       | 6,700                  | 11%          |
| Pembrokeshire                           | 8,600                  | 19%          |
| Swansea                                 | 13,400                 | 14%          |

**Table 4 – Furloughed workers in the region at 31<sup>st</sup> January 2021**

The full scale of job losses suffered as a result of the Covid-19 pandemic will likely come to fruition following the end of the job retention scheme. The Skills and Talent programme will have an important role to play in supporting economic growth over coming years and will in some part support the labour force to respond effectively to this unique time the country currently finds itself in.

The RLSP and the Skills team will continue to monitor labour market intelligence and will work with the programme team to identify areas that the programme’s activity can serve to support the region and its people throughout the recovery period and beyond particularly in upskilling individuals into new areas of work which will become more secure in the changing landscape. This monitoring of data will also be a key tool to measure the long-term impact of the success of the Skills and Talent Programme.

### 2.8.4 Business Demography

The region as a whole is dominated by micro and small sized enterprises and a higher than average proportion of self-employed individuals which has an impact on the available workforce. The Swansea Bay region has the second highest proportion of self-employed people by City regions, the highest being in the Greater London Authority.<sup>25</sup> The most recent statistics, indicate that 99% of the businesses operating in the region have less than 99 employees. Approximately 18,600 businesses have between 1 and 4 employees.<sup>26</sup> The Skills and Talent programme will work with a diverse range of employers representing micro to large strategic employers in the region to ensure that they are aware of the skills needs identified and availability of training through the programme to support the supply chain workforce that will be involved within the delivery of the SBCD projects.

<sup>23</sup> <https://statswales.gov.wales/Catalogue/Business-Economy-and-Labour-Market/People-and-Work/Employment/Jobs/Whole-Workforce/workplaceemployment-by-welshlocalareas-industry>

<sup>24</sup> <https://www.gov.uk/government/statistics/coronavirus-job-retention-scheme-statistics-march-2021>

<sup>25</sup> <https://www.ons.gov.uk/employmentandlabourmarket/peopleinwork/employmentandemployeetypes/datasets/selfemploymentincityregions>

<sup>26</sup> Inter Departmental Business Register (IDBR) 2018

## 2.8.5 The Changing Pattern of Employment

The way that people work continues to evolve and traditional notions of a job for life is increasingly unrealistic for many within the labour market. Increasingly the labour market is becoming more fluid with dynamic and different ways of working and various ways to be employed, these changes produce a number of skills challenges. Research undertaken by the Recruitment & Employment Confederation (REC) highlights that '13% of British people believe they will be working in traditional '9 – 5' employment by 2025'<sup>27</sup> highlighting the awareness of the changing nature of employment and the need for flexibility.

The requirement for business support for emerging and new start up business is evident particularly around skills development and support for apprenticeships and work placements. This is evidenced in the 2019 [Employment and Skills Plan for the South West and Mid Wales](#) region. The programme will identify the gaps where some of the information is not readily available and ensure that businesses are made aware of the opportunities and where support can be received. An example of support that does exist is the [Welsh Government Skills Gateway](#) which offers support to business and refers to the funded programmes available to support people into work.

## 2.8.6 Digital Skills

Digital skills are becoming increasingly important within the economy with many job roles becoming increasingly digitalised. This is a trend that has undoubtedly been accelerated by the recent change to working practices as a result of the Covid-19 pandemic.

If the UK and indeed Wales are to become world-leading digital nations then it is imperative that the current and future workforce are equipped with the right skills which allow them to fully take advantage of the opportunities that new digital technologies will provide.

*'Market and institutional challenges mean that many businesses are struggling to obtain employees with the right skills to exploit technological opportunities, and sections of society are missing out on the benefits of the digital economy.'*<sup>28</sup>

At a regional level the Swansea Bay City Deal will provide significant opportunities within the digital sector, it is therefore imperative that any market and institutional challenges are addressed in a timely manner. The Swansea City and Waterfront Digital District and Yr Egin will provide opportunities for the development and expansion of high value digital/tech companies which will be positive both for employment levels and the economy as a whole.

## 2.8.7 Rurality and the rural economy

The rural economy within South West Wales is of significant importance and encompasses large areas of the North and West of the region. It faces a wide range of challenges that are unique to the rural setting. These include the issues identified below;

### ➤ Declining productivity

The productivity as measured by GVA within predominantly rural areas is significantly below the UK and also below those of more urban areas across the region. This is a trend that is visible across the UK. This is in part due to the nature of businesses located within the different areas with higher numbers of high GVA industries such as Financial and Professional Services being located in the more urban areas. An additional factor is the nature of employment within rural areas with a greater emphasis on part time working and self-employment, often relating to lifestyle businesses.

The productivity divide between the urban and rural areas is significant and it produces a number of skills related challenges particularly relating to the availability, recruitment and

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<sup>27</sup> Gig Economy: The ubernisation of work – REC 2016

<sup>28</sup> <http://gyitproject.eu/content/o1-research-report-findings>

retention of appropriately skilled individuals. The main challenge around the development of skills can be linked to how the skills training is delivered particularly in the rural areas.

Productivity is significantly lower in sectors which are more prevalent in rural areas. Evidence from the Welsh Government Priority sector<sup>29</sup> statistics show that the GVA per hour worked in 2015 was £14 in the Food and Farming sector and £15 in the Tourism sector. This compares with £59 for the Financial and Professional Services sector and £50 for the ICT sector which are predominantly located within urban areas.

#### ➤ Demographic challenges

Within the region there are a significant number of demographic challenges with rural areas being more likely to have issues regarding an ageing population. This includes a higher proportion of over 65's than the urban averages which affects both the demands on local services as well as the proportion of working age residents who can form the workforce. This demographic imbalance creates significant challenges both in creating a critical mass required for economically viable delivery of interventions but also a requirement for the re-skilling of older individuals.

With the large number of people working from home as a result of the COVID-19 pandemic a demand had been created to relocate to more rural areas from the urban towns and cities. The impact of such has not been fully assessed to date.

#### ➤ Access to services

Rurality and in particular deep rurality places significant pressures on the delivery of services due to a number of different factors which include.

- Lower population densities make achieving relative economies of scale difficult, this can include a low number of clients for services to support, making costs expensive for delivery bodies as well as limiting the potential engagement opportunities.
- Large travel distances between conurbations increases time and cost for accessing services, this can hinder the skills development of individuals within rural areas who may encounter these barriers.
- Poor digital connectivity remains a challenge due to the cost of installing fibre broadband, issues with 'the last mile of connectivity' remain a significant challenge for many in rural areas.

It is essential that the effects of the City Deal are as relevant to the rural as the urban areas of the SBCR region. Given the declining productivity experienced in some rural areas the City Deal has an opportunity to provide high value employment and expansion opportunities for the individuals working in and the SMEs operating in those areas. This will be achieved through the proposed supply chain opportunities that could come into fruition as the City Deal Proposal progresses. The RLSP will work with all 8 projects to identify the Community Benefit clauses included within all contracts to ensure that there are benefits over and above the economic growth, these would include building of strong communities through educational support initiatives: apprenticeship training and volunteering opportunities. Furthermore, the advancements within the digital sector proposed and the increased connectivity which would manifest as a result of the City Deal could improve these areas access to services exponentially.

### **2.8.8 Gender Equality and Imbalances**

There is significant evidence to suggest that women and men do not enjoy the same rights and opportunities across all sectors of society. For Wales this is especially prevalent within the labour

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<sup>29</sup> <http://gov.wales/statistics-and-research/priority-sector-statistics/?lang=en>

market and economy where there is not an equal representation of men and women across a range of roles, sectors and subject areas.

Women are under-represented within a number of the WG's priority sectors, Table 5 below<sup>30</sup>; depicts that an area of particular concern is the stark lack of women employed within the Advanced Materials and Manufacturing, Construction, Energy and Environment and ICT sectors in comparison to men. A disparity within sectoral employment can result in gender pay gaps, a disproportion within skills development and a lack of access to the same opportunities and progression.

| Sector                                        | 2018    |        |
|-----------------------------------------------|---------|--------|
|                                               | Male    | Female |
| <b>Advanced Materials &amp; Manufacturing</b> | 66,000  | 15,600 |
| <b>Construction</b>                           | 96,400  | 12,900 |
| <b>Creative Industries</b>                    | 36,400  | 21,600 |
| <b>Energy &amp; Environment</b>               | 117,900 | 37,100 |
| <b>Food &amp; Farming</b>                     | 36,700  | 14,800 |
| <b>Financial &amp; Professional Services</b>  | 81,100  | 56,600 |
| <b>ICT</b>                                    | 22,500  | 8,500  |
| <b>Life Sciences</b>                          | 8,700   | 4,800  |
| <b>Tourism</b>                                | 61,900  | 65,300 |

**Table 5 – Gender Equality Data 2018**

For instance, given the alignment of the aforementioned sectors to the Science, Technology, Engineering and Mathematics (STEM) sector this is particularly worrying, given the perceived benefits of pursuing a career in this area; 'the gap in starting salary between men and women who have studied STEM subjects and go on to take jobs in those spheres is smaller than in any other subjects studied. If more women were to pursue careers in these areas, not only would it give them a more balanced portfolio of skills, but it would also narrow the gender pay gap for those in the early years of their working lives.'<sup>31</sup> There is much research to suggest that solving the gender pay gap would need a focussed effort on increasing the profile of STEM subjects among young female learners.

The alignment of the 8 City Deal projects to STEM related subjects creates a significant opportunity for gender imbalances to be addressed. This is especially true given the programme's aspiration of working with schools to promote the opportunities associated with the City Deal. This could improve the perception of STEM related subjects with girls at a very young age, resulting in a higher chance of them pursuing a career within the sector later in life. The RLSP has already been working with schools in partnership with TATA and VALERO to showcase opportunities for women in engineering and technology. This work has been piloted with 6 schools and 2 colleges in the region the programme proposes to roll this work out to all schools across the region.

<sup>30</sup> <https://gov.wales/priority-sector-statistics-2018>

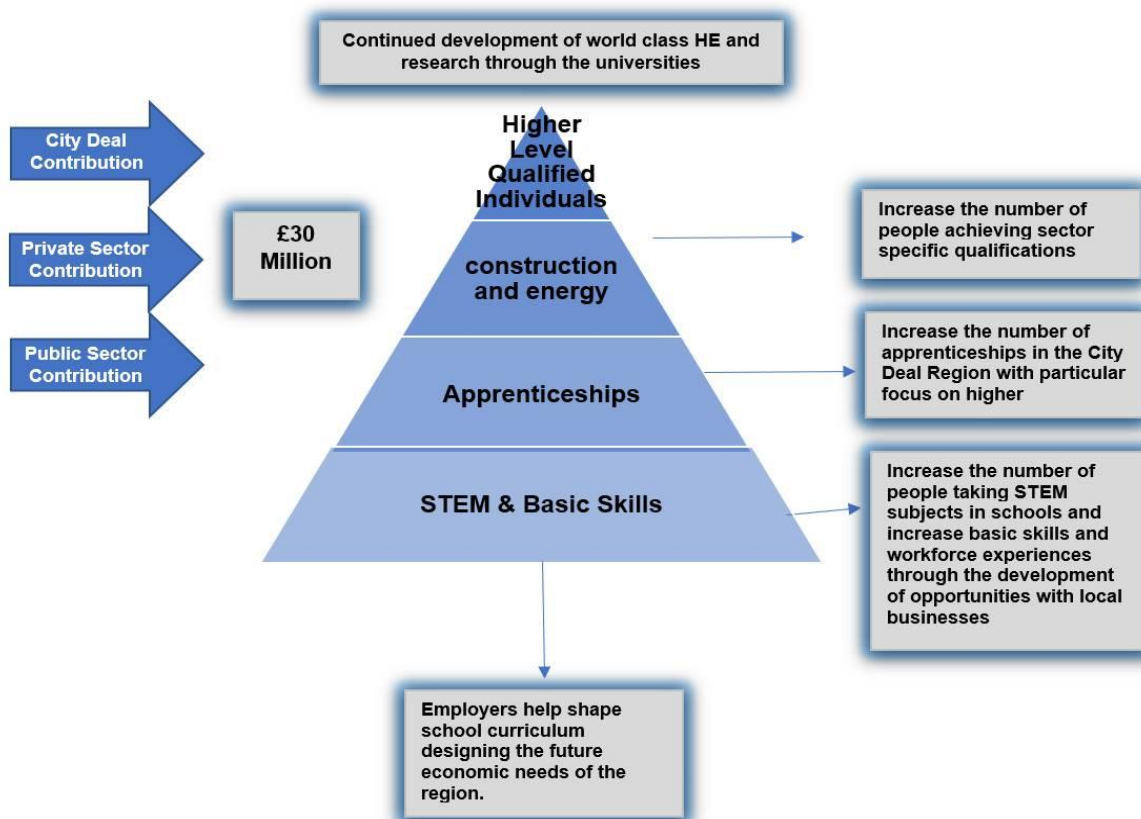
<sup>31</sup> <https://www2.deloitte.com/content/dam/Deloitte/uk/Documents/Growth/deloitte-uk-women-in-stem-pay-gap-2016.pdf>

## 2.8.9 Duplication of Course delivery

There is a considerable amount of duplication of traditional course delivery across the region with no clear focus on the specific skills required for the City Deal projects, the wider employer need or recognition of future skills needs post 5 years. Whilst it is difficult to anticipate the “new skills” requirements of 10 – 15 years there has to be a clear pathway of where the region wants to go and how it will achieve the goals. The Skills and Talent programme aims to bring together the skills training providers across all levels to clearly identify what the skills needs are, how those skills will be delivered across the region and by who, this will drive the adaptation of the skills offer in HE, FE and training providers to meet the needs as prescribed in the Industrial strategy, Prosperity for All Strategy and meeting Industry 4.0 requirements. The Covid-19 pandemic has clearly identified how we can work differently in delivering skills training and lessons learnt should be built on and enhanced to ensure that we can provide the best offer of training and upskilling for all across the region.

## 2.9 Scope for Investment

The investment by the Governments to enable the Skills and Talent programme and the projects that will developed through the programme will be the opportunity to transform the delivery of skills in the SBCR through the development of a partnership that will introduce a step change for the future workforce in the region. The management of change and the commitment by stakeholders in the way that skills training is delivered in the region will be a key measure of success for the programme. This will be achieved by enhancing the strong relationship that the RLSP has with training providers in the region to bring forth the new skills and new ways of delivering skills training to meet the changing needs of businesses across the region.



**Figure 1 – the route for investment to transform the skills landscape**

Table 6 below highlights how the Skills and Talent programme through City Deal funding will support the key areas through partnership working with existing projects and organisations. For the programme to succeed there has to be a strong complimentary employability and skills programme delivered in parallel to develop a more integrated approach to prioritising the skills landscape for the region.

| Swansea Bay City Region Commitment                                                                                                                                                                                                                                                                                                                                                           | UK and Welsh Government Commitment                                                                                                                                                                                                                                    |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Investing in Skills infrastructure <ul style="list-style-type: none"> <li>• Develop City Deal wide intelligence into skills gaps.</li> <li>• Publish a report into new skills training to meet industry and project needs linked to the City Deal.</li> </ul>                                                                                                                                | Provision of funding to support the development of the skills gaps report.                                                                                                                                                                                            |
| Support for learners <ul style="list-style-type: none"> <li>• Encourage participation with all learners from schools, FE and HE to raise the profile of opportunities in the city deal.</li> <li>• Encourage participation and involvement of young people within the skills gap analysis to understand their needs and any barriers.</li> </ul>                                             | Welsh Government through Careers Wales and Working Wales to support the development of links with schools. Work on this activity has already started with a pilot project in Carmarthenshire with a view to reviewing the activity to roll out to other county areas. |
| NEETs <ul style="list-style-type: none"> <li>• Ensure that training is developed for all and that the training is available to support people into or back into the workplace.</li> </ul>                                                                                                                                                                                                    | Working relationship with Welsh Government Departments to ensure that the opportunities are shared. Developing opportunities through the Kickstart programme that will encourage people to follow an apprenticeship programme.                                        |
| Apprenticeships <ul style="list-style-type: none"> <li>• Build upon the investment in apprenticeship by the Welsh Government and address the additional needs stated by employers and industry.</li> <li>• Work with projects to encourage the development of apprenticeship opportunities within the projects.</li> <li>• Identify new opportunities for higher apprenticeships.</li> </ul> | Welsh Government to support the development of Apprenticeship frameworks where they do not exist.                                                                                                                                                                     |

**Table 6 Regional and National Commitment**

The mapping of the City Deal skills gaps and analysis of the training requirements will consider the business needs; gender and equality imbalances of people taking up the courses; and the needs and availability of the existing and future workforce through re-training and increasing awareness of opportunities. As previously described work has been undertaken with project leads and stakeholders over the 18 months to clearly identify where the known skills gaps are, and work has also begun on what new skills are required that are not currently delivered or developed on the framework. The aim of the Skills and Talent programme is to work within 5 year time line periods which would account for the changing skills demands and enable the necessary skills to be developed as quickly as possible to meet the project needs. There will be a requirement to upskill the existing workforce in many areas including upskilling the teachers/lecturers who deliver the training and this work will be a priority within the first 3 years of the programme. At the same time the necessary frameworks for FE/HE and apprenticeships in the relevant areas will be developed and pilot projects will be implemented to deliver the training/upskilling.

The work with primary and secondary schools in the region to highlight opportunities available through the City Deal projects and develop clear pathways to help young people make the right choices in schools. This is progressing well with secondary schools submitting ideas of programmes

and curriculum developments aligned to the City Deal. The Skills and Talent programme will co-ordinate this with assistance from the 14-19 co-ordinators for the four encompassing counties. In addition, the RLSP have developed both a beginner's and an advanced learning programme for the City Deal which will be delivered as part of the Welsh Bacalaureate that can be used across all schools in the region.

The Skills and Talent programme team will work with ERQ the Regional Education Consortia and Local Education Authorities to support schools to drive forward the skills need for the region over the next 10 years particularly the new curriculum bringing together the project and industry needs and expertise to support schools in the new emerging areas.

To support the work already undertaken Appendix E details the mapping work of the existing provision of training courses delivered through Further and Higher Education and Apprenticeships in the region, there are over 2000 options being delivered within the five themes of the City Deal . Table 7 below highlight some of the potential key skills requirements already identified for each of the project business cases, this document is continually being added to as skills are identified. The list below highlights some of the key skills identified.

| Sector               | Skills                                                                                                                                                                   |
|----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Digital              | Basic IT skills<br>Cyber<br>Artificial Intelligence<br>Digital Forensics<br>Machine Learning<br>Robotics<br>Cloud technology<br>Creative skills in the use of technology |
| Construction         | SMART Housing<br>Solar, heat pumps, Smart controls, mechanical and electrical systems<br>Electrical Vehicles<br>Retrofit                                                 |
| Energy               | Engineering – specialised for offshore wind, tidal energy, marine energy                                                                                                 |
| Health and Wellbeing | Digital technology in health care<br>Digital assimilation<br>Connectivity with community support workers<br>Digital consultation from hospitals and GP surgeries.        |
| Smart manufacturing  | New ways of manufacturing utilising robotics and new Digital technologies.                                                                                               |

**Table 7 Key Skills identified to date**

## 2.10 Main Benefits Criteria

The impact table 8 below shows the wider benefits which can be achieved from the City Deal. To maximise these opportunities the RLSP will, during the lifetime of the project:

- Align priorities and skill supply at all levels to the City Deal and this work will continue throughout the City Deal lifespan.
- Support the region in taking increased responsibility for meeting UK and Welsh Governments' skills targets, challenging the HE, FE and training providers to continue designing their curricula, work placements, adult education and access courses around the opportunities of the City Deal. This will result in a flow of STEM educated young people taking up apprenticeships and graduate employment opportunities.
- Empower residents across the region to fully access and benefit from the opportunities of the Deal through working with local authorities, schools, businesses and any relevant groups.
- Maximise local benefit where local businesses are most involved – procure local services where possible.



- Generating a higher skilled workforce for the future.
- Developing opportunities for all to follow a career path and gain the necessary qualifications to create a better quality of life for all.

| Investment Objective                                                                                                                                                                                                                                                                                             | Main Benefits Criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Objective 1:</b><br/>To directly deliver at least 2,200 additional skills and support the development of around 14,000 individuals with higher skills Level 2 -8) within 10 years..</p>                                                                                                                    | <p><b>Qualitative</b><br/>Higher skilled individuals for the jobs created through the City Deal projects.</p> <p><b>Quantifiable</b><br/>Increased number of higher skilled individuals from the baseline of 2019 statistics.</p> <p><b>Cash releasing</b><br/>Net income</p> <p><b>Non-cash releasing</b><br/>Contributes to increase in employment opportunities for local people.</p>                                                                                                                                                                                                                                                                                                                              |
| <p><b>Objective 2:</b><br/>To create 3,000 new apprenticeship opportunities to include level 3 through to Degree apprenticeships.</p>                                                                                                                                                                            | <p><b>Qualitative</b><br/>Opportunities for all to achieve a qualification and skills for a career pathway in a vocational occupation.</p> <p><b>Quantifiable</b><br/>Number of apprenticeships offered through the construction phase of the projects, higher apprenticeships in the specific sectors.</p> <p><b>Cash releasing</b><br/>Net income</p> <p><b>Non-cash releasing</b><br/>Contributes to increase employment and training/upskilling opportunities for local people.</p>                                                                                                                                                                                                                               |
| <p><b>Objective 3:</b><br/>To create at least 2 Centres of Best Practice within specific sector(s) to develop the region as being the best area for skills development.</p>                                                                                                                                      | <p><b>Qualitative</b><br/>Developing a Centre that specialises in the development of fit for purpose skills within a particular sector(s).</p> <p><b>Quantifiable</b><br/>The number of Centres created in the region to deliver specific sector skills.</p> <p><b>Cash releasing</b><br/>Net income</p> <p><b>Non-cash releasing</b><br/>The development of the right skills regionally to meet the needs of the City Deal projects will retain the skilled individuals to work within the City Deal projects.</p>                                                                                                                                                                                                   |
| <p><b>Objective 4:</b><br/>To create a clear pathway from school education through FE and HE in the key areas of digital, energy, smart manufacturing and life-science and wellbeing, through engagement and development work with schools increasing the number of pupils following STEM subjects in FE/HE.</p> | <p><b>Qualitative</b><br/>Inspiring the next generation to take the correct path in their career will be the focus of the engagement with schools. Developing the pathway for children from primary school through to secondary school through the introduction of new vocational training opportunities specialist workshops etc.</p> <p><b>Quantifiable</b><br/>Increased number of children following STEM subjects and/or vocational courses.</p> <p><b>Cash releasing</b><br/>Net-income</p> <p><b>Non-cash releasing</b><br/>Engagement with children at a young age and incorporating the regional needs within the new school curriculum of all schools will develop the future workforce for the region.</p> |
| <p><b>Objective 5:</b><br/>To deliver 20 new/updated course frameworks that meet industry training needs</p>                                                                                                                                                                                                     | <p><b>Qualitative</b><br/>Developing new and updating existing frameworks to meet the needs of the projects and employers across the region.</p> <p><b>Quantifiable</b><br/>The number of new frameworks developed, or existing frameworks updated</p> <p><b>Cash releasing</b><br/>Net income.</p> <p><b>Non-cash releasing</b><br/>Additional benefit for employers with frameworks that meet their business needs.</p>                                                                                                                                                                                                                                                                                             |

**Table 8 Main Benefits Criteria.**

## 2.12 Risks and counter measures

Risk management is an integral feature of the Skills and Talent programme and the programme register Appendix F covers all aspects of the business case – Strategic, Economic, Commercial, Financial and Management. The RLSP Board are ultimately responsible for managing all aspects of the programme and the project and risk plans will be reviewed on an ongoing basis by the Programme Board with any new risks escalated to the RLSP Board where actions will be implemented.

The strategic risks associated with the project are shown in table 9 below together with mitigation measures:

| <b>Strategic Risk</b>                                                                                                               | <b>Mitigation Measure</b>                                                                                                                                                                                                                 |
|-------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Development</b>                                                                                                                  |                                                                                                                                                                                                                                           |
| <b>City Deal Funding not secured – without this funding the programme will not be implemented.</b>                                  | The project funding has been identified and the project will work with the Swansea Bay City Deal programme office to ensure that the grant funding is available in a timely manner.                                                       |
| <b>Lack of data to develop robust Economic Case for the programme that will meet the requirements of the HM Treasury Green Book</b> | Working with all of the project leads and all stakeholders to gather robust evidence to support the Economic Case utilising information already gathered by the RLSP regarding gaps in provision together with Industry evidence of need. |
| <b>Programme Timescale slippage</b>                                                                                                 | Slippage of the project would impact on the delivery of training to meet the needs of the City Deal projects. It is intended to regularly monitor progress to limit any slippage in the timescale.                                        |
| <b>Business Case</b>                                                                                                                |                                                                                                                                                                                                                                           |
| <b>Length of time for approval of the business case</b>                                                                             | Engage with stakeholders to ensure approval of the business case is processed in the shortest time possible.                                                                                                                              |
| <b>Lack of resources /Insufficient capacity to Project manage the programme and to deliver the stated activities and results</b>    | An identified team has been included within the Business case to manage the programme and to develop new areas of working with schools.                                                                                                   |
| <b>Financial</b>                                                                                                                    |                                                                                                                                                                                                                                           |
| <b>Organisational and financial risks associated with taking on this project</b>                                                    | The nature of the organisations involved in the Partnership is such that relatively high levels of knowledge, skills and experience in financial management and probity can be clearly demonstrated.                                      |
| <b>The programme does not secure sufficient</b>                                                                                     | <ul style="list-style-type: none"> <li>The RLSP Board provides strong leadership with all partners in place.</li> </ul>                                                                                                                   |

|                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>partner/stakeholder buy in.</b>                                                           | <ul style="list-style-type: none"> <li>• Strong working relationship already exists with education sector.</li> <li>• Key private sector cluster groups involvement in the development of the projects</li> <li>• Progress report to every Board meeting.</li> </ul>                                                                                                                                                                                                           |
| <b>Delivery</b>                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Failure to increase the number of skilled individuals.</b>                                | The intention is to increase the number of skilled people across the region and particularly higher skilled and the programme has been designed to ensure that the correct skills are developed to meet the needs of the projects and employers across the region. The Skills Solution group will work to identify the gaps and develop the projects to deliver the solutions.                                                                                                 |
| <b>Lead times in the development of a new skills offer in the region.</b>                    | Identifying the key skills and ensuring that Welsh Government agree to include the courses within future provision within FE and apprenticeship.                                                                                                                                                                                                                                                                                                                               |
| <b>Failure to engage with training providers to deliver the necessary skills development</b> | <p>The training providers are all engaged with the programme and sit on the Provider group and all will have the opportunity to work with the programme to deliver the identified skills across the region. If FE or HE institutions do not engage with the delivery recommendations alternative options would be considered to procure services from other delivery partners.</p> <p>Early engagement with all key stakeholders with agreed delivery programme timetable.</p> |

**Table 9 – Strategic Risk and Mitigation**

### 2.13 Constraints

In developing the programme including the investment and proposed activities, consideration has been given to a number of constraints specifically that all activities would need to either be self-financing or be included within the Welsh Government portfolio of courses for further Education in the future. The impact of Covid-19 has introduced constraints and the impact will remain for some time regarding the way training is delivered and new job opportunities that will exist post Covid-19 that may not have been considered as career paths by individuals previously.

The project will be subject to the following constraints:

- Time delay in the approval of the programme business case.
- UK and Welsh Government Policy in relation to training and education.
- Support from the FE and HE sector to implement the changes within their delivery mechanism.
- Securing funding from the private sector.
- Ensuring that the capacity is present to meet the aims and objectives of the Programme.
- Covid-19 restrictions on the delivery of training and education.

### 2.14 Dependencies

The future success of the Skills and Talent programme will depend on the close alignment of all the City Deal projects and integration with all the existing delivery models and the development of a viable and sustainable pipeline of individuals with the right skills to support the City Deal projects and the opportunities that are being made available therein.

In order to succeed in the approach there has to be a close alignment with all the local and national stakeholders to:

- ✓ Continuously review and align skills needs and integrate within the regional Skills Plans.
- ✓ Review skills needs as a result of Covid-19 pandemic.
- ✓ Work with skills partners and employers through workshops; meetings and surveys to understand changing demands.
- ✓ Work with the RLSP on the Labour Market Information (LMI) to monitor any changes across the region.
- ✓ Work with the existing and new City Deal projects to monitor any new skills needs.

The unique nature of the projects is a key driver of the City Deal and this allows for each to work independently with the success of one not completely dependent on the success of another. Key to the success of the City Deal programme and the increase in economic activity, productivity and GVA of the region is an improved skills base across all levels and employment sectors. Improving the skills base is crucial in creating a region that is able to; compete with other areas of the UK and attract talent, whilst also retaining the talent that already exists in the colleges; universities; workplaces and in the schools where the employees of the future need to be nurtured and informed of current and future employment opportunities in the region.

It is therefore evident that the projects will be supported and further strengthened by one another. With this flexibility the projects will be in a favourable position to identify opportunities for collaboration therefore creating synergies as opportunities arise, this will promote the free movement of people, the growth of businesses and the attraction of inward investment.

The development of a City Deal for Swansea Bay comes at an important time, as employment and skills support are undergoing change with competing demands for different skills and greater flexibility in training called for. The Covid-19 pandemic is considered to be one of the most significant global events in recent history and its' impact on the labour market and skills will be demonstrated in the Business Case.

The City Deal gives the region a once in a lifetime opportunity to shape the training offered and delivered across the region to ensure that there are opportunities for all to increase their attainment levels and the ability to get a well-paid job in the region. The development of clear pathways from key stage 1 to key stage 4 and opportunities to retrain while in work will be the key to the success of the programme.

## 3.0 Economic Case

### 3.1 Overview

This section of the Business Case assesses the overall economic costs and benefits of the programme in line with the HM Treasury's Green Book. The section sets out the of those options, the critical success factors and the identification of the long and short list and the appraisal of the short list through economic assessment.

The Skills and Talent Programme is a unique programme within the suite of the City Deal projects that will deliver a skills training solution offering the best value for money and maximum opportunity for the widest range of individuals across the region. A skilled workforce was identified by the projects as being a significant success factor and dependency for delivering the aims of the SBCD portfolio. The programme will deliver a tailored, sectoral model of engagement involving partnerships with employers, industry bodies, schools, colleges, universities and training providers working together to transform the skills system.

### 3.2 Evidence of demand for the Programme

This section provides information and evidence which supports the strategic case for the Skills and Talent Programme.

The successful delivery of the SBCD ambitions and regional economic advancement is dependent on having the right people with the right skills at the right time. Building on existing strengths and established Regional Learning and Skills Partnership, the programme will focus skills development across all levels (level 2 – 8) and to drive change across the educational landscape of the SBCR.

To support and achieve the ambitions of the Swansea Bay City deal having the 'right people with the right skills at the right time' is essential to the success of the region. The programme will look to build upon the existing established structures of the Regional Learning and Skills Partnership (RLSP) to focus the development of skills across all levels and to drive change across the educational landscape of the City Region.

The region needs to capitalise on previous and current opportunities that have potential to change the economic prosperity of the people and businesses in the SBCR. The region suffers with areas of high unemployment, low skills and high rates of economic inactivity. There is a risk that unless intervention is immediate and co-ordinated the region risks being 'left behind' and to miss the opportunities that are presented. The economy and workforce of the region has been impacted even further with the Covid-19 pandemic Furlough rates have been significant and there is an increased risk of redundancies and increased unemployment following the end of Government intervention. The Skills and Talent programme aims to address some of the immediate needs to upskill people into new industries, many of the opportunities have been created as a result of the pandemic.

The SBCR continues to perform poorly in productivity and continues to lag behind the UK average in GVA terms. Nominal smoothed GVA per filled job in the SBCR was 79.5 as of 2018, compared with an indexed value of 100 for the UK.<sup>32</sup> Although there has been a positive uplift in relation to economic activity and employment within the city region there is little to suggest that this new employment is having any significant effect on the productivity and overall competitiveness of the region with a risk of trapping individuals into a cycle of low skill, low pay employment.


Human capital much like financial capital flows to areas where returns are greatest and currently the region suffers from a loss of some of its higher skilled individuals to other locations both within Wales, across the UK and Internationally. This can be evidenced by reports undertaken by WISERD and the lower numbers of higher skilled (NVQ level 4+) residents compared to key economic areas across the UK. An example of where this has happened in our region is when the Murco refinery

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<sup>32</sup><https://www.ons.gov.uk/economy/economicoutputandproductivity/productivitymeasures/datasets/subregionalproductivitylabourproductivitygvpaperhourworkedandgvpaperfilledjobindicesbycityregion>

closed in Pembrokeshire and the Engineers moved away to other regions and Pembrokeshire lost those skills. When new investors were then attracted to Pembrokeshire there was a difficulty in recruiting people with the right skills to support that investment, this continues to be a problem in the region with many skilled individuals moving away from the region to higher paid opportunities elsewhere in the UK.

The continued failure to improve the relative economic performance is a strong indicator that the current structure of the city region economy is no longer fit for purpose and in need of intervention. The Skills and Talent programme must increase the skills level of individuals in the emerging sectors and address these areas at an early stage to develop the talent pipeline and to support employers to attract the 'right people with the right skills at the right time' to minimise the potential risk of displacement and ensure sustainability and employment for citizens of the city region. Table 10 below describes how to create that High skilled workforce that is required in the region in order to meet the City Deal projects.

|                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                   |
|------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Demand</i>                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                   |
|  | <p><b>Skills Shortages</b></p> <ul style="list-style-type: none"> <li>• High wage/high productivity good jobs</li> <li>• Low local educational attainment and skills</li> <li>• High share of skilled employees needed</li> <li>• High vacancy rates for skilled jobs</li> <li>• In-migration of skilled workers</li> </ul> <p><b>DEVELOP RELEVANT SKILLS</b></p>                                          | <p><b>High Skills Equilibrium</b></p> <ul style="list-style-type: none"> <li>• High wage/high productivity good jobs</li> <li>• High educational attainment and skills</li> <li>• High employment &amp; low unemployment</li> <li>• High share of skilled jobs of good quality</li> <li>• In- migration of skilled workers</li> </ul> <p><b>MAINTAIN POSITION DYNAMICALLY</b></p> |
|                                                                                    | <p><b>Low Skills Equilibrium</b></p> <ul style="list-style-type: none"> <li>• Low wage/low productivity poor jobs</li> <li>• Low local educational attainment and skills</li> <li>• Low share of skilled workers needed</li> <li>• May be mass production employment and/or seasonal employment</li> <li>• Out-migration of the more skilled</li> </ul> <p><b>DEVELOP SKILLS AND MORE SKILLED JOBS</b></p> | <p><b>Skills Surplus</b></p> <ul style="list-style-type: none"> <li>• Low wages/low productivity poor jobs</li> <li>• High local educational attainment and skills</li> <li>• Low share of high skilled jobs</li> <li>• High unemployment and under-employment</li> <li>• Out-migration</li> </ul> <p><b>DEVELOP MORE SKILLED JOBS</b></p>                                        |
| <i>Supply</i>                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                   |

**Table 10 Source: Low skill traps in sectors and geographies: underlying factors and means of escape, Anne Green, Institute for Employment Research, University of Warwick**

To respond to this challenge, the Skills and Talent Programme approach is to deliver additional skills provision in support of the 8 City Deal Projects, undertake wider skills engagement work, develop sector-specific Centres of Excellence and create a pathway for higher skills training. The 8 City Deal Projects are focussed on 5 themes Digital, Energy, Construction, Life-sciences and Smart Manufacturing. In order to assess the scale of demand and requirement for additional skill provisions in these sectors, the Programme sponsors, the Regional Learning and Skills Partnership has considered existing skills information in the region. Whilst existing data does not currently specify the regional skills deficit individually for these sectors, ONS data of skills levels attained as at 2019 (source: Nomis March 2021) clearly demonstrates the overall scale of the deficit. Applying the percentage differentials used in the data, and when adjusted for population size, the region has a skills gap of over 49,000 skills across all levels and sectors when compared with the GB average. This is even more pronounced at higher skills levels with a 20,386 shortfall at NVQ Level 4+ and 14,214 at NVQ Level 3+, totalling 34,600 higher skills' deficit.

Out of total regional employment numbers of 273,000, the 4 City Deal sectors currently account for c.52% of regional employment (Economic Acceleration 50,250; Energy 26,700; Life-sciences 49,000 and Smart Manufacturing 16,500 – Source: EMSI 2020). On a strict pro-rata basis, this would indicate there is a c. 25,000 skills deficit across these sectors. However, this number needs to be adjusted recognising that vocational skills are primarily chosen at the higher skills levels. The RLSP has overall concluded that a sensible stretch target is that the region should aim to create an additional c.17,000 skills/apprenticeships (52% of the higher skills levels total deficit of 34,600 skills) as a middle to long term planning objective to close the current regional skills deficit within the 5 Key Themes.

Equally however, it has to be recognised that just providing new courses at the higher skills levels is unlikely to be effective over the 5-year delivery and 10 year monitoring period as each individual can only progress one level at a time and the process from Level 2 to 6 takes several years as a minimum. Recognising this inevitable time lag, the Programme needs to support new technical courses across skills levels, promote the initiation of an increased STEM ‘skills pipeline’ from school level and also enable technical upskilling across the existing workforce through Centres of Excellence facilities.

For Programme planning and costing purposes therefore, the RLSP has developed the following breakdown of the required 17,000 skills/apprenticeships across skill levels,

| <b>Course Places by Skill Level</b>  |               |
|--------------------------------------|---------------|
| Level 2                              | 2,800         |
| Level 3                              | 2,800         |
| Level 4                              | 4,200         |
| Level 5                              | 2,800         |
| Level 6-8                            | 1,400         |
| <b>Total</b>                         | <b>14,000</b> |
| <b>Apprenticeships (level 3 – 6)</b> | <b>3,000</b>  |

To assess the additional skills requirements for the 8 City Deal Projects alone, the RLSP has undertaken a series of discussions and skills workshops with each of the projects. However, the projects overall have not yet reached a sufficient level of development to refine their skills requirements into detailed numbers, and due to their innovative nature, by definition, for some the scope and capability of future skills needs is very difficult to fully foresee. Whilst therefore it is evident from the Programme Business Cases that significant new skills development places and courses will need to be created within the 5 Key Themes to enable the projects to deliver their projected outcomes, numbers shown are only indicative at this time.

The projected total new job creation across all the City Deal projects is in excess of 9,000. However clearly not all 9,000 will require new skills training and a key criterion of this Skills and Talent Programme is that it will only contribute to the development of new skills courses and not duplicate existing provision. Based on the current City Deal Projects’ information, the RLSP’s current estimate is there will be a requirement for at least 2,200 jobs/skills which are not currently supported by existing courses in the region, broken down into skills levels as follows,



**Course Places by Skill  
Level**

|                                      |              |
|--------------------------------------|--------------|
| Level 2                              | 455          |
| Level 3                              | 455          |
| Level 4                              | 683          |
| Level 5                              | 455          |
| Level 6-8                            | 228          |
| <b>Total</b>                         | <b>2,276</b> |
| <b>Apprenticeships (level 3 – 6)</b> | <b>3,000</b> |

**3.3 Investment Objectives.**

The following Investment Objectives for the programme were discussed and agreed:

| Investment Objective                                                                                                                                                                                                                                                                                             | Main Benefits Criteria                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Objective 1:</b><br/>To directly deliver at least 2,200 additional skills and support the development of around 14,000 individuals with higher skills Level 2 -8) within 10 years..</p>                                                                                                                    | <p><b>Qualitative</b><br/>Higher skilled individuals for the jobs created through the City Deal projects.</p> <p><b>Quantifiable</b><br/>Increased number of higher skilled individuals from the baseline of 2019 statistics.</p> <p><b>Cash releasing</b><br/>Net income</p> <p><b>Non-cash releasing</b><br/>Contributes to increase in employment opportunities for local people.</p>                                                                                                                                                                                                                                                                                                                              |
| <p><b>Objective 2:</b><br/>To create 3,000 new apprenticeship opportunities to include level 3 through to Degree apprenticeships.</p>                                                                                                                                                                            | <p><b>Qualitative</b><br/>Opportunities for all to achieve a qualification and skills for a career pathway in a vocational occupation.</p> <p><b>Quantifiable</b><br/>Number of apprenticeships offered through the construction phase of the projects, higher apprenticeships in the specific sectors.</p> <p><b>Cash releasing</b><br/>Net income</p> <p><b>Non-cash releasing</b><br/>Contributes to increase employment and training/upskilling opportunities for local people.</p>                                                                                                                                                                                                                               |
| <p><b>Objective 3:</b><br/>To create at least 2 Centres of Best Practice within specific sector(s) to develop the region as being the best area for skills development.</p>                                                                                                                                      | <p><b>Qualitative</b><br/>Developing a Centre that specialises in the development of fit for purpose skills within a particular sector(s).</p> <p><b>Quantifiable</b><br/>The number of Centres created in the region to deliver specific sector skills.</p> <p><b>Cash releasing</b><br/>Net income</p> <p><b>Non-cash releasing</b><br/>The development of the right skills regionally to meet the needs of the City Deal projects will retain the skilled individuals to work within the City Deal projects.</p>                                                                                                                                                                                                   |
| <p><b>Objective 4:</b><br/>To create a clear pathway from school education through FE and HE in the key areas of digital, energy, smart manufacturing and life-science and wellbeing, through engagement and development work with schools increasing the number of pupils following STEM subjects in FE/HE.</p> | <p><b>Qualitative</b><br/>Inspiring the next generation to take the correct path in their career will be the focus of the engagement with schools. Developing the pathway for children from primary school through to secondary school through the introduction of new vocational training opportunities specialist workshops etc.</p> <p><b>Quantifiable</b><br/>Increased number of children following STEM subjects and/or vocational courses.</p> <p><b>Cash releasing</b><br/>Net-income</p> <p><b>Non-cash releasing</b><br/>Engagement with children at a young age and incorporating the regional needs within the new school curriculum of all schools will develop the future workforce for the region.</p> |
| <p><b>Objective 5:</b><br/>To deliver 20 new/updated course frameworks that meet industry training needs</p>                                                                                                                                                                                                     | <p><b>Qualitative</b><br/>Developing new and updating existing frameworks to meet the needs of the projects and employers across the region.</p> <p><b>Quantifiable</b><br/>The number of new frameworks developed, or existing frameworks updated</p> <p><b>Cash releasing</b><br/>Net income.</p> <p><b>Non-cash releasing</b><br/>Additional benefit for employers with frameworks that meet their business needs.</p>                                                                                                                                                                                                                                                                                             |

**Table 11 Investment Objectives.**

### 3.4 Critical Success Factors

The critical success factors of the programme will be measured across the next 10 years and will be achieved by bringing together the stakeholders to deliver the skilled workforce, without which the individual projects would not necessarily succeed. The aim is to increase productivity and earnings and reduce the gap between lowest and highest earners and the number of people without any or below level 2 qualifications.

These were as follows

| Critical Success Factors         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Strategic Fit                    | <ul style="list-style-type: none"> <li>• Strategically aligned to the Swansea Bay City Deal</li> <li>• Strategically aligned to the Welsh Government Education and Skills strategy and Wellbeing and Future Generations Act.</li> <li>• Delivers the future skills requirements for the region and the skills needs of the 8 projects that make up the City Deal.</li> <li>• Increasing the number of people with higher level qualifications</li> <li>• Retraining people in the region to give the opportunities to all.</li> <li>• Developing resilient learners with a life-long attitude to learning.</li> </ul> |
| Value for Money                  | <ul style="list-style-type: none"> <li>• Reduce the duplication that could occur if all 8 City Deal projects managed their own skills programme by bringing together the skills requirements across the region.</li> <li>• The programme offers Value for money and avoids duplication.</li> <li>• Achieve a viable cost benefit ration compared to other options</li> </ul>                                                                                                                                                                                                                                          |
| Supplier capacity and capability | <ul style="list-style-type: none"> <li>• Training providers from across the region are keen to work together to achieve the aims of the programme.</li> <li>• Reduce costs by delivering skills in a way that meet the needs of all employers.</li> </ul>                                                                                                                                                                                                                                                                                                                                                             |
| Affordability                    | <ul style="list-style-type: none"> <li>• Demonstrate the affordability of the Programme within the defined funding arrangements from the City Deal, Public and Private Sector</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Achievability                    | <ul style="list-style-type: none"> <li>• Delivery of option is achievable within the timescale, available funding and capacity.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

**Table 12 Critical Success Factors**

The process of identifying the critical success factors was undertaken through initial workshops with a number of key stakeholders followed by a number of key meetings to discuss the aims and needs of the programme and agreement of the critical success factors. The following Critical success factors were agreed and were ratified at a Workshop of all the training providers and project leads held on the 23<sup>rd</sup> September 2020.

### 3.5 Long-listed options

The following long list options were identified for the scope of the programme and agreed by the Senior Programme Team:

1. Do Nothing – City Deal skills needs supported only by existing programmes/providers
2. Do Minimum – create a dedicated Skills Programme team to enhance employers and schools' engagement with City Deal Projects at an estimated cost of £1m
3. City Deal Skills Fund – create Skills Fund from City Deal resources available to City Deal projects only at an estimated cost of £8m

4. Supported City Deal Skills Fund - create a dedicated Skills Programme team to enhance employers and schools' engagement and manage awards from the City Deal Skills Fund to City Deal Projects only at an estimated cost of £10m
5. Targeted Skills Delivery – create RLSP project team and leverage public/private funding to address all City Deal Projects' skills gaps at an estimated cost of £30m
6. City Deal Ambitious - deliver a full suite of skills training to meet regional needs of all four themes of the City Deal at an estimated cost of £153m
7. Do Maximum – deliver a full suite of skills training to redress the entire regional skills gap at an estimated cost of £518m.

The long list options chosen are regarded as a reasonable and expansive list of options that could theoretically achieve the Programme's objectives. These options were considered by the Senior Project Team on the 12<sup>th</sup> April 2021. The long and short list of options were approved by the RLSP Board on the 14<sup>th</sup> April, 2021

1. Do Nothing will be carried forward as the status quo reference option
2. Do Minimum was rejected as it would not address the known skills deficit thereby endangering delivery of City Deal job creation targets.
3. City Deal Skills Fund was seen as valuable in providing extra funding for necessary new/additional skills training. However, it would not address Investment Objectives 3-5 and was therefore rejected
4. Supported City Deal Skills Fund was seen as potentially able to address all 5 Investment Objectives and will be carried forward
5. Targeted Skills Delivery was seen as able to address all Investment Objectives and potentially to lever in significant public and private sector match funding, further increasing the impact of the Programme. This option was therefore carried forward
6. City Deal Ambitious was seen as desirable and able to provide greater regional impact, potentially achieving outputs even beyond those contained in the Investment Objectives. This option was therefore carried forward.

Do Maximum was seen as highly desirable in that if successful it could address the entire known regional skills gap. However, the financial resources required would be unaffordable and the outputs would be well beyond the scope of the City Deal Programme. This option was therefore rejected.

### 3.6 Short List Options

The following 4 Options were therefore selected to go forward into the shortlist appraisal,

**Option 1** – Do Nothing

**Option 2** – Supported City Deal Skills Fund

**Option 3** – Targeted Skills Delivery

**Option 4** – City Deal Ambitious

### **3.7 Short List Options Appraisal**

A Senior Team Options workshop was held, the attendees were asked to consider the relative merits and disadvantages of each option against both the investment objectives and critical success factors. Attendees assessed the options on the themes of scope, service solution, service delivery, implementation and funding as well as provide general comments around the practical and strategic aspects.

#### **Scope**

The scope of each Option is described below,

#### **Option 1 – Do Nothing**

To continue to deliver training through existing methods, with no additional funding. The FE, HE and training providers would offer the existing frameworks with no update or development of new opportunities. The RLSP would continue to gather data and do a minimal amount of work with schools.

#### **Option 2 – Supported City Deal Skills Fund**

A Skills Programme team would be recruited to enhance the employer and project engagement to identify the skills gaps and work with schools to share the opportunities that would be created through the City Deal projects. The eight Projects of the City Deal would deliver their own training solutions independently, bidding into the City Deal Skills Fund as required

#### **Option 3 – Targeted Skills Delivery**

The RLSP would explore the skills needs of all 8 projects and identify the gaps. A dedicated Skills Programme team would be appointed who would work with the City Deal Project leads, the wider employers and the training leads to develop an action plan to deliver the appropriate solutions to the skills gaps identified and using City Deal Programme funds to leverage public and private sector match funding. The solutions would be delivered as Skills Programme projects which would be developed by the Skills Programme team with key partners. The Programme team would work with schools and all education and training providers to highlight the skills needs and co-ordinate the future opportunities from the City Deal projects.

#### **Option 4 – City Deal Ambitious**

This option would allow for the delivery of a full suite of skills training to meet the needs of all industry sectors within the five themes of the City Deal – Construction, Energy, Digital, Smart Manufacturing and Life Science. The RLSP would explore the skills needs of all these sectors and identify the gaps. An enhanced dedicated Skills Programme team would be appointed who would work with public bodies, wider employers and the training leads to develop an action plan to deliver the appropriate solutions to the skills gaps identified and using City Deal Programme funds to leverage public and private sector match funding. The Skills Programme team would work intensively with all schools, colleges and universities to raise the awareness of and develop new skills programmes to address the sector gaps.

#### **Analysis**

- Option 1 – The Do-Nothing Option would not contribute to the achievement of any of the Investment Objectives.
- Option 2 – Within the scope of Option 2, there would be organisational support for the development of apprenticeships and school pathways but the Programme would lack cohesion and fail to deliver a strategic solution.
- Option 3 – Successful delivery of the Targeted Skills Delivery Option would fully deliver meet 4 of the 5 Investment Objectives and achieve all Critical Success Factors.

- Option 4 – The City Deal Ambitious Option would also meet 4 of the 5 Investment Objectives but struggle for affordability and raise serious doubts regarding achievability and capacity due to the scale of deliverables.

### Results

|                                 | Option 1   |        |       |       |       | Option 2                        |        |        |       |       | Option 3                 |       |        |       |       | Option 4            |        |        |       |        |
|---------------------------------|------------|--------|-------|-------|-------|---------------------------------|--------|--------|-------|-------|--------------------------|-------|--------|-------|-------|---------------------|--------|--------|-------|--------|
| <b>Scope</b>                    | Do Nothing |        |       |       |       | Supported City Deal Skills Fund |        |        |       |       | Targeted Skills Delivery |       |        |       |       | City Deal Ambitious |        |        |       |        |
| <b>Investment objectives</b>    | 1          | 2      | 3     | 4     | 5     | 1                               | 2      | 3      | 4     | 5     | 1                        | 2     | 3      | 4     | 5     | 1                   | 2      | 3      | 4     | 5      |
|                                 | Red        | Red    | Red   | Red   | Red   | Green                           | Red    | Yellow | Red   | Red   | Green                    | Green | Yellow | Green | Green | Green               | Green  | Yellow | Green | Green  |
| <b>Critical Success Factors</b> | 1          | 2      | 3     | 4     | 5     | 1                               | 2      | 3      | 4     | 5     | 1                        | 2     | 3      | 4     | 5     | 1                   | 2      | 3      | 4     | 5      |
|                                 | Red        | Yellow | Green | Green | Green | Yellow                          | Yellow | Green  | Green | Green | Green                    | Green | Green  | Green | Green | Green               | Yellow | Yellow | Red   | Yellow |

### Service Solution

The service solution for each option is shown below:

#### Option 1

No change to the existing skills and training provision via the colleges, universities and training providers across the region. Engagement with schools would continue as is via the RLSP but no specific projects would be developed, or City Deal funding made available.

#### Option 2

Engage a dedicated Skills Programme team at an estimated cost of £1M to engage with employers and project engagement to identify the skills gaps and work with schools to share the opportunities that would be created through the City Deal projects at an estimated cost of £500k. Develop a Co-ordinated Action Plan to create 2 Centres for Excellence across the City Deal themes supported by match funding of £500k. Create an £8M City Deal Skills Fund with suitable award criteria and invite applications for training funding to support the requirements of the 8 City Deal projects.

#### Option 3

Identify the skills needs and the new qualifications that require to be developed and piloted throughout the region to support the eight City Deal Projects in the 5 key themes of Digital, Energy, Construction, Life science & wellbeing and manufacturing. Engage a dedicated Skills Programme team to engage with employers and project engagement to identify the skills gaps at an estimated cost of £1M. Work with schools to share the opportunities that would be created through the City Deal projects and support the development by schools of higher skills pathways, with funding of £500k. Develop an action plan to deliver the appropriate solutions to the skills gaps identified and using City Deal Programme funds (£10m) to leverage public and private sector match funding/contribution5 to create a £28M total value Skills Fund for City Deal Projects. The solutions would be delivered as Skills Programme projects which would be developed by the Skills Programme team working with the City Deal Projects and stakeholders and with key partners. Develop a Co-ordinated Action Plan to create at least 2 Centres for Excellence across the City Deal themes supported by funding of £500k.

#### Option 4

Identify the skills needs and the new qualifications that require to be developed and piloted throughout the region to address the key City Deal themes – Energy, Digital, construction, Smart Manufacturing and Life Science. Engage a dedicated Skills Programme team to engage with employers and project engagement to identify the skills gaps and work with schools to share the

opportunities that would be created throughout the region in the target sectors. Develop an action plan to deliver the appropriate solutions to the skills gaps identified and using City Deal Programme funds to leverage public and private sector match funding to create a £153M total value Skills Fund for the region. The solutions would be delivered as Skills Programme projects which would be developed by the Skills Programme team working with both the City Deal Projects and other regional projects within the Key Themes. Develop a Co-ordinated Action Plan to create at least 2 Centres for Excellence across the City Deal themes.

### Analysis

- Option 1 – This would bring no change to the status quo and maintain the current risk to the City Deal Project outcomes if the required new/additional skills are not provided.
- Option 2 – This Option would create investment in the development of future skills courses and support schools in creating appropriate pathways to the new skills and jobs being provided by the City Deal. However, the Programme, relying entirely on the scale and type of support bids from the individual City Deal projects would lack cohesion and the ability to ensure a sustainable response to the current skills deficit.
- Option 3 – The Targeted Skills Delivery Option would meet the need for a co-ordinated Programme of skills support across the other City Deal Projects to deliver the skills requirements of the City Deal projects in a managed and cost-effective way. It would also ensure the sustainability of this delivery by investing in the development of future skills courses and supporting schools in creating appropriate pathways to the new skills and jobs being provided by the City Deal. Support for a Centre of Excellence in any of the 5 key themes would also address the critical need for facilities to support upskilling of the existing workforce across the region.
- Option 4 – This Option would address the full sector skills deficit in the 5 key themes across the region, within a dedicated Programme. However, it would require a scale of financial and human resource which is currently unavailable and face serious practical difficulties in delivery, making it a high risk solution.

### Results

|                                 | <i>Option 1</i>   |       |       |       |       | <i>Option 2</i>                        |       |        |       |       | <i>Option 3</i>                 |       |        |       |       | <i>Option 4</i>            |        |        |       |       |
|---------------------------------|-------------------|-------|-------|-------|-------|----------------------------------------|-------|--------|-------|-------|---------------------------------|-------|--------|-------|-------|----------------------------|--------|--------|-------|-------|
| <b>Scope</b>                    | <i>Do Nothing</i> |       |       |       |       | <i>Supported City Deal Skills Fund</i> |       |        |       |       | <i>Targeted Skills Delivery</i> |       |        |       |       | <i>City Deal Ambitious</i> |        |        |       |       |
| <b>Investment objectives</b>    | 1                 | 2     | 3     | 4     | 5     | 1                                      | 2     | 3      | 4     | 5     | 1                               | 2     | 3      | 4     | 5     | 1                          | 2      | 3      | 4     | 5     |
|                                 | Red               | Red   | Red   | Red   | Red   | Green                                  | Red   | Yellow | Red   | Red   | Green                           | Green | Yellow | Green | Green | Green                      | Green  | Yellow | Green | Green |
| <b>Critical Success Factors</b> | 1                 | 2     | 3     | 4     | 5     | 1                                      | 2     | 3      | 4     | 5     | 1                               | 2     | 3      | 4     | 5     | 1                          | 2      | 3      | 4     | 5     |
|                                 | Red               | Green | Green | Green | Green | Yellow                                 | Green | Green  | Green | Green | Green                           | Green | Green  | Green | Green | Green                      | Yellow | Yellow | Red   | Green |

### **Service Delivery**

The service delivery solution for each option is shown below:

#### **Option 1**

Training delivered by individual Colleges, universities, training providers and schools as existing. RLSP continues to identify skills needs.

#### **Option 2**

City Deal Projects bid individually into the City Deal Skills Fund and source their training requirements from existing providers. Skills Programme team manage funding awards and engage with employers and schools to raise awareness of City Deal opportunities.

### Option 3

Single delivery model reducing duplication of effort and costs of delivering the training solutions for the City Deal projects. Co-ordinated programme delivered by the Skills Programme team working with the City Deal Projects directly and with key partners. Skills Programme team manage funding awards, engage with employers and schools to raise awareness of City Deal opportunities and develop at least 2 Centres of Excellence.

### Option 4

Single delivery model reducing duplication of effort and costs of delivering the training solutions for the City Deal Key Themes. Co-ordinated programme delivered by the Skills Programme team working with the City Deal Projects and regional employers and bodies representing the Key Themes. Skills Programme team manage funding awards, engage with employers and schools to raise awareness of City Deal opportunities and develop at least 2 Centres of Excellence.

#### Analysis

- Option 1 – This Option would bring no additional service delivery capacity to that which is already existing. Any new skills requirements would rely entirely on additional investment in new course development from existing providers from existing resources which are already fully committed to existing courses.
- Option 2 – This Option would put in place a fully resourced and dedicated team to engage with stakeholders and schools and with the capability to assess City Deal Projects’ individual applications for skills support. However, the opportunity would be lost to co-ordinate an integrated programme of skills delivery and leverage the additional financial and human resources of regional educational institutions.
- Option 3 – Whilst requiring greater co-ordination and the ability to secure the commitment of regional educational stakeholders, the Targeted Skills Delivery Option would put in place co-ordinated resource to deliver the skills requirements of the City Deal projects in a managed and cost-effective way.
- Option 4 – This Option would as with Option 3, deliver a co-ordinated and managed resource and potentially addressing the entire regional skills deficit within the 4 Key Themes of the City Deal. The scale of this Option however would be likely to demand additional regional capacity and resources beyond what is reasonably feasible to deliver within the Programme period.

#### Results

|                                 | <i>Option 1</i>   |        |       |       |       | <i>Option 2</i>                        |        |       |       |       | <i>Option 3</i>                 |       |       |       |       | <i>Option 4</i>            |        |        |     |       |
|---------------------------------|-------------------|--------|-------|-------|-------|----------------------------------------|--------|-------|-------|-------|---------------------------------|-------|-------|-------|-------|----------------------------|--------|--------|-----|-------|
| <i>Scope</i>                    | <i>Do Nothing</i> |        |       |       |       | <i>Supported City Deal Skills Fund</i> |        |       |       |       | <i>Targeted Skills Delivery</i> |       |       |       |       | <i>City Deal Ambitious</i> |        |        |     |       |
| <i>Investment objectives</i>    | 1                 | 2      | 3     | 4     | 5     | 1                                      | 2      | 3     | 4     | 5     | 1                               | 2     | 3     | 4     | 5     | 1                          | 2      | 3      | 4   | 5     |
| <i>Critical Success Factors</i> | 1                 | 2      | 3     | 4     | 5     | 1                                      | 2      | 3     | 4     | 5     | 1                               | 2     | 3     | 4     | 5     | 1                          | 2      | 3      | 4   | 5     |
|                                 | Red               | Yellow | Green | Green | Green | Yellow                                 | Yellow | Green | Green | Green | Green                           | Green | Green | Green | Green | Green                      | Yellow | Yellow | Red | Green |

### Implementation

The implementation solution for each option is shown below:

#### Option 1

No change to existing delivery



## Option 2

Dependent on individual City Deal Project timetables and when/if applications are made to the Skills Fund

## Option 3

Identify the skills needs across the 8 City Deal Projects and deliver through a co-ordinated Skills Fund Programme. Immediate start with delivery over 5 years and monitoring over 10 years.

## Option 4

Identify the skills needs across the five Key Themes and deliver the training needs for the priority sectors identified. Immediate start with delivery over 5 years and monitoring over 10 years.

### Analysis

- Option 1 – This Option would rely on the maintaining of existing service delivery thereby creating no delay in implementation.
- Option 2 – The Supported City Deal Skills Fund could commence implementation once the dedicated Project team could be recruited and put into operation (est. 6 months). Implementation of the £8M Projects Fund would rely entirely on the timing of applications being received from the individual Projects and the willingness of educational providers being prepared to deliver new courses on an ad hoc basis.
- Option 3 – This Option could commence implementation once the dedicated Project team could be recruited and put into operation (est. 6 months). Discussions with the Educational Provider group confirm there is sufficient capacity and commitment across the regional educational providers to deliver the £24M programme of projects within the required 5 year delivery timetable of the Programme.
- Option 4 – The City Deal Ambitious Option could commence implementation once the dedicated Project team could be recruited and put into operation (est. 6 months). However, the scale of new skills delivery proposed under this Option would be likely to incur significant time delays due to the major increase above current regional capacity required to deliver the Programme, potentially extending implementation over a much longer time period.

### Results

|                                 | <i>Option 1</i>   |       |       |       |       | <i>Option 2</i>                        |        |       |       |       | <i>Option 3</i>                 |       |        |       |       | <i>Option 4</i>            |       |        |       |       |
|---------------------------------|-------------------|-------|-------|-------|-------|----------------------------------------|--------|-------|-------|-------|---------------------------------|-------|--------|-------|-------|----------------------------|-------|--------|-------|-------|
| <b>Scope</b>                    | <i>Do Nothing</i> |       |       |       |       | <i>Supported City Deal Skills Fund</i> |        |       |       |       | <i>Targeted Skills Delivery</i> |       |        |       |       | <i>City Deal Ambitious</i> |       |        |       |       |
| <b>Investment objectives</b>    | 1                 | 2     | 3     | 4     | 5     | 1                                      | 2      | 3     | 4     | 5     | 1                               | 2     | 3      | 4     | 5     | 1                          | 2     | 3      | 4     | 5     |
|                                 | Red               | Red   | Red   | Red   | Red   | Red                                    | Red    | Red   | Red   | Red   | Green                           | Green | Yellow | Green | Green | Green                      | Green | Yellow | Green | Green |
| <b>Critical Success Factors</b> | 1                 | 2     | 3     | 4     | 5     | 1                                      | 2      | 3     | 4     | 5     | 1                               | 2     | 3      | 4     | 5     | 1                          | 2     | 3      | 4     | 5     |
|                                 | Red               | Green | Green | Green | Green | Yellow                                 | Yellow | Green | Green | Green | Green                           | Green | Green  | Green | Green | Yellow                     | Green | Green  | Red   | Green |

### Funding

The implementation solution for each option is shown below:

#### Option 1

No additional funding requirement

## Option 2

£10M (£1M project team, £1M schools/infrastructure £8m projects fund) dedicated funding provided by the City Deal.

## Option 3

£10M (£1M project team, £1M schools/infrastructure, £8M projects) dedicated funding provided by the City Deal. £16M of other public match funding /in kind contribution, provided by education providers/local authorities and £4M of private sector match funding (apprenticeships)

## Option 4

£153M of City Deal and other public funding, provided by education providers/local authorities and private sector match funding (apprenticeships)

### Analysis

- Option 1 – This Option would maintain existing delivery levels within current third party budgets.
- Option 2 – The Supported City Deal Skills Fund Option can be delivered entirely from provisionally allocated resources from within the City Deal internal budget.
- Option 3 – This Option would rely on additional match funding being provided by regional educational providers in the form of new/additional course provision. The Regional Learning and Skills Partnership has already obtained support in principle from the appropriate regional organisations who have formed a dedicated Training Provider Group to meet this requirement.
- Option 4 – Whilst having the potential to deliver much greater regional outcomes, the financial sums required to deliver the City Deal Ambitious Option are significantly beyond what the City Deal or Provider Group could commit to within existing, or anticipated future, resources.

### Results

|                          | Option 1   |       |       |       |       | Option 2                        |        |       |       |       | Option 3                 |       |        |       |       | Option 4            |        |        |       |       |
|--------------------------|------------|-------|-------|-------|-------|---------------------------------|--------|-------|-------|-------|--------------------------|-------|--------|-------|-------|---------------------|--------|--------|-------|-------|
| Scope                    | Do Nothing |       |       |       |       | Supported City Deal Skills Fund |        |       |       |       | Targeted Skills Delivery |       |        |       |       | City Deal Ambitious |        |        |       |       |
| Investment objectives    | 1          | 2     | 3     | 4     | 5     | 1                               | 2      | 3     | 4     | 5     | 1                        | 2     | 3      | 4     | 5     | 1                   | 2      | 3      | 4     | 5     |
|                          | Red        | Red   | Red   | Red   | Red   | Green                           | Red    | Red   | Red   | Red   | Green                    | Green | Yellow | Green | Green | Green               | Green  | Yellow | Green | Green |
| Critical Success Factors | 1          | 2     | 3     | 4     | 5     | 1                               | 2      | 3     | 4     | 5     | 1                        | 2     | 3      | 4     | 5     | 1                   | 2      | 3      | 4     | 5     |
|                          | Red        | Green | Green | Green | Green | Yellow                          | Yellow | Green | Green | Green | Green                    | Green | Green  | Green | Green | Yellow              | Yellow | Yellow | Red   | Red   |

### Short List Options Summary

|                  | Option 1 | Option 2 | Option 3 | Option 4 |
|------------------|----------|----------|----------|----------|
| Scope            | Red      | Yellow   | Green    | Green    |
| Service Solution | Yellow   | Yellow   | Green    | Yellow   |
| Delivery         | Green    | Green    | Green    | Yellow   |
| Implementation   | Green    | Green    | Green    | Red      |
| Funding          | Green    | Green    | Green    | Red      |

|             | <i>Option 1</i> | <i>Option 2</i> | <i>Option 3</i> | <i>Option 4</i> |
|-------------|-----------------|-----------------|-----------------|-----------------|
| Objective 1 | Red             | Red             | Green           | Green           |
| Objective 2 | Red             | Yellow          | Green           | Green           |
| Objective 3 | Red             | Green           | Yellow          | Yellow          |
| Objective 4 | Red             | Green           | Green           | Green           |
| Objective 5 | Red             | Green           | Green           | Green           |

**Option 1** would purely maintain existing regional provision and fail to meet any of the Investment Objectives of the Programme.

**Option 2** carries the lowest risk in terms of implementation as it can be operated and funded entirely from allocated City Deal resources. However, it could only achieve around a third of the additional skills required by Investment Objective 1 and would be likely to result in uncoordinated and ad hoc delivery of training needs.

**Option 3** was found to have the capability to meet Programme objectives from identified City Deal and Partner contributions and provide the increased delivery capacity within the Programme timescales. It also can deliver a co-ordinated Programme to maximise cost effectiveness and ensure City Deal Projects’ additional skills requirements are managed to align with timing needs.

**Option 4** could meet and significantly exceed all Programme objectives, delivering a major skill’s boost for the region. However, the financial and other capacity requirements are beyond what the City Deal and its identified Partners could provide and no additional sources of public and/or private funding can be identified. The scale of this Option would also raise very severe challenges in developing the additional human/organisational capacity required within the required Programme timescale.

**Option 3** was therefore chosen as the preferred option as it satisfied all Critical Skills Factors and all of the Investment Objectives with the exception of Investment Objective 3 where it received an amber rating.

### 3.8 ECONOMIC APPRAISAL

#### 3.8.1 Introduction

This section provides a detailed overview of the costs and benefits associated with each of the selected short-listed options. The detailed information and calculations supporting the conclusions reached are attached at Appendix G – Skills and Talent Programme Cost Benefit Analysis. The calculations are at this stage of the Business Case process, based on external educational statistical data, as it is not possible to calculate specific City Deal Project requirements, costs and benefits. Costs are based on usual education costs and benefits are based on national statistics of additional income derived from each higher skill level.

#### 3.8.3 Estimating Benefits

The Skills and Talent Programme has an enabling role in the SBCD in developing the appropriate skills supply pipeline to populate the additional jobs necessary for the City Deal projects to achieve their objectives from within the region as far as is possible. Consequently, any quantitative and qualitative benefits to be derived from the Skills and Talent Programme are effectively already ‘double-counted’ within these Projects’ declared outcome targets.

The approach to the Skills and Talent Programme Business Case therefore is not to evaluate the Programme by the benefits delivered directly by the activity but to assess the cost effectiveness of the Programme in delivering the required skills (relative to existing skills delivery benchmarks) and as the means to compare different delivery options. The benefits to individuals from achieving incremental skills qualifications/levels in terms of additional annual remuneration is well documented from national statistics and other data. The estimated effects on regional income can therefore be calculated on an annual basis and the cost effectiveness of each option deduced.

To calculate benefits for the Skills and Talent Programme Options reference has been made to national statistics on additional income to be derived by individuals as each higher skill level is achieved.

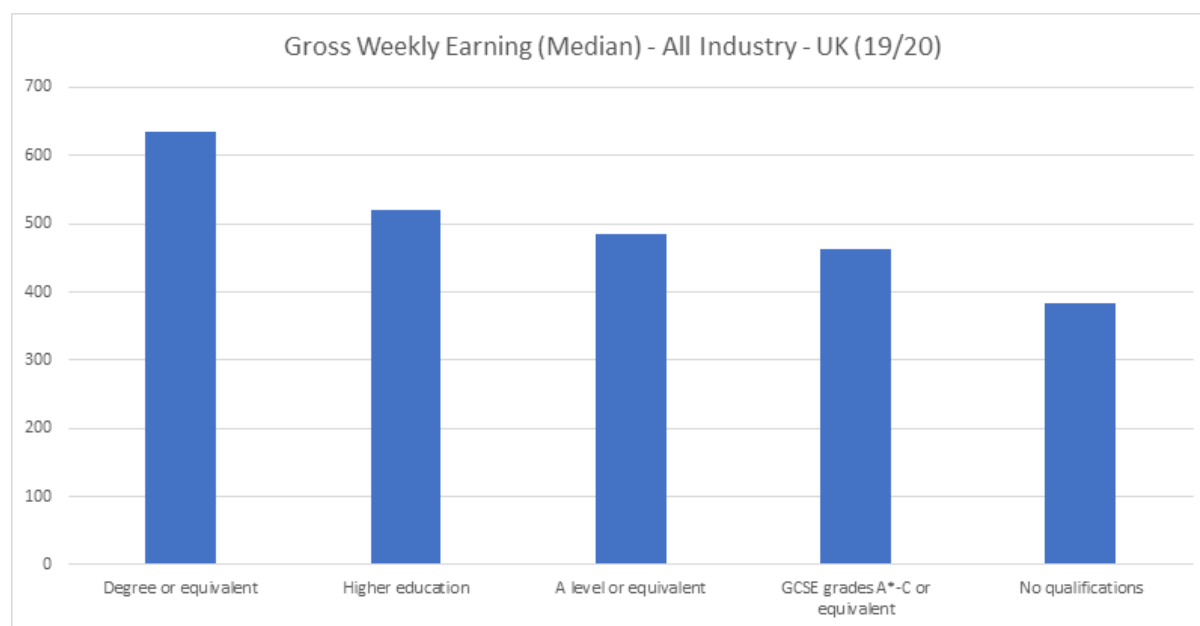


Table 13 - Summary of Additional Income by Skill Level

These translate into additional incomes as follows,

| NVQ Skill Level Achieved | Additional Annual Income (per person) |
|--------------------------|---------------------------------------|
| Level 2                  | £4,160                                |
| Level 3                  | £1,040                                |
| Level 4                  | £1,560                                |
| Level 5                  | £1,560                                |
| Level 6-8                | £5,720                                |

With regard to assessing net benefits for the City Deal region, allowances for leakage, displacement, multiplier effects and deadweight are already included within the project Business Cases for each of the other City Deal Projects,

- **Leakage** – anticipated leakage beyond the City Deal target area is already included within each City Deal Project Business Case and can therefore be ignored for the Skills and Talent Programme
- **Displacement** – as the Skills and Talent Programme will only deliver new skills/courses which do not currently exist, displacement is expected to be zero

- **Multiplier effects** – any multiplier effects from economic activity associated with additional local income and local supplier purchases have been ignored as all benefits are already included within each City Deal Project Business Case
- **Deadweight** – as, by definition, the Skills and Talent Programme will only deliver new skills/courses for Projects which would not materialise without the City Deal, deadweight is assumed to be zero.

To calculate the benefits for each Option, the respective breakdown of skills to be offered by level set out in Section 3.2 above has been used. The calculations have assumed skills delivery being split evenly over the 5-year delivery period and that additional annual income, for each respective additional skills level achieved by an individual learner, is first earned 12 months after completion of the respective course. The annual income growth will be measured over 15 years. For example, a full-time Level 3 learner on a 1-year course, and who commenced study in Year 3 of the Programme, would first earn additional income in Year 5 of the Programme. Likewise, a part-time Level 6 learner undertaking a 6 year course, and who commenced study in Year 5 of the Programme would not earn additional income until Year 12 of the Programme.

### 3.8.3 Summary of Benefits

|                                                                            | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|----------------------------------------------------------------------------|----------------------|-------------------------------------------|------------------------------------|-------------------------------|
| <b>Operational phase impacts</b>                                           |                      |                                           |                                    |                               |
| <b>Additional Income Generated p.a. at the end of the Programme period</b> | -                    | £1.82M                                    | £5.46M                             | £32.12M                       |
| <b>No. of Additional Skills Delivered</b>                                  | -                    | 760                                       | 2,276                              | 14,000                        |

Table 14 – Summary of Additional Annual Income and Skills Delivered

### 3.8.4 Estimating Costs

#### Methodology

Costs have been calculated using current course fees for skills being delivered in the region within related skills disciplines. The calculations have taken into account the number of skills expected to be delivered at each skill level in accordance with the table in Section 3.2 above, broken down into the projected proportion of full time and part time learners.

#### Optimism Bias

An allowance for optimism bias of 10% has also been made for each short-listed option to account for those risks not reflected. The extent of optimism bias has been derived through consideration of the level of remaining risk and potential for increase. As all costs are based on current, standard public sector course costs, the potential for cost increase (excluding for inflation) is very low. Whilst the Programme will require the development of new courses, these costs are expected to be absorbed by the educational provider and recovered through course fees.

As with economic benefits, the economic costs for all short-listed options have been appraised over a 15-year period (in line with the funding model for the SBCD), after allowing for Optimism

Bias of 10% and discounted at a rate of 3.5% in line with the HM Treasury Green Book. All discounted costs have been presented in 2021 prices, with general inflation excluded.

### Description, Sources and Assumptions

The gross costs and funding under each of the short-listed options are described in Table 14 below,

| Source of funding        | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|--------------------------|----------------------|-------------------------------------------|------------------------------------|-------------------------------|
| City Deal                | -                    | £10,000,000                               | £10,000,000                        | £57,552,000                   |
| Other Public Sector      | -                    | -                                         | £16,000,000                        | £92,083,200                   |
| Private Sector           | -                    | -                                         | £4,000,000                         | £4,000,000                    |
| Total gross cost         | -                    | <b>£10,000,000</b>                        | <b>£30,000,000</b>                 | <b>£153,635,200</b>           |
| Optimism bias (OB) @10%  | -                    | £1,000,000                                | £3,000,000                         | £15,363,520                   |
| Total gross cost plus OB | -                    | <b>£11,000,000</b>                        | <b>£33,000,000</b>                 | <b>£168,998,720</b>           |

Table 15 - Summary of Gross Costs and Funding Sources

### Net Present Cost Findings (All Public Sector Costs, but excludes private sector costs/investment)

|                                                   | Undiscounted Value (£) | Net Present Value (£) |
|---------------------------------------------------|------------------------|-----------------------|
| <b>Option 1 – Do Nothing</b>                      |                        |                       |
| Additional Income Generated                       | -                      | -                     |
| Less City Deal funding                            | -                      | -                     |
| Less Other Public Sector Funding                  | -                      | -                     |
| Total                                             | -                      | -                     |
| <b>Option 2 – Supported City Deal Skills Fund</b> |                        |                       |
| Additional Income Generated                       | £16,537,040            | £11,932,301           |
| Less City Deal Funding                            | £10,000,000            | £9,812,949            |
| Less Other Public Sector Funding                  | -                      | -                     |
| Total                                             | <b>£5,537,040</b>      | <b>£2,119,352</b>     |

| Option 3 – Targeted Skills Delivery |                     |                    |
|-------------------------------------|---------------------|--------------------|
| Additional Income Generated         | £49,603,320         | £35,788,186        |
| Less City Deal funding              | £10,000,000         | £9,812,949         |
| Less Other Public Sector Funding    | £16,000,000         | £15,700,965        |
| <b>Total</b>                        | <b>£23,603,320</b>  | <b>£10,274,272</b> |
| Option 4 – City Deal Ambitious      |                     |                    |
| Additional Income Generated         | £292,948,032        | £211,535,059       |
| Less City Deal funding              | £57,552,000         | £56,482,633        |
| Less Other Public Sector Funding    | £92,083,200         | £90,372,214        |
| <b>Total</b>                        | <b>£143,312,832</b> | <b>£64,680,212</b> |

Table 16 – Net Present Cost Findings

### Option Ranking

The Short-listed Options have been ranked in terms of their respective costs and benefits (All Public Sector Costs). The results are summarised in Table 17. It can be seen that whilst Option 4 ranks the highest in terms of costs, it ranks the highest in terms of additional income benefits and overall Net Present Value (costs net all benefits), followed by Option 3.

| Options Ranking   | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|-------------------|----------------------|-------------------------------------------|------------------------------------|-------------------------------|
| Net Present Cost  | 1                    | 2                                         | 3                                  | 4                             |
| Additional Income | 4                    | 3                                         | 2                                  | 1                             |
| Net Present Value | 4                    | 3                                         | 2                                  | 1                             |
| Overall Ranking   | <b>4</b>             | <b>3</b>                                  | <b>2</b>                           | <b>1</b>                      |

Table 17 – Short-list Options Costs and Benefits Ranking

### Value for Money Assessment

#### City Deal Funding only

|                                                      | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|------------------------------------------------------|----------------------|-------------------------------------------|------------------------------------|-------------------------------|
| City Deal funding (after allowing for optimism bias) |                      |                                           |                                    |                               |
| Undiscounted City Deal funding                       | -                    | £10,000,000                               | £10,000,000                        | £57,552,000                   |

|                                                |   |             |             |              |
|------------------------------------------------|---|-------------|-------------|--------------|
| Discounted City Deal funding                   | - | £9,812,949  | £9,812,949  | £56,475,484  |
| <b>Additional Income benefits (discounted)</b> |   |             |             |              |
|                                                |   | £11,932,301 | £35,788,186 | £211,535,059 |
| <b>Cost effectiveness</b>                      |   |             |             |              |
| Cost per net additional skill                  | - | £12,912     | £4,460      | £4,034       |
| Benefit/Cost Ratio                             | - | 1.216       | 3.647       | 3.745        |

Table 18 – Value for Money Assessment, City Deal Costs only

## All Public Sector Costs

|                                                                     | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|---------------------------------------------------------------------|----------------------|-------------------------------------------|------------------------------------|-------------------------------|
| <b>All Public Sector funding (after allowing for optimism bias)</b> |                      |                                           |                                    |                               |
| Undiscounted Public Sector funding                                  | -                    | £10,000,000                               | £26,000,000                        | £149,635,200                  |
| Discounted Public Sector funding                                    | -                    | £9,812,949                                | £25,516,897                        | £146,854,847                  |
| <b>Additional Income benefits (discounted)</b>                      |                      |                                           |                                    |                               |
|                                                                     |                      | £11,932,301                               | £35,788,186                        | £211,535,059                  |
| <b>Cost effectiveness</b>                                           |                      |                                           |                                    |                               |
| Cost per net additional skill                                       | -                    | £12,912                                   | £4,460                             | £4,034                        |
| Benefit/Cost Ratio                                                  | -                    | 1.216                                     | 1.403                              | 1.440                         |

Table 19 – Value for Money Assessment, All Public Sector Costs

## Option Appraisal Conclusions

Whilst Option 4 can potentially achieve the highest additional income benefits, this is primarily a reflection of the much greater quantum of skills delivery and the additional costs required. Despite the much greater scale, and attendant risks of delivering such a large Programme, it achieves only a relatively small increase in the Benefit/Cost ratio and reduction in average costs for delivery of each additional skill. Consequently Option 3 was chosen as the Preferred Option going forward.

## 3.9 QUALITATIVE BENEFITS APPRAISAL

### Methodology

In line with HM Treasury Green Book supplementary guidance on Business Cases, the qualitative benefits under each option have been weighted and scored. This was undertaken by:



- identifying the benefits criteria relating to each of the investment objectives.
- weighting the relative importance (in %s) of each benefit criterion in relation to each investment objective.
- scoring each of the short-listed options against the benefit criteria on a scale of 0 to 9; and
- deriving a weighted benefit score for each option.

### Qualitative Benefits Criteria

The weights that were applied to each investment objective / benefits criterion are shown in Table 20 below.

| Investment Objectives                                                                                                                                                                      | Qualitative Benefits                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Weight<br>Total<br>100% |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|
| <b>Objective 1:</b><br>To directly deliver at least 2,200 additional skills and support the development of around 14,000 individuals with higher level skills (level 2-8) within 10 years. | <ul style="list-style-type: none"> <li>• Higher skilled individuals for the jobs created through the City Deal projects.</li> <li>• Increased number of individuals progressing into a career offering higher earnings.</li> <li>• Increased number of people gaining a permanent role, moving from temporary or zero hour contracts.</li> </ul>                                                                                                                               | 30%                     |
| <b>Objective 2:</b><br>To create 3,000 new apprenticeship opportunities to include level 3 through to Degree apprenticeships.                                                              | <ul style="list-style-type: none"> <li>• Opportunities for all to achieve a qualification and skills for a career pathway in a vocational occupation.</li> <li>• Increased number taking up opportunities through the apprenticeship route to further their career in specialist areas developed through the 8 City Deal projects.</li> <li>• Increased number of individuals entering the Degree apprenticeship programme.</li> </ul>                                         | 25%                     |
| <b>Objective 3:</b><br>To create at least 2 Centres of Best of Excellence within specific sector(s) to develop the region as being the best area for skills development.                   | <ul style="list-style-type: none"> <li>• Developing a Centre that specialises in the development of fit for purpose skills within a particular sector(s)</li> <li>• Increase investment in the region for specialist sectors as a result of a specific Centre of Excellence for skills.</li> <li>• Increased awareness of the job opportunities in region as a result of the Centre of Excellence through the 8 City Deal projects and other associated investment.</li> </ul> | 15%                     |
| <b>Objective 4:</b><br>To create a clear pathway from school education through FE and HE in the key areas                                                                                  | <ul style="list-style-type: none"> <li>• The engagement with schools will develop the pathway for children from primary school through to secondary school through the introduction of new vocational training opportunities specialist workshops etc.</li> </ul>                                                                                                                                                                                                              | 20%                     |

|                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                               |     |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| of digital, energy, smart manufacturing and life-science and wellbeing, through engagement and development work with schools increasing the number of pupils following the STEM subjects in FE and HE. | <ul style="list-style-type: none"> <li>Integrate the City Deal projects within the curriculum of every school in the region, to generate awareness of the opportunities and the new skills that will be needed for the jobs created.</li> <li>Increased work experience for pupils and students through the 8 City Deal projects to raise awareness of the skills needs.</li> <li>Increased number of students studying STEM subjects in FE or HE.</li> </ul> |     |
| <b>Objective 5:</b><br>Deliver 20 new/updated course frameworks to ensure they meet the training needs of the future.                                                                                  | <ul style="list-style-type: none"> <li>Developing new and updating existing frameworks to meet the needs of the projects and employers across the region.</li> <li>Reduce duplication and focus training in key areas to increase opportunities.</li> <li>Ensure that frameworks are developed to meet the longer term (10-15 year) skills needs.</li> </ul>                                                                                                  | 10% |

Table 20 – Qualitative Benefits Weighting

### Qualitative Benefits Scoring

Benefits scores were allocated to each option according to its contribution to the investment objectives. The scores were based on a scale from 0-9, with the scores to be interpreted as follows:

- 7 – 9: a significant positive impact;
- 4 – 6: a positive impact;
- 1 – 3: a marginal positive impact; and
- 0: a neutral / no change position.

The scores for each option were discussed and agreed by workshop participants to confirm that the scores were fair and reasonable.

### 3.10 ANALYSIS OF KEY RESULTS

The results of the benefits appraisal are shown in Table 21 below,

| Benefit Criteria and Weight                                                                                              | Option 1: Do Nothing |   | Option 2: Supported City Deal Skills Fund |     | Option 3: Targeted Skills Delivery |     | Option 4: City Deal Ambitious |     |
|--------------------------------------------------------------------------------------------------------------------------|----------------------|---|-------------------------------------------|-----|------------------------------------|-----|-------------------------------|-----|
|                                                                                                                          | R                    | W | R                                         | W   | R                                  | W   | R                             | W   |
| Raw (R) weighted (W) scores                                                                                              |                      |   |                                           |     |                                    |     |                               |     |
| <b>Objective 1:</b><br>To directly deliver at least 2,200 additional skills and support the development of around 14,000 | 0                    | 0 | 4                                         | 1.2 | 7                                  | 2.1 | 9                             | 2.7 |

|                                                                                                                                                                                                                                                                                                               |          |          |           |            |           |            |           |            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|----------|-----------|------------|-----------|------------|-----------|------------|
| individuals with higher skills (level 2 – 8) within 10 years.                                                                                                                                                                                                                                                 |          |          |           |            |           |            |           |            |
| <b>Objective 2:</b><br>To create 3,000 new apprenticeship opportunities to include level 3 through to Degree apprenticeships.                                                                                                                                                                                 | 0        | 0        | 7         | 1.8        | 7         | 1.8        | 7         | 1.8        |
| <b>Objective 3:</b><br>To create at least 2 Centres of Best Practice within specific sector(s) to develop the region as being the best area for skills development.                                                                                                                                           | 0        | 0        | 6         | 0.9        | 6         | 0.9        | 6         | 0.9        |
| <b>Objective 4:</b><br>To create a clear pathway from school education through FE and HE in the key areas of digital, energy, smart manufacturing and life-science and wellbeing, through engagement and development work with schools. Increasing the number of pupils following STEM subjects in FE and HE. | 0        | 0        | 5         | 1.0        | 7         | 1.4        | 7         | 1.4        |
| <b>Objective 5:</b><br>Invest in the delivery of 20 new/updated course frameworks to ensure they meet the training needs of the future.                                                                                                                                                                       | 0        | 0        | 3         | 0.3        | 6         | 0.6        | 8         | 0.8        |
| <b>Total</b>                                                                                                                                                                                                                                                                                                  | <b>0</b> | <b>0</b> | <b>25</b> | <b>5.2</b> | <b>33</b> | <b>6.8</b> | <b>37</b> | <b>7.6</b> |
| Percentage Scores (Max. 90%)                                                                                                                                                                                                                                                                                  |          | -        |           | <b>52%</b> |           | <b>68%</b> |           | <b>76%</b> |
| Rank                                                                                                                                                                                                                                                                                                          | <b>4</b> |          | <b>3</b>  |            | <b>2</b>  |            | <b>1</b>  |            |

Table 21 – Qualitative Benefits Appraisal Key Results

The key considerations that influenced the scores achieved by the various options were as follows:

**Option 1** – This Option would bring no change to the existing scale and scope of skills delivery thereby delivering no additional benefits to the regional economy.

**Option 2** – The Supported City Deal Skills Fund would only deliver a proportion (c.30%) of the new skills training required. It would provide assistance and support to the development of

apprenticeships, Centres of Excellence and Schools engagement but in a responsive rather than programmed manner. It would not have the capacity to support investment in new course frameworks which would be left to individual organisations without critical mass.

**Option 3** – Targeted Skills Delivery would have a positive, or significantly positive, impact on all 5 Investment Objectives and enable a co-ordinated and sustainable approach to the timing and delivery of Programme outputs.

**Option 4** – This Option would have a positive, or significantly positive, impact on all 5 Investment Objectives and deliver major additions in terms of regional skills provision and sustainable Programmes resulting in the highest percentage benefits score of all the Options and is therefore ranked 1st.

### 3.11 RISK APPRAISAL - UNQUANTIFIABLES

A risk analysis has been undertaken that encompasses an assessment of the main risks associated with the project. The analysis has been informed by the guidance contained within the HM Treasury’s Green Book. A workshop was held on the 21<sup>st</sup> April 2021 to evaluate the risks associated with each option. A summary of the key risk areas is set out below, identifying the risks that may affect the successful delivery of the Programme and the overall severity of each risk, based upon a judgement of the probability and potential impact.

#### Methodology

Within the risk table below a score has been given to the probability of each risk arising – ranging from very high (a maximum score of 5) to very low (a score of 1). The impact of each risk has also been assessed, using the same scoring range as has been used for probability (i.e. a range of 1-5). The overall risk score is calculated by multiplying the probability score by the impact score (giving a maximum score of 25, representing an extreme risk). The scores can be banded low, medium or high to provide an indication of the overall rating of each risk.

#### Risk Scores

The workshop assigned the risk scores shown in Table 22 below on the basis of participants’ judgements and assessments of previous projects.

| Summary of Risk Appraisal Results<br>(Pr. = probability)                                    | Strategic Risk No. | Impact | Option 1: Do Nothing |      | Option 2: Supported City Deal Skills Fund |      | Option 3: Targeted Skills Delivery |      | Option 4: City Deal Ambitious |      |
|---------------------------------------------------------------------------------------------|--------------------|--------|----------------------|------|-------------------------------------------|------|------------------------------------|------|-------------------------------|------|
|                                                                                             |                    |        | Pr.                  | Tot. | Pr.                                       | Tot. | Pr.                                | Tot. | Pr.                           | Tot. |
| City Deal Funding not secured – without this funding the programme will not be implemented. | 1                  | 5      | -                    | -    | 2                                         | 10   | 2                                  | 10   | 5                             | 25   |
| Project partners operating their                                                            | 2                  | 4      | -                    | -    | 5                                         | 20   | 3                                  | 12   | 3                             | 12   |

|                                                                                                                       |   |   |   |          |   |            |   |           |   |            |
|-----------------------------------------------------------------------------------------------------------------------|---|---|---|----------|---|------------|---|-----------|---|------------|
| own skills projects                                                                                                   |   |   |   |          |   |            |   |           |   |            |
| Insufficient capacity and capability to Project manage the programme and to deliver the stated activities and results | 3 | 4 | - | -        | 4 | 16         | 2 | 8         | 4 | 16         |
| Organisational and financial risks associated with taking on this project                                             | 4 | 3 | - | -        | 3 | 9          | 3 | 9         | 5 | 15         |
| The programme does not secure sufficient partner/stakeholder buy in.                                                  | 5 | 5 | - | -        | 5 | 25         | 3 | 15        | 5 | 25         |
| Slippage to the project timescales                                                                                    | 6 | 2 | - | -        | 4 | 8          | 3 | 6         | 4 | 8          |
| Failure to increase the number of skilled individuals.                                                                | 7 | 5 | - | -        | 4 | 20         | 3 | 15        | 3 | 15         |
| Lead times in the development of a new skills offer in the region.                                                    | 8 | 2 | - | -        | 5 | 10         | 3 | 6         | 5 | 10         |
| Failure to engage with training providers to deliver the necessary skills development                                 | 9 | 4 | - | -        | 4 | 16         | 2 | 8         | 4 | 16         |
| Total (Maximum Possible Score 161)                                                                                    |   |   |   | -        |   | <b>134</b> |   | <b>89</b> |   | <b>142</b> |
| Rank                                                                                                                  |   |   |   | <b>4</b> |   | <b>2</b>   |   | <b>1</b>  |   | <b>3</b>   |

Table 22 – Risks Assessment

### 3.2 THE PREFERRED OPTION

The results of the investment appraisal are summarised in Table 23 below.

| Evaluation Results  | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|---------------------|----------------------|-------------------------------------------|------------------------------------|-------------------------------|
| Economic appraisals | 4                    | 3                                         | 2                                  | 1                             |
| Benefits appraisal  | 4                    | 3                                         | 2                                  | 1                             |
| Risk appraisal      | 4                    | 2                                         | 1                                  | 3                             |
| Overall Ranking     | <b>4</b>             | <b>3</b>                                  | <b>1</b>                           | <b>2</b>                      |

Table 23 – Short-list Options Evaluation Results

On the basis of this analysis, the preferred option is Option 3 – Targeted Skills Delivery. Whilst Option 4 – City Deal Ambitious scored 1<sup>st</sup> in the Economic and Benefits Appraisals, this is purely a reflection of the much higher costs and scale of the skills delivery projected. The level of funding for a Programme of this scale not currently available and there would be very significant delivery risks due to the enormous increase in regional capacity and capability that would be required. Option 3 can be delivered within identified costs at a low risk exposure and can deliver the prime objective of ensuring sufficient new and additional skills can be provided to meet the needs of the other City Deal Projects. This has therefore been selected as the Preferred Option going forward.

### 3.3 SENSITIVITY ANALYSIS

The methods used were:

- a) 'switching values'
- b) scenario planning/ analysis ('what if ') by altering the values of the 'uncertain' costs and benefits to observe the effect on the overall ranking of options.

#### Results of Switching Values

Table 24 below shows the values (in %'s) at which the preferred option would change in the overall ranking of options. As all external Programme benefits are, by definition, included within the other City Deal Projects' Business Cases, the switching values analysis looks only at the impact on each Option of changes in public sector cost and additional income benefits to individuals in achieving increased skills levels. Under the current Programme approach, new skills would be delivered over the first 5 years and aggregate additional income would accumulate year on year to reach maximum benefit at the end of the SBCD Programme benefits period in 15 years. To estimate total Programme benefits and to calculate the Net Present Value of additional income benefits for comparison purposes, benefits have been assumed to occur within 1 year after each learner completes the additional skills level course as set out in Section 3.8 above.

| Change in Costs (%)                | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery (Preferred Option) | Option 4: City Deal Ambitious |
|------------------------------------|----------------------|-------------------------------------------|-------------------------------------------------------|-------------------------------|
| Total costs                        | -                    | -                                         | -                                                     | -75.63%                       |
| Additional Learner Income benefits | -                    | +300%                                     | -                                                     | -                             |
| NPV/C                              | -                    | +15.38%                                   | -13.33%                                               | -                             |

Table 24 – Results of Switching Values

## Key Observations

The assessment of switching values shows that the benefits under the alternative options would have to increase considerably, compared to the preferred option, in order to change the overall ranking of options. The magnitude of change required is such that Option 3 can be identified as the preferred option with a high degree of confidence.

## Results of Scenario Planning

Tables 25 below summarises the results associated with variances made to increasing costs, the time taken to deliver the Programme benefits and reducing overall benefits, as follows.

- 20% increase in costs
- 1-year delay in benefits
- 40% reduction in benefits

| Net Present Value (15-year appraisal) | Option 1: Do Nothing | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|---------------------------------------|----------------------|-------------------------------------------|------------------------------------|-------------------------------|
| Base                                  | -                    | £2,119,352                                | £6,348,876                         | £60,754,534                   |
| Increasing costs by 20%               | -                    | £156,763                                  | £461,015                           | £30,598,430                   |
| 1-year delay in benefits              | -                    | £996,275                                  | £2,977,715                         | £40,906,125                   |
| Reducing benefits by 40%              | -                    | -£2,653,568                               | -£7,966,398                        | -£23,859,489                  |

Table 25 – Results of Scenario Planning

## Summary Table of Economic Appraisals

The results of the economic appraisals above are summarised in Table 26 as follows. As explained above, the only benefits captured are additional learner wage benefits as all other benefits and unquantifiable factors are contained within the specific Business Cases of the other 8 City Deal Projects the Skills and Talent Programme will support.

| Summary of Economic Appraisal                                                           | Option 1: Do Nothing                                               | Option 2: Supported City Deal Skills Fund | Option 3: Targeted Skills Delivery | Option 4: City Deal Ambitious |
|-----------------------------------------------------------------------------------------|--------------------------------------------------------------------|-------------------------------------------|------------------------------------|-------------------------------|
| Net Present Value (after allowing for private sector investment)                        | -                                                                  | £2,119,352                                | £6,348,476                         | £60,754,534                   |
| Public Sector Cost                                                                      | -                                                                  | £9,812,949                                | £25,516,897                        | £146,854,847                  |
| Appropriate BCR                                                                         | -                                                                  | 1.216                                     | 1.403                              | 1.440                         |
| Significant un-monetizable costs/benefits                                               | -                                                                  | N/A                                       | N/A                                | N/A                           |
| Significant unquantifiable factors                                                      | -                                                                  | N/A                                       | N/A                                | N/A                           |
| Risk costs (increased education delivery costs) - residual optimism bias (undiscounted) | -                                                                  | £1,000,000                                | £3,000,000                         | £15,363,520                   |
| Switching Values (preferred option only)                                                |                                                                    |                                           | -13.33%                            |                               |
| Time Horizon and Reason                                                                 | 15 Year Programme Period in accordance with City Deal requirements |                                           |                                    |                               |

Table26 – Economic Appraisal Summary



## 4.0 Commercial Case

### 4.1 Introduction

The purpose of the commercial case is to set out the procurement arrangements for the Skills and Talent programme.

### 4.2 Procurement strategy and route

#### 4.2.1 Programme Investment

This programme does not contain a high value capital-cost based construction project, instead it will deliver several lower cost revenue interventions at project level to achieve the programme investment objectives and outcomes.

The Skills and Talent programme will manage this through delivery of a programme fund disseminated to pilot projects following approval by the Programme Board. It is anticipated that pilot projects will be led and procured by a third-party stakeholder organisation.

Table 28 shows the process for delivering the programme - developing proposals for pilot projects from the stakeholder groups and to approval by the Programme Board.

Stage 1 of the process will deliver a skills barometer for the region and will identify any skills gaps and potential solutions that will support the successful delivery of the City Deal projects. This research will be undertaken by a range of stakeholders and partners but may require the procurement of specialist advisers/consultants. If required, the procurement will be managed by the lead delivery organisation.

#### 4.2.2 Lead Delivery Organisation

The Skills and Talent programme is led by Carmarthenshire County Council on behalf of the four regional Local Authorities, two universities and two health boards that make up the Swansea Bay City Deal primary stakeholders. Carmarthenshire County Council will ensure that procurements fully comply with:

- Welsh National Rules on the Eligibility of Expenditure – public contracts regulations 2015
- Welsh Procurement Policy Statement 2019
- State Aid Rules
- Procurement Legislation
- Community Benefits Principles
- Any other Carmarthenshire County Council, UK and Welsh Assembly Government rules and regulations which apply to procurement
- Procurements will also align to the procurement principles of the City Deal (See 4.2.5)

#### 4.2.3 Procurement Route

All quotations above the value of £25,000 will be advertised on the Sell2wales website ([www.sell2wales.gov.uk](http://www.sell2wales.gov.uk)).

Pilot project procurements undertaken by the project stakeholders will be in accordance with Welsh Government procurement regulations and the lead organisations' procurement policies. Third party procurements and will also be subject to the terms and conditions expected by Carmarthenshire County Council and Welsh Government as funding providers and will align to the procurement principles of the City Deal.

#### 4.2.4 Collaborative purchasing

The Programme office team / Skills Solution Group will liaise with pilot project lead delivery organisations to assess whether a collaborative approach with other stakeholders might be more beneficial to secure economies of scale and enhanced social value.

#### 4.2.5 Swansea Bay City Deal Procurement Principles

The SBCD Procurement Principles have been established for project teams that are developing and delivering projects as part of the SBCD Portfolio.

The Principles (Appendix H) set out how the SBCD expects project teams to take a fresh look at the way works, goods and services are specified and procured so that the maximum economic, social and environmental benefit to the region can be achieved from the process. The Principles look beyond the initial construction phase and apply to the operational service of the assets or frameworks when created.

The five SBCD Procurement Principles are:

- Be Innovative
- Have an open, fair and legally compliant procurement process
- Maximise Community Benefits from each contract
- Use Ethical Employment Practices
- Promote the City Deal

#### 4.3 Procurement plan and proposed implementation timescales

The Skills and Talent Programme has a phased approach to delivery. Appendix I details the programme implementation plan and timeline following the identification of the key skills required.

Should the programme require specialist advisers/consultants as described above, this is planned to take place between Q3 2021 and Q1 2022

#### 4.4 Risk Allocation

Risks can be assigned to three main categories (which are not mutually exclusive) – business, service and external risks.

- Business risks remain with the public sector and cannot be transferred. These include the loss of opportunity and poor Value for Money that occurs when schemes under-deliver or fail completely.
- Service-related risks may be shared between the public and private sectors e.g. design, demand, and operational risks
- External risks arise from the wider environment, not the intervention being appraised e.g. catastrophe risks and regulatory risks outside of the programmes' control.

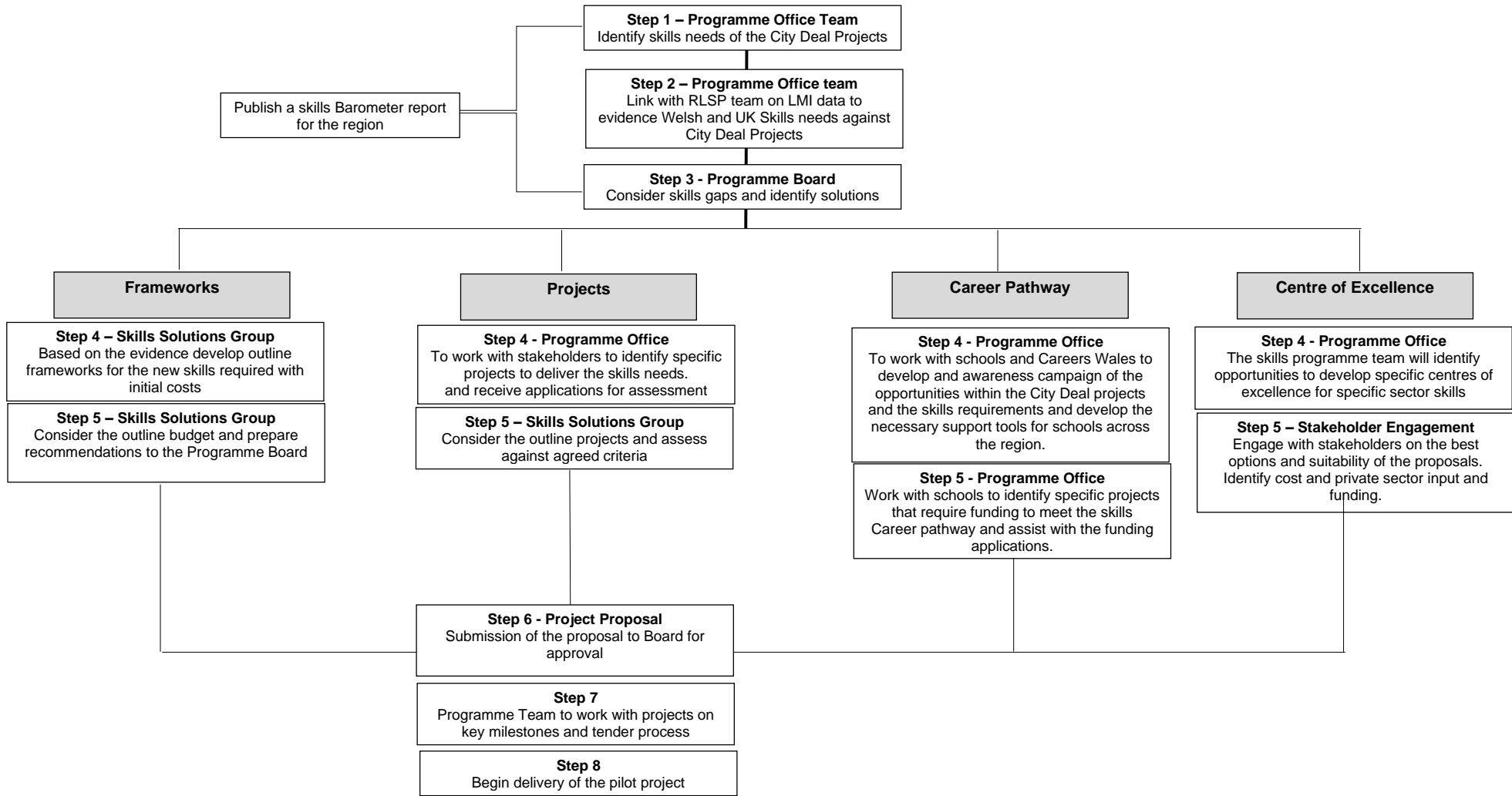
Given the service/revenue nature of any procurements likely to be undertaken by the lead delivery organisation it is unlikely that any risk will lie solely with the private sector.

| Risk Category                                                       | Public | Private | Shared |
|---------------------------------------------------------------------|--------|---------|--------|
| 1. Design risk                                                      |        |         | ✓      |
| 2. Development risk                                                 |        |         | ✓      |
| 3. Transition and implementation risk                               | ✓      |         |        |
| 4. Availability and performance risk                                |        |         | ✓      |
| 5. Operating risk                                                   |        |         | ✓      |
| 6. Variability of revenue risks                                     | ✓      |         |        |
| 7. Termination risks                                                | ✓      |         |        |
| 8. Technology and obsolescence risks                                |        |         | ✓      |
| 9. Control risks                                                    | ✓      |         |        |
| 10. Residual value risks                                            |        |         | ✓      |
| 11. Financing risks                                                 | ✓      |         |        |
| 12. Legislative risks                                               |        |         | ✓      |
| 13. Lead times in the development of a new skills offer             |        |         | ✓      |
| 14. Failure to engage with training providers to deliver the skills |        |         | ✓      |

Table 27 Risk allocation

The programme risks will be managed by the RLSP Board within the existing governance structure as detailed in the Management case.

**Table 28 Skills and Talent Programme Delivery Process**



## 4.5 Service Requirements and Outputs

The initial skills gaps analysis will be undertaken by the programme team and the Skills Solution Group to understand what new/updated skills and apprenticeship frameworks are required to inform development of the pilot projects which will be delivered in conjunction with stakeholders. An action plan will be developed outlining the gaps and proposals and recommendations. The assistance of consultants / specialist advisers to help with the research may be required and if so, will be procured as described in section 4.2.

### 4.5.1 Service Requirements

The summary of potential service requirements and outputs is described in table 28 below.

| Requirement<br>➤                                          | Timescales                  | Scope of the procurement                                                                      | Required outputs                                                                                                                      | Business areas affected by the procurement                                           | Business environment and related activities | Business objectives relevant to the procurement                                                                                 | Required service streams                                            | Stakeholders and customers for the outputs                                                                                                                                                     | Options for variation in the existing and future scope for services | Potential developments and further phases that may be required |
|-----------------------------------------------------------|-----------------------------|-----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|---------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|----------------------------------------------------------------|
| Outputs<br>▼                                              |                             |                                                                                               |                                                                                                                                       |                                                                                      |                                             |                                                                                                                                 |                                                                     |                                                                                                                                                                                                |                                                                     |                                                                |
| <b>Research - skills needs and gaps across the region</b> | Phase 1 - Q3 2021 – Q1 2022 | Procure suitably qualified consultants / specialist advisers with experience of skills sector | Consultants with experience of skills sector<br><br>Development of Action plan<br><br>Develop and publish a Regional Skills Barometer | RLSP partners<br><br>CCC Procurement Dept –<br><br>Programme team (when established) | Formation of Skills Solutions Group         | Develop regional skills needs and gaps analysis<br><br>Create skills barometer<br><br>Inform other stages of programme delivery | RLSP partners<br><br>Training Providers<br><br>CCC Procurement Dept | RLSP partners<br>Regional colleges, universities, and training providers<br><br>SBCD primary stakeholders<br><br>SBCD Projects & Programmes<br><br>Industry representatives<br><br>Governments | Ongoing / tbc, feeds into next stages of programme development      | Feeds into next stages of programme development and delivery   |

Table 29 SBCD Skills Programme Services and required outputs

#### **4.6 Payment mechanisms and key contractual arrangements**

Payments and key contractual arrangements for procurements directly undertaken by the Lead Delivery Organisation will be made in accordance with Carmarthenshire County Councils' existing terms and conditions and any terms and conditions applied by the Welsh Government as funding partner.

Third party procurements at pilot project level will be governed by the terms and conditions of the lead delivery partner and will be subject to the terms and conditions expected by Carmarthenshire County Council and Welsh Government as funding providers.

Payments are usually made on the delivery of outputs and may be linked to the delivery of key service outputs, as contractually agreed. Payments may be staggered against the delivery of key outputs within the overall implementation plan for the programme.

Contractual arrangements relating to intellectual property rights will be agreed between the relevant parties as the pilot projects develop.

#### **4.7 Accountancy Treatment**

The RLSP will not create any physical property assets through the Skills and Talent programme. The City Deal funding will be used to fund the programme management arrangements and to provide financial incentives for the pilot projects. Any assets funded through the projects will be logged on a skills and talent asset register and submitted with the monitoring reports.

#### **4.8 Personnel Implications**

A programme team will be established to service the programme as outlined in the Management Case. This process does not include the transfer of any staff or TUPE issues.

All staff recruited on the programme will be employees of Carmarthenshire County Council. As such they will be covered by the Council's human resources policies and codes of practice that are in place for the well-being and management of staff. These policies are available to all staff via the Council's intranet.

## 5.0 Financial Case

### 5.1 Introduction to the Financial Case

This section focuses on the financial elements of the business case and the financial implications of the preferred option.

The funding of this Programme will be operated through Carmarthenshire County Council as the accountable financial body and managed on a day-to-day basis through the Regional Learning and Skills Partnership Board.

This Programme is a desk-based research project to identify the skills gaps and work with the project leads; training providers and Welsh Government to provide the most appropriate training in the region to support the development of talented individuals to take up the roles.

Following the initial research there will be a requirement to develop specific projects that will include courses to meet the Industry needs; update course content where required and re-accredit those courses. The projects will also include pilot initiatives to upskill the workforce in specific areas, the work with schools will also be supported through this Programme to provide more detailed information about the opportunities that will be developed through the City Deal and the courses available to them within the region

### 5.2 Financial Risk Management and Assurance

#### 5.2.1 Financial Risks

The portfolio financial risks are monitored and managed as part of the City Deal's overall risk management arrangements. The City Deal Programmes and Projects maintain, manage and monitor their own risks in line with guidance from the Green Book and the City Region's Accountable Body and SBCD Programme Management Office. The project operates a risk register and issues log, specifically including any financial risks identified. These risks will be monitored and updated with mitigating control actions through the project board as a standing item and then regularly presented to the Programme Board and Joint Committee, through the Portfolio Management Office.

#### 5.2.2 Financial Issues, Dependencies and Interdependencies

The programme board will develop and maintain a log of any financial issues, dependencies and interdependencies at both programme and project level. This log will be considered alongside the financial risk register outlined above. The Accountable Body will work through the Section 151 Officer Working Group to determine any actions necessary to address identified issues and will present recommendations for required action to the Programme Board, Economic Strategy Board and Joint Committee for approval. Regular updates on financial issues, dependencies and interdependencies will also be provided to the Programme Board and Joint Committee via the Portfolio Management Office as appropriate.

#### 5.2.3 Assurance - Internal Audit

The review of the effectiveness of the system of Internal Control and Governance arrangements is informed by the work of the Internal Auditors, from which the Programme Lead Authority and Programme board gain assurance. Internal Audit is required to undertake their work in accordance with the standards as set out in the Public Sector Internal Audit Standards (PSIAS) established in 2013, which are the agreed professional standards for Internal Audit in Local Government.

As required by these Standards, the Head of Internal Audit as appropriate to the Programme Lead Authority will undertake an independent review and report findings to the Portfolio Lead Authority and Programme Board. The format of the Annual Report complies with the requirements of the Code of Practice. The Strategic and Annual Audit Plans are approved annually by the Project lead authority and Project board. In addition, the Internal Audit Unit undertakes fraud investigation and pro-active fraud detection work.

#### 5.2.4 Assurance - External Regulators

The Audit Wales as External Auditor to the Project Lead Authority reviews and comments on the financial aspects of Corporate Governance which include the legality of financial transactions, financial standing, systems of Internal Financial Control and standards of financial conduct and fraud and corruption.

### 5.3 Investment Summary

The SBCD partnership, through the Internet of Economic Acceleration publication and subsequent discussions with the Welsh and UK Governments, has developed a clear strategy which has been underpinned by identified interventions to deliver widespread and sustainable economic growth across the region. The Skills and Talent Programme is a pivotal part of this intervention to support and increase the availability of educational and training opportunity to enhance, upskill and support develop across the region.

The current investment breakdown presented in Table 30. below is based on forecasted

| <b>Expenditure</b>          | <b>Year 1<br/>2020/21<br/>(£m)</b> | <b>Year 2<br/>2021/22<br/>(£m)</b> | <b>Year 3<br/>2022/23<br/>(£m)</b> | <b>Year 4<br/>2023/24<br/>(£m)</b> | <b>Year 5<br/>2024/25<br/>(£m)</b> | <b>Year 6<br/>2025/26<br/>(£m)</b> | <b>Total<br/>(£m)</b> |
|-----------------------------|------------------------------------|------------------------------------|------------------------------------|------------------------------------|------------------------------------|------------------------------------|-----------------------|
| Capital                     | £ -                                | £ -                                | £ -                                | £ -                                | £ -                                | £ -                                | £ -                   |
| Revenue                     | £ 24,800                           | £ 2,920,000                        | £ 5,000,000                        | £ 7,500,000                        | £ 7,500,000                        | £ 7,055,200                        | £ 30,000,000          |
| <b>Total</b>                | <b>£ 24,800</b>                    | <b>£ 2,920,000</b>                 | <b>£ 5,000,000</b>                 | <b>£ 7,500,000</b>                 | <b>£ 7,500,000</b>                 | <b>£ 7,055,200</b>                 | <b>£ 30,000,000</b>   |
| <b>Funding</b>              |                                    |                                    |                                    |                                    |                                    |                                    |                       |
| Swansea Bay City Deal Grant | £ 24,800                           | £ 1,170,000                        | £ 1,500,000                        | £ 2,500,000                        | £ 2,500,000                        | £ 2,305,200                        | £ 10,000,000          |
| Public Sector               | £ -                                | £ 1,250,000                        | £ 3,000,000                        | £ 4,000,000                        | £ 4,000,000                        | £ 3,750,000                        | £ 16,000,000          |
| Private Sector              | £ -                                | £ 500,000                          | £ 500,000                          | £ 1,000,000                        | £ 1,000,000                        | £ 1,000,000                        | £ 4,000,000           |
| <b>Total</b>                | <b>£ 24,800</b>                    | <b>£ 2,920,000</b>                 | <b>£ 5,000,000</b>                 | <b>£ 7,500,000</b>                 | <b>£ 7,500,000</b>                 | <b>£ 7,055,200</b>                 | <b>£ 30,000,000</b>   |

**Table 30. Skills and Talent Investment Breakdown**

These figures are the current financial investment forecast which the Skills and Talent Programme is currently projecting over its 6-year term and are set within a the original SBCD Heads of Terms. Funding elements are subject to change as the programme evolves. On the successful approval of the programme business case the Accountable body will release Government funding to Programme up to the value of the agreed Programme allocation.

It is the aim of the SBCD that all Programmes will be delivered in a seven-year period in order to maximise the full benefits realisation of the operational schemes during the lifetime of SBCD funding, which is to be released to the SBCR from both the UK and Welsh Governments over a 15-year period.

The Skills and Talent Programme has been allocated £10m by the SBCD Programme. This is an initial estimate and may evolve over the course of the Programme as development provision and market conditions change. Further funding may be sought from the City Deal or other sources in due course, depending on the cost and success of early activities.

The overall investment composition comprises of three following investment components:

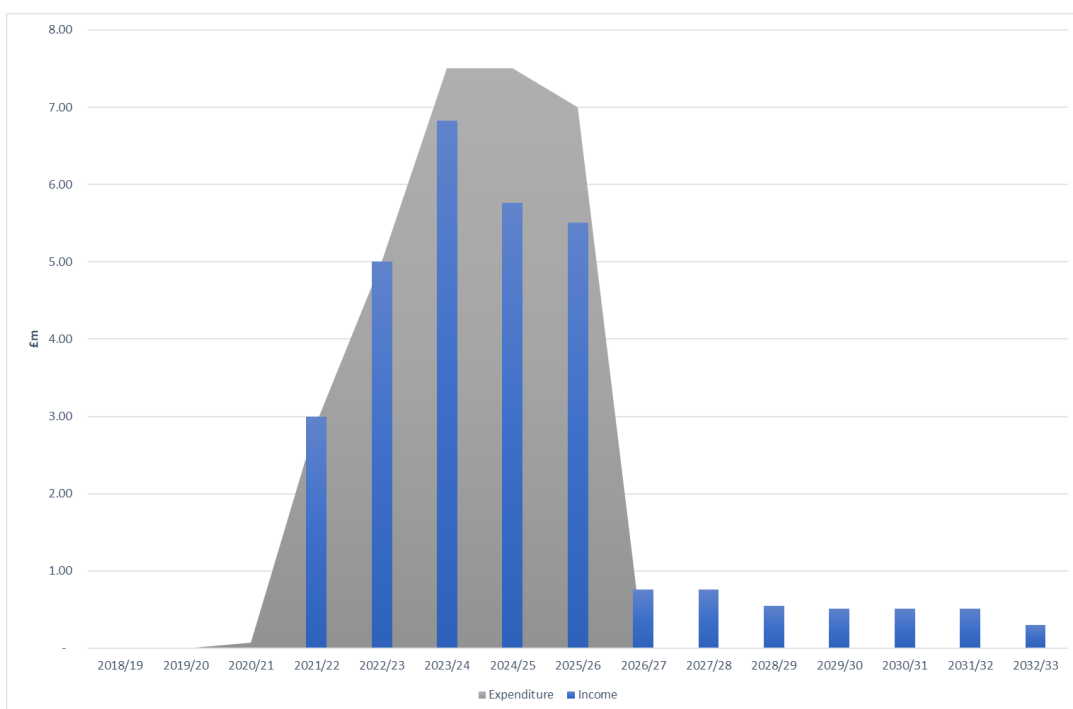
- The **City Deal investment** component consists of the government grants awarded by UK and Welsh government totalling £10m. City Deal Grant is awarded to Programmes of the fifteen-year term up to a maximum of the allocated value.
- **Public sector** investment consists of investment/contributions from local authorities and other public funded and public service organisations. Public Sector investment will also consist of funding from FE, HE and schools as cash or in-kind match funding for projects. Local Authorities may agree that borrowing for a Regional Programme should be made by all the Authorities equally or in proportions agreed or that borrowing should be carried out by one Authority on behalf of others if they so agree. The decisions as to whether borrowing on behalf of the Programme shall be carried out by one Authority on behalf of the others and the proportions shall be determined by the Authorities as a matter reserved to the Authorities.
- **Private sector** investment includes regional investment from local and national private sector partners as well as local higher education providers.

#### 5.4 Income and Expenditure Summary

The UK and Welsh Government capital grant contribution to the Skills and Talent Programme is awarded over a fifteen-year period and currently forecasted at £10m. Funding will only be released from the portfolio on the successful approval of business cases by both the UK and Welsh Governments, up to a maximum of the agreed grant allocation.

An inherent temporary funding gap is recognised with the funding being released to the Programme over a fifteen-year period. Carmarthenshire County Council as the Programme Lead Authority is responsible for managing the operational cashflows in respect of the Programme, with all Authorities contributing to its delivery proportionately. Therefore, subsequently accountable for managing inherent risks and the funding gap recognised.

The Programme expenditure profile is presented in Table 31 and Table 32 below with further financial appraisal on the expenditure forecasts at Programme level detailed in Figure 2.



**Figure 2. Forecasted Income and Expenditure Summary**



### 5.4.1 Programme Income and Expenditure Forecast

| Expenditure                | Year 1   | Year 2   | Year 3        | Year 4           | Year 5           | Year 6           | Year 7           | Year 8           |
|----------------------------|----------|----------|---------------|------------------|------------------|------------------|------------------|------------------|
|                            | 2018/19  | 2019/20  | 2020/21       | 2021/22          | 2022/23          | 2023/24          | 2024/25          | 2025/26          |
| <b>Capital/Revenue</b>     |          |          |               |                  |                  |                  |                  |                  |
| Capital Expenditure        | -        | -        | -             | -                | -                | -                | -                | -                |
| Revenue Expenditure        | -        | -        | 24,800        | 2,920,000        | 5,000,000        | 7,500,000        | 7,500,000        | 7,055,200        |
| <b>Total</b>               | <b>-</b> | <b>-</b> | <b>24,800</b> | <b>2,920,000</b> | <b>5,000,000</b> | <b>7,500,000</b> | <b>7,500,000</b> | <b>7,055,200</b> |
| <b>Funding</b>             |          |          |               |                  |                  |                  |                  |                  |
| City Deal Expenditure      | -        | -        | -             | 1,194,800        | 1,500,000        | 1,786,528        | 746,888          | 746,888          |
| Public Sector Expenditure  | -        | -        | -             | 1,250,000        | 3,000,000        | 4,000,000        | 4,000,000        | 3,750,000        |
| Private Sector Expenditure | -        | -        | -             | 500,000          | 500,000          | 1,000,000        | 1,000,000        | 1,000,000        |
| <b>Total</b>               | <b>-</b> | <b>-</b> | <b>-</b>      | <b>2,944,800</b> | <b>5,000,000</b> | <b>6,786,528</b> | <b>5,746,888</b> | <b>5,496,888</b> |


| Expenditure                | Year 9         | Year 10        | Year 11        | Year 12        | Year 13        | Year 14        | Year 15        | Total             |
|----------------------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|-------------------|
|                            | 2026/27        | 2027/28        | 2028/29        | 2029/30        | 2030/31        | 2031/32        | 2032/33        |                   |
| <b>Capital/Revenue</b>     |                |                |                |                |                |                |                |                   |
| Capital Expenditure        | -              | -              | -              | -              | -              | -              | -              | -                 |
| Revenue Expenditure        | -              | -              | -              | -              | -              | -              | -              | 30,000,000        |
| <b>Total</b>               | <b>-</b>       | <b>-</b>       | <b>-</b>       | <b>-</b>       | <b>-</b>       | <b>-</b>       | <b>-</b>       | <b>30,000,000</b> |
| <b>Funding</b>             |                |                |                |                |                |                |                |                   |
| City Deal Expenditure      | 746,888        | 746,888        | 539,419        | 497,925        | 497,925        | 497,925        | 497,926        | 10,000,000        |
| Public Sector Expenditure  | -              | -              | -              | -              | -              | -              | -              | 16,000,000        |
| Private Sector Expenditure | -              | -              | -              | -              | -              | -              | -              | 4,000,000         |
| <b>Total</b>               | <b>746,888</b> | <b>746,888</b> | <b>539,419</b> | <b>497,925</b> | <b>497,925</b> | <b>497,925</b> | <b>497,926</b> | <b>30,000,000</b> |

Table 31 Income and Expenditure Forecast

## 5.5 Investment Breakdown

### 5.5.1 City Deal Grant Funding Profile

The amount of £10m has been allocated regionally for the Skills and Talent Programme. These allocations are indicative and can be varied if needed, in-line with the governance arrangements set out in the Management Case. Greater clarity on costs and their spread over the duration of the Programme is expected to become available once the Programme management team is in place and the sub-Programmes are scoped out in more detail. Appendix J details the income and expenditure for 2021 – 2026. The below operational expenditure is budgeted over the programme delivery life cycle in respect of a management team and relevant supporting costs.

|  |  | Skills and Talent            |                |                |                |                | Total            |
|-----------------------------------------------------------------------------------|--|------------------------------|----------------|----------------|----------------|----------------|------------------|
|                                                                                   |  | Five Year Operational Budget |                |                |                |                |                  |
| Programme Year                                                                    |  | Year 3                       | Year 4         | Year 5         | Year 6         | Year 7         |                  |
| Operational Year                                                                  |  | Year 1                       | Year 2         | Year 3         | Year 4         | Year 5         |                  |
| Description                                                                       |  | 2020/21                      | 2020/22        | 2022/23        | 2023/24        | 2024/25        |                  |
| Programme Management Team                                                         |  | 243,553                      | 221,451        | 227,638        | 258,992        | 265,518        | 1,217,151        |
| Operational Expenditure (Marketing and Consultancy Fees)                          |  | 25,000                       | 50,500         | 51,010         | 26,530         | 27,061         | 180,101          |
| <b>Total Operational Expenditure</b>                                              |  | <b>268,553</b>               | <b>271,951</b> | <b>278,648</b> | <b>285,522</b> | <b>292,579</b> | <b>1,397,252</b> |

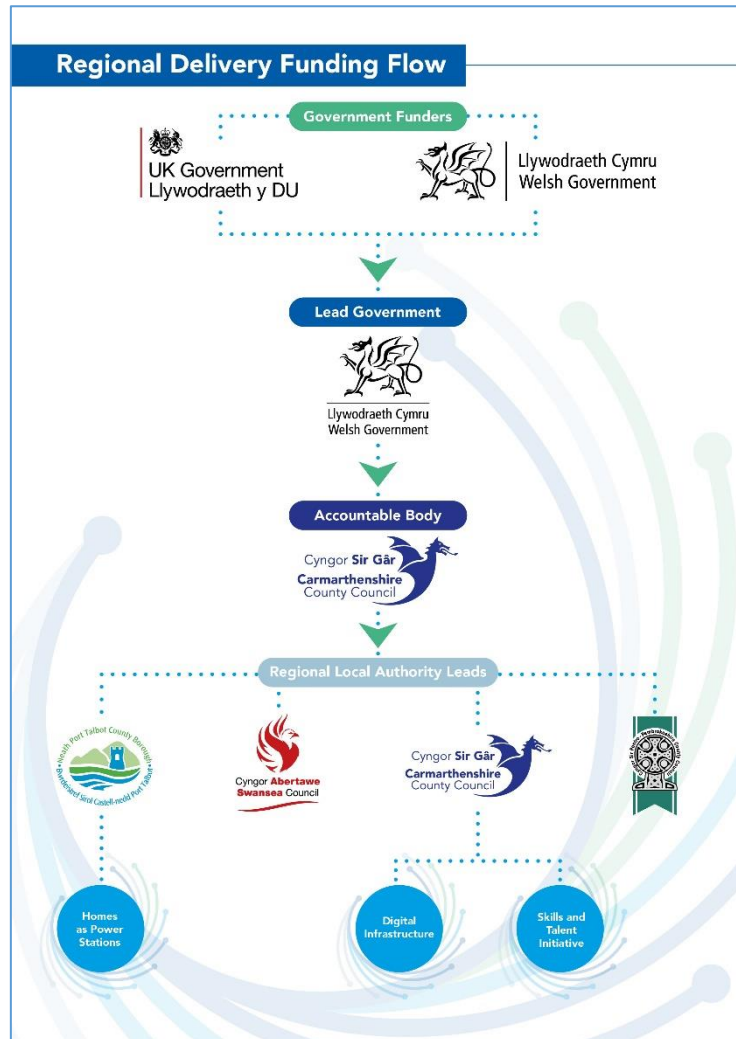
### 5.5.2 Public and Private Sector Funding Profile

| Public Sector Funding Statement  |                           |                                                                                                                                                                                                                                                                                     |
|----------------------------------|---------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Theme                            | Public Contribution (£m)  | Detail                                                                                                                                                                                                                                                                              |
| Schools                          | 3,000,000                 | Student numbers and delivery models are being developed. Pilot Projects based on employment demand led skills will be developed and project match funding/in-kind contributions will be required from schools.                                                                      |
| Further Education                | 5,000,000                 | Pilot projects based on employment demand led skills will be developed and delivered by FE and match funding/in kind contributions will be required to support the projects.                                                                                                        |
| Higher education/Universities    | 7,000,000                 | Pilot projects based on employment demand led skills will be developed and delivered by HE and match funding/in kind contributions will be required to support the projects.                                                                                                        |
| Employability Directive          | 1,000,000                 | Demand led training through employment agencies to upskill unemployed to support integration back into the workplace, pilot projects will be developed to deliver upskilling opportunities. Match finding or in-kind contributions will be sought for the projects.                 |
| <b>Total</b>                     | <b>£ 16,000,000</b>       |                                                                                                                                                                                                                                                                                     |
| Private Sector Funding Statement |                           |                                                                                                                                                                                                                                                                                     |
| Theme                            | Private Contribution (£m) | Detail                                                                                                                                                                                                                                                                              |
| Apprenticeships                  | 4,000,000                 | Early discussions with providers are in the process of taking place. Private sector investment will constitute of an estimated 3000 demand led apprentices within industry which will also include the utilisation of City Deal Programmes and projects as part of delivery models. |
| <b>Total</b>                     | <b>4,000,000</b>          |                                                                                                                                                                                                                                                                                     |

**Table 32 – Public and Private sector funding profile**

### 5.5.3 City Deal Funding

The release of funds from the Accountable Body will follow one of two funding routes. This is determined on a Programme basis, dependant on whether funding is being released to a regional Programme or a Local Authority Programme. The flow of funding is shown in Figure 3 below:



**Figure 3. City Deal Funding Flow**

### 5.5.4 Borrowing

The Joint Committee is responsible for overseeing the proportion of each Council's responsibility for borrowing to provide funding for regional Programmes. The capital borrowing (in respect of the Government funded element) for the City Deal Programmes will be re-paid by identified Government funds (UK & Welsh Government) over the 15-year period.

The exact level of borrowing and the structure and terms of the borrowing is yet to be confirmed at this point in time, however it will be calculated based on the amount required per relevant local authority and will be in line with the individual local authority's internal requirements. This is being determined by the four Section 151 Officers of the four regional

local authorities. All borrowing will be agreed based on the principles of the Prudential Code and Treasury Management Policy and Strategy for each local authority. When further details of the investments required for each Programme are known, a full business case appraisal for each individual Programme will be completed and submitted to the relevant local authority for approval before submission to the Joint Committee. These full business cases will include the detailed funding proposals and requirements of the local authority.

#### **5.5.5 Government Grant 'Top Slice'**

Annually, up to 1.5% of the Portfolio Investment Fund, specifically the government grants awarded, will be earmarked to support the Joint Committee and central administration functions required to support the delivery of the Portfolio. This is referred to as 'Top Slice' of Government Grants.

#### **5.5.6 Interest on Investments**

It is recognised that throughout the lifecycle of the City Deal portfolio, cash balances will arise through cashflow movements as and when Programmes become live and actual expenditure is incurred. Cash balances held by the Joint Committee will be invested through Carmarthenshire County Council as the Accountable Body. Income generated from cash investments will be ring-fenced and redistributed direct to Programmes based on the allocation outlined within the original Heads of Terms.

### **5.6 Monitoring and Evaluation**

The City Deal portfolio finances will be monitored through the Programme Board and Joint Committee, with the Economic Strategy Board also making recommendations on possible additional funding opportunities or alternative portfolio expenditure. Regular reports will also be presented by the Accountable Body to the regional Local Authority Directors of Finance and Regional Section 151 Officer working group. This working group will, in collaboration with the Welsh Government and the SBCD PMO, agree the financial monitoring process which will be:

- In line with overall reporting processes for the City Deal
- Based on best practice principles and guidance on Programme monitoring contained within the Green Book

The monitoring process will allow for the control of Programme cost variations and visibility of variations at a portfolio level.

The monitoring requirements of the Portfolio will require the Programme Authority Lead to submit a claim for Programme funding to the Accountable Body at a frequency to be determined by the Accountable Body. The claim shall include a progress report on the Programme. The progress report shall include an assessment of risks associated with the Programme and details of progress against the agreed outputs. After the parties have agreed in accordance with clause 6.7 of the funding agreement that the Programme has achieved practical completion, the Programme authority lead shall not be required to submit claims for Programme funding. Thereafter, the Programme authority lead shall complete annual monitoring returns in a form to be specified by the Accountable Body prior to the Accountable Body releasing any Programme funding to which the Programme authority lead is entitled. The annual monitoring forms will include an obligation to report on the progress in achieving the agreed outputs. The Accountable Body reserves the right to impose additional monitoring

requirements at a frequency and for such period as it considers reasonable in all the circumstances.

In addition to the above monitoring requirement the Accountable Body will require quarterly financial updates on Programme spend to support the cashflow management of the portfolio. These will detail the actual spend to the period, with forecast outturn over the 15-year duration of the portfolio.

Programme lead authorities are also obligated to support the Accountable Body with any progress update reporting as required by the Welsh and UK Governments.

## **5.7 Accounting Treatment of Programme Transactions**

### **5.7.1 Accounting for Income and Expenditure**

All income and expenditure in relation to Programmes outlined within the heads of terms are accounted for within the financial statements of the host Programme Lead Authority in respect of regional Programmes.

### **5.7.2 Revenue Requirement**

The Welsh Government has acknowledged that revenue funding will be required to support the delivery of Programmes within the City Deal portfolio. The revenue requirements by Programmes of the City Deal are to be managed locally by the Programme Lead Authorities. The Welsh Government recognises that the four local authorities will need to manage their capital funding to enable revenue expenditure to be supported. To achieve this through the use of the Local Authorities' capital receipts, Local Authorities will reference to the latest direction from Welsh Government Ministers on the use of capital receipts. This was issued under section 15(1) (a) of the Local Government Act 2003, along with accompanying guidance. Specific revenue funding will be detailed within Programme business cases and funded through partner investment.

### **5.7.3 Balance Sheet Accounting**

Assets generated though the life of the Programme will be accounted of and held in the balance sheet of the Local authority in which constituent area the asset is completed. Local authorities will account for asses in line with the relevant legislation and accounting standards.

### **5.7.4 Value Added Tax**

Value Added Tax (VAT) is included where appropriate within the forecasts and estimates demonstrated. For objectives delivered by local authorities, VAT is excluded from forecasts and estimates under the application of Section 33 of the VAT act 1994. This Act refunds to (mainly) local government bodies the VAT attributable to their non-business activities and exempt business activities, providing it is considered an insignificant proportion of the total tax they have incurred. Programmes or components of Programmes that are delivered by parties, other than that of local authorities, are subjected to VAT in the manner as regulated by the industry or sector in which they operate, except where regulatory standards dictate a specific treatment or application. Programme business cases will identify and detail the application of VAT and include within forecasts and estimates as appropriate.

## **5.8 Added Value**

The Skills and Talent Programme is a transformational project breaking new ground in drawing together employers and training providers to develop the new key skills required to

meet the changing demands of industry as well as developing the skills of the young people of the region to be the future workforce.

### **5.9 Sustainability**

The development of new training courses identified through the Intervention will enable the provision to be incorporated within the mainstream HE and FE provision thereafter as part of the permanent offer within the region.

### **5.10 Constraints**

The project is subject to the following constraints:

- State Aid rules on State Aid as they apply

### **5.11 Dependencies**

The project is subject to following dependencies that will be carefully monitored and managed throughout the lifespan of the scheme:

- Continued core-funding from Welsh Government for the RLSP.
- Revenue support for the Project from the Local Authorities
- Match funding from the private sector.

## 6.0 Management Case

### 6.1 Introduction

The Skills and Talent management case provides key stakeholders with confidence that the capability and capacity to govern and deliver the programme are in place and suitable in order to meet the benefits realisation proposed throughout the business case, ensuring that they and other governance and delivery structures receive information in a timely and transparent manner to help them make informed decisions.

This has been achieved by establishing and operating capacity and capability to implement and manage robust governance and approvals through people, structures, strategies and processes based around Portfolio, Programme and Project Management (P3M) practices and principles. Having these arrangements in place to consider how the programme will manage delivery of the business case, organisation, quality, plans, risk, change and progress will overcome challenges by reducing complexity whilst ensuring appropriate governance is utilised, in doing so will require regular revisits to the strategic, economic, commercial and financial cases, and analysis of the Programme throughout delivery.

The Skills and Talent Programme is strategically owned by the Swansea Bay City Region and the Projects and Programmes within the SBCD and operationally managed by the RLSP Board and the Skills and Talent Programme Office. This approach will provide flexibility in the methodologies that the diverse set of programmes and projects will utilise to manage their development and delivery whilst ensuring the ability of the Skills and Talent Programme to maximise their own benefits realisations whilst meeting the needs of the wider Portfolio.

All governance committees have been established and are fully operational. Robust governance and approvals of the Skills and Talent Programme are through its people, structures, strategies and processes as detailed in the following Management Case.

The Skills and Talent programme will undergo a Gateway 0 external review on the 23 -25 June 2021. The Skills and Talent programme will be reviewed periodically by the CDPO it's regional partners and external stage gate reviews to assess and monitor the success and governance of the project and ensure that the ambitions of the Skills and Talent programme are being met and that value for money and training needs are being addressed to meet the requirements of the individual projects that make up the City Deal and the wider economic success of the region.

The Skills and Talent programme management office have conducted regular reviews throughout the preparation of the business case which has helped shape the business case and the benefits proposed throughout. These recommendations have been endorsed by the Regional Learning and Skills Partnership Board and will be implemented as part of the programme. A summary of the engagement can be found in Appendix K.

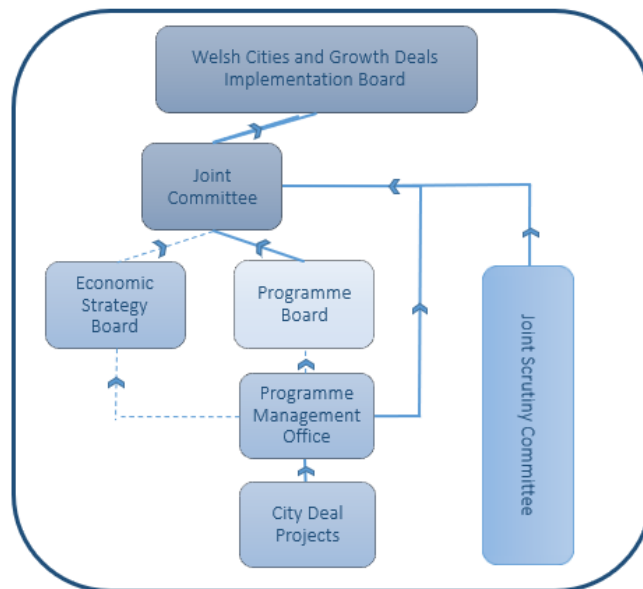
### 6.2 Governance and delivery structures

#### 6.2.1. Swansea Bay City Deal Governance Structure

The SBCD established a legal governance document - the Joint Committee Agreement (JCA) - in May 2018. Leading to the establishment of the SBCD Joint Committee, this document outlines the principles, rights and obligations of City Deal arrangements. Under the terms of the JCA, the four regional local authorities have pledged to work in partnership to discharge their obligations to one another, and to the Welsh Government and the UK Government, to promote and facilitate projects funded under the SBCD. The management processes and

procedures outlined in the JCA include financial cash flow, project approval, risk management and progress updates.

The overarching SBCD governance and delivery structure, as outlined below in Figure 4, is operational with established Terms of Reference for the various boards and committees, membership/post holders, and plans and processes in place to govern and deliver the SBCD portfolio.



**Figure 4 – Swansea Bay City Deal Governance Structure**

| Governance entity           | Purpose                                                                                                                                                                                                                                                                                                                 | Owner/ Lead      | Meets   | Reports to              |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|---------|-------------------------|
| Joint Committee             | Executive board with overall responsibility for scrutiny and business case approvals. It holds the Programme (Portfolio) Board and PoMO to account. Comprises of the four Local Authority Leaders of Carmarthenshire, Neath Port Talbot, Pembrokeshire and Swansea.                                                     | Cllr Rob Stewart | Monthly | WG/UKG                  |
| Programme (Portfolio) Board | Oversees the operations of the SBCD. Responsible for reviewing business case developments and portfolio progress. Consists of the head of paid service of each of the eight primary partners for the SBCD, and is chaired by the SBCD Senior Responsible Owner.                                                         | Wendy Walters    | Monthly | Joint Committee         |
| Senior Responsible Owner    | Appointed by the Joint Committee, the SRO is also the chairperson of the Programme (Portfolio) Board to champion the SBCD and drive its successful implementation by overseeing portfolio delivery and ensuring that appropriate governance arrangements are in place. The SRO holds the Portfolio Director to account. | Wendy Walters    | -       | Joint Committee         |
| Portfolio Director          | Responsible for delivering the Portfolio Business Case and Project Development Roadmap.                                                                                                                                                                                                                                 | Jonathan Burnes  | -       | Joint Committee and SRO |

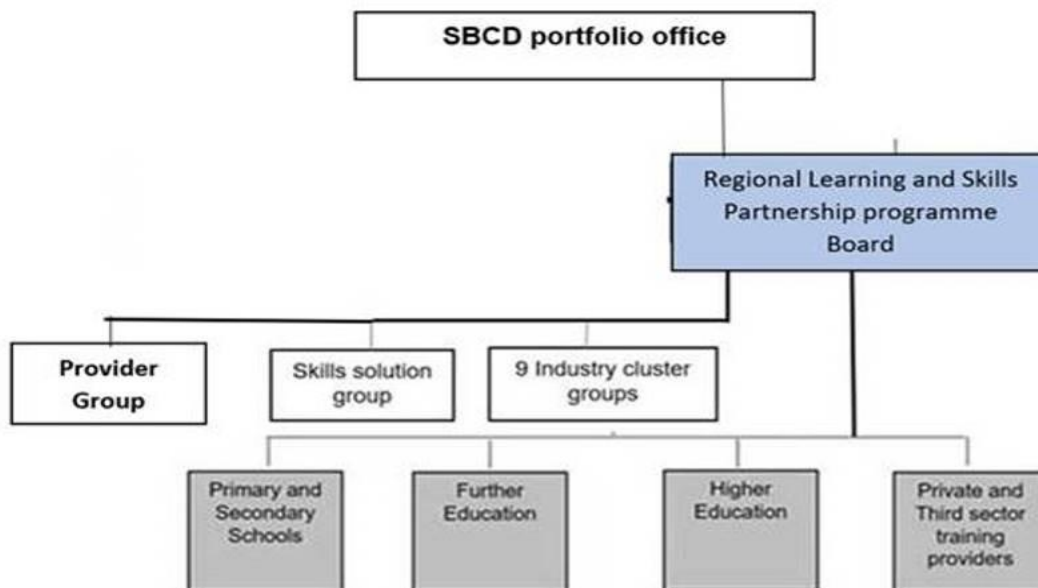


|                              |                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                 |                      |                                                              |
|------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|----------------------|--------------------------------------------------------------|
| Programme / Project managers | Experienced individuals who manage the development of the programme / project Business Cases and implement the Assurance and Approval plan and project plan. Also works with the Portfolio Director and PoMO to apply the Portfolio Development Roadmap. Depending on the size and complexity of the programme / project the Programme / Project Manager will run the Programme / Project Team and manage external advisers. | PM for each City Deal project                   | Monthly              | Project / Programme Boards / SRO and SBCD Portfolio Director |
| Portfolio Management Office  | Responsible for the day-to-day management of matters relating to the Joint Committee and the SBCD.                                                                                                                                                                                                                                                                                                                           | SRO Wendy Walters                               | Weekly team meetings | Joint Committee/ SRO                                         |
| Economic Strategy Board      | Private sector advisory body which acts as the voice of business. Provides strategic direction for the City Deal through advice to the Joint Committee on matters relating to the City Region. The Chair is accountable to the Joint Committee.                                                                                                                                                                              | Chris Foxall (whilst Ed Tomp is on sabbatical)  | Monthly              | Joint Committee                                              |
| Joint Scrutiny Committee     | Provides advice, challenge and support to the Joint Committee for the SBCD Portfolio and associated cross-cutting regional projects/programmes. The full terms and reference for the Joint Scrutiny Committee are set out in the Joint Committee Agreement.                                                                                                                                                                  | Cllr Rob James                                  | Bi-monthly           | Joint Committee                                              |
| Accountable Body             | Carmarthenshire County Council is the Accountable Body responsible for discharging City Deal obligations for the four Local Authorities including financial and staffing matters. The Accountable body is the primary interface for the City Deal with the Welsh and UK Governments.                                                                                                                                         | CEO Wendy Walters<br><br>Leader Cllr Emlyn Dole | -                    | Joint Committee                                              |

**Table 33 Swansea Bay City Deal Governance**

### **6.2.2 Skills and Talent Programme Governance Structure**

The Skills and Talent programme is one of the 9 projects/programmes that make up the Swansea Bay City Deal and is bound by the overarching governance of the City Deal Programme model. The programme will operate in accordance with the Heads of Terms agreed by Welsh and UK Governments and the four local Authorities. The Heads of Terms outlines in detail the City Deal's governance. The Project will conduct its business in accordance with the City Deal's parameters set out by the SBCR Joint Committee, Economic Strategy Board and Programme Board. The Skills and Talent governance and delivery structure detailed in figure 5 below sits below the SBCD structure represented in figure 4. Carmarthenshire County Council is the lead body for the Skills and Talent programme and the Regional Learning and Skills Partnership (RLSP) will be responsible for the delivery of the programme.



**Figure 5 Skills and Talent Programme Governance Structure**

The Regional Learning and Skills Partnership Board for South West and Mid Wales has been in existence since 2010 led by a private sector Board incorporating representatives of further and higher education, training providers and education together with key stakeholders in employability and training in the region. The partnership is transformational bringing business leaders, education and regeneration partners together to help provide a better future for learners and potential learners and people wishing to re-train across the region. The RLSP Board provides an oversight and ‘on the ground’ leadership in relation to the skills requirements and demands of industry.

The RLSP will head the governance structure for the project and through the Skills & Talent PM will ensure the project is managed effectively, to approved timescales and in line with the governance structure of partner organisations. The RLSP will assist all regional and portfolio stakeholders with effective decision-making pertaining to the strategic direction and, where appropriate, the operational delivery of the scheme in order to successfully deliver the benefits outlined within this business case.

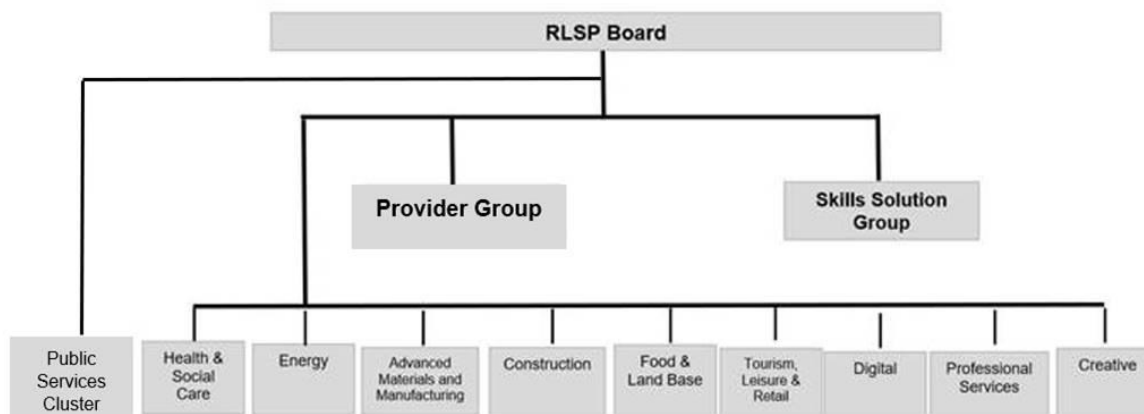
To achieve the requirements of the governance arrangements the Board recommended and unanimously agreed in a special meeting on the 25<sup>th</sup> February 2021 that the Terms of Reference and membership should be updated to meet the governance requirements to deliver the Skills and Talent programme incorporating additional representation from both public and private sector including observers from the Portfolio office. The updated Terms of Reference for the Board can be found in Appendix L. Membership of the group is detailed in Appendix C. The Skills Solution group will have responsibility of working with the Programme management team to identify the skills gaps and develop solutions in the form of projects to deliver the skills requirements to meet the needs of the projects. Appendix M details the terms of reference and membership of the Skills solution group which includes representation of all projects that make up the SBCD.

The RLSP Board will provide leadership and drive forward the vision of the Skills and Talent programme as set out in the Business Case. The remit of the Programme Board will be

delivered under the regional governance framework as set out within the City Deal portfolio business case. The Programme Board will have responsibilities which will include but not exclusive to:

- Securing funding and approval for the programme
- Updating the business case when required in accordance with the requirements and expectations of the Welsh and UK Governments and submitting this via the agreed governance requirements of the SBCD.
- Project level approval of all major plans and seeking approval through the agreed governance arrangements.
- Provide resource required to enable the programme delivery
- Approval of all deviations from agreed tolerances in line with agreed change management arrangements.
- Arbitration on any conflicts that cannot be resolved at Project level and escalation through the appropriate channels as required.
- Reviewing and reporting the programme benefits (outcomes and impacts) and whether they are still achievable.
- Management of major risks and issues at programme level and coordination and escalation of risks and issues that are likely to have an impact on other areas of the Portfolio.
- Initial approval and sign off of key project documentation and coordination of approval of key documentation from wider stakeholders as required.
- Approving and funding key changes
- Guaranteeing equity and catering for the needs of all partners and stakeholders.
- Ensuring longevity of initiatives and programmes created as a result of the Skills and Talent programme.

The Board is supported by nine Industry cluster groups and the membership of each cluster group provide valuable insight into the needs of the industry. Figure 6 below details the board's current breadth of influence across all key employment sectors. Appendix D details the membership of the Cluster groups.



**Figure 6 Regional Learning and Skills Partnership Board Stakeholder Engagement**

The Programme Team will work with the Skills Solutions group, the Provider group, the Industry Cluster groups and the employability group on the delivery of the programme that will include the following areas of work:

- Liaise with the Swansea Bay City Deal projects on skills requirements and ensure that the programme delivers the skills training required to ensure the success of the projects.
- Work with stakeholders to develop projects to meet the training needs of the region and support the development of projects to deliver the skills gap identified.
- Monitor the performance of the projects against the key programme investment objectives to ensure that the programme remains on track to deliver on the proposed outputs.
- Provide support to the RLSP Board to resolve key issues and manage the risks and opportunities within the programme.
- Work with the Regional School Improvement Consortium to prepare a career path plan to support project proposals from schools to deliver on the aims of the programme in raising the aspiration through highlighting opportunities that will be generated through the City Deal projects and other business investments attracted to the region.
- identify opportunities and implement Centres of Excellence in the region that will deliver on key programme outcomes

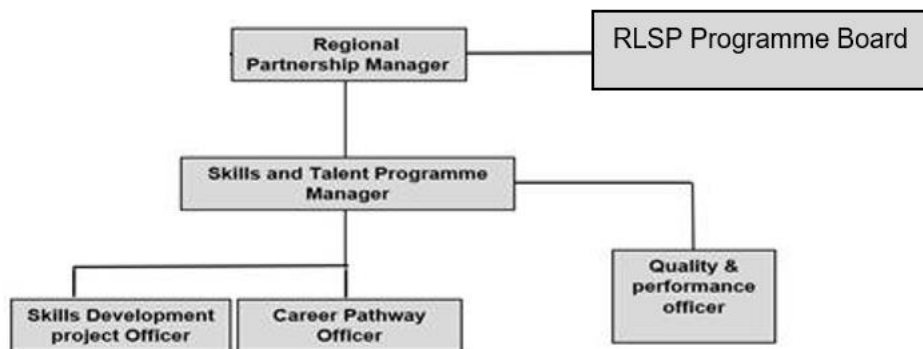
### **6.2.3 Skills and Talent Programme Delivery Team**

The day-to-day operation of the programme will be delivered by the Skills and Talent programme management team who will have responsibility for the delivery programme working to and alongside the Regional Learning and Skills Programme Board. The Programme Implementation Plan (Appendix I) details the timescale of the programme across all five key areas of delivery.

The Programme team will be responsible for:

- Providing the Portfolio Management office, and ultimately Portfolio Board, Joint Committee, UK and Welsh Governments with all necessary reports and documentation as outlined within the Programme and Portfolio IAAP documentation (Attached as Appendix N)
- Developing, implementing, maintaining and monitoring a comprehensive performance management system and evaluation framework that will operate and meet the requirements of both the strategic portfolio and programme level governance.
- Being responsible for the management of the programme including gateway reviews, performance and financial management of the delivery programme, undertaking due diligence as required
- Overseeing delivery and ensuring integration between the respective City Deal projects.
- Maintaining appropriate communication, recording and reporting functions with the wider stakeholder group through the Portfolio Management office.

The Skills and Talent Programme Management team is led by an experienced and qualified Regional Partnership Manager who reports to the Economic Development Manager within Carmarthenshire County Council as the Lead Authority for the delivery of the Skills and Talent Programme. Figure 7 below shows the structure of the Programme Team.



**Figure 7 – Skills and Talent Programme Management Structure.**

- ***Regional Partnership Manager***  
 The post holder is responsible for the development and delivery of the programme; for reporting back to the RLSP, the portfolio office and various boards across the City Deal as required. The post holder will ensure that all risks, benefits and value for money are monitored and reported on a regular basis and that the work of the programme is communicated to all stakeholders and meets the needs determined by the wider City Deal projects and programmes.
- ***Programme Manager***  
 The post holder will work with the RLSP Programme Board, project partners and stakeholders to identify and deliver the skills needs for the region and the portfolio. The skills needs will be developed into pilot skills projects to be funded through the programme to meet the needs of the 8 City Deal projects and other potential investment projects that are attracted to the region.
- ***Skills Development Project Officer***  
 The post holder will be responsible for assisting partner organisations and stakeholders to identify the requirements of the City Deal projects and programmes and develop the projects and ensure that they deliver value for money; the outputs and outcomes required within the programme.
- ***Career Pathway Project Officer***  
 The post holder will be responsible for working with schools to strengthen the link between education and training providers and businesses in the region to work together to implement a skills programme for the City Deal area that will develop a highly skilled and trained workforce for the future “Creating Ambition and Aspiration in All”. The post holder will liaise with the schools across the region to ensure that the projects developed enhance the career pathways into the jobs created by the City Deal projects.
- ***Quality and Performance Officer***  
 The post holder will undertake the day to day financial monitoring of the programme activities and will gather and record the programme and project outputs.

The new roles will be recruited into the Programme Office as soon as possible to bring the necessary skills and experience to successfully deliver the programme.

In addition to these roles Carmarthenshire County Council will provide support services for financial leadership.

### 6.3 Stakeholders

The programme builds upon the momentum created through proven collaborative working. The RLSP has a strong employer and stakeholder engagement programme that has grown to over the last 4 years to over 3000 businesses and all the training providers and public bodies listed below.

- Further Education providers – Coleg Sir Gar (incorporating Coleg Ceredigion); Gower College; Pembrokeshire College; Neath and Port Talbot College and Colegau Cymru
- Higher Education - Swansea University; University of Wales Trinity St David; Aberystwyth University and Open University.
- Local Authorities - All four Local Authorities: Swansea City Council, Neath Port Talbot County Borough, Carmarthenshire County Council and Pembrokeshire County Council. There is also engagement with Ceredigion and Powys County Councils who have an interest in Skills Development in the region.
- Welsh Government - The Departments of: Economy and Infrastructure; Health, Wellbeing and Sport; and Finance and Local Government, together with the First Minister's Cabinet Office.
- NHS - Both Swansea Bay University Health Board and Hywel Dda University Health Boards covering the entire region from an NHS perspective
- Private Sector – Welsh Government designated Anchor and Regionally Important Companies; Large Companies; Small and Medium Size Enterprises in the region. The chairs of each Sector Cluster groups represent the specific sectors within the City Deal themes
- Third Sector organisations
- Skills Solution group representing all HE, FE and training providers who will be instrumental in working with the programme team to deliver skills solutions

The consultation and engagement with all of the organisations/individuals listed above on the proposals for the Skills and Talent programme has been continuous throughout the development of the business case, via face-to-face meetings; questionnaires on skills needs etc; presentations to forums and meetings and workshops.

During the development of the business case for the Skills and Talent programme there has also been extensive engagement with over 300 schools across the region and the RLSP officers now regularly attend Head teacher group meetings and meet with schools to discuss the programme and opportunities for schools to work with the programme team including the development of a Welsh Language level 2 and 3 courses delivered in school for Engineering and Digital studies.

The RLSP have also worked with the 14-19 school co-ordinators to develop specific modules for the support of the City Deal projects within the Welsh Baccalaureate and will utilise this network of co-ordinators to ensure the training developed and delivered, best meets the needs of the wider portfolio.

### 6.4 Use of Special Advisors

Specialist advisors may be necessary in the following areas:

- Technical
  - Capture of requirements
  - Production of service definitions

- Production of procurement documentation
- Interaction with stakeholders and national and regional governments
- Supplier dialogue
- Legal
  - Draft contracts
  - State aid guidance and judgements
  - Procurement support in dialogue and contract finalisation

Where advisors or consultants are engaged this will be completed in line with the procurement principles agreed for the SBCD and the Programme office will engage with the PoMO in order to ensure the appointment provides maximum benefit for the programme.

In addition, the SBCR Economic Strategy Board (ESB) is made up of business sector representatives from sectors including energy, finance, life sciences, manufacturing, housing and economic acceleration. While also applying private sector rigour to the assessment of City Deal programme / project business cases, the ESB makes recommendations to the Joint Committee for consideration. New members were appointed as specialist advisers in 2020 to broaden the representation of further sectors including skills and micro businesses. All ESB member appointments used an open recruitment exercise process and all members are unpaid for their SBCD contributions.

The Skills and Talent programme has already engaged with a number of Specialist Advisors in the preparation of the Business Case these include:

- DS Swallow on the Economic Case
- Joe Flanagan Advisor to Welsh Government
- Belfast and Edinburgh City Deal management office.

## 6.5 Monitoring and Evaluation for Performance and Benefits

The Programme Monitoring and Evaluation processes will replicate those set out in the SBCD Monitoring and Evaluation Plan. The Programme SRO will ensure that the Programme team makes appropriate arrangements to collate, monitor and communicate project milestones, deliverables and benefits realisation. The M&E Plan aligns to the revised HM Treasury Green and Magenta books and the UK Government's Project Delivery Guidance.

The M&E plan will be applied at programme / project level where a two-way cascade of outputs and outcomes will be required to understand performance and impact of the SBCD portfolio. The tools and templates used to monitor and evaluate activity are summarised in the table below, along with their frequency:

| Document                                         | Frequency                                  |
|--------------------------------------------------|--------------------------------------------|
| 1. Highlight report                              | Monthly                                    |
| 2. Monitoring report                             | Quarterly                                  |
| 3. Annual report                                 | Annually                                   |
| 4. Benefits realisation plan / register reported | Continually updated and reported quarterly |
| 5. Milestone evaluations                         | Year 5 and 10                              |

The M&E requires the delivery of two primary components. Firstly, Progress and Performance, which is a periodic assessment of programme / project implementation and performance activities; and secondly, Programme Benefits Realisation/Evaluation, which is the evaluation of their results in terms of relevance, effectiveness, and impact. The Monitoring and Evaluation undertaken by the programme board will provide the SBCD governance structures, namely the Portfolio Management Office, Joint Committee, Programme (Portfolio) Board, Economic Strategy Board and Joint Scrutiny Committee, with information on the progress and impact made towards achieving the programmes milestones, outputs and outcomes. This information will be shared with the Welsh and UK Governments through periodic updates and reviews, while also being made available to the public on an annual basis. Regular updates on the following will be provided in line with the overarching Portfolio M & E requirements:

- portfolio communications,
- RAG rating and summary status,
- key achievements,
- key planned activities,
- key risks and issues,
- output deliverables,
- IAAP,
- Covid-19 Impact Assessment,
- financial monitoring.

The benefits management will assess and review the outcomes that result in change that were achieved as part of the activities undertaken by the Skills and Talent Programme. The milestones to review benefits will be agreed at programme level to ensure that benefits are realistically and meaningfully measured however benefit progress will be reported at least quarterly to the PoMO. These will be aligned to the IAAP and external stage gate review process. Further work will take place in Q2 2021/22 to further develop the plan and associated strategy, map, profile, and reports as required.

## **6.6 Benefits Realisation**

The measurement of benefits within the delivery of the Skills and Talent programme is problematic as there are so many moving parts that change and, benefits could be assigned to. The key SMART objectives will be fully laid out under the Prince 2 methodology so that the delivery can be clearly identified in terms of benefits that will be derived and delivered from the programme.

An overarching benefits measure should be the number of skills increases across the region, linked with the ongoing ability of the individuals benefiting from the Skills and Talent programme and percentage of these who are able to successfully obtain employment in the intended areas of industry as a direct result of the programme.

All Skills and Talent Programmes are enabling in its nature, if there is no demand or beneficial use that can be made, then it would have no value. As such many of the outputs and benefits identified are predicated on the future opportunities to the regional workforce maximising the opportunities provided by the skills and talent programme in order to produce relevant training in order to meet the current skills gaps and provide suitably qualified individuals to take up the employment opportunities available as a result of the wider portfolio.

In order to measure a benefit against the intended outputs of the programme, ideally a base-line position would need to be identified, so that improvement or degradation can be seen. Whilst the setting of a base-line would be open to interpretation there is data readily available



in order to determine the level of skills and talent within the region. It is therefore proposed that metrics will be devised in order to assess the impact of the Skills and Talent programme and the population of South West Wales. The Benefits Register for the programme is attached as Appendix O.

The lasting legacy of the programme will be the establishment of a range of new skills courses across a range of sectors. The collaborative working established as part of this Programme will ensure that all sectors will be involved in the development of “fit for purpose” skills training for the region in order to achieve the City Deal aim of developing a highly skilled workforce for the region. This joint working will provide lasting improvements including:

- Improved efficiency through integration of services and elimination of duplication which will benefit the learner and the potential learner by freeing up resources.
- Flexible and responsive approach to the needs of the local labour market by bringing learning and skills together with regeneration opportunities in the region. This will benefit the learner by delivering relevant learning opportunities with greater potential for employment.
- Availability of informative, up to date information to help in strategic planning; ensuring the most appropriate learning opportunities and progression routes are available for learners in the region, which will benefit the learner by providing pathways.
- The Programme ultimately aims to inform the restructuring of provision of publicly funded training and education in the region.
- Flexible and responsive approach to the needs of the local labour market by bringing learning and skills together with regeneration opportunities in the region, which will benefit the learner by delivering relevant learning opportunities with greater potential for employment.

The measurement is not meant to be comprehensive but focus instead on the most likely indicators that would give a positive measure of the benefits realised through undertaking the Skills and Talent Programme. The measurement itself will need to be carried out through a sample based primary research programme, which will allow additional benefits to surface.

The measurement of benefits from the programme will be over a long period of time as there are a number of areas e.g. schools where the impact will not be seen until the child in primary school in 2021 will be leaving school in 12 years. However, there will be some more immediate measurements where upskilling can take place to support specific projects from within existing workforce or people in colleges and universities that will become aware of opportunities within the City Deal projects during their study years.

## 6.7 Risk Management Strategy

**Risk** is defined as the uncertainty of outcome, whether positive **opportunity** or negative **threat**, of actions and events. The risk must be assessed in respect of the combination of the likelihood of something happening, and the impact which arises if it does actually happen. Risks that have occurred, or will do so imminently, are no longer risks, but are known as **issues**. They are no longer risks because the uncertainty about whether they will occur has been removed.

A Programme Risk Management Strategy will be developed in Q2 2021/22 and will be aligned to HMT Green Book supplementary guidance: The Orange Book, the strategy defines the risk appetite and tolerance of the SBCD, as well as principles of the strategy, along with a

documented process for identifying, assessing, addressing and measuring risk and issues. The risk management strategy is led from the top of the SBCD and is embedded in standard practices and processes of the SBCD governance arrangements.

The purpose of the Risk Management Strategy is to provide a systematic and effective method by which risks can be consistently managed throughout the SBCD Portfolio. This will:

- Inform stakeholders how risks will be identified, assessed, addressed and managed
- Provide a common strategy and understanding of portfolio management that will enhance the capability, willingness and understanding of appropriate governance and assurance, thereby increasing the likelihood of successful delivery of the SBCD aligned to the regional ambitions
- Detail the key roles and responsibilities of groups and individuals associated with the SBCD with respect to programme management
- Signpost to additional resource, support and training
- Provide standard definitions and language to underpin the risk management process
- Implement an approach that follows best practice

The Programme risk management approach is based on P3M (Portfolio, Programme and Project) and HM Treasury Orange Book best practices.



Figure 9 HM Treasury Orange Book Best Practice model

The Programme currently has a risk register (Appendix F) and regularly reports on prioritised risks through the PoMO in order to inform the Portfolio Stakeholders of pertinent risks. The risk register is sub-divided into the themes of development, implementation, operational and financial. Each risk provides details of the description, owner, consequence and a review update, accompanied by a scoring based on probability and impact for each risk. The identification and assessment of risks in the risk register are aligned to the UK and Welsh Government Guidance, where risks fall into three main categories:

|                 |                                                                                                                                                          |
|-----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Business</b> | Business related risks remain with the public sector and can never be transferred                                                                        |
| <b>Service</b>  | Service-related risks occur in the design, build, funding and operational phases of a portfolio and may be shared between the public and private sectors |
| <b>External</b> | External systemic risks affect all society and are unpredictable and random in nature                                                                    |

**Business-related risks** that can affect the scope, time and cost at portfolio level are summarised as follows:

- Displacement as a result of competing with other regions across Wales
- Lack of funding from Welsh and UK Governments
- Lack of inward investment from private sector
- Lack of quality human capital within the region
- Political conflict at Regional, UK and Welsh Government levels

**Service-related** risks will be managed by each of the City Deal programmes and projects, who will maintain, manage and monitor their own risk registers in line with guidance from the Green Book and the PoMO governance arrangements. Any significant risks that may affect portfolio deliverables will be escalated to the PoMO and reported and managed via the regional governance structure.

**External Risks:** Although not within the control of the programme, external risks are significant to delivery and are therefore monitored accordingly. Key business risks captured in a programme risk register are:

- Length of time for the approval of the business case
- Failure to increase the number of skilled individuals
- Lead in times in the development of new skills offer in the region.

The Programme Risk Register is considered by the PoMO for escalation to Programme (Portfolio) Board and Joint Committee on a quarterly basis. This document is also available for review by Joint Scrutiny Committee.

The Programme Risk Register is an important tool and will form part of the Skills and Talent Risk Management Strategy and helps the Programme board and PoMO document risks, track risks and address them through preventative controls and corrective measures.

The Programme board will also establish an issues log in order to facilitate the management of issues at the appropriate time. The Issues Log will be updated quarterly and reported on by exception through the Governance structure via the Quarterly Monitoring Report.

## 6.8 Communication Plan

All communications relating to the Skills and Talent programme will be managed through Carmarthenshire County Council media team working alongside the PR departments of the four Local Authorities and the SBCD Portfolio office.

## 6.9 Contingency

The City Deal's Joint Committee Agreement outlines contingency arrangements for several scenarios. The scenarios identified include the withdrawal of a programme / project from the City Deal portfolio, the change of a project local authority lead, and the withdrawal of a partner

from the City Deal portfolio. All these scenarios and contingency arrangements will be managed via the portfolio and programme / project risk registers and issue logs and reported accordingly. Risk management is not the same as contingency planning. Risk management is about identifying, assessing, avoiding, mitigating, transferring, sharing and accepting risk; while a contingency plan is about developing steps to take when an actual issue occurs.

The RLSP Programme Board will establish contingency plans to develop steps to take when an issue occurs.

When a Risk has undergone all mitigation and the situation becomes certain, the occurrence becomes an issue. The Programme Board will advise the PoMO as soon as reasonably practicable and adopts the following process to ensure the issue is managed appropriately.

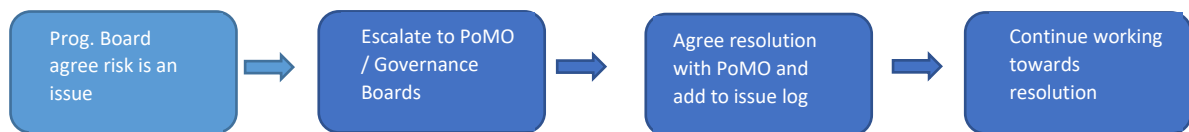


Figure 8 Moving a Risk to an Issue

All four local authorities are subject to the JCA, which will be kept under review.

The Programme office will work with the PoMO to ensure that contingency arrangements are considered and in place at a programme and project level to manage potential scenarios in the development, delivery and operational phases of the individual schemes.

### 6.10 Post Funding/Continuation Strategy

The City Deal funding will facilitate the identification of projects to identify the skills gaps and the development of new skills within the region. The development of a new framework of skills to meet industry needs will be funded through pilot development from the City Deal and future delivery would be adopted through the Welsh Government Skills funding programme.

It is anticipated that the RLSP will demonstrate ongoing commitment to the training schemes developed through the City Deal Skills and Talent programme by working with Welsh Government Skills and Training to include all new frameworks developed as part of the programme within mainstream delivery in FE colleges and work- based learning apprenticeships in future.

## Glossary of Terms

|                  |                                                 |
|------------------|-------------------------------------------------|
| <b>RLSP</b>      | <b>Regional Learning and Skills Partnership</b> |
| <b>CDP</b>       | <b>City Deal Portfolio</b>                      |
| <b>FE</b>        | <b>Further Education</b>                        |
| <b>HE</b>        | <b>Higher Education</b>                         |
| <b>DCMS</b>      | <b>Department of Culture Media and Sport</b>    |
| <b>SBCD</b>      | <b>Swansea Bay City Deal</b>                    |
| <b>CPD</b>       | <b>Continuous Professional Development</b>      |
| <b>CDPO</b>      | <b>City Deal Programme Office</b>               |
| <b>PM</b>        | <b>Programme Management</b>                     |
| <b>PoMO</b>      | <b>Portfolio Management Office</b>              |
| <b>M &amp; E</b> | <b>Monitoring and Evaluation</b>                |

