

Delivering Together Compact Agreement

Working with the Voluntary and Community
Sector in the County Borough of Caerphilly



**GIG
CYMRU
NHS
WALES**
Bwrdd Iechyd
Aneurin Bevan
Health Board

South Wales
Fire and Rescue Service



Gwasanaeth Tân ac Achub
De Cymru



**Gwent
Association of
Voluntary
Organisations**

Registered Charity No. 1113556
Company Limited by Guarantee

**CAERPHILLY
BUSINESS
FORUM**



**CAERPHILLY COUNTY BOROUGH
COMMUNITY & TOWN COUNCILS**

Mae'r ddogfen hon ar gael yn Gymraeg, ac mewn ieithoedd a fformatau eraill ar gais.
This document is available in Welsh, and in other languages and formats on request.

FOREWORD

First established in 1999, this Compact is an agreement between organisations and the voluntary and community sector in the Caerphilly county borough. The Compact recognises the mutual benefits that can be gained from close co-operation and sets out guidelines for how all parties should work together. Caerphilly county borough has a vibrant and active voluntary sector which plays a complementary and distinct role in identifying and meeting the needs of local people. Considerable progress has been made in harnessing the work of the voluntary sector together with other major players in the borough.

This is the fifth compact agreement for the Caerphilly county borough and provides an effective framework for working to strengthen our partnership together in providing quality services to local people and communities.

In this centenary year of the mining disaster in Senghenydd the mining wheel is being used for the imagery of this new Compact Agreement symbolising the interconnectedness of Partners coming together in delivering for the borough.

In these challenging economic times the financial pressures facing public services make it even more important for the partnership working of the Compact to be actively supported and encouraged.

COMPACT PARTNERS

Gwent Association of Voluntary Organisations (GAVO) - the county voluntary council in Caerphilly. GAVO is an umbrella organisation providing support, advice and information to the voluntary and community sector with over 800 members in the county borough. GAVO represents the voice of the



Caerphilly Local Service Board

voluntary sector at the Caerphilly Local Service Board and at a strategic level across the county borough. GAVO supports joint working through the Caerphilly county borough Community Strategy, the Voluntary Sector Liaison Committee and strategic partnerships. GAVO is a partner on the Caerphilly Local Service Board.

Caerphilly County Borough Council - is responsible for all local government services in the borough and is a partner on the Caerphilly Local Service Board. The Council is the lead organisation for community planning and developing the Single Integrated Plan for delivering the borough's Community Strategy. The Council employs over 9,000 staff and has 73 elected Councillors. The Council has recruited over 260 young people either as a work placement, apprenticeship or trainee providing real opportunities to help people on the career ladder by offering quality, paid work placements in 2011-12.

Gwent Police - covering an area of 600 square miles bounded by Abergavenny in the North, Newport in the South, Chepstow in the East and Caerphilly in the West. The Gwent policing area is mixed, rural and urban. Gwent Police actively encourages and develops working partnerships with the voluntary sector, local authorities and businesses with a shared goal of creating safer communities. For Gwent Police these partnerships mean additional resources to fund the equipment and services needed to help reduce crime, disorder and antisocial behaviour. Gwent Police is a partner on the Caerphilly Local Service Board.

Gwent Police are currently strengthening their engagement with volunteers. They are actively developing roles where volunteers can play an important part within the organisation. Last year saw the introduction of twenty young Police Volunteer Cadets within the borough. Plans are already in place for further intakes of voluntary Cadets in 2013.

Police and Crime Commissioner Office - the Police and Crime Commissioner was elected in November 2012 and is the person responsible for representing the people of Gwent and ensuring that the service provided by the police is efficient and effective. The Commissioner holds the Chief Constable to account for the delivery of local policing, publishes a Police and Crime Plan, sets the force budget and precept, regularly engages with the public and communities and appoints the chief constable. The Commissioner also works with partners to prevent and tackle crime and re-offending. The Commissioner is supported by



Gwent Police

the Office of the Police and Crime Commissioner, and replaces the former Gwent Police Authority, a previous partner to the Compact Agreement.

Aneurin Bevan Health Board - the Aneurin Bevan Health Board is the operational name of the Aneurin Bevan Local Health Board. The Health Board was established on the 1st October 2009 and covers the Local Authority areas of Blaenau Gwent, Caerphilly, Monmouthshire, Newport, Torfaen and South Powys.

In the Caerphilly county borough, the Aneurin Bevan Health Board is responsible for the planning, implementation and co-ordination of local health services. It is responsible for the delivery of primary care services through GP Practices, pharmacies, dental practices and optometrists.

The Aneurin Bevan Health Board has an important role to play in multi-agency, integrated assessment of the needs of the local population to identify how to develop services to improve health, social care and well-being and reduce inequities across the borough. The Aneurin Bevan Health Board is a partner on the Caerphilly Local Service Board.

South Wales Fire and Rescue Service - the Service is one of three Fire Services in Wales covers the area of ten local authorities and is committed to making communities a safer place to live, work and visit. The Community Safety and Partnership Department of the Service is actively involved in developing strategies to reduce deliberate/arson fires, accidental fires and road traffic accidents throughout the Service area. The Partnership working groups highlight and influence not only the physical and social effects of fire and road accidents, but also the cost to the communities. These groups work together and towards providing a safer community.

Caerphilly county borough Community/Town Councils - are joining the Compact Agreement for

the first time, and are a welcome addition as the most local, first tier level of government. There are 18 community councils throughout the borough with a Charter for Community/Town Councils in place with Caerphilly County Borough Council, which acts as an exchange of information, and defines the areas of activity which should be consulted on.

Caerphilly Business Forum - is the leading business network in the Caerphilly county borough, and is a new member to the Compact Agreement. It gives a voice for the business community and acts as an independent lobbying organisation representing businesses in the local area at regional and national level. It provides an important interface with Caerphilly County Borough Council and has close working relations with the Business Enterprise Support Team. Membership is available to all businesses in the county borough, whatever their size and sector. Members benefit from networking, and are able to promote their company's events and business news on the Forum's website, Twitter, Facebook and Linked In. The Caerphilly Business Forum also holds the long running Caerphilly Business Awards, which are dedicated to showcasing the best businesses in the borough.

COMPACT PARTNERS' COMMITMENT

All Partners to the Compact Agreement agree to adhere to the values, principles and broad commitments of the Compact and to actively work together for the benefits of local people and communities.

ACHIEVEMENTS OF COMPACT PARTNERSHIP WORKING 2008-2012

Here are just a few highlights of the many achievements of partnership supported and underpinned by partnership working, illustrating the real benefits of the partnership work of the Compact:

- Opening of the new Ysbyty Ystrad Fawr hospital in the county borough in 2010-11.
- Commencement of building the Rhymney Integrated Health and Social Care Centre, due for completion by June 2013.
- Establishment of the Gwent Frailty Programme providing more responsive services in the care of frail people, resulting in less hospital admissions and improved reablement of people in their own homes.
- Technical assistance funding, designed to shorten

the waiting time for voluntary organisations when making an application for further funding in order to provide outline architectural drawings, ground surveys and building condition surveys, has pulled in over £8 million additional investment to the borough since its inception. Notable in this centenary year of the Senghenydd Mining Disaster of 1913 is funding granted to the Aber Valley Heritage Group, which has attracted other funding for the development of a first Welsh National Mining Memorial, a landmark close to the former Universal Colliery site in Senghenydd that will be dedicated to all mining communities across Wales, whilst also honouring the victims of one of the worst colliery disasters in British history.



'The Rescue' depicting a miner rescuing his colleague
(with permission of the Aber Valley Heritage Group)

- Funding of £4,984,000 gained for 444 voluntary organisations covering services across the borough in 2011-2012.
- Under their volunteering programme GAVO received 1,394 volunteering enquiries, with 909 people interviewed and 206 people securing placements in 2011-2012.
- Through the role of the South Wales Fire and Rescue Service Third Sector Co-ordinator 1,152 Home Fire Safety Checks carried out with partnership agencies, with an additional 61 checks carried out with the Caerphilly Hospital Discharge Service for 2011-12.

- Up to £5 million in unclaimed benefits was claimed for residents in the borough through the maximising income partnership work in 2011-12.
- The Safer Caerphilly Volunteer Network incorporates the diverse range of individuals who are actively involved in their communities and have an interest in working alongside other partner agencies to tackle crime and anti-social behaviour. The Volunteer Network is made up of 230 individuals from groups such as Neighbourhood Watch, Crime Prevention Panels, Community Groups and Partnerships, Street Pastors and Tenants and Residents Associations.
- A team of 30 volunteer Street Pastors helping assist people in town centres at night handing out flip flops, confectionery, water and space blankets to people in need and aiding people in distress went live from 16th October 2009, and now covers Blackwood, Caerphilly and Risca.
- Police Community Support Officers deployed throughout the borough working closely with Communities First.



Adventure and creative play

- Provision of adventure and creative play in the borough including inclusive play opportunities for disabled children.
- Walking groups established across the borough in promoting recreational and physical activity in organisations and to the public.
- Sign up to the Climate Change Project, involving commitments from organisations and individuals to tackle climate change in the borough, an education and awareness project, and a wildlife connectivity project.

INTRODUCTION

The Compact provides the framework for the voluntary and community sector in the borough and other Compact Partners to work together. The Community Strategy in the borough has been a key focus of partnership activity. The Community Strategy has been in place since November 2004 and is a 15 year strategy to make the borough a better place to live, work and visit. The Community Strategy is overseen by Caerphilly Local Service Board, which has agreed five outcome areas for delivery, via its Single Integrated Plan, called *Caerphilly Delivers*:

- Prosperous Caerphilly
- Safer Caerphilly
- Healthier Caerphilly
- Learning Caerphilly
- Greener Caerphilly

The outcomes are grounded on the principles of Equalities and Welsh Language, Sustainable Development, Early Intervention and Prevention Goals, and Community Cohesion. *Caerphilly Delivers* provides the delivery framework for achieving the outcome areas up to 2017. The Single Integrated Plan has been one of three priority work areas for Caerphilly Local Service Board, alongside tackling Child Poverty and Alcohol Abuse.



Community cohesion showcase event

Compact Partners play a key role in ensuring the delivery of the Community Strategy through their organisations concerted actions. The Compact Partners are brought together through the Voluntary Sector Liaison Committee, which meets quarterly, providing a lively forum of discussion, debate and decision. The Compact Agreement is reviewed every four years or sooner if there is an agreed need to do so.

FRAMEWORK FOR MANAGING THE COMPACT

The Compact is delivered and monitored through an annual Compact Action Plan, which provides a detailed programme of work for shared activities. This work focuses on actions around the Caerphilly borough's Community Strategy, volunteering and funding. The Single Integrated Plan *Caerphilly Delivers* has the following priorities under each outcome area, which will be reflected in the annual Compact Action Plans:

PROSPEROUS CAERPHILLY

- P1** Improve local employment opportunities including access to opportunities across a wider geographical area
- P2** Improve standards of housing and communities, giving appropriate access to services across the county borough
- P3** Provide support to enable local people to compete for all employment opportunities.

SAFER CAERPHILLY

- S1** Reduce incidents of anti-social behaviour incidents and reduce fear of becoming a victim of anti-social behaviour for residents
- S2** Reduce crime and the fear of crime for the residents of the county borough
- S3** Reduce the harm caused to communities through substance misuse
- S4** Ensure people are supported to live in their own communities to lead safe, fulfilled and independent lives

LEARNING CAERPHILLY

- L1** Improve the basic skills, levels, and qualifications (formal and informal) to improve life opportunities for families
- L2** Develop a multi-agency approach to address the impact of poverty on pupil attainment.
- L3** Children, young people and families have the skills and resources to access job opportunities.

HEALTHIER CAERPHILLY

- H1** Address the inequities in the rate of low birth weight babies across the county borough
- H2** Improve lifestyles of the population in the

county borough so that people recognise and take responsibility for their own health and well-being, and make use of the opportunities and support available to them

- H3** Reduce the variation in healthy life expectancy in the county borough so that the health and well being of individuals experiencing disadvantage improves to the levels found among the advantaged.

GREENER CAERPHILLY

- G1** Improving local environmental quality
- G2** Reduce the causes of and adapt to the effects of climate change
- G3** Maximising the use of the environment for health benefits.

A Compact Action Plan Annual Report is presented to the Voluntary Sector Liaison Committee every June, and is circulated widely through the Compact Partners networks.

The Voluntary Sector Liaison Committee consists of 15 councillors (in place for term of Council) and 25 voluntary sector representatives who are elected every three years by voluntary sector organisations.

FUNDING PROTOCOL

In 2008 the then Teaching Local Health Board and Caerphilly County Borough Council agreed a funding protocol with the voluntary and community sector. This protocol has been reviewed for 2013 – 17 by Caerphilly County Borough Council and the Aneurin Bevan Health Board. The updated version of the Code is contained in Appendix 1.

NEW DEVELOPMENTS FOR THIS COMPACT PERIOD

INVOLVING BUSINESS

Compact action plans in this Compact Agreement period will be focusing on strengthening the role with local business, and the key role they play in fostering prosperity through employing local people and investing in local communities and keeping town centres alive. The Caerphilly Business Forum is a most welcome addition to the Compact and the emphasis will be on maximising the opportunities of Compact Partners working together with business.



Voluntary Sector Awards Celebration Evening 2012

HELPING YOUNG PEOPLE INTO EMPLOYMENT

The Passport Programme, sponsored by Caerphilly Local Service Board, provides a route to employment for young people aged 16-24 years. The aim of the Passport Programme is to provide a comprehensive one stop employment support and training programme linked directly to sustainable employment opportunities in meeting the current and future skill requirements of the Local Service Board and Compact Partners, and other employers in reducing levels of unemployment and benefit dependency amongst young people locally. The programme supports Communities First interventions and maximises the impact of the Welsh Housing Quality Standard Investment Programme by linking innovative procurement practices to genuine employment and training opportunities for young people.

PROCUREMENT

Procurement is the process of acquiring goods, works and services from a third party, whether a private or voluntary sector organisation. The Council's Procurement Service has worked closely with the voluntary and community sectors over the term of the last Compact Agreement providing training sessions, and tailored support, and will continue to do so for this new Compact Agreement period.

Not all services procured under Service Level Agreements (SLAs) and S28As will be via the Council's Procurement Service. Where there is a clear Health Service lead for such services, procurement for the services in question will be via the Aneurin Bevan Health Board procurement policies and procedures.

While the underpinning aims and objectives of procurement services for Aneurin Bevan Health Board and the Council will be similar, for accountability and governance responsibilities, procurement for Health related services will be made via arrangements with the Aneurin Bevan Health Board.

The purpose of the Procurement Service is to promote effective procurement across Caerphilly County Borough Council and the Welsh Public Sector, whilst delivering supply chain management that will assist service departments to develop better public services for residents, considering whole life costs, sustainability and maximising the use of a mixed economy of suppliers.

Caerphilly County Borough Council must monitor it's spend and ensure that all contracts are compliant with European Union Directives and Internal Standing Orders for Contracts, and although the directives provide much more flexibility to the procurement process than was previously possible, continued education and awareness is required to ensure that people understand the necessity for compliance.

Whilst maintaining a clear focus on squeezing the best value out of every pound spent, procurement activity must also contribute to the key aims and objectives of the Council. High on the Council's agenda is the promotion and adoption of Community Benefits, including sustainability and targeted recruitment and training, now key considerations in any significant procurement project.

Within procurement rules the Council's Procurement Services function is committed to ensuring that local businesses and voluntary sector organisations are given every chance of success when tendering for goods, works and services. For this purpose, the Council employs a dedicated Supplier Relationship Officer who is available to provide guidance and support to all organisations in relation to the procurement processes and the modern technology now adopted. The Council will endeavour to ensure that more local organisations (whether private or voluntary sector) are successful in securing contracts with the Council following fair, clear and transparent procurement processes.

COMMUNITIES FIRST

The Communities First Programme has changed since the last Compact Agreement and is now a Community Focused Programme that supports



Voluntary Sector Committee

the Welsh Government's Anti Poverty agenda. To facilitate the engagement of key partners and maximise resources the new programme structure will be based on fewer, larger clusters. In the Caerphilly borough the Welsh Government has approved four clusters areas; Upper Rhymney Valley, Mid Valleys East, Mid Valleys West and the Caerphilly Basin. The programme, with collaboration opportunities for all compact partners, will focus on actions that can be undertaken, with support of the community that will have the greatest impact on Education / skills, Economic and Health outcomes. These outcomes align with the outcomes set out in *Caerphilly Delivers*.

WIDER PUBLIC SERVICES SCRUTINY

The Local Government (Wales) Measure 2011 makes changes intended to strengthen the structures and working of local government in Wales at all levels and will help ensure local councils reach out to and engage with all sectors of the communities they serve. Extending the powers of local government scrutiny is designed to reflect increasing collaboration in the delivery of public services, to clarify and recognise different organisations' contributions to the delivery of shared outcomes, and to understand how to encourage better partnership working. Currently Caerphilly Council is involved in a Wales Audit Office Scrutiny review and will be implementing the Measure from April 2013. Compact Partners will be fully briefed on the developments, and their engagement sought as appropriate to the Measure.

THIRD SECTOR FUNDING AND STRATEGIC COMMISSIONING

The Voluntary Sector Liaison Committee will focus on harnessing the voluntary sector in making joint funding bids around the priorities of *Caerphilly Delivers* the borough's Single Integrated Plan. To this end the Voluntary Sector Liaison Committee will facilitate with Compact Partners more effective and efficient commissioning. This will ensure better outcomes for local people.

SHARED VALUES AND PRINCIPLES

All partners to this Compact seek to adhere to the following values and principles:

- **good quality communication** - there is an obligation on Compact Partners to engage in constructive dialogue at all stages of partnership work.
- **equality of opportunity** - employment and service delivery issues should be handled in a non-discriminatory manner and equality of opportunity should be built into initiatives to ensure that all services are equally accessible to everyone.
- **social inclusion** - activities undertaken in partnership should be developed in ways that enable involvement of as many sections of society as possible, by actively addressing factors that can lead to exclusion (for example child care, poor transport, low incomes, lack of information, debt).
- **sustainability** - joint action to improve the quality of life should not be at the expense of the environment and/or jeopardise the natural resources available for future generations.
- **openness and accountability** - joint work / financial transactions should be conducted in an open and honest manner with clear documentation.
- **information/intelligence sharing** - to ensure that initiatives are developed in light of all available facts (subject to confidentiality constraints).
- **proposals for partnership work** - must be reported to the Voluntary Sector Liaison Committee and assessed at the outset to ensure that the above factors have been taken into consideration. Initiatives must then be periodically reported to the Committee updating progress with the initiative.

COMPACT COMMITMENTS

All parties will work to promote the Compact across their organisations and make the following broad commitments:

Public Sector Bodies commit to:

- Working with the voluntary and community sector (VCS) organisations to expand the range of services and activities available to the local community.
- Respecting the independence of the sector, including its right within the law to campaign and to challenge policies.
- Ensuring that the VCS has an equal say in the development of all relevant policies and programmes.
- Recognising the important role of GAVO as the Local County Voluntary Council (CVC) as a source of support, advice, information, guidance, representation, volunteering and training for the voluntary sector organisations.
- In delivering public services through the VCS, using procurement rather than grants and agreeing outcomes which capture the added value of services, which may result from delivery by the VCS.
- Minimising bureaucracy, in line with corporate governance requirements, associated with application, qualification, monitoring and reporting, and audit processes and introduce joined-up monitoring and audit arrangements.
- Working with the breadth of the VCS, including small community organisations, social enterprises, ensuring all 9 protected characteristics of the Equality Act 2010 are taken into account as appropriate in joint work undertaken (Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion and Belief, Sex, Sexual Orientation).
- Following best practice around the management of volunteers.
- Ensuring staff have an understanding of how the VCS sector works in enhancing the provision of public services.

VCS organisations commit to:

- Operating through open and accountable organisations.
- Ensuring policy positions and consultation responses fully reflect the views of stakeholders and constituents.



Local Service Board standing conference, November 2012

- Setting clear outcomes to be delivered when competing for contracts.
- Having robust monitoring, evaluation and financial management systems which provide accurate and timely information to funders and account for public funds.
- Recognising the legal and financial constraints within public sector bodies operate and the role of elected members in setting Council policies / Board members in setting the Aneurin Bevan Health Board policies.
- Implementing good practice in the management and recruitment of volunteers, providing access to training and support.
- Supporting the need for high quality public services in the community.
- Contributing to delivering on the Community Strategy outcomes for the Caerphilly county borough.

All Compact Partners commit

in relation to the Voluntary Sector Liaison Committee:

- Attending quarterly meetings of the Voluntary Sector Liaison Committee.
- Submitting reports on items of key interest to the Voluntary Sector Liaison Committee.
- Using this committee (in association with the GAVO Forums/networks) as a primary mechanism for consulting with the VCS.
- Giving full and honest answers to all questions submitted in advance by the VCS for discussion at these meetings.
- Having a nominated, senior officer with responsibility for co-ordinating input to the Committee and acting as GAVO's first point of contact, supported by a network of other officers as necessary.

in relation to consultation and engagement:

- Involving the voluntary sector representatives in the development of key policies, at the earliest possible opportunity.
- Having clear, jointly agreed mechanisms for consultation and engagement, in particular ensuring involvement of disadvantaged, socially excluded, and marginalised group, and as appropriate across the spectrum of the 9 protected equality characteristics (Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Race, Religion and Belief, Sex, Sexual Orientation).
- Ensuring staff identify for VCS organisations which have expressed an interest in their areas of service delivery are, included in consultations, and encourage to participate in reviews of service provision, especially in relation to the Council's Improvement Plan, which states the Council's priorities and details how they will be achieved on a three year basis.
- Consultations (where possible) should be of a minimum 12 week duration to ensure meaningful discussion can take place with networks, making for a more informed response to the consultation.
- Providing feedback on the response to and outcome of consultation exercises.

in relation to funding issues:

- Using contracts rather than grants when VCS organisations are delivering public services, and ensure that tender procedures are as accessible as possible for VCS organisations. Risks to the Council however, should always be given due consideration, particularly where a tender/contract undertaking is involved.
- Ensuring that all grants awarded outside of small grant schemes are confirmed via Service Level Agreements, which clearly set out specific outputs and outcomes to be delivered for the benefit of the community, and take into account equalities policies.
- Fund posts at similar pay levels and appropriate conditions of service, to their own employees where parity (either generally for the voluntary sector or specifically to an individual post) is properly evidenced.
- For VCS to abide by agreed terms and conditions of funding, and recognise the financial constraints that public sector bodies operate within.

in relation to volunteering:

- Support volunteering initiatives in the Caerphilly county borough recognising volunteering is an important way of expressing active citizenship, and is beneficial for both the individual and the wider community, and can be a useful way back into paid work.
- Let volunteers know clearly what is expected of them, with clearly specified lines of support and supervision, provision of training, safe working conditions and the payment of expenses.

in relation to service provision:

- For service specifications to have a clear structure, aims and objectives, a written statement that describes how decisions are made, with accountability and governance arrangements built in and an equalities and sustainability policy.
- Provide high quality, cost-effective services.
- Advise the Compact Partners of any unmet community needs via the Voluntary Sector Liaison Committee.

in relation to community development:

- Work with GAVO, and through the VCS, in all community development work undertaken in the Caerphilly county borough with all partners.
- Work together with GAVO and the VCS on partnership bids for external funding, with the aim of moving towards pooling resources for community development initiatives.
- Assist partners by finding innovative ways of involving socially excluded and marginalised groups in community and voluntary sector activity.
- Assist local communities put forward views so that they shape community development work.

in relation to other aspects of joint working:

- Ensure that all Compact Partners and staff from their organisations abide by the above commitments as a matter of policy and treat each other with respect.
- Oppose discrimination in any form and assist Compact Partners by finding innovative ways of involving socially excluded and marginalised groups in society in community and voluntary sector activity.
- To operate within the individual respective Compact Partners Strategic Equality Plans and Welsh Language Schemes.

CONFLICT RESOLUTION

The Compact has been in place since 1999 and positive relationships have been maintained and strengthened among Compact Partners over this time period. Discussions take place in the Voluntary Sector Liaison Committee where a way forward can be agreed on issues. However, if disagreements (not involving funding issues) prove difficult to resolve after all avenues have been pursued they will be referred by GAVO to the Caerphilly Local Service Board for further consideration. The Caerphilly Local Service Board comprises of senior representatives of the Compact Partners from Caerphilly County Borough Council, Gwent Association of Voluntary Organisations, the Aneurin Bevan Health Board, Gwent Police and Welsh Government.

FURTHER INFORMATION & COMMENTS

For a copy of the Compact annual action plan and annual report and for more information on the Compact and the Voluntary Sector Liaison Committee please contact GAVO.

For more information on the Community Strategy or Caerphilly Local Service Board please contact the Policy Unit, Caerphilly County Borough Council.

Regular progress on the Compact is also available at: <http://your.caerphilly.gov.uk/communityplanning/content/voluntary-sector>



Community Cohesion Showcase event

We would like to know what you think of the Compact and would welcome your views on how we are delivering on the compact action plans. Please get in touch with either GAVO or the Policy Unit at Caerphilly County Borough Council (see Compact Partner Contact Details).

COMPACT PARTNER CONTACT DETAILS

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Website: www.gavowales.org.uk

Caerphilly County Borough Council

Policy Unit, Caerphilly County Borough Council
Penallta House,
Tredomen Park,
Ystrad Mynach
Hengoed,
CF82 7PG

Telephone: 01443 864447

E-mail: communityplanning@caerphilly.gov.uk

Website: www.caerphilly.gov.uk

The Policy Unit will also be the central contact point for the Caerphilly county borough Community/Town Councils.

Office of the Police & Crime Commissioner for Gwent

Police Headquarters
Croesyceiliog
Cwmbran
Gwent
NP44 2XJ

Telephone: 01633 642200

Fax: 01633 643095

Website: www.gwent.pcc.police.uk

Caerphilly Local Policing Unit

Gwent Police
Blackwood Station
Blackwood Road
Pontllanfraith
Blackwood
South Wales
NP12 2XA

Telephone: 01633 838 111

Website: www.gwent.police.uk

Aneurin Bevan Health Board

Primary Care and Networks Division
Llanarth House
Unit 1 Newbridge Gateway
Bridge Street
Newbridge
NP11 5GH

Telephone: 01495 241200

Fax: 01495 241201

E-mail: abhb.enquiries@wales.nhs.uk

Website: www.wales.nhs.uk/siteplus/866/home

South Wales Fire and Rescue Service

Forest View Business Park
Llantrisant
Pontyclun
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CF72 8LX

Telephone: 01443 232000

E-mail: swfs@southwales-fire.gov.uk

Website: www.southwales-fire.gov.uk

Caerphilly Business Forum

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APPENDIX 1

Caerphilly county borough Compact: Funding Code of Practice (The Code)

INTRODUCTION

The statutory sectors in Caerphilly recognise the Voluntary and Community Sector (VCS) deliver high quality services which complement or are additional to public services. Often services are delivered in a less bureaucratic but more responsive and cost effective way. Services/projects are often delivered to hard to reach groups promoting equality and social cohesion thus improving the quality of life across the Caerphilly county borough.

This Code seeks to improve the funding and contracting relationship to the mutual advantage of the statutory sector Aneurin Bevan Health Board (ABHB) and Caerphilly County Borough Council (CCBC) and the VCS by setting a framework for financial relationships.

Many VCS organisations enter into financial relationships with the statutory sector to deliver services or projects, either through grant funding or by supplying services purchased through a procurement / contracting process.

Gwent Association of Voluntary Organisations (GAVO) is signing the document on behalf of the VCS sector in the Caerphilly county borough.

WHO IS THE CODE FOR?

Even though the Code is a formal agreement between Partners who have signed up to the Code (CCBC and ABHB) it is also intended to be used as a working document by other organisations providing funding to voluntary and community organisations.

The Code sets a standard to which the ABHB, CCBC, Partners and the VCS agree to work to in relation to funding, contracts and grant aid. It does not cover what is funded or who should be funded.

The code also acknowledges that all organisations, whether statutory or VCS, may have to adhere to the funding criteria of external agencies and where possible will integrate the good practice contained in this Code. An example of this is funding provided under European Union Financial Regulations.

Although advance payments currently contravenes the financial regulations of CCBC, some funders are able to make payments in advance where need arises. This is helpful for small VCS with



GAVO Play Team, Pengam Fun Day

limited funds. The ABHB will normally pay invoices quarterly in arrears, but may pay monthly in arrears where this is deemed possible. The ABHB is only permitted to make prepayments where there is specific Welsh Government approval to do so e.g. voluntary services compacts. The ABHB can implement tripartite funding arrangements, with the option of annual extensions. Three year funding arrangements will be considered, where appropriate.

RELATIONSHIP WITH OTHER COMPACTS / DOCUMENTS

The Caerphilly county borough Compact is the overarching agreement between Compact Partners. The Funding Code of Practice is an integral element of the agreement.

DEFINITIONS OF AGREEMENTS

Almost invariably payments from the statutory sector to the VCS will be made under an "agreement" of some kind. Terminology can differ between and within organisations but essentially the whole process is to ensure the funding is spent appropriately and within the agreed specification.

For the purpose of this Code the distinction between the two most commonly used agreements are described below:

Contracts

A contract is a legally binding agreement and is generally used in situations where services are delivered externally or through another organisation or agency.

Service Level Agreements

Service Level Agreements have been around for a long time. However, over the past few years there has been progress in moving towards contracts as this is seen as best practice and provides formality and security for all. Service Level Agreements (along with S28As), however, are the preferred legal documentation with which the Aneurin Bevan Health Board will enter into funding arrangements with Compact Partners.

Key Commitments in the Code

In order to achieve the financial relationship the following principles of shared values and mutual respect underpin the framework and ensure collaboratively we achieve our aim:

Consistency and co-ordination

We are committed to seeking to join up /and or standardise funding arrangements as far as possible to minimise the burden on the VCS sector and ensure a focus on delivery.

Simplicity and proportionality

We will ensure processes are as simple as possible and in proportion to the amount of money involved and the perceived risk.

Timeliness

We will endeavour to allow adequate time for planning, decision-making and project/service implementation.

Transparency and accountability

Our relationship will be open and honest allowing informed decisions about spending priorities within the Caerphilly county borough, ensuring all sectors are involved and learn from previous work and best practice.

Focus on outcomes

We will ensure the achievement of outcomes and the demonstration of impact on our local communities are used as key indicators of the success of projects or services as a direct result of funding.

Best Value/Governance

We will have a mutually agreed framework. For example the Results Based Accountability methodology for monitoring and evaluation of performance, achievement of outcomes and impact, ensuring good use of public funding.

Discussion and dialogue

We will continue to strive to improve communication between organisations through the work of the Voluntary Sector Liaison Committee thus helping to build trust to identify and overcome problems before they impact on the delivery of services / projects.

Empathy

We will endeavour to understand each other's needs and requirements which should help avoid problems and help achieve outcomes.

How the Code is Structured:

The Code sets out stages in the funding and contracting process including design and delivery under the following headings:

- Project and Service Design
- Application and Tender Process
- Terms of Delivery
- Monitoring and Reporting
- Payment Terms
- Concluding a Financial Relationship

PROJECT AND SERVICE DESIGN

Compact Partners in the Caerphilly county borough increasingly call for effective VCS participation as it is recognised that the Sector can often reach vulnerable groups that the statutory bodies cannot. The VCS is expected to play a role in helping to develop services and projects as early as possible in the design stage.

What will result are services which are well defined, deliverable and meet the needs of the people in Caerphilly county borough. The needs of Caerphilly county borough will be evidenced by the Caerphilly Unified Needs Assessment processes underpinning the Single Integrated Plan for the implementation of *Caerphilly Delivers*. It will also enable the VCS to grow and develop and subsequently improve their ability for delivering long-term.

CCBC and ABHB will:

- Provide an opportunity for the VCS to contribute to the needs assessment and design of services and projects, where appropriate, by inviting

potential providers to discussions as early as possible in the process.

- Recognise that contributing to this overall process for the VCS takes time and resources.

The VCS will:

- Contribute constructively to the process and focus on the needs of the community.
- Be clear about whom they represent and how they came to their views.

Collaboratively we will work together to identify:

- Services that promote equal opportunities and equality of access for all.
- Risks to the delivery of services / projects and which partner organisation is best placed to manage the associated risk.
- Barriers to delivering the services / projects (e.g. unrealistic timeframes, slower delivery in the early part of the service/project).
- Which aspect of the services / projects would most benefit from VCS involvement.
- How the outcome of services /projects can be demonstrated (i.e. via Results Based Accountability methodology), sustained and contribute to improving the long-term capacity of the VCS.

APPLICATION OF THE TENDER PROCESS

This section covers the process of inviting, applying for and assessing funding applications, including tender bids and giving notice of decisions. A well managed application process allows the VCS and opportunity and time to make a well-informed and considered application.

CCBC and the ABHB will follow the well-established procurement rules, regulations and related guidance based on principles of openness, non-discrimination and transparency.

CCBC and ABHB will:

- Aim to give reasonable and sufficient notice of funding opportunities to allow the VCS time to respond.
- Publish clear timescales for applications, decisions and schedules of payment.
- Publish clear criteria against which applications and tenders will be selected and evaluated.
- Ensure that forms are clear and accessible and include all relative information so that the VCS can make an informed decision about whether to apply.



Community Directory

- Ensure application forms have a contact name and details for enquiries.
- Recognise it is legitimate for the VCS to include a reasonable element of overload costs in their estimates for providing a service. However, it must be recognised by the VCS that all estimated costs submitted to potential funders will be subject to close scrutiny at the application stage and also throughout the life span of successful applications. Any spend on activities not specified in contract documentation will be reclaimed by funders.
- Provide feedback on the reasons for successful and unsuccessful applications, including developmental pointers for future applications.

The VCS will:

- Ensure they understand the timescales and decision-making process.
- Ensure when applying that they are eligible to do so and that they understand the requirements that their application meets the aims of the funding programme.
- Consider putting joint bids together but have clear lines of accountability.
- Properly allocate full anticipated costs in estimates for projects/services so that full cost recovery can be achieved over the life of the project.
- Recognise that there are competing demands for public spending and there may be more organisations applying than money available.
- Recognise and respect that the final decision on whether to award the money rests with the funder.

Collaboratively we will:

- Ensure that when the VCS are funded by more than one statutory sector funding body that they have a formal dialogue between all relevant sectors to ensure there is no duplication of funding.

- Work in partnership whenever new application process / procedures / forms are developed.
- Promote contractual opportunities widely and consider proactive approaches to encourage VCS to apply. This is particularly important for VCS organisations who may not have applied before.

TERMS OF DELIVERY

Effective terms of delivery give clear guidance as to what is expected of the provider and by when, so that organisations can plan and deliver the best possible outputs, outcomes and impact. They also ensure that risks are recognised, understood and placed with who is best able to manage them. This contributes towards developing an effective working relationship between all parties.

CCBC and ABHB will:

- Explain and agree terms of delivery with the VCS before the contract or funding agreement is entered into, including the actions that will be taken if the VCS fails to deliver.
- Discuss risks up front and place responsibility with who is best able to manage them.
- Agree with the VCS a simple process for controlling any changes to the agreement. This will be part of standard terms and conditions included in the contract documentation.

The VCS will:

- Ensure their organisation and services delivered meet both national and local governance arrangements. For example evidence based Unified Needs Assessments, Criminal Record Bureau checks, Child Protection, Equality and Diversity.
- Be aware of the risks they are responsible for, in particular, the risks associated with delivering the service.

Collaboratively we will:

- Agree measurable outcomes and impacts using for example Results Based Accountability methodology.

MONITORING AND REPORTING

Effective monitoring focuses on outcomes, is proportionate and not burdensome, and ensures transparency about the use of funds and what impact has been achieved. Agreed monitoring using for example Results Based Accountability methodology, will ensure that any changes or problems are identified and responded to at an early stage.

CCBC and ABHB will:

- Develop (where possible) standardised reporting requirements across Caerphilly county borough for those organisations that receive funding from more than one public sector body.

The VCS will:

- Recognise that public accounting inevitably requires an accurate level of reporting, using for example Results Based Accountability methodology.
- Will provide monitoring information as specified in the terms of delivery and within the agreed timescales.
- Keep documentation to allow monitoring by funder's auditors as agreed.
- Recognise that the statutory sector will undertake monitoring visits to ensure compliance.
- Raise any concerns about delivery, outcomes and impact with the commissioner as soon as they come to light.

Collaboratively we will:

- Agree to the level and type of monitoring required by the contract, for example using Results Based Accountability methodology.
- Agree measurable outcomes to be reported on and provide simple reporting formats.
- Attend meetings as agreed in the contract.

PAYMENT TERMS

Services/projects should be funded in the most effective way so that the best possible long-term outcomes are achieved. Payment terms should allow the VCS to plan and develop for the future and create a positive incentive to perform longer term planning and financial arrangements often represent better value for money than one year arrangements by providing greater financial stability and by reducing the inefficiencies involved in applying for new funds or renegotiating contracts.

CCBC and ABHB will:

- Clearly set out agreed funding arrangements in the contract.
- It is recognised that CCBC and ABHB have different accounting frameworks, processing and payment procedures. ABHB will normally pay invoices quarterly in arrears, but may pay monthly in arrears where this is deemed possible.
- Implement tripartite funding arrangements, with the option of annual extensions. Three year

funding arrangements will be considered, where appropriate.

The VCS will:

- Follow good practice in the use and administration of public funding and implement effective systems for financial control, management and accounting in accordance with the preferred methodologies of the commissioner.
- Comply with relevant accounting frameworks and guidance such as the Charity Commission.
- Recognise it is legitimate for funders to ask for public recognition of their funding. This may be specified in terms of delivery.
- Be supported to gain access to cash-flow and ethical loans provision via GAVO funding searches and sign posting.

Collaboratively we will:

- Agree a clear understanding about the treatment of underspends/overspends.

CONCLUDING A FINANCIAL PARTNERSHIP

In some cases funding of projects / services comes to an end. There are many reasons including a review of strategic or developmental funding or the payment was for a particular purpose which has been achieved. This Code seeks to ensure that all organisations are committed to make this process clear and well managed, in order to minimise the impact of service withdrawal on those receiving the particular services in Caerphilly county borough.

CCBC and ABHB will:

- Inform the VCS in writing if there are problems identified in the provision of services via the contract / SLA.

- Give 3 months notice of the end of service level agreements or contracts in order for the VCS to prepare alternative plans / exit strategies.
- Give the reasons for ending the funding.

The VCS will:

- Where it is having financial or other difficulties, the VCS Trustees / directors will inform in writing their concerns to the named officer on the contract.
- Recognise that funding may end if priorities change, subject to the terms of the existing contract.
- Recognise that funding may be terminated if outcomes are not delivered.
- Identify and manage potential risks to reduce any potential impact on both users and organisations.
- Ensure they adhere to their duties as good employers. For example by giving required redundancy periods.

Collaboratively we will:

- Ensure contracts include a financial management plan or exit strategy when, or if, funding should cease.
- Identify and resolve any problems quickly.

APPLICATION & REVIEW OF THE CODE

The implementation of the good practice guidance in this Code will be the responsibility of those signed up to the Compact Agreement. The Code will be monitored by the Voluntary Sector Liaison Committee.



One Beat conference