

SOUTH EAST WALES CORPORATE JOINT COMMITTEE

31 JANUARY 2021

INTERIM CJC MANAGEMENT & SUPPORT ARRANGEMENTS

TO RECEIVE THE REPORT OF KELLIE BEIRNE

AGENDA ITEM 8

Reason for this Report

1. To set out the proposed interim management & support arrangements for the SEW Corporate Joint Committee (CJC).
2. To seek the necessary approvals to allow the CJC to enter into Service Level Agreements with the provider organisations, subject to the approval of relevant CJC reports being considered by the CJC Cabinet at its meeting of the 31st January 2022.
3. To provide an overview of the strategy and indicative timescales for the CJC to move from the proposed interim arrangements to more permanent arrangements, as the outstanding technical issues are resolved and the implementation of the preferred Lift & Shift Model can be taken forward.

Background

4. The South East Wales CJC Regulations came into force on 1 April 2021 and require the establishment of a corporate legal entity by the 10 Local Authorities constituting the Cardiff Capital Region and for the purposes of the creation of the Strategic Development Plan (SDP) – the Brecon Beacons National Park Authority (BBNPA).
5. It has been a long-held ambition of Regional Cabinet to develop one integrated model of regional public investment – as per the OECD recommendations to Welsh Government in their review of Regional Economic Governance in Wales (2021). This would affect the evolution of Cardiff Capital Region City Deal CCRCDC from a single funding programme supported through an ‘Accountable Body’ model, to a new corporate entity through which multiple programmes, investments and functions could be developed and delivered on a regional basis.
6. However, in view of a number of technical issues which are unresolved at this time, it is not possible to affect the above ‘lift and shift’ model of integrated regional governance through the CJC. As such, a pragmatic, proportionate and minimalistic approach has been developed to support the interim operation of the

CJC – until such time the issues are resolved and the lift and shift model can be fully implemented. This is referred to as the ‘Bare Minimum’ approach.

7. The CJC is due to hold its inaugural meeting on the 31st January 2022, where it will consider a number of procedural and business items. In particular, the Agenda includes key reports covering the:
 - CJC’s Interim Standing Orders;
 - CJC Interim Executive Staffing Arrangements;
 - CJC’s Annual Budget in respect of financial years 2021/22 & 2022/23.
8. Given the significance of these items, this report should be read in conjunction with the reports outlined above, with the recommendations outlined in this report being contingent upon the above reports being approved by the CJC Cabinet.

Issues

9. As outlined above, CJCs are separate legal entities in their own right. This provides the region with the opportunity to build on the platform of work undertaken through the CCRCD governance arrangements to-date. For example, CJCs have the ability to employ staff directly, enter into legal contracts, undertake borrowing directly etc as there is no requirement for CJCs to appoint an Accountable Body to undertake these activities on its behalf.
10. In-light of the ‘Bare Minimum’ approach, it is proposed that staffing arrangements are kept as simple as possible and reflect the current CCRCD arrangements, whilst the CCRCD and the CJC operate side by side, as part of a twin track approach. As outlined above, the proposed arrangements in respect of the interim executive staffing arrangement are the subject of a separate report that will be considered by the CJC Cabinet at its meeting of the 31st January 2022.
11. In terms of wider management and support arrangements, it is proposed that until such time as the outstanding technical issues are resolved that the CJC is operationalised and resourced via 3 key Service Level Agreements (SLAs) with CCRCD, Cardiff Council and Rhondda Cynon Taf County Borough Council (RCT). A summary of the proposed SLAs is set-out below.

1. SLA with Cardiff Capital Region City Deal: Officer & Cabinet Support

12. The CCRCD will provide overall leadership and management support to the CJC under the ‘Bare Minimum’ approach. In particular it will be responsible for assessing the CJC regulations that are in force at any time and advising the CJC Cabinet on the minimum actions needed to comply with these, as well as any wider regulations which may be applicable to CJCs. In summary, the SLA will cover the following scope of services:
 - Providing Cabinet support for all CJC related activities e.g. Cabinet Briefings, formal Cabinet Meetings, putting in the arrangements for CJC Sub-committees (at the appropriate time);
 - Provide routine support on CJC Financial and Administrative matters;
 - Lead on CJC Stakeholder Engagement and Communications;

- Interface with the other CJC support providers to ensure compliance with CJC Statutory, Regulatory and Administrative requirements;
- Work with Welsh Government to resolve the outstanding technical matters and on emerging CJC Regulations ahead of these coming into force during 2022/23.

2. SLA with Cardiff Council: Statutory Officer & HR Advisory Support

13. Subject to the approval of the interim executive staffing arrangements, Cardiff Council will carry out the roles of the CJC's interim s151 Officer and interim Monitoring Officer. This will require input into the preparation of and attendance at CJC Cabinet meetings and briefings as well as discharging all CJC statutory duties and requirements. These roles cover both the CJC Regulations (those which are in force and further regulations expected in 2022/23), as well as wider regulations which are applicable to CJsCs.
14. In addition, where the CJC requires any HR advisory support, this will also be provided via Cardiff Council during the Bare Minimum phase.

3. SLA with RCT: Systems, Transactional Services & Compliance

15. Discussions in the summer of 2021 established that whilst it is possible to configure Cardiff Council's systems to incorporate the new CJC's requirements, this approach would be disproportionate in terms of functionality, complexity, licensing and overall cost. Therefore, following discussions with other CCR local authorities it was agreed that the CJC's initial transactional requirements would be accommodated through an appropriate agreement with RCT for the use of its systems and related transactional support.
 - Accounting and related feeder systems e.g. General Ledger, Payments, Debtors etc.
 - Banking & Control, Treasury Management, VAT advice & Returns (once approved) etc.
 - Provision of Internal Audit;
 - Information & Governance requirements, including the identification of the Data Controller, statutory role of Data Protection Officer and all GDPR requirements (see below);
 - Arrangement of CJC Insurances.
16. The South East Wales Corporate Joint Committee is a body corporate that provides the committee with a distinct legal identity (that is separate from that of its members) the committee is the controller for any personal data processed. As such the committee will be registered with the Information Commissioner's Office (ICO) as a controller in its own right. The process of registration is currently underway.
17. A Data Protection Memorandum of Understanding (MOU) will be prepared and agreed with the member authorities.

Roles, Responsibilities & Support Arrangements Matrix

18. In order to ensure clarity of understanding between the three CJC service providers outlined above, a 'Role, Responsibilities & Support Arrangements Matrix' has been prepared, along with a 'Supporting Note'. These documents have been discussed and agreed by the three service providers and covers the initial 'Bare Minimum' approach as well as how each provider's role will change as the CJC evolves over the next 12-18 months.
19. These documents outline a 3 phased approach to the CJC's evolution and set-out indicative timescales for each. The indicative timescales are predicated on the technical issues being resolved by around the summer of 2022/23, however, as these matters are in the control of Welsh and UK Governments, the indicative timescales set out here will need to be kept under constant review and updated as further information is made available. The 'Supporting Note' is attached at Appendix 1 and the 'Matrix' is attached at Appendix 2 and a summary of the 3 phases are set out below:

Phase 1: Implementation of CJC 'Bare Minimum Model' (Mid-Jan 2022 to March 2023)
20. The CJC's scope only relates to the introduction of the 'Commencement Duties'. CCRCD will continue with its current governance model and be fully supported by Cardiff Council via the existing Accountable Body arrangements. Part of their work during 2022/23 will be to reinstate the CJC Transition Plan, once approvals have been secured from WG, HMRC and HMT on the outstanding technical issues, an effective date for the implementation of the Lift & Shift Mode can be established and key milestones leading up to this date can be plotted.

Phase 2: Transition to Lift & Shift Model 'Bedding Down' (April 2023 to Sept 2023)
21. The two components (CJC Commencement Duties and CCRCD) will come together under a single CJC umbrella, as was originally envisaged in the September 2021 Cabinet Report. It is suggested that the initial period of circa 6 months is seen as a 'bedding down' period, where Cardiff Council and RCT continue to support, by leading on certain functions.
22. The Transition Plan includes the need to carry out a full tax assessment of all existing CCR projects transitioning to the CJC. The intention is to move all projects across to the CJC, subject to reaching an agreement with key stakeholders around the management of any tax liabilities which may crystallise on transfer.
23. Cardiff Council will lead on the arrangements necessary for any CCR legacy projects which do not transition across to the CJC. The governance arrangements for CCR Legacy Projects will need to be agreed, along with an exit strategy and appropriate long-stop dates;

Phase 3: Lift & Shift Model 'Fully Implemented' (Oct 2023 onwards)

24. The bedding down period will be complete at the point at which the CJC takes the lead responsibility for the remaining functions. Cardiff Council will continue to lead on the arrangements for any CCR legacy projects which do not transition across to the CJC, as set-out above.

Reasons for Recommendations

25. To set out the proposed interim management & support arrangements for the SEW Corporate Joint Committee (CJC) and seek the necessary approvals to allow the CJC to enter into Service Level Agreements with the provider organisations.
26. To provide an overview of the strategy and indicative timescales for the CJC to move from the proposed interim arrangements to more permanent arrangements, once the outstanding technical issues are resolved and the implementation of the preferred Lift & Shift Model can be taken forward.

Financial Implications

27. The management & support arrangements outlined in this report have been costed on the basis of the information available at this time and the proposed Roles, Responsibilities & Support Arrangements Matrix. The amounts required are accordingly included within the CJC's proposed budgets for 2021/22 and 2022/23, along with provisions for VAT at the prevailing rate, where applicable.
28. The CJC regulations include provisions for budgets to be revisited during the year where this is deemed necessary. Therefore, as further information and ongoing support requirements becomes evident, the adequacy of the proposed budgets can be reviewed and amended if required.
29. The Transition Plan will be reinstated once the outstanding technical issues are resolved and an effective date for implementing the preferred CJC 'Lift & Shift' model can be established. The costs of the Transition Plan will be met from the Cardiff Capital Region City Deal revenue budget. However, future CJC budget reports will need to consider the evolution and associated costs of the CJC moving from the proposed Bare Minimum approach to a fully integrated Lift & Shift model, along with increasing requirements of the CJC, as further regulations are approved and come into force.

Legal Implications

30. The Regulations permit CJC's to make any arrangements for staff as it sees fit. CJC's may employ and recruit staff in their own right, make agreements to have staff from constituent councils placed at the CJC's disposal, and well as commission services/staff resource from other bodies, including constituent councils.

Well-being of Future Generations (Wales) Act 2015

31. In developing the Plan and in considering its endorsement regard should be had, amongst other matters, to:
- (a) the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards;
 - (b) Public sector duties under the Equalities Act 2010 (including specific Welsh public sector duties). Pursuant to these legal duties Councils must in making decisions have due regard to the need to (1) eliminate unlawful discrimination, (2) advance equality of opportunity and (3) foster good relations on the basis of protected characteristics. Protected characteristics are a. Age; b. Gender reassignment; c. Sex; d. Race – including ethnic or national origin, colour or nationality; e. Disability; f. Pregnancy and maternity; g. Marriage and civil partnership; h. Sexual orientation; i. Religion or belief – including lack of belief.
 - (c) the Well Being of Future Generations (Wales) Act 2015. The Well-Being of Future Generations (Wales) Act 2015 ('the Act') is about improving the social, economic, environmental and cultural well-being of Wales. The Act places a 'well-being duty' on public bodies aimed at achieving 7 national well-being goals for Wales - a Wales that is prosperous, resilient, healthier, more equal, has cohesive communities, a vibrant culture and thriving Welsh language and is globally responsible. In discharging their respective duties under the Act, each public body listed in the Act (which includes the Councils comprising the CCRCD) must set and published wellbeing objectives. These objectives will show how each public body will work to achieve the vision for Wales set out in the national wellbeing goals. When exercising its functions, the SEW CJC should consider how the proposed decision will contribute towards meeting the wellbeing objectives set by each Council and in so doing achieve the national wellbeing goals. The wellbeing duty also requires the Councils to act in accordance with a 'sustainable development principle'. This principle requires the Councils to act in a way which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs. Put simply, this means that SEW CJC must take account of the impact of their decisions on people living their lives in Wales in the future. In doing so, SEW CJC must:
 - look to the long term.
 - focus on prevention by understanding the root causes of problems.
 - deliver an integrated approach to achieving the 7 national well-being goals.
 - work in collaboration with others to find shared sustainable solutions.
 - involve people from all sections of the community in the decisions which affect them.
32. SEW CJC must be satisfied that the proposed decision accords with the principles above. To assist SEW CJC to consider the duties under the Act in respect of the decision sought, an assessment has been undertaken, which is attached at Appendix 3.

Equality Act 2010

33. In considering this matter, regard should be had, amongst other matters, to the Councils' duties under the Equality Act 2010. Pursuant to these legal duties the SEW CJC must in making decisions have due regard to the need to (1) eliminate unlawful discrimination (2) advance equality of opportunity and (3) foster good relations on the basis of protected characteristics. Protected characteristics are:

- age;
- gender reassignment;
- sex;
- race – including ethnic or national origin, colour or nationality;
- disability;
- pregnancy and maternity;
- marriage and civil partnership;
- sexual orientation;
- religion or belief – including lack of belief.

RECOMMENDATIONS

34. It is recommended that the SEW CJC:

- (1) notes and approves the proposed management and support arrangements set out in this report;
- (2) approves the Chief Executive Officer to enter into Service Levels Agreements with the provider organisations, subject to the approval of the CJC Budget Report; and,
- (3) notes that further updates in respect of future management and support arrangements, including any budgetary implications will be brought back for consideration at the appropriate time.

Kellie Beirne
31 January 2022

Appendices

Appendix 1	Supporting Note - Roles, Responsibilities & Support Arrangements
Appendix 2	Roles, Responsibilities & Support Arrangements Matrix
Appendix 3	Wellbeing of Future Generations Assessment

CJC Roles, Responsibilities & Support Arrangements – January 2022

Purpose of this Note

The purpose of this note is to set out the CJC's ask of Cardiff Council and RCT for support over the three phases outlined below. The request is set in the context of the CJC's aim to develop its own in-house capacity over time to complement the autonomy that it will gain from its CJC (separate legal entity) status i.e. CJCs are not required to have an appointed Accountable Body, as is the case for CCR.

However, in developing this capacity timing will be key and in-light of the Bare Minimum approach, many aspects will be rightly deferred until the Lift & Shift model can be delivered in full. That said, opportunities to 'start as we mean to go on', should be fully considered, where appropriate to do so and this note attempts to strike balance between these considerations, accepting that some support will be needed from the out-set.

It should be noted that in parallel with the Bare Minimum Model, CCR and the Accountable Body will work together during 2022/23 to reinstate the CJC Transition Plan, once approvals have been secured from WG, HMRC and HMT on the outstanding technical issues. This will allow an effective date for the implementation of the Lift & Shift Model to be established, which in turn will allow the detailed execution of the Transition Plan to gain momentum and for key milestones to be plotted against fixed dates leading up to the effective date. This workstream and the associated costs will form part of the 2022/23 CCR budget and associated support arrangements.

Background

At its meeting of the 20 September 2021, CCR Regional Cabinet approved a report that established Governance and Delivery Option 3 'Lift and Shift' as the preferred model for CCR's transition to one integrated model of regional public investment and economic governance under the CJC. This would see the existing CCR Joint Committee merging with New Functions (Commencement Duties) under a new Corporate Body and be a separate legal entity in its own right.

The report further set out a comprehensive Transition Plan and Transition Board model to oversee the process of evolution and a critical path for achieving key milestone dates by 28th February 2022.

Discussions in the summer of 2021 established that whilst it is possible to configure Cardiff Council's systems to incorporate the new CJC's requirements, this approach would be disproportionate in terms of functionality, complexity, licensing and overall cost. Therefore, following discussions with other CCR local authorities it was agreed that the CJC's initial transactional requirements would be accommodated through an appropriate agreement with RCT for the use of its systems and related transactional support.

Issues and Indicative Timescales

A range of Technical Issues have been raised with Welsh Government and it is clear that a number of key issues highlighted in the summer cannot be resolved in time to allow the Lift and Shift Model to be implemented within the immediate timescales. Therefore, it is proposed that the transition to the CJC occurs in three distinct phases:

- **Phase 1: Implementation of CJC 'Bare Minimum Model'**. The CJC's scope will only relate to the introduction of New Functions (Commencement Duties). CCR will continue with its current governance model and be fully supported by Cardiff Council via the existing Accountable Body arrangements. Part of their work during 2022/23 will be to reinstate the CJC Transition Plan, once approvals have been secured from WG, HMRC and HMT on the outstanding issues and an effective

date for the implementation of the Lift & Shift Mode can be established and key milestone plotted, leading up to this date;

- **Phase 2: Lift & Shift Model 'Bedding Down'**. The two components (CJC New Functions and CCR) will come together under a single CJC umbrella, as was originally envisaged in the September 2021 Cabinet Report. It is suggested that the initial period of circa 6 months is seen as a 'bedding down' period, where Cardiff and RCT continue to support by leading on certain functions. The Transition Plan includes the need to carry out a full tax assessment of all existing CCR projects transitioning to the CJC. The intention is to move all projects across to the CJC, subject to reaching an agreement with key stakeholders around the management of any tax liabilities which may crystallise on transfer. Cardiff Council will lead on the arrangements necessary for any CCR legacy projects which do not transition across to the CJC. The governance arrangements for CCR Legacy Projects will need to be agreed, along with an exit strategy and long-stop dates;
- **Phase 3: Lift & Shift Model 'Fully Implemented'**. The bedding down period will be complete at the point at which the CJC takes the lead responsibility for the remaining functions. Cardiff Council will continue to lead on the arrangements for any CCR legacy projects which do not transition across to the CJC, as set-out above.

Phase 1 needs to be in place immediately to enable the CJC to be set-up as separate legal entity and discharge its immediate duties, namely setting its budget/s no later than 31st January 2022.

A revised Implementation Plan will be prepared for Phase 2, as soon as the outstanding technical matters are resolved, although, it is envisaged that Phase 2 is unlikely to be in place until 1st April 2023.

The amount of time that will be required for the CJC to move from Phase 2 to 3 will be dependent on a number of factors that will crystallise over the transitioning period. This note assumes a period of 6 months i.e. 1st October 2023, but in reality it could be shorter or longer than this.

PHASE 1 – IMPLEMENTATION OF CJC BARE MINIMUM MODEL

The updated report to CCR Regional Cabinet outlined the following activities under the Bare Minimum Model, along with indicative timescales. The central principle which dictates the level of work that is carried out is the 'No Detriment Incurred' principle. Therefore, where the CJC Regulations require an activity that will result in the CJC incurring detriment e.g. irrecoverable VAT, then this activity will either be carried out on a Bare Minimum basis or not at all. However, where other legislation requires the CJC to undertake activity e.g. Accounts & Audit Regulations 2014 etc. then the bare minimum activity will be completed, which may incur a level of detriment.

Minimum Planned Activity in respect of FY 2021/22

CJC Legal & Governance Arrangements

1. To convene 1 CJC Cabinet Meetings (including a Briefing session), by 31st Jan 2022. The draft Agenda proposed at this time is set-out at Appendix 1.

CJC Financial Arrangements and Regulatory Requirements

1. Support the implementation and operation of the CJC's financial and administrative requirements e.g. Accounting systems, Banking, Insurances, Information & Governance, External Audit etc.
2. To prepare the CJs Budgets for 2021/22 (if required) & 2022/23
3. Support and attendance at x1 CJC Meeting (including Briefing session)

CJC Operational Requirements

1. Ongoing assessment of new CJC Regulations as these are approved and implemented (see below)
Tranche 1 – Establishment Regulations came into force 01.04.2021
Tranche 2 – General Regulations No.2 were debated on the 30.11.2021 and are now in force
Tranche 3 – Consultation ends 22.12.21 with Regulations expected spring 2022
Tranche 4 – Consultation expected Spring 2022 with Regulations expected Summer/Autumn 2022

Minimum Planned Activity for [FY 2022/23](#)

CJC Legal & Governance Arrangements

1. To convene a minimum of 2 CJC Cabinet Meetings (including Briefing sessions), as follows:
Meeting 1 (Sept/Oct 2022)
Meeting 2 (by 31st Jan 2023)
The draft Agendas envisaged at this time are set-out at Appendix 1.
2. Some minimal support to advise on Governance and Compliance matters in relation to the New Functions and/or New Regulations.

CJC Financial Arrangements and Regulatory Requirements

1. To put in place all necessary CJC Accounting & Reporting Requirements (Budgets, Monitoring & Closing Accounts), both statutory and internal
2. Prepare CJC Accounts (Smaller Bodies Return (SBR)) and support the external Audit process. SBR requires input on AGS and Internal Control matters i.e. will require input from the relevant Internal Audit Section;
3. Some minimal support to advise on Financial matters in relation to the New Functions and/or New Regulations?
4. Support and attendance at x2 CJC Meetings (including Briefings).

CJC Operational Requirements

1. Commence SDP and RTP Duties - any work progressed will need to observe the 'No Detriment Incurred' Principle;
2. Ongoing assessment of new CJC Regulations as these are approved and implemented (see list above).

Roles, Responsibilities & Support Arrangements

Attached at Appendix 2 is the proposed Roles, Responsibilities & Support Arrangements Matrix. This is structured by functional area and provides an overview of how the CJC will be resourced and supported through its initial development cycle. The Matrix sets out support arrangements provided via Service Level Agreements with Cardiff Capital Region (CCR), Cardiff Council (CC) and Rhondda Cynon Taf (RCT).

Whilst the matrix identifies specific Lead (L) and Support (S) roles, in order for this to be successful the roles and relationships will need open, inclusive and interface with each other at all levels. This will provide Statutory Officers with the necessary level of assurance that governance and support arrangements are complete, robust and provide an effective level of internal control across all functions.

When reviewing the Matrix, the following principles should be considered:

General Support Principles

1. The support arrangements initially cover the CJC's New Functions ONLY (Commencement Duties). Separately, the Accountable Body will continue to provide support to CCR in full as per the existing arrangements. Any changes to these arrangements are unlikely to occur until the Lift & Shift Model is implemented (estimated to be 01.04.2023). Please see Phases 2 & 3 below.
2. CCR will lead on providing advisory support to the CJC (New Functions), including drafting CJC Cabinet reports (except those that required to be in the name of the s151 Officer or the Monitoring Officer). CCR will interface and work closely with RCT (transactional services) and CC (wider information e.g. CJC folders and files etc.) in order to access the necessary information required to provide advisory services to the CJC Cabinet and to Statutory Officers to enable them to discharge their legal, governance and statutory duties.
3. RCT will lead on providing transactional support to the CJC (New Functions), including the provision of ICT infrastructure, Accounting systems, Banking & Control, Treasury Management, VAT advice & External Returns. For this reason, RCT's Internal Audit function will support the CJC in order to provide assurance on all matters relating to the CJC's systems of internal control and support the completion of the Smaller Bodies Return.
4. CC will lead on drafting Statutory Implications in respect of Legal and HR for all CJC Cabinet reports and attend CJC Cabinet meetings to provide statutory advice and guidance as required. CCR will draft the Financial implications in consultation with the s151 Officer. Both CCR and RCT will be available to interface and support CC with any queries or questions that may have to allow them to discharge their statutory duties and provide the required level of assurance.
5. The CJC will follow the Policies & Procedures of the most appropriate supporting organisation i.e. CC or RCT, aligned to the activities being undertaken as set-out in the Roles & Responsibilities Matrix. However, it is recognised that this hybrid approach may eventually lead to a level of incompatibility and therefore, some further thought will need to be given to these matters in advance.

Specific Support Services

1. Executive Team – The CJC will enter into Service Level Agreements with Monmouthshire CC and Cardiff Council to place at the disposal of the CJC the Executive Team to oversee the planned minimum activities outlined above.
2. Finance Support - will be led by CCR officers with transactional support provided by RCT and where appropriate CC as set-out in the Matrix. Further discussion will take between all 3 parties to ensure there is absolute clarity and where necessary, the Matrix will be updated to reflect the outcome of those discussions.
3. Legal & Governance Support - this will be largely led by CC with support provided by CCR officers as indicated in the Matrix. As indicated in this note, the level of activity will be kept to a minimum and will largely revolve around the preparation and support for CJC Cabinet meetings and briefings.
4. HR & Payroll Services – Under the Bare Minimum option, the CJC will not be employing any staff and therefore, it is envisaged that the only HR support required will be in relation to 'placing an Executive Team at the disposal of the CJC'. All other transitional work (Lift & Shift Model) will be managed via the CCR Accountable Body arrangements.

5. ICT - the CJC will utilise RCT's ICT infrastructure and support systems and therefore it follows that the appropriate ICT Policies & Procedures are observed in this regard. However, under the Do Minimum option, CJC emails, files and information relating to CJC Cabinet meetings and briefing will continue to be held on Cardiff's systems and these arrangements will need to be captured within the 3-way Information & Governance Memorandum of Understanding (MOU).
6. Procurement Advice & Support – Due to the linkages with ICT Infrastructure, systems, Policies and Procedures outlined above, the Matrix outlines that RCT will provide the CJC with any Procurement Advice & Support if required. That said, the 'No Detriment' principle will dictate that the amount of support required is likely to be Minimal to None.
7. Exchequer Services - due to the linkages with ICT Infrastructure, systems, Policies and Procedures and Procurement advise (where applicable), then RCT will provide the CJC with Exchequer Services.
8. Insurances – CJC minimum insurances will be put in place via RCT's Insurance broker (Marsh) and ensure these are effective for the CJC's inaugural meeting of the 31st January 2022. The insurance cover provided and associated limits, will be kept under review during generally, but also specifically addressed through Transition Plan.
9. Information & Governance - this is currently being finalised and is likely to be a 3-way agreement (MOU), similar to CCR but led by RCT's Information & Governance Team for the same reason as above. The work being progressed will clearly set-out the arrangements and responsibility for Statutory Data Protection Officer, Data Controller and CJC registration with the Information Commissioner's Office. At this time, the working assumption is that RCT will undertake these duties on behalf of the CJC where it is legally permissible to do so.
10. Internal Audit – will be provided by RCT through its Shared Services arrangement. The initial Audit Plan is likely to cover the CJC set-up arrangements and input to the Smaller Bodies Return for 2021/22. Audit Wales have been appointed as the CJC's external auditor under the regulations and it is envisaged that there will need to be a level of interface in this regard.

Service Level Agreements

1. Service Level Agreements will need to be prepared between the Client (CJC) and the Provider, clearly setting out:
 - The scope of the support to be provided, including any support NOT included;
 - Costing methodology (service provided x unit cost) and proposed charge;
 - Performance metrics and Quality assurance;
 - Other TBC
2. Given the limited amount planned CJC activity in FY 2021/22 – Where CCR, CC and RCT intend to charge the CJC for its services in 2021/22, these will also need to be clearly set-out within a separate section of the SLA, so that charges between the two financial years are separately identifiable.

PHASE 2 – LIFT & SHIFT MODEL 'Bedding Down'

The Matrix at Appendix 2 sets out the indicative timescales for when Phase 2 may occur and how Roles & Responsibilities between the 3 parties may evolve under this phase.

The note above outlines the importance of establishing the 'Effective Date' and ensuring the Transition Plan is resurrected as soon as possible. In parallel, CCR will need to determine an appropriate level of resource is set aside to implement the Transition Plan in a timely and effective manner. CC will have a key role to play in executing the Transition Plan and also for setting out the arrangements for any Legacy Projects which so not transition across to the CJC.

PHASE 3 – LIFT & SHIFT MODEL 'Fully Implemented'

Phase 3 provides the CJC with some 'breathing space' to reflect on the success or otherwise of transitioning to Phase 2. This phase will allow the CJC to take stock of any issues that may have arisen before, during or after the transition and plan for these accordingly. As set out at the beginning of this note, the CJC's aim is to become fully autonomous, however, it recognises that with any Change Initiative, there are a number of steps and these steps need to be undertaken with care, diligence and the right level of capacity and capability being introduce with the CJC at the right time.

Acc Body continue to provide lead support on all CCR BAU activity

TWIN TRACK APPROACH

PHASE 1: Bare Minimum Model
 Start Date: 17.01.2021
 Estimated End Date 31.03.2023

SINGLE UMBRELLA - CJC 'BEDDING DOWN' PERIOD

PHASE 2: Lift & Shift Transition Period (Technical issues resolved)
 Start Date: 01.04.2023
 Estimated End Date 30.09.2023

SINGLE UMBRELLA - CJC FULLY IMPLEMENTED

PHASE 3: Lift & Shift Fully Implemented
 Start Date: 01.10.2023
 Estimated End Date Ongoing

L = Lead, S = Support

Function & Scope of Services

1 Executive Team

Head of Paid Services & Deputy
 s151 Officer & Deputy
 Monitoring Officer & Deputy

2 Finance Support

Accounting & Reporting (incl. Budget Preparation, Monitoring, Closing Accounts & SOAs)
 External Submissions & Returns
 Banking & Control
 Treasury Management
 VAT Advice & Returns
 Supporting CJC Work & Meetings
 Supporting CCR Work & Meetings
 Preparation of CJC Reports
 Attendance at CJC Cabinet Meetings
 CCR Legacy Projects Accounting & Reporting

3 Legal & Governance

Governance & Compliance
 Supporting CJC Work & Meetings
 Supporting CCR Work & Meetings
 Preparation of CJC Reports
 Attendance at CJC Cabinet Meetings
 CCR Legacy Projects Legal & Governance

4 HR & Payroll Services

Recruitment & Employment
 HR Advisory
 Occupational Health
 Employee Assistance Programme
 Training
 Agency Services (Cardiff Works)
 Supporting CJC Work & Meetings
 Supporting CCR Work & Meetings
 Preparation of CJC Reports
 Attendance at CJC Cabinet Meetings
 Payroll Services
 HMRC Payments & Returns
 Pension deductions & payments

5 ICT

Core Network, Infrastructure & User Services
 Hardware & Software Support
 System Training & Support
 New CJC email address

6 Procurement Advice & Support

Bare Minimum (CJC = New Functions ONLY)				
CJC	CCR	CC	RCT	Comments
	L			In-line with CCR arrangements
		L		In-line with CCR arrangements
		L		In-line with CCR arrangements
	L&S		L&S	CCR to Lead on Advisory, RCT to Lead on Transactional services, with each supporting the other
	L&S		L&S	As above
	S		L	CCR will seek to provide an interface role
	S		L	CCR will seek to provide an interface role
	S		L	CCR will seek to provide an interface role
	L			Likely to be minimal to none
				N/A Twin Track' approach
	L&S			S = Financial Imps
	S	L		L = s151 Officer Role
				N/A
	S	L		
	L	S		Likely to be minimal to none
				N/A
	L	S		S = Legal Imps (independent assurance)
	S	L		L = Monitoring Officer Role
				N/A
				N/A
		L		Advice on Executive Team arrangements
				N/A
	L	S		Likely to be minimal to none
				N/A
	L	S		S = HR Imps (independent assurance)
	S	L		On a case by case basis ONLY
				N/A
				N/A
				N/A
	S		L	CJC will be client - services will be minimal
	S		L	CJC will be client - services will be minimal
	S		L	CJC will be client - services will be minimal
	S		L	Info@CCR/CJC as a min

Lift & Shift (CJC = CCR & New Functions)				
CJC	CCR	CC	RCT	Comments
L				Subject to TUPE Report & Advice
		L		In place until CJC appointments are made
		L		In place until CJC appointments are made
L			S	CJC to take the Lead on both Advisory & Transactional services, with appropriate support from RCT
L			S	As above
L			S	As above
L			S	As above
L			S	As above
L		S	S	CJC Single Umbrella
				N/A CJC Single Umbrella
L			S	Review once CJC appointments are made
S		L	S	Review once CJC appointments are made
S		L		CCR Legacy Projects Accounting & Reporting
S		L		Review once CJC appointments are made
L		S		CJC Single Umbrella
				N/A CJC Single Umbrella
L		S		Review once CJC appointments are made
S		L		Review once CJC appointments are made
S		L		CCR Legacy Projects Legal & Governance
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
L			S	CJC Single Umbrella
				N/A CJC Single Umbrella
L			S	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made
S			L	Review once CJC appointments are made

Lift & Shift (CCR & New Functions)				
CJC	CCR	CC	RCT	Comments
L				Subject to TUPE Report & Advice
L				CJC appointments made
L				CJC appointments made
L			S	CJC to take the Lead on both Advisory & Transactional services, with appropriate support from RCT
L			S	As above
L			S	As above
L			S	As above
L			S	As above
L			S	As above
L			S	CJC Single Umbrella
				N/A CJC Single Umbrella
L			S	Review once CJC appointments are made
L			S	Review once CJC appointments are made
L		L	S	CCR Legacy Projects Accounting & Reporting
L			S	Review once CJC appointments are made
L			S	Review once CJC appointments are made
				N/A CJC Single Umbrella
L			S	Review once CJC appointments are made
L			S	Review once CJC appointments are made
S		L		CCR Legacy Projects Legal & Governance
L			S	Review once CJC appointments are made
L			S	Review once CJC appointments are made
L			S	Review once CJC appointments are made
L			S	Review once CJC appointments are made
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L			S	Review once CJC appointments are made

Future Generations Assessment Evaluation (includes Equalities and Sustainability Impact Assessments)

<p>Name of the Officer completing the evaluation:</p> <p>Hrjinder Singh</p> <p>Phone no: 07890 027492 E-mail: h.singh@cardiff.gov.uk</p>	<p>Please give a brief description of the aims of the proposal</p> <p>To set out the strategies for the proposed interim management and support arrangements for the South East Wales Corporate Joint Committee (SEW CJC) and to seek agreement to enter into Service Level Agreements (SLAs) with the appropriate bodies to enable the region to transition from the 'Bare Minimum' model to the 'Lift and Shift' model.</p>
<p>Proposal: To set out the proposed interim CJC management and support arrangements.</p>	<p>Date Future Generations Evaluation form completed: 31 January 2022</p>

1. Does your proposal deliver any of the well-being goals below? Please explain the impact (positive and negative) you expect, together with suggestions of how to mitigate negative impacts or better contribute to the goal.

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
<p>A prosperous Wales Efficient use of resources, skilled, educated people, generates wealth, provides jobs</p>	<p>Not directly as proposal deals with proposal in respect of the CJC Management & Support arrangements whilst it operates under the Do Minimum approach. The CJC itself, once fully integrated under the preferred Lift & Shift Model will weave the 7 Well-being goals within its work program me and wider activities, as is the case with CCR presently.</p>	
<p>A resilient Wales Maintain and enhance biodiversity and ecosystems that support resilience and can adapt to change (e.g. climate change)</p>	<p>As above</p>	
<p>A healthier Wales People's physical and mental wellbeing is maximized and health impacts are understood</p>	<p>As above</p>	

Well Being Goal	Does the proposal contribute to this goal? Describe the positive and negative impacts.	What actions have been/will be taken to mitigate any negative impacts or better contribute to positive impacts?
A Wales of cohesive communities Communities are attractive, viable, safe and well connected	As above	
A globally responsible Wales Taking account of impact on global well-being when considering local social, economic and environmental wellbeing	As above	
A Wales of vibrant culture and thriving Welsh language Culture, heritage and Welsh language are promoted and protected. People are encouraged to do sport, art and recreation	As above	
A more equal Wales People can fulfil their potential no matter what their background or circumstances	As above	

2. How has your proposal embedded and prioritized the sustainable governance principles in its development?

Sustainable Development Principle	Does your proposal demonstrate you have met this principle? If yes, describe how. If not explain why.	Are there any additional actions to be taken to mitigate any negative impacts or better contribute to positive impacts?
 <p>Balancing short term need with long term and planning for the future</p>	<p>The report outlines the short-term planning and arrangements that will be needed to implement and maintained whilst the region goes through the 'Bare Minimum' and 'Lift & Shift' models. This process incorporates short-term planning whilst focusing on long-term aims.</p>	<p>Any issues that may have negative impact will be addressed on an ad hoc basis as and when they arise.</p>
 <p>Working together with other partners to deliver objectives</p>	<p>The report outlines the new executive team staffing and administrative support that will be required in line with the activity around Standing Orders and financial modelling.</p>	<p>The Office of the Cardiff Capital Region will re-allocate some duties of certain staff members to allow the 'Bare Minimum' and 'Lift & Shift' models to operate effectively and for the transition to proceed smoothly. These agreed activities are set out in the report and will be reported upon again as and when appropriate.</p>
 <p>Involving those with an interest and seeking their views</p>	<p>The new executive team staffing and administrative support arrangements are the result of internal and external discussions, legal and financial advice. The report sets out the relevant information transparently. Cardiff Capital Region, Cardiff Council and Rhondda Cynon Taf County Borough Council, the three bodies involved in the transition to the CJC, have had equal input into discussions.</p>	<p>Conversations with supporting bodies will continue.</p>
 <p>Putting resources into preventing problems occurring or getting worse</p>	<p>The new executive team staffing and administrative support arrangements will allow the 'Bare Minimum' and 'Lift & Shift' models to proceed with the appropriate resource and expertise in place.</p>	<p>Any issues that may have negative impact will be addressed on an ad hoc basis as and when they arise.</p>
 <p>Considering impact on all wellbeing goals together and on other bodies</p>	<p>The transition to the new CJC structure will have significant impact on well-being goals, not least because the SEW CJC will take on powers on 30 June 2022 enabling them to directly influence economic well-being for the South East Wales region.</p>	<p>Conferment of the legal powers on 30 June 2022 will ensure that the impact for the region will be positive.</p>

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

Protected Characteristics	Describe any positive impacts your proposal has on the protected characteristic	Describe any negative impacts your proposal has on the protected characteristic	What has been/will be done to mitigate any negative impacts or better contribute to positive impacts?
Age	Every role within the SEW CJC will be open to all and in accordance with the skills, values and experience of the Cardiff Capital Region.	No negative impacts.	No negative impacts.
Disability	As above	As above	As above
Gender reassignment	As above	As above	As above
Marriage or civil partnership	As above	As above	As above
Pregnancy or maternity	As above	As above	As above
Race	As above	As above	As above
Religion or Belief	As above	As above	As above
Sex	As above	As above	As above
Sexual Orientation	As above	As above	As above
Welsh Language	As above	As above	As above

4. Safeguarding & Corporate Parenting. Are your proposals going to affect either of these responsibilities?

	Describe any positive impacts your proposal has on safeguarding and corporate parenting	Describe any negative impacts your proposal has on safeguarding and corporate parenting	What will you do/ have you done to mitigate any negative impacts or better contribute to positive impacts?
Safeguarding	Not directly relevant but building the future economy should have a profoundly positive impact on the region's ability to safeguard the future of our residents.		

Corporate Parenting	Not directly relevant; however, building strength in the economy should create opportunities for all of the young people entrusted in our care.		
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5. What evidence and data has informed the development of your proposal?

- CJC legislation.
- Legal and financial advice.
- Input from the ten constituent local authorities and the BBNPA.

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

The report provides a comprehensive plan for managing the transition of the Cardiff Capital Region to the formal Corporate Joint Committee entity. The issue of staffing and support will be monitored and revised as and when appropriate to ensure that the needs of the operating models during transition are fully met.

7. MONITORING: The impacts of this proposal will need to be monitored and reviewed. Please specify the date at which you will evaluate the impact, and where you will report the results of the review.

The impacts of this proposal will be evaluated on:

At various points during the evolution of the CJC from Bare Minimum through to implementation of the 'Lift & Shift' model and beyond.